

Toward a More Carefully Specified Metanotation

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Abstract

POPL is known for, among other things, papers that present formal descriptions and rigorous analyses of programming languages. But an important language has been neglected: the *metanotation* of inference rules and BNF that has been used in over 40% of all POPL papers to describe all the other programming languages. This metanotation is not completely described in any one place; rather, it is a folk language that has grown over the years, as paper after paper tries out variations and extensions. We believe that it is high time that the tools of the POPL trade be applied to the tools themselves.

Examination of many POPL papers suggests that as the metanotation has grown, it has diversified to the point that problems are surfacing: different notations are in use for the same operation (substitution); the same notation is in use for different operations; and in some cases, notations for repetition are ambiguous, or require the reader to apply knowledge of semantics to interpret the syntax. All three problems present substantial potential for confusion. No individual paper is at fault; rather, this is the natural result of language growth in a community, producing incompatible dialects.

We back these claims by presenting statistics from a survey of all past POPL papers, 1973–2016, and examples drawn from those papers. We propose a set of design principles for metanotation, and then propose a specific version of the metanotation that can be always interpreted in a purely formal, syntactic manner and yet is reasonably compatible with past use. Our goal is to lay a foundation for complete formalization and mechanization of the metanotation.

Categories and Subject Descriptors D.3.1 [Formal Definitions and Theory]: Syntax; F.3.1 [Specifying and Verifying and Reasoning about Programs]: Assertions; F.4.3 [Formal Languages]

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1. Introduction

What is the most popular programming language at POPL? Not C, nor Java, nor even Haskell, but the “POPL metanotation” consisting of *inference rules* plus the data description language *BNF*—and, make no mistake, this metanotation is indeed a programming language, or could be, if properly formalized and mechanized. But it is not completely described in any one place; rather, it is a folk language that has grown over the years, as one paper after another tries

out small variations and extensions. Each paper largely assumes metanotational conventions established by past papers as customary and explicitly describes only a few features of specific interest.

But after four decades of this, we now face three problems:

- (1) So far, 27 different notations for substitution have been used in POPL papers, and 14 of them are still in current use.
 - (2) Many of those same notations are also used for other purposes.
 - (3) In some cases, repetition notation is ambiguous, or requires the reader to apply knowledge of semantics to interpret the syntax.
- All three problems present substantial potential for confusion.

In this paper, we back these claims by presenting summary and detailed statistics from a survey of all past POPL papers. We also present and explain examples drawn from those papers. We propose a set of design principles for metanotation, and then propose a specific version of the metanotation that can be interpreted in a purely formal, syntactic manner and yet is reasonably compatible with past use (and where it cannot be compatible, we explain why).

In §2, we present the results of our survey. In §3, we analyze the data and discuss difficulties with the metanotation, with examples drawn from past POPL papers. In §4, we present design principles for metanotation and novel extensions to the existing metanotation intended to address the observed difficulties. In §5, we present a careful specification of a complete metanotation and a formal explanation of how to expand it. In §6, we present examples of the use of this extended metanotation. In §7, we present recommendations to future authors of POPL papers and suggest future work.

The specific novel contributions of this paper are:

- (1) A survey of the use of inference rules, substitution notations, and repetition notations in POPL papers, 1973–2016.
- (2) A careful specification and formal interpretation of a complete metanotation that includes inference rules, BNF, substitution notation, and repetition notations, including:
 - (a) certain common uses of ellipses to indicate repetition, and
 - (b) the widely used overline notation that indicates repetition.
- (3) Use of underlines in the overline notation to suppress indices.
- (4) Use of harpoons as overlines to indicate repetition without separating punctuation and to notate certain kinds of recursive expression heretofore expressible only by using two ellipses.

2. Survey of POPL Papers

We examined manually (well, ocularly) every page of every paper of every past POPL, 1973–2016 (there was no POPL conference in 1974, so that is 43 volumes). There were 1,401 papers, a total of 17,160 pages. We examined a paper copy of each volume, working in chronological order; when we identified a paper of interest then we pulled it up onto a screen from the ACM Digital Library so that we could search the text for such words as “substitution” (actually, “subst”). While the OCR is good (and gets better over time), it does not always distinguish certain pairs of symbols such as \rightarrow and \mapsto , and it does not capture at all the horizontal lines that indicate inference rules and repetition notation. Fortunately such horizontal lines are easy to spot even when flipping through pages quickly.

$e \frac{v}{x}$	1	[P77A]	$e[v/x]$	133	[P79D]–[P16Y]	$e(v/x)$	1	[P78B]
$[v/x]e$	67	[P77B]–[P16S]	$e[v/x]$	6	[P96O]–[P07I]	$e\{v/x\}$	25	[P90A]–[P16W]
$\overline{[v/x]}e$	1	[P97G]	$e\overline{[v/x]}$	2	[P13J]–[P15L]	$e\{v/x\}$	5	[P01G]–[P16V]
$[x := v]e$	2	[P09F]–[P10S]	$e[v \setminus x]$	1	[P14T]	$e\{v/x\}$	4	[P03D]–[P16L]
$[x \mapsto v]e$	9	[P94M]–[P16B]	$e[x/v]$	5	[P89C]–[P15Y]	$e\{x \leftarrow v\}$	4	[P88D]–[P95D]
$[x \rightarrow v]e$	1	[P08A]	$e[x := v]$	21	[P88G]–[P16B]	$e\{x \mapsto v\}$	1	[P02B]
$\llbracket v/x \rrbracket e$	2	[P08V]–[P12Y]	$e[x \leftarrow v]$	7	[P89E]–[P11F]	$e\{x \rightarrow v\}$	1	[P02K]
$\{v/x\}e$	6	[P86D]–[P15P]	$e[x \mapsto v]$	12	[P94D]–[P15S]	$e\{\{v/x\}\}$	2	[P98R]–[P99G]
$\{x \mapsto v\}e$	4	[P95B]–[P16Q]	$e[x \rightarrow v]$	2	[P12Σ]–[P15Θ]	$e\{\{x \leftarrow v\}\}$	1	[P04G]

Table 1. Twenty-seven substitution notations and the number of POPL papers in which they were observed, also citing the earliest and latest. Prefix notations are shown right-justified, and postfix notations are shown left-justified. Eight different notations were used in 2016 alone.

At first we tried to identify every paper that used either inference rules, repetition notation, or substitution notation. By about 1982 it became clear that most papers using either repetition or substitution notation also contained inference rules, so from that point on, with only one or two exceptions that happen to catch our eye, we examined carefully only papers that contained at least one inference rule. During such careful examination, we scanned the entire paper, not just the inference rules themselves, to try to find uses of repetition notation or substitution notation. By “repetition notation” we mean either the use of an ellipsis, such as “ x_1, \dots, x_n ”, or the use of an iterator notation, such as “ $\{x_i\}^{i \in 1..n}$ ”, or the use of an overbar or overarrow or other such symbol to indicate either (1) repetition of a symbol or syntax fragment, or (2) a vector of elements of which only one representative is shown. Example of this last category are \bar{x} , \vec{x} , \tilde{x} , and $e\overline{[v/x]}$. By “substitution notation” we mean an explicit three-argument notation such as $[v/x]e$ (not merely an application such as σe of a substitution denoted by σ to an expression e) that is intended to represent the standard capture-free substitution of (a copy of) v (or, more typically, an expression denoted by the metavariable v) for every free occurrence of a variable x (or a variable denoted by the metavariable x) within the expression e (or an expression denoted by the metavariable e).

Of the 1,401 papers, we identified 609 for careful examination. For each paper, we recorded an actual example of the substitution notation used (if any) as well as a schematic template using the three variables v , x , and e so that the specific symbols used in the notation could be easily identified. We also recorded whether inference rules were used (because of our sampling bias, nearly all did, but we wanted to have an accurate count of how many papers out of the 1,401 use inference rules), and whether and how those inference rules were labeled. We recorded whether ellipses, iterators, and/or over-symbols were used to indicate repetition; for over-symbol notation, we recorded the precise symbol used, whether explicit index variables and/or iterators were used as part of the over-symbols notation, whether the over-symbol was used only over single symbols or over larger syntax fragments, and whether the over-symbols were ever stacked or nested.

We recorded these details in a BIB_TEX database, and then used a custom bst file to generate various distillations of the data, some of which were then pulled into a spreadsheet for further analysis. The data presentations in Tables 1, 2, and 3 were generated semi-automatically from this database (additional T_EX commands were hand-inserted for formatting purposes).

For purposes of graphing the data, we divide time into lustra (five-year intervals), working backward from the present, producing nine bins of five conferences each, except that the first bin has just the first POPL three conferences (1973, 1975, and 1976).

2.1 Notations for Substitution

We found that (at least) 27 distinct notations for three-argument substitution have been used at POPL; these are summarized in Table 1. We found substitution notation in 327 of the 609 papers we

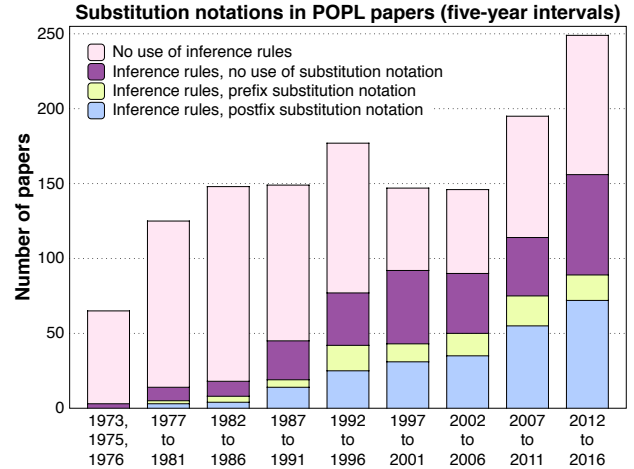


Figure 1. Substitution notations in POPL papers, 1973–2016

examined closely; of these, 4 [P08V, P09E, P12Y, P16B] used two different kinds of substitution notation, so we have a total of 331 data points. All 331 data points are listed in Table 2; each paragraph is one year’s worth of data.

With the exception of the very earliest one, namely $e \frac{v}{x}$, all these notations can be characterized along five axes: (a) are they prefix (v and x occur to the left of e) or postfix (v and x occur to the right e)? (b) What symbols enclose v and x ? (c) What symbol(s) separate v from x ? (d) Does v occur to the left of x , or to the right of x ? (e) Are v and/or x on the baseline, or are one or both raised or lowered? Not all possible combinations occur.

By far the most commonly used notation is $e[v/x]$ (postfix, brackets, slash, v before x , baseline): 133 out of 331. The second most common notation is $[v/x]e$ (prefix, brackets, slash, v before x , baseline): 67 out of 331. Two others, $e\{v/x\}$ and $e[x := v]$, were used more than 20 times each. Each of the 23 other notations observed was used in fewer than 10 papers.

Figure 1 shows the usage of inference rules and substitution notation in POPL papers within each lustrum, and furthermore breaks down usage of prefix and postfix notations. Observations: (1) At first only a small percentage of papers presented inference rules, but their use increased sharply after 1986, and over the last 20 years roughly 60% of POPL papers in each lustrum have presented inference rules. (2) Of papers that present inference rules, over half also use substitution notation. (3) Early on, prefix and postfix notations were used with roughly equal frequency, but after 1986 the relative percentage of postfix notations climbed sharply.

Figure 2 shows the breakdown of enclosers within the 331 data points for papers that use substitution notation. Plain brackets $[]$ have always been the most commonly used encloser symbols, and

$e \frac{v}{x}$ [P77A], $[v/x]e$ [P77B] $e(v/x)$ [P78B] $[v/x]e$ [P79B], $e[v/x]$ [P79D] $[v/x]e$ [P82A] $e[v/x]$ [P83B], $e[v/x]$ [P83C] $[v/x]e$ [P85B], $[v/x]e$ [P85D], $e[v/x]$ [P85E] $\{v/x\}e$ [P86D], $e[v/x]$ [P86E] $[v/x]e$ [P87G] $[v/x]e$ [P88A], $e[v/x]$ [P88B], $e\{x \leftarrow v\}$ [P88D], $e[x := v]$ [P88G], $e[x/v]$ [P89C], $e[v/x]$ [P89D], $e[x \leftarrow v]$ [P89E], $e[x \leftarrow v]$ [P89F] $e\{v/x\}$ [P90A], $e[v/x]$ [P90B], $e[v/x]$ [P90D], $e[v/x]$ [P90I], $[v/x]e$ [P90J], $[v/x]e$ [P90K], $e[x \leftarrow v]$ [P90M] $e[x := v]$ [P91F], $[v/x]e$ [P91J], $e[v/x]$ [P91K] $e\{v/x\}$ [P92D], $e[v/x]$ [P92E], $e[v/x]$ [P92H], $[v/x]e$ [P92I], $\{v/x\}e$ [P92K] $e[v/x]$ [P93C], $e[v/x]$ [P93E], $e[v/x]$ [P93F], $e[x := v]$ [P93H], $[v/x]e$ [P93I], $e\{x \leftarrow v\}$ [P93J], $e[v/x]$ [P93K], $[v/x]e$ [P93L], $e[x/v]$ [P93N], $[v/x]e$ [P93P], $e\{v/x\}$ [P93Q] $[v/x]e$ [P94A], $[v/x]e$ [P94B], $e[x \mapsto v]$ [P94D], $e\{x \leftarrow v\}$ [P94F], $[v/x]e$ [P94G], $e[x := v]$ [P94H], $e[v/x]$ [P94I], $e[v/x]$ [P94K], $[x \mapsto v]e$ [P94M], $e[v/x]$ [P94P], $e[x := v]$ [P94R] $[v/x]e$ [P95A], $\{x \mapsto v\}e$ [P95B], $[v/x]e$ [P95C], $e\{x \leftarrow v\}$ [P95D], $[v/x]e$ [P95H], $e[v/x]$ [P95K] $[v/x]e$ [P96C], $[v/x]e$ [P96D], $[v/x]e$ [P96H], $e[v/x]$ [P96I], $e[v/x]$ [P96L], $e\{v/x\}$ [P96M], $[v/x]e$ [P96N], $e[v/x]$ [P96O], $e[v/x]$ [P96Q] $e[v/x]$ [P97B], $e[v/x]$ [P97C], $[v/x]e$ [P97D], $e[x := v]$ [P97E], $e[v/x]$ [P97F], $[v/x]e$ [P97G], $[v/x]e$ [P97H], $e[x \leftarrow v]$ [P97L], $e[v/x]$ [P97Q], $\{x \mapsto v\}e$ [P97S], $[v/x]e$ [P97T] $e[v/x]$ [P98A], $e[v/x]$ [P98E], $e[v/x]$ [P98H], $e[v/x]$ [P98J], $[v/x]e$ [P98K], $e[x \mapsto v]$ [P98M], $e[v/x]$ [P98Q], $e\{v/x\}$ [P98R] $e[x := v]$ [P99B], $[v/x]e$ [P99C], $e[v/x]$ [P99D], $e[x \leftarrow v]$ [P99F], $e\{v/x\}$ [P99G], $e[v/x]$ [P99H], $e[x := v]$ [P99I], $e[v/x]$ [P99K], $e[x := v]$ [P99L], $e[v/x]$ [P99O] $e[x \mapsto v]$ [P00G], $e[v/x]$ [P00I], $\{x \mapsto v\}e$ [P00K], $e[v/x]$ [P00N] $e[v/x]$ [P01A], $e[v/x]$ [P01B], $[v/x]e$ [P01C], $e\{v/x\}$ [P01G], $[v/x]e$ [P01I], $[v/x]e$ [P01J], $e[v/x]$ [P01K], $\{v/x\}e$ [P01M], $e[x/v]$ [P01P], $e\{v/x\}$ [P01Q] $e\{v/x\}$ [P02A], $e\{x \mapsto v\}$ [P02B], $e\{v/x\}$ [P02D], $[v/x]e$ [P02G], $e[x \mapsto v]$ [P02H], $[v/x]e$ [P02I], $e[v/x]$ [P02J], $e\{x \mapsto v\}$ [P02K], $e[x \leftarrow v]$ [P02L], $[v/x]e$ [P02M] $[v/x]e$ [P03B], $e[x := v]$ [P03C], $e\{v/x\}$ [P03D], $e[x \mapsto v]$ [P03E], $e[x := v]$ [P03F], $e[v/x]$ [P03G], $e[v/x]$ [P03I], $e[v/x]$ [P03J], $e[x \mapsto v]$ [P03K], $e[v/x]$ [P03L] $[v/x]e$ [P04B], $e[v/x]$ [P04C], $e[v/x]$ [P04D], $e[v/x]$ [P04E], $[x \mapsto v]e$ [P04F], $e\{x \leftarrow v\}$ [P04G], $e\{v/x\}$ [P04I], $[v/x]e$ [P04J], $e[v/x]$ [P04L], $e[v/x]$ [P04M], $[v/x]e$ [P04Q], $e[v/x]$ [P04R] $[v/x]e$ [P05A], $e[v/x]$ [P05D], $[x \mapsto v]e$ [P05E], $[v/x]e$ [P05F], $[v/x]e$ [P05G], $e\{v/x\}$ [P05I], $[v/x]e$ [P05J], $e[x \mapsto v]$ [P05N], $e[v/x]$ [P05O], $e[v/x]$ [P05Q] $e[v/x]$ [P06A], $e[v/x]$ [P06G], $[v/x]e$ [P06H], $e[x := v]$ [P06N], $e[v/x]$ [P06R], $e[v/x]$ [P06S], $[v/x]e$ [P06U], $e[v/x]$ [P06V] $e[v/x]$ [P07B], $e[v/x]$ [P07C], $e[v/x]$ [P07D], $e[v/x]$ [P07F], $e\{v/x\}$ [P07H], $e[v/x]$ [P07I], $[v/x]e$ [P07J], $e[v/x]$ [P07K], $e\{v/x\}$ [P07N], $e[v/x]$ [P07R] $[x \mapsto v]e$ [P08A], $e[v/x]$ [P08D], $e[v/x]$ [P08E], $e[v/x]$ [P08F], $[v/x]e$ [P08G], $e[v/x]$ [P08H], $e[v/x]$ [P08I], $e[x := v]$ [P08J], $e[v/x]$ [P08K], $e[v/x]$ [P08N], $[v/x]e$ [P08O], $e[v/x]$ [P08Q], $e[v/x]$ [P08R], $[v/x]e$ [P08V], $[v/x]e$ [P08W], $e[v/x]$ [P08X] $e[v/x]$ [P09A], $e[v/x]$ [P09D], $e[v/x]$ [P09E], $e\{v/x\}$ [P09E], $[x := v]e$ [P09F], $e[v/x]$ [P09H], $\{v/x\}e$ [P09I], $[v/x]e$ [P09K], $e[v/x]$ [P09L], $[v/x]e$ [P09O], $e[v/x]$ [P09P], $[v/x]e$ [P09Q], $[x \mapsto v]e$ [P09R], $[v/x]e$ [P09S] $e[x \mapsto v]$ [P10C], $e[x \mapsto v]$ [P10E], $e[v/x]$ [P10G], $e[v/x]$ [P10H], $e[v/x]$ [P10I], $e[v/x]$ [P10J], $e[x \mapsto v]$ [P10K], $e[v/x]$ [P10L], $e[v/x]$ [P10M], $e\{v/x\}$ [P10O], $[x \mapsto v]e$ [P10P], $e\{v/x\}$ [P10Q], $e[x := v]$ [P10R], $[x := v]e$ [P10S], $e[x \mapsto v]$ [P10U], $e[v/x]$ [P10Y], $[v/x]e$ [P10Z] $[x \mapsto v]e$ [P11B], $e[x := v]$ [P11C], $[x \mapsto v]e$ [P11D], $e[x \leftarrow v]$ [P11F], $e[x := v]$ [P11G], $\{v/x\}e$ [P11H], $e[x \mapsto v]$ [P11I], $e[v/x]$ [P11J], $e[v/x]$ [P11L], $e\{v/x\}$ [P11M], $e[v/x]$ [P11N], $e[v/x]$ [P11O], $e[v/x]$ [P11S], $e\{v/x\}$ [P11T], $[v/x]e$ [P11U], $e\{v/x\}$ [P11W], $e[v/x]$ [P11Z] $e[v/x]$ [P12A], $[v/x]e$ [P12C], $e[v/x]$ [P12D], $e[v/x]$ [P12E], $e[x \mapsto v]$ [P12F], $e\{v/x\}$ [P12G], $e[x \mapsto v]$ [P12I], $e[v/x]$ [P12K], $e[v/x]$ [P12M], $e[x \mapsto v]$ [P12Q], $e[x \mapsto v]$ [P12S], $e[v/x]$ [P12T], $e[v/x]$ [P12U], $e[v/x]$ [P12V], $e[v/x]$ [P12W], $e[v/x]$ [P12X], $[v/x]e$ [P12Y], $[v/x]e$ [P12Y], $e[x := v]$ [P12I], $e[x \mapsto v]$ [P12Σ], $e[v/x]$ [P12Υ] $e[v/x]$ [P13A], $e[v/x]$ [P13C], $[v/x]e$ [P13D], $e[v/x]$ [P13E], $e[v/x]$ [P13F], $e[v/x]$ [P13I], $e[v/x]$ [P13J], $e[v/x]$ [P13K], $e[v/x]$ [P13N], $e[v/x]$ [P13O], $e\{v/x\}$ [P13P], $e[v/x]$ [P13Q], $e[v/x]$ [P13T], $e\{v/x\}$ [P13U], $e\{v/x\}$ [P13V], $e[v/x]$ [P13X], $e[v/x]$ [P13Y], $[x \mapsto v]e$ [P13Γ], $[v/x]e$ [P13Δ] $e\{v/x\}$ [P14A], $e[v/x]$ [P14B], $[v/x]e$ [P14C], $e[v/x]$ [P14D], $e[x := v]$ [P14L], $e\{v/x\}$ [P14N], $e[v/x]$ [P14O], $[v/x]e$ [P14R], $e[v/x]$ [P14T], $e[v/x]$ [P14W], $e[v/x]$ [P14X], $[v/x]e$ [P14Y], $e\{v/x\}$ [P14Z], $e[v/x]$ [P14Γ], $e[v/x]$ [P14Δ], $e[v/x]$ [P14Σ], $e[v/x]$ [P14Υ], $e\{v/x\}$ [P14Φ], $e[v/x]$ [P14Ψ] $[v/x]e$ [P15B], $e[v/x]$ [P15E], $e[v/x]$ [P15H], $e\{v/x\}$ [P15I], $e[v/x]$ [P15L], $[v/x]e$ [P15M], $e\{v/x\}$ [P15N], $\{v/x\}e$ [P15P], $e\{v/x\}$ [P15Q], $e[v/x]$ [P15R], $e[x \mapsto v]$ [P15S], $e\{v/x\}$ [P15T], $e[x := v]$ [P15X], $e[x/v]$ [P15Y], $e[x \mapsto v]$ [P15Θ], $[v/x]e$ [P15Π] $e[x := v]$ [P16A], $[x \mapsto v]e$ [P16B], $e[x := v]$ [P16B], $[v/x]e$ [P16D], $e[v/x]$ [P16G], $e[v/x]$ [P16K], $e\{v/x\}$ [P16L], $\{x \mapsto v\}e$ [P16Q], $[v/x]e$ [P16S], $e[v/x]$ [P16T], $e\{v/x\}$ [P16V], $e\{v/x\}$ [P16W], $e[v/x]$ [P16X], $e[v/x]$ [P16Y]	<p>Each of these notations is intended to represent the result of capture-free substitution of v for all occurrences of the variable x within expression e. Twenty-seven different styles of notation are presented in this table. Each example is followed by a bibliographic citation (see the list of references); 327 papers are cited out of 1,401 papers that appeared in POPL from 1973 through 2016, and 4 of them [P08V, P09E, P12Y, P16B] each used two different notations. Papers using substitution notation were not found in years 1973, 1975, 1976, 1980, 1981, or 1984. We may have missed a few; we focused primarily on papers that also use inference rule notation.</p>
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Table 2. Substitution notations used in POPL papers (mostly considering only papers that also use inference rules; see text), 1977–2016

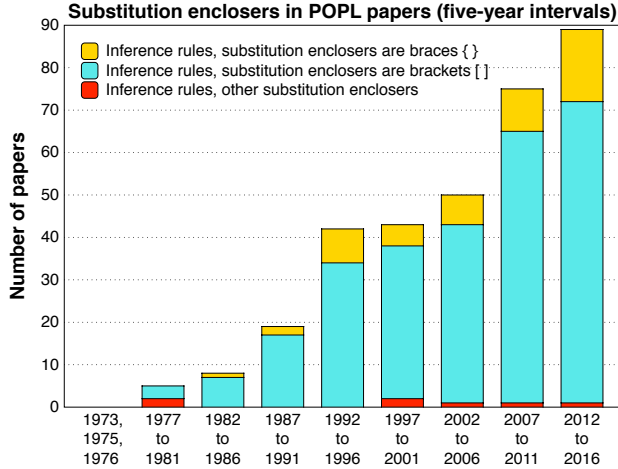


Figure 2. Substitution enclosers in POPL papers, 1973–2016

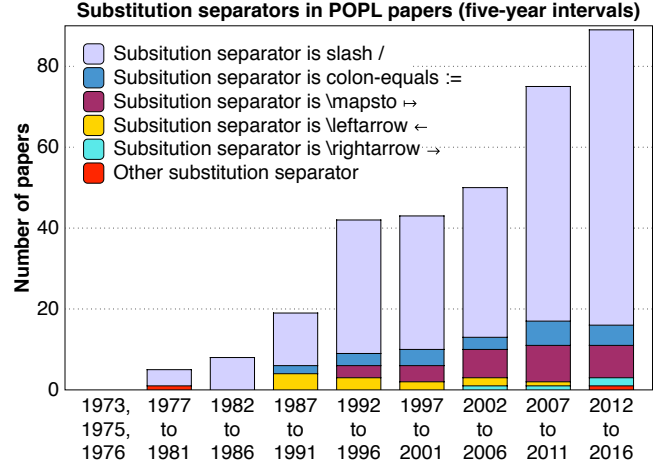


Figure 3. Substitution separators in POPL papers, 1973–2016

for the last lustrum were used in 80% of papers that used substitution notation, but plain braces $\{ \}$ may be making a comeback: their percentage of use was 19% in 1992–1996, then dipped to 13% for the next three lustra, but for the last lustrum is back to 19%.

Figure 3 shows the breakdown of separators within the same 331 data points. The slash character “/” has always dominated, and its percentage for the most recent lustrum is over 80% (73 of 89 papers). But “:=” came into use after 1986, and likewise “ \mapsto ” after 1991; over the last ten years, roughly one paper per year has used “:=” and almost two papers per year have used “ \mapsto ”. Out of 327 papers, 12 have used “ \leftarrow ” and 4 have used “ \rightarrow ”; just 1 paper [P14T] has used the backslash “\”, and of course one paper [P77A] used the idiosyncratic form “ $e \frac{x}{x}$ ”.

Of the 327 papers using substitution notation, 100 used it to express multiple simultaneous substitution of two or more values for two more corresponding variables. Of those, 16 used braces $\{ \}$ or double braces $\{ \}$ as enclosers; the other 84 used brackets $[]$.

In many (but not all) papers that use multiple simultaneous substitution, repetition notation is used as a part of substitution notation; examples are $S[y_1/x_1, \dots, y_n/x_n]$ [P85E, §4.3], $p[\bar{q}/\bar{x}]$ [P90D, §4.1], $[\beta_n/\alpha_n]\tau$ [P93P, Fig. 6], $P\{z/\bar{x}\}$ [P93Q, §2], $[\bar{x} \mapsto \bar{t}']t$ [P94M, §1.4], $E[\bar{z}/\bar{y}]$ [P96L, §1], $[\bar{y}/\bar{z}]P$ [P96N, §4.2], $\Gamma\{\bar{x} \mapsto \bar{y}\}$ [P02B, §2.2], $\{\alpha \mapsto \phi'\}(\phi_1)$ [P16Q, Fig. 3].

For comparison, we examined several well-known books and monographs. Church used $S_N^x M$ to “stand for the formula which results by substitution of N for x throughout M ” [3, p. 9]. Barendregt used $M[x := N]$ for the same purpose [1, §2.1], and Bruce used $[N/x]M$ [2, p. 128]. Gunter (reversing the use of M and N) used $\{M/x\}N$ to mean a substitution of M for x within N that does not avoid variable capture, and then immediately used it to define $[M/x]N$ to mean a substitution of M for x in N that does avoid variable capture (by using α -conversion as appropriate) [5, pp. 35–37]. Winskel used $A[a/i]$ to represent the result of substituting a for i within A [13, pp. 82–83]. Reynolds wrote, “ $p/v \rightarrow e$ denotes the result of substituting e for v in p (after replacing these metavariables by particular phrases)” [9, p. 18]; while we otherwise admire his book, we feel that this particular choice of notation is ill-advised because in the book, as here, the extra space around the arrow visually makes p and v bind tightly to the slash, making it seem as if p/v , not just v , somehow maps to or becomes e .

2.2 Notations for Repetition

Out of 609 papers selected for careful examination, 184 used ellipses to indicate repetition and 174 used some form of overline to indicate repetition. There was overlap: 57 papers used both ellipses and overlines. We observed exactly three forms of overline: $\overline{\text{overbar}}$ (used in 94 papers), $\overrightarrow{\text{overarrow}}$ (used in 60 papers), and $\widetilde{\text{tilde}}$ (used in 20 papers). Our impression was that almost every paper that used tilde to indicate repetition addressed either the π -calculus or bisimulation (π -calculus notation uses overbars for another purpose).

Table 3 contains an entry for each of the 609 papers; each paragraph is one year’s worth of data.

Figure 4 shows the usage of inference rules and substitution notation in POPL papers within each lustrum, and furthermore breaks down usage of overline and ellipsis notations. Its vertical axis matches that of Figure 1 and so those two figures may be compared directly. Observations: (1) Over the last 15 years, of papers that present inference rules, over half also use some repetition notation. (2) Repetition notations were rarely used before 1992, but after that their use increased sharply. (3) From 1992 to 2006, ellipses were used much more frequently than overline notations, but in the last ten years overline notations have come to dominate slightly.

Figure 5 shows the breakdown of kinds of overline (tilde, overarrow, or overbar) within just the 174 papers that used overline notation for repetition. Over the last 20 years, an average of one paper per year has used tilde. During 1997–2001 and 2007–2011, the numbers of papers using overarrow and overbar were roughly the same; during 2002–2006 and 2012–2016, the number of papers using overbar was about twice the number using overarrow.

Of the 174 papers that used overline notation, 27 (15.5%) used overline notation over syntax fragments rather than just single symbols. Of these, 4 used overarrows [P06Q, P11S, P12Y, P16I] and 23 used overbars [P05A, P05S, P06H, P08M, P10J, P10O, P11I, P12D, P12M, P12Q, P12II, P13P, P13T, P13Y, P14B, P14E, P14E, P14\Psi, P15G, P15I, P15N, P16B, P16Y].

Of the 174 papers that used overline notation, just 13 (7%) used explicit index variables in conjunction with the overline notation [P05U, P09H, P10J, P10O, P11I, P12Z, P13V, P15G, P15I, P15M, P16B, P16R, P16Y]. While the yearly number of papers using this combination is small, it has been increasing. Of these 13 papers, 3 also used an explicit iterator notation as part of the overline notation; we quote an example or two from each: $\overline{K_i} \Rightarrow e_i^i$ [P11I], $\overline{C_i} \parallel \overline{D_i} : T_i^i$ and $\overline{C_i}^{i \in \{1, \dots, n\}}$ [P15I], $\overline{C_i} x \rightarrow e_i^{i \in m}$ [P16Y].

(P75A)(P75B) (P76A) (P77A)(P77B) (P78A)(P78B)(P78C) (P79A)(P79B)(P79C)(P79D)(P79E) (P80A) (P81A)(P81B)(P81C) (P82A)(P82B) (P83A)(P83B)(P83C ^v) (P84A)(P84B)(P84C) (P85A)(P85B)(P85C)(P85D)(P85E) (P86A)(P86B)(P86C)(P86D)(P86E) (P87A)(P87B)(P87C)(P87D)(P87E)(P87F)(P87G) (P88A)(P88B)(P88C)(P88D)(P88E)(P88F)(P88G) (P89A)(P89B)(P89C)(P89D)(P89E)(P89F) (P90A)(P90B)(P90C)(P90D)(P90E)(P90F)(P90G)(P90H)(P90I)(P90J)(P90K)(P90L)(P90M) (P91A)(P91B)(P91C)(P91D)(P91E)(P91F)(P91G)(P91H)(P91I)(P91J)(P91K)(P91L) (P92A)(P92B)(P92C)(P92D)(P92E)(P92F)(P92G)(P92H)(P92I)(P92J)(P92K) (P93A)(P93B)(P93C)(P93D)(P93E)(P93F)(P93G)(P93H)(P93I)(P93J)(P93K)(P93L)(P93M)(P93N)(P93O)(P93P)(P93Q)(P93R) (P94A)(P94B)(P94C)(P94D)(P94E)(P94F)(P94G)(P94H)(P94I)(P94J)(P94K)(P94L)(P94M)(P94N _i)(P94O)(P94P)(P94Q)(P94R) (P95A)(P95B)(P95C)(P95D)(P95E)(P95F)(P95G)(P95H)(P95I)(P95J)(P95K)(P95L)(P95M) (P96A)(P96B)(P96C)(P96D)(P96E)(P96F)(P96G)(P96H)(P96I)(P96J)(P96K)(P96L)(P96M)(P96N)(P96O)(P96P ^v)(P96Q) (P97A)(P97B ^v)(P97C)(P97D)(P97E)(P97F)(P97G)(P97H)(P97I)(P97J)(P97K)(P97L)(P97M)(P97N)(P97O)(P97P)(P97Q)(P97R) (P97S ^v)(P97T) (P98A)(P98B)(P98C)(P98D)(P98E)(P98F)(P98G)(P98H ^v)(P98I)(P98J)(P98K)(P98L)(P98M)(P98N)(P98O)(P98P)(P98Q)(P98R) (P98S) (P99A)(P99B)(P99C)(P99D)(P99E)(P99F)(P99G)(P99H)(P99I)(P99J)(P99K)(P99L)(P99M)(P99N)(P99O ^v)(P99P)(P99Q) (P00A)(P00B)(P00C)(P00D)(P00E)(P00F)(P00G)(P00H)(P00I)(P00J)(P00K)(P00L)(P00M)(P00N)(P00O)(P00P)(P00Q)(P00R)(P00S) (P01A)(P01B)(P01C)(P01D)(P01E)(P01F)(P01G)(P01H)(P01I)(P01J)(P01K)(P01L)(P01M)(P01N)(P01O)(P01P)(P01Q) (P02A)(P02B)(P02C)(P02D)(P02E)(P02F)(P02G)(P02H)(P02I)(P02J)(P02K)(P02L)(P02M) (P03A)(P03B)(P03C)(P03D)(P03E)(P03F)(P03G)(P03H)(P03I)(P03J)(P03K)(P03L)(P03M) (P04A)(P04B)(P04C)(P04D)(P04E)(P04F)(P04G)(P04H)(P04I)(P04J)(P04K)(P04L)(P04M)(P04N)(P04O)(P04P)(P04Q)(P04R)(P04S) (P05A)(P05B)(P05C)(P05D ^v)(P05E)(P05F)(P05G)(P05H)(P05I)(P05J)(P05K)(P05L)(P05M)(P05N ^v)(P05O)(P05P)(P05Q)(P05R) (P05S)(P05T)(P05U _i) (P06A)(P06B)(P06C)(P06D)(P06E)(P06F)(P06G)(P06H)(P06I)(P06J)(P06K)(P06L)(P06M)(P06N)(P06O ^v)(P06P)(P06Q)(P06R) (P06S)(P06T)(P06U)(P06V ^v)(P06W)(P06X) (P07A)(P07B)(P07C)(P07D)(P07E)(P07F)(P07G)(P07H)(P07I)(P07J)(P07K)(P07L)(P07M ^v)(P07N)(P07O)(P07P)(P07Q)(P07R) (P08A)(P08B)(P08C)(P08D)(P08E)(P08F)(P08G ^v)(P08H)(P08I)(P08J)(P08K)(P08L)(P08M)(P08N)(P08O)(P08P)(P08Q)(P08R) (P08S)(P08T)(P08U)(P08V)(P08W)(P08X)(P08Y) (P09A)(P09B)(P09C)(P09D)(P09E)(P09F)(P09G)(P09H _i)(P09I)(P09J)(P09K)(P09L)(P09M)(P09N)(P09O)(P09P)(P09Q)(P09R)(P09S) (P10A)(P10B)(P10C)(P10D)(P10E)(P10F)(P10G)(P10H)(P10I)(P10J _i)(P10K)(P10L)(P10M)(P10N)(P10O _i)(P10P)(P10Q)(P10R) (P10S)(P10T)(P10U)(P10V)(P10W)(P10X)(P10Y)(P10Z) (P11A)(P11B)(P11C)(P11D)(P11E)(P11F)(P11G)(P11H)(P11I)(P11J)(P11K)(P11L)(P11M)(P11N)(P11O)(P11P)(P11Q)(P11R) (P11S)(P11T ^v)(P11U)(P11V)(P11W)(P11X)(P11Y)(P11Z) (P12A)(P12B)(P12C)(P12D)(P12E)(P12F)(P12G)(P12H)(P12I)(P12J)(P12K)(P12L)(P12M ^v)(P12N)(P12O)(P12P)(P12Q)(P12R) (P12S)(P12T)(P12U)(P12V)(P12W)(P12X)(P12Y)(P12Z _i)(P12Γ)(P12Δ ^v)(P12Θ)(P12Λ)(P12Ξ)(P12Π ^v)(P12Σ)(P12Τ) (P13A)(P13B)(P13C)(P13D)(P13E)(P13F ^v)(P13G)(P13H)(P13I)(P13J)(P13K)(P13L)(P13M)(P13N)(P13O)(P13P)(P13Q)(P13R) (P13S)(P13T)(P13U)(P13V _i)(P13W)(P13X)(P13Y)(P13Z)(P13Γ)(P13Δ) (P14A ^v)(P14B)(P14C)(P14D)(P14E)(P14F)(P14G)(P14H)(P14I)(P14J)(P14K)(P14L)(P14M)(P14N)(P14O)(P14P ^v)(P14Q)(P14R) (P14S)(P14T)(P14U)(P14V)(P14W)(P14X)(P14Y)(P14Z ^v)(P14Γ)(P14Δ)(P14Θ)(P14Λ)(P14Ξ)(P14Π)(P14Σ)(P14Τ)(P14Φ) (P14Ψ) (P15A)(P15B)(P15C)(P15D)(P15E)(P15F)(P15G _i)(P15H ^v)(P15I _i)(P15J)(P15K)(P15L ^v)(P15M _i)(P15N _i)(P15O)(P15P)(P15Q)(P15R) (P15S)(P15T ^v)(P15U)(P15V)(P15W)(P15X)(P15Y)(P15Z)(P15Γ)(P15Δ)(P15Θ)(P15Λ)(P15Ξ)(P15Π)(P15Σ) (P16A)(P16B _i)(P16C)(P16D)(P16E)(P16F)(P16G)(P16H)(P16I ^v)(P16J)(P16K)(P16L)(P16M)(P16N)(P16O)(P16P)(P16Q)(P16R _i) (P16S)(P16T ^v)(P16U)(P16V)(P16W)(P16X ^v)(P16Y _i)	<p>This table contains bibliographic citations to 609 POPL papers, each decorated to indicate whether the paper contains inference rules and whether it uses a repetition metanotation. Brackets [] around a citation indicate the presence of at least one inference rule; parentheses () indicate no inference rule was seen. If a paper uses some sort of overline notation, then such a notation appears above the citation. Only three distinct forms of overline were observed: overbar, right-pointing overarrow, and tilde. (While collecting data, we made no distinction between the tiny overarrow produced by <code>\vec</code> and the larger overarrow produced by <code>\overrightarrow</code>, nor between the tiny tilde <code>\tilde</code> and the larger tilde <code>\widetilde</code>.) If a paper uses overlines only over monograms, then an overbar or <code>\vec</code> or <code>\tilde</code> is shown over the first character “P” of the citation, and if it uses dual overlines then two overlines are shown; on the other hand, if a paper uses overlines over larger syntax fragments, then an overbar or <code>\overrightarrow</code> or <code>\widetilde</code> is shown over the entire citation, and if it uses nested overlines, then a second overline appears over just the middle two characters. If a paper uses explicit subscripted index variables in conjunction with the overline notation, then a subscripted <i>i</i> appears. If a paper uses an explicit iterator notation in conjunction with the overline notation, then a superscripted <i>i</i> appears. Independently of whether a paper uses an overline notation, if it uses an ellipsis, then three dots appear beneath the citation, and if it uses an iterator notation, then a superscripted \forall appears (but the paper itself may or may not use the “\forall” symbol in its iterator notation).</p>
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Table 3. Repetition notations used in POPL papers (mostly considering only papers that also use inference rules; see text), 1977–2016

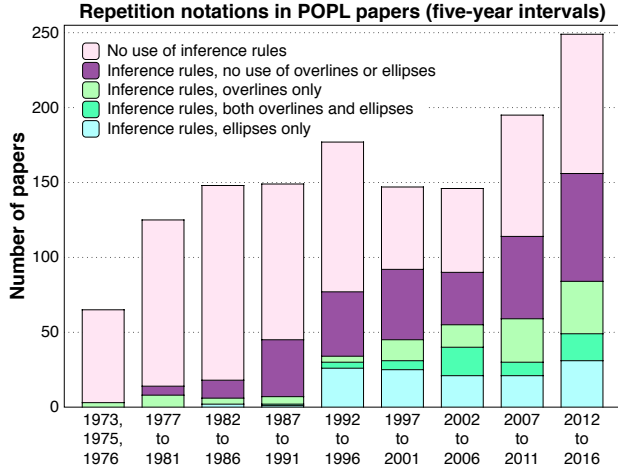


Figure 4. Repetition notations in POPL papers, 1973–2016

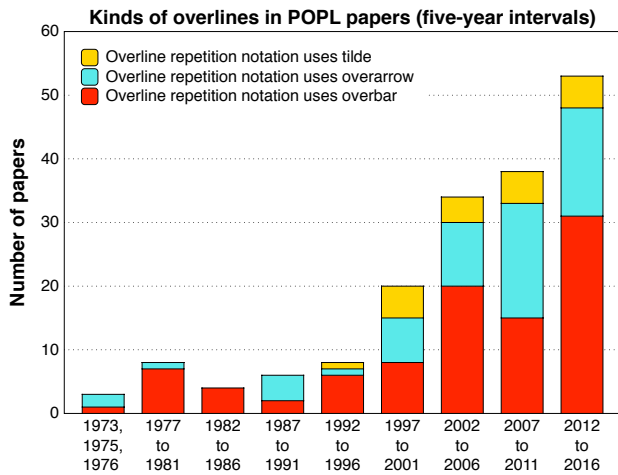


Figure 5. Kinds of overlines in POPL papers, 1973–2016

We observed 9 papers that used nested overline notation; of these, 8 used nested overbars [P94N, P99B, P05A, P13Y, P14E, P14Ψ, P16R, P16Y] and 1 used nested overarrows [P15W].

For comparison, we examined several well-known books. Barendregt [1, §2.1.3] wrote “Let $\vec{N} \equiv N_1, \dots, N_n$. Then $MN_1 \dots N_n \equiv M\vec{N} \equiv (\dots((MN_1)N_2) \dots N_n)$ ”; note that he clearly does not intend that \vec{N} necessarily literally include separating commas in its expansion. Milner *et al.* [7, p. 44] used ellipses not only within an assertion but also to indicate a sequence of premisses in an inference rule:

$$\frac{E(\text{longstrid}_1) = E_1 \quad \dots \quad E(\text{longstrid}_n) = E_n}{E \vdash \text{open } \text{longstrid}_1 \dots \text{longstrid}_n \Rightarrow E_1 + \dots + E_n}$$

and Gunter [5, p. 292] did the same:

$$\frac{H \vdash M_1 : t_1 \quad \dots \quad H \vdash M_n : t_n}{H \vdash \{l_1 = M_1, \dots, l_n = M_n\} : \{l_1 : t_1, \dots, l_n : t_n\}}$$

and so did Reynolds [9, p. 227] (using zero-origin indexing):

$$\frac{e_0 \Rightarrow Z_0 \quad \dots \quad e_{n-1} \Rightarrow z_{n-1}}{\langle e_0, \dots, e_{n-1} \rangle \Rightarrow \langle z_0, \dots, z_{n-1} \rangle}$$

Bruce [2, p. 164] used both ellipses and iterator notation:

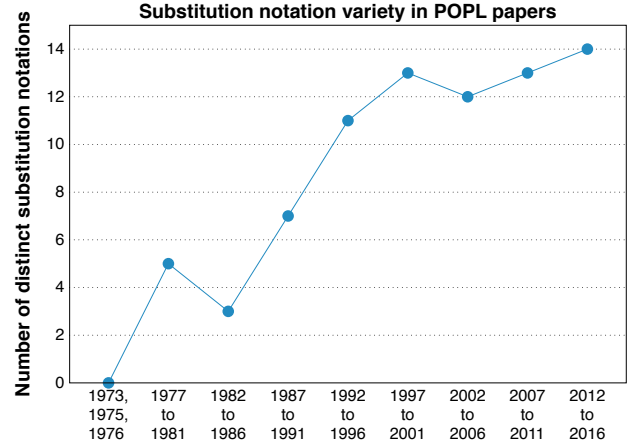


Figure 6. Substitution variety in POPL papers, 1973–2016

$$\frac{\mathcal{E} \vdash M_i : T_i, \text{ for } 1 \leq i \leq n}{\mathcal{E} \vdash \langle M_1, \dots, M_n \rangle : T_1 \times \dots \times T_n}$$

3. Analysis

Based on the data reported in Section 2 plus other observations about the papers, we infer this story about metanotation in POPL papers: Before 1987, there was relatively little use of metanotation for formal specification of the behaviors and type systems of languages. In the late 1980s, there was a shift from studying small languages (such as various forms of the λ -calculus) in which functions took only one argument to explaining larger, more realistic languages in which sequences of items (parameters, arguments, declarations, statements, ...) played a role, and so there was a sharply increased need for metanotation to describe such sequences. Moreover, the use of inference-rule metanotation became increasingly popular, to the point that over 60% of POPL papers now use inference rules for some descriptive purpose. Different subjects have had slightly different descriptive needs, and so there has been a natural experimentation with alternative extensions to the metanotation, leading to an ever-increasing diversity of notations.

This is how languages grow—but we believe that it has reached the point where it is causing problems, and it is time to apply the tools of our trade (including formalism and critical analysis), which we normally apply to programming languages, to the metanotation.

In this section we point out specific problems we have observed with three aspects of the metanotation: substitution notations, overline notations, and ellipses. We cite specific examples from specific papers for concreteness, to document the existence of these problems, but it is not our intent to single out individual papers as “bad examples”; rather, we believe the problems exist as a natural consequence of language evolution, as cutting-edge pioneers try out different (and experimental) modes of expression, and the nature of the problems observed is a global inconsistency across a large body of work rather than defects in particular papers.

3.1 Substitution Notations

We don’t believe that there is an inherent problem with any one of the 27 specific notations for substitution listed in Table 1. The difficulties we see are social rather than technical, and twofold.

The first problem is that authors use a wide variety of substitution notations, but some take them for granted; many, many papers use substitution notation without explaining what it means. For each notation, enough other POPL papers use the same notation (or a very similar notation) for substitution that any individual author

might well feel justified in assuming that readers will recognize it. But the diversity of notations has been increasing over time (see Figure 6); during the last five years alone, 14 different notations have been used, making it less likely that a reader will instantly recognize any one of them as intended to denote substitution.

Some general comments about the notations observed: (1) Both $e[v/x]$ and $e[x/v]$ are in use, identical except as to whether v precedes or follows x . Therefore a reader who sees $a[b/c]$ cannot be sure which is meant. (2) Focusing only on separators, 4 papers use $x \rightarrow v$ and 12 papers use $x \leftarrow v$. A reader who had already seen one (say, $x \rightarrow v$) might well think that the rule is that the arrow points from the variable to the replacement value, and on encountering the other, say in the form $a[b \leftarrow c]$, might well think that c is the variable and b the replacement value, when in fact the opposite was intended. (3) The very fact that most notations that use “/” as a separator (including the two most popular notations, $e[v/x]$ and $[v/x]e$) have v to the left of x , whereas notations that use “:=” or some form of arrow as a separator have v to the right of x , is itself a potential source of confusion. (4) We speculated that the increasing use of braces might reflect a desire to emphasize that a substitution conceptually includes a set, not an ordered list, of variable-value pairs when multiple substitution is involved. However, our observations provide little statistical support for this conjecture: of the 327 papers that use substitution notation, 100 papers (30.5%) use multiple simultaneous substitution, and of the 50 papers out of 327 that uses braces as enclosers, just 16 (32%, almost exactly the same percentage) use multiple simultaneous substitution.

The second problem, which exacerbates the first, is that many of these notations are also used for completely different purposes in other POPL papers. As a result, the reader cannot even be certain, on seeing a notation such as $e[v/x]$ or $e[x := v]$, whether it is intended to denote substitution or some other operation. For example, paper [P86C, §5] uses the notation $e[\hat{x}/x]$ to mean environment extension, not substitution; the notation is not explicitly explained, but from its use we infer that if e is an environment then

$$(e[\hat{x}/x])[[id]] = \begin{cases} \hat{x} & \text{if } id \text{ is } x \\ e[[id]] & \text{otherwise} \end{cases}$$

Another paper [P88E, §4.3.1] gives the explicit definition

$$f[a \rightarrow b] \stackrel{\text{def}}{=} \lambda x. \text{if } x = a \text{ then } b \text{ else } f(x)$$

and so $f[a \rightarrow b]$ denotes function update, not substitution. In a third paper [P89E], the authors write “To denote the extension of a type environment TE by a binding of x to T , we write $TE[x \leftarrow T]$.” A fourth paper [P12II] uses $\rho\{x_i \mapsto x'_i\}$ to indicate “repeated extension of the environment ρ with variable mappings”; thus $e\{x \mapsto v\}$ would indicate a single environment extension, not substitution. These are but a handful of the many papers we observed that use substitution-like notations for other purposes.

3.2 Overline Notations

The earliest uses of overline notation were over single symbols, and the interpretation was straightforward: one may regard \bar{A} as standing for an empty sequence, or a singleton sequence “ A_1 ” or a length-2 sequence “ A_1, A_2 ” or a length-3 sequence “ A_1, A_2, A_3 ” and so on for any finite length of sequence desired. Typically such expansions are described using ellipsis notation: we say that “ \bar{A} ” stands for “ A_1, \dots, A_n ”. Often this notation is used in the context of abstract syntax, where the need for parentheses is often fudged away or glossed over, and the need for commas to separate the copies of the symbol can be similarly fudged away or glossed over. It is completely clear what to replicate and where to attach the indices: the unit of replication is the single symbol under the overline, and an integer index is attached to each copy of that symbol. It is

assumed that separate occurrences of the same overlined symbol will expand into sequences of the same length.

Over time the notation was extended in three significant ways, which we will refer to as *pointwise clustering*, *expression replication*, and *nesting*. Each of these extensions solved a problem at the expense of introducing a different problem.

The first extension, pointwise clustering, uses multiple overline repetitions within a specific syntactic context to indicate that the unit of replication should be not just individual symbols, but the entire context. At first this convention was described explicitly, but then came to be taken for granted and extended to situations not previously documented, creating the potential for confusion. We quote a typical explanation of the convention [P97E, Appendix B]:

We use vector notation \bar{A} to indicate a sequence A_1, \dots, A_n . If $\bar{A} = A_1, \dots, A_n$ and $\bar{B} = B_1, \dots, B_n$ and \oplus is a binary operator then $\bar{A} \oplus \bar{B}$ stands for $A_1 \oplus B_1, \dots, A_n \oplus B_n$. If \bar{A} if \bar{B} have different lengths then $\bar{A} \oplus \bar{B}$ is not defined. Each predicate p is promoted to a predicate over vectors: $p(A_1, \dots, A_n)$ is interpreted as $p(A_1) \wedge \dots \wedge p(A_n)$.

So far, so good. However, the same paper goes on to use the same convention for declarations of function parameters: $Ax(\bar{B} \bar{y})\{S\}$ is intended to be interpreted as $Ax(B_1 y_1, \dots, B_n y_n)\{S\}$. Perhaps the whitespace that separates the type B from the parameter name y is to be construed as a “binary operator”?

Many papers have used this convention; by 2006 at least one set of authors regarded this convention as widespread, but still worth explaining: “Following common convention, $\bar{T} f$ represents a list of pairs $T_1 f \dots T_n f_n$ rather than a pair of lists” [P06P, §3.1].

Pointwise clustering may induce transitive constraints: if, within some context, we have $\bar{T} f$ and elsewhere $\bar{T} : \kappa, f$ and κ must have the same length even though they nowhere appear together. (Following Einstein, we call this “spooky action at a distance.”)

Pointwise clustering solves the problem of wanting to replicate syntactic units larger than single symbols, with the effect of being able to “zip together multiple lists of the same length” in constructing the copies. The downside is that the unit of replication is not indicated explicitly, and so must be explained separately.

But consider now this example [P04J, Ex. 4.7], one of the clearest illustrations of the difficulty that arises when the contexts to be replicated are not explicitly marked or explained:

$$\text{Take any } \bar{w} = [\bar{v}/\bar{x}]\bar{e} \text{ and } \bar{w}' = [\bar{v}'/\bar{x}]\bar{e} \text{ with } (\bar{v}, \bar{v}') \in R$$

There are five different vectors involved: \bar{w} , \bar{w}' , \bar{v} , \bar{v}' , and \bar{e} . Which pairs of vectors must be of the same length? All of them? We soon realize that to answer this, we need to understand what are the intended units of syntactic replication. For the first two equations, a plausible answer is “the entire equation,” leading to the interpretation

$$\text{Take any } w_1 = [v_1/x_1]e_1, \dots, w_n = [v_n/x_n]e_n \\ \text{and } w'_1 = [v'_1/x_1]e_1, \dots, w'_n = [v'_n/x_n]e_n \text{ with } \dots$$

However, careful consideration of the rest of the paper leads one to conclude that the intended interpretation is:

$$\text{Take any } w_1 = [v_1/x_1, \dots, v_m/x_m]e_1, \dots, \\ w_n = [v_1/x_1, \dots, v_m/x_m]e_n \\ \text{and } w'_1 = [v'_1/x_1, \dots, v'_m/x_m]e_1, \dots, \\ w'_n = [v'_1/x_1, \dots, v'_m/x_m]e_n \text{ with } \dots$$

That last is quite a mouthful, so we can understand why the authors chose to use abbreviate it using a repetition notation. But this particular form of overline notation, which fails to mark the units of replication, is not quite up to the task. The same problem shows up elsewhere in the example: how is $(\bar{v}, \bar{v}') \in R$ to be interpreted?

Here is a clear example of the sort of special-purpose explanation that is required when using pointwise clustering, particularly with substitution notation [P11I, §3.3]:

The notation $\bar{a} : \bar{\kappa}$ zips together a list of type variables and a list of kinds to create a type variable context Δ . These two lists must have the same length for the notation to be well-defined. The notation $\varphi[\bar{a} \mapsto \bar{\psi}]$ applies a multi-substitution of the types $\bar{\psi}$ for each of the corresponding variables in the list \bar{a} .

The second extension, which we call expression replication, solves these problems by writing the overline over an entire expression, not just individual symbols, thereby indicating quite precisely what is the unit of replication. This works very well for multiple substitution notation such as $\{\bar{\alpha} \mapsto \bar{\phi}'\}(\phi_1)$ [P16Q, Fig. 3], but in the general case it comes at a cost: the precise points at which to attach the integer subscripts are no longer explicitly marked. For the previous example, we could try writing $(v, v') \in \bar{R}$; the unit of replication is clearly “ $(v, v') \in R$ ” but it is not at all clear that v and v' should receive subscripts in each copy but R should not—for that matter, we might even ask whether \in should also receive subscripts. Some authors have solved this problem by explicitly marking the subscript attachment points, typically using either i or j or k , intended to represent a “typical index value” (example: $(\bar{G}_i, \bar{\psi}_i)$ [P05U, Fig. 3]) or m or n , intended to do double duty by also indicating the intended length of the sequence (example: $\theta = \{\bar{X}_n \mapsto \bar{t}_n\}$ [P94N, §3]). In the former case, authors may also provide a binding of the index variable that indicates the attachment points, for example $\bar{K}_i \Rightarrow e_i$ [P11I, Fig. 2] or $\bar{C}_i x \rightarrow e_i$ [P16Y, Fig. 8]. This makes the attachment points quite clear, but with less conciseness than a pure overline notation.

We did find this clear description of a pure overline notation with implicit subscript attachment points [P06H, §2]:

We will also use an overbar as a syntactic meta-operator to denote a comma-separated sequence of syntax fragments: $\bar{\sigma} = \sigma_1, \dots, \sigma_n$ where σ is a syntax fragment and σ_i is the same fragment with i -subscripts on all meta-identifiers it contains. For example we will write $[u/x]e$ instead of $[u_1/x_1, \dots, u_n/x_n]e$, and $(v, v') \in R$ instead of $(v_1, v'_1), \dots, (v_n, v'_n) \in R$.

The third extension, nesting, effectively provides “nested loops.” The earliest example we found, $\sigma' = \{F \mapsto \lambda \bar{y}_n. a(\bar{H}_m(\bar{y}_n))\}$ [P94N, Fig. 1], explicitly marks the index attachment points but provides no bindings, thereby removing all ambiguity as to where subscripts are to be attached but not entirely eliminating all confusion as to which subscript attachment points correspond to which overline (it can easily be figured out, but it requires a deduction step). The same is true of data $T \bar{\alpha}_k = \bar{C}_i \bar{\tau}_{ij}$ [P99B, Fig. 1], which uses three distinct index variables i, j , and k to correspond to the three overbars. A more complex example is $y_i : (\forall \bar{\alpha}_k. \tau_i)^{u_i} \mapsto \Lambda \bar{\alpha}_k. e_i[S]$ [P99B, Fig. 1]; note the occurrence of the index variable i within the superscripted expression u_i . Such an example would be difficult to understand without explicit index variables or some specific conventions about index attachment.

An interesting example of apparently mixed conventions is $\Omega \vdash [\bar{\tau}'/\bar{\alpha}]\tau \rightsquigarrow v$ [P05A, Fig. 4]. Elsewhere the authors generally use expression replication in such situations as $\mathbf{data} \bar{D} \alpha \Rightarrow S \alpha \beta = C \bar{\tau}$ [P05A, Fig. 1] and $\Delta \rightarrow \bar{d} : \theta$ [P05U, Fig. 3], so we assume that the authors believed that $[\bar{\tau}'/\bar{\alpha}]\tau$ rather than $[\bar{\tau}'/\bar{\alpha}]\tau$ was the appropriate notation for multiple substitution.

A different example of mixed conventions within a single assertion is $\beta = \{(\mathcal{G}_0, \text{null}), (\bar{G}_i, o_i.f_1 \dots .f_n)\}$ [P05U, Fig. 5]. Here there is nested repetition: a use of an ellipsis within an overline cluster that uses the index variable i to indicate attachment points.

Nothing wrong with that; this may be the clearest way to express this situation. It is in fact clearly the intent of the authors that the sequence of field accesses $.f_1 \dots .f_n$ be the same for every value of i . This example does suggest that in some other scenario one might wish to have a different set of field accessors for each value of i ; this could be expressed as $(\bar{G}_i, o_i.f_{i1} \dots .f_{in_i})$. Can this example be expressed more concisely using nested overlines? We answer this question in §6. (This example also illustrates a conventional treatment of the overline notation as concrete syntax or “macro expansion” rather than abstract syntax: the intent is that the copies produced by the overline cluster be comma-separated but not surrounded by enclosers, so that β has $n + 1$ pairs as its elements.)

3.3 Ellipses

We wish to provide a formal specification of the meaning of such notations as “ x_1, \dots, x_n ” and “ x_1, x_2, \dots ” and “ $x_1 \oplus \dots \oplus x_n$ ” and “ $[v_1/x_1, \dots, v_n/x_n]e$ ”. Sometimes two ellipses are used together, for example when nested function calls are involved: $f_1(f_2(\dots f_n(x) \dots))$. Ellipsis notation is sometimes used in tricky ways, for example $C = [p_1, s_1, \dots, p_n, s_n]$ [P06X, Fig. 6]. In any case, it won’t do simply to assume that the repeated pattern is comma-separated and contains no commas.

4. A Specific Proposal, with Three Novelties

We propose these design principles as desirable for future POPL metanotation: (1) Be compatible with past usage. (2) Obey the principles of abstract syntax (that is, a correct concrete syntax can be obtained purely by inserting enclosers and commas, but only as needed to maintain the integrity of the parse tree). (3) Provide a range of notational choices, allowing authors to make the choices about conciseness and readability. (4) Avoid context-dependent behavior. (5) Be as agnostic as possible about the structure and meaning of the assertion language. (6) Be as agnostic as possible about the structure and meaning of the object language. (7) Provide a purely formal explanation of the interpretation of the metanotation (in particular, the interpretation should not depend on types or semantics of either the assertion language or the object language).

In this section we present an informal description of a few aspects of our proposed metanotation, including some novel features. In §5.2 we present a definition and formal interpretation.

In general, an *inference rule* consists of zero or more *premises* and a single *conclusion*. . . . The premises and conclusion are each a scheme for an assertion, that is, a pattern containing metavariables that each range over some type of phrase, such that one obtains an assertion by replacing each metavariable by any phrase in its range. . . . An instance of an inference rule is obtained by replacing all occurrences of each metavariable by a phrase in its range. (Sometimes, there will be side conditions on the rule that must be satisfied by the replacement. Also, there may be syntactic operations, such as substitution, that must be carried out after the replacement.) A *proof*—more precisely, a *formal proof*—is a sequence of assertions, each of which is the conclusion of some instance of an inference rule whose premises all occur earlier in the sequence. —Reynolds [9, §1.3]

Each of the assertions (sometimes called *judgments*) is written in an *assertion language*, which is typically the standard language of mathematics and logic, possibly augmented with substitution and/or repetition notations, and also with the possibility of mentioning tokens of some *object language* (Reynold’s term) and/or nonterminals of a context-free grammar defined in some BNF notation (of which there are many variations); such nonterminals are one kind of metavariable. Examples of possible object languages are Java [4] and Featherweight Java [6].

We will use the term *monogram* to refer to a single letter that, rather than being used for decorative purposes, is itself possibly “decorated” with one or more prime marks and/or a sequence of one or more integer subscripts. We will define this term formally in §5; for now, consider as examples the monograms x , β , e' , α_2 , and $\tau'_{15\ 27}$. The decorations are part of the monogram; thus x and x' and x_3 are distinct monograms. Multicharacter identifiers such as *expr* and *type* and *if* are not monograms; neither are nonalphabetic symbols such as $=$ and $+$ and $\&$.

Our basic approach to making overline notation unambiguous: (1) Implicit pointwise clustering is never used. The material beneath (that is, within) an overline is the unit of replication. Thus “ $\overline{T f}$ ” expands to “ $T_1, \dots, T_n f_1, \dots, f_n$ ”. If “ $T_1 f_1, \dots, T_n f_n$ ” is the desired expansion, the correct way to write that is “ $\overline{T f}$ ”.

(2) If explicit index variables are to be used, then the overline notation must include an explicit binding of that variable, so that the correspondence of index variables to overlines will be unambiguous. For example, we cannot write $\overline{v_i/x_i}$; instead we must write at least $\overline{v_i/x_i^i}$, and perhaps more explicitly $\overline{v_i/x_i^{i \leq n}}$ or $\overline{v_i/x_i^{p \leq i \leq q}}$. Index variables are the way to go if it is necessary to attach subscripts to symbols or multicharacter identifiers.

(3) If no explicit index variables are to be used, then integer indices will be implicitly attached to *all* monograms (but see §4.1 below), and *only* to monograms. Thus $f(x)$ will mean $f_1(x_1), \dots, f_n(x_n)$, not $f(x_1), \dots, f(x_n)$, because f , like x , is a monogram.

We allow any combination of three optional notations at the upper right of an overline: an *explicit separator*, a *multiplicity marker* (which may be $+$ or $?$), and a *variable binding*. The explicit separator is used instead of a comma to separate copies; if s represents statements, then a notation such as $\overline{s^i}$ could be useful when describing an object language that uses semicolons as separators rather than terminators. The multiplicity marker $+$ means that the expanded sequence must not be empty; $?$ means that the expanded sequence must contain either zero or one copy (and therefore in this case also specifying an explicit separator would be pointless). A variable binding may provide bounds, or may consist of just the variable name, in which case bounds will be inferred. Examples are $\overline{x^i+}$, $\overline{x^+i}$, $\overline{x^?}$, $\overline{x^i}$, $\overline{x^j < i}$, $\overline{x^{\max}}$, $\overline{x^{1 \leq i \leq n}}$, $\overline{x^{\otimes + i \leq n}}$, and $\overline{x^{i \in 1..n}}$.

4.1 Underlining

What if we want an expansion such as $f(x_1), \dots, f(x_n)$? We can always use explicit indices, as in $\overline{f(x_i)^i}$, but what if we want further conciseness? We take inspiration from the α notation for parallel computation in Connection Machine Lisp [12], which was in turn inspired by the backquote notation of Common Lisp [11]. In each of these notations, an expression is marked for special treatment (making a copy; executing many copies in parallel), but there is also a way to mark subexpressions as *exceptional* (use the value of the subexpression instead of making a copy; use corresponding elements of a vector rather than replicating a single value). The overline notation attaches subscripts to *every* monogram; we need a way to say “except here,” and for this we use *underlines*. Just as every comma must correspond to a governing backquote in Common Lisp, just as every bullet must correspond to a governing α , so in our metanotation every underline must fall beneath a corresponding overline. As simple examples, for $f(x_1), \dots, f(x_n)$ we can write $\overline{f(x)}$, and for $f(x_1 + z, \dots, x_n + z)$ we can write $\overline{f(x + \underline{z})}$.

Consider again this example [P04J, Ex. 4.7] from §3.2:

Take any $\overline{w} = [\overline{v/x}]e$ and $\overline{w'} = [\overline{v'/x}]e$ with $(\overline{v}, \overline{v'}) \in R$

With our proposed notation, we use nested overlines to indicate the (nested) units of replication and underlines to indicate where the uppermost overline should *not* attach indices:

Take any $w = [\overline{v/x}]e$ and $w' = [\overline{v'/x}]e$ with $(\overline{v}, \overline{v'}) \in R$

Thus, in each of the two equalities, v and v' and x receive indices only from the inner overline. Note also the underline under R to indicate that there is just one R , not a subscripted sequence of R 's.

4.2 Harpoons and Boxes

Harpoons used as overlines do not provide separators between the copies. (We use harpoons so as to avoid conflict with past usage of overarrows; besides, harpoons take less vertical space.) The direction of the harpoon indicates whether copies are numbered in forward or reverse order. If a harpoon overline cluster immediately contains a single boxed cluster, then the material in the boxed cluster is used as is, and the material to its left and right is replicated; this provides a concise way to notation certain expressions that would otherwise require two ellipses. We illustrate with examples:

$$\begin{aligned} \overrightarrow{x} &\equiv x_1 x_2 x_3 \dots x_{n-1} x_n \\ \overleftarrow{x} &\equiv x_n x_{n-1} x_{n-2} \dots x_2 x_1 \\ \overline{\text{let } x = v \text{ in } \boxed{e}} &\equiv \text{let } x_1 = v_1 \text{ in } \dots \text{let } x_n = v_n \text{ in } e \\ \overline{\text{let } x = v \text{ in } \boxed{e}} &\equiv \text{let } x_n = v_n \text{ in } \dots \text{let } x_1 = v_1 \text{ in } e \\ \overline{\boxed{e}.f} &\equiv e.f_1.f_2.f_3 \dots f_{n-1}.f_n \\ \overline{\boxed{e}.f} &\equiv e.f_n.f_{n-1}.f_{n-2} \dots f_2.f_1 \\ \overline{\underline{h}(x, \boxed{e}, z)} &\equiv h_1(x_1, h_2(x_2, \dots h_n(x_n, e, z_n) \dots, z_2), z_1) \\ \overline{\underline{h}(x, \boxed{e}, z)} &\equiv h_n(x_n, \dots h_2(x_2, h_1(x_1, e, z_1), z_2) \dots, z_n) \end{aligned}$$

4.3 Explaining Ellipses Rigorously

We provide the overline notation because it is concise, mentioning the repeated material just once. But we also wish to provide ellipsis notation, despite the fact that it typically mentions (variations of) the repeated material two or more times, because it is often more readable. In §5.2 we will explain the formal interpretation of several ellipsis idioms by transforming them into instances of overline notation. Here are some illustrative examples:

$$\begin{aligned} x_1, x_2, \dots &\text{ becomes } \overline{x}^{\boxed{1 \leq i \leq n}} & x_1, \dots, x_n &\text{ becomes } \overline{x_i}^{\boxed{1 \leq i \leq n}} \\ x_1 x_2 \dots &\text{ becomes } \overline{x} & x_1; \dots; x_n &\text{ becomes } \overline{x_i}^{\boxed{1 \leq i \leq n}} \\ f_1(x_1, y), \dots, f_n(x_n, y) &\text{ becomes } \overline{f_i(x_i, y)}^{\boxed{1 \leq i \leq n}} \\ x_3 \oplus \dots \oplus x_7 &\text{ becomes } \overline{x_i}^{\boxed{3 \leq i \leq 7}} \\ x_1 \dots x_n &\text{ becomes } \overline{x_i}^{\boxed{1 \leq i \leq n}} \\ f(x_1, \dots, f(x_n, e) \dots) &\text{ becomes } \overline{f(x, \underline{e})} \end{aligned}$$

5. A Careful Specification

Our description of metanotation builds on that of Reynolds [9, §1].

5.1 Syntax

Assertions, inference rules, and BNF are all built from tokens.

5.1.1 Monograms and Other Tokens

A *letter* is a single letter (Latin, Greek, or perhaps from some other alphabet), for example x , A , Z , β , and Γ . An *accented letter* is either a letter, or an accented letter to which a depending or surmounting or superscripted symbol (other than an overbar or harpoon) has been added; examples are x , ζ , \hat{x} , \acute{x} , A' , \tilde{Z}' , β^\dagger , and Γ'' . A *monogram* is either an accented letter, or a monogram to which an integer subscript has been attached; examples of monograms are x , \hat{x} , x_1 , A_{22} , and $\psi''_{1\ 3\ 2}$. Here we use whitespace between subscripts, so that the monogram $\tau_{4\ 12}$ (having subscripts 4 and 12) is clearly different from $\tau_{41\ 2}$ (which has subscripts 41 and 2). An *indexed monogram* is either a monogram to which a subscript other than an integer has been attached, or an indexed monogram to which a subscript has been attached; examples are x_i , $x_{3\ j}$, and $x'_{k\ 3\ k}$.

Monograms may be used as names of metanotation index variables and as BNF nonterminals. They may also be used within the assertion language and the object language for other purposes.

We assume that the syntax of the assertion language (which may include part or all of the syntax of the object language) may be regarded abstractly as a linear sequence of tokens, some of which may have a compound structure that may include tokens or sequences of tokens. We also assume that such tokens may be divided into five classes: *monograms*, *commas*, *left enclosers*, *right enclosers*, and all other tokens, which we will call *common tokens*. The assertion template language has six additional classes of token: *ellipses* such as “...” or “...”, *overline clusters*, *underline clusters*, *boxed clusters*, the *don't-care symbol* “_”, and the *empty-sequence symbol* “•”. An overline cluster consists of a nonempty sequence of assertion template tokens surmounted by an overline, where an overline is either an overbar, a left-pointing harpoon, or a right-pointing harpoon; such an overline cluster may have additional information attached at the upper right, as described below. An underline cluster consists of a nonempty sequence of assertion template tokens with an underbar beneath. A boxed cluster consists of a nonempty sequence of assertion template tokens within a rectangular box. In each case, a cluster is said to *contain* the token sequence, which is sometimes referred to as the *material* within the cluster, and to *immediately contain* each of the tokens in the material. A cluster also contains any token contained by any token in the material; thus (non-immediate) containment is recursive.

Some tokens in the assertion language may belong to the object language. The assertion language comma token is “,”; there may also be a separate object language comma token such as “,”. Possible examples of left enclosers are “(” and “(” and “[” and “[” and “{” and “{” and “begin” and “if”; examples of right enclosers are “)” and “)” and “]” and “]” and “}” and “}” and “end” and “fi”.

As an example, the assertion $\Gamma \vdash f(\overline{y+z}) : \tau$ might be regarded as a sequence of eight tokens: “ Γ ” and “ \vdash ” and “ f ” and “ τ ” are monograms, “ \vdash ” and “ $:$ ” are common tokens, “(” is a left enclosure, “)” is a right enclosure, and “ $\overline{y+z}$ ” is an overline cluster that happens to contain a sequence of three other tokens, namely the monogram “ y ”, the common token “ $+$ ”, and an underline cluster “ \underline{z} ” that contains the monogram “ z ”.

We say that a sequence of tokens is an *entire* sequence if it constitutes the whole of an assertion or a BNF alternative or a formula mentioned within text, or if it constitutes all of the material within an overline cluster or underline cluster.

We say that a token is *left-delimited* if either (a) it is the leftmost of an entire sequence of tokens, or (b) the token immediately to its left is either a comma or a left enclosure. Similarly, we say that a token is *right-delimited* if either (a) it is the rightmost of an entire sequence of tokens, or (b) the token immediately to its right is either a comma or a right enclosure.

We say that a sequence of tokens is *left-balanced* if (a) the material in every overline cluster and every underline cluster immediately contained in the sequence is balanced, and (b) there is no prefix of the sequence (including the sequence itself) that immediately contains more right enclosers than left enclosers. Similarly, a sequence of tokens is *right-balanced* if (a) the material in every overline cluster and every underline cluster immediately contained in the sequence is balanced, and (b) there is no suffix of the sequence (including the sequence itself) that immediately contains more left enclosers than right enclosers. A sequence of tokens is *balanced* if it is both left-balanced and right-balanced, *left-enclosing* if it is left-balanced but not right-balanced, *right-enclosing* if it is right-balanced but not left-balanced. A token z is *unenclosed* if either the maximal subsequence to the left of z in the immediately containing token sequence is not left-enclosing or the maximal subsequence to the right of z in that token sequence is not right-enclosing.

5.1.2 Assertions and Inference Rules

A *assertion* is a sentence of the assertion language that may be determined to be valid or invalid. We rely critically on only one characteristic of assertion language syntax: that it have a comma token. The assertion language may use a notation such as $e[v/x]$ or $e[v_1/x_1, \dots, v_n/x_n]$ to indicate substitution, where e and v and every v_i represent phrases of the object language, x and every x_i represent single-token identifiers of the object language, and “[” and “]” and “/” are tokens of the assertion language but not of the object language. The assertion language may include a function $\#$ that can take any number of arguments and returns a nonnegative integer indicating how many arguments it was given; for example, $\#(a, z_i, x > y) = 3$.¹

An *inference rule* consists of a set of assertions called the *premisses* and a second, nonempty set of assertions called the *conclusions*²; it is customary to notate an inference rule as a horizontal line with the premisses above the line and the conclusion(s) below the line. The premisses (and conclusions) may be stacked vertically and/or separated by commas [P78A, §1.5ff.], but more recent custom is to put multiple premisses on a line, separated only by wide whitespace (2 ems or more), while trying to minimize the number of lines required. If an inference rule has no premisses, one may either (1) leave whitespace above the horizontal line, (2) write “•” above the horizontal line, or (3) omit the horizontal line.

A *possibly repeated inference rule* is either an inference rule or an overline cluster whose overline is an overbar and whose material is a possibly repeated inference rule (rather than a set of tokens).

5.1.3 BNF

A BNF (Backus-Naur Form) description of an object language consists of one or more *productions*. Each production has a *nonterminal* on its left-hand side³ and a set of *alternatives* on its right-hand side. Each nonterminal is typically an identifier, and may be a monogram. Each alternative is a *BNF token sequence* annotated by a set of *constraints*. Each token in a BNF token sequence must be either an object-language token, a nonterminal appearing in the left-hand side of some BNF production, a monogram that *matches* a nonterminal appearing in the left-hand side of some BNF production, an ellipsis, or an overline cluster, underline cluster, or boxed cluster whose material is a BNF token sequence. (Thus, all repetition notations may be used in BNF alternatives.) Each constraint is an assertion. Typically each production is written as the symbol $::=$ with the nonterminals written to its left, separated by commas, and the alternatives written to its right, separated by vertical bars “|”.

A monogram is said to *match* a nonterminal if the nonterminal is also a monogram and a sequence of *decorations* of the nonterminal can produce the original monogram, where a decoration operation consists of either adding an accent or attaching an integer subscript. (For example, x' matches x , \hat{x}_3 matches x , and \hat{x}'_{38} matches any of \hat{x}'_3 , \hat{x}'_8 , \hat{x}'_{38} , \hat{x}_3 , \hat{x} , x'_{38} , x'_3 , x' , x_{38} , x_3 , and x .) If a monogram matches more than one nonterminal, the *best match* is the one

¹ We dislike the use of $|\bar{x}|$ to denote the length of the sequence \bar{x} because if we happen to choose $\bar{x} = x_1$, then it is not clear whether $|\bar{x}| = 1$ (using abstract syntax) or $|\bar{x}| = |x_1| = (\text{if } x_1 \geq 0 \text{ then } x_1 \text{ else } -x_1)$ (using concrete syntax). A similar convention with big operators is less dangerous, because when $\#(\bar{x}) = 1$, $\bigwedge \bar{x} = x_1$ under either interpretation.

² In most cases an inference rule will have only a single conclusion, but in some cases it is useful to allow several, particularly when they may be generated by a repetition notation. It is as if there were multiple inference rules, each with one conclusion and each having all the same premisses.

³ As an abbreviation, one may write a comma-separated sequence of nonterminals on the left-hand side of a BNF production; it is as if several copies of the production were written, one for each of the nonterminals listed, with just that nonterminal on its left-hand side.

(if any) that matches all the others. For example, if τ and τ' are nonterminals, then τ' is the best match for the monogram τ'_3 , but τ is the best match for τ_3 .

5.2 Interpretation

Metanotation is interpreted by expanding a template into a specific instance, which may have constraints attached; the instance is relevant only if the constraints are satisfied. Interpretation proceeds in three steps: macro-expanding repetition notations, replacing BNF nonterminals, and performing substitutions. Each of the first two steps may involve making free choices. In effect, a template is regarded as representing all possible expansions.

5.2.1 Expand Repetition Tokens

Repetition expansion can be performed within any of the following contexts: an inference rule template, one alternative of a BNF production, or a sentence or paragraph of text. Repetition expansion proceeds in eight steps:

Initialize bookkeeping. Create two data structures, each initially empty: C (Constraints) is a set of equalities, and P (Pairs) is a set of pairs (m, v) where m is a monogram and v is a variable.

Transform ellipses to overbars. In this section we use greek-letter monograms to denote sequences of tokens and p and q to represent integer-valued expressions of the assertion language. We use “...” to denote an ellipsis, though it might actually have another appearance such as “...” or “:”.

Repeat the following sentence until execution of the sentence results in no changes to the context: For every ellipsis in the context (visiting them as if in some sequential order), attempt a left-and-right single-ellipsis replacement (see below); if it does not succeed, attempt a left-only single-ellipsis replacement (see below). If it does not succeed, attempt a double-ellipsis replacement (see below).⁴

After the preceding repetition has completed, then every remaining ellipsis that is both left-delimited and right-delimited is replaced with “ $\overline{\quad}$ ” (an overline cluster containing the don’t-care symbol). It is an error if this process does not eliminate all remaining ellipses in the context.

To attempt a left-and-right single-ellipsis replacement with respect to a given ellipsis: Let x be a fresh variable, and examine the tokens to the left and right of the ellipsis to identify material having the pattern $\alpha'\kappa \dots \kappa\alpha''$ such that (a) the “...” in the pattern corresponds to the given ellipsis; (b) each of $\alpha'\kappa$ and $\kappa\alpha''$ is maximal (as long as possible), is balanced, and contains no ellipsis; (c) all the material lies within the span of any overline or underline that is above or below the given ellipsis; and (d) there exist α and p and q such that x occurs at least once in α , and $p \neq q$, and the result of replacing every occurrence of x with p in α is α' , and the result of replacing every occurrence of x with q in α is α'' , and p and q are minimal balanced substrings (or subexpressions) of the assertion language. (Note that κ may be empty.) If such material is identified, replace it with $\overline{\alpha}^{p \leq x \leq q}$ if κ is empty or with $\overline{\alpha}^{\boxed{\kappa}}^{p \leq x \leq q}$ if κ is not empty, and the attempt succeeds.

To attempt a left-only single-ellipsis replacement with respect to a given ellipsis: Examine the tokens to the left of the ellipsis to identify material having the pattern $\alpha'\kappa\alpha''\kappa \dots$ such that (a) the “...” in the pattern corresponds to the given ellipsis; (b) each of $\alpha'\kappa\alpha''\kappa$ is maximal, is balanced, and contains no ellipsis; (c) all the material lies within the span of any overline or underline that is above or below the given ellipsis; and (d) there exists α such

⁴ Other patterns of ellipsis usage, such as “ x_1, \dots ” and “ x_1, x_2, \dots, x_n ” and “ $x_1, x_2, \dots, x_{n-1}, x_n$ ” may easily be interpreted in a similar manner. We omit the handling of such additional patterns for lack of space, but may include them in the final paper.

that x occurs at least once in α , and the result of replacing every occurrence of x with 1 in α is α' , and the result of replacing every occurrence of x with 2 in α is α'' . (Note that κ may be empty.) If such material is identified, replace it with $\overline{\alpha}$ if κ is empty or with $\overline{\alpha}^{\boxed{\kappa}}$ if κ is not empty, and the attempt succeeds.

To attempt a double-ellipsis replacement with respect to a given ellipsis: Let x and y be fresh variables, and examine the tokens to the left and right of the ellipsis to identify material having the pattern $\alpha' \dots \alpha''\omega\gamma'' \dots \gamma'$ (note that γ'' precedes γ') such that (a) the material is balanced, the first “...” in the pattern corresponds to the given ellipsis and the second “...” in the pattern corresponds to another ellipsis of the same kind; (b) each of α' and α'' is maximal, is left-enclosing, and contains no ellipsis, and each of γ' and γ'' is maximal, is right-enclosing, and contains no ellipsis, and ω is balanced and contains no ellipsis; (c) all the material lies within the span of any overline or underline that is above or below the given ellipsis; and (d) there exist α or γ and p and q such that x occurs at least once in either α or γ , and $p \neq q$, and the result of replacing every occurrence of x with p in α is α' , and the result of replacing every occurrence of x with q in α is α'' , and the result of replacing every occurrence of x with p in γ is γ' , and the result of replacing every occurrence of x with q in γ is γ'' , and p and q are minimal balanced substrings (or subexpressions) of the assertion language. If such material is identified, replace it with $\overline{\alpha\omega\gamma}^{p \leq x \leq q}$, and the attempt succeeds.

Make implicit indices explicit. Repeat the following sentence until the context contains no plain overline (an overbar or overharpoon with no explicit variable binding): For some plain overline cluster in the context that has no plain overline above it, do five things: (1) choose a fresh variable i ; (2) for every monogram m that is under that plain overline and has no underline below it, attach i to m as an additional subscript; (3) within the span of the plain overline, identify every underline cluster that has no other underline below it; (4) replace each underline cluster identified in step (3) with the material it contains; (5) add the variable binding i to the plain overline (thereby making it no longer plain).

It is an error if the context now contains any underlines.

Normalize separators. For every overline cluster in the context, if it has an explicit separator that is a common token, replace it with a boxed cluster containing that common token.

For every overline cluster in the context, if the overline is an overbar and the overline cluster has no explicit separator, then add an explicit separator that is a boxed cluster containing a single comma token. If there is an object-language comma that is different from the assertion-language comma token, and either (1) there is an object-language comma or left encloser immediately to the left of the overline cluster, or (2) there is an object-language comma or right encloser immediately to the right of the overline cluster, or (3) the overline cluster appears in a BNF alternative, then the single comma token shall be an object-language comma, and otherwise an assertion-language comma.⁵

At this point, every overline cluster for which the overline is an overbar has an explicit separator that is a boxed cluster.

Normalize variable bindings. For every overline in the context, if its variable binding is of the form $i < n$, replace it with $1 \leq i < n$; if of the form $i \leq n$, replace it with $1 \leq i \leq n$; if of the form $n > i$, replace it with $n > i \geq 1$; if of the form $n \geq i$, replace it with $n \geq i \geq 1$; if of the form $i \in p..q$, replace it with $p \leq i \leq q$.

At this point, every overline cluster has a variable binding that has one of the nine forms $i, p \leq i \leq q, p \leq i < q, p < i \leq q,$

⁵ This rule is context-sensitive. We explored context-free rules for deciding which comma to use and found that none covered all cases of interest.

$p < i < q, p \geq i \geq q, p \geq i > q, p > i \geq q, p > i > q$. Bindings of the first five forms are called *upward* bindings; bindings of the last four forms are called *downward* bindings. In all nine cases we say that i is the bound variable.

Create repetitions. Let \overline{e} denote (the decimal representation of) the integer value of the expression e . Repeat the following sentence until the context contains no overline: For some overline cluster in the context that has an overbar for its overline and has no overline above it, do five things: (1) freely choose an integer b ; (2) if the overline cluster has no multiplicity marker, freely choose a nonnegative integer ℓ , or if the overline cluster has a multiplicity marker $+$, freely choose a positive integer ℓ , or if the overline cluster has a multiplicity marker $?$, freely choose ℓ to be either 0 or 1;⁶ (3) if the variable binding of the overline is of the form i , then do three things: (a) choose a fresh variable n ; (b) for every occurrence of i within the material below the overline, if it occurs as a subscript within an indexed monogram m and the result of removing that occurrence and all following subscripts from m results in a monogram m' , then add⁷ the pair (m, n) to P ; (c) replace the variable binding i with $1 \leq i \leq n$; (4) replace the overline cluster with ℓ consecutive copies of the material within the overline, where within the first copy (if any) i is everywhere replaced by \overline{b} , within the second copy (if any) i is everywhere replaced by $\overline{b+1}$ (if the binding is an upward binding) or $\overline{b-1}$ (if the binding is a downward binding), and in general within the j th copy (if any) i is everywhere replaced by $\overline{b-1+j}$ (if the binding is an upward binding) or $\overline{b+1-j}$ (if the binding is a downward binding), so that within the last copy (if any) i is everywhere replaced by $\overline{b-1+\ell}$ (if the binding is an upward binding) or $\overline{b+1-\ell}$ (if the binding is a downward binding), and where if $\ell > 1$ then adjacent copies of the material within the overline are separated by copies of the material within the boxed cluster that is the explicit separator of the overline cluster; (5) add to C two constraints, depending on the form of the variable binding, according to the following table:

binding form	the two constraints to be added to C	
$p < i < q$	p equals $\overline{b-\ell}$	q equals $\overline{b+\ell}$
$p < i \leq q$	p equals $\overline{b-1}$	q equals $\overline{b+\ell-1}$
$p \leq i < q$	p equals \overline{b}	q equals $\overline{b+\ell}$
$p \leq i \leq q$	p equals \overline{b}	q equals $\overline{b+\ell-1}$
$p > i > q$	p equals $\overline{b+1}$	q equals $\overline{b-\ell}$
$p > i \geq q$	p equals $\overline{b+1}$	q equals $\overline{b-\ell+1}$
$p \geq i > q$	p equals \overline{b}	q equals $\overline{b-\ell}$
$p \geq i \geq q$	p equals \overline{b}	q equals $\overline{b-\ell+1}$

Overline clusters are handled in a similar manner (we omit the details for lack of space, but may include them in the final paper).

Create length constraints. For all (m, n) in P and all (m', n') in P , if m and m' are the same monogram and the associated variables n and n' are not the same variable, then add to C a constraint⁸ that the value of n must equal the value of n' . (Once this is done, P is no longer needed.)

Add constraints to context. The set of equality constraints C is implicitly added to the expansion of the entire context. If the

⁶The number of copies ℓ is freely chosen, and then constraints are added to ensure that this choice ℓ satisfies any stated bounds. In this way, the process of expanding repetitions does not rely on the semantics of the assertion-language expressions that denote the bounds; instead, interpretation of such expressions is deferred until after the expansion process is complete.

⁷Adding (m, n) to P may eventually result in creating constraints equating n to other variables, each of which also represents the number of copies produced by expanding an overline cluster. These constraints implement the “spooky action at a distance” aspect of the overline notation.

⁸Spooky!

context is an inference rule template, then the constraints may be considered to be additional premisses; because an inference rule has no effect if any of its premisses is not valid, it is as if expansions for which the constraints are not satisfied are never produced at all. If the context is an alternative of a BNF production, then when expanding a nonterminal, an expansion of that alternative may be chosen only if the constraints are satisfied; it is as if expansions for which the constraints are not satisfied are not present at all. If the context is a declarative sentence or paragraph of text, then the claims of that sentence or paragraph should be regarded as true only for expansions for which the constraints are satisfied; it is as if expansions for which the constraints are not satisfied do not occur in the text.

5.2.2 Expand BNF Nonterminals and Other Symbols

If the context is not a BNF alternative, then consider the set of all distinct tokens in the context such that each such token is either a BNF nonterminal or a monogram (possibly both). For each one: (1) if it is a BNF nonterminal, then freely choose some phrase of the object language generated by that nonterminal; (2) if it is not a BNF nonterminal but is a monogram that matches at least one BNF nonterminal, then freely choose some phrase of the object language generated by the nonterminal that is the best match for the monogram (it is an error if there is no best match); (3) if it is a monogram that does not match any BNF nonterminal, then choose (a copy of) the monogram itself as its “freely chosen phrase.”

A phrase of the object language is generated by a BNF nonterminal (call it α), if it can be produced by an instance of the following process that terminates after a finite number of steps: (1) first freely choose a production that has the nonterminal on its left-hand side and has at least one alternative whose constraints are satisfied; (2) then freely choose some alternative from that production whose constraints are satisfied; (3) then replace each nonterminal in the token sequence of the alternative with a freely chosen phrase generated by that nonterminal (thus this is a recursive process)—the result is a phrase freely chosen for α .

5.2.3 Perform Substitutions

For every occurrence in the context of a substitution notation (say $e[v_1/x_1, \dots, v_n/v_n]$), replace each of e and each v_i and each x_i with the result of replacing each BNF nonterminal or monogram within it by the phrase freely chosen for it in the previous step. Then perform the indicated capture-avoiding substitution using the corresponding results, and finally use the result to replace that occurrence of the substitution notation within the context.

For every occurrence of the don’t-care symbol “ $_$ ” in the context, replace it with a freely chosen balanced sequence of object-language tokens that contains no unenclosed comma tokens.

Delete the token “ \bullet ” everywhere it occurs within the context.

The result is a completely expanded instance of the context.

6. Examples

We believe that our metanotation gives the intended interpretation to the following example [P07D, Fig. 3], which uses ellipses both between assertions and within an assertion:

$$\frac{\Gamma \vdash v : \delta \quad \Gamma, x_1 : \tau_1 \vdash e_1 : \tau \quad \cdots \quad \Gamma, x_n : \tau_n \vdash e_n : \tau}{\Gamma \vdash \text{match } v \text{ with } (\overline{C}_1 x_1 \rightarrow e_1 \mid \cdots \mid \overline{C}_n x_n \rightarrow e_n) : \tau}$$

but also allows further abbreviation using overline notation (and we choose to rename τ to τ' for clarity):

$$\frac{\Gamma \vdash v : \delta \quad \delta = \overline{C} \text{ of } \tau' \quad \overline{\Gamma}, x : \tau' \vdash e : \tau'}{\Gamma \vdash \text{match } v \text{ with } (\overline{C} x \rightarrow e) : \tau'}$$

and if we don't like the look of that explicit separator “ \vdash ” then we can write it this way, using a left-only ellipsis:

$$\frac{\Gamma \vdash v : \delta \quad \delta = C_1 \text{ of } \tau_1 \mid C_2 \text{ of } \tau_2 \mid \dots \quad \overline{\Gamma, x : \tau \vdash e : \tau'}}{\Gamma \vdash \text{match } v \text{ with } (C x \rightarrow e) : \tau'}$$

One paper [P09E, §4.1] explains “We use the notation \bar{a} for both the list a_1, \dots, a_n and the set $\{a_1, \dots, a_n\}$, for $n \geq 0$. We abbreviate terms with list subterms in the obvious way, e.g., $\overline{T} \bar{x}$ stands for $T_1 x_1, \dots, T_n x_n$, $T \setminus \overline{M}$ stands for $T \setminus M_1 \setminus \dots \setminus M_n$, and $p.\overline{S}$ stands for $p.S_1, \dots, p.S_n$.” But it is not obvious on syntactic grounds alone why $T \setminus \overline{M}$ should not stand for $T \setminus M_1, \dots, T \setminus M_n$, or $p.\overline{S}$ for $p.S_1 \dots S_n$. The metanotation we propose allows one to write $\overline{T \setminus M}$ for $T \setminus M_1 \setminus \dots \setminus M_n$ and $\overline{p.S}$ for $p.S_1, \dots, p.S_n$.

Another paper [P16L, §3.3] states “We write [for $\bar{z} < \bar{e} \rightarrow E$] short for [for $z_1 < e_1 \rightarrow \dots$ [for $z_n < e_n \rightarrow E$] \dots], and $E[\bar{z}]$ for $E[z_1] \dots [z_n]$.” There are fine *ad hoc* notations when well explained (as here), but such patterns are also easily captured by our harpoon overline notation as [for $z < e \rightarrow \overline{E}$] and $\overline{E}[z]$ (or perhaps $E[\overline{z}]$), and moreover the syntactic process we present in §5.2 provides appropriate interpretations for the ellipsis forms [for $z_1 < e_1 \rightarrow \dots$ [for $z_n < e_n \rightarrow E$] \dots] and $E[z_1] \dots [z_n]$.

A good example of double ellipses: “We write $\delta(q, \mathcal{D}(t_i, p_i))$ for $\delta(\dots(\delta(q, \mathcal{D}(t_1, p_1)), \dots), \mathcal{D}(t_n, p_n))$.” [P02H, §6.1] (Note the use of the index variable i with the overline, but with no explicit indication that i is bound.) Using harpoons, we write $\overline{\delta(\overline{q}, \mathcal{D}(t_i, p_i))}$ for $\delta(\dots(\delta(q, \mathcal{D}(t_1, p_1)), \dots), \mathcal{D}(t_n, p_n))$.

To answer a question we pose near the end of §3.2: using nested overline notation, we write $\beta = \{(\mathcal{G}_0, \text{null}), (\overline{\mathcal{G}_i, o_i.f_1 \dots f_n})\}$ [P05U, Fig. 5] as $\beta = \{(\mathcal{G}_0, \text{null}), (\overline{\mathcal{G}, \overline{f}})\}$, and we write our alternative example $(\overline{\mathcal{G}_i, o_i.f_1 \dots f_n})$ as $(\overline{\mathcal{G}, \overline{f}})$.

Here is a complex example of nested repetition notation [P14Ψ, Fig. 4]:

$$\frac{C : \Psi \in \Sigma \quad \Psi = \overline{\langle \overline{\alpha : \kappa}. F(\overline{p}) \sim v \rangle}}{\frac{\Sigma; \Delta \vdash_{\text{ty}} \tau : \kappa_i \quad \vdash_{\text{ctx}} \Sigma; \Delta \quad \forall j < i, \text{no.conflict}(\Psi, i, \overline{\tau}, j)}{\Sigma; \Delta \vdash_{\text{co}} C[i] \overline{\tau} : F(\rho_i[\overline{\tau/\alpha_i}]) \sim v_i[\overline{\tau/\alpha_i}]} \text{ CO_AXIOM}}$$

As the authors explain in the text [P14Ψ, §4.3], the free variable i indicates which of the equations in Ψ (the list of equations of axiom C) is to be instantiated. Elsewhere in the text [P14Ψ, §4.1] we see:

Although our notation for lists does not make it apparent, we restrict the form of the equations to require that F refers to only one type family—that is, there are no independent F_i . We use subscripts on metavariables to denote which equation they refer to, and we refer to the types $\overline{\rho_i}$ as the type patterns of the i th equation. We assume that the variables $\overline{\alpha}$ bound in each equation are distinct from the variables bound in other equations.

A little thought then shows that we must regard α , κ , and ρ as two-dimensional (that is, doubly indexed) aggregates, but F is not to be regarded as a vector or sequence, despite the fact that in one place it occurs beneath an overline, and τ must be regarded as one-dimensional, despite the fact that in one place it occurs beneath two overlines. The inference rule is perfectly consistent, but cannot be interpreted on a purely syntactic basis; some understanding of the dimensions or types of the metavariables is required. We believe that the following version, expressed in the metanotation presented in this paper, accurately conveys the intention of that paper's authors, but can be interpreted (that is, correctly expanded) using the purely formal, syntactic process we present in §5.2:

$$\frac{C : \Psi \in \Sigma \quad \Psi = \overline{\langle \overline{\alpha : \kappa}. F(\overline{p}) \sim v \rangle}}{\frac{\Sigma; \Delta \vdash_{\text{ty}} \tau : \kappa_i \quad \vdash_{\text{ctx}} \Sigma; \Delta \quad \forall j < i, \text{no.conflict}(\Psi, i, \overline{\tau}, j)}{\Sigma; \Delta \vdash_{\text{co}} C[i] \langle \overline{\tau} \rangle : F(\rho_i[\overline{\tau/\alpha_i}]) \sim v_i[\overline{\tau/\alpha_i}]} \text{ CO_AXIOM}_i$$

We have added enclosers $\langle \rangle$ where otherwise a concrete-syntax interpretation might differ from an abstract-syntax interpretation. Underlines make explicit where an overline should not attach subscripts (for example, F and Σ and Δ). An overline cluster replaces the notation $\forall j < i$. Finally, an overline over the entire inference rule provides a binding point for the variable i , making clear that this is really a set of inference rules and that they differ according to the value of i (therefore we added a subscript i to the rule label). Because i is used to index α and κ and ρ and v , they are all constrained to have the same length n , and the number of inference rules is also constrained to be n , exactly as desired.

7. Recommendations and Future Work

We make no recommendation to prefer one form of metanotation over another, although we do hope that the one we have outlined will prove attractive. We do, however, strongly recommend to future authors that, whatever notations you use for repetition and especially substitution, do not take them for granted, but explain them carefully to readers. By way of example, here are sentences that we plan to use in future papers; they happen to illustrate our notational preferences, but you can easily use them as models for describing any notation you prefer:

We use $e[v/x]$ to denote the standard capture-avoiding substitution of (a copy of) v for every free occurrence of x within e .

We use $e[v/x]$ to denote the standard capture-avoiding simultaneous substitution of (copies of) v_i for every free occurrence of x_i within e , for all $1 \leq i \leq \#(\overline{x})$.

We use $\sigma[x \rightarrow v]$ to denote a substitution σ' that is identical to σ except that σ' substitutes v for free occurrences of x .

We use $f[x \mapsto v]$ to denote a function f' that is identical to function f except that $f'(x) = v$.

We use $M[x := v]$ to denote a memory M' that is identical to memory M except that $M'[x] = v$.

We use \overline{x} to mean the sequence x_1, \dots, x_n ; more generally, we use *token-sequence* to denote a (possibly empty) comma-separated sequence of copies of the *token-sequence*, where within the i th copy, i is attached as a subscript to every monogram that is not underlined. (A monogram is any single letter, possibly with accents and/or subscripts.)

As for future work: It remains to survey and systematically analyze the use of metanotation in other conference series; we believe the most illuminating would be OOPSLA, ICFP, and PLDI. It would be also interesting to trace the development of changes in metanotation notation by examining the connections among papers, including common co-authors, institutional influence, and bibliographic citation; such considerations were beyond the scope of this paper. There may be other useful ways to extend the metanotation presented here, including the accommodation of other patterns for using ellipses. In this paper we primarily used English as the metanotation, but we should explore using the metanotation itself to define its own syntax and semantics, in the style of one of Reynolds' metacircular definitional interpreters [8]. Finally, there are great opportunities for mechanizing the metanotation, one possible goal being to produce appropriate input for theorem provers such as Coq; one line of research [10, P12Ξ, P15V] has already taken steps in this direction.

Note to reviewers: As required by the 2017 POPL call for papers, our paper is no more than 12 pages in length, excluding the bibliography, in (at least) 9pt format. We have done our best to format the bibliography so as to minimize the total number of pages while maximizing its usefulness.

We are aware that many of the bibliographic entries are in bad shape. That's because we took the BIB_TE_X entries for all the POPL papers straight off the ACM Digital Library website. We are working to clean them up to acceptable standards by comparing them to the original paper proceedings, and expect to complete the process well before the author response period. (We regard this as the normal process that any author must go through to clean up third-party BIB_TE_X data; it's just that this time we need to clean up over 600 of them.)

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