

λ -Calculus

General Recursion and Polymorphism

陳亮廷 Chen, Liang-Ting

Formosan Summer School on Logic, Language, and Computation (FLOLAC) 2022

Institute of Information Science, Academia Sinica

PCF— System of Recursive Functions

PCF: λ_{\rightarrow} with naturals and general recursion

Definition 1 (Terms)					
Additional term formation rules are added to λ_{\rightarrow} as follows.					
		M:Ter	MPCF		
zero:Term _{PCF}		suc M : T			
L: Term _{PCF}	M:Term _{PCF}		$x \in V$		
L:Term _{PCF}	M:Term _{PCF} ifz(M;x.		$x \in V$		
L:Term _{PCF}			$x \in V$		
L:Term _{PCF}			<i>x</i> ∈ <i>V</i>		
L:Term _{PCF}	ifz(M;x.	N) L $x \in V$	<i>x</i> ∈ <i>V</i>		

PCF: Typing rules

Definition 2

Additional term typing rules are added to λ_{\rightarrow} as follows.

 $\frac{\Gamma \vdash M : \mathbb{N}}{\Gamma \vdash \operatorname{suc} M : \mathbb{N}}$ $\frac{\Gamma \vdash L : \mathbb{N} \quad \Gamma \vdash M : \tau \quad \Gamma, x : \mathbb{N} \vdash N : \tau}{\Gamma \vdash \operatorname{ifz}(M; x. N) L : \tau}$ $\frac{\Gamma, x : \tau \vdash M : \tau}{\Gamma \vdash \operatorname{fix} x. M : \tau}$

- Substitution for **PCF** is defined similarly.
- Substitution respects typing judgements, i.e. $\Gamma \vdash N : \tau$ and $\Gamma, x : \tau \vdash M : \sigma$, then $\Gamma \vdash M[N/x] : \sigma$.

β -conversion for PCF is extended with three rules

$$fix x. M \longrightarrow_{\beta} M[fix x. M/x]$$
$$ifz(M; x. N) \text{ zero } \longrightarrow_{\beta} M$$
$$ifz(M; x. N) (suc L) \longrightarrow_{\beta} N[L/x]$$

Similarly, a β -reduction $\longrightarrow_{\beta_1}$ extends \longrightarrow_{β} to all parts of a term and $\longrightarrow_{\beta_*}$ indicates finitely many β -reductions.

Theorem 3 PCF enjoys type safety.

Example

A term which never terminates can be defined easily.

fix X.X	$\longrightarrow_{\beta 1} x[\texttt{fix} x. x/x]$
$\equiv fix x.x$	$\longrightarrow_{\beta 1} x[\texttt{fix} x. x/x]$
$\equiv fix x. x$	$\longrightarrow_{\beta 1} x[\texttt{fix} x. x/x]$
≡	

```
pred := \lambda n : \mathbb{N}. ifz(zero; x. x) n \qquad : \mathbb{N} \to \mathbb{N}not := \lambda n : \mathbb{N}. ifz(suc zero; x. zero) n \qquad : \mathbb{N} \to \mathbb{N}
```

Exercise

Evaluate the following terms to their normal forms.

- 1. pred zero
- 2. pred (suc (suc (suc zero)))
- 3. not (suc (suc zero))

F — Polymorphic Typed λ -Calculus

Given type variables \mathbb{V} , τ : **Type** is defined by defined by

$$\frac{t \in \mathbb{V}}{t: \mathsf{Type}} \text{ (tvar)}$$

$$\frac{\sigma:\mathsf{Type}}{\sigma\to\tau:\mathsf{Type}} \xrightarrow{\tau:\mathsf{Type}} (\mathsf{fun})$$

$$\frac{\sigma: \mathsf{Type} \quad t \in \mathbb{V}}{\forall t. \, \sigma: \mathsf{Type}} \text{ (poly)}$$

where t may or may not appear in σ .

The polymorphic type $\forall t. \sigma$ provides a generic type for every instance $\sigma[\tau/t]$ whenever t is instantiated by an actual type τ .

Examples

- $\mathsf{id}: \forall t. t \to t$
- $proj_1 : \forall t. \forall u. t \rightarrow u \rightarrow t$
- $proj_2 : \forall t. \forall u. t \rightarrow u \rightarrow u$
- length : $\forall t. list t \rightarrow nat$
- singleton : $\forall t.t \rightarrow \texttt{list}(t)$

Free and bound variables, again

Definition 4

The *free variable* $FV(\tau)$ of τ is defined inductively by

$$FV(t) = t$$

$$FV(\sigma \to \tau) = FV(\sigma) \cup FV(\tau)$$

$$FV(\forall t. \sigma) = FV(\sigma) - \{t\}$$

For convenience, the function extends to contexts:

 $\mathsf{FV}(\Gamma) = \{ t \in \mathbb{V} \mid \exists (x : \sigma) \in \Gamma \land t \in \mathsf{FV}(\sigma) \}.$

1.
$$FV(t_1) = \{t_1\}.$$

2. $FV(\forall t. (t \rightarrow t) \rightarrow t \rightarrow t) = \emptyset.$
3. $FV(x : t_1, y : t_2, z : \forall t. t) = \{t_1, t_2\}.$

Capture-avoiding substitution for type

Definition 5

The (capture-avoiding) substitution of a type ρ for the free occurrence of a type variable t is defined by

$$t[\rho/t] = \rho$$

$$u[\rho/t] = u \qquad \text{if } u \neq t$$

$$(\sigma \to \tau)[\rho/t] = \sigma[\rho/t] \to \tau[\rho/t]$$

$$(\forall t.\sigma)[\rho/t] = \forall t.\sigma$$

$$(\forall u.\sigma)[\rho/t] = \forall u.\sigma[\rho/t] \qquad \text{if } u \neq t, u \notin \mathsf{FV}(\rho)$$

Recall that $u \notin FV(\rho)$ means that u is fresh for ρ .

Typed terms

Definition 6

On top of λ_{\rightarrow} , **F** has additional term formation rules as follows.

$$\frac{M: \operatorname{Term}_F \quad t: \mathbb{V}}{\Lambda t. M: \operatorname{Term}_F} (gen)$$

$$\frac{M: \operatorname{Term}_{F} \quad \tau: \operatorname{Type}}{M \ \tau: \operatorname{Term}_{F}}$$
(inst)

- 1. At. M for type abstraction, or generalisation.
- 2. M τ for type application, or instantiation.

Example

Suppose length : $\forall t. list t \rightarrow nat.$

Then,

- 1. length nat
- 2. length bool
- 3. length (nat \rightarrow nat)

are instances of length with types

- 1. list nat \rightarrow nat
- 2. list bool \rightarrow nat
- 3. list (nat \rightarrow nat) \rightarrow nat

A type context is a sequence of type variable

 t_1, t_2, \ldots, t_n

F has two kinds of typing judgements.

- + $\Delta \vdash \tau$ for τ for a valid type under the type context Δ
- Δ ; $\Gamma \vdash M : \tau$ for a well-typed term under the context Γ and the type context Δ .

For example,

$$t\vdash t\to t$$

is a judgement that $t \rightarrow$ is a valid type under the type context, t.

System F: Type formation

The justification of $\Delta \vdash \tau$ is constructed inductively by following rules.

$\frac{t \text{ occurs in } \Delta}{\Delta \vdash t}$	$\frac{\Delta, t \vdash \tau}{\Delta \vdash \forall t. \tau}$
$\frac{\Delta \vdash \tau_1 \Delta \vdash \tau_2}{\Delta \vdash \tau_1 \to \tau_2}$	

Exercise

Derive the judgement

 $t\vdash t\to t$

System F: Typing rules

The justification of Δ ; $\Gamma \vdash M : \sigma$ is defined inductively by following rules.

$$\frac{x: \sigma \in \Gamma}{\Delta; \Gamma \vdash x: \sigma} \qquad \qquad \frac{\Delta, t; \Gamma \vdash M: \sigma}{\Delta; \Gamma \vdash X: \sigma} \quad (\forall \text{-intro})$$

$$\frac{\Delta; \Gamma \vdash M: \sigma \to \tau \quad \Delta; \Gamma \vdash N: \sigma}{\Delta; \Gamma \vdash MN: \tau}$$

$$\frac{\Delta \vdash \sigma \quad \Delta; \Gamma, x: \sigma \vdash M: \tau}{\Delta; \Gamma \vdash \lambda x: \sigma. M: \sigma \to \tau} \quad \frac{\Delta; \Gamma \vdash M: \forall t. \sigma \quad \Delta \vdash \tau}{\Delta; \Gamma \vdash M \tau: \sigma[\tau/t]} \quad (\forall \text{-elim})$$

For convenience, $\vdash M : \tau$ stands for $\cdot; \cdot \vdash M : \tau$.

The typing judgement $\vdash \Lambda t. \Lambda u. \lambda(x : t)(y : u). x : \forall t. \forall u. t \rightarrow u \rightarrow t$ is derivable from the following derivation:

	$t, u \vdash u$	$t, u; x: t, y: u \vdash x: t$		
$t, u \vdash t$	t, u; x : t	$\vdash \lambda(y:u). x: u \to t$		
$t, u; \cdot \vdash \lambda(x:t)(y:u). \ x: t \to u \to t$				
$t; \cdot \vdash \Lambda u. \lambda(x:t)(y:u). x: \forall u. t \rightarrow u \rightarrow t$				
$\overline{\vdash \Lambda t. \Lambda u. \lambda(x:t)(y:u). x: \forall t. \forall u. t \rightarrow u \rightarrow t}$				

Self-application is not typable in simply typed λ -calculus.

 $\lambda(x:t).xx$

However, self-application is possible in System F.

 $\lambda(x: \forall t.t \rightarrow t). x (\forall t.t \rightarrow t) x$

Exercise

Instantiate the first *t* with the type $\forall t. t \rightarrow t$.

Exercise

Derive the following judgements:

1.
$$\vdash \Lambda t. \lambda(x:t). x: \forall t. t \rightarrow t$$

2.
$$\sigma$$
; $a : \sigma \vdash (\Lambda t. \lambda(x : t)(y : t).x) \sigma a : \sigma \rightarrow \sigma$

3. $\vdash \Lambda t. \lambda(f: t \to t)(x: t). f(fx): \forall t. (t \to t) \to t \to t$

Hint. F is syntax-directed, so the type inversion holds.

The β -conversion has two rules

 $(\lambda(x:\tau), M) N \longrightarrow_{\beta} M[x/N]$ and $(\Lambda t, M) \tau \longrightarrow_{\beta} M[\tau/t]$

For example,

$$(\Lambda t.\lambda x:t.x) \tau a \longrightarrow_{\beta} (\lambda x:t.x)[\tau/t] a \equiv (\lambda x:\tau.x) a \longrightarrow_{\beta} x[a/x] \equiv a$$

Similarly, β -conversion extends to subterms of a given term, introducing symbols $\longrightarrow_{\beta_1}$ and $\longrightarrow_{\beta_*}$ in the same way.

Sum type

Definition 7

The sum type is defined by

$$\sigma + \tau := \forall t. (\sigma \to t) \to (\tau \to t) \to t$$

It has two injection functions: the first injection is defined by

$$left_{\sigma+\tau} := \lambda(x:\sigma). \ \Lambda t. \ \lambda(f:\sigma \to t)(g:\tau \to t). f x$$

right_{\sigma+\tau} := $\lambda(y:\tau). \ \Lambda t. \ \lambda(f:\sigma \to t)(g:\tau \to t). g y$

Exercise

Define

$$\texttt{either}: \forall u. \, (\sigma \to u) \to (\tau \to u) \to \sigma + \tau \to u$$

Product type

Definition 8 (Product Type)

The product type is defined by

$$\sigma \times \tau := \forall t. (\sigma \to \tau \to t) \to t$$

The pairing function is defined by

$$\langle _, _ \rangle := \lambda(x : \sigma)(y : \tau). \Lambda t. \lambda(f : \sigma \to \tau \to t). f x y$$

Exercise

Define projections

 $\operatorname{proj}_1: \sigma \times \tau \to \sigma$ and $\operatorname{proj}_2: \sigma \times \tau \to \tau$

Natural numbers i

The type of Church numerals is defined by

 $\mathsf{nat} := \forall t. (t \to t) \to t \to t$

Church numerals

 $\mathbf{c}_n : \mathsf{nat}$ $\mathbf{c}_n := \Lambda t. \ \lambda(f: t \to t) \ (x: t). \ f^n \ x$

Successor

suc : nat \rightarrow nat suc := $\lambda(n : nat)$. At. $\lambda(f : t \rightarrow t)(x : t) \cdot f(n t f x)$

Natural numbers ii

Addition

$$\begin{split} \mathsf{add}:\mathsf{nat}\to\mathsf{nat}\to\mathsf{nat}\\ \mathsf{add}:=\lambda(n:\mathsf{nat})\,(m:\mathsf{nat})\quad & \mathsf{\Lambda t.}\,\lambda(f:t\to t)\,(x:t).\\ & (m\,t\,f)\,(n\,t\,f\,x) \end{split}$$

Multiplication

Conditional

 $\label{eq:mul:nat} \begin{array}{l} \mathsf{mul}: \mathsf{nat} \to \mathsf{nat} \to \mathsf{nat} \\ \mathsf{mul}:= ? \\ \\ \texttt{ifz}: \forall t.\, \mathsf{nat} \to t \to t \to t \end{array}$

ifz := ?

Natural numbers iii

System F allows us to define *iterator* like **fold** in Haskell.

```
\begin{aligned} & \texttt{fold}_{\texttt{nat}} : \forall t. \, (t \to t) \to t \to \texttt{nat} \to t \\ & \texttt{fold}_{\texttt{nat}} := \Lambda t. \, \lambda(f: t \to t)(e_0: t)(n: \texttt{nat}).n \, t \, f \, e_0 \end{aligned}
```

Exercise

Define add and mul using $fold_{nat}$ and justify your answer.

1. $add' := ? : nat \rightarrow nat \rightarrow nat$

2. $mul' := ? : nat \rightarrow nat \rightarrow nat$

Lists

Definition 9

For any type σ , the type of lists over σ is

$$\texttt{list}\,\sigma := \forall t.\, t \to (\sigma \to t \to t) \to t$$

with "list constructors":

$$\operatorname{nil}_{\sigma} := \operatorname{At.}\lambda(h:t)(f: \sigma \to t \to t).h$$

and

$$cons_{\sigma} := \lambda(x : \sigma)(xs : list \sigma). \Lambda t. \lambda(h : t)(f : \sigma \to t \to t). fx(xs t h f)$$

of type $\sigma \to list \sigma \to list \sigma$.

Type erasure

Definition 10

The erasing map is a function defined by

|x| = x $|\lambda(x : \tau). M| = \lambda x. |M|$ |M N| = (|M| |N|) $|\Lambda t. M| = |M|$ $|M \tau| = |M|$

Proposition 11

Within System F, if $\vdash M : \sigma$ and $|M| \longrightarrow_{\beta 1} N'$, then there exists a well-typed term N with $\vdash N : \sigma$ and |N| = N'.

Type safety and normalisation

Theorem 12 (Type safety)

Suppose $\vdash M : \sigma$. Then,

1. $M \longrightarrow_{\beta 1} N \text{ implies} \vdash N : \sigma;$

2. M is in normal form or there exists N such that $M \longrightarrow_{\beta 1} N$

Type safety is proved by induction on the derivation of $\vdash M : \sigma$.

Theorem 13 (Normalisation properties) F enjoys the weak and strong normalisation properties.

Proved by Girard's reducibility candidates.

What functions can you write for the following type?

 $\forall t. t \rightarrow t$

Since *t* is arbitrary, we cannot inspect the content of *t*. What we can do with *t* is simply return it.

Theorem 14

Every term M of type $\forall t. t \rightarrow t$ is observationally equivalent¹ to $\Lambda t. \lambda x : t. x.$

¹The notion of observational equivalence is beyond the scope of this lecture.

Parametricity: Theorems for free²

Assume F extended with the list type list τ for τ and the type \mathbb{N} of naturals, denoted $F_{list,\mathbb{N}}$.

```
Then head \circ map f = f \circ head for any f : \tau \to \sigma where
head : \forall t.list t \to t can be proved by just reading the type of head
and tail!
```

Theorem 15

For any type σ in **F** (with lists) and $\cdot \vdash M : \sigma$, then

 $M \sim M : \mathcal{R}_{\sigma,\sigma}$

²Philip Wadler. 1989. Theorems for free! In *Proceedings of the fourth international conference on Functional programming languages and computer architecture (FPCA* '89). ACM, New York, NY, USA, 347–359.

Theorem 16 (Wells, 1999)

It is undecidable whether, given a closed term M of the untyped lambda-calculus, there is a well-typed term M' in System F such that |M'| = M.

Two ways to retain decidable type inference:

- Limit the expressiveness so that type inference remains decidable. For example, *Hindley-Milner type system* adapted by Haskell 98, Standard ML, etc. supports only a limited form of polymorphism but type inference is decidable.
- 2. Adopt *partial* type inference so that type annotations are needed for, e.g. top-level definitions and local definitions.

Check out bidirectional type inference.

Nameless Representation

Capture-avoiding but ill-defined substitution

The definition of capture-avoiding substitution is not well-defined. Recall that

x[L/x] = L y[L/x] = y if $x \neq y$ (M N)[L/x] = M[L/x] N[L/x] $(\lambda x. M)[L/x] = \lambda x. M$ $(\lambda y. M)[L/x] = \lambda y. M[L/x]$ if $x \neq y$ and $y \notin FV(L)$

The function [L/x]: $Term_V \rightarrow Term_V$ is not total, so it is not an instance of *structural recursion* (i.e. fold). In what sense, is the above well-defined?

- 1. Use *nominal technique* and the notion of α -structure recursion/induction. It requires some elements of group theory.
- 2. Use nameless representation.

Well-Scoped de Bruijn index representation i

An index *i* starting from 0 is used as a variable to represent the *i*-th enclosing λ (binder) 'from the inside out'. For example, a term with named variables

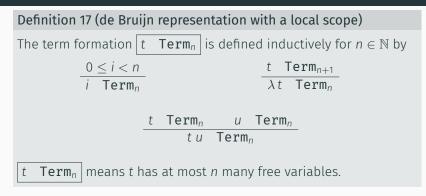
 $\lambda a. \lambda b. (\lambda c. c) (\lambda c. a b)$

becomes

 $\lambda \lambda (\lambda 0) (\lambda 2 1)$

Hint. It may be easier to think of a term in its tree representation.

Well-Scoped de Bruijn index representation ii



Exercise

Translate the following terms to its de Bruijn index representation.

- 1. λx.x
- 2. λs. λz. s z
- 3. λa. λb. a (λc. a b)
- 4. $(\lambda x. x) (\lambda y. y)$
- 5. λx.y
- 6. *x y z*

Substitution, revisited

How to reformulate β -reduction for terms in de Bruijn representation? Consider

```
(\lambda \lambda (\lambda 0) (\lambda 2 1)) t \longrightarrow_{\beta} (\lambda (\lambda 0) (\lambda 2 1)) [t/0]
```

The de Bruijn index increments under a binder so [t/i] should be [t'/i + 1] where t' is the result of incrementing every index in t, e.g.,

$$(\lambda (\lambda 0) (\lambda 2 1))[t/0] = \lambda (\lambda 0)[t'/1] (\lambda 2 1)[t'/1]$$
$$= \lambda (\lambda 0[t''/2]) (\lambda (2 1)[t''/2])$$
$$= \lambda (\lambda 0) (\lambda 2[t''/2] 1[t''/2])$$
$$= \lambda (\lambda 0) (\lambda t'' 1)$$

Simultaneous variable renaming

Definition 18

A (variable) renaming is a function ρ between \mathbb{Z}_n and \mathbb{Z}_m .

Every renaming $\rho \colon \mathbb{Z}_n \to \mathbb{Z}_m$ extends to an action on terms:

$$\langle \rho \rangle i = \rho(i) \langle \rho \rangle (t u) = \langle \rho \rangle t \langle \rho \rangle u \langle \rho \rangle \lambda t = \lambda \langle \rho' \rangle t$$

where $\rho' \colon \mathbb{Z}_{n+1} \to \mathbb{Z}_{m+1}$ is defined as

$$\rho'(0) = 0$$
$$\rho'(1+i) = 1 + \rho(i)$$

to avoid changing bound variables.

In particular, $wk: \operatorname{Term}_n \to \operatorname{Term}_{n+1}$ derived by $i \mapsto i+1 \in \mathbb{Z}_{n+1}$ increments every index of a free variable by 1.

Simultaneous substitution

Definition 19

A (simultaneous) substitution is a function σ from \mathbb{Z}_n to **Term**_m.

Every substitution extends to an action terms:

$$\langle \sigma \rangle i = \sigma(i) \langle \sigma \rangle (t u) = \langle \sigma \rangle t \langle \sigma \rangle u \langle \sigma \rangle \lambda t = \lambda \langle \sigma' \rangle t$$

where $\sigma' \colon \mathbb{Z}_{n+1} \to \operatorname{Term}_{m+1}$ is defined as

 $\sigma'(0) = 0$ $\sigma'(1+i) = wk(\sigma(i))$

Single substitution

Definition 20

A single substitution for t is a simultaneous substitution given by

$$\sigma \colon \mathbb{Z}_{1+n} \to \mathbb{Z}_n$$
$$\sigma(0) = t$$
$$\sigma(1+i) = i$$

Exercise

- 1. Adopt α -equivalence to the de Bruijn representation.
- 2. Adopt β -equivalence to the de Bruijn representation.
- 3. Apply the new definition of substitution to compute **not True**.
- 4. Adopt the definitions of renaming and substitution to the de Bruijn level representation. N.B. we may also count the *i*-th enclosing binder 'from the outside in' using the same definition, called *the de Bruijn level*.

Homework

- 1. (2.5%) Extend **PCF** with the type \mathbb{B} of boolean values with $ifz(M; N) true =_{\beta} M$ and $ifz(M; N) false =_{\beta} N$ including term formation rules, typing rules, and dynamics for \mathbb{B} .
- 2. (2.5%) Define length_{σ} : list $\sigma \rightarrow \text{nat}$ calculating the length of a list in System F.