#### The Functional Machine Calculus

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#### Overview: The Functional Machine Calculus

#### Part I: Confluence for reader/writer effects

- Global state, probabilistic/non-deterministic choice, I/O
- Express both CBN and CBV semantics

#### Part II: Preserves good properties of $\lambda$ -calculus:

- Simple types guarantee strong normalisation
- Cartesian closed categorical semantics (free)
- Domain theoretic semantics

### Problem: Effectful $\lambda$ -calculi are Non-confluent

$$M, N ::= x \mid MN \mid \lambda x.M$$

$$(\lambda x.M)N \to_{\beta} M\{N/x\} \qquad N$$

### Problem: Effectful $\lambda$ -calculi are Non-confluent

#### Part I

Desiderata: a confluent calculus which can express both CBN and CBV semantics of reader/writer effects

Solution: generalize the  $\lambda$ -calculus with

- Sequencing: CBN and CBV translations which preserve operational semantics
- Locations: Effects and higher-order computation unified: operationally, syntactically, equationally (beta)

## $\lambda$ -calculus: Operational Semantics

 $M, N ::= x \mid MN \mid \lambda x.M$ 

$$S ::= \epsilon \mid S \cdot M$$

$$\frac{(S, MN)}{(S \cdot N, M)} = \frac{(S \cdot N, \lambda x \cdot M)}{(S, M\{N/x\})}$$

### $\lambda$ -calculus: $\beta$ -reduction

$$M, N ::=$$
  $x \mid MN \mid \lambda x.M$   $M, N ::=$   $x.\star \mid [N].M \mid \langle x \rangle.M$ 

$$S ::= \epsilon \mid S \cdot M$$

$$\frac{(S, N, M)}{(S \cdot N, M)} = \frac{(S \cdot N, \langle x \rangle \cdot M)}{(S, N, M)}$$

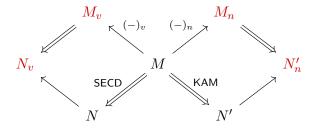
$$[N]. \langle x \rangle. M \rightarrow_{\beta} \{N/x\}M \qquad N \qquad N$$

$$\exists \beta^* \qquad N$$

### Sequential $\lambda$ -calculus: Operational Semantics

$$S ::= \epsilon \mid S \cdot M$$

$$\frac{\left(S, \left[N\right] \cdot M\right)}{\left(S \cdot N, M\right)} = \frac{\left(S \cdot N, \left\langle x \right\rangle \cdot M\right)}{\left(S, \left\{N/x\right\}M\right)}$$



## Sequential $\lambda$ -calculus: $\beta$ -reduction

$$[N]. \langle x \rangle. M \rightarrow_{\beta} \{N/x\}M$$
 $N$ 
 $\exists \beta^*$ 
 $N$ 

## Sequencing and Substitution

#### Capture-avoiding composition or sequencing N; M:

```
\star: M = M
[P]. N ; M = [P]. (N ; M)
  x. N ; M = x. (N ; M)
\langle x \rangle . N ; M = \langle x \rangle . (N ; M)
                                                   x \notin \mathsf{fv}(M)
```

### Capture-avoiding substitution $\{N/x\}M$ :

$$\{P/x\} \star = \star$$

$$\{P/x\} x. M = P; \{P/x\} M$$

$$\{P/x\} y. M = y. \{P/x\} M \qquad x \neq y$$

$$\dots$$

## Sequential $\lambda$ -terms as Stack Transformers

Successful run: 
$$\frac{(S, M)}{(T, \star)}$$

$$\text{if} \quad \frac{\left( \, R \, , \, M \, \right)}{\left( \, S \, , \, \, \star \, \, \right)} \quad \text{and} \quad \frac{\left( \, S \, , \, N \, \, \right)}{\left( \, T \, , \, \, \star \, \, \right)} \quad \text{then} \quad \frac{\left( \, R \, , \, M \, ; \, N \, \, \right)}{\left( \, T \, , \, \, \, \, \star \, \, \right)}$$

Example: Sequential  $\lambda$ -terms

$\langle x \rangle. \langle y \rangle. [x]. [y]. \star$	$\langle x \rangle. \langle y \rangle. [y]. [x]. \star$
$\langle x  angle$	$\langle x \rangle$ . $[x]$ . $[x]$
$\langle x \rangle$ . $[[x]]$	$\langle f  angle.f.f$

## Translating the Call-by-Value $\lambda$ -calculus

$$x_v \triangleq [x] \qquad (\lambda x.M)_v \triangleq [\langle x \rangle. \, M_v] \qquad (MN)_v \triangleq N_v \, ; M_v \, ; \langle x \rangle. \, x$$

E.g.  $(\lambda x.M)N$  translates and runs as:

$$\begin{array}{c|c} (\epsilon & , N_v \, ; [\langle x \rangle.\, M_v] \, ; \langle y \rangle.\, y \,\, ) \\ \hline (N' & , & [\langle x \rangle.\, M_v] \, ; \langle y \rangle.\, y \,\, ) \\ (N' \cdot \langle x \rangle.\, M_v \,\, , & \langle y \rangle.\, y \,\, ) \\ \hline (N' & , & \langle x \rangle.\, M_v \,\, ) \\ (\epsilon & , & \{N'/x\}M_v \,\, ) \end{array}$$

where  $N_n$  returns value N'.

### Sequential $\lambda$ -calculus: Operational Semantics

$$S ::= \epsilon \mid S \cdot M$$

$$\frac{\left(S , [N] \cdot M\right)}{\left(S \cdot N, M\right)} = \frac{\left(S \cdot N, \langle x \rangle \cdot M\right)}{\left(S, \{N/x\}M\right)}$$

## Sequential $\lambda$ -calculus: Operational Semantics

$$S ::= \epsilon \mid S \cdot M$$

$$\frac{\left(S, \left[N\right] \cdot M\right)}{\left(S \cdot N, M\right)} = \frac{\left(S \cdot N, \left\langle x \right\rangle \cdot M\right)}{\left(S, \left\{N/x\right\}M\right)}$$

	Operational	Equational
$-$ @/ $\lambda$	push/pop	β
input		
output		
state		

## Functional Machine Calculus: Operational Semantics

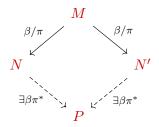
	Operational	Equational
$-$ @ $/\lambda$	push/pop	β
input	pop from read-only stream	$eta\pi$
output	push to write-only stream	$eta\pi$
state	push/pop on stack of depth one	$eta\pi$

 $\beta\pi$ -reduction captures algebraic effect equations

## Functional Machine Calculus: $\beta\pi$ -reduction

$$[N]a. a\langle x\rangle. M \longrightarrow_{\beta} \{N/x\}M$$

$$[N]a. b\langle x\rangle. M \longrightarrow_{\pi} b\langle x\rangle. [N]a. M$$



## Example: Encoding Effects

```
rand set c get c write
\operatorname{rnd}\langle x \rangle. [x] \quad \langle x \rangle. [x]c \quad c\langle x \rangle. [x]c. [x]c. [x] \quad \langle x \rangle. [x] out
\operatorname{rnd}(\mathbb{Z}) \Rightarrow \mathbb{Z} \quad \mathbb{Z} c(\mathbb{Z}) \Rightarrow c(\mathbb{Z}) \quad c(\mathbb{Z}) \Rightarrow c(\mathbb{Z}) \mathbb{Z} \quad \mathbb{Z} \Rightarrow \operatorname{out}(\mathbb{Z})
             (S_A; S_{\lambda} \cdot M; \epsilon_c \cdot N; \langle x \rangle. c \langle \rangle. [x]c.)
             \overline{(\ S_A\ ;\, S_\lambda \qquad ;\, \epsilon_c \cdot N\ ;} \qquad c\langle \_ 
angle. [M]c\ )
            egin{array}{cccc} (S_A \; ; \; S_\lambda & \; ; \; \epsilon_c \; \; ; & \; [M]c \; ) \ (S_A \; ; \; S_\lambda & \; ; \; \epsilon_c \cdot M \; ; & \star \; ) \end{array}
                (S_A; S_{\lambda} ; \epsilon_c \cdot N; c\langle x \rangle. [x]c. [x])
                (S_A; S_{\lambda} ; \epsilon_c ; [N]c.[N])
               (S_A; S_{\lambda} ; \epsilon_c \cdot N; [N])
                (S_A : S_{\lambda} \cdot N : \epsilon_c \cdot N : \star)
```

## Example: Encoding CBN and CBV State

$$a := 3; a := 5 = [3]. \operatorname{set} a. [5]. \operatorname{set} a$$

$$\rightarrow_{\beta} [3]. \langle x \rangle. a \langle \_ \rangle. [x] a. [5]. \langle y \rangle. a \langle \_ \rangle. [y] a$$

$$\rightarrow_{\beta} a \langle \_ \rangle. [3] a. [5]. \langle y \rangle. a \langle \_ \rangle. [y] a$$

$$\rightarrow_{\beta} a \langle \_ \rangle. [3] a. a \langle \_ \rangle. [5] a$$

$$\rightarrow_{\beta} a \langle \_ \rangle. [5] a$$

$$= a := 5$$

$$(a:=3;(\lambda x.!a)(a:=5;M))_n=[3].$$
 set  $a.$   $[[5].$  set  $a.$   $M_n].$   $\langle x \rangle.$  get  $a$ 

$$\rightarrow_{\beta} [3].$$
 set  $a.$  get  $a$ 

$$=a:=3;!a$$

$$(a:=3;(\lambda x.!a)(a:=5;M))_v = [3]. \operatorname{set} a. [5]. \operatorname{set} a. M_v ; [\langle x \rangle. \operatorname{get} a]. \langle f \rangle. f$$

$$\rightarrow_{\beta} [3]. \operatorname{set} a. [5]. \operatorname{set} a. M_v ; \langle x \rangle. \operatorname{get} a$$

$$\rightarrow_{\beta}^* [3]. \operatorname{set} a. [5]. \operatorname{set} a. \operatorname{get} a$$

$$= a := 5; !a$$

#### Part II: Overview

#### Part I: Confluence for reader/writer effects

- Sequencing: express both CBN and CBV behaviour
- Locations: effects and higher-order computation unified: operationally, syntactically, equationally (beta)

#### Part II: Preserving good properties of $\lambda$ -calculus

- Simple types guarantee strong normalisation
- Categorical semantics
- Domain theoretic semantics

## Simply Typed Functional Machine Calculus

$$\tau ::= \overleftarrow{\sigma}_A \Rightarrow \overrightarrow{\tau}_A \mid \alpha \in \Sigma \qquad \overrightarrow{\tau} ::= \tau_n \dots \tau_1 \qquad \overrightarrow{\tau}_A ::= \{ \overrightarrow{\tau}_a \mid a \in A \}$$
$$a_1(\sigma_1) \dots a_n(\sigma_n) \Rightarrow b_1(\tau_1) \dots b_m(\tau_m) \qquad \qquad a(\sigma) \, b(\tau) \sim b(\tau) \, a(\sigma)$$

$$\frac{\Gamma \vdash N \colon \rho \qquad \Gamma \vdash M \colon a(\rho) \ \overleftarrow{\sigma}_A \Rightarrow \overrightarrow{\tau}_A}{\Gamma \vdash \star \colon \overleftarrow{\tau}_A \Rightarrow \overrightarrow{\tau}_A} \ \star \qquad \frac{\Gamma \vdash N \colon \rho \qquad \Gamma \vdash M \colon a(\rho) \ \overleftarrow{\sigma}_A \Rightarrow \overrightarrow{\tau}_A}{\Gamma \vdash [N] a. \ M \colon \overleftarrow{\sigma}_A \Rightarrow \overrightarrow{\tau}_A} \text{ app}$$

$$\frac{\Gamma,\,x\colon\rho\vdash M\colon\tilde{\sigma}_{A}\Rightarrow\vec{\tau}_{A}}{\Gamma\vdash \mathbf{a}\langle x\rangle.\,M\colon a(\rho)\;\tilde{\sigma}_{A}\Rightarrow\vec{\tau}_{A}}\;\mathsf{abs} \qquad \qquad \frac{\Gamma,\,x\colon\tilde{\rho}_{A}\Rightarrow\tilde{\sigma}_{A}\vdash\quad M\colon\tilde{\sigma}_{A}\;\check{\tau}_{A}\Rightarrow\vec{v}_{A}}{\Gamma,\,x\colon\tilde{\rho}_{A}\Rightarrow\tilde{\sigma}_{A}\vdash x.\,M\colon\tilde{\rho}_{A}\;\check{\tau}_{A}\Rightarrow\vec{v}_{A}}\;\mathsf{var}}$$

## Termination and Strong Normalisation

— Theorem : Successful Termination

$$\vdash M : \stackrel{\leftarrow}{\sigma}_A \Rightarrow \stackrel{\rightarrow}{\tau}_A \text{ then } \forall S_A : \stackrel{\rightarrow}{\sigma}_A . \exists T_A : \stackrel{\leftarrow}{\tau}_A . \frac{\left( \begin{array}{cc} S_A & , M \end{array} \right)}{\left( \begin{array}{cc} T_A & , \end{array} \star \right)}$$

— Theorem : Strong Normalisation -

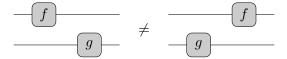
$$\Gamma \vdash M \to_{\beta\pi} M'$$
 implies  $\lfloor \llbracket M \rrbracket \rfloor >_{\mathbb{N}} \lfloor \llbracket M' \rrbracket \rfloor$ 

### Categorical Semantics

- Definition :  $FMC(\Sigma)/$  ??
  - Objects: memory types  $\vec{\tau}_A$  over  $\Sigma_0$ ,
  - Morphisms: closed terms  $M: \overleftarrow{\sigma}_A \Rightarrow \overrightarrow{\tau}_A$  over  $\Sigma_1$ , mod ??
  - Composition: M; N with identity  $\star$

## Categorical Semantics: Pre-monoidal $(\beta \star)$

- Definition :  $FMC(\Sigma)/\beta \star$ 
  - Objects: memory types  $\vec{\tau}_A$  over  $\Sigma_0$ ,
  - Morphisms: closed terms  $M: \overset{\leftarrow}{\sigma}_A \Rightarrow \overset{\rightarrow}{\tau}_A$  over  $\Sigma_1$ , mod  $\beta \star$
  - Composition: M; N with identity  $\star$



## Categorical Semantics: Cartesian Closed $(\sim)$

- Definition :  $FMC(\Sigma)/\sim$ 
  - Objects: memory types  $\vec{\tau}_A$  over  $\Sigma_0$ ,
  - Morphisms: closed terms  $M: \overleftarrow{\sigma}_A \Rightarrow \overrightarrow{\tau}_A$  over  $\Sigma_1$ , mod  $\sim$
  - Composition: M; N with identity  $\star$

— Definition : Machine Equivalence  $(\sim)$  ·

Terms equivalent if equivalent inputs result in equivalent outputs:

$$M \sim M' : \stackrel{\sim}{\sigma}_A \Rightarrow \stackrel{\sim}{\tau}_A \stackrel{\triangle}{=} \forall S_A \sim S'_A : \stackrel{\sim}{\sigma}_A . (S_A, M) \Downarrow \sim (S'_A, M') \Downarrow : \stackrel{\sim}{\tau}_A$$

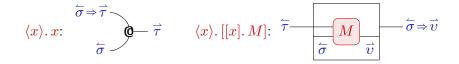
— Theorem : Cartesian Closure

 $\mathsf{FMC}(\Sigma)/\sim$  is Cartesian closed, assuming uniformity of locations.

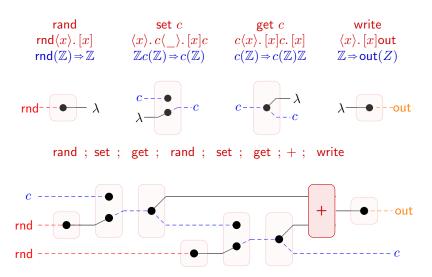
The free functor  $\mathsf{CCC}(\Sigma)$  to  $\mathsf{FMC}(\Sigma)/\sim$  is the CBV translation

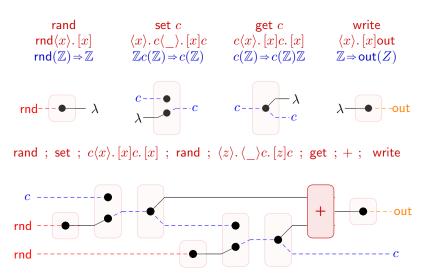
# Cartesian Equipment: String Diagrams

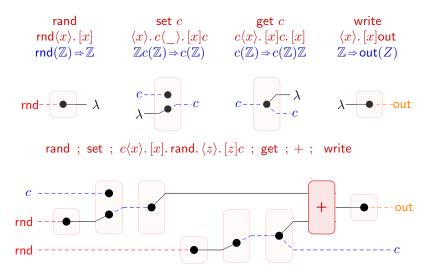
### Cartesian Closed Equipment: String Diagrams



Functorial String Diagrams for Reverse-Mode Automatic Differentiation, Rewriting for Monoidal Closed Categories, Alvarez-Picallo, Ghica, Sprunger, Zanasi







## Categorical Semantics: Free Cartesian Closed $(=_{eqn})$

### - Definition Equational Theory $(=_{eqn})$

## Categorical Semantics: Free Cartesian Closed $(=_{eqn})$

### — Definition Equational Theory $(=_{eqn})$

#### — Theorem : Free Cartesian Closure

 $\mathsf{FMC}(\Sigma)/=_{\mathsf{eqn}} \cong \ \mathsf{CCC}(\Sigma)$ , assuming **uniformity** of locations

## Domain Theory: Extending Scott-style Semantics

Interpret  $[\![-]\!]$  terms in domain D of stack transformers, satisfying domain equation:

$$D \cong D^{\mathbb{N}} \to TD^{\mathbb{N}},$$

**Reflexive**:  $D \cong D \rightarrow D$ 

**Sequencing**:  $D \times D \rightarrow D$  as Kleisli composition

**Locations**: let T be state monad

— Theorem : Soundness -

$$(S, \underline{M}) \Downarrow (T, \underline{N}) \quad \text{implies} \quad [\![\underline{M}]\!] ([\![S]\!]) = [\![\underline{N}]\!] ([\![T]\!])$$

— Theorem : Adequecy -

If  $[\![M]\!]([\![S]\!]) \neq \bot$  then  $\exists T \ . \ (S, \underline{M}) \Downarrow (T, \star)$ 

## Summary and Future Work: Functional Machine Calculus

#### **Summary**

- An operational refinement of  $\lambda$ -calculus; semantically sensible
- Can express both CBN and CBV semantics of reader/writer effects, with confluent reduction
- Preserves good properties: simple types, strong normalisation, categorical and domain theoretic semantics

#### **Future Work**

- Weaker type systems for effects, and non-uniform locations
- Extensions: local state, process calculus, stream processes, sums, co/recursion, ...
- String diagrams: Frobenius, interacting Hopf, ...