## Lambda Encoding, Types and Confluence

#### Peng Fu

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Program as data

- Program as data
- Data as Program?

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- $\triangleright$  2 f a = f(f a).

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- Lambda Calculus

### **Outline**

- Typed Lambda Calculus and Lambda Encoding
- Type Preservation and Confluence
- Limits of Dependent type
- Selfstar
- Summary

### Lambda Calculus

How to describe the *plus one* function.

- $\rightarrow x+1$
- $\xi + 1$  (Frege, Grundgesetze der Arithmetik)
- $\hat{x} + 1$  (Principia Mathematica)
- $\hat{x}.x + 1$  (Church)<sup>1</sup>
- $ightharpoonup \wedge x.x + 1$  ( Typewriter)
- $\lambda x.x + 1$  (Modern)
- ► x + 1 v.s.  $\lambda x.x + 1$

<sup>&</sup>lt;sup>1</sup>Come from Barendregt's Impact of Lambda Calculus

#### Lambda Calculus

#### Higher order expression reduction system

- ▶ Terms(expression)  $t := x \mid \lambda x.t \mid t t'$
- ▶ Reduction  $(\lambda x.t)t' \rightarrow_{\beta} [t'/x]t$
- In what sense it is higher order?
- ▶ Bind and free variable are primitives. free variable of  $\lambda x.x$  y is y, x is called bind variable.
- ▶ Variable binding in  $\lambda x.\lambda y.x$   $y \equiv \lambda z.\lambda x.z$  x  $\lambda x.x \equiv \lambda y.y$
- ► Reduction examples:  $(\lambda x.x) \ y \rightarrow_{\beta} y$   $(\lambda x.x) \ y \rightarrow_{\beta} y \ y$ .

#### Lambda Calculus

- To express higher order function
- ▶ Semantically, for an  $a \in A$ ,  $g : (A \rightarrow A) \rightarrow A$ , where  $f \mapsto f(a)$ .
- With Lambda Calculus:

$$g := \lambda y.y \ a$$
  
 $g f \equiv (\lambda y.y \ a) f \rightarrow_{\beta} f \ a$ 

► Function *g* is emulated at the syntactic level.

### **Types**

- Originated from Russell works, later used by Curry, Church and many others.
- Now common in programming language.
- E.g. types in C, java. Central in Ocaml, Haskell.
- ▶ Used to express certain assumptions, e.g. String → int
- The notion of types can be generalized to some sophisticated types, leads to theorem provers like Coq, Agda.

Type is expression to govern the form of lambda term:  $\Gamma \vdash t : T$ 

- ▶ Simple type:  $T ::= X \mid T \rightarrow T'$
- ▶ Context(Environment)  $\Gamma ::= \cdot | \Gamma, x : T$
- Typing

$$\frac{(x:T)\in\Gamma}{\Gamma\vdash x:T}$$
 Var  $\frac{\Gamma,x:T_1\vdash t:T_2}{\Gamma\vdash\lambda x.t:T_1\to T_2}$  Abs

$$\frac{\Gamma \vdash t: T_1 \to T_2 \quad \Gamma \vdash t': T_1}{\Gamma \vdash t \ t': T_2} \ \textit{App}$$

#### Extend simple type:

- ▶ Polymorphic type:  $T ::= ... \mid \forall X : \kappa . T$
- ► Kind: κ ::= \*
- Context: Γ ::= ... | X : κ
- Typing

$$\frac{\Gamma, X: \kappa \vdash t: T}{\Gamma \vdash t: \forall X: \kappa. T} \; \textit{Gen} \quad \frac{\Gamma \vdash t: \forall X: \kappa. T \quad \Gamma \vdash T': \kappa}{\Gamma \vdash t: [T'/X]T} \; \textit{Inst}$$

#### Extends Polymorphic type(System F):

- ▶ Product type(dependent type):  $T ::= ... \mid \Pi x : T.T' \mid T t$
- Kind:  $\kappa ::= * | \xi x : T.\kappa$ .
- Typing

$$\begin{split} &\frac{\Gamma,x:T'\vdash t:T\quad x\in FV(T)}{\Gamma\vdash \lambda x.t:\Pi x:T'.T} \ \textit{Pi} \\ &\frac{\Gamma\vdash t:\Pi x:T'.T\quad \Gamma\vdash t':T'}{\Gamma\vdash t\;t':[t'/x]T} \ \textit{Elim} \\ &\frac{\Gamma\vdash t:[t_1/x]T\quad t_1=_{\beta}t_2}{\Gamma\vdash t:[t_2/x]T} \ \textit{Conv} \end{split}$$

#### Why Dependent Types?

- Curry-Howard correspondent for Γ ⊢ t : T
   Environment > ⊢ < program >:< type >
   Assumptions > ⊢ < proof >:< formula >
- ▶ Type Preservation: If  $\Gamma \vdash t : T$  and  $t \rightarrow_{\beta} t'$ , then  $\Gamma \vdash t' : T$ .
- Strong Normalization:
  If Γ ⊢ t : T, then there is no infinite beta reduction sequence.

## Algebraic Data types

#### An example in Haskell:

```
data Nat = Zero
          Succ Nat
add :: Nat-> Nat -> Nat
add n m = case n of
          Zero -> m
         | Succ p -> add p (Succ m)
data List a = Nil | Cons a (List a)
data Tree = Empty
          | Leaf Int
          | Node Tree Tree
```

## Core Language Design

To support (algebraic) data type, one way is to add data type and pattern matching(to core) as primitive.

- ▶ expression for data type declaration: data T (a<sub>i</sub> : A<sub>i</sub>)<sub>i∈I</sub> : A where {C<sub>i</sub> : A<sub>i</sub>}<sub>i∈I</sub>
- ▶ expression for pattern matching : case a of  $\{C_i(x_1,...x_u) \Rightarrow a\}_{i \in I}$

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- expression for pattern matching : case a of  $\{C_i(x_1,...x_u) \Rightarrow a\}_{i \in I}$
- Now typing rule become:

```
\begin{array}{c} r=n+m \\ x_1\dots x_n\not\in \mathsf{FV}\left(|t''|\right) \\ \mathsf{getArgs}(t')=[w_1,\dots,w_m] \\ \mathsf{buildCtx}(\Delta_2(\mathsf{getHC}(t')))=[y_1:t_1'',\dots,y_n:t_m''] \\ \mathsf{cut}([y_1:t_1'',\dots,y_n:t_m''],\mathsf{buildCtx}(\mathsf{getCType}(t',\mathsf{C},\Delta)))=[x_1:t_1',\dots,x_n:t_n'] \\ \Delta,\Gamma\vdash^{TB}Ht_1t'y(l-\left\{\mathsf{C}:\mathit{getCType}(t',\mathsf{C},\Delta)\right\}:t'' \\ \Delta,\Gamma,x_1:[w_1/y_1]t_1',\dots,x_n:[w_m/y_m]t_n',y:t_1=(\mathsf{C}w_1'\varepsilon_1\dots w_{r\varepsilon_n}')\vdash t_2:t'' \\ \hline \Delta,\Gamma\vdash^{TB}(\mathsf{C}x_1\varepsilon_1'\dots x_n\varepsilon_n'\Rightarrow t_2\mid H)\,t_1\,t'\,y\,l:t'' \end{array} \qquad \mathsf{TB\_Branch}
```

## Core Language Design

Complicate the analysis for core language.

- Type Preservation Proof for Standard ML
- ► The machine-assisted proof of programming language properties, 1996, Ph.D thesis by M. VanInwegen.
- Machine assisted proof by HOL.
- Quoted from abstract: "We were not able to complete the proof of type preservation because it is not true: we found counterexamples."
- In Haskell Core Language <sup>2</sup>: "Case expressions are the most complicated bit of Core."

<sup>&</sup>lt;sup>2</sup>http://hackage.haskell.org/trac/ghc/wiki/Commentary/Compiler/CoreSynType

#### **Scott Numerals**

Scott encoding with Recursive Definition:

### Scott Numerals

Scott encoding with Recursive Definition:

Translate to lambda calculus with recursive definition

```
Zero := \lambda s. \lambda z. z

Succ := \lambda n. \lambda s. \lambda z. s n

add := \lambda n. \lambda m. n (\lambda p.add p (Succ m)) m

pred := \lambda n. n (\lambda p. p) Zero
```

### **Scott Numerals**

- Isn't it great? No primitive data type and pattern matching needed!
- Beta reduction and definition unfolding are enough.
- the catch(or is it?): need recursive type and operation on Scott encoding data can not be typed in polymorphic type system.

$$\frac{\Gamma \vdash t : [\mu X.T/X]T}{\Gamma \vdash t : \mu X.T} \ \textit{Fold} \quad \frac{\Gamma \vdash t : \mu X.T}{\Gamma \vdash t : [\mu X.T/X]T} \ \textit{unFold}$$

Nat  $:= \mu X.(X \to U) \to U \to U$  for any type U.

- $\cdot \vdash \mathsf{add} : \mathsf{Nat} \to \mathsf{Nat} \to \mathsf{Nat}.$
- $\cdot \vdash \mathsf{Zero} : \mathsf{Nat}.$
- $\cdot \vdash \mathsf{Succ} : \mathsf{Nat} \to \mathsf{Nat}.$

#### **Church Numerals**

Idea, 
$$((2f) a) = f(f a)$$
, so  $2 := \lambda f.\lambda a.f(f a)$ .

Church encoding

```
Zero = lam s . lam z . z
Succ n = lam s . lam z . s (n s z)
iterator n f a = n f a
add n m = iterator n Succ m
```

One can see

1 = Succ Zero 
$$\rightarrow_{\beta}^{*} \lambda s. \lambda z. s z$$
  
2 = Succ 1  $\rightarrow_{\beta}^{*} \lambda s. \lambda z. s (s z)$ 

Easily translated to lambda calculus.

#### **Church Numerals**

- This is also great.
- ► Even better, it can be typed in system F(Polymorphic type).

Nat := 
$$\forall X : *.(X \rightarrow X) \rightarrow X \rightarrow X$$

- $\cdot \vdash \mathsf{Succ} : \mathsf{Nat} \to \mathsf{Nat}$
- $\cdot \vdash \mathsf{iterator} : \forall X : *.\mathsf{Nat} \to (X \to X) \to X \to X$
- $\cdot \vdash \mathsf{add} : \mathsf{Nat} \to \mathsf{Nat} \to \mathsf{Nat}$
- The catch, inefficient predecessor.
- The predecessor function takes linear time(beta reductions) to compute, while with Scott encoding it only takes constant time.

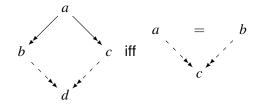
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### **Abstract Reduction System**

- ▶ Abstract Reduction System(ARS):  $(A, \{\rightarrow_i\}_{i \in \mathcal{I}})$
- ▶ Basic concepts:  $a \stackrel{*}{\rightarrow}_i b$ (or  $a \rightarrow b$ ), a = b, reducible, normal form.
- Confluence and Church-Rosser property:

$$\rightarrow := \bigcup_{i \in \mathcal{I}} \rightarrow_i$$
.



▶ Recall type preservation: If  $\Gamma \vdash t : T$  and  $t \to t'$ , then  $\Gamma \vdash t' : T$ . Usually prove by induction on derivation of  $\Gamma \vdash t : T$ .

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$$\frac{\Gamma \vdash \lambda x.t : T' \rightarrow T \quad \Gamma \vdash t' : T'}{\Gamma \vdash (\lambda x.t)t' : T} \text{ App}$$

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Present of non-syntax directed rule:

$$\frac{\Gamma \vdash t : T' \quad T = T'}{\Gamma \vdash t : T} \quad \textit{Conv}$$

▶ Inversion on  $\Gamma \vdash \lambda x.t : T' \rightarrow T$  gives us only:

$$\Gamma, x: T_1 \vdash t: T_2 \text{ where } T_1 \rightarrow T_2 = T' \rightarrow T.$$

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- ▶ Want *inverse structure congruence*: If  $T_1 \rightarrow T_2 = T_1' \rightarrow T_2'$ , then  $T_1 = T_1'$  and  $T_2 = T_2'$ .

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- ▶ By induction on derivation of  $T_1 \rightarrow T_2 = T_1' \rightarrow T_2'$ , case:  $T_1 \rightarrow T_2 = T_3$   $T_3 = T_1' \rightarrow T_2'$

$$rac{T_1 o T_2 = T_3}{T_1 o T_2 = T_1' o T_2'}$$
 Trans

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- Can't apply induction hypothesis!

#### Inverse structure congruence:

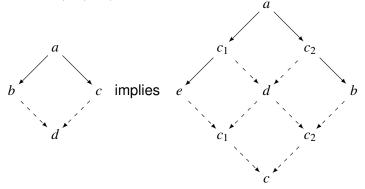
If 
$$T_1 \rightarrow T_2 = T_1' \rightarrow T_2'$$
, then  $T_1 = T_1'$  and  $T_2 = T_2'$ .

- We can define = to be the reflexive, symmetric, transitive closure of →.
- We show that → is confluent, thus Church-Rosser.
- ▶ So  $T_1 \to T_2 = T_1' \to T_2'$  implies there is a  $T_3$  such that  $T_1 \to T_2 \stackrel{*}{\rightarrowtail} T_3$  and  $T_1' \to T_2' \stackrel{*}{\rightarrowtail} T_3$ .
- ▶ We design  $\rightarrowtail$  in such a way that  $T_a \to T_b \rightarrowtail T$  iff  $T \equiv T'_a \to T_b$  or  $T \equiv T_a \to T'_b$ , where  $T_a \rightarrowtail T'_a$ ,  $T_b \rightarrowtail T'_b$ .
- Thus we conclude inverse structure congruence, conquered one problem for proving type preservation.

### Confluence: Tait-Martin Löf's Method

Lambda calculus  $(\Lambda, \rightarrow_{\beta})$  as ARS is confluent.

Diamond property:



### Confluence: Tait-Martin Löf's method

 $\rightarrow_{\beta}$  reduction does not have diamond property.

$$f((\lambda y.yz)u)((\lambda y.yz)u) \qquad (\lambda x.f \ x \ x)(u \ z)$$

Not joinable in one step, but joinable in "many" steps.

### Confluence: Tait-Martin Löf's method

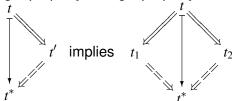
Parallel Reduction(a notion of "many" steps).

$$\frac{t_1 \Rightarrow_{\beta} t'_1 \quad t_2 \Rightarrow_{\beta} t'_2}{(\lambda x. t_1) t_2 \Rightarrow_{\beta} [t'_2/x] t'_1}$$

- It has diamond property.
- $\rightarrow_{\beta}\subseteq \Rightarrow_{\beta}\subseteq \stackrel{*}{\rightarrow}_{\beta}$ , which implies  $(\stackrel{*}{\rightarrow}_{\beta})=(\stackrel{*}{\Rightarrow}_{\beta})$
- ▶ Confluence of  $\Rightarrow_{\beta}$  implies confluence of  $\rightarrow_{\beta}$

### Confluence: Takahashi's method

A stronger property, triangle property:

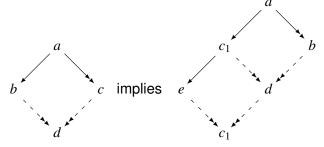


Parallel contractions:

$$x^* := x.$$
 $(\lambda x.t)^* := \lambda x.t^*.$ 
 $(t_1 \ t_2)^* := t_1^* \ t_2^* \ \text{if} \ t_1 \ t_2 \ \text{is not a beta redex.}$ 
 $((\lambda x.t_1) \ t_2)^* := [t_2^*/x]t_1^*.$ 

# Confluence: Barendregt's method

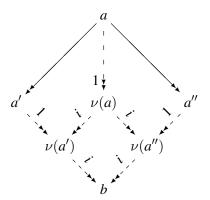
Strip property:



## Confluence: Hardin's Interpretation method

- ▶ Assumption I:  $\rightarrow$  := $\rightarrow_1 \cup \rightarrow_2$  and  $\rightarrow_1$  is strongly normalizing and confluent.
- ▶ Assumption II: $\rightarrow_i \subseteq \rightarrow$  is defined on  $\rightarrow_1$  normal form  $\nu(t)$ .
- ▶ Assumption III: If  $a \to_2 b$ , then  $\nu(a) \to_i \nu(b)$ .
- ▶ Then: Confluence of  $\rightarrow_i$  implies confluence of  $\rightarrow$ .

Þ



# Hardin's Interpretation method: Applications

- ▶ Confluence of  $(\Lambda_{\mu}, \rightarrow_{\beta}, \rightarrow_{\mu})$ , originated from Selfstar.
- $ightharpoonup \Lambda_{\mu}$  denotes terms  $t ::= x \mid \lambda x.t \mid tt' \mid \mu t$ .
- ▶ Closure:  $\mu ::= \{x_i \mapsto t_i\}_{i \in \mathcal{I}}$ . Locality.
- New reductions:

$$\frac{(x_i \mapsto t_i) \in \mu}{\mu x_i \to_{\beta} \mu t_i} \qquad \frac{dom(\mu) \# \mathsf{FV}(t)}{\mu t \to_{\mu} t}$$

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How to show some formula is unprovable.

- Formalized the notion of proof.
- If there is a proof of ⊥, then draw a contradiction at meta-level.
- Under Curry Howard correspondent, showing some type is uninhabited.

Recall second order dependent type:

Type as expression:

$$T:=X\mid \forall X:\kappa.T\mid T_1\to T_2\mid \Pi x:T_1.T_2\mid T\ t$$
  
Kind as expression  $\kappa:=*\mid \xi x:T.\kappa$ 

<sup>&</sup>lt;sup>3</sup>Coquand's Metamathematical investigations of a calculus of constructions <sup>4</sup>Werner's A Normalization Proof for an Impredicative Type System with Large Elimination over Integers

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Induction principle:

$$\forall P: (\xi x: \mathsf{Nat}.*).P \ 0 \rightarrow (\Pi y: \mathsf{Nat}.(P \ y) \rightarrow (P \ (\mathsf{S} \ y))) \rightarrow \Pi x: \mathsf{Nat}.P \ x$$

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▶  $P: (\xi x: \mathsf{Nat.*}), a: P\ 0, b: \Pi y: \mathsf{Nat.}(P\ y) \to (P\ (\mathsf{S}\ y)), x: \mathsf{Nat} \vdash (b\ 1\ (b\ 0\ a)): P\ (\mathsf{S}\ 1)$ Induction is not derivable(provable) within Dependent type system<sup>3</sup>

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- ▶ Since  $\bot$  is uninhabit, can not inhabit types like  $T \to \bot$ , where T is inhabited. Thus can not prove  $0 \neq 1$ .<sup>4</sup>

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Induction principle:

```
\forall P: (\xi x: \mathsf{Nat.}*).P \overset{\cdot}{0} \rightarrow (\Pi y: \mathsf{Nat.}(P\ y) \rightarrow (P\ (\mathsf{S}\ y))) \rightarrow \Pi x: \mathsf{Nat.}P\ x
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- ▶  $P: (\xi x: \mathsf{Nat}.*), a: P\ 0, b: \Pi y: \mathsf{Nat}.(P\ y) \to (P\ (S\ y)), x: \mathsf{Nat} \vdash (b\ 1\ (b\ 0\ a)): P\ (S\ 1)$ Induction is not derivable(provable) within Dependent type system<sup>3</sup>
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- These compromise the usage of Church encoding in dependent type system.

Large Elimination over Integers

<sup>&</sup>lt;sup>3</sup>Coquand's Metamathematical investigations of a calculus of constructions <sup>4</sup>Werner's A Normalization Proof for an Impredicative Type System with

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#### Selfstar: I

- Recall that:
  - $x: \mathsf{Nat} \vdash \bar{n}: \forall P: (\xi x: \mathsf{Nat}.*).P \ 0 \to (\Pi y: \mathsf{Nat}.(P\ y) \to (P\ (\mathsf{S}\ y))) \to P\ \bar{n},$  for any Church numerals  $\bar{n}$
- $\blacktriangleright$  Dependent type system, namely,  $\Pi$  construct can not grasp this level of quantification.
- ▶ One way to try to capture(with the help of recursion) this is:  $x : \mathsf{Nat} \vdash \overline{n} : \iota x. \forall P : (\xi x : \mathsf{Nat.*}).P \ 0 \rightarrow (\Pi y : \mathsf{Nat.}(P \ y) \rightarrow (P \ (\mathsf{S} \ y))) \rightarrow P \ x$  $\mathsf{Nat} := \iota x. \forall P : (\xi x : \mathsf{Nat.*}).P \ 0 \rightarrow (\Pi y : \mathsf{Nat.}(P \ y) \rightarrow (P \ (\mathsf{S} \ y))) \rightarrow P \ x$
- add two typing rules:

$$\frac{\Gamma \vdash t : \iota x.T}{\Gamma \vdash t : [t/x]T} \; \textit{SelfInst} \quad \frac{\Gamma \vdash t : [t/x]T}{\Gamma \vdash t : \iota x.T} \; \textit{SelfGen}$$

- ▶ Introduce closure  $\mu := \{x_i \mapsto t_i\}_{i \in \mathcal{I}} \cup \{X_i \mapsto T_i\}_{i \in \mathcal{N}}$
- ▶ Wrap around term and type,  $\mu t$ ,  $\mu T$ ,  $\tilde{\mu} \in \Gamma$ .

#### Selfstar: II

#### Church encoding and Scott encoding in Selfstar

▶ Church encoding( $\tilde{\mu_c}$ ):

```
(Nat:*) \mapsto
    \iota x.\Pi C: \mathsf{Nat} \to *.(\Pi n: \mathsf{Nat}.(C n) \to (C (\mathsf{S} n))) \to (C 0) \to (C x)
    (S : Nat \rightarrow Nat) \mapsto \lambda n. \lambda C. \lambda s. \lambda z. s n (n C s z)
    (0: Nat) \mapsto \lambda C.\lambda s.\lambda z.z.
▶ Scott encoding(\tilde{\mu}_s):
    (Nat:*) \mapsto \iota x.\Pi C: Nat \to *.(\Pi n: Nat.C (S n)) \to (C 0) \to (C x)
```

 $(S : Nat \rightarrow Nat) \mapsto \lambda n. \lambda C. \lambda s. \lambda z. s n$ 

 $(0: Nat) \mapsto \lambda C.\lambda s.\lambda z.z$ 

#### Selfstar: II

Induction principle for Church encoding:

```
	ilde{\mu_{\mathcal{C}}} \vdash (\mathsf{Ind} := \lambda C.\lambda s.\lambda z.\lambda n.n \ C \ s \ z) : \Pi C : \mathsf{Nat} \to *.\Pi n : \mathsf{Nat}.((C \ n) \to (C \ (\mathsf{S} \ n))) \to C \ 0 \to \Pi n : \mathsf{Nat}.C \ n
```

Addition function:

$$\tilde{\mu_c} \vdash (\mathsf{add} := \lambda n. \lambda m. \mathsf{Ind} \ (\lambda y. \mathsf{Nat}) \ (\lambda x. \mathsf{S}) \ m \ n) : \mathsf{Nat} \to \mathsf{Nat} \to \mathsf{Nat}.$$

Case analysis principle for Scott encoding:

$$ilde{\mu_s} \vdash (\mathsf{Case} := \lambda C.\lambda s.\lambda z.\lambda n.n \ C \ s \ z) : \\ \Pi C : \mathsf{Nat} \rightarrow *.\Pi n : \mathsf{Nat}.(C \ (\mathsf{S} \ n)) \rightarrow C \ 0 \rightarrow \Pi n : \mathsf{Nat}.C \ n$$

addition function:

```
(add : Nat → Nat → Nat) \mapsto
\lambda n.\lambda m.Case (\lambda n.Nat) (\lambda p.(S (add p m))) m n
```

#### Selfstar: III

- Due to \* : \* and recursive defintion, term does not correspond to proof, type does not correspond to formula.
- ▶ Future work: show a fragment of Selfstar that can be erased to  $F^{\omega}$ .

#### Outline

- Typed Lambda Calculus and Lambda Encoding
- Type Preservation and Confluence
- Limits of Dependent type
- Selfstar
- Summary

## Summary

- We seen Church and Scott encoding data and as alternatives to implement algebraic data type.
- The use of confluence in preservation proof.
- Several methods to prove confluence.
- Limits of dependent type system give rise to Selfstar.
- Introduced Selfstar.

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