# The Recursive Index Calculus and Its Translation From $R\omega$

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October 17, 2023

## 1 Design considerations of the formal index calculus

#### 1.1 The necessity of Set-in-Set

Denote the translation of  $R\omega$  type  $\tau$  to the index calculus as  $\llbracket\tau\rrbracket$ . The big stars of systems R&c. are record and variants. Consider how we might translate the former. We first establish the translation of kinds so that we may assert that translated types are in the meaning of their translated kinds. (This is a sensible verification.) The following seems reasonable.

$$\begin{split} \llbracket \star \rrbracket_{\kappa} &= \star \\ \llbracket \mathsf{L} \rrbracket_{\kappa} &= \top \\ \llbracket \kappa_1 \to \kappa_2 \rrbracket_{\kappa} &= \llbracket \kappa_1 \rrbracket \to \llbracket \kappa_2 \rrbracket \\ \llbracket \mathsf{R}^{\kappa} \rrbracket_{\kappa} &= \exists i : Nat. (\mathrm{Fin} \ i \to \llbracket \kappa \rrbracket) \end{split}$$

(Nevermind, for now, the complexity of existentially quantifying Nats within kinds.) Recall that records (in  $R\omega$ ) live in kind  $\star$  but, as shown in our Agda denotation, should translate to functions which map finite indices to types. Below is a sensible type and translation for such an idea. (As  $\llbracket \rho \rrbracket$  is a dependent product, let its first and second projections be defined as usual.)

$$\llbracket \Pi \rho \rrbracket = \forall i : \text{Nat.Fin } \llbracket \rho \rrbracket . 1 \rightarrow \llbracket \rho \rrbracket . 2 i$$

Yet, as  $\Pi \rho : \star$  (in  $R\omega$ ), we must conclude that the type  $\forall i$ : Nat.Fin  $\llbracket \rho \rrbracket .1 \to \llbracket \rho \rrbracket .2 i$  has kind  $\star$  in  $\mu$ Ix. I don't see a way around this. Further, it implies to me that we would like to flatten types and kinds and let types quantify over types. That is to say, we want a two-level stratification of terms and types only, omitting kinds. The next two subsections argue for this change.

#### 1.2 Flattening kinds and types

Revisit now the translation of rows.

$$[\![\mathsf{R}^{\kappa}]\!]_{\kappa} = \exists i : \mathrm{Nat.}(\mathrm{Fin}\ i \to [\![\kappa]\!])$$

The existential quantification of i: Nat is ambiguous. We seem to need to either (i) permit the dependent, existential quantification over type Nat, or (ii) lift Nat indices to kinds and permit the existential quantification of indices in kinds. In the latter case, we would further need to represent the application of Fin to  $index\ variable\ i$ —and also, of course, need to represent existential quantification in kinds (and represent Fin!). This becomes cumbersome quickly, enough to beg the question: why distinguish types from kinds at all?

#### 1.2.1 The inadequacy of Xi and Pfenning [1999]

Described above by (i) is the approach advocated by Xi and Pfenning [1999]. Xi and Pfenning [1999] only permits types to be indexed by a declared set of index objects, each with index sort—for example, vectors are indexed by index objects with index sort Nat. The syntax of (some simple) indices is given below.

Index Sorts 
$$\gamma ::= \text{Nat} \mid \top \mid ...$$
  
Index Objects  $\iota ::= i \mid () \mid ...$ 

Rather than types we have families of types, each indexed by index objects. For example, an intlist might be a family type family indexed by Nat, representing its length. Consider the typing of vector concatenation.

```
concat: \Pi m : \text{Nat.}\Pi n : \text{Nat.}intlist \ m \to intlist \ n \to intlist \ (m+n)
```

This machinery is not sufficient to type many  $R\omega$  terms. To illustrate, presume a base set of index sorts  $\gamma$  and index objects  $\iota$  to be as defined below. (For convenience, let the index objects of  $\iota$  inhabit both Nat and Fin  $\iota$ .)

$$\gamma ::= \operatorname{Nat} | \operatorname{Fin} \iota 
\iota ::= i | 0 | \operatorname{Suc} \iota$$

Now consider an example translation of record concatenation from  $R\omega$  to  $\mu Ix$ . In  $R\omega$ , we have:

$$\mathtt{concat}: \forall (z_1 z_2 z_3 : \mathsf{R}^{\star}). z_1 \cdot z_2 \sim z_3 \Rightarrow \Pi \, z_1 \rightarrow \Pi \, z_2 \rightarrow \Pi \, z_3$$

This (hypothetically) translates to (the sketch I have in my head of) the  $\mu$ Ix type:

```
\begin{aligned} &\operatorname{\texttt{concat}} : \forall^i mnl : Nat. \\ &\forall (z_1 : \operatorname{Fin} m \to \star)(z_2 : \operatorname{Fin} n \to \star)(z_3 : \operatorname{Fin} l \to \star). \\ & & [\![z_1 \cdot z_2 \ z_3]\!] \to \\ & & (\forall (i : \operatorname{Fin} m) \to z_1 \ i) \\ & & (\forall (i : \operatorname{Fin} n) \to z_2 \ i) \\ & & \forall (i : \operatorname{Fin} l).z_3 \ i \end{aligned}
```

Let  $\forall^i$  denote the quantification of indices in types and  $[z_1 \cdot z_2 \sim z_3]$  denote the (yet-undefined) translation of  $R\omega$  predicates to  $\mu$ Ix types. The glaring incompatibility of Xi and Pfenning [1999] is that  $R\omega$  is higher-order. So, it is not clear what the quantification of  $z_1$  over (Fin  $m \to \star$ ) means. Is (Fin  $m \to \star$ ) a kind? Xi and Pfenning [1999] permits only the quantification over indices, and the use of those indices in types. The authors do not permit  $F\omega$  (or just System F)-style quantification over type variables. And it is not clear how to lift their calculus to higher-order; I suspect, also, nontrivial.

A lot of our problems go away when committing to an impredicative, dependent, term-and-type-stratified type theory. So, this is what I suggest we do.

Firstly, the higher-order nature of  $F\omega$  is given for free, as there are no more kinds and thus all type-level quantification is over types. W.r.t. mechanizational ease, we substantially reduce the overlap in ASTs.

What we are left with is more less MLTT with (built-in) finite naturals. Call it  $\lambda^{\Pi,\Sigma}$  for now.

## 1.3 Consistency in impredicative MLTT (and workarounds thereof)

Martin L of Type Theory is well known to be inconsistent without a predicative universe hierarchy

?

#### 2 The formalized index calculus

Term variables x

#### 2.1 Syntax

```
\begin{array}{lll} \text{Index Sorts} & \gamma ::= \text{Nat} \mid \text{Ix } \iota \\ \text{Index Objects} & \iota ::= i \mid \text{Zero} \mid \text{Suc } \iota \\ \text{Types} & \tau, \upsilon ::= \gamma \mid \iota \mid \star \mid \alpha \mid \top \mid \Pi i : \tau.\upsilon \mid \Sigma i : \tau.\upsilon \\ & \tau \upsilon \mid \tau \sim \upsilon \\ \text{Terms} & M, N ::= x \mid () \mid \lambda x : \tau.M \mid M N \mid (M, N) \mid M.1 \mid M.2 \\ \text{Environments} & \Gamma ::= \varepsilon \mid \Gamma, x : \tau \end{array}
```

Type variables  $\alpha\iota$ 

Figure 1: Syntax

#### 2.2 Typing

Figure 2: Contexts and kinding.

#### 2.3 Typing

### 3 Adding Recursion to $R\omega$

The static semantics of  $R\omega$ , as defined in Hubers and Morris [2023], are given in Appendix A for reference. We define only the syntax and rules necessary for least- and greatest-fixed points with general term-level recursion, which are routine.

$$\begin{array}{c|c} \Gamma \vdash \tau : \kappa \\ \\ \hline \Gamma \vdash \tau : \star \to \star \\ \hline \Gamma \vdash \mu \tau : \star & \hline \Gamma \vdash \nu \tau : \star \\ \hline \hline \Gamma \vdash M : \tau \\ \\ \hline \dots \end{array}$$

### 4 Translating $\mu$ Ix from R $\omega$

Rules for the System  $F_{\omega}$  fragment of  $R\omega$  have a trivial correspondence to the  $F_{\omega}$  fragment of  $\mu$ Ix and are omitted. The syntax and typing judgments on the left are that of  $R\omega$  (see Appendix A); on the right are  $\mu$ Ix.

$$\begin{bmatrix}
\Gamma \vdash \tau : \kappa \end{bmatrix} \\
\begin{bmatrix}
\Gamma \vdash \rho : \mathsf{R}^{\kappa} \\
\Gamma \vdash \Pi \rho : \kappa
\end{bmatrix} = \forall n : \mathrm{Nat}. Ix \ n \to \llbracket \Gamma \vdash \rho : \mathsf{R}^{\kappa} \rrbracket \ n$$

$$\begin{bmatrix}
\Gamma \vdash \rho : \mathsf{R}^{\kappa} \\
\Gamma \vdash \Sigma \rho : \kappa
\end{bmatrix} = \exists n : \mathrm{Nat}. \llbracket \Gamma \vdash \rho : \mathsf{R}^{\kappa} \rrbracket \ n$$

$$\begin{bmatrix}
\frac{\vdash \Gamma}{\Gamma \vdash \ell : \mathsf{L}} \rrbracket = \mathsf{T}$$

$$\begin{bmatrix}
\frac{\vdash \Gamma \vdash \xi : \mathsf{L}}{\Gamma \vdash \ell : \mathsf{L}} \rrbracket = \mathsf{T}
\end{bmatrix} = \mathsf{T}$$

$$\begin{bmatrix}
\frac{\Gamma \vdash \xi : \mathsf{L}}{\Gamma \vdash \xi \vdash \tau : \kappa} \rrbracket = \llbracket \Gamma \vdash \tau : \kappa \rrbracket
\end{bmatrix} = \lambda n : \mathrm{Nat}. \llbracket \Gamma \vdash \rho : \mathsf{R}^{\kappa_1 \to \kappa_2} \rrbracket \ n \ \llbracket \Gamma \vdash \tau : \kappa_1 \rrbracket
\end{bmatrix}$$

$$\begin{bmatrix}
\frac{\Gamma \vdash \rho : \mathsf{R}^{\kappa_1 \to \kappa_2}}{\Gamma \vdash \rho : \mathsf{R}^{\kappa_2}} \vdash \mathsf{R}^{\kappa_1} \rrbracket = \lambda n : \mathrm{Nat}. \llbracket \Gamma \vdash \rho : \mathsf{R}^{\kappa_1 \to \kappa_2} \rrbracket \ n \ \llbracket \Gamma \vdash \rho : \mathsf{R}^{\kappa_1} \rrbracket
\end{bmatrix}$$

$$\begin{bmatrix}
\frac{\Gamma \vdash \sigma : \mathsf{R}^{\kappa_2}}{\Gamma \vdash \varphi : \mathsf{R}^{\kappa_2}} \rrbracket = \mathbb{I} \Gamma \vdash \tau \ \{\overline{\xi} \triangleright \tau\} : \mathsf{R}^{\kappa} \rrbracket
\end{bmatrix} = \mathbb{I} \Gamma \vdash \tau \ \{\overline{\xi} \triangleright \tau\} : \mathsf{R}^{\kappa} \rrbracket$$

$$\begin{bmatrix}
\Gamma \vdash \pi \vdash \tau : \kappa \vdash \tau :$$

Figure 3: A compositional translation of  $R\omega$  to  $\mu Ix$ 

#### References

Alex Hubers and J. Garrett Morris. Generic programming with extensible data types; or, making ad hoc extensible data types less ad hoc. CoRR, abs/2307.08759, 2023. doi: 10.48550/arXiv.2307.08759. URL https://doi.org/10.48550/arXiv.2307.08759.

Hongwei Xi and Frank Pfenning. Dependent types in practical programming. In POPL '99, Proceedings of the 26th ACM SIGPLAN-SIGACT Symposium on Principles of Programming Languages, San Antonio, TX, USA, January 20-22, 1999, pages 214-227, 1999. doi: 10.1145/292540.292560. URL https://doi.org/10.1145/292540.292560.

#### A The static semantics of $R\omega$

#### A.1 Syntax

The syntax of  $R\omega(\mathcal{T})$  is given in Figure 4.

```
Term variables x
                                                    Type variables \alpha
                                                                                                    Labels \ell
                                                                                                                                  Directions d \in \{L, R\}
Kinds
                                             \kappa ::= \star \mid \mathsf{L} \mid \mathsf{R}^{\kappa} \mid \kappa \to \kappa
Predicates
                                       \pi, \psi ::= \rho \lesssim_d \rho \mid \rho \odot \rho \sim \rho
                         \phi, \tau, v, \rho, \xi ::= \alpha \mid (\rightarrow) \mid \pi \Rightarrow \tau \mid \forall \alpha : \kappa.\tau \mid \lambda \alpha : \kappa.\tau \mid \tau \tau
Types
                                                    \mid \ell \mid \lfloor \xi \rfloor \mid \xi \triangleright \tau \mid \{\tau_1, \dots, \tau_n\} \mid \Pi \rho \mid \Sigma \rho
Terms
                                    M, N ::= x \mid \lambda x : \tau . M \mid M N \mid \Lambda \alpha : \kappa . M \mid M [\tau]
                                                    \mid \quad \ell \mid M \rhd M \mid M/M \mid \mathrm{prj}_d \: M \mid M \mathrel{+\!\!\!+} M \mid \mathrm{inj}_d \: M \mid M \: \triangledown \: M
                                                     |\operatorname{syn}_{\phi} M|\operatorname{ana}_{\phi} M|\operatorname{fold} MMMM
                                            \Gamma ::= \varepsilon \mid \Gamma, \alpha : \kappa \mid \Gamma, x : \tau \mid \Gamma, \pi
Environments
```

Figure 4: Syntax

#### A.2 Types and Kinds

Figure 5 gives rules for context formation ( $\vdash \Gamma$ ), kinding ( $\Gamma \vdash \tau : \kappa$ ), and predicate formation ( $\Gamma \vdash \pi$ ), parameterized by row theory  $\mathcal{T}$ .

$$(C-EMP) \xrightarrow{\vdash \mathcal{E}} (C-TVAR) \xrightarrow{\vdash \Gamma} (C-VAR) \xrightarrow{\vdash \Gamma} (C-VAR) \xrightarrow{\vdash \Gamma} \xrightarrow{\Gamma \vdash \tau : \star} (C-PRED) \xrightarrow{\vdash \Gamma} \xrightarrow{\Gamma \vdash \pi}$$

$$(K-VAR) \xrightarrow{\vdash \Gamma} \alpha : \kappa \in \Gamma (K-(\rightarrow)) \xrightarrow{\vdash \Gamma} \xrightarrow{\vdash \Gamma} (K-(\rightarrow)) \xrightarrow{\vdash \Gamma} (K-(\rightarrow)) \xrightarrow{\vdash \Gamma} \xrightarrow{\Gamma \vdash \pi} \xrightarrow{\Gamma \vdash \pi}$$

Figure 5: Contexts and kinding.

$$(\text{E-REFL}) \frac{\tau \equiv \tau}{\tau \equiv \tau} (\text{E-SYM}) \frac{\tau_1 \equiv \tau_2}{\tau_2 \equiv \tau_1} \qquad (\text{E-TRANS}) \frac{\tau_1 \equiv \tau_2}{\tau_1 \equiv \tau_3} \qquad (\text{E-}\beta) \frac{\tau_1 \equiv \tau_2}{(\lambda \alpha : \kappa. \tau) \ \upsilon \equiv \tau [\upsilon / \alpha ]} (\text{E-}\xi_{\Rightarrow}) \frac{\tau_1 \equiv \tau_2}{\tau_1 \Rightarrow \tau_1 \equiv \tau_2} \qquad (\text{E-}\xi_{\forall}) \frac{\tau [\gamma / \alpha] \equiv \upsilon [\gamma / \beta]}{\forall \alpha : \kappa. \tau \equiv \forall \beta : \kappa. \upsilon} (\gamma \not\in f \upsilon (\tau, \upsilon)) \qquad (\text{E-}\xi_{\text{APP}}) \frac{\tau_i \equiv \upsilon_i}{\tau_1 \tau_2 \equiv \upsilon_1 \upsilon_2} (\text{E-ROW}) \frac{\{\overline{\xi_i} \rhd \tau_i\} \equiv \tau \{\overline{\xi_j'} \rhd \tau_j'\}}{\{\overline{\xi_i} \rhd \tau_i\} \equiv \{\overline{\xi_j'} \rhd \tau_j'\}} \qquad (\text{E-}\xi_{\vdash}) \frac{\xi_1 \equiv \xi_2}{[\xi_1] \equiv [\xi_2]} (\text{E-LIFT}_1) \frac{\xi_1 \equiv \xi_2}{\{\xi \rhd \phi \tau\}} (\text{E-LIFT}_2) \frac{\rho_1 \equiv \rho_2}{K\rho_1 \equiv K\rho_2} \qquad (\text{E-LIFT}_3) \frac{\rho_1 \equiv \rho_2}{(K\rho) \equiv K\rho_2} \qquad (\text{E-LIFT}_3) \frac{\tau_i \equiv \upsilon_i}{(K\rho) \tau \equiv K(\rho)} \qquad (\text{E-SING}) \frac{\tau_i \equiv \upsilon_i}{\pi [\xi_j \to \tau]} (K \in \{\Pi, \Sigma\}) \frac{\tau_i \equiv \upsilon_i}{\tau_1 \lesssim_d \tau_2 \equiv \upsilon_1 \lesssim_d \upsilon_2} \qquad (\text{E-}\xi_{\circlearrowleft}) \frac{\tau_i \equiv \upsilon_i}{\tau_1 \lesssim_d \tau_2 \equiv \upsilon_1 \lesssim_d \upsilon_2} \qquad (\text{E-}\xi_{\circlearrowleft}) \frac{\tau_i \equiv \upsilon_i}{\tau_1 \lesssim_d \tau_2 \equiv \upsilon_1 \lesssim_d \upsilon_2}$$

Figure 6: Type and predicate equivalence

#### A.3 Terms

Figure 7: Typing

Minimal Rows

Figure 8 gives the minimal row theory  $\mathcal{M}$ .

$$\begin{array}{c|c} \hline \Gamma \vdash_{\mathsf{m}} \rho : \kappa \end{array} \boxed{\rho \equiv_{\mathsf{m}} \rho} \\ \hline (\text{K-MROW}) \frac{\Gamma \vdash_{\mathsf{k}} \vdash_{\mathsf{k}} \Gamma \vdash_{\mathsf{r}} : \kappa}{\Gamma \vdash_{\mathsf{m}} \{\xi \rhd \tau\} : \mathsf{R}^{\kappa}} & \text{(E-MROW}) \frac{\xi \equiv \xi' \quad \tau \equiv \tau'}{\{\xi \rhd \tau\} \equiv_{\mathsf{m}} \{\xi' \rhd \tau'\}} \\ \hline \Gamma \Vdash_{\mathsf{m}} \pi \\ \hline \\ (\text{N-AX}) \frac{\pi \in \Gamma}{\Gamma \Vdash_{\mathsf{m}} \pi} & \text{(N-REFL)} \frac{\Gamma \Vdash_{\mathsf{m}} \rho \lesssim_{d} \rho}{\Gamma \Vdash_{\mathsf{m}} \rho \lesssim_{d} \rho} & \text{(N-TRANS)} \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \lesssim_{d} \rho_{2}}{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \lesssim_{d} \rho_{3}} \\ \hline (\text{N-}\equiv) \frac{\Gamma \Vdash_{\mathsf{m}} \pi_{1} \quad \pi_{1} \equiv \pi_{2}}{\Gamma \Vdash_{\mathsf{m}} \pi_{2}} & \text{(N-} \lesssim \mathsf{LIFT}_{1}) \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \lesssim_{d} \rho_{2}}{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \lesssim_{d} \rho_{2}} & \text{(N-} \lesssim \mathsf{LIFT}_{2}) \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \lesssim_{d} \rho_{2}}{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \tau \lesssim_{d} \rho_{2} \tau} \\ \hline (\text{N-}\odot\mathsf{LIFT}_{1}) \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \tau \odot \rho_{2} \sim \rho_{3}} & \text{(N-}\odot\mathsf{LIFT}_{2}) \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}} \\ \hline (\text{N-}\odot\lesssim_{\mathsf{L}}) \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \lesssim_{\mathsf{L}} \rho_{3}} & \text{(N-}\odot\lesssim_{\mathsf{R}}) \frac{\Gamma \Vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \Vdash_{\mathsf{m}} \rho_{2} \lesssim_{\mathsf{R}} \rho_{3}} \end{array}$$

Figure 8: Minimal row theory  $\mathcal{M} = \langle \vdash_m, \equiv_m, \Vdash_m \rangle$