Dissertation Type: programming languages



DEPARTMENT OF COMPUTER SCIENCE

Variations on Normalisation by Evaluation in Haskell

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to the University of Bristol in accordance with the r	-
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Declaration

This dissertation is submitted to the University of Bristol in accordance with the requirements of the degree of MEng in the Faculty of Engineering. It has not been submitted for any other degree or diploma of any examining body. Except where specifically acknowledged, it is all the work of the Author.

Lucas O'Dowd-Jones, Friday $9^{\rm th}$ April, 2021

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Executive Summary

This section should précis the project context, aims and objectives, and main contributions (e.g., deliverables) and achievements; the same section may be called an abstract elsewhere. The goal is to ensure the reader is clear about what the topic is, what you have done within this topic, and what your view of the outcome is.

The former aspects should be guided by your specification: essentially this section is a (very) short version of what is typically the first chapter. Note that for research-type projects, this **must** include a clear research hypothesis. This will obviously differ significantly for each project, but an example might be as follows:

My research hypothesis is that a suitable genetic algorithm will yield more accurate results (when applied to the standard ACME data set) than the algorithm proposed by Jones and Smith, while also executing in less time.

The latter aspects should (ideally) be presented as a concise, factual bullet point list. Again the points will differ for each project, but an might be as follows:

- I spent 120 hours collecting material on and learning about the Java garbage-collection sub-system.
- I wrote a total of 5000 lines of source code, comprising a Linux device driver for a robot (in C) and a GUI (in Java) that is used to control it.
- I designed a new algorithm for computing the non-linear mapping from A-space to B-space using a genetic algorithm, see page 17.
- I implemented a version of the algorithm proposed by Jones and Smith in [6], see page 12, corrected a mistake in it, and compared the results with several alternatives.

Supporting Technologies

This section should present a detailed summary, in bullet point form, of any third-party resources (e.g., hardware and software components) used during the project. Use of such resources is always perfectly acceptable: the goal of this section is simply to be clear about how and where they are used, so that a clear assessment of your work can result. The content can focus on the project topic itself (rather, for example, than including "I used LATEX to prepare my dissertation"); an example is as follows:

- I used the Java BigInteger class to support my implementation of RSA.
- I used a parts of the OpenCV computer vision library to capture images from a camera, and for various standard operations (e.g., threshold, edge detection).
- I used an FPGA device supplied by the Department, and altered it to support an open-source UART core obtained from http://opencores.org/.
- The web-interface component of my system was implemented by extending the open-source WordPress software available from http://wordpress.org/.

Notation and Acronyms

Any well written document will introduce notation and acronyms before their use, even if they are standard in some way: this ensures any reader can understand the resulting self-contained content.

Said introduction can exist within the dissertation itself, wherever that is appropriate. For an acronym, this is typically achieved at the first point of use via "Advanced Encryption Standard (AES)" or similar, noting the capitalisation of relevant letters. However, it can be useful to include an additional, dedicated list at the start of the dissertation; the advantage of doing so is that you cannot mistakenly use an acronym before defining it. A limited example is as follows:

AES : Advanced Encryption Standard
DES : Data Encryption Standard

:

 $\mathcal{H}(x)$: the Hamming weight of x \mathbb{F}_q : a finite field with q elements

 x_i : the *i*-th bit of some binary sequence x, st. $x_i \in \{0, 1\}$

Acknowledgements

It is common practice (although totally optional) to acknowledge any third-party advice, contribution or influence you have found useful during your work. Examples include support from friends or family, the input of your Supervisor and/or Advisor, external organisations or persons who have supplied resources of some kind (e.g., funding, advice or time), and so on.

Introduction

To implement a functional programming language, we need a normalisation function that maps each expression in the functional language to its normal form. In this dissertation we explore various implementations of normalisation by evaluation (NbE) for the lambda calculus.

NbE proceeds by interpreting each term as an element of a semantic set, where computation is easier to perform, before "reifying" the semantic value back into the set of normal terms. All β -equal terms "evaluate" to the same semantic value, so β -equal terms normalise to the same normal form.

NbE is a modern alternative to normalisation by reduction; a technique based on syntactic rewriting. Since the foundations of NbE are mathematical, we can prove that our implementation is correct and study its behaviour formally. [CITE]. Proving that the implementations are fully correct is beyond the scope of this project, but we use types as machine-checked proof that our implementation satisfies certain properties. Dependent type theories [NAMECHECK] use NbE to check for equality between dependent types by normalising type-level programs. NbE takes advantage of advanced features in the implementation language, so serves as a useful benchmark for the strength and expressiveness of functional languages. [8]

First we present two approaches for NbE of the untyped lambda calculus. The first implementation generates fresh variables during reification, which introduces state into the program. State can be difficult to reason about and introduces complexity when testing, so often leads to errors in programs. These issues motivate a second implementation of NbE which uses de Bruijn indices and levels to represent variable binding in terms instead of named lambda terms, eliminating the need for fresh variable generation and state. We present a simple method for translating between named-variable terms and de Bruijn terms, since named-variable terms are easier to read.

Next we explore NbE for the simply typed lambda calculus by porting an implementation written in Agda to Haskell, utilising cutting edge features available through compiler extensions. GADTs are used in conjunction with the DataKinds and PolyKinds extensions to define terms that are well-typed by construction. For the implementation of the normalisation function itself we need the RankNTypes extension, which gives finer control over quantification in polymorphic type signatures, and ScopedType-Variables, to bind type variables within function bodies. To emulate reflection of dependent types from the type level to the value level at runtime we explore the singleton pattern.

Haskell does not support full dependent types, however the Haskell community are actively working to integrate dependent types through Dependent Haskell[1], following a proposal by Richard Eisenberg [3]. However, Haskell developers can already emulate the features of dependent types with GADTs and other cutting edge compiler extensions which strengthen the type system. Although these solutions are not as elegant as full dependent types, they allow developers to write complex-typed programs not possible in vanilla Haskell.

The aims of this project are:

- 1. To produce various implementations of NbE in Haskell
- 2. To explore how successful modern features of Haskell are in implementing an algorithm with complex types.

Normalising the Untyped Lambda Calculus

2.1 Overview of the NbE algorithm

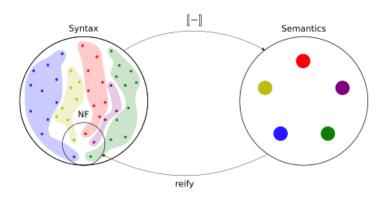


Figure 2.1: A visual overview of the NbE algorithm from [7]

NbE proceeds in two steps. The first is to evaluate terms in the lambda calculus into a semantic set. In 2.2 terms are represented by dots in the syntax set and the evaluation function is denoted by [-], which we refer to as eval. The second step is to reify the semantic value back into the normal form of the original term. Thus, the normalise function which maps terms to their normal forms is the composition of eval and reify

2.2 illustrates why NbE works. The key property of the eval function is that β -equal terms (represented by dots of the same colour in the syntax set) evaluate to the same semantic value. This ensures that β -equal terms normalise to the same normal form. The key property of the reify function is that the codomain of reify is the subset of normal forms, so normalise is guaranteed to return a normal form.

The remainder of this chapter defines the data NbE operates on and functions to perform NbE in Haskell.

2.2 Syntax

Inhabitants of the inductively-defined datatype Expr are well-formed terms of the untyped lambda calculus with strings as variables. The first argument of the lambda case introduces a new variable name

bound in the function body defined by the second argument. For example, the identity function $\lambda x.x$ would be encoded as ExpLam "x" (ExpVar "x").

We now define the target syntax of the normalise function, NormalForm. Note that NormalForm is inhabited by all the terms not containing β -redexes [7], since the definition of NeApp only permits application on non-lambda terms, which are encoded as values of type NeutralForm.

2.3 Semantics

The semantic set V has a very similar structure to the set of normal forms, however lambda terms are replaced with Haskell functions of type $V \to V$. The similarity simplifies reify as for some terms there are obvious translations from semantics to syntax. The replacement of lambda terms will be useful in evaluating β -redexes at the semantic level instead of the syntactic level.

2.4 Evaluation

Evaluation proceeds by pattern matching on the given term, and evaluating its constituent subterms. However, the semantic meaning of subterms can differ depending on which variables are bound by which lambda term. For example, in the terms $\lambda x.\lambda y.xy$ and $\lambda y.xy$, the semantic meaning of the xy subterm is different. Thus, in addition to the term itself, eval needs information about the bound variables introduced by surrounding lambda terms.

To keep track of which variables have been bound by surrounding lambda terms, we construct an environment datatype.

```
type Env = Map Name V
```

Each key of the map corresponds to a bound variable name, and its associated value is the semantic value representing the variable. The environment can be thought of as the scope each subterm is evaluated in. It expands as more variables are bound in deeper subterms.

```
eval :: Expr -> Env -> V
```

eval takes an expression and the environment to evaluate it in, pattern matches on the expression, and returns the interpretation of the term in the semantic set. We now discuss the implementation of each case of the pattern match.

```
eval (ExpVar x) env = case lookup x env of
  Just y -> y
  Nothing -> Neutral (NeVVar x)
```

In the variable case, we lookup the variable in the environment. If the variable was bound by a surrounding lambda term, the variable will be present in the environment, and we can return the semantic value associated with it. Otherwise, the variables is free, so we return a semantic variable with the same name.

```
eval (ExpLam var m) env = Function f where
f :: V -> V
f v = eval m env' where
env' = insert var v env
```

The semantic interpretation of a lambda expression is a Haskell function of type $V \to V$. This function takes an element v of the semantic set V, and returns the body of the lambda evaluated in an extended environment env. In this extended environment, we bind the named variable var to v.

From the variable case, we see that whenever the variable ExpVar var is evaluated in the function body it will be interpreted as v. We can think of v as a semantic placeholder for the value f is applied to (if any). The use of this approach is demonstrated in the application case.

In the application case we evaluate the m and n terms in the same environment, before applying them to app, which handles the application of semantic values.

In the case where the first value is a function f, we evaluate f at the second argument v0. From the lambda case we see that this subcase corresponds to evaluating a redex term. Instead of contracting the redex by substituting at the syntactic level, we evaluate it using function application at the semantic level. The application instantiates the placeholder v at the semantic value v0 in the lambda body.

In the case that the first value is a value n of type NeutralV, there is no redex to contract, so we return a placeholder Neutral application at the semantic level.

2.5 Gensym Reification

Reification proceeds by pattern matching on the semantic value, and recursively reifying its constituent values.

Since evaluating a lambda yields a function, reifying a function should yield a lambda to ensure that normalise preserves terms already in normal form. But what variable should the returned lambda term bind? The new bound variable should be different to all other bound variables in scope, otherwise reify could produce invalid terms. It should also be different to all other free variables in the original term, to prevent free variable capture. Since terms are considered equal up to bound variable renaming by α -equivalence, we can choose any variable name that satisfies these requirements.

One approach to resolve this issue suggested by [7] is to generate a fresh variable name during reification whenever a new bound variable is needed. However, generating fresh variables during the execution of reify would require the function to track which variables have already been bound between calls to reify, which suggests the use of state. This could be modelled using the State monad, in which case reify would have the type signature reify:: V -> State [Name] NormalForm, where [Name] corresponds to a list of variable names that have already been bound. This would allow us to implicitly pass the list of bound variable names between calls to reify. However state introduces additional complexity and makes testing more difficult, which can lead to flawed implementations.

Instead, we opt for a more functional approach. Before the execution of reify, we generate a suitable stream of fresh variable names of type [Name]. By making reify a function of the semantic element and the stream of fresh variables, we can simply pop a fresh variable name from the stream whenever a new variable is bound. In recursive calls, reify only passes the tail of the stream to ensure bound variable names are never reused.

In the neutral case, we use reifyNeutral to convert the value n of type NeutralV to a NeutralForm, which is promoted to a NormalForm by the NfNeutralForm constructor. The reifyNeutral function also proceeds by patten matching.

In the variable case we extract a neutral syntactic variable of the same name as the semantic variable. In the application case we reify the semantic values n and m, and return a neutral syntactic application of the resulting terms. We are able to reify both semantic values using the same fresh variable stream since the returned value is a NeutralForm, which by definition contains no redexes. This means reifiedM will not be substituted into reifiedN, so there will not be any variable name clashes. For example, in the neutral term $(y(\lambda x.x))(\lambda x.x)$ there is no issue in the left and right terms reusing x as a bound variable since there is no ambiguity about which x is being referred to in any part of the term. Since there are no redexes to contract, there is no need to rename the bound variables.

```
reify (Function f) (v:vs) = NfLam v body
where
   body = reify (f (Neutral (NeVVar v))) vs
```

The reification of an abstract semantic function f produces a concrete syntactic description for f. reify abstracts out the argument of f into a syntactic variable v with a lambda expression. In the body of f, we replace the abstract argument with the variable v by applying f to Neutral (NeVVar v). This value has type V, so we can reify it to produce a syntactic representation for the body of f, which completes the term. We reify the term with the stream of fresh variables vs, since the variable name v is bound in the body of the lambda, so is no longer fresh.

Using the implementations of eval and reify, we can define the normalise function as follows.

normalise takes an expression, and returns its normal form. Since normalise returns a value of type NormalForm it is guaranteed that the returned expression is normal. First we evaluate the given expression in the empty environment, since no variables are bound to begin with. Then we reify the returned semantic value of type V back into a concrete NormalForm term.

We produce a stream of valid fresh variable names freshVars of type [Name] for the given expression using the following functions.

getFreeVariables takes an expression and returns the set of free variable names. getFreshVariableStream takes the set of free variable names and returns a stream of fresh variable names, since each of the names are distinct from each other and the free variables.

2.6 de Bruijn NbE

Another approach to resolve the fresh variable problem is to use a different representation of lambda calculus terms where variables are simpler. In general, a variable can be thought of as a pointer to the lambda that binds it. Named terms do this by labelling lambdas and referencing them in variables using their names. de Bruijn terms take a different approach which we describe below, but fundamentally both approaches serve the purpose, so represent the same set of terms.

de Bruijn terms are defined as follows. [4]

In de Bruijn terms, lambda terms are not named, as seen in the definition of DbLam. Instead, each variable refers to the lambda that binds it using a de Bruijn index: the number of lambdas between the occurrence of the variable and the lambda which binds it.

Named Notation	de Bruijn Notation
$\lambda x.x$	$\lambda.0$
$(\lambda x.x)(\lambda y.y)$	$(\lambda.0)(\lambda.0)$
$\lambda x.x(\lambda y.xy)$	$\lambda.0(\lambda.10)$

Figure 2.2: Examples of de Bruijn terms and their equaivalent named terms

Variables with indices greater than the number of bound lambdas are treated as free. For example, we could represent the term $y(\lambda x.xy)$ as $0(\lambda.01)$ using de Bruijn terms. In the above term we have implicitly bound the free variable y to 0 at the top level of the term. Note that we refer to y using the index 1 inside the lambda since the lambda introduces a bound variable in the context of its body. 2 $(\lambda.03)$ is an equivalent term where y is implicitly bound to 2 at the top level.

The changes to the syntax are reflected in the definition of the de Bruijn normal and neutral terms.

We also redefine the semantic set for de Bruijn terms following an implementation by Andreas Abel [2]

The eval function for de Bruijn terms operates similarly to the gensym evaluation function.

```
type Env = Map Int V
eval :: Env -> DbExpr -> V
```

In the de Bruijn implementation, the environment maps from de Bruijn indices to the semantic set, instead of from names.

```
eval env (DbVar x) = case lookup x env of
  Just y -> y
  Nothing -> undefined
```

In the variable case we again lookup the semantic interpretation of the given variable from the environment. In contrast to the gensym approach, we bind free variables in addition to bound variables in the context before the execution of eval. As seen in a previous example, there are many equivalent terms in the de Bruijn syntax depending on the choice of free variable indices. We make the choice explicit by binding free variables indices in the environment before the execution of eval.

This introduces the possibility that eval does not terminate successfully, however in practice this case will never be evaluated

```
eval env (DbLam m) = Function f where
f :: V -> V
f v = eval env' m where
    env' = insert 0 v (mapKeys (+1) env)
```

As in the named approach, the semantic representation chosen for functions is a Haskell function that takes a semantic value v, and returns the semantic interpretation of the lambda body with the bound variable interpreted as v. They key difference in the deBruijn case when working with de Bruijn terms is the construction of the new environment. We first increment all other indicies by 1 since we have introduced a new lambda between each variable and its associated binding. Then, to introduce the new variable bound by the lambda into the environment, we bind the 0th index to v in the shifted environment.

The application case remains exactly the same as in the gensym implementation, so the approach for contracting redexes is identical.

```
reify :: Int -> V -> NormalForm
```

Reification for de Bruijn terms also follows a similar structure to the gensym approach. However, instead of taking a list

2.6.1 Fresh variables solution 2 - Locally nameless terms

Uses de Bruijn Indicies for syntax and deBruijn levels for semantics

Representation of the Simply Typed Lambda Calculus

Before implementing NbE for the STLC, we define datatypes representing the typed lambda calculus in Haskell.

3.1 Types

We first define a type syntax to represent the monotypes of the simply typed lambda calculus.

```
data Ty = BaseTy | Ty :-> Ty
infixr 9 :->
```

In this type syntax there is a single base type BaseTy and an infix type constructor :->, where the type A :-> B represents the function type from type A to type B. For this implementation of NbE, a single base type is sufficient to capture the structure of simple types. Multiple base types would have introduced unnecessary complexity. Normalising terms with polymorphic types is beyond the scope of this project.

infixr :-> 9 specifies that :-> is right associative, so as per convention, the type A :-> C can instead be written A :-> B :-> C.

3.2 Typed terms

For typed NbE, we only normalise well-typed terms of the lambda calculus. Although well-typed terms are a subset of the untyped terms, the definition of untyped terms from Chapter 2 doesn't carry enough information to check that terms are well-typed. Instead, we define a richer definition of typed terms that also carry type information proposed by Richard Eisenberg [3]. This information will be stored in the Haskell type of each term value by utilising compiler extensions for GHC. In fact, terms will be well typed by construction.

3.2.1 GADTs

[3] Explicit type constructor arguments Language extensions: DataKinds, TypeOperators, PolyKinds, GADTs.

Example 1: Vec - indexed type advantage since total function

Fails for replicate without work [9]

Advantage over ADTs: type refinement by constructor

Justification of base type extension work??: string/integer type Example 2: IsElem - value as proof Example 3: Expr - all values well typed by construction

Difference between [] and '[] (kinds vs types) in terms of levels

Input/Ouput type as pre-condition/post-condition (eg empty context)

Normalising the Typed Lambda Calculus

Investigation: Are GADTs in Haskell powerful enough? Types are erased at runtime so true dependent typing not part of Haskell (programs at type level)

Poissible to erase all type information, NbE on Untyped Issue: No proof that type preserved Solution: Track types as do evaluation - nbe program itself proof that types preserved (subject reduction parallel?)

Started by implementing same as untyped

Main difference in semantics (V := a - b - Neutral) [7]

problem: Need to strengthen context evaluating body (eval Lam case)

4.0.1 Solution: Order Preserving Embeddings (OPEs)

Following implementation in Agda [5], agda has full dependent types (type system more powerful) - adapt for haskell, how nicely?

if a term well typed for one context, also well typed for any longer one

A value of type 'OPE strong weak' can derive weak from strong by dropping elements from context OPE is a relation on typing contexts

4.0.2 Semantic set

Defintion of V using OPEs - Haskell vs agda

Need to quantify over 'strong' in function - OPE strong weak is guarentee that strong is a stronger context than weak (if quantified at start end up with values where weak stronger than strong) - need rank2 types extension for nested quantification

Helper functions (composition, strengthing relative to OPE) - explain derivations

4.0.3 implementing Eval

Defintion of environment (maps expressions in syntax context ctx to values in semantics with context ctxV)

problem: in app case how to we get identity OPE for semantic context?

But types erased at compile time to make Haskell efficient

How to generate a value at runtime dependent on type erased at compile time dependent pattern match [6]

4.0.4 Solution: Singleton pattern

Method of Type to value known as reflection [6]

Idea: Create value-level tags for types - singleton types correspond type we're interested in, inhabited by only one value for each case

Examples: Reify case analysis, Ty reflection, Context reflection

Explicitly passing as value to pattern match on

Generate implictly using type class, use class constraint to implictly pass down ability to use contex methods through function calls. Is it a good idea to have class constraints in the GADTs/Syntax definitions?

Implementation in class vs full reflection - test this for speed?

problem: Inferring Any for ctxV (why?)

solution: scoped type variables - universally quantified variables used in type expressions bind over 'where' clause

(More usefully) can 'unpack' refined GADT types so that can create type definitions using refined types.

Analysis:

Have to specify type when normaling for correct eta-expansion (eta-long form)

Qs: How does locally nameless work in sematics? How does ctxV work in Env?

Critical Evaluation

This chapter is intended to evaluate what you did. The content is highly topic-specific, but for many projects will have flavours of the following:

- 1. functional testing, including analysis and explanation of failure cases,
- 2. behavioural testing, often including analysis of any results that draw some form of conclusion wrt. the aims and objectives, and
- 3. evaluation of options and decisions within the project, and/or a comparison with alternatives.

This chapter often acts to differentiate project quality: even if the work completed is of a high technical quality, critical yet objective evaluation and comparison of the outcomes is crucial. In essence, the reader wants to learn something, so the worst examples amount to simple statements of fact (e.g., "graph X shows the result is Y"); the best examples are analytical and exploratory (e.g., "graph X shows the result is Y, which means Z; this contradicts [1], which may be because I use a different assumption"). As such, both positive and negative outcomes are valid if presented in a suitable manner.

Conclusion

The concluding chapter of a dissertation is often underutilised because it is too often left too close to the deadline: it is important to allocation enough attention. Ideally, the chapter will consist of three parts:

- 1. (Re)summarise the main contributions and achievements, in essence summing up the content.
- 2. Clearly state the current project status (e.g., "X is working, Y is not") and evaluate what has been achieved with respect to the initial aims and objectives (e.g., "I completed aim X outlined previously, the evidence for this is within Chapter Y"). There is no problem including aims which were not completed, but it is important to evaluate and/or justify why this is the case.
- 3. Outline any open problems or future plans. Rather than treat this only as an exercise in what you could have done given more time, try to focus on any unexplored options or interesting outcomes (e.g., "my experiment for X gave counter-intuitive results, this could be because Y and would form an interesting area for further study" or "users found feature Z of my software difficult to use, which is obvious in hindsight but not during at design stage; to resolve this, I could clearly apply the technique of Smith [7]").

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Appendix A

An Example Appendix

Content which is not central to, but may enhance the dissertation can be included in one or more appendicies.

Note that in line with most research conferences, the marking panel is not obliged to read such appendices.