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### DEPARTMENT OF COMPUTER SCIENCE

## Variations on Normalisation by Evaluation in Haskell

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to the University of Bristol in accordance with the roof Master of Engineering in the Faculty of Engineering	-
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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 30<sup>th</sup> 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 <a href="http://opencores.org/">http://opencores.org/</a>.
- The web-interface component of my system was implemented by extending the open-source WordPress software available from <a href="http://wordpress.org/">http://wordpress.org/</a>.

# 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  $\beta$ -equal terms "evaluate" to the same semantic value, so  $\beta$ -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

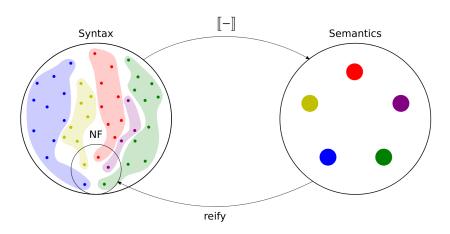


Figure 2.1: A visual overview of the NbE algorithm from [7]

NbE proceeds in two steps. The first is to evaluate terms in the lambda calculus into a semantic set. In 2.1 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

2.1 illustrates why NbE works. The key property of the eval function is that  $\beta$ -equal terms (represented by dots of the same colour in the syntax set) evaluate to the same semantic value. This ensures that  $\beta$ -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 data type 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  $\beta$ -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  $\beta$ -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 v 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  $\alpha$ -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 STLC in Haskell.

### 3.1 Types

We first define a type syntax Ty to represent the monotypes of the STLC.

```
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 the implementation of NbE in Chapter 4, a single base type is sufficient to capture the structure of simply typed terms. 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 First Attempt at Typed Terms

For typed NbE, we only normalise well-typed terms of the lambda calculus. To ensure that our terms are well-typed, expressions should track the type of the term and its typing context. We consider the following implementation of typed expressions.

This implementation uses the de Bruijn style explored in Chapter 2, with an additional Ty parameter to store the type of the term, and a [Ty] parameter to store the typing context.

However, with this implementation it is possible to construct terms which are not well-typed such as Var BaseTy [] 0. This is because the set of representable terms is exactly the set of untyped terms, many of which are not well-typed. We could have a separate type-checking function to verify whether terms are well-typed before normalisation, but there would be no guarantee that the normalisation function produces well-typed terms.

Instead, we opt for an approach where the only inhabitants of Expr are well-typed terms. This guarantees that terms are well-typed before and after normalisation, and removes the additional complexity of a type-checker. To implement a datatype of terms that are well-typed by construction, we need to do more than simply add the type and typing context of each term. We also need to restrict the construction of terms based on the typing judgement rules of the STLC. In Section 3.5, we present a method for specifying these type restrictions developed by Richard Eisenberg [3], using GADTs.

### 3.3 Introduction to Generalised Algebraic Datatypes (GADTs)

GADTs are a generalisation of algebraic datatypes, where the type signature of each constructor is explicitly specified. The canonical example of a GADT is the length-indexed vector, where the length of each vector is tracked in its type.

To track the length of the vector in its type, we first need a way of representing numbers at the type-level. A standard way of representing the natural numbers at value-level is as follows:

```
data Nat = Zero | Succ Nat
```

We use the DataKinds compiler extension to automatically create a kind Nat, with the same structure as the original Nat datatype. The promoted kind Nat has the inhabitants 'Zero and 'Succ, which are denoted as types with apostrophes to prevent ambiguity with their value-level counterparts. These inhabitants are type constructors, where 'Zero has kind Nat, and 'Succ has kind Nat  $\rightarrow$  Nat.

Level	Original ADT	Promoted Kind
Kinds		Nat
Types	Nat	'Zero, 'Succ
Values	Zero, Succ	

Figure 3.1: Illustration of the promoted kinds and types automatically created by DataKinds

We use the 'Zero and 'Succ type constructors to represent numbers at the type level. Using the GADTs extension we now define the datatype for length-indexed vectors using GADT syntax.

```
data Vec :: * -> Nat -> * where
  ZeroVec :: Vec a 'Zero
  SuccVec :: a -> Vec a n -> Vec a ('Succ n)
```

[3]

A value of type Vec a n is a vector of n elements of type a. For this definition we also require the KindSignatures compiler extension to specify the kind signature of Vec in the first line of the definition. This specifies that the first type parameter of Vec, denoting the type of the elements of the vector, should be of kind \*. This is because the type of the elements of the vector could be any concrete type, all of which are inhabitants of \*. The first line also specifies that the second type parameter of Vec, denoting the length of the vector, should be a type inhabiting the promoted kind Nat, which we use to represent a type-level number. The returned kind \* in the kind signature specifies that each vector has a concrete type of kind \*.

Since Vec is a GADT, the types of each constructor are given explicitly. The ZeroVec constructor creates a vector with elements of any type (since a is universally quantified over) of length 'Zero. The SuccVec constructor takes a value of type a and a vector of n elements of type a, and returns a new vector of length 'Succ n. For example, the vector SuccVec "a" (SuccVec "b" ZeroVec) has type Vec String ('Succ ('Succ 'Zero)).

An immediate advantage of using GADT length-indexed vectors over standard lists is that we can define a new function head, which only operates on vectors containing at least one element.

```
head' :: Vec a (Succ n) \rightarrow a head' (SuccVec x xs) = x
```

The additional type precision awarded by GADTs moves errors from run-time to compile-time.

### 3.4 Elem GADT

Before using GADTs to construct the set of well-typed expressions, we first define the Elem GADT. A value of type Elem xs x is a proof that the type x is an element of the list of types xs.

```
data Elem :: [a] -> a -> * where
  Head :: Elem (x ': xs) x
  Tail :: Elem xs x -> Elem (y ': xs) x
```

[3]

The Head constructor produces a proof that x is an element of any list beginning with x. Given a value of type Elem xs x, the Tail constructor produces a proof that x is an element of the extended list y:xs for any element y. For example, the value Tail Head could have type Elem '["a","b","c","d"] "b" or type Elem '[4, 5] 5.

Note that all elements of said lists are at the type level, so we need a promoted type-level version of the (:) list constructor. Promotion to the type-level constructor '(:) is handled by DataKinds, however we need to enable the TypeOperators extension to allow the use of the infix operators at type-level. Without the TypeOperators extension we could use the syntax Elem ('(:) x xs) in the definition of Head, however this is harder to read.

[a] is the kind consisting of lists with type-level elements of the same kind a, rather than the standard list of value-level elements of the same type. To write this polymorphic kind signature we need the PolyKinds extension, which extends the KindSignatures extension by enabling polymorphic kind signatures. Since KindSignatures is a dependency of PolyKinds it is implicitly enabled when using PolyKinds, so we can replace the KindSignatures extension declaration with PolyKinds.

### 3.5 Typed Expression Syntax

We are now ready to define the Expr GADT which represents the set of well-typed terms of the STLC.

```
data Expr :: [Ty] -> Ty -> * where
   Var :: Elem ctx ty -> Expr ctx ty
   Lam :: Expr (arg ': ctx) result -> Expr ctx (arg ':-> result)
   App :: Expr ctx (arg ':-> result) -> Expr ctx arg -> Expr ctx result
```

A value of type  $\mathsf{Expr}$   $\mathsf{ctx}$   $\mathsf{ty}$  is a well-typed expression of the STLC of type  $\mathsf{ty}$  in the typing context  $\mathsf{ctx}$ . Hence,  $\mathsf{Expr}$  encodes the set of valid typing judgements, where each constructor encodes a typing judgement rule in its type. The nth element of the context corresponds to the type of the bound variable with de Bruijn index n.

The Var constructor corresponds to the variable typing judgement rule. Instead of indexing variables by names or de Bruijn indices as we saw in Chapter 2, typed variables are indexed by an Elem value.

A variable can only be a well-typed expression of type ty if ty is present in the typing context. The argument of type Elem ctx ty proves that ty is in the typing context ctx. Thus, it is impossible to construct a variable which is not well-typed.

From inspecting the constructors of Elem, we notice that all Elem values take the form of Tail ( ... (Tail Head) ... ). The Elem value with n tail constructors refers to nth most recently bound variable in the typing context, and hence to the variable with de Bruijn index n. For example Var (Tail Head) could have type Expr '[BaseTy, BaseTy:-> BaseTy, BaseTy] ('BaseTy:-> 'BaseTy), where Tail Head has the type Elem '[BaseTy, BaseTy:-> BaseTy, BaseTy] ('BaseTy:-> 'BaseTy). Here Tail Head refers to the bound variable with de Bruijn index 1 (since it has one Tail constructor), which we see from the context has type BaseTy:-> BaseTy.

The Lam constructor corresponds to the abstraction typing judgement rule. Given a well-typed expression of type result in the context arg:ctx, we can abstract out the first variable of context into a bound variable with a lambda expression, producing a new term with the function type arg:-> result in the weakened context. We refer to the argument of the Lam constructor as the body of the lambda.

The App constructor corresponds directly to the application typing judgement rule, where we can apply one term to another if they share the same context ctx and the type of the second term matches the argument type arg of the first term.

Using this implementation for Expr, it is guaranteed that an expression of type Expr ctx ty is well-typed. In Chapter 4, we will see how Expr's constructors are used to form new expressions guaranteed to be well-typed by their type.

Note that the apostrophes on type-level constructors are not required for successful compilation, as GHC can infer whether the constructor is type-level or value-level automatically.

# Normalising the Typed Lambda Calculus

In this chapter, we translate an Agda implementation of NbE developed by Andras Kovacs [5] for the STLC into Haskell.

### 4.1 Target Syntax

We construct the set of the simply typed normal terms NormalForm by combining the approach seen for the untyped terms in Chapter 2 with the GADT syntax from Chapter 3 to ensure NormalForm's inhabitants are well-typed.

### 4.2 Order Preserving Embeddings

In the lambda case of eval, NbE evaluates the body of the lambda in a stronger context where a new bound variable is introduced (as seen in Chapter 2). To continue the evaluation of the body ...

```
data OPE :: [Ty] -> [Ty] -> * where
    Empty :: OPE '[] '[]
    Drop :: OPE ctx1 ctx2 -> OPE (x : ctx1) ctx2
    Keep :: OPE ctx1 ctx2 -> OPE (x : ctx1) (x : ctx2)
```

A value of type OPE a b is a proof that the list of types b is a subsequence of a. The three constructors of OPE correspond to the different ways of constructing such a proof. The Empty constructor corresponds to the trivial statement that the empty list contains itself. Given a proof that ctx2 is embedded in ctx1, the Drop constructor extends the proof to show that ctx2 is embedded in x:ctx1, and the Keep constructor extends the proof to show that x:ctx2 is embedded in x:ctx1. For example, Drop (Keep Empty)) could have the (Haskell) type OPE '[BaseTy :-> BaseTy, BaseTy] '[BaseTy].

### 4.3 Semantic Set

In Andras Kovacs' implementation of NbE [5], the type of the semantic set is determined by the function  $Ty^N$ . This function takes a type and context expression as values, and returns the type of the corresponding semantic set, where Set can be thought of as kind \*. In Haskell we do not have a way to directly

Figure 4.1: Agda implementation of the typed semantic set from [5]

express a function which takes values and returns types. Instead we define the GADT V which represents the typed semantic set.

V is indexed by a context of kind [Ty] and a type of kind Ty, which were value-level function arguments in 4.1. V is necessarily indexed by these parameters at the type level since normalise should return a normal form with the same context and type as the given syntactic expression. reify is a pure function of the semantic set, so V must preserve this type-level information.

Ty<sup>N</sup> pattern matches on the type argument and is defined in two cases: a base type case and a function case, where the Agda implementation uses  $\iota$  for BaseTy. In our implementation the expression type is not given as a value-level argument that can be pattern matched on, so instead we use constructors to emulate a similar behaviour. From the return type of the constructors we see that values of V with type BaseTy can only be created by the Base constructor. Thus, if we are given a value of type V ctx BaseTy, GHC can deduce the value takes the form Base n where n:: NormalExpr ctx Expr. n is an inhabitant of the type returned by the Agda implementation in the base type case. Similarly, given a value of type V ctx (A:->B), GHC can deduce that the value must have the form Function f, since only the Function constructor can produce semantic values with function type. Again, we can extract a semantic value of the correct type since the type of f is exactly the type specified by the function type case of Ty<sup>N</sup>. Thus, we have successfully mimicked the behaviour of Ty<sup>N</sup> in Haskell.

The argument to the Function constructor has following the type signature.

```
forall ctx' . OPE ctx' ctx -> V ctx' arg -> V ctx' result
```

By default, in GHC, there is only have one "level" of polymorphism, where type variables are implicitly universally quantified. However, as seen in 4.1, we want to treat ctx as fixed, before quantifying over ctx', where we use ctx instead of  $\Gamma$  and ctx' instead of  $\Delta$ . To achieve this we use higher-ranked polymorphism with the explicit forall syntax to delay the quantification of ctx' until after ctx has been bound. To enable higher ranked polymorphism, we use the Rank2Types extension.

The OPE parameter acts as a precondition requiring a proof that ctx' contains ctx, so intuitively this type quantifies over all contexts containing ctx.

### 4.4 Evaluation

In this section we implement the typed eval function.

#### 4.4.1 Environment

As in the untyped implementation of NbE, during evaluation we need an environment to track bound variables and their associated semantic values. Since our variables have the same structure as de Bruijn indices, it suffices to use a list as the environment, where the nth element of the list corresponds to the variable with de Bruijn index n.

```
data Env :: [Ty] -> [Ty] -> * where
   EmptyEnv :: Env '[] ctxV
ConsEnv :: Env ctx ctxV -> V ctxV ty -> Env (ty : ctx) ctxV
```

From the constructors, we see that the Env GADT has the same value-level structure as the standard Haskell list. However, we have used GADT syntax to enforce additional restrictions on the types of the

elements in the environment. From the kind signature, we see that Env is indexed by two typing contexts. From the constructor types, we see that the first of these tracks the types of the semantic elements stored in the environment. The second typing context is the typing context shared by all semantic values stored in the environment. The motivation for indexing Env by these typing contexts is due to envLookup function defined below in 4.4.2.

### 4.4.2 Variable Case

Now that we have defined the environment, we can begin implementing the evaluation function eval.

```
eval :: Env ctx ctxV -> Expr ctx ty -> V ctxV ty
```

As before, we pattern match on each of the three expression constructors. We start with the variable case.

As in the untyped case, for variables we lookup the semantic value associated with the bound variable from the environment. Since variables are indexed by an Elem value, envLookup takes an Elem value and returns the associated semantic value.

The additional type information allows us to make guarantees about the lookup. Since n is a value of type Elem ctx ty, we know that ty exists somewhere in the list ctx. Since Env is also indexed by the same context ctx, which tracks the types of the semantic values in the environment, it is guaranteed that the semantic value at the corresponding de Bruijn index exists in the environment with type ty. Thus, envLookup doesn't have to handle the case where the variable is not in the environment like in the untyped implementation; the types guarantee that all variables possible in the context ctx are bound in the environment.

Since all semantic values in the environment have the same typing context ctxV, we can also be sure that the returned semantic value has the context ctxV.

Note that envLookup does not pattern matched on the EmptyEnv case. The types ensure that this case is never required since EmptyEnv has type Env '[] ctxV, and there are no inhabitants of the type Elem '[] x for any x. Here Elem ctx ty acts like a pre-condition on envLookup.

### 4.4.3 Lambda Case

Before implementing the lambda case of eval we define the function strengthenEnv with type signature OPE ctxV' ctxV -> Env ctx ctxV -> Env ctx ctxV'. strengthenEnv takes an OPE ctxV' ctxV and an environment, and returns the same environment where each semantic value has the expanded context ctxV'. To implement strengthenEnv, we first build a series of functions for strengthening each constituent part of a semantic value.

```
strengthenElem :: OPE strong weak -> Elem weak ty -> Elem strong ty
strengthenElem (Drop ope) v = Tail (strengthenElem ope v)
strengthenElem (Keep ope) (Tail v) = Tail (strengthenElem ope v)
strengthenElem (Keep ope) Head = Head
```

First we strengthen Elem values which index variables. We use the naming convention OPE strong weak since strong contains at least as many bindings as weak. Intuitively if ty is an element of the context weak, then it is also an element of any context strong containing weak.

```
strengthenNormal :: OPE strong weak -> NormalExpr weak ty -> NormalExpr strong ty strengthenNormal ope (NormalNeutral n) = NormalNeutral (strengthenNeutral ope n) strengthenNormal ope (NormalLam n) = NormalLam (strengthenNormal (Keep ope) n) strengthenNeutral :: OPE strong weak -> NeutralExpr weak ty -> NeutralExpr strong ty strengthenNeutral ope (NeutralVar n) = NeutralVar (strengthenElem ope n) strengthenNeutral ope (NeutralApp f a) = NeutralApp (strengthenNeutral ope f)
```

```
(strengthenNormal ope a)
```

strengthenNeutral and strengthenNormal strengthen entire expressions. Intuitively any well-typed expression in one context should also be well-typed in any larger context containing original, since adding variable bindings will not invalidate existing type judgements. strengthenNormal essentially encodes weakening for the normal form subset of the STLC.

In the NormalLam case, type refinement guarantees that the context for the body of the lambda binds an additional variable. Hence, we have to expand the given OPE with an additional Keep. In the strengthenNeutral case we use strengthenElem to point variables to their updated de Bruijn indices in the expanded context.

strengthenV takes an OPE and a value of the semantic set, and strengthens the semantic value according to the given OPE.

If ope':: strongest strong and v:: V strongest arg, then to satisfy the type restrictions of the semantic set in the Function case, we need to apply v to f with an OPE of type OPE strongest weak. We produce such an OPE using the composeOPEs function, which implements transitivity for two OPEs.

However, GHC automatically infers that f':: OPE Any strong -> V Any arg -> V Any result, which leads to a failure to compile at type-checking. This error occurs since all the contexts which GHC has inferred as Any must be the same to satisfy type-checking, and since values of type Any can be different, GHC cannot deduce necessary type equalities between these contexts.

To resolve this issue we use type annotations, which are enabled by the ScopedTypeVariables extension. ope :: OPE strong weak binds the type variables strong and weak in the body of the case. We also bind the type variables for the constructor argument f. In the automatically inferred type signature for f', arg and result were universally quantified. In the new type-annotated implementation, these type-variables are bound to the types of the arguments. We can then use these bound variables to specify the type of f', where we explicitly declare that the contexts inferred as Any must be the same context stronger. With this additional type information, type-checking succeeds and the program compiles.

strengthenEnv maps over the elements of the environment, strengthening each one in turn with the strengthenV function.

Now we are ready to implement the lambda case of the eval function.

As in the untyped implementation, in the lambda case eval returns a semantic function that maps from a semantic argument v to the evaluated body of the lambda. We evaluate the body in an updated environment where we have bound the variable Var Head to v. However, if ope :: ctxV' ctxV then v has the context ctxV' whereas all the elements of env have context ctxV, so we cannot immediately add v to env. Instead, we have to strengthen the contexts of all the elements of the env using the given ope argument and strengthenEnv, which yields the strengthened environment of type Env ctx ctxV'. Now the contexts of the elements of the modified environment match the context ctxV' of v, so we can add v to the modified environment.

As in the Function case of strengthenV, the type of f that GHC infers is OPE Any ctxV -> V Any arg -> V Any result, which is too general and causes compilation to fail at type-checking.

Once we have annotated the argument types, type-checking and compilation succeed.

### 4.4.4 Application Case

```
id<sub>e</sub> : \forall {\Gamma} \rightarrow OPE \Gamma \Gamma id<sub>e</sub> {•} = • id<sub>e</sub> {\Gamma , A} = keep (id<sub>e</sub> {\Gamma})
```

Figure 4.2: Agda implementation of the identity OPE from [5]

Before implementing the lambda case of eval, we need to define the identity OPE function from figure 4.2 in Haskell. This function pattern matches on the type-level context  $\Gamma$  and produces the identity OPE proving that  $\Gamma$  is contained in  $\Gamma$ . In Haskell, standard functions cannot pattern match on types, so we use an alternative construction to pattern match at the type level.

```
class SingContext ctx where
   idOpe :: OPE ctx ctx

instance SingContext '[] where
   idOpe = Empty

instance (SingContext xs) => SingContext (x:xs) where
   idOpe = Keep idOpe
```

We create a class SingContext with a single method idOpe, which will return the identity OPE for the context ctx. We then use class instances to pattern match on the type of ctx. In the empty context case, idOpe returns the Empty OPE. In the x:xs case, we require that the type xs has a SingContext instance which grants us the ability to use the idOpe :: OPE xs xs function in the class instance. Applying the OPE for the tail of the list to the Keep constructor produces the identity OPE for the whole list.

The class instances essentially form a map from types to implementations of idOpe. Since ctx is a type variable that might not be known until runtime, the process of resolving the correct implementation to use could take place at runtime. This is surprising given that without extensions, GHC erases all type information during compilation.

We are now ready to define the application case of the eval function

```
eval env (App f a) = appV (eval env f) (eval env a)
    where
        appV (Function f') a' = f' (idOPEFromEnv env) a'

idOPEFromEnv :: (SingContext ctxV) => Env ctx ctxV -> OPE ctxV ctxV
    idOPEFromEnv _ = idOpe
```

We first evaluate both terms of the application into the semantics, and then perform application at the semantic level using the appV function.

From the definition of Function, we can evaluate our function with a semantic argument in any context stronger than ctxV, where the OPE argument is a witness to the stronger context. Since a' has the same context ctxV as Function f', we evaluate the semantic function f' at ctxV by choosing the OPE of type OPE ctxV ctxV. We produce such a value using the idOPEFromEnv function. This function takes an environment but throws away the value since the only information needed to produce the OPE is the type-level semantic context ctxV. The SingContext ctxV constraint awards us the idOPE :: OPE ctxV ctxV function, which handles the type level pattern match on ctxV and produces the identity OPE of ctxV.

To ensure that <code>ctxV</code> is an element of the <code>SingContext</code> class, we add the same constraint to <code>eval</code>'s type signature to give <code>eval</code>:: (<code>SingContext ctxV</code>) => <code>Env ctx ctxV</code> -> <code>Expr ctx ty -> V ctxV</code> ty. Without this additional constraint, GHC cannot be sure that <code>ctxV</code> is a member of the <code>SingContext</code> class, so the constraint on <code>idOPEFromEnv</code> is not satisfied, and compilation fails. However, any function that uses <code>eval</code> now also has to prove that <code>ctxV</code> has a <code>SingContext</code> instance to satisfy <code>eval</code>'s constraint. By adding class constraints, we implicitly propagate this guarantee back through the call-stack. Eventually we reach a point where the <code>ctxV</code> variable is instantiated with a concrete type that GHC can infer has a <code>SingContext</code> instance, which it can't do for arbitrary type variables like <code>ctxV</code>. This adds boilerplate code to type signatures, but is necessary to ensure type-checking succeeds and does not impact the implementation of the functions themselves. For successful compilation we would need to retrofit previously defined code with the necessary class constraints, but since these constraints do not affect the operation of functions, we omit them for brevity.

Since it is guaranteed by the Expr GADT that f has a function type, it is guaranteed by eval that its semantic interpretation eval env f also has a function type. Thus, we only need to define the Function case of appV, since Function is the only constructor of V that can produce a semantic value of function type. In fact, when the appV (Base v)  $a = \dots$  case is included, GHC detects that the pattern match is redundant and issues an Inaccessible code warning at compile time.

### 4.5 Reification

```
reify :: V ctx ty -> NormalExpr ctx ty
reify (Base nf)
reify (Function f) = NormalLam (reify (f ope (evalNeutral (NeutralVar Head))))
        ope = weakenContext (Function f)
        weakenContext :: (SingContext ctx) => V ctx ty -> OPE (x:ctx) ctx
        weakenContext = wk
evalNeutral :: (SingTy ty, SingContext ctx) => NeutralExpr ctx ty -> V ctx ty
evalNeutral = evalNeutral' singTy
evalNeutral' :: (SingContext ctx) => STy ty -> NeutralExpr ctx ty -> V ctx ty
evalNeutral' SBaseTy
                                                                   = Base (NormalNeutral n)
                           n
evalNeutral' (SArrow _ _) (n :: NeutralExpr ctx (arg :-> result)) = Function f
    where
        f :: (SingContext strongerCtx) => OPE strongerCtx ctx -> V strongerCtx arg -> V strongerCtx result
        f ope v = evalNeutral (NeutralApp (strengthenNeutral ope n) (reify v))
data STy :: Ty -> * where
    SBaseTy :: STy BaseTy
    SArrow :: (SingTy a, SingTy b) => STy a -> STy b -> STy (a :-> b)
class SingTy a where
    singTy :: STy a
instance SingTy 'BaseTy where
    singTy = SBaseTy
instance (SingTy a, SingTy b) => SingTy (a :-> b) where
```

```
singTy = SArrow singTy singTy

class SingContext ctx where
  idOpe :: OPE ctx ctx
  wk :: OPE (x:ctx) ctx
  wk = Drop idOpe
```

### 4.6 Normalisation

```
normalise :: (SingContext ctx) => Expr ctx ty -> NormalExpr ctx ty
normalise = reify . eval initialEnv

class SingContext ctx where
   idOpe :: OPE ctx ctx
   wk :: OPE (x:ctx) ctx
   wk = Drop idOpe
   initialEnv :: Env ctx ctx

instance SingContext '[] where
   idOpe = Empty
   initialEnv = EmptyEnv

instance (SingContext xs, SingTy x) => SingContext (x:xs) where
   idOpe = Keep idOpe
   initialEnv = ConsEnv (strengthenEnv wk initialEnv) (evalNeutral (NeutralVar Head))
```

### 4.7 For presentation

```
evalNeutral :: (SingTy ty) => NeutralExpr ctx ty -> V ctx ty
evalNeutral = evalNeutral' singTy
evalNeutral' :: STy ty -> NeutralExpr ctx ty -> V ctx ty
evalNeutral' SBaseTy
                        n = \dots
evalNeutral' (SArrow _ _) n = ...
evalNeutral :: STy ty -> NeutralExpr ctx ty -> V ctx ty
                       n = ...
evalNeutral SBaseTy
evalNeutral (SArrow _ _) n = ...
eval (env :: Env ctx ctxV) (Lam (body :: Expr (arg:ctx) result)) = Function f
       f :: OPE ctxV' ctxV -> V ctxV' arg -> V ctxV' result
        f ope v = \dots
eval env (Lam body) = Function f
   where
       f ope v = \dots
```

### 4.8 Notes

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

Advantage over ADTs: type refinement by constructor

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 - i, b — Neutral) [7] problem: Need to strengthen context evaluating body (eval Lam case)
```

### 4.8.1 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

#### 4.8.2 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

### 4.8.3 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]

### 4.8.4 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.