

The λ -calculus

Lecturer: John Wickerson

A tiny bit of Java

expr ::=

expr + *expr*
| *expr* < *expr*
| x
| n

block ::=

cmd
| { *cmd* ... *cmd* }

cmd ::=

expr;
| if(*cmd*) *block* else *block*;
| if(*cmd*) *block*;
| try{ *cmd* } finally{ *cmd* ... *cmd* } ;
| while(*cmd*) *block*;
| ...

A tiny bit of Haskell

expr ::=

expr + *expr*

| *expr* < *expr*

| x

| n

| let x = *expr* in *expr*

| if *expr* then *expr* else *expr*

| *expr* *expr*

| \x . *expr*

| *expr* : *expr*

| []

| true

| false

| (*expr*, *expr*)

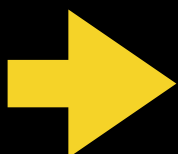
The whole λ -calculus

$$\begin{array}{l} M ::= \\ \lambda x. M \\ | M M \\ | x \end{array}$$

The λ -calculus is ...

- The simplest programming language in the world
- A training ground for studying other programming languages

Outline

- 
1. **Syntax** (free variables, α -equivalence, substitution)
 2. **Semantics** (β -reduction, confluence, reduction strategies)
 3. **Usage** (encoding arithmetic, recursion)

Examples

- $\lambda x. x$

- $\lambda x. y$

- $(\lambda x. x)(\lambda y. y)$

- $\lambda x. \lambda y. \lambda z. x$

- $(\lambda x. x)(\lambda y. \lambda z. x (y z))(\lambda x. y x x)$

$$\lambda x. \lambda y. \lambda z. M = \lambda xyz. M$$

$$M_1 M_2 M_3 = (M_1 M_2) M_3$$

$$M ::=$$

$$\lambda x. M$$

$$| M M$$

$$| x$$

KEY CONCEPT

$\lambda x. x y$

binder

bound variable

free variable

Free variables

- Let $FV(M)$ denote the set of free variables in the λ -term M .
- For instance: $FV(\lambda x. y) = \{y\}$.
- If $FV(M) = \emptyset$ then we say M is "closed".

α -equivalence

- For example: $(\lambda x. x) =_{\alpha} (\lambda y. y)$
- `int i; for(i=0; i<5; i++) x+=i;`
- $(\lambda x. x (\lambda y. y) y) =_{\alpha} ? (\lambda y. y (\lambda x. x) x)$ 😡
- $(\lambda x. x (\lambda y. y) y) =_{\alpha} ? (\lambda y. y (\lambda x. x) y)$ 😡
- $(\lambda x. x (\lambda y. y) y) =_{\alpha} ? (\lambda w. w (\lambda w. w) y)$ 😊
 $(\lambda z. z (\lambda y. y) y) =_{\alpha} ? (\lambda z. z (\lambda w. w) y)$
 $(\lambda z. z (\lambda z. z) y) =_{\alpha} ? (\lambda z. z (\lambda z. z) y)$

α -equivalence

$M ::=$

- $\lambda x. M$
- $| M M$
- $| x$

$$\frac{}{X =_{\alpha} X} \qquad \frac{M =_{\alpha} M' \quad N =_{\alpha} N'}{M N =_{\alpha} M' N'}$$

$$\frac{z \notin \text{FV}(M) \cup \text{FV}(N) \quad M[z/x] =_{\alpha} N[z/y]}{(\lambda x. M) =_{\alpha} (\lambda y. N)}$$

Substitution

- Replace `e` with `2.718` in

```
try {  
    f.writeFloat(e ^ 2);  
} catch (IOException e) {  
    e.printStackTrace();  
}
```

Substitution

let **x**=4***y** in let **y**=w+5 in **x*****y**

Substitution

let **y**=w+5 in 4***y*****y** 🤨

Substitution

let **x**=4***y** in let **z**=w+5 in **x*****z**

Substitution

let **z**=w+5 in 4*y*z 😊

Substitution

$$M ::=$$

$$\lambda x. M$$

$$| M M$$

$$| x$$

- $y[M/x] = \begin{cases} M & \text{if } y=x \\ y & \text{if } y \neq x \end{cases}$

- $(\lambda y. N)[M/x] = \begin{cases} \lambda y. N & \text{if } y=x \\ \lambda z. N[z/y][M/x] & \text{if } y \neq x \end{cases}$

where $z \notin FV(M) \cup (FV(N) - \{y\}) \cup \{x\}$

- $(N_1 N_2)[M/y] = (N_1[M/y])(N_2[M/y])$

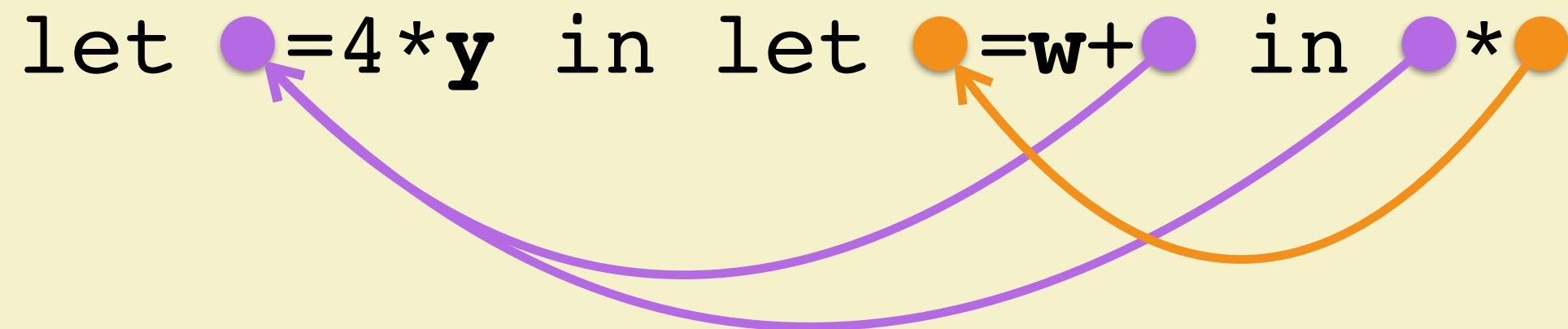
KEY CONCEPTS

α -equivalence

capture-avoiding substitution

DeBruijn indices

let **x**=4***y** in let **z**=**w**+**x** in **x*****z**



DeBruijn indices

- $\lambda x. \textcolor{green}{x} \quad \Rightarrow \quad \lambda. \textcolor{green}{0}$
- $\lambda x. \textcolor{red}{y} \quad \Rightarrow \quad \lambda. \textcolor{red}{y}$
- $(\lambda x. \textcolor{green}{x})(\lambda y. \textcolor{green}{y}) \quad \Rightarrow \quad (\lambda. \textcolor{green}{0})(\lambda. \textcolor{green}{0})$
- $\lambda x. \lambda y. \lambda z. \textcolor{green}{x} \quad \Rightarrow \quad \lambda. \lambda. \lambda. \textcolor{green}{2}$
- $(\lambda x. \textcolor{green}{x})(\lambda y. \lambda z. \textcolor{red}{x} (\textcolor{green}{y} \textcolor{green}{z}))(\lambda x. \textcolor{red}{y} \textcolor{green}{x} \textcolor{green}{x})$
 $\Rightarrow (\lambda. \textcolor{green}{0})(\lambda. \lambda. \textcolor{red}{x} (\textcolor{green}{1} \textcolor{green}{0}))(\lambda. \textcolor{red}{y} \textcolor{green}{0} \textcolor{green}{0})$

Outline

- ✓ 1. Syntax (free variables, α -equivalence, substitution)
- ➡ 2. Semantics (β -reduction, confluence, reduction strategies)
- 3. Usage (encoding arithmetic, recursion)


Java semantics

$$\frac{(C, \sigma) \longrightarrow (C', \sigma')}{(\text{if}(C)S, \sigma) \longrightarrow (\text{if}(C')S, \sigma')}$$

$$\frac{}{(\text{if}(\text{true})S, \sigma) \longrightarrow (S, \sigma)}$$

$$\frac{}{(\text{if}(\text{false})S, \sigma) \longrightarrow (\text{skip}, \sigma)}$$

λ -calculus semantics

"redex" 

$$\frac{}{(\lambda x. M) N \longrightarrow_{\beta} M[N/x]}$$

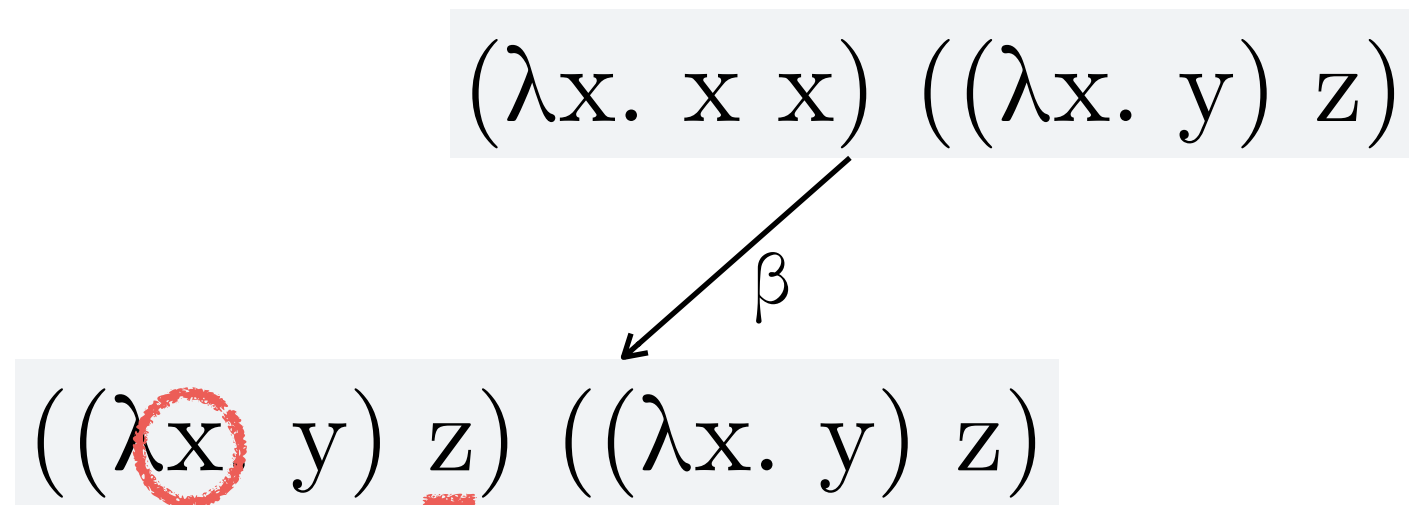
$$\frac{M \longrightarrow_{\beta} M'}{\lambda x. M \longrightarrow_{\beta} \lambda x. M'} \quad \frac{M \longrightarrow_{\beta} M'}{M N \longrightarrow_{\beta} M' N} \quad \frac{N \longrightarrow_{\beta} N'}{M N \longrightarrow_{\beta} M N'}$$

$$\frac{M =_{\alpha} M' \quad M' \longrightarrow_{\beta} N' \quad N' =_{\alpha} N}{M \longrightarrow_{\beta} N}$$

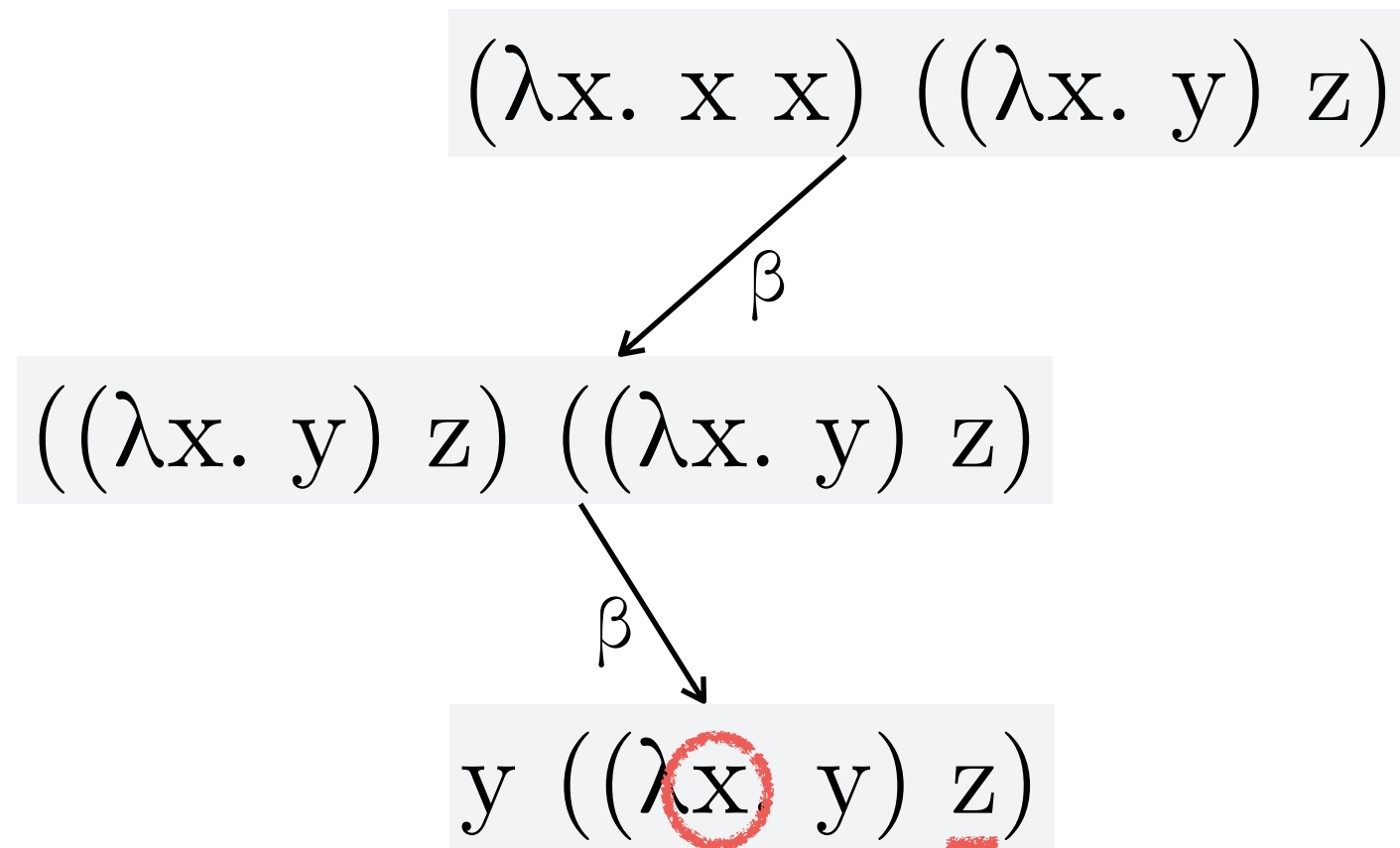
β -reduction examples

$(\lambda x. x x) ((\lambda x. y) z)$

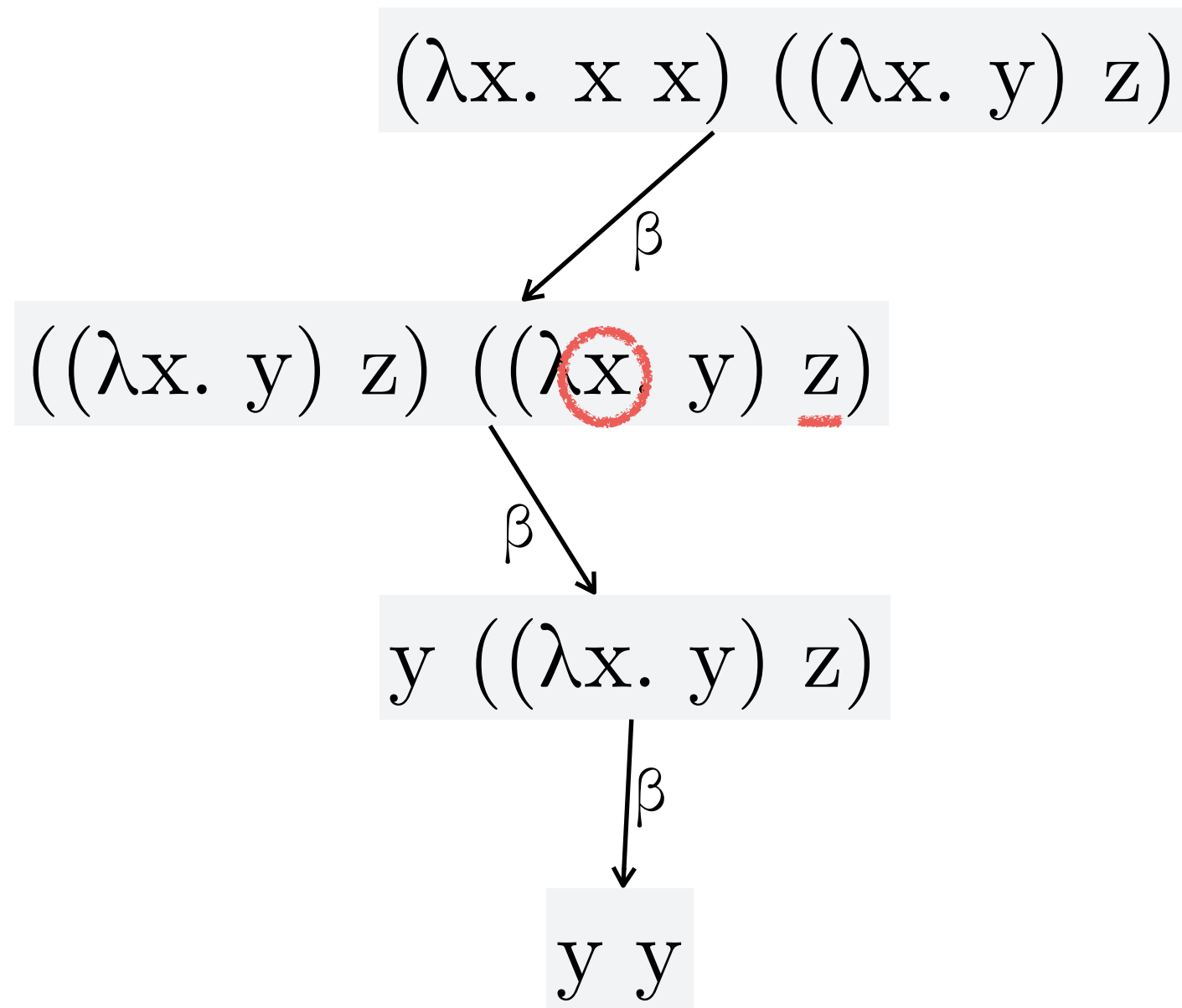
β -reduction examples



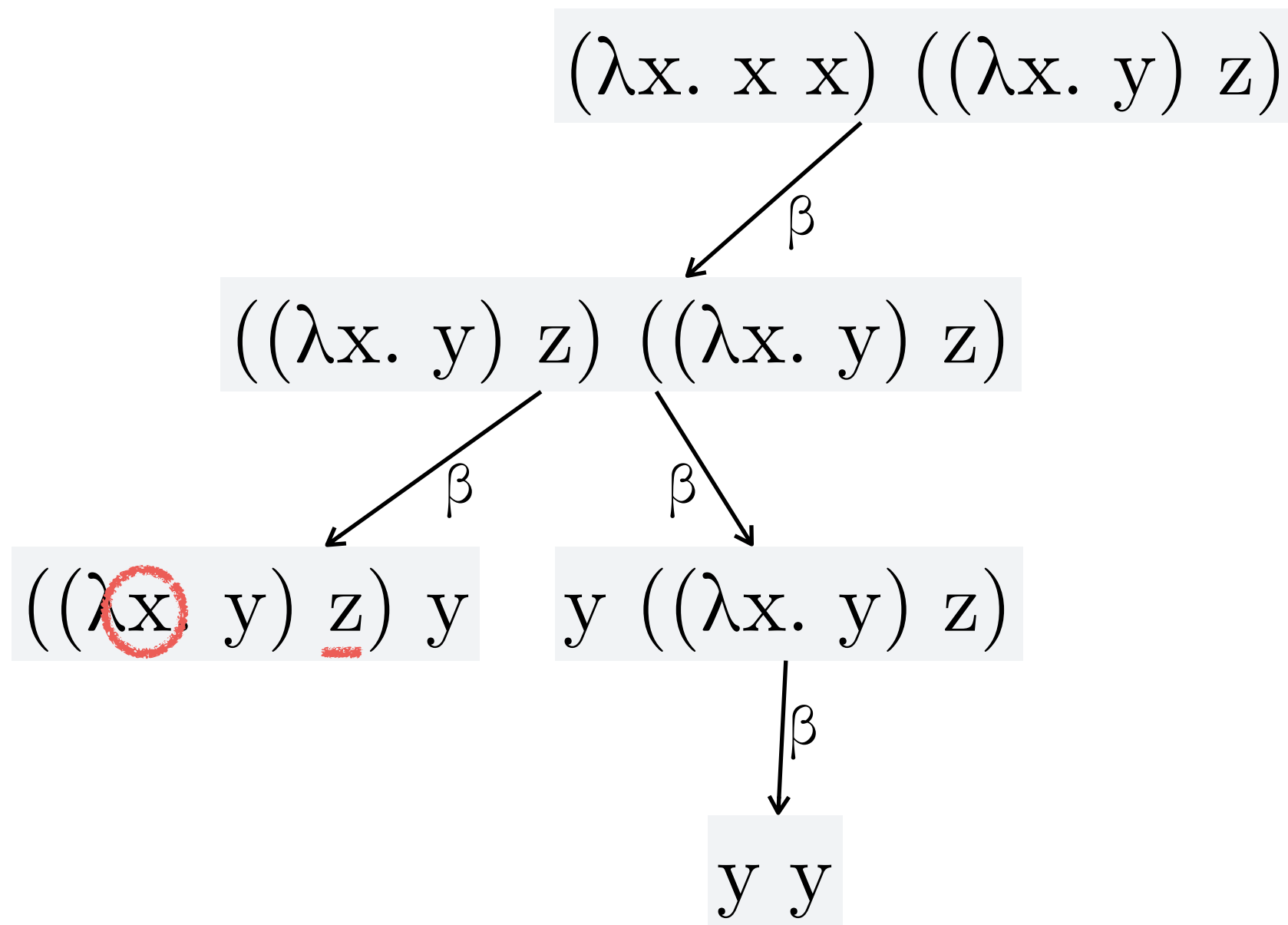
β -reduction examples



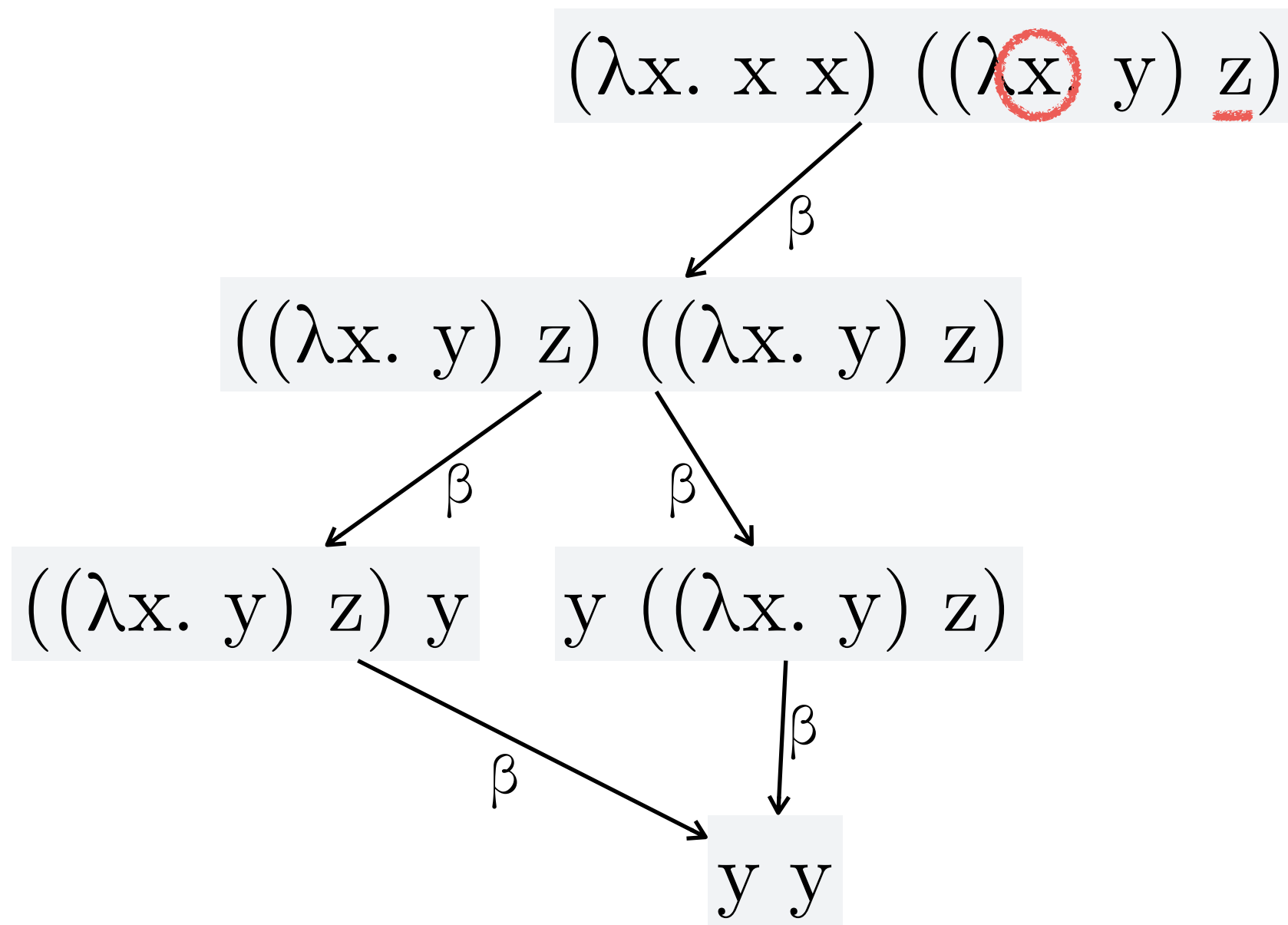
β -reduction examples



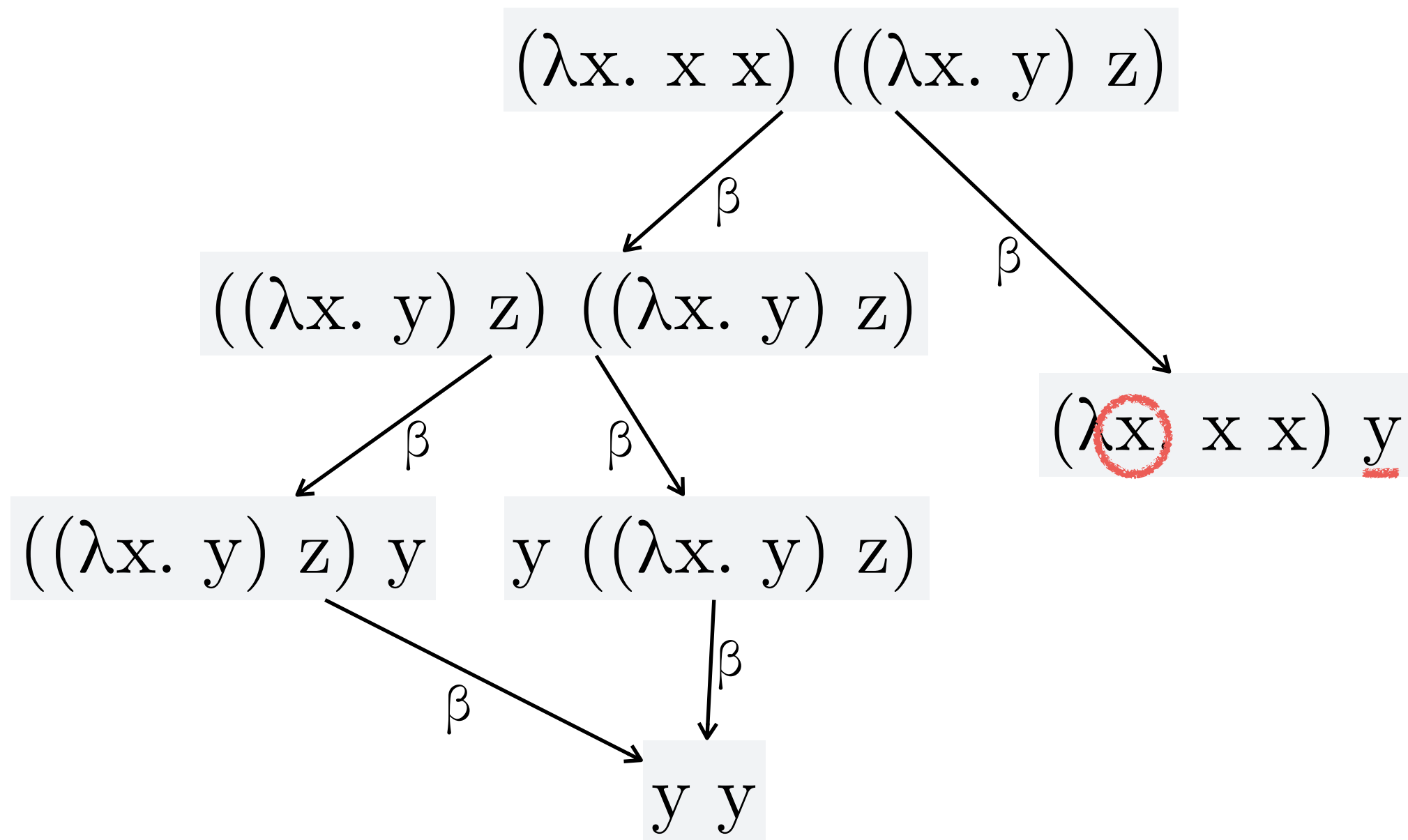
β -reduction examples



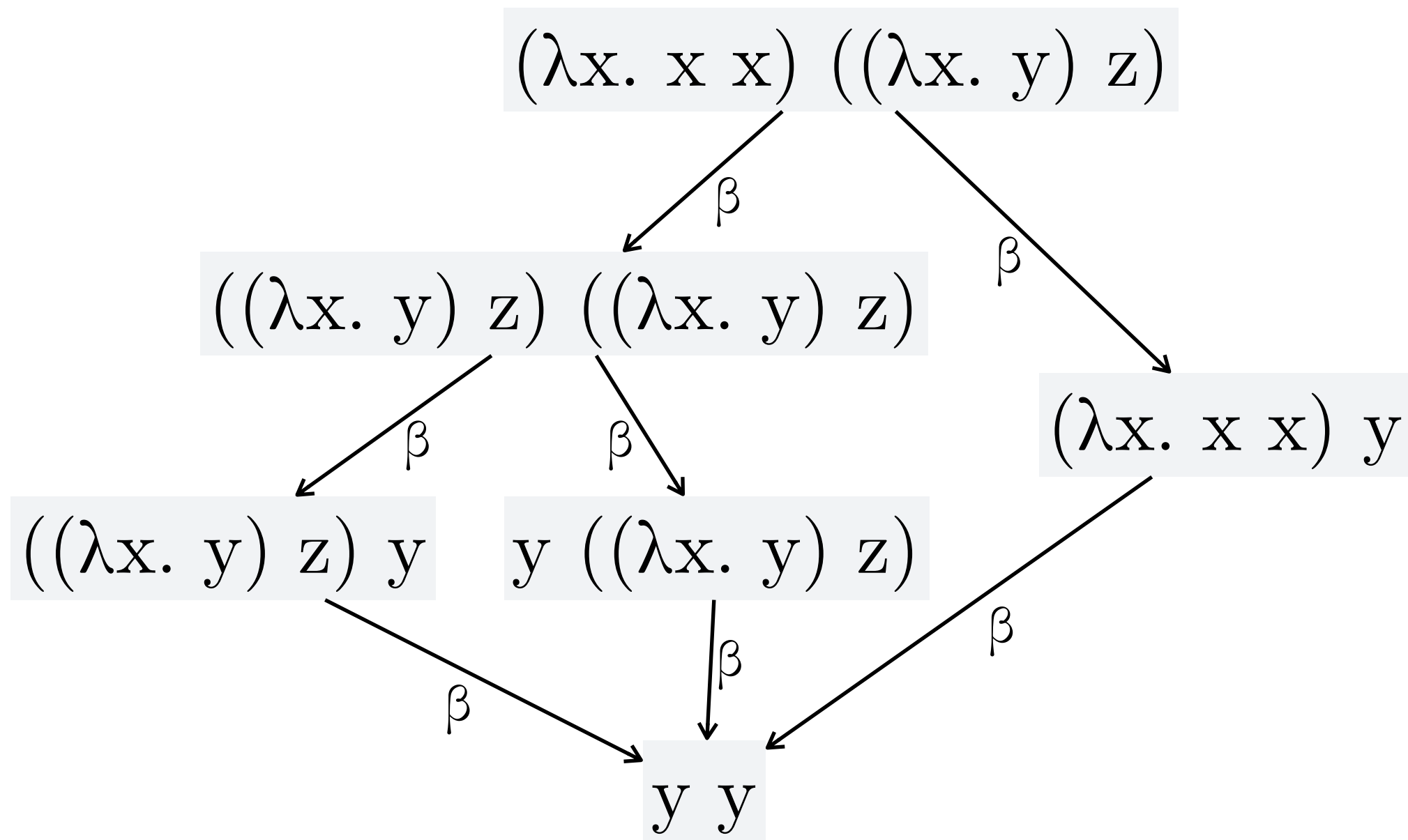
β -reduction examples



β -reduction examples



β -reduction examples



KEY CONCEPTS

β -reduction:

$$(\lambda x. M) N \longrightarrow_{\beta} M[N/x]$$

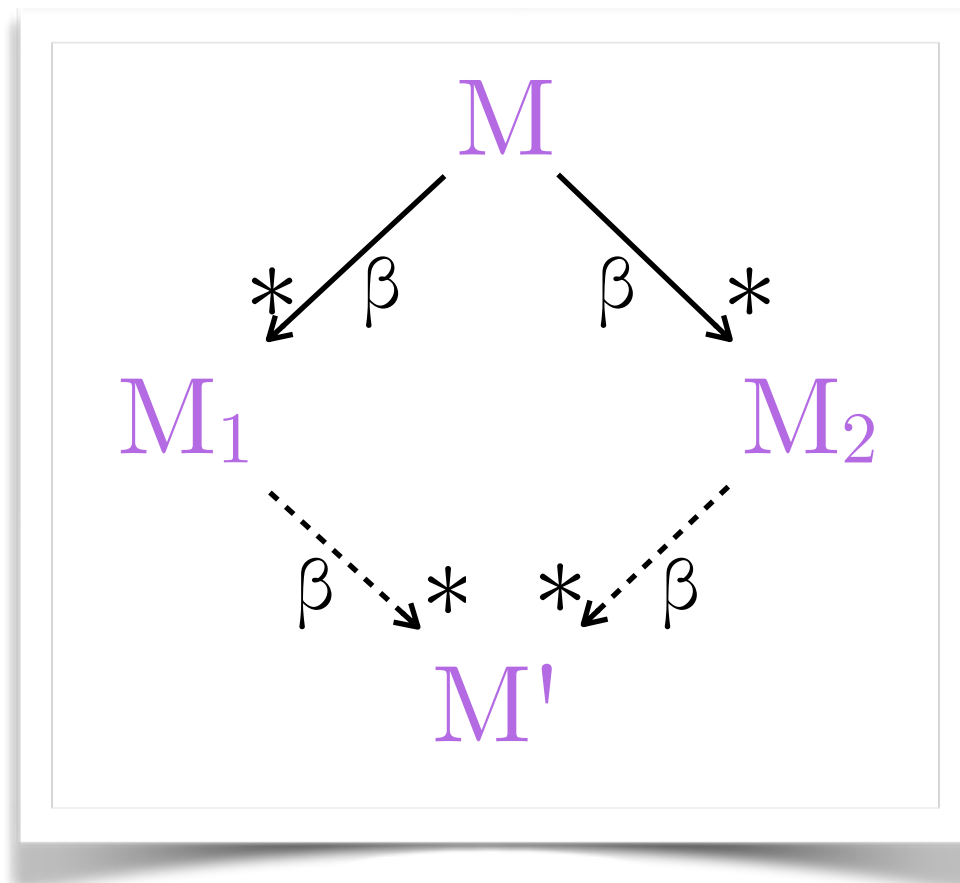
Many steps of β -reduction

- Define $\longrightarrow_{\beta}^*$ as follows:

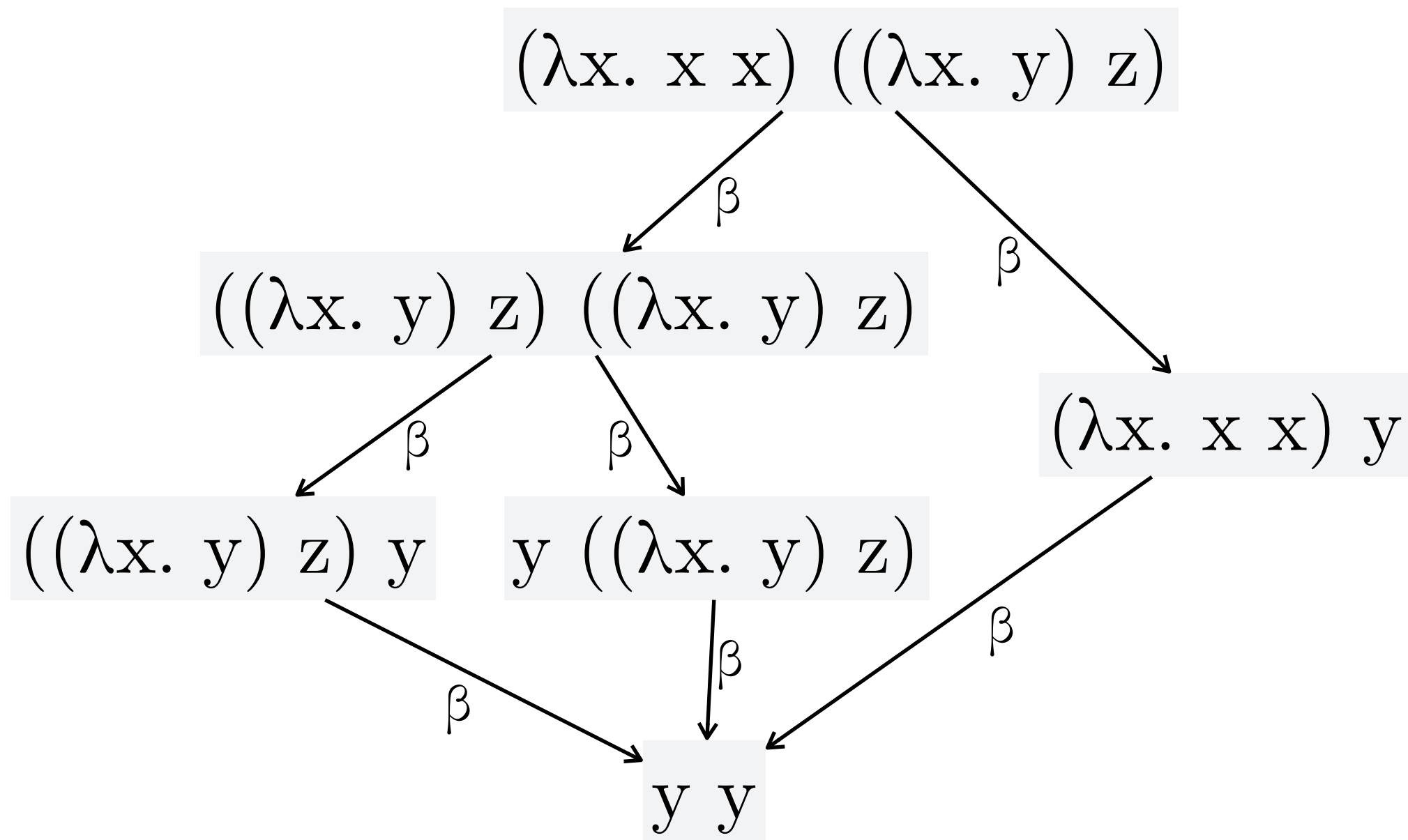
$$\frac{M =_{\alpha} M'}{M \longrightarrow_{\beta}^* M'} \qquad \frac{M \longrightarrow_{\beta} M'' \quad M'' \longrightarrow_{\beta}^* M'}{M \longrightarrow_{\beta}^* M'}$$

Confluence

- **Theorem** (Church–Rosser). If $M \longrightarrow_{\beta}^* M_1$ and $M \longrightarrow_{\beta}^* M_2$ then there exists M' such that $M_1 \longrightarrow_{\beta}^* M'$ and $M_2 \longrightarrow_{\beta}^* M'$.



β -reduction examples



β -normal form

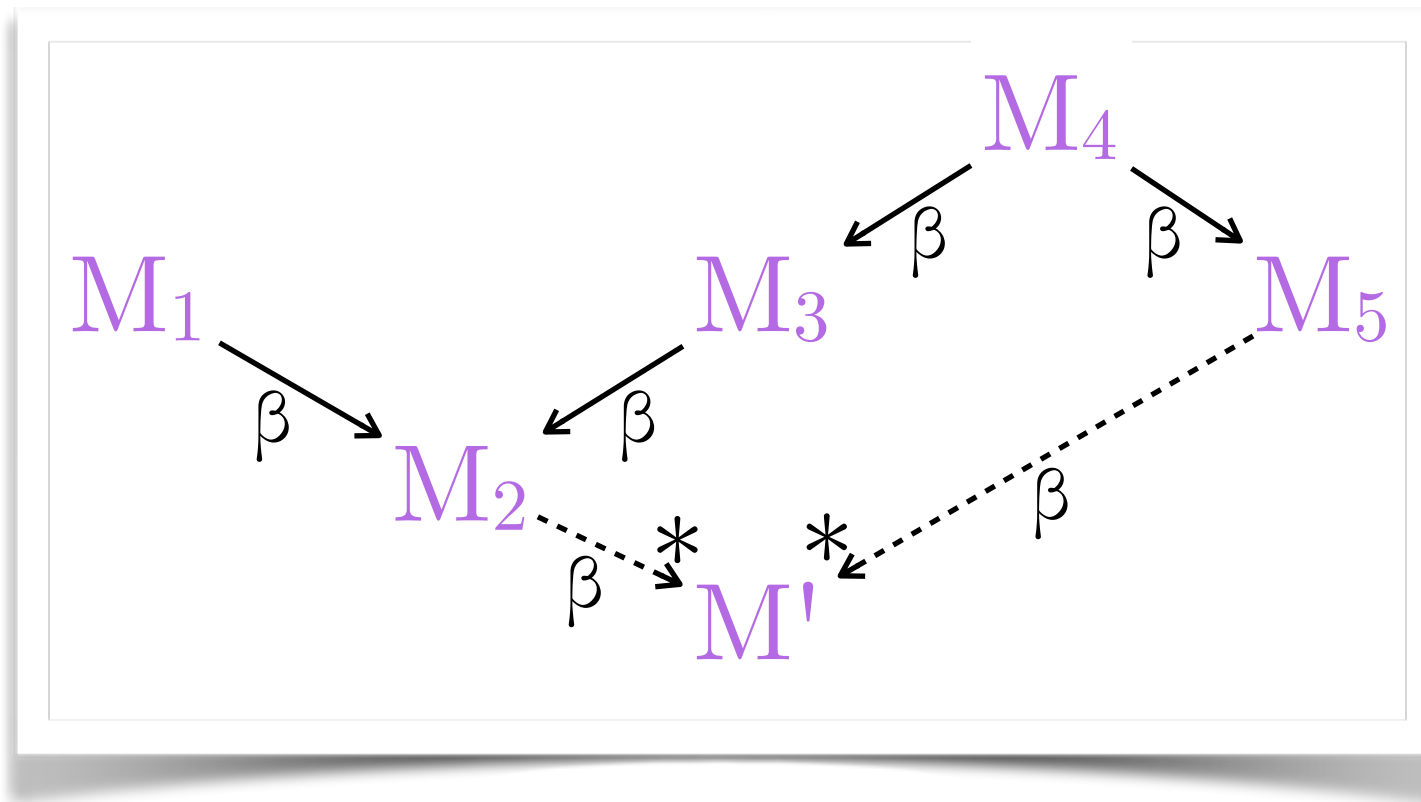
- "in β -normal form" = "contains no redexes"
- M has a β -normal form if $M \longrightarrow_{\beta}^* N$ for some N in β -normal form.
- **Theorem** (Uniqueness of β -normal forms).
If $M \longrightarrow_{\beta}^* N_1$, $M \longrightarrow_{\beta}^* N_2$, and N_1 and N_2 are in β -normal form, then $N_1 =_{\alpha} N_2$.

β -normal form

- **Theorem** (Uniqueness of β -normal forms).
If $M \longrightarrow_{\beta}^* N_1$, $M \longrightarrow_{\beta}^* N_2$, and N_1 and N_2 are in β -normal form, then $N_1 =_{\alpha} N_2$.
- *Proof.* By Church–Rosser, obtain N such that $N_1 \longrightarrow_{\beta}^* N$ and $N_2 \longrightarrow_{\beta}^* N$. But N_1 and N_2 are in β -normal form, so $N_1 =_{\alpha} N =_{\alpha} N_2$.

β -equivalence

- $=_{\beta}$ is the smallest equivalence relation containing \longrightarrow_{β} .



- Simpler version.* $M_1 =_{\beta} M_2$ iff there exists M' such that $M_1 \longrightarrow_{\beta}^* M'$ and $M_2 \longrightarrow_{\beta}^* M'$.

KEY CONCEPTS

β -reduction

confluence (Church–Rosser)

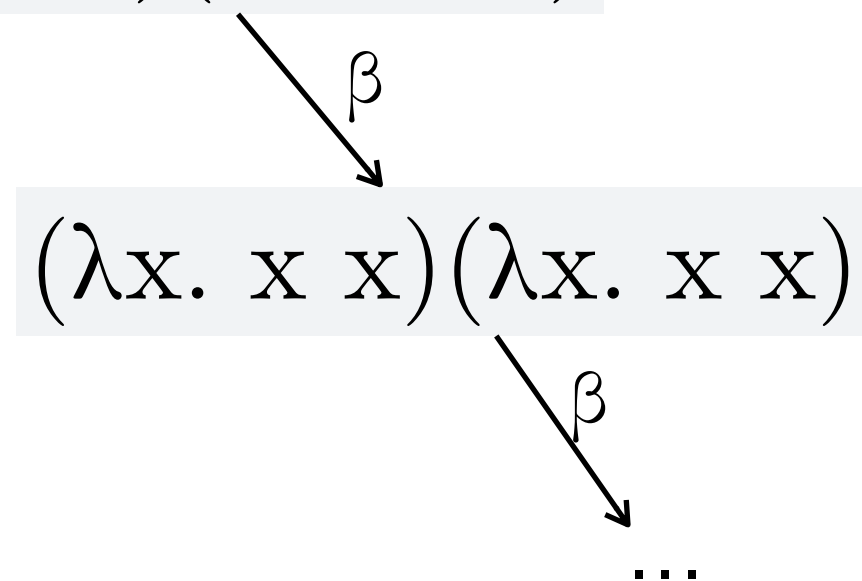
β -normal form

β -equivalence

Non-termination

- Some terms do not have a β -normal form.

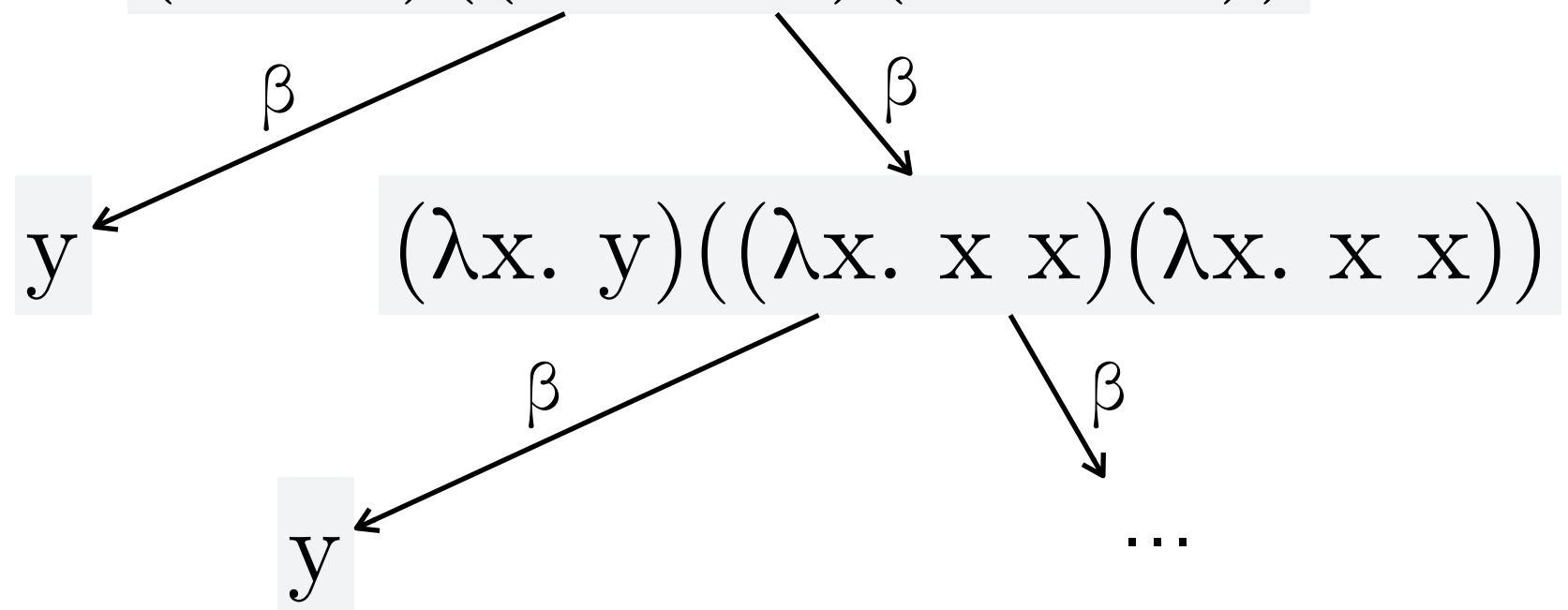
- For instance: $(\lambda x. x x)(\lambda x. x x)$



Possible non-termination

- Some terms might not terminate.

- For instance: $(\lambda x. y)((\lambda x. x x)(\lambda x. x x))$



Reduction strategies

$$(\lambda x. M) N$$

- Substitute N for x ? \Rightarrow "call by name"
- Reduce N ? \Rightarrow "call by value"
- Reduce M ? \Rightarrow not usually done

Full β -reduction

Call by name

Call by value

$$\frac{M \longrightarrow_{\beta} M'}{\lambda x. M \longrightarrow_{\beta} \lambda x. M'}$$

$$\lambda x. M \longrightarrow_{\beta} \lambda x. M'$$

$$\frac{M \longrightarrow_{\beta} M'}{M N \longrightarrow_{\beta} M' N}$$

$$M N \longrightarrow_{\beta} M' N$$

$$\frac{N \longrightarrow_{\beta} N'}{M N \longrightarrow_{\beta} M N'}$$

$$M N \longrightarrow_{\beta} M N'$$

$$\frac{M \longrightarrow_{\beta N} M'}{M N \longrightarrow_{\beta N} M' N}$$

$$M N \longrightarrow_{\beta N} M' N$$

$$\frac{M \longrightarrow_{\beta V} M'}{M N \longrightarrow_{\beta V} M' N}$$

$$M N \longrightarrow_{\beta V} M' N$$

$$\frac{M \not\longrightarrow_{\beta V} \quad N \longrightarrow_{\beta V} N'}{M N \longrightarrow_{\beta V} M N'}$$

$$M N \longrightarrow_{\beta V} M N'$$

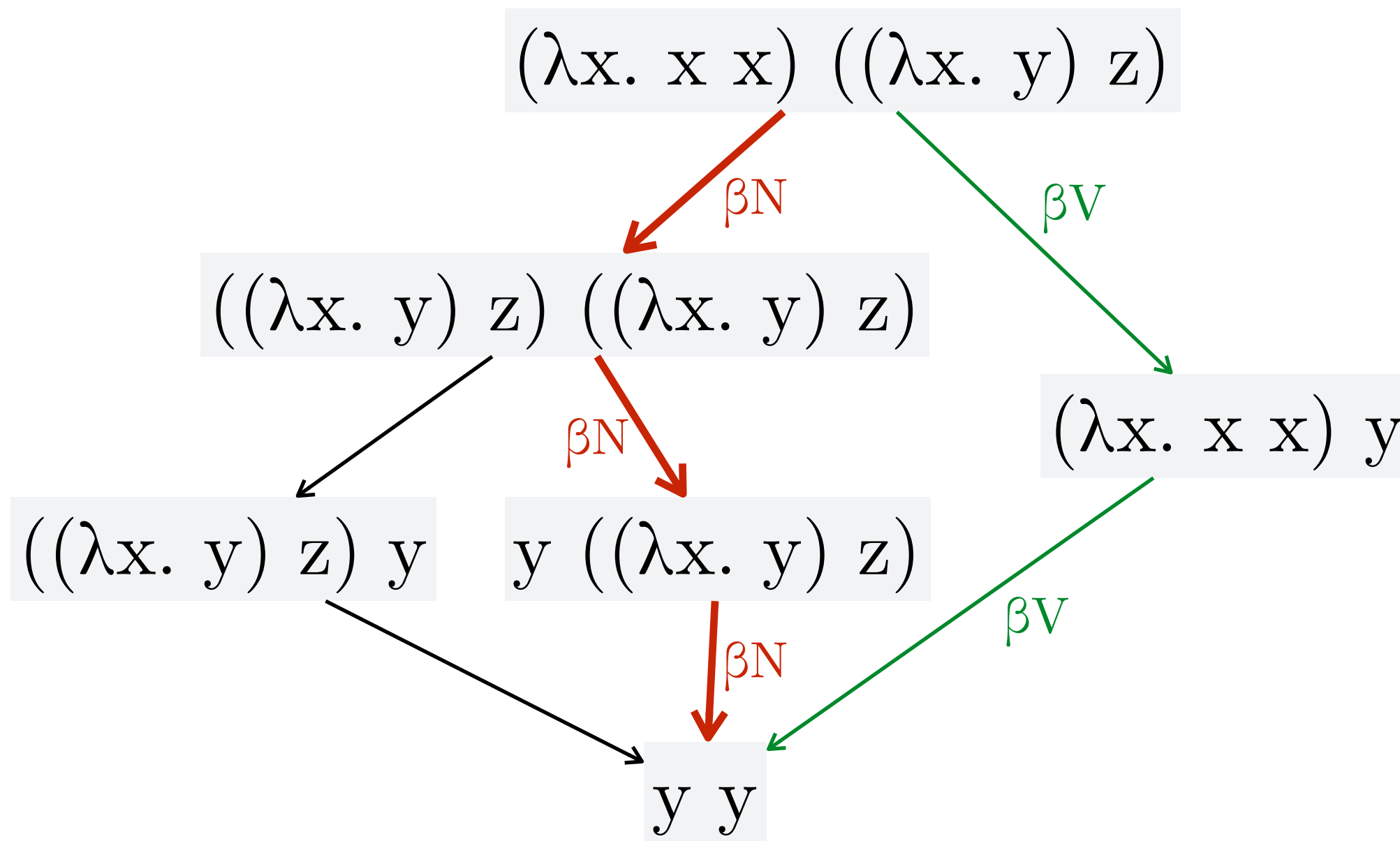
$$N \not\longrightarrow_{\beta V}$$

$$(\lambda x. M) N \longrightarrow_{\beta} M[N/x]$$

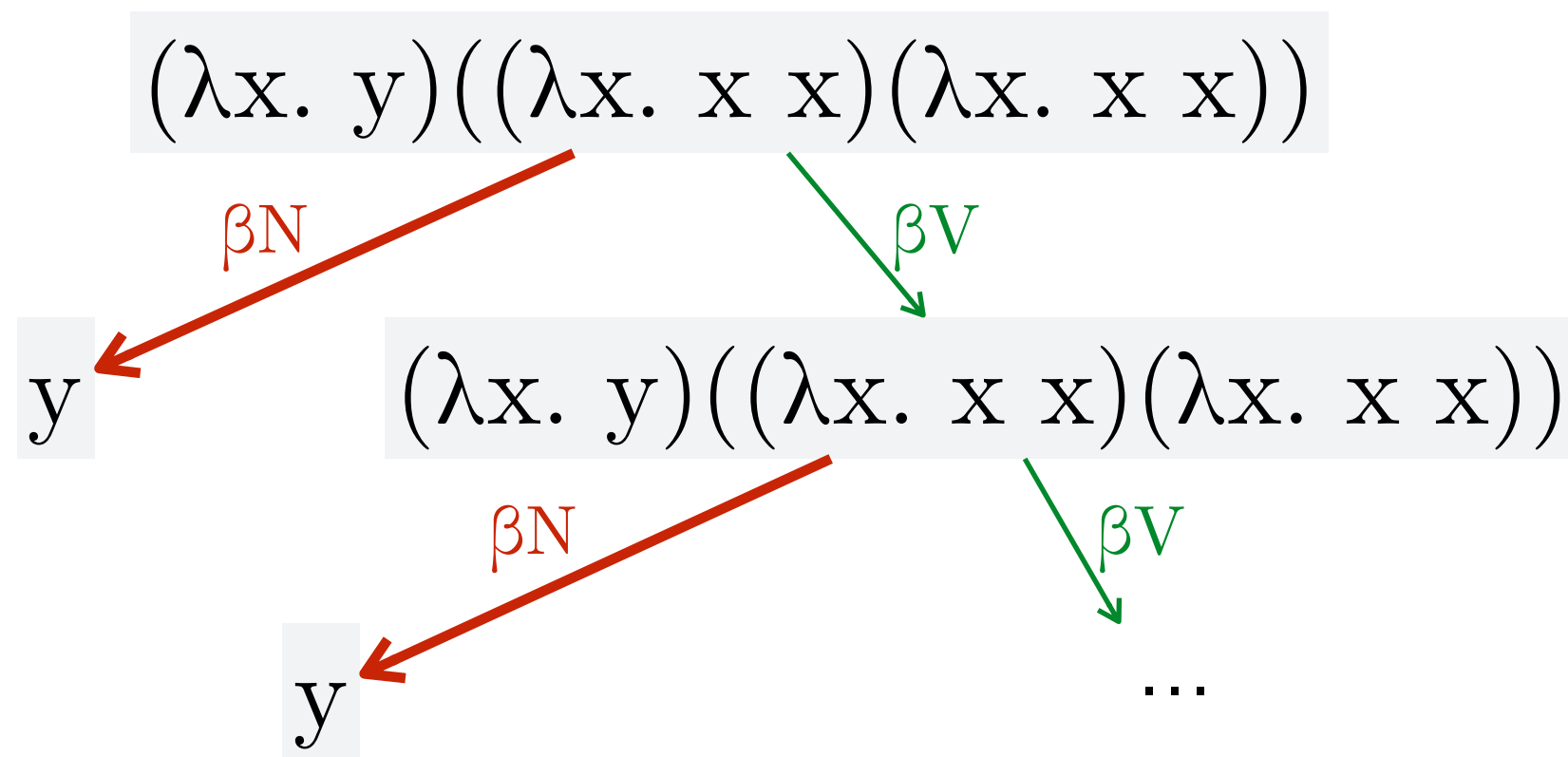
$$(\lambda x. M) N \longrightarrow_{\beta N} M[N/x]$$

$$(\lambda x. M) N \longrightarrow_{\beta V} M[N/x]$$

Reduction strategies



Reduction strategies



KEY CONCEPTS

call-by-name reduction
(wins if argument is unused)

call-by-value reduction
(wins if argument is used more than once)

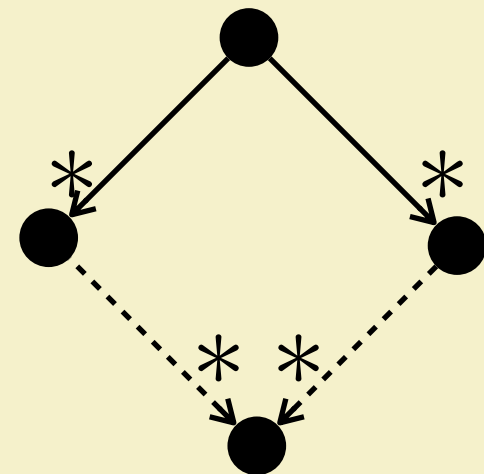
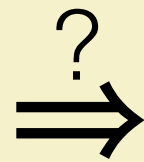
Extensionality

- Is β -equivalence the best notion of "equality" between λ -terms?
- We don't have $(\lambda x. \sin x) =_{\beta} \sin$.
- But we do have $(\lambda x. \sin x) \text{ } M =_{\beta} \sin M$, for any M .
- Add η -equivalence:

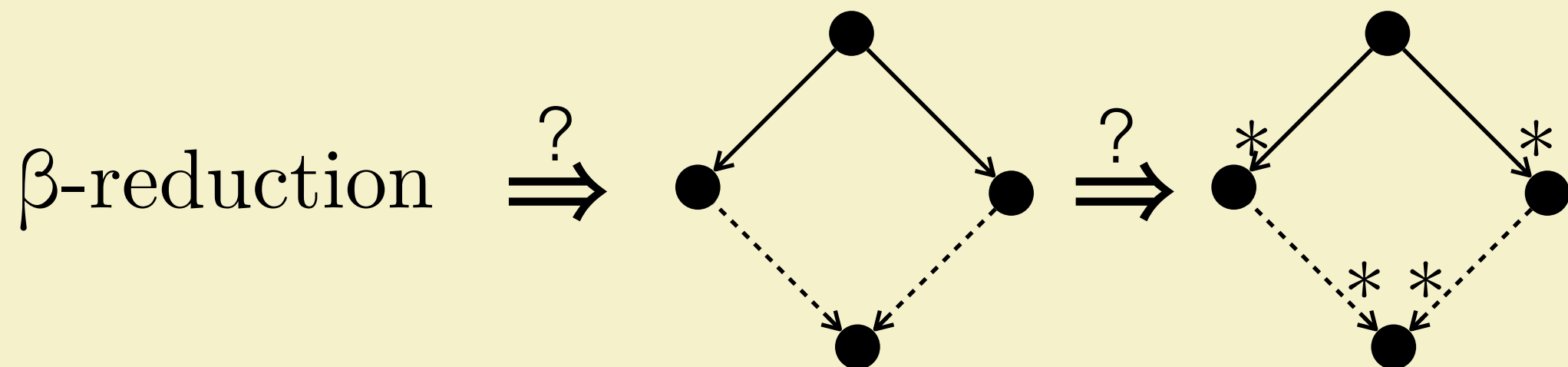
$$\frac{x \notin FV(M)}{(\lambda x. M \ x) =_{\eta} M}$$
- $\beta\eta$ -equivalence captures "equality" nicely.

Proving Church–Rosser

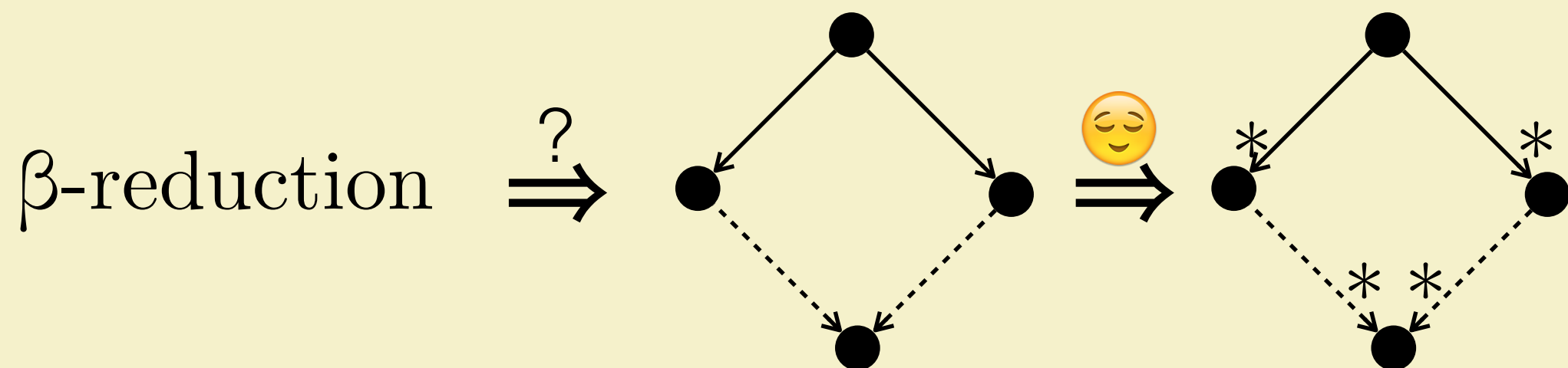
β -reduction



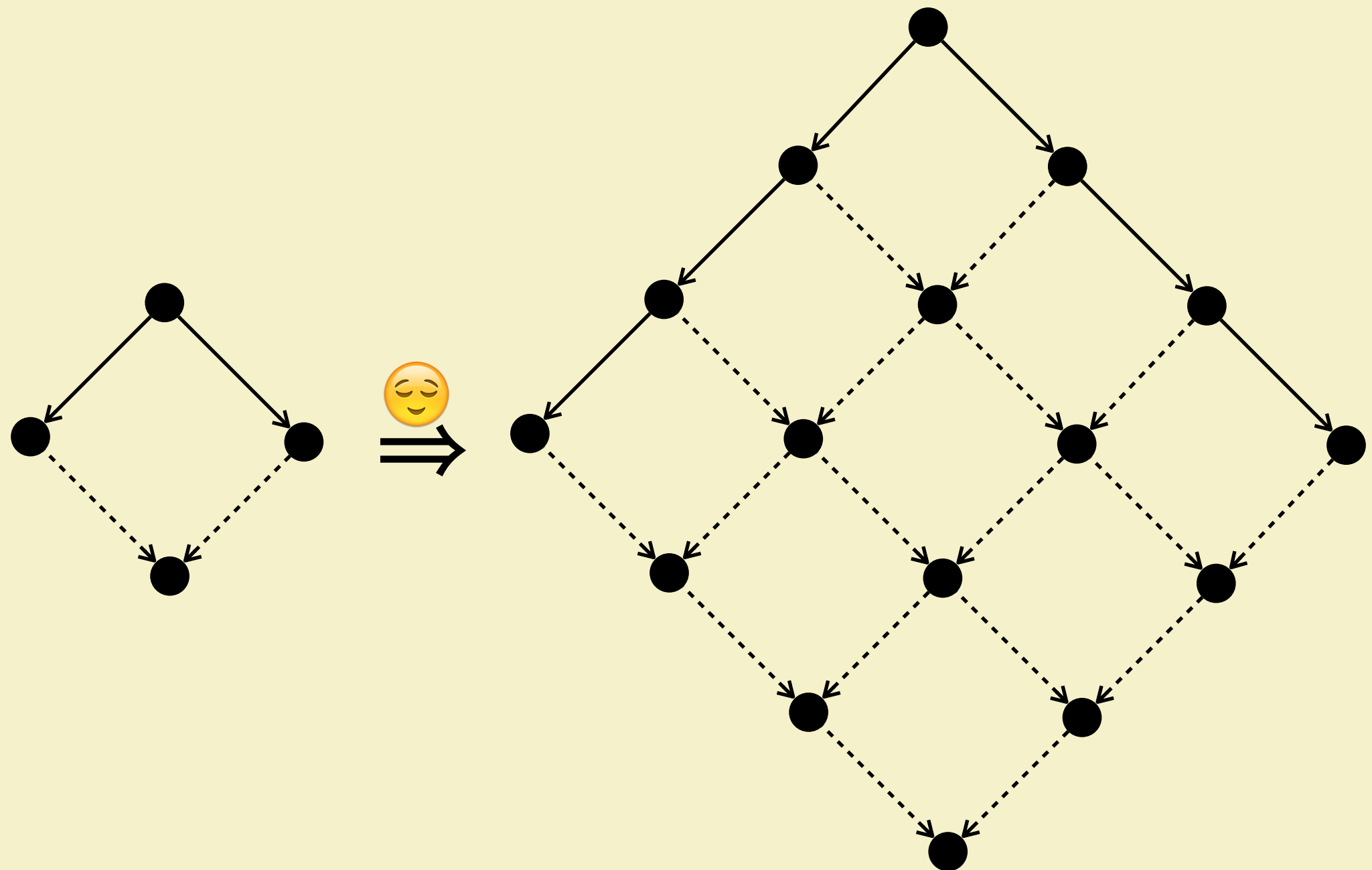
Proving Church–Rosser



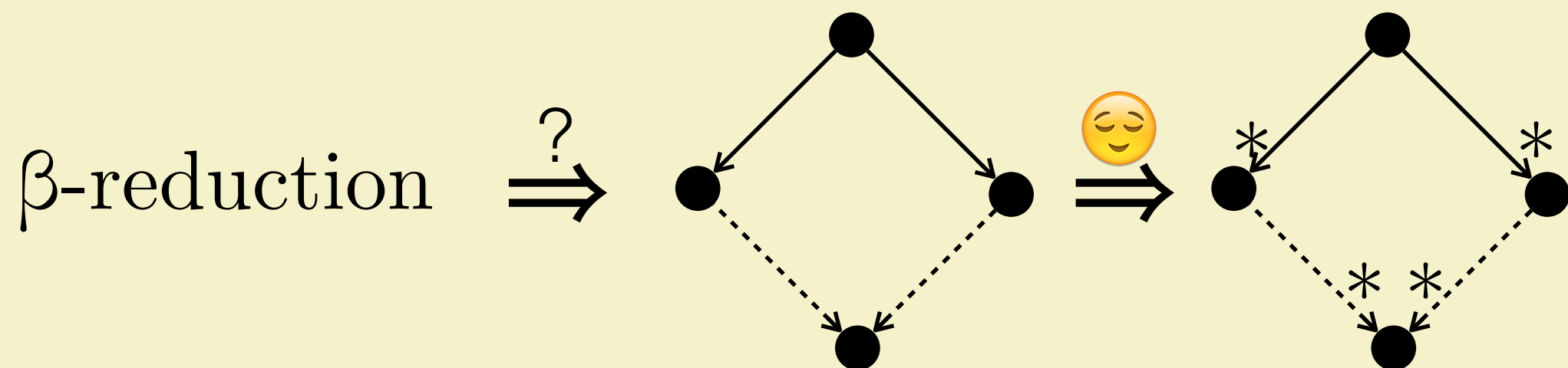
Proving Church–Rosser



Proving Church–Rosser

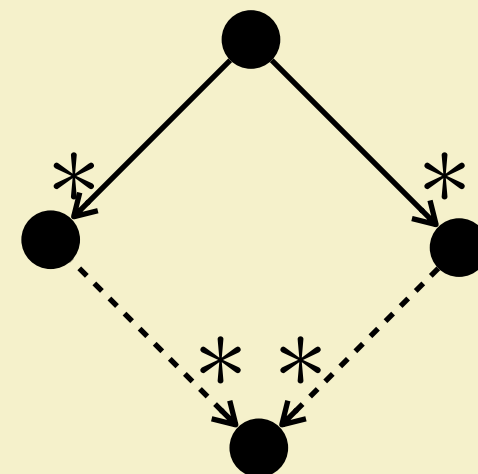
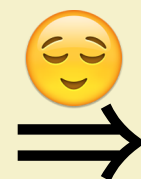
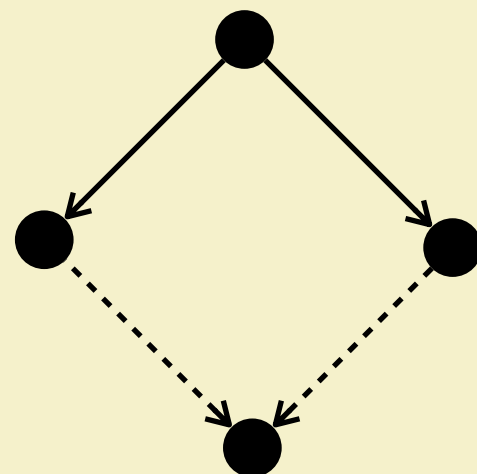


Proving Church–Rosser

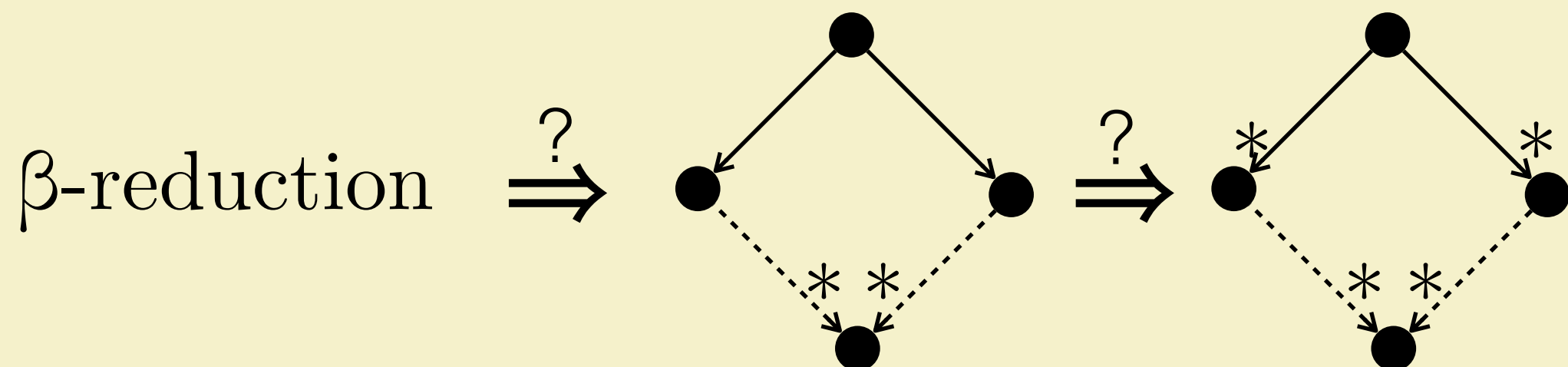


Proving Church–Rosser

β -reduction

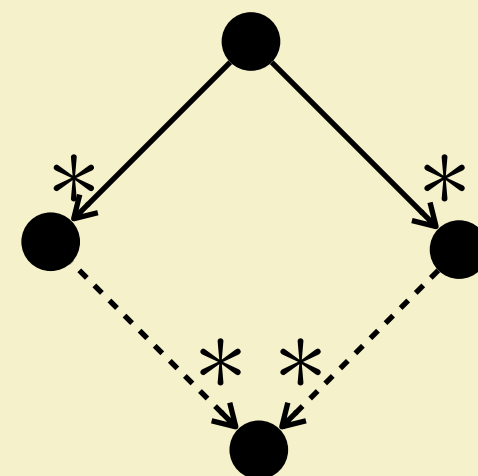
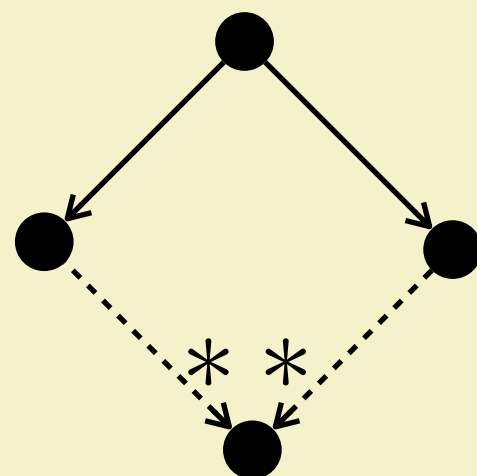


Proving Church–Rosser



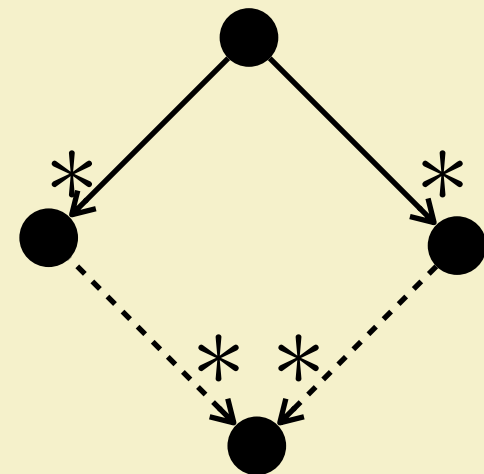
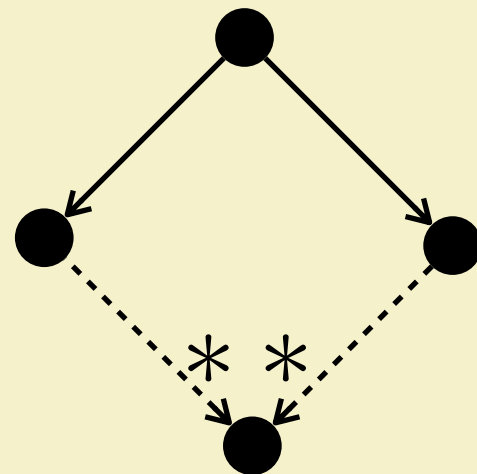
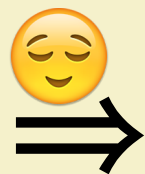
Proving Church–Rosser

β -reduction



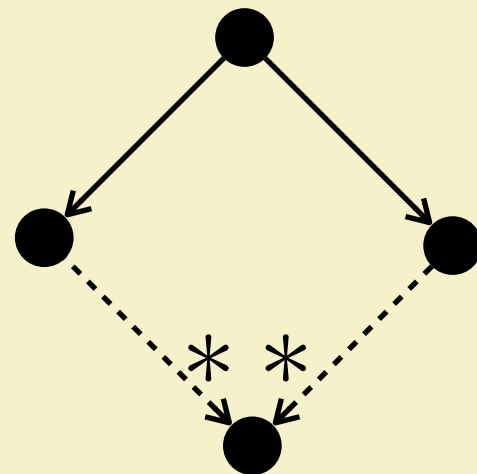
Proving Church–Rosser

β -reduction

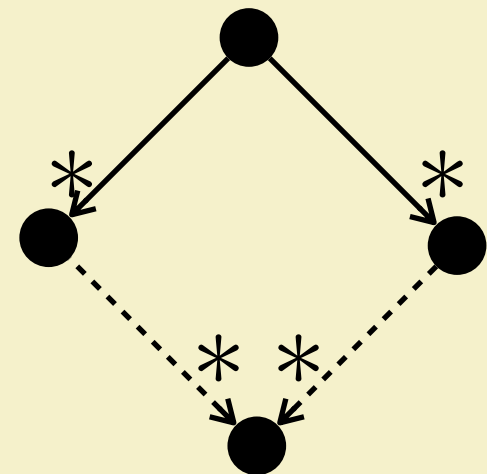


Proving Church–Rosser

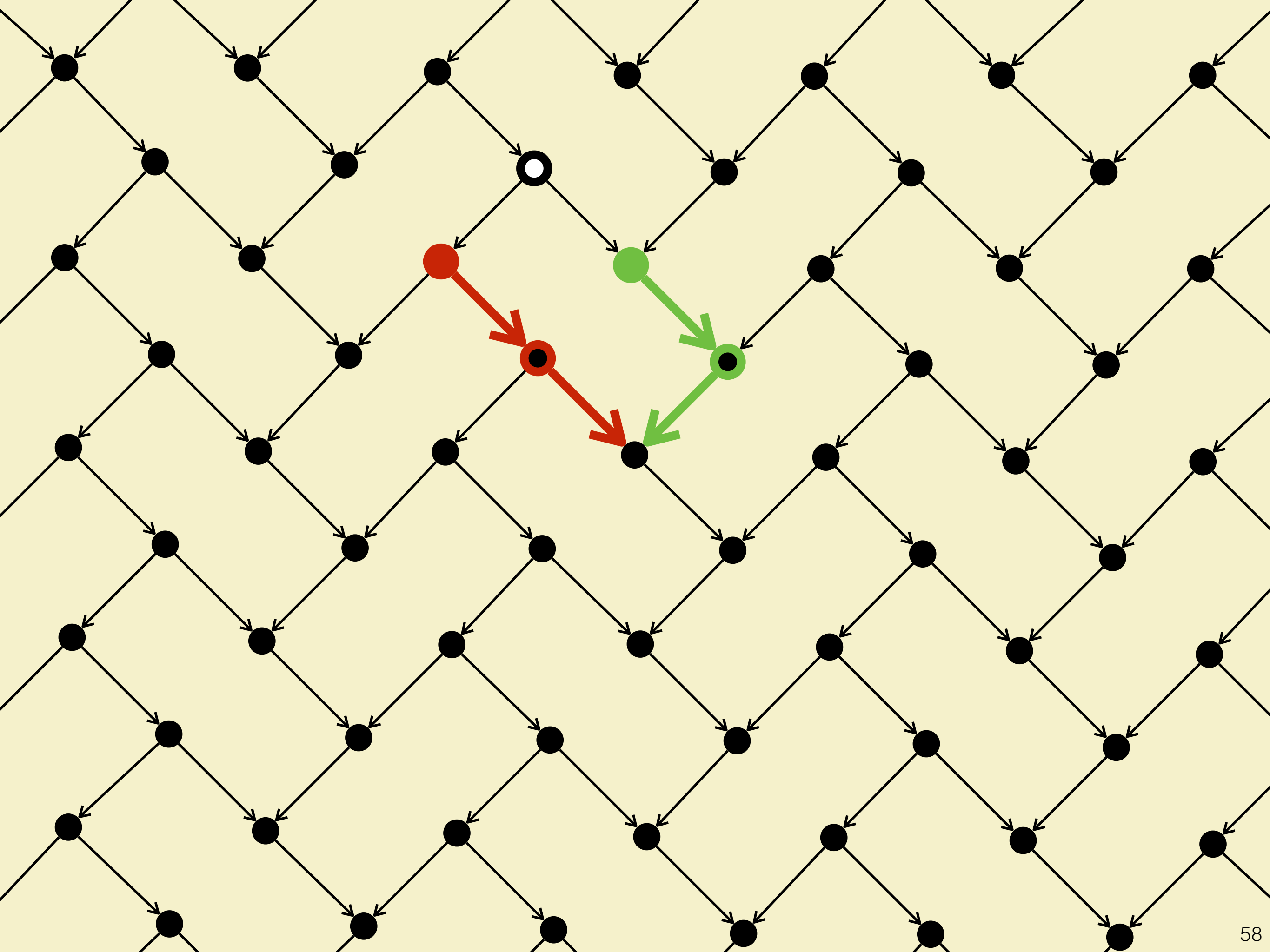
β -reduction

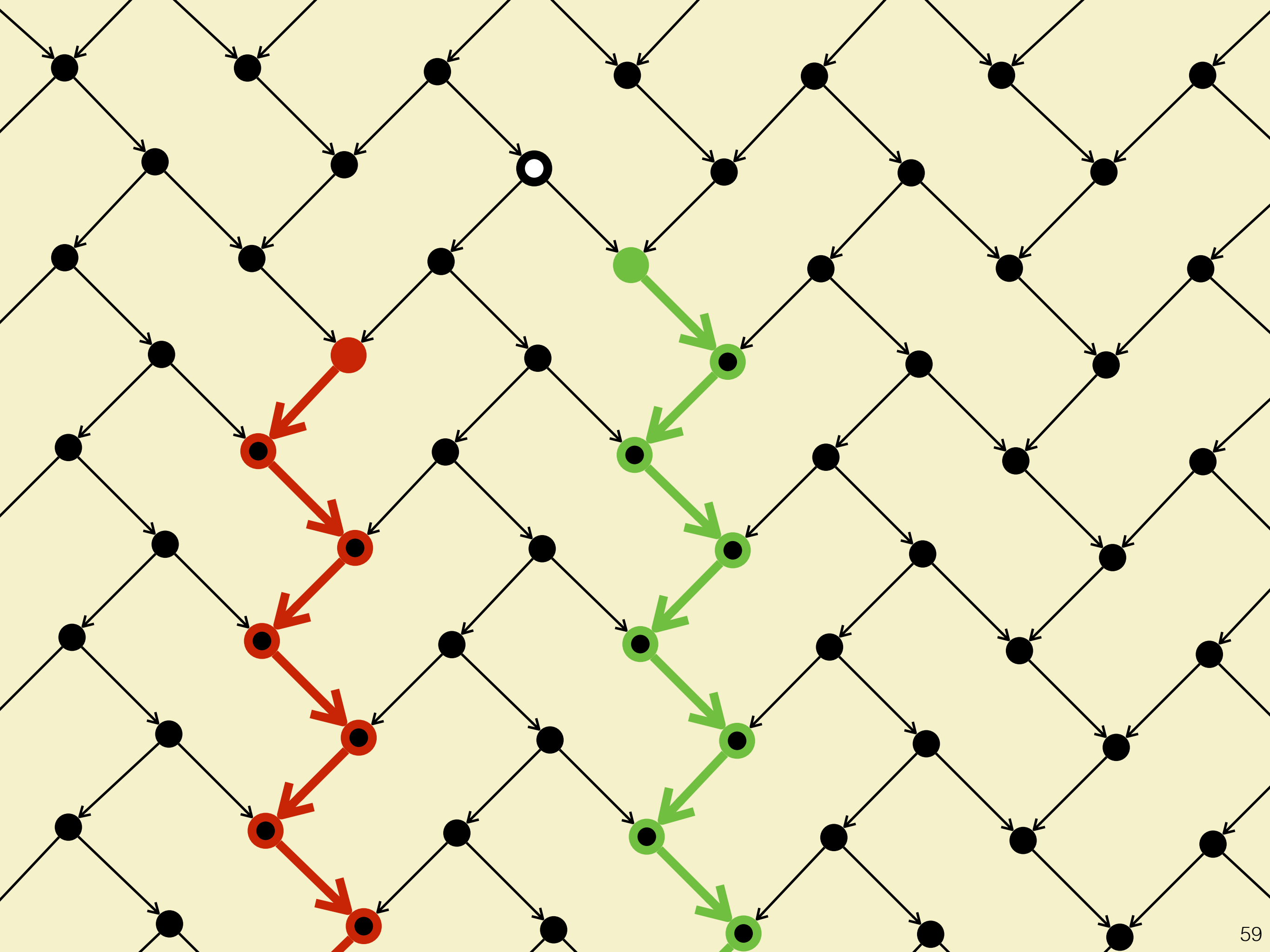


("Property A")



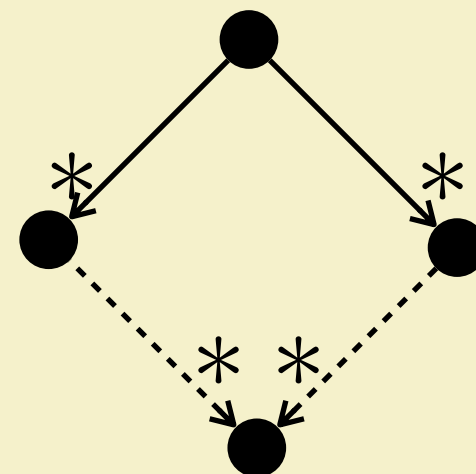
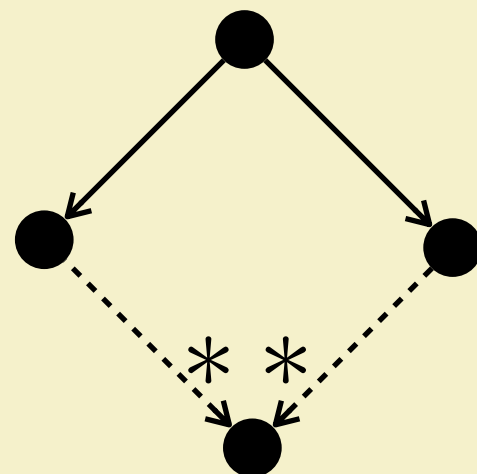
("Property B")





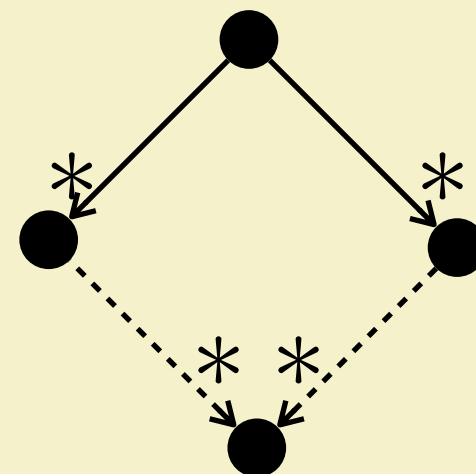
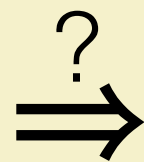
Proving Church–Rosser

β -reduction



Proving Church–Rosser

β -reduction



Outline

- ✓ 1. Syntax (free variables, α -equivalence, substitution)
- ✓ 2. Semantics (β -reduction, confluence, reduction strategies)
- ➔ 3. Usage (encoding arithmetic, recursion)

Encoding numbers

- $\underline{0} \equiv \lambda s. \lambda z. z$
- $\underline{1} \equiv \lambda s. \lambda z. s\ z$
- $\underline{2} \equiv \lambda s. \lambda z. s\ (s\ z)$
- $\underline{3} \equiv \lambda s. \lambda z. s\ (s\ (s\ z))$

$$\underline{n} \equiv \lambda s. \lambda z. \underbrace{s\ (\dots s(z)\dots)}_n$$

Encoding arithmetic

- $plus \equiv \lambda m. \lambda n. \lambda s. \lambda z. m \ s \ (n \ s \ z)$
- $mult \equiv \lambda m. \lambda n. \lambda s. \lambda z. m \ (n \ s) \ z$

$$\underline{n} \equiv \lambda s. \lambda z. \underbrace{s \ (\dots s(z) \dots)}_n$$

Encoding arithmetic

- $plus \equiv \lambda m. \lambda n. \lambda s. \lambda z. m\ s\ (n\ s\ z)$
- $mult \equiv \lambda m. \lambda n. \lambda s. \lambda z. m\ (n\ s)\ z$
- Exercise. Evaluate " $plus\ \underline{2}\ \underline{3}$ " and " $mult\ \underline{2}\ \underline{3}$ ".
- $ifz \equiv \lambda n. \lambda x_1. \lambda x_2. n\ (\lambda z. x_2)\ x_1$
- Exercise. Find $pred$ such that " $pred\ \underline{0} =_{\beta} \underline{0}$ " and " $pred\ \underline{n+1} =_{\beta} \underline{n}$ ".

λ -definability

- A partial function $f : \mathbb{N}^k \rightarrow \mathbb{N}$ is λ -definable if there exists a closed λ -term F such that $f(x_1, \dots, x_k) = y$ iff $F(\underline{x}_1, \dots, \underline{x}_k) =_{\beta} \underline{y}$, and $f(x_1, \dots, x_k) \uparrow$ iff $F(\underline{x}_1, \dots, \underline{x}_k)$ has no normal form.

- Church-Turing thesis:

f is computable
via register
machine

f is
"computable"

f is computable
via Turing
machine

f is λ -definable

Example: factorial

- `fac n = if n=0 then 1 else n*fac(n-1)`
- $fac =_{\beta} \lambda n. \text{ifz } n \ \underline{1} \ (mult \ n \ (fac \ (pred \ n)))$

Encoding recursion

- Let $fix \equiv (\lambda x. \lambda y. y (x x y))(\lambda x. \lambda y. y (x x y))$.
- Observe: $fix \text{ } M \longrightarrow_{\beta}^* M (fix \text{ } M)$.
- [Recall: x is a fixpoint of f whenever $x=f(x)$.]
- This means: $fix \text{ } M$ is a fixpoint of M .

Example: factorial

- `fac n = if n=0 then 1 else n*fac(n-1)`
- $fac =_{\beta} \lambda n. ifz\ n\ \underline{1}\ (mult\ n\ (fac\ (pred\ n)))$
- $\dots =_{\beta} (\lambda f. \lambda n. ifz\ n\ \underline{1}\ (mult\ n\ (f\ (pred\ n))))\ fac$
- $fac \equiv fix\ (\lambda f. \lambda n. ifz\ n\ \underline{1}\ (mult\ n\ (f\ (pred\ n))))$
- Exercise. Evaluate " $fac\ \underline{2}$ ".

KEY CONCEPTS

we can encode...

numbers and arithmetic

if-statements

recursion

Combinators

- Lambda calculus: $M ::= \lambda x. M \mid M M \mid x$
- Can we restrict even further? Yes, we can even get rid of variables!
- Let $S \equiv \lambda x. \lambda y. \lambda z. (x z) (y z)$
and $K \equiv \lambda x. \lambda y. x$.
- $M ::= M M \mid S \mid K$

Is λ -calculus broken?

- Define $silly \equiv (\lambda x. \neg (x\ x))(\lambda x. \neg (x\ x))$.
- Then $silly =_{\beta} \neg silly$.

Adding types

- Untyped: $M ::= \lambda x. M \mid M M \mid x$
- Typed: $M ::= \lambda x:\tau. M \mid M M \mid x$
where $\tau ::= \bullet \mid \tau \rightarrow \tau$
- no more *fix* function ... not Turing-complete
- add *fix* to language explicitly

Outline

- ✓ 1. Syntax (free variables, α -equivalence, substitution)
- ✓ 2. Semantics (β -reduction, confluence, reduction strategies)
- ✓ 3. Usage (encoding arithmetic, recursion)