

Modular specification of monads through higher-order presentations

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Overview

Topic: specification and construction of untyped syntaxes with variables and a well-behaved substitution (e.g. lambda calculus).

Our work:

1. general notion of **1-signature** based on **monads** and **modules**.
 - *Caveat:* Not all of them do **generate a syntax**
 - special case: classical **algebraic 1-signatures** generate a syntax
2. notion of **2-signature**: a pair of a 1-signature and a set of equations.
 - special case: **algebraic 2-signatures** generate a syntax

Operations covered by our result

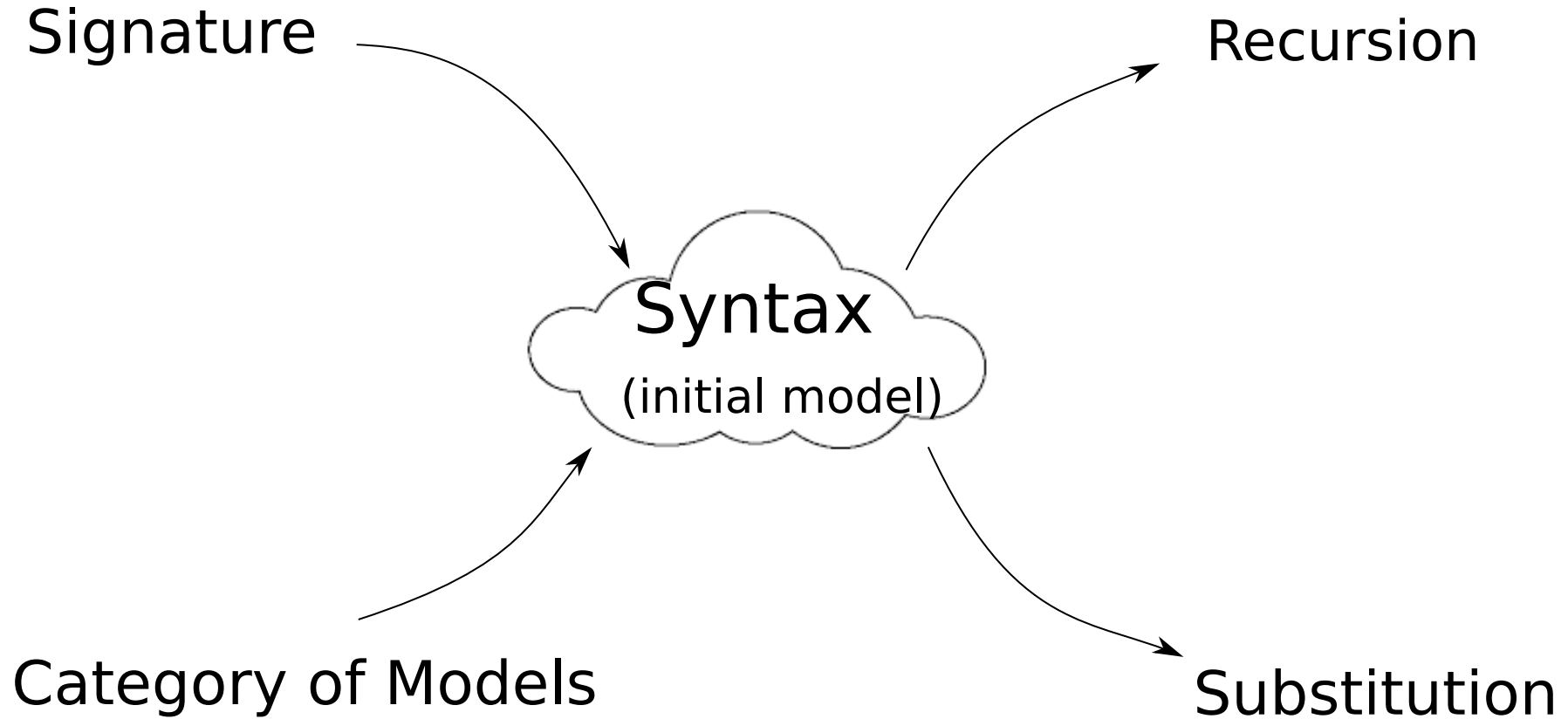
Some examples:

- Symmetric operations

$$m : T \times T \rightarrow T \quad \text{s.t.} \quad m(t, u) = m(u, t)$$

- Fixed point operation
- Syntactic closure operator with coherences
- λ -calculus modulo $\beta\eta$

What is a syntax?



generates a syntax = existence of the initial model

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- 1. Review: Binding signatures and their models**
2. 1-Signatures and models based on monads and modules
3. Equations
4. Recursion

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1. Review: Binding signatures and their models

- Categorical formulation of term languages
- Initial semantics for binding signatures

2. 1-Signatures and models based on monads and modules

3. Equations

4. Recursion

Categorical formulation of a term language

Example: syntax with a binary operation \star , a constant 0, and variables

$$\begin{array}{ll} \text{expr} ::= x & \text{(variable)} \\ \quad | t_1 \star t_2 & \text{(binary operation)} \\ \quad | 0 & \text{(constant)} \end{array}$$

The syntax can be considered as the endofunctor B (on Set):

$$B : X \mapsto \{\text{expressions over } X\}$$

For example:

$$\begin{aligned} B(\emptyset) &= \{0, 0 \star 0, \dots\} \\ B(\{x, y\}) &= \{0, 0 \star 0, \dots, x, y, x \star y, \dots\} \end{aligned}$$

Categorical formulation of a term language

Then we have:

$$\star : B \times B \rightrightarrows B$$

$$0 : 1 \rightrightarrows B$$

$$\text{var} : \text{Id}_{\text{Set}} \rightrightarrows B$$

Putting all together:

$$B \times B + 1 + \text{Id}_{\text{Set}} \rightrightarrows B$$

i.e. B is an algebra for the endofunctor $F \mapsto F \times F + 1 + \text{Id}_{\text{Set}}$ on the category End_{Set} .

Actually, B can be **characterized** as the initial algebra.

Binding Signatures

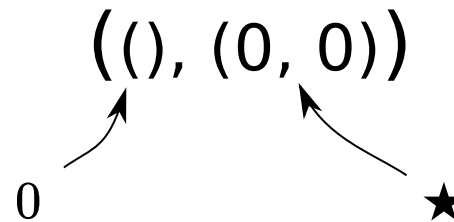
Definition

Binding signature = a family of lists of natural numbers.

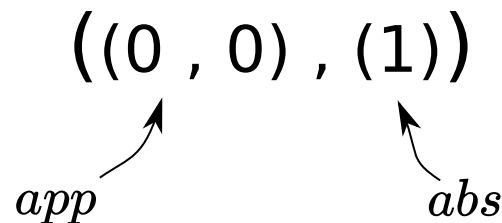
Each list specifies one operation in the syntax:

- length of the list = number of arguments of the operation
- natural number in the list = number of bound variables in the corresponding argument

Syntax with 0, ★:



Lambda calculus:



Initial semantics for binding signatures

Reminder

The syntax $(0, \star)$ is the initial algebra for the endofunctor:

$$F \mapsto F \times F + 1 + \text{Id}_{\text{Set}}$$

More generally, any binding signature gives rise to an endofunctor Σ .

Definition

Model = $(\Sigma + \text{Id}_{\text{Set}})$ -algebra

Classical Theorem

The initial $(\Sigma + \text{Id}_{\text{Set}})$ -algebra of a binding signature Σ always exists.

Question: Does this initial algebra come with a well-behaved substitution?

Answer: Yes: see e.g. [Fiore, Plotkin, Turi 1999], [Ghani & Uustalu 2003]

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1. Review: Binding signatures and their models

2. 1-Signatures and models based on monads and modules

- Our take on substitution
- Our take on 1-signatures, models and syntax
- Our take on binding 1-signatures

3. Equations

4. Recursion

The Big Picture of 1-signatures and models

Binding signatures \hookrightarrow Our 1-signatures

A **1-signature** Σ is a functorial assignment:

$$R \mapsto \Sigma(R)$$

A **model of** Σ is a pair:

$$(R, \rho : \Sigma(R) \rightarrow R)$$

monad $:=$ endofunctor with substitution

module over a monad $:=$ endofunctor with substitution

module morphism $:=$ natural transformation preserving substitution

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monad \nearrow \nwarrow module morphism

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Substitution and monads

Reminder:

- $B(X)$ = expressions built out of 0, \star and variables taken in X
- Variables induce a natural transformation $\text{var} : \text{Id}_{\text{Set}} \rightarrow B$

Substitution:

$$\text{bind} : B(X) \rightarrow (X \rightarrow B(Y)) \rightarrow B(Y)$$

+ laws

A triple $(B, \text{var}, \text{bind})$ is called a **monad**.

monad morphism = mapping preserving var and bind .

Monads

1. $B : \text{Set} \rightarrow \text{Set}$

$B(X)$ = expressions built out of 0 , \star and variables taken in X

2. A collection of functions $(\text{var}_X : X \rightarrow B(X))_X$

Variables are expressions

3. For each function $u : X \rightarrow B(Y)$, a function $\text{bind}_u : B(X) \rightarrow B(Y)$

Parallel substitution

Notation: $\text{bind}_u(t) = t[x \mapsto u(x)]$

4. Monadic laws:

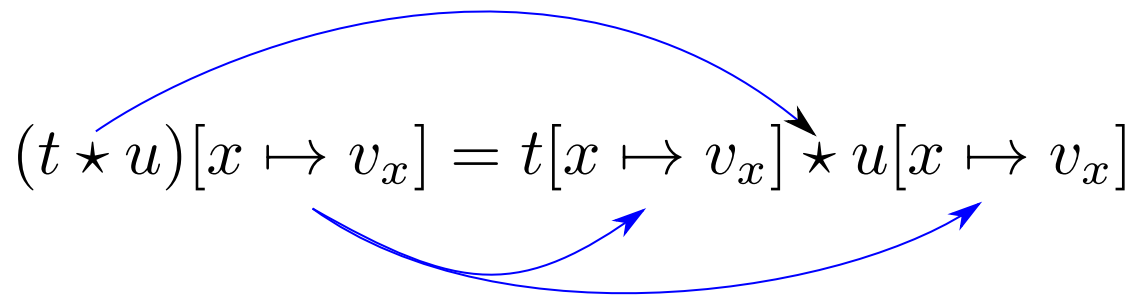
$$\text{var}(y)[x \mapsto u(x)] = u(y)$$

$$t[x \mapsto \text{var}(x)] = t$$

$$t[x \mapsto f(x)][y \mapsto g(y)] = t[x \mapsto f(x)[y \mapsto g(y)]]$$

Preview: Operations are module morphisms

★ commutes with substitution

$$(t \star u)[x \mapsto v_x] = t[x \mapsto v_x] \star u[x \mapsto v_x]$$


Categorical formulation

$B \times B$ supports B -substitution \rightsquigarrow $B \times B$ is a **module over** B

★ commutes with substitution \rightsquigarrow ★ : $B \times B \rightarrow B$ is a **module morphism**

Modules VS Monads

	Monad B	Module M over a monad B
	$B : \text{Set} \rightarrow \text{Set}$	$M : \text{Set} \rightarrow \text{Set}$
Variables		
Substitution		
Substitution laws		

Modules VS Monads

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Variables	$(\text{var}_X : X \rightarrow B(X))_X$	
Substitution	$\forall u : X \rightarrow B(Y),$ $\text{bind}_u : B(X) \rightarrow B(Y)$ $t \mapsto t[x \mapsto u(x)]^B$	$\forall u : X \rightarrow B(Y),$ $\text{bind}_u : M(X) \rightarrow M(Y)$ $t \mapsto t[x \mapsto u(x)]^M$
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Substitution laws	$\text{var}(y)[x \mapsto u(x)]^B = u(y)$	
	$t[x \mapsto \text{var}(x)]^B = t$	
	$t[x \mapsto f(x)]^B[y \mapsto g(y)]^B =$ $t[x \mapsto f(x)[y \mapsto g(y)]^B]^B$	

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Module morphism VS monad morphism

	Monad morphism $B \rightarrow C$	B-Module morphism $M \rightarrow N$
	$(m_X : B(X) \rightarrow C(X))_X$	$(m_X : M(X) \rightarrow N(X))_X$
Variables	$m(\text{var}^B(x)) = \text{var}^C(x)$	
Substitution	$\forall f : X \rightarrow B(Y),$ $m(t[x \mapsto f(x)]^B) =$ $m(t)[x \mapsto m(f(x))]^C$	$\forall f : X \rightarrow B(Y),$ $m(t[x \mapsto f(x)]^M) =$ $m(t)[x \mapsto f(x)]^N$

Building blocks for binding signatures

Essential constructions of **modules over a monad R** :

- R itself
- $M \times N$ for any modules M and N (in particular, $R \times R$)
- The **derivative of a module M** is the module M' defined by $M'(X) = M(X + \{\diamond\})$.

The derivative is used to model an operation binding a variable
(Cf next slide).

Syntactic operations are module morphisms

module morphism = maps commuting with substitution.

$$id_M : M \rightarrow M$$

$$0 : 1 \rightarrow B$$

$$\star : B \times B \rightarrow B$$

$$app : \Lambda \times \Lambda \rightarrow \Lambda$$

$$abs : \Lambda' \rightarrow \Lambda$$

The Big Picture again

A **1-signature** Σ is a functorial assignment:

$$R \mapsto \Sigma(R)$$

monad \quad module over R

A **model of Σ** is a pair:

$$(R, \rho : \Sigma(R) \rightarrow R)$$

monad \quad module morphism

A **model morphism** $m : (R, \rho) \rightarrow (S, \sigma)$ is a monad morphism commuting with the module morphism:

$$\begin{array}{ccc} \Sigma(R) & \xrightarrow{\rho} & R \\ \Sigma(m) \downarrow & & \downarrow m \\ \Sigma(S) & \xrightarrow{\sigma} & S \end{array}$$

Syntax

Definition

Given a 1-signature Σ , its **syntax** is an initial object in its category of models.

Question: Does the syntax exist for every 1-signature?

Answer: No.

Counter-example: the 1-signature $R \mapsto \mathcal{P} \circ R$



powerset endofunctor on Set

Examples of 1-signatures generating syntax

- **(0,★) language:**

Signature: $R \mapsto 1 + R \times R$

Model: $(R, \quad 0 : 1 \rightarrow R, \quad \star : R \times R \rightarrow R)$

Syntax: $(B, \quad 0 : 1 \rightarrow B, \quad \star : B \times B \rightarrow B)$

- **lambda calculus:**

Signature: $R \mapsto R' + R \times R$

Model: $(R, \quad abs : R' \rightarrow R, \quad app : R \times R \rightarrow R)$

Syntax: $(\Lambda, \quad abs : \Lambda' \rightarrow \Lambda, \quad app : \Lambda \times \Lambda \rightarrow \Lambda)$

Can we generalize this pattern?

Initial semantics for algebraic 1-signatures

Theorem [Hirschowitz & Maggesi 2007]

Syntax exists for any **algebraic 1-signature**, i.e. 1-signature built out of derivatives, products, coproducts, and the trivial 1-signature $R \mapsto R$.

Algebraic 1-signatures correspond to binding signatures through the embedding:

Binding signatures \hookrightarrow Our 1-signatures

Question: Can we enforce some equations in the syntax ?

For example: lambda calculus modulo beta and eta.

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Example: a commutative binary operation

Specification of a binary operation

1-Signature: $R \mapsto R \times R$

Model: $(R, + : R \times R \rightarrow R)$

What is an appropriate notion of model for a commutative binary operation ?

Example: a commutative binary operation

Specification of a **commutative** binary operation

1-Signature: $R \mapsto R \times R$

Model: $(R, + : R \times R \rightarrow R)$ s.t. $t + u = u + t$ (1)

What is an appropriate notion of model for a commutative binary operation ?

Answer: a monad with a binary **commutative** operation

Example: a commutative binary operation

Specification of a **commutative** binary operation

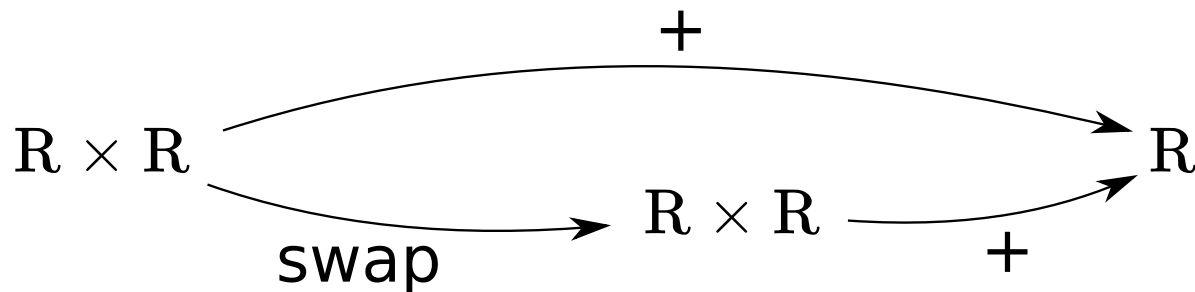
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Equation (1) states an equality between R -module morphisms:

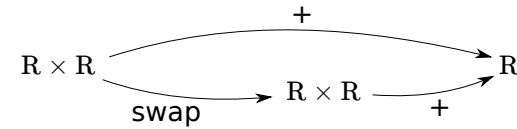


Example: a commutative binary operation

Specification of a **commutative** binary operation

1-Signature: $R \mapsto R \times R$ and parallel morphisms

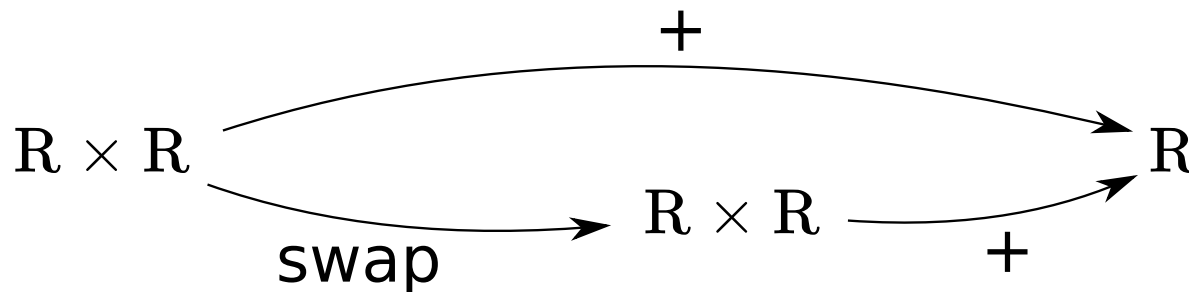
Model: $(R, + : R \times R \rightarrow R)$ s.t. $t + u = u + t$ (1)



What is an appropriate notion of model for a commutative binary operation ?

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Review: Signatures with equations

- [Fiore-Hur 2010]: existence of an initial model for an inductively defined (with a specific syntax) set of possible equations.
- [AHLM CSL 2018]: "quotients" of algebraic 1-signatures generate a syntax (e.g. a binary commutative operation).

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Our framework: alternative approach where monads and modules are the central notions.

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- [AHLM CSL 2018]: "quotients" of algebraic 1-signatures generate a syntax (e.g. a binary commutative operation).

This work: more general equations (e.g. λ -calculus modulo $\beta\eta$).

Equations

Given a 1-signature Σ , a **Σ -equation** $A \rightrightarrows B$ is a functorial assignment

$$R \mapsto \left(A(R) \rightrightarrows B(R) \right)$$

model of Σ parallel pair of module morphisms over R

A **2-signature** is a pair

$$(\Sigma, E)$$

1-signature set of Σ -equations

model of a 2-signature (Σ, E) :

- a model R of Σ
- s.t. $\forall (A \rightrightarrows B) \in E$, the two morphisms $A(R) \rightrightarrows B(R)$ are equal

Algebraic 2-signatures

Given a 1-signature Σ , a Σ -equation $A \Rightarrow B$ is **elementary** if:

1. A "preserves pointwise epimorphisms"

(e.g., any "algebraic 1-signature")

2. B is of the form $R \mapsto R' \dots$ (e.g. $R \mapsto R$)

Algebraic 2-signature:

(Σ, E)

algebraic 1-signature \nearrow \nwarrow set of **elementary**
 Σ -equations

Theorem

Syntax exists for any algebraic 2-signature

Example: λ -calculus modulo $\beta\eta$

The algebraic 2-signature $(\Sigma_{\text{LC}\beta\eta}, E_{\text{LC}\beta\eta})$ of λ -calculus modulo $\beta\eta$:

$$\Sigma_{\text{LC}\beta\eta}(\mathbf{R}) := \Sigma_{\text{LC}}(\mathbf{R}) = \mathbf{R} \times \mathbf{R} + \mathbf{R}'$$

model of Σ_{LC} = monad \mathbf{R} with module morphisms:

$$\text{app} : \mathbf{R} \times \mathbf{R} \rightarrow \mathbf{R} \qquad \text{abs} : \mathbf{R}' \rightarrow \mathbf{R}$$

β -equation: $(\lambda x.t) u = t[\underbrace{x \mapsto u}_{\sigma_{\mathbf{R}}(t,u)}]$

η -equation: $t = \lambda x.(t x)$

$$E_{\text{LC}\beta\eta} = \{ \beta\text{-equation}, \eta\text{-equation} \}$$

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β -equation: $(\lambda x.t) u = t[\underbrace{x \mapsto u}_{\sigma_{\mathbf{R}}(t,u)}]$

η -equation: $t = \lambda x.(t x)$

$$\begin{array}{ccccc}
 & \sigma_{\mathbf{R}} & & & \\
 \mathbf{R}' \times \mathbf{R} & \xrightarrow{\quad} & \mathbf{R} & & \\
 \text{abs} \times \mathbf{R} \searrow & & \nearrow \text{app} & & \\
 & \mathbf{R} \times \mathbf{R} & & &
 \end{array}$$

$$\begin{array}{ccccc}
 & \text{id}_{\mathbf{R}} & & & \\
 \mathbf{R} & \xrightarrow{\quad} & \mathbf{R} & & \\
 \downarrow \text{!}_1 & & \nearrow \text{abs} & & \\
 & \mathbf{R}' & & &
 \end{array}$$

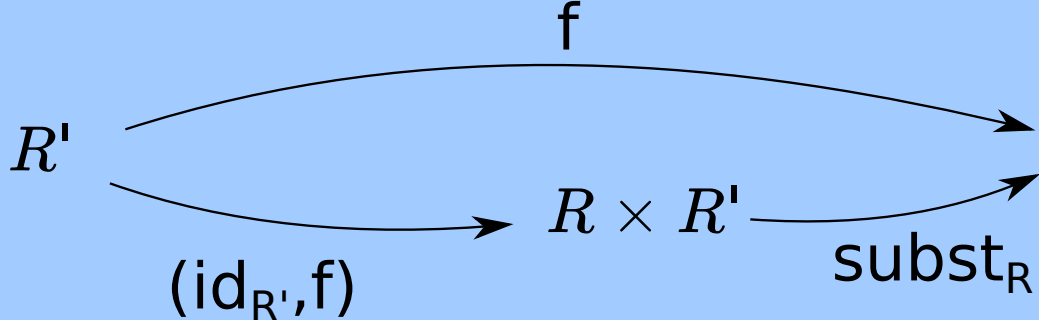
$$E_{\text{LC}\beta\eta} = \{ \beta\text{-equation}, \eta\text{-equation} \}$$

Example: fixpoint operator

Example: fixpoint operator

Definition [AHLM CSL 2018]

A **fixpoint operator** in a monad R is a module morphism $f : R' \rightarrow R$ s.t.

(1)  commutes.

The algebraic 2-signature $(\Sigma_{\text{fix}}, E_{\text{fix}})$ of a fixpoint operator:

$$\Sigma_{\text{fix}}(R) := R' \quad E_{\text{fix}} = \{ (1) \}$$

Proposition [AHLM CSL 2018]

Fixpoint operators in $LC_{\beta\eta}$ are in one to one correspondance with fixpoint combinators (i.e. λ -terms Y s.t. $t(Yt) = Yt$ for any t).

Combining algebraic 2-signatures

Algebraic 2-signatures can be combined:

fixpoint operator

λ -calculus modulo $\beta\eta$

$(\Sigma_{\text{fix}}, E_{\text{fix}})$

+

$(\Sigma_{\text{LC}\beta\eta}, E_{\text{LC}\beta\eta})$

=

$(\Sigma_{\text{fix}} + \Sigma_{\text{LC}\beta\eta}, E_{\text{fix}} \cup E_{\text{LC}\beta\eta})$

λ -calculus modulo $\beta\eta$ with an explicit fixpoint operator

Example: free monoid

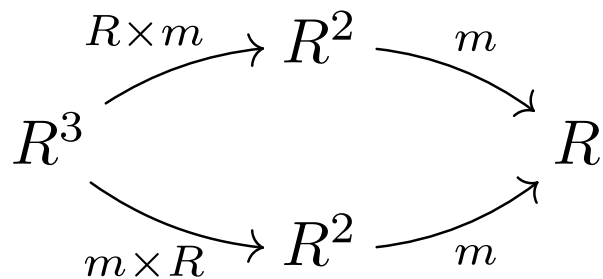
An algebraic 2-signature (Σ, E) for the free monoid monad $X \mapsto \coprod_n X^n$

$$\Sigma(R) := 1 + R \times R$$

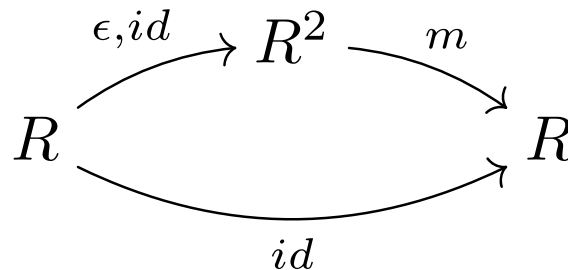
model of Σ = monad R with module morphisms:

$$\epsilon : 1 \rightarrow R \quad m : R \times R \rightarrow R$$

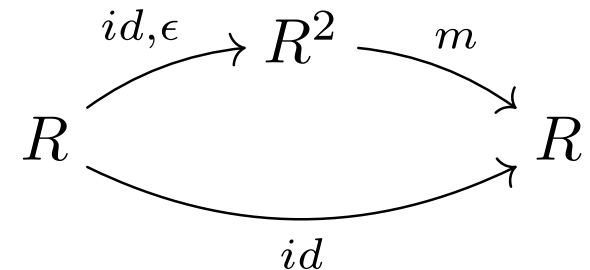
3 elementary Σ -equations:



associativity



left unit



right unit


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Principle of recursion

Recursion on the syntax \simeq Initiality in the category of models

Recipe for constructing "by recursion" a monad morphism:


$f : R \rightarrow S$

initial model of a 2-signature (Σ, E)

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


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Initiality of $R \Rightarrow$ model morphism $R \rightarrow S \Rightarrow$ monad morphism $R \rightarrow S$

Example: Computing the set of free variables

LC = initial model of (Σ_{LC}, \emptyset)

$$\Sigma_{LC}(R) = R \times R + R'$$

\mathcal{P} = power set monad

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$$fv(\text{app}(t, u)) = fv(t) \cup fv(u)$$

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Initiality of $LC \Rightarrow$ $fv : LC \rightarrow \mathcal{P}$ satisfying the above equations (as a model morphism).

Example: Translating λ -calculus with fixpoint

$LC_{\beta\eta\text{fix}}$ = initial model of $(\Sigma, E) = (\Sigma_{LC\beta\eta} + \Sigma_{\text{fix}}, E_{LC\beta\eta} \cup E_{\text{fix}})$

λ -calculus modulo $\beta\eta$ with a fixpoint operator $\text{fix} : LC_{\beta\eta\text{fix}}' \rightarrow LC_{\beta\eta\text{fix}}$

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Definition of a translation $f : LC_{\beta\eta\text{fix}} \rightarrow LC_{\beta\eta}$ **s.t.**

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Example: Computing the size of a term

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$$s(t) = g(t, (x \mapsto 0))$$

Conclusion

Summary of the talk:

- presented a notion of 1-signature and models
- defined a 2-signature as a 1-signature and a set of equations
- identified a class of 2-signatures that generate a syntax

The main theorem has been formalized in Coq using the UniMath library.

Future work:

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Thank you!