

# A Dependently-typed Intermediate Language with General Recursion

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## Abstract

*This is gonna to be written later.*

**Categories and Subject Descriptors** D.3.1 [Programming Languages]: Formal Definitions and Theory

**General Terms** Languages, Design

**Keywords** Dependent types, Intermediate language

## 1. Introduction

*These are definitely drafts and only some main points are listed in each section.*

a) Motivations:

- Because of the reluctance to introduce dependent types<sup>1</sup>, the current intermediate language of Haskell, namely System  $F_C$  [11], separates expressions as terms, types and kinds, which brings complexity to the implementation as well as further extensions [13, 14].
- Popular full-spectrum dependently typed languages, like Agda, Coq, Idris, have to ensure the termination of functions for the decidability of proofs. No general recursion and the limitation of enforcing termination checking make such languages impractical for general-purpose programming.
- We would like to introduce a simple and compiler-friendly dependently typed core language with only one hierarchy, which supports general recursion at the same time.

b) Contribution:

- A core language based on Calculus of Constructions (CoC) that collapses terms, types and kinds into the same hierarchy.
- General recursion by introducing recursive types for both terms and types by the same  $\mu$  primitive.

<sup>1</sup>This might be changed in the near future. See <https://ghc.haskell.org/trac/ghc/wiki/DependentHaskell/Phase1>.

- Decidable type checking and managed type-level computation by replacing implicit conversion rule of CoC with generalized fold/unfold semantics.
- First-class equality by coercion, which is used for encoding GADTs or newtypes without runtime overhead.
- Surface language that supports datatypes, pattern matching and other language extensions for Haskell, and can be encoded into the core language.

c) Related work:

- Henk [5] and one of its implementation [7] show the simplicity of the Pure Type System (PTS). [8] also tries to combine recursion with PTS.
- Zombie [2, 9] is a language with two fragments supporting logics with non-termination. It limits the  $\beta$ -reduction for congruence closure [10].
- $\Pi\Sigma$  [1] is a simple, dependently-typed core language for expressing high-level constructions<sup>2</sup>. UHC compiler [6] tries to use a simplified core language with coercion to encode GADTs.
- System  $F_C$  [11] has been extended with type promotion [14] and kind equality [13]. The latter one introduces a limited form of dependent types into the system<sup>3</sup>, which mixes up types and kinds.

## 2. Overview

**BRUNO: Jeremy: can you give this section a go and start writing it up? I think this section should be your priority for now.**

We begin this section with an informal introduction to the main features of  $\lambda C_\beta$ . We show how it can serve as a simple and compiler-friendly core language with general recursion and decidable type system. The formal details are presented in §4.

### 2.1 Calculus of Constructions

$\lambda C_\beta$  is based on the *Calculus of Constructions* ( $\lambda C$ ) [4], which is a higher-order typed lambda calculus. One “unconventional” feature of  $\lambda C$  is the so-called *conversion* rule as shown below:

$$\frac{\Gamma \vdash e : \tau_1 \quad \Gamma \vdash \tau_2 : s \quad \tau_1 =_\beta \tau_2}{\Gamma \vdash e : \tau_2} \text{ T\_CONV}$$

The conversion rule allows one to derive  $e : \tau_2$  from the derivation of  $e : \tau_1$  and the  $\beta$ -equality of  $\tau_1$  and  $\tau_2$ . Note that in

<sup>2</sup>But the paper didn’t give any meta-theories about the language.

<sup>3</sup>Richard A. Eisenberg is going to implement kind equality [13] into GHC. The implementation is proposed at <https://phabricator.haskell.org/D808> and related paper is at <http://www.cis.upenn.edu/~eir/papers/2015/equalities/equalities-extended.pdf>.

$\lambda C$ , the use of this rule is implicit in that it is automatically applied during type checking to all non-normal form terms. To illustrate, let us consider a simple example. Suppose we have a built-in base type  $\text{Int}$  and

$$f \equiv \lambda x : (\lambda y : \star.y) \text{Int}.x$$

Without the conversion rule,  $f$  cannot be applied to, say 3 in  $\lambda C$ . Given that  $f$  is actually  $\beta$ -convertible to  $\lambda x : \text{Int}.x$ , the conversion rule would allow the application of  $f$  to 3 by implicitly converting  $\lambda x : (\lambda y : \star.y) \text{Int}.x$  to  $\lambda x : \text{Int}.x$ .

## 2.2 Explicit Type Conversion Rules

**BRUNO:** Contrast our calculus with the calculus of constructions. Explain fold/unfold.

In contrast to the implicit reduction rules of  $\lambda C$ ,  $\lambda C_\beta$  makes it explicit as to when and where to convert one type to another. To achieve that, it makes type conversion explicit by introducing two operations:  $\text{cast}^\uparrow$  and  $\text{cast}_\downarrow$ .

In order to have a better intuition, let us consider the same example from §2.1. In  $\lambda C_\beta$ ,  $f$  3 is intended as an ill-typed application. Instead one would like to write the application as

$$f (\text{cast}^\uparrow [(\lambda y : \star.y) \text{Int}] 3)$$

The intuition is that,  $\text{cast}^\uparrow$  is actually doing type conversion since the type of 3 is  $\text{Int}$  and  $(\lambda y : \star.y) \text{Int}$  can be reduced to  $\text{Int}$ .

The dual operation of  $\text{cast}^\uparrow$  is  $\text{cast}_\downarrow$ . The use of  $\text{cast}_\downarrow$  is better explained by another similar example. Suppose that

$$g \equiv \lambda x : \text{Int}.x$$

and term  $z$  has type

$$(\lambda y : \star.y) \text{Int}$$

$g z$  is again an ill-typed application, while  $g (\text{cast}_\downarrow z)$  is type correct because  $\text{cast}_\downarrow$  reduces the type of  $z$  to  $\text{Int}$ .

## 2.3 Decidability and Strong Normalization

**BRUNO:** Informally explain that with explicit fold/unfold rules the decidability of the type system does not depend on strong normalization.

The decidability of the type system of  $\lambda C$  depends on the normalization property for all constructed terms [3]. However strong normalization does not hold with general recursion. This is simply because due to the conversion rule, any non-terminating term would force the type checker to go into an infinitely loop (by constantly applying the conversion rule without termination), thus rendering the type system undecidable.

With explicit type conversion rules, however, the decidability of the type system no longer depends on the normalization property. In fact  $\lambda C_\beta$  is not strong normalizing, as we will see in later sections. The ability to write non-terminating terms motivates us to have more control over type-level computation. To illustrate, let us consider a contrived example. Suppose that  $d$  is a “dependent type” where

$$d : \text{Int} \rightarrow \star$$

so that  $d\ 3$  or  $d\ 100$  all yield the same type. With general recursion at hand, we can image a term  $z$  that has type

$$d \text{ loop}$$

where  $\text{loop}$  stands for any diverging computation and of type  $\text{Int}$ . What would happen if we try to type check the following application:

$$(\lambda x : d\ 3.x) z$$

Under the normal typing rules of  $\lambda C$ , the type checker would get stuck as it tries to do  $\beta$ -equality on two terms:  $d\ 3$  and  $d \text{ loop}$ , where the latter is non-terminating.

This is not the case for  $\lambda C_\beta$ : (i) it has no such conversion rule, therefore the type checker would do syntactic comparison between the two terms instead of  $\beta$ -equality in the above example; and (ii) one would need to write infinite number of  $\text{cast}_\downarrow$ ’s to make the type checker loop forever (e.g.,  $(\lambda x : d\ 3.x)(\text{cast}_\downarrow(\text{cast}_\downarrow \dots z))$ ), which is impossible in reality.

In summary,  $\lambda C_\beta$  achieves the decidability of type checking by explicitly controlling type-level computation, which is independent of the normalization property, while supporting general recursion at the same time.

## 2.4 Unifying Recursive Types and Recursion

**BRUNO:** Show how in  $\lambda C_\beta$  recursion and recursive types are unified. Discuss that due to this unification the sensible choice for the evaluation strategy is call-by-name.

Recursive types arise naturally if we want to do general recursion.  $\lambda C_\beta$  differs from other programming languages in that it unifies both recursion and recursive types by the same  $\mu$  primitive.

*Recursive types.* In the literature on type systems, there are two approaches to recursive types. One is called *equi-recursive*, the other *iso-recursive*.  $\lambda C_\beta$  takes the latter approach since it is more intuitive to us with regard to recursion. The *iso-recursive* approach treats a recursive type and its unfolding as different, but isomorphic. In  $\lambda C_\beta$ , this is witnessed by first  $\text{cast}^\uparrow$ , then  $\text{cast}_\downarrow$ . A classic example of recursive types is the so-called “hungry” type:  $H = \mu\sigma : \star. \text{Int} \rightarrow \sigma$ . A term  $z$  of type  $H$  can accept any number of numeric arguments and return a new function that is hungry for more, as illustrated below:

$$\begin{aligned} \text{cast}_\downarrow z &: \text{Int} \rightarrow H \\ \text{cast}_\downarrow (\text{cast}_\downarrow z) &: \text{Int} \rightarrow \text{Int} \rightarrow H \\ \text{cast}_\downarrow (\text{cast}_\downarrow \dots z) &: \text{Int} \rightarrow \text{Int} \rightarrow \dots \rightarrow H \end{aligned}$$

*Recursion.* The same  $\mu$  primitive can also be used to define recursive functions, e.g., the factorial function:

$$\mu f : \text{Int} \rightarrow \text{Int}. \lambda x : \text{Int}. \text{if } (x == 0) \text{ then } 1 \text{ else } x * f (x - 1)$$

This is reflected by the dynamic semantics of the  $\mu$  primitive:

$$\mu x : T. E \longrightarrow E[x := \mu x : T. E]$$

which is exactly doing recursive unfolding of the same term.

Due to the unification, the *call-by-value* evaluation strategy does not fit in our setting. In call-by-value evaluation, recursion can be expressed by the recursive binder  $\mu$  as  $\mu f : T \rightarrow T. E$  (note that the type of  $f$  is restricted to function types). Since we don’t want to pose restrictions on the types, the *call-by-name* evaluation is a sensible choice.

## 2.5 Encoding Datatypes

**BRUNO:** Informally explain how to encode recursive datatypes and recursive functions using datatypes.

With the explicit type conversion rules and the  $\mu$  primitive, it is straightforward to encode recursive datatypes and recursive functions using datatypes. While inductive datatypes can be encoded using either the Church or the Scott encoding, we adopt the Scott encoding as it bears some resemblance to case analysis, making it more convenient to encode pattern matching. We demonstrate the encoding method using a simple datatype as a running example: the natural numbers.

The datatype declaration for natural numbers is:

$$\text{data Nat} = \text{Zero} \mid \text{Suc } (n : \text{Nat})$$

In the Scott encoding, the encoding of the  $\text{Nat}$  type reflects how its two constructors are going to be used. Since  $\text{Nat}$  is a recursive datatype, we have to use recursive types at some point to reflect

its recursive nature. As it turns out, the  $\text{Nat}$  type can be simply represented as

$$\mu X : \star. \Pi b : \star. b \rightarrow (X \rightarrow b) \rightarrow b$$

As can be seen, in the function type  $b \rightarrow (X \rightarrow b) \rightarrow b$ ,  $b$  corresponds to the type of the  $\text{Zero}$  constructor, and  $X \rightarrow b$  corresponds to the type of the  $\text{Suc}$  constructor. The intuition is that any use of the datatype being defined in the constructors is replaced with the recursive type, except for the return type, which is a type variable for use in the recursive functions.

Now its two constructors can be encoded correspondingly as below:

```
let Zero : Nat = cast↑[Nat] (λ(b : ★)(z : b)(f : Nat → b). z) in
let Suc : Nat → Nat = λ(n : Nat). cast↑[Nat] (λ(b : ★)(z : b)
  (f : Nat → b). f n) in
```

Thanks to the explicit type conversion rules, we can make use of the  $\text{cast}^\uparrow$  operation to do type conversion between the recursive type and its unfolding.

As the last example, let us see how we can define recursive functions using the  $\text{Nat}$  datatype. A simple example would be recursively adding two natural numbers, which can be defined as below:

```
μf : Nat → Nat → Nat. λn : Nat. λm : Nat.
  (cast↓ n) Nat m (λn' : Nat. Suc (f n' m))
```

As we can see, the above definition quite resembles case analysis common in modern functional programming languages. (Actually we formalize the encoding of case analysis in §6.)

Due to the unification of recursive types and recursion, we can use the same  $\mu$  primitive to write both recursive types and recursion with ease.

### 3. Applications

**JEREMY:** Fill in large examples like `monad`, `Fix`, `HOAS`, dependent types.

### 4. The Explicit Calculus of Constructions

**BRUNO:** Linus: can you write up this section? I think this section should be your priority. First bring in all results and formalization: syntax; semantics; proofs ... then write text

In this section, we present a variant of the Calculus of Constructions ( $\lambda C$ ), called *explicit* Calculus of Constructions ( $\lambda C_{\text{exp}}$ ), which is the foundation of our core language  $\lambda C_\beta$ .  $\lambda C_{\text{exp}}$  can be regarded as  $\lambda C_\beta$  without general recursion, so that has more straightforward properties and metatheory. It is suitable for illustrating the core idea of our design, that is to control  $\beta$ -reduction at the type level by introducing *explicit* type conversion semantics. This also brings a benefit to type checking of  $\lambda C_{\text{exp}}$ , that the strong normalization is no long necessary to achieve the decidability of type checking. In the following part of this section, we give explanation of these properties by showing the syntax, static and dynamic semantics and the metatheory of  $\lambda C_{\text{exp}}$ .

#### 4.1 Syntax

The basic syntax of  $\lambda C_{\text{exp}}$  is shown in Figure 1, which gives abstract syntax of expressions, sorts, contexts and values. Just like  $\lambda C$ ,  $\lambda C_{\text{exp}}$  has two main advantages of keeping syntax concise when compared to the System  $F$  families including System  $F_\omega$  and  $F_C$ . One is that  $\lambda C_{\text{exp}}$  uses a single syntactic level to represent terms, types and kinds, which are usually distinguished in System  $F$  families. This brings the economy that we can use a single set of rules for terms, types and kinds uniformly. We use metavariables  $e$

and  $\tau$  when referring to a “term” and a “type” respectively. Note that without distinction of terms, types and kinds, the “term” can be a term, a type or a kind. For example, in  $\alpha : \star$ , the “term”  $\alpha$  is a type and the “type” of  $\alpha$  is  $\star$ , which is a kind.

Another advantage is that  $\lambda C_{\text{exp}}$  includes a product form  $\Pi x : \tau_1. \tau_2$  which is used to represent type of functions from values of type  $\tau_1$  to values of type  $\tau_2$ . Compared with concepts in System  $F$ ,  $\Pi x : \tau_1. \tau_2$  subsumes both the arrow of function types  $\tau_1 \rightarrow \tau_2$  (if  $x$  does not occur free in  $\tau_2$ ), and the universal quantification  $\forall x : \tau_1. \tau_2$ . Moreover, if  $x$  occurs free in  $\tau_2$ , the product becomes a dependent product, which allows to represent dependent types. The product  $\Pi$  keeps the syntax of  $\lambda C_{\text{exp}}$  simple and expressive at the same time.

The syntax difference of from  $\lambda C$  is that  $\lambda C_{\text{exp}}$  introduces two new explicit type conversion primitives, namely  $\text{cast}^\uparrow$  and  $\text{cast}_\downarrow$  (pronounced as “cast up” and “cast down”), in order to replace the implicit conversion rule of  $\lambda C$ . They represent two directions of type conversion operations:  $\text{cast}_\downarrow$  stands for the reduction of types while  $\text{cast}^\uparrow$  is the inverse. Specifically speaking, suppose we have  $e : \sigma$ , i.e. the type of expression  $e$  is  $\sigma$ .  $\text{cast}^\uparrow[\tau]e$  converts the type of  $e$  to  $\tau$ , if there exists a type  $\tau$  such that it can be reduced to  $\sigma$  in a single step, i.e.  $\tau \rightarrow \sigma$ .  $\text{cast}_\downarrow e$  represents the one-step-reduced type of  $e$ , i.e.  $(\text{cast}_\downarrow e) : \sigma'$  if  $\sigma \rightarrow \sigma'$ .

The intention of introducing two explicit cast primitives is that we can gain full control of computation at the type level by manually managing the type conversions. Later in §4.3 we will see dropping the implicit conversion rule of  $\lambda C$  simplifies the type checking and leads to syntax-directed typing rules. This also influences the requirements of decidable type checking, that strong normalization is no long necessary.

$e, \tau$	$::=$	Expressions
$x$		Variable
$s$		Sort
$e_1 e_2$		Application
$\lambda x : \tau. e$		Abstraction
$\Pi x : \tau_1. \tau_2$		Product
$\text{cast}^\uparrow[\tau]e$		Cast up to type
$\text{cast}_\downarrow e$		Cast down by reduction
$s, t$	$::=$	Sorts
$\star$		Star
$\square$		Square
$\Gamma$	$::=$	Contexts
$\emptyset$		Empty
$\Gamma, x : \tau$		Variable binding
$v$	$::=$	Values
$\lambda x : \tau. e$		Abstraction
$\Pi x : \tau_1. \tau_2$		Product
$\text{cast}^\uparrow[\tau]e$		Cast up

**Figure 1.** Syntax of  $\lambda C_{\text{exp}}$

#### 4.2 Syntactic sugar

**LINUS:** This part can be moved to the next section for  $\lambda C_\beta$ .

To keep the core language minimal and simplify the translation of surface language, we use syntactic sugar shown in Figure 2 for  $\lambda C_{\text{exp}}$ .

Let binding for  $x = e_2$  in  $e_1$  is equivalent to the substitution of  $x$  in  $e_1$  with  $e_2$ , which can be reduced from  $(\lambda x : \tau. e_1) e_2$ .

The syntactic sugar for the function type is discussed in §4.1 for the functionality of the product  $\Pi$ . The product  $\Pi x : \tau_1. \tau_2$  can also be simply denoted by  $\Pi_ : \tau_1. \tau_2$ , where the underscore stands for an anonymous variable.

Let binding	$\text{let } x : \tau = e_2 \text{ in } e_1$	$\triangleq$	$(\lambda x : \tau. e_1) e_2$
Function type	$\tau_1 \rightarrow \tau_2$	$\triangleq$	$\Pi x : \tau_1. \tau_2$ ( $x$ does not occur free in $\tau_2$ )

**Figure 2.** Syntactic sugar

### 4.3 Type system

The type system for  $\lambda C_{\text{exp}}$  contains typing judgements and operational semantics. Figure 3 lists operational semantics for  $\lambda C_{\text{exp}}$  that defines rules for one-step reduction, including the  $\beta$ -reduction rule and  $\text{cast}_\downarrow$  rules. The expressions will be reduced by applying rules one or more times. Rule S.CASTDOWN prevents the reduction from stalling with  $\text{cast}_\downarrow$  and continues to reduce the inner expression. Rule S.CASTDOWNUP states that  $\text{cast}_\downarrow$  cancels the  $\text{cast}^\uparrow$  of an expression.

$e \longrightarrow e'$	One-step reduction
$(\lambda x : \tau. e_1) e_2 \longrightarrow e_1[x \mapsto e_2]$	S_BETA
$\frac{e_1 \longrightarrow e'_1}{e_1 e_2 \longrightarrow e'_1 e_2}$	S_APP
$\frac{e \longrightarrow e'}{\text{cast}_\downarrow e \longrightarrow \text{cast}_\downarrow e'}$	S_CASTDOWN
$\text{cast}_\downarrow (\text{cast}^\uparrow[\tau]e) \longrightarrow e$	S_CASTDOWNUP

**Figure 3.** Operational semantics of  $\lambda C_{\text{exp}}$

Figure 4 lists the typing judgements to check the validity of expressions. Most rules are straightforward and similar with the ones in  $\lambda C$ . For example, rule T\_AX states that the “type” of sort  $\star$  is a kind. This is derived from an axiom in  $\lambda C$ , that the highest sort is  $\square$ , making the type system predicative. Rule T.PI allows us to type dependent products. There are four possible combinations of types of  $\tau_1$  and  $\tau_2$  in a product  $\Pi x : \tau_1. \tau_2$ , i.e.  $(s, t) \in \{\star, \square\} \times \{\star, \square\}$ . For some  $(\lambda x : \tau_1. e) : (\Pi x : \tau_1. \tau_2)$ , when  $(s, t) = (\star, \square)$ ,  $x : \tau_1 : \star$ ,  $e : \tau_2 : \square$ , so  $x$  is a term and  $e$  is a type. Thus, we have a type depending on a term which means the product is a dependent type.

The difference from  $\lambda C$  for typing rules of  $\lambda C_{\text{exp}}$  is that rule T.CASTUP and T.CASTDOWN are added to check the type conversion primitives  $\text{cast}^\uparrow$  and  $\text{cast}_\downarrow$ , and the implicit type conversion rule of  $\lambda C$  is removed, which is the rule as follows:

$$\frac{\Gamma \vdash e : \tau_1 \quad \Gamma \vdash \tau_2 : s \quad \tau_1 =_\beta \tau_2}{\Gamma \vdash e : \tau_2} \text{ T\_CONV}$$

This rule is necessary for  $\lambda C$  because of the premise requirements of the application rule T\_APP:

$$\frac{\Gamma \vdash e_1 : (\Pi x : \tau_2. \tau_1) \quad \Gamma \vdash e_2 : \tau_2}{\Gamma \vdash e_1 e_2 : \tau_1[x \mapsto e_2]} \text{ T\_APP}$$

Consider the following two cases of the term  $e_1 e_2$ :

- $e_2$  can be an arbitrary term so its type  $\tau_2$  is not necessary in normal form which might break the type checking of  $e_1$ , e.g. suppose  $e_1 : \sigma \rightarrow \tau$  and  $e_2 : \tau_2$ , where  $\tau_2$  is an application  $(\lambda x : \star. x) \sigma$ . By TCC\_CONV,  $(\lambda x : \star. x) \sigma$  is  $\beta$ -equivalent to  $\sigma$ , thus  $e_2 : \sigma$  and we can further use T\_APP to achieve  $e_1 e_2 : \tau$ .
- The type of  $e_1$  should be a product expression according to the premise. But without the conversion rule, the term fails to type check if the type of  $e_1$  is an expression which can further evaluate to a product, e.g.  $\Pi y : ((\lambda x : \star. x) \tau_2). \tau_1$ . After applying TCC\_CONV, the type of  $e_1$  is converted to its  $\beta$ -equivalence  $\Pi x : \tau_2. \tau_1$ . Thus we can further apply the T\_APP.

We need to show that explicit type conversion rules with  $\text{cast}$  primitives can also satisfy the premises of rule T\_APP. Still consider the above two cases:

- Given  $e_1 : \sigma \rightarrow \tau$  and  $e_2 : (\lambda x : \star. x) \sigma$ , we do the application by term  $e_1 (\text{cast}_\downarrow e_2)$ . Since  $(\lambda x : \star. x) \sigma \longrightarrow \sigma$ ,  $\text{cast}_\downarrow e_2 : \sigma$ , the term  $e_1 (\text{cast}_\downarrow e_2)$  type-checks with the rule T\_APP.
- Given  $e_1 : (\Pi y : ((\lambda x : \star. x) \tau_2). \tau_1)$  and  $e_2 : \tau_2$ , we do the application by term  $e_1 (\text{cast}^\uparrow[(\lambda x : \star. x) \tau_2] e_2)$ . Noting that  $(\lambda x : \star. x) \tau_2 \longrightarrow \tau_2$ , the term conforms to rule T\_CASTUP. Thus  $\text{cast}^\uparrow[(\lambda x : \star. x) \tau_2] e_2 : ((\lambda x : \star. x) \tau_2)$  and the term  $e_1 (\text{cast}^\uparrow[(\lambda x : \star. x) \tau_2] e_2)$  can be type-checked by the rule T\_APP.

Therefore, it is feasible to replace implicit conversion rules of  $\lambda C$  with explicit type conversion rules.

$\Gamma \vdash e : \tau$	Expression typing
$\emptyset \vdash \star : \square$	T_AX
$\frac{\Gamma \vdash \tau : s}{\Gamma, x : \tau \vdash x : \tau}$	T_VAR
$\frac{\Gamma \vdash e : \tau_2 \quad \Gamma \vdash \tau_1 : s}{\Gamma, x : \tau_1 \vdash e : \tau_2}$	T_WEAK
$\frac{\Gamma \vdash e_1 : (\Pi x : \tau_2. \tau_1) \quad \Gamma \vdash e_2 : \tau_2}{\Gamma \vdash e_1 e_2 : \tau_1[x \mapsto e_2]}$	T_APP
$\frac{\Gamma, x : \tau_1 \vdash e : \tau_2 \quad \Gamma \vdash (\Pi x : \tau_1. \tau_2) : s}{\Gamma \vdash (\lambda x : \tau_1. e) : (\Pi x : \tau_1. \tau_2)}$	T_LAM
$\frac{\Gamma \vdash \tau_1 : s \quad \Gamma, x : \tau_1 \vdash \tau_2 : t}{\Gamma \vdash (\Pi x : \tau_1. \tau_2) : t}$	T_PI
$\frac{\Gamma \vdash e : \tau_2 \quad \Gamma \vdash \tau_1 : s \quad \tau_1 \longrightarrow \tau_2}{\Gamma \vdash (\text{cast}^\uparrow[\tau_1]e) : \tau_1}$	T_CASTUP
$\frac{\Gamma \vdash e : \tau_1 \quad \Gamma \vdash \tau_2 : s \quad \tau_1 \longrightarrow \tau_2}{\Gamma \vdash (\text{cast}_\downarrow e) : \tau_2}$	T_CASTDOWN

**Figure 4.** Typing rules of  $\lambda C_{\text{exp}}$

### 4.4 Decidability and soundness without strong normalization

The conversion rule of  $\lambda C$  is not syntax-directed because it can be implicitly applied at any time in a derivation. The  $\beta$ -equality premise of the rule also leads to the decidability of type checking relying on the strong normalization property of  $\lambda C$ . Suppose strong normalization does not hold in the type system, then we can find a type  $\tau_1$  such that there exists at least one reduction sequence

which does not terminate. Notice that any type  $\tau_2$  in such reduction sequence holds for  $\tau_1 =_\beta \tau_2$ . Thus we can constantly apply the conversion rule without termination and the type checking will not stop, which means the type checking is undecidable.

Requiring strong normalization to achieve the decidability of type checking makes it impossible to combine general recursion with  $\lambda C$ , because general recursion might cause nontermination which simply breaks the strong normalization property. So we use explicit type conversion rules by cast operations to relax the constraints of achieving decidable type checking. We have the following theorem:

**Theorem 4.1** (Decidability of type checking for  $\lambda C_{\text{exp}}$ ). *Let  $\Gamma$  be an environment,  $e$  and  $\tau$  be expressions of  $\lambda C_{\text{exp}}$  such that  $\Gamma \vdash \tau : s$ . Then the problem of knowing if one has  $\Gamma \vdash e : \tau$  is decidable.*

*Proof.* By induction on typing rules in Figure 4.  $\square$

Notice that new explicit type conversion rules are syntax-directed and do not include the  $\beta$ -equality premise but one-step reduction instead. Because checking if one term is one-step-reducible to the other is always decidable by enumerating the reduction rules, type checking using these rules are always decidable. Therefore the proof of decidability for  $\lambda C_{\text{exp}}$  does not rely on the strong normalization. This also implies the possibility of introducing general recursion into the system with decidable type checking.

Also for obtaining the soundness of  $\lambda C_{\text{exp}}$ , the proof does not need the strong normalization by combining the following two theorems:

**Theorem 4.2** (Subject Reduction). *If  $\Gamma \vdash e : \tau$  and  $e \longrightarrow e'$  then  $\Gamma \vdash e' : \tau$ .*

*Proof.* By induction on rules in Figure 3.  $\square$

**Theorem 4.3** (Progress). *If  $\emptyset \vdash e : \tau$  then either  $e$  is a value  $v$  or there exists  $e'$  such that  $e \longrightarrow e'$ .*

*Proof.* By induction on rules in Figure 4.  $\square$

## 5. The Explicit Calculus of Constructions with Recursion

**BRUNO:** Linus and Jeremy, I think you should do this section together. Most work is on Linus though since he needs to work out the proofs. Jeremy is mostly for Linus to consult with here :).

We have shown that  $\lambda C_{\text{exp}}$  does not rely on strong normalization for decidable type checking and soundness. Thus it is safe to combine general recursion with  $\lambda C_{\text{exp}}$  under the control of explicit type conversion operations  $\text{cast}^\uparrow$  and  $\text{cast}_\downarrow$ . We extend  $\lambda C_{\text{exp}}$  into  $\lambda C_\beta$  by introducing one unified primitive called  $\mu$ -notation for general recursion. It functions as a fixed point at the term level as well as a recursive type at the type level.

### 5.1 The $\mu$ -notation

Based on the syntax of  $\lambda C_{\text{exp}}$ , we add the following  $\mu$ -notation for  $\lambda C_\beta$  (the same part as  $\lambda C_{\text{exp}}$  is left out):

$e, \tau$	$::=$	Expressions
	$\mid$	$\dots$
	$\mid$	$\mu x : \tau. e$ General recursion

The  $\mu$ -notation is similar to the definition of recursive types, except that it is not only treated as types but also terms. This also corresponds to the property of  $\lambda C_{\text{exp}}$  that terms and types are not distinguished.

The typing rule and operational semantics of  $\mu$ -notation for terms and types are also unified, thus each one rule for static and dynamic semantics is only needed to add over  $\lambda C_{\text{exp}}$ . The new type checking rule of  $\mu$ -notation is as follows:

$$\frac{\Gamma, x : \tau \vdash e : \tau}{\Gamma \vdash (\mu x : \tau. e) : \tau} \quad \text{T\_MU}$$

And the one-step reduction rule is as follows:

$$\mu x : \tau. e \longrightarrow e[x \mapsto \mu x : \tau. e] \quad \text{S\_MU}$$

If  $\mu x : \tau. e$  is a term, with the S\_MU rule, it is not treated as a value and can be further reduced, which is different from conventional iso-recursive types. The one-step reduced term of  $\mu x : \tau. e$  is the substitution of  $x$  in  $e$  with itself, i.e.  $e[x \mapsto \mu x : \tau. e]$ . Such behavior is just the same as the definition of a fixed point.

If  $\mu x : \tau. e$  is a type, assume there exist  $e_1 : \mu x : \tau. e$  and  $e_2 : e[x \mapsto \mu x : \tau. e]$ . Notice that the types of  $e_1$  and  $e_2$  are equivalent by  $\beta$ -equivalence. But such result cannot be directly obtained because of the removal of implicit conversion rule. Instead, by using explicit cast operations of  $\lambda C_{\text{exp}}$ , we can obtain the following transformation between  $e$  and  $e'$ :

$$\begin{array}{ll} \text{cast}^\uparrow [\mu x : \tau. e] e_2 & : \mu x : \tau. e \\ \text{cast}_\downarrow e_1 & : (\mu x : \tau. e[x \mapsto \mu x : \tau. e]) \end{array}$$

For type-level  $\mu$ -notation,  $\text{cast}^\uparrow$  and  $\text{cast}_\downarrow$  work in the same way as fold and unfold operations in iso-recursive types to control recursion explicitly.

### 5.2 Decidability and soundness

**LINUS:** Not finished. Needs thorough thinking about the proof of soundness.

Due to the introduction of recursive types,  $\lambda C_\beta$  is no long consistent so that not able to be used as a logic. But with the power of general recursion, the expressibility of  $\lambda C_\beta$  is increased since more data types and functions can be mapped or encoded into  $\lambda C_\beta$ . And more importantly, even with  $\mu$ -notation,  $\lambda C_\beta$  can still be proved to have the same properties as  $\lambda C_\beta$  in the sense of decidability of type checking and soundness.

As what we previously illustrate in Section 4.4, the type checking of  $\lambda C_{\text{exp}}$  can always terminate because the derivation is finite without the implicit conversion rule. With the  $\mu$ -notation in  $\lambda C_\beta$ , the decidability of type checking still holds because the type level recursion is explicitly controlled by cast operations. Notice that in the typing rule of  $\text{cast}^\uparrow$  and  $\text{cast}_\downarrow$ , the reduction is performed by one step. Thus the reduction sequences are always finite. Also by adopting the definitional equality, to judge if two terms are equal in the type checking is also decidable. Therefore, the new T\_MU rule is decidable for type checking.

To prove the soundness, we only need to consider each one more case for subject reduction and progress, i.e. S\_MU and T\_MU. It is straightforward to verify these two rules still keeping the soundness.

## 6. Surface language

**BRUNO:** Jeremy, I think you should write up this section.

- Expand the core language with datatypes and pattern matching by encoding.
- Give translation rules.



- Encode GADTs and maybe other Haskell extensions? GADTs seems challenging, so perhaps some other examples would be datatypes like *Fixf*, and *Monad* as a record. Could formalize records in Haskell style.

In this section, we present the surface language ( $\lambda C_{\text{suf}}$ ) that supports simple datatypes and case analysis. Due to the expressiveness of  $\lambda C_{\beta}$ , all these features can be elaborated into the core language without extending the built-in language constructs of  $\lambda C_{\beta}$ . In what follows, we first give the syntax of  $\lambda C_{\text{suf}}$ , followed by the extended typing rules, then we show the formal translation rules that translates  $\lambda C_{\text{suf}}$  expressions into  $\lambda C_{\beta}$  expressions. Finally we demonstrate the translation using a simple example.

### 6.1 Extended Syntax

The syntax of  $\lambda C_{\text{suf}}$  is shown in Figure 5 (JEREMY: no existentially qualified type variables due to the syntax change). Compared with  $\lambda C_{\beta}$ ,  $\lambda C_{\text{suf}}$  has a new syntax category: a program, consisting of a list of datatype declarations, followed by an expression. An *algebraic data type*  $D$  is introduced as a top-level **data** declaration with its *data constructors*. The type of a data constructor  $K$  has the form:

$$K : \Pi \bar{u} : \bar{\kappa}^n. \bar{\tau} \rightarrow D \bar{u}^n$$

The first  $n$  quantified type variables  $\bar{u}$  appear in the same order in the return type  $D \bar{u}$ . The **case** expression is conventional, used to break up values built with data constructors. The patterns of a case expression are flat (no nested patterns), and bind value variables.

Declarations		
<i>pgm</i>	$::= \overline{\text{decl}}; e$	Declarations
<i>decl</i>	$::= \mathbf{data} \ D \ \bar{u} : \bar{\kappa} = \overline{K \ \bar{\tau}}$	Datatype
Terms		
<i>u</i>	$::= x \mid K$	Variables and constructors
$e, \tau, \sigma, \nu, \kappa$	$::= u$	Term atoms
	$\dots$	
	$\mid \mathbf{case} \ e \ \mathbf{of} \ \bar{p} \Rightarrow \bar{e}$	Case analysis
<i>p</i>	$::= K \ \bar{x} : \bar{\tau}$	Pattern
Environments		
$\Gamma$	$::= \emptyset$	Empty
	$\mid \Gamma, u : \tau$	Variable binding

**Figure 5.** Syntax of  $\lambda C_{\text{suf}}$  ( $e$  for terms;  $\tau, \sigma, \nu$  for types;  $\kappa$  for kinds)

With datatypes, it is easy to encode *records* as syntactic sugar of simple datatypes, as shown in Figure 6.

$$\mathbf{data} \ R = R \{ \overline{S : \tau^n} \} \triangleq \mathbf{data} \ R = R \bar{\tau} \\ \mathbf{let} \ S_i^{i \in 1..n} : R \rightarrow \tau_i = \\ \lambda l : R. \mathbf{case} \ l \ \mathbf{of} \ R \ \bar{x} : \bar{\tau} \Rightarrow x_i \\ \mathbf{in}$$

**Figure 6.** Syntactic sugar for records

### 6.2 Extended Typing Rules

The type system of  $\lambda C_{\text{suf}}$  is shown in Figure 7. To save space, we only show the new typing rules. Furthermore, we sometimes adopt the following syntactic convention:

$$\bar{\tau}^n \rightarrow \tau_r \equiv \tau_1 \rightarrow \dots \rightarrow \tau_n \rightarrow \tau_r$$

Rule (Pgm) type-checks a whole problem. It first type-checks the declarations, which in return gives a new typing environment.

Combined with the original environment, it then checks the expression and return the result type. Rule (Data) type-checks datatype declarations by ensuring the well-formedness of the kinds of type constructors and the types of data constructors. Finally rule (Alt) validates the patterns by looking up the the existence of corresponding data constructors in the typing environment, replacing universally quantified type variables with proper concrete types.

### 6.3 Translation Overview

We use a type-directed translation. The typing relations have the form:

$$\Gamma \vdash e : \tau \rightsquigarrow E$$

It states that  $\lambda C_{\beta}$  expression  $E$  is the translation of  $\lambda C_{\text{suf}}$  expression  $e$  of type  $\tau$ . Figure 8 shows the translation rules, which are the typing rules in Figure 7 extended with the resulting expression  $E$ . In the translation, We require that applications of constructors to be *saturated*.

Among others, Rules (Case), (Alt) and (Data) are of the essence for the translation. Rule (Case) translates case expressions into applications by first type-converting the scrutinee expression, then applying it to the result type and a  $\lambda C_{\beta}$  expression. Rule (Alt) translate each pattern into a lambda expression, with each variable in the pattern corresponding to a variable in the lambda expression in the same order. The body in the alternative is recursively translated and taken as the lambda body.

Rule (Data) does the most heavy work and deserves further explanation. First of all, it results in a incomplete expression (as can be seen by the incomplete *let* expressions), The result expression is supposed to be prepended to the translation of the last expression to form a complete  $\lambda C_{\beta}$  expression, as specified by Rule (Pgm). Furthermore, each type constructor is translated as a lambda expression, with a recursive type as the body. Each data constructor is also translated as a lambda expression. Notice that we use cast operation in the lambda body to restore to the corresponding datatype.

The rest of the translation rules hold few surprises.

## 7. Related Work

## 8. Conclusion

Conclusion and related work.

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$\boxed{\Gamma \vdash \text{pgm} : \tau}$	
(Pgm)	$\frac{\overline{\Gamma_0 \vdash \text{decl} : \Gamma_d} \quad \Gamma = \Gamma_0, \overline{\Gamma_d} \quad \Gamma \vdash e : \tau}{\Gamma_0 \vdash \overline{\text{decl}}; e : \tau}$
$\boxed{\Gamma \vdash \text{decl} : \Gamma_d}$	
(Data)	$\frac{\Gamma \vdash \bar{\kappa} \rightarrow \star : \square \quad \overline{\Gamma, D : \bar{\kappa} \rightarrow \star, \bar{u} : \bar{\kappa} \vdash \bar{\tau} \rightarrow D \bar{u} : \star}}{\Gamma \vdash (\mathbf{data} \ D \bar{u} : \bar{\kappa} = \overline{K \bar{\tau}}) : (D : \bar{\kappa} \rightarrow \star, K : \Pi \bar{u} : \bar{\kappa}. \bar{\tau} \rightarrow D \bar{u})}$
$\boxed{\Gamma \vdash e : \tau}$	
(Case)	$\frac{\Gamma \vdash e_1 : \sigma \quad \overline{\Gamma \vdash_p p \Rightarrow e_2 : \sigma \rightarrow \tau}}{\Gamma \vdash \mathbf{case} \ e_1 \ \mathbf{of} \ \bar{p} \Rightarrow \bar{e}_2 : \tau}$
$\boxed{\Gamma \vdash_p p \Rightarrow e : \sigma \rightarrow \tau}$	
(Alt)	$\frac{\theta = [\bar{u} := \bar{v}] \quad \overline{K : \Pi \bar{u} : \bar{\kappa}. \bar{\sigma} \rightarrow D \bar{u} \in \Gamma} \quad \Gamma, x : \theta(\sigma) \vdash e : \tau}{\Gamma \vdash_p K x : \theta(\sigma) \Rightarrow e : D \bar{v} \rightarrow \tau}$

**Figure 7.** Typing rules of  $\lambda C_{\text{suf}}$

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## A. Appendix Title

Additional proof goes here.

$$\boxed{\Gamma \vdash e : \tau \rightsquigarrow E}$$

(Ax)

$$\overline{\emptyset \vdash \star : \square \rightsquigarrow \star}$$

(Var)

$$\frac{x : \tau \in \Gamma}{\Gamma \vdash x : \tau \rightsquigarrow x}$$

(App)

$$\frac{\Gamma \vdash e_1 : (\Pi x : \tau_2. \tau_1) \rightsquigarrow E_1 \quad \Gamma \vdash e_2 : \tau_2 \rightsquigarrow E_2}{\Gamma \vdash e_1 e_2 : \tau_1[x := e_2] \rightsquigarrow E_1 E_2}$$

(Lam)

$$\frac{\Gamma, x : \tau_1 \vdash e : \tau_2 \rightsquigarrow E \quad \Gamma \vdash (\Pi x : \tau_1. \tau_2) : t}{\Gamma \vdash (\lambda x : \tau_1. e) : (\Pi x : \tau_1. \tau_2) \rightsquigarrow \lambda x : \tau_1. E}$$

$t \in \{\star, \square\}$

(Pi)

$$\frac{\Gamma \vdash \tau_1 : s \quad \Gamma, x : \tau_1 \vdash \tau_2 : t}{\Gamma \vdash (\Pi x : \tau_1. \tau_2) : t \rightsquigarrow \Pi x : \tau_1. \tau_2}$$

$(s, t) \in \mathcal{R}$

(Mu)

$$\frac{\Gamma, x : \tau \vdash e : \tau \rightsquigarrow E \quad \Gamma \vdash \tau : s}{\Gamma \vdash (\mu x : \tau. e) : \tau \rightsquigarrow \mu x : \tau. E}$$

$s \in \{\star, \square\}$

(Fold)

$$\frac{\Gamma \vdash e : \tau_2 \rightsquigarrow E \quad \Gamma \vdash \tau_1 : s \quad \tau_1 \longrightarrow \tau_2}{\Gamma \vdash (\text{cast}^\uparrow[\tau_1] e) : \tau_1 \rightsquigarrow \text{cast}^\uparrow[\tau_1] E}$$

(Unfold)

$$\frac{\Gamma \vdash e : \tau_1 \rightsquigarrow E \quad \Gamma \vdash \tau_2 : s \quad \tau_1 \longrightarrow \tau_2}{\Gamma \vdash (\text{cast}_\downarrow e) : \tau_2 \rightsquigarrow \text{cast}_\downarrow E}$$

(Case)

$$\frac{\Gamma \vdash e_1 : \sigma \rightsquigarrow E_1 \quad \Gamma \vdash_p p \Rightarrow e_2 : \sigma \rightarrow \tau \rightsquigarrow E_2}{\Gamma \vdash \text{case } e_1 \text{ of } \overline{p \Rightarrow e_2} : \tau \rightsquigarrow (\text{cast}_\downarrow E_1) \tau \overline{E_2}}$$

$$\boxed{\Gamma \vdash_p p \Rightarrow e : \sigma \rightarrow \tau \rightsquigarrow E}$$

(Alt)

$$\frac{\theta = [\overline{u} := \overline{v}]}{K : \Pi \overline{u} : \overline{\kappa}. \overline{\sigma} \rightarrow D \overline{u} \in \Gamma \quad \Gamma, x : \theta(\overline{\sigma}) \vdash e : \tau \rightsquigarrow E}{\Gamma \vdash_p K x : \theta(\overline{\sigma}) \Rightarrow e : D \overline{u} \rightarrow \tau \rightsquigarrow \lambda(x : \theta(\overline{\sigma})). E}$$

$$\boxed{\Gamma \vdash \text{decl} : \Gamma_d \rightsquigarrow E}$$

(Data)

$$\frac{\Gamma \vdash \overline{\kappa} \rightarrow \star : \square \quad \overline{\Gamma}, D : \overline{\kappa} \rightarrow \star, \overline{u} : \overline{\kappa} \vdash \overline{\tau} \rightarrow D \overline{u} : \star}{\Gamma \vdash (\text{data } D \overline{u} : \overline{\kappa} = \overline{K \overline{\tau}}) : (D : \overline{\kappa} \rightarrow \star, \overline{K} : \Pi \overline{u} : \overline{\kappa}. \overline{\tau} \rightarrow D \overline{u}) \rightsquigarrow E}$$

$$E ::= \text{let } D : \overline{\kappa} \rightarrow \star = \lambda \overline{u} : \overline{\kappa}. \mu X. \Pi b : \star. (\overline{\tau}[D \overline{u} := X] \rightarrow b) \rightarrow b \text{ in}$$

$$\text{let } K_i : \Pi \overline{u} : \overline{\kappa}. \overline{\tau} \rightarrow D \overline{u} = \lambda(u : \kappa). \lambda(x : \tau). \text{cast}^\uparrow[D \overline{u}] (\lambda(b : \star) (\overline{c} : \overline{\tau} \rightarrow b). c_i \overline{x}) \text{ in}$$

$$\boxed{\Gamma \vdash \text{pgm} : \tau \rightsquigarrow E}$$

(Pgm)

$$\frac{\overline{\Gamma}_0 \vdash \text{decl} : \Gamma_d \rightsquigarrow E_1 \quad \Gamma = \Gamma_0, \overline{\Gamma}_d \quad \Gamma \vdash e : \tau \rightsquigarrow E}{\Gamma_0 \vdash \overline{\text{decl}}; e : A \rightsquigarrow \overline{E}_1 \oplus E}$$

**Figure 8.** Type-directed translation from  $\lambda C_{\text{suf}}$  to  $\lambda C_\beta$