

### $\lambda$ -Calculus

### General Recursion and Polymorphism

陳亮廷 Chen, Liang-Ting

Formosan Summer School on Logic, Language, and Computation (FLOLAC) 2022

Institute of Information Science, Academia Sinica

# \_\_\_\_

PCF— System of Recursive

**Functions** 

# PCF: $\lambda_{\rightarrow}$ with naturals and general recursion

### Definition 1 (Terms)

Additional term formation rules are added to  $\lambda_{
ightarrow}$  as follows.

2

# PCF: Typing rules

#### Definition 2

Additional term typing rules are added to  $\lambda_{
ightarrow}$  as follows.

$$\frac{\Gamma \vdash M : \mathbb{N}}{\Gamma \vdash \mathsf{suc} \, M : \mathbb{N}}$$

$$\frac{\Gamma \vdash L : \mathbb{N}}{\Gamma \vdash \mathsf{ifz}(M; x. \, N) \, L : \tau}$$

$$\frac{\Gamma, x : \tau \vdash M : \tau}{\Gamma \vdash \mathsf{fix} \, x. \, M : \tau}$$

- · Substitution for **PCF** is defined similarly.
- Substitution respects typing judgements, i.e.  $\Gamma \vdash N : \tau$  and  $\Gamma, X : \tau \vdash M : \sigma$ , then  $\Gamma \vdash M[N/X] : \sigma$ .

3

# PCF: Dynamics

 $\beta$ -conversion for **PCF** is extended with three rules

$$\begin{array}{c} \operatorname{fix} x. M \longrightarrow_{\beta} M[\operatorname{fix} x. M/x] \\ \operatorname{ifz}(M; x. N) \operatorname{zero} \longrightarrow_{\beta} M \\ \operatorname{ifz}(M; x. N) \left(\operatorname{suc} L\right) \longrightarrow_{\beta} N[L/x] \end{array}$$

Similarly, a  $\beta$ -reduction  $\longrightarrow_{\beta 1}$  extends  $\longrightarrow_{\beta}$  to all parts of a term and  $\longrightarrow_{\beta *}$  indicates finitely many  $\beta$ -reductions.

#### Theorem 3

**PCF** enjoys type safety.

### Example

A term which never terminates can be defined easily.

$$\begin{array}{ll} \operatorname{fix} x.x & \longrightarrow_{\beta 1} x[\operatorname{fix} x.x/x] \\ \equiv \operatorname{fix} x.x & \longrightarrow_{\beta 1} x[\operatorname{fix} x.x/x] \\ \equiv \operatorname{fix} x.x & \longrightarrow_{\beta 1} x[\operatorname{fix} x.x/x] \\ \equiv \dots & \end{array}$$

# Example: Predecessor and negation

```
pred := \lambda n : \mathbb{N}. ifz(zero; x.x) n : \mathbb{N} \to \mathbb{N}
```

 $\mathsf{not} := \lambda n : \mathbb{N}.\,\mathsf{ifz}(\mathsf{suc}\,\mathsf{zero}; x.\,\mathsf{zero})\,n \qquad : \mathbb{N} \to \mathbb{N}$ 

#### Exercise

Evaluate the following terms to their normal forms.

- 1. pred zero
- 2. pred (suc (suc (suc zero)))
- 3. not (suc (suc zero))

F — Polymorphic Typed

 $\lambda$ -Calculus

# Polymorphic types

Given type variables  $\mathbb{V}$ ,  $\tau$  : Type is defined by defined by

$$\frac{t \in \mathbb{V}}{t : \mathsf{Type}} \, (\mathsf{tvar})$$
 
$$\frac{\sigma : \mathsf{Type} \qquad \tau : \mathsf{Type}}{\sigma \to \tau : \mathsf{Type}} \, (\mathsf{fun})$$
 
$$\frac{\sigma : \mathsf{Type} \qquad t \in \mathbb{V}}{\forall t. \, \sigma : \mathsf{Type}} \, (\mathsf{poly})$$

where t may or may not appear in  $\sigma$ .

The polymorphic type  $\forall t. \, \sigma$  provides a generic type for every instance  $\sigma[\tau/t]$  whenever t is instantiated by an actual type  $\tau$ .

7

### **Examples**

•  $id : \forall t. t \rightarrow t$ •  $proj_1 : \forall t. \forall u. t \rightarrow u \rightarrow t$ •  $proj_2 : \forall t. \forall u. t \rightarrow u \rightarrow u$ •  $length : \forall t. list t \rightarrow nat$ •  $singleton : \forall t.t \rightarrow list(t)$ 

# Free and bound variables, again

#### Definition 4

The free variable  $FV(\tau)$  of  $\tau$  is defined inductively by

$$FV(t) = t$$

$$FV(\sigma \to \tau) = FV(\sigma) \cup FV(\tau)$$

$$FV(\forall t. \sigma) = FV(\sigma) - \{t\}$$

For convenience, the function extends to contexts:

$$\mathsf{FV}(\Gamma) = \{ t \in \mathbb{V} \mid \exists (\mathsf{X} : \sigma) \in \Gamma \land t \in \mathsf{FV}(\sigma) \}.$$

- 1.  $FV(t_1) = \{t_1\}.$
- 2.  $FV(\forall t. (t \rightarrow t) \rightarrow t \rightarrow t) = \emptyset$ .
- 3. **FV**( $x: t_1, y: t_2, z: \forall t. t$ ) = { $t_1, t_2$ }.

# Capture-avoiding substitution for type

#### Definition 5

The (capture-avoiding) substitution of a type  $\rho$  for the free occurrence of a type variable t is defined by

$$t[\rho/t] = \rho$$

$$u[\rho/t] = u \qquad \text{if } u \neq t$$

$$(\sigma \to \tau)[\rho/t] = \sigma[\rho/t] \to \tau[\rho/t]$$

$$(\forall t.\sigma)[\rho/t] = \forall t.\sigma$$

$$(\forall u.\sigma)[\rho/t] = \forall u.\sigma[\rho/t] \qquad \text{if } u \neq t, u \notin \mathsf{FV}(\rho)$$

Recall that  $u \notin FV(\rho)$  means that u is fresh for  $\rho$ .

### Typed terms

#### Definition 6

On top of  $\lambda_{\rightarrow}$ , **F** has additional term formation rules as follows.

$$\frac{M:\mathsf{Term}_F}{\Lambda t.\ M:\mathsf{Term}_F} \frac{t:\mathbb{V}}{} (\mathsf{gen})$$

$$\frac{\textit{M}: \mathsf{Term}_\textit{F}}{\textit{M} \; \tau : \mathsf{Term}_\textit{F}} \; (\mathsf{inst})$$

- 1. At. M for type abstraction, or generalisation.
- 2.  $M \tau$  for type application, or instantiation.

11

### Example

Suppose length:  $\forall t. \text{list } t \rightarrow \text{nat}$ .

Then,

- 1. length nat
- 2. length bool
- 3. length (nat  $\rightarrow$  nat)

are instances of length with types

- 1. list nat  $\rightarrow$  nat
- 2. list bool  $\rightarrow$  nat
- 3. list (nat  $\rightarrow$  nat)  $\rightarrow$  nat

# System F: Typing judgement

A type context is a sequence of type variable

$$t_1, t_2, \ldots, t_n$$

F has two kinds of typing judgements.

- $\Delta \vdash \tau$  for  $\tau$  for a valid type under the type context  $\Delta$
- $\Delta$ ;  $\Gamma \vdash M : \tau$  for a well-typed term under the context  $\Gamma$  and the type context  $\Delta$ .

For example,

$$t \vdash t \rightarrow t$$

is a judgement that  $t \rightarrow$  is a valid type under the type context, t.

# System F: Type formation

The justification of  $\Delta \vdash \tau$  is constructed inductively by following rules.

$$\frac{t \text{ occurs in } \Delta}{\Delta \vdash t}$$

$$\frac{\Delta, t \vdash \tau}{\Delta \vdash \forall t. \tau}$$

$$\frac{\Delta \vdash \tau_1 \qquad \Delta \vdash \tau_2}{\Delta \vdash \tau_1 \to \tau_2}$$

#### Exercise

Derive the judgement

$$t \vdash t \rightarrow t$$

# System F: Typing rules

The justification of  $\Delta$ ;  $\Gamma \vdash M : \sigma$  is defined inductively by following rules.

$$\frac{x:\sigma\in\Gamma}{\Delta;\Gamma\vdash x:\sigma} \qquad \frac{\Delta,t;\Gamma\vdash M:\sigma}{\Delta;\Gamma\vdash \lambda t.\ M:\forall t.\ \sigma} \ (\forall\text{-intro})$$

$$\frac{\Delta;\Gamma\vdash M:\sigma\to\tau}{\Delta;\Gamma\vdash MN:\tau} \qquad \frac{\Delta;\Gamma\vdash M:\forall t.\ \sigma}{\Delta;\Gamma\vdash \lambda x:\sigma.\ M:\sigma\to\tau} \qquad \frac{\Delta;\Gamma\vdash M:\forall t.\ \sigma}{\Delta;\Gamma\vdash M:\tau:\sigma[\tau/t]} \ (\forall\text{-elim})$$

For convenience,  $\vdash M : \tau$  stands for  $\cdot$ ;  $\cdot \vdash M : \tau$ .

# Typing derivation

The typing judgement  $\vdash \Lambda t. \Lambda u. \lambda(x:t)(y:u). x: \forall t. \forall u. t \rightarrow u \rightarrow t$  is derivable from the following derivation:

$$\frac{t, u \vdash u}{t, u; x : t, y : u \vdash x : t}$$

$$\frac{t, u \vdash t}{t, u; x : t \vdash \lambda(y : u). x : u \to t}$$

$$\frac{t, u; \vdash \lambda(x : t)(y : u). x : t \to u \to t}{t; \vdash \Lambda u. \lambda(x : t)(y : u). x : \forall u. t \to u \to t}$$

$$\vdash \Lambda t. \Lambda u. \lambda(x : t)(y : u). x : \forall t. \forall u. t \to u \to t}$$

# Self application

Self-application is not typable in simply typed  $\lambda$ -calculus.

$$\lambda(x:t).xx$$

However, self-application is possible in System F.

$$\lambda(x: \forall t.t \rightarrow t).x (\forall t.t \rightarrow t) x$$

#### Exercise

Instantiate the first t with the type  $\forall t. t \rightarrow t$ .

### Exercise

Derive the following judgements:

- 1.  $\vdash \Lambda t. \lambda(x:t).x: \forall t. t \rightarrow t$
- 2.  $\sigma$ ;  $a : \sigma \vdash (\Lambda t. \lambda(x : t)(y : t).x) \sigma a : \sigma \rightarrow \sigma$
- 3.  $\vdash \Lambda t. \lambda(f:t \to t)(x:t).f(fx): \forall t. (t \to t) \to t \to t$

Hint. **F** is syntax-directed, so the type inversion holds.

# System F: $\beta$ -reduction

The  $\beta$ -conversion has two rules

$$(\lambda(x:\tau).M)N \longrightarrow_{\beta} M[x/N]$$
 and  $(\Lambda t.M)\tau \longrightarrow_{\beta} M[\tau/t]$ 

For example,

$$(\Lambda t.\lambda x:t.x) \tau a \longrightarrow_{\beta} (\lambda x:t.x)[\tau/t] a \equiv (\lambda x:\tau.x) a \longrightarrow_{\beta} x[a/x] \equiv a$$

Similarly,  $\beta$ -conversion extends to subterms of a given term, introducing symbols  $\longrightarrow_{\beta_1}$  and  $\longrightarrow_{\beta_*}$  in the same way.

# Sum type

#### **Definition 7**

The sum type is defined by

$$\sigma + \tau := \forall t. (\sigma \to t) \to (\tau \to t) \to t$$

It has two injection functions: the first injection is defined by

$$\mathsf{left}_{\sigma+\tau} := \lambda(\mathsf{X}:\sigma). \ \, \mathsf{\Lambda t}. \ \, \lambda(f:\sigma\to t)(g:\tau\to t).f \, \mathsf{X}$$
 
$$\mathsf{right}_{\sigma+\tau} := \lambda(\mathsf{Y}:\tau). \ \, \mathsf{\Lambda t}. \ \, \lambda(f:\sigma\to t)(g:\tau\to t).g \, \mathsf{Y}$$

#### Exercise

Define

either: 
$$\forall u. (\sigma \rightarrow u) \rightarrow (\tau \rightarrow u) \rightarrow \sigma + \tau \rightarrow u$$

# Product type

### Definition 8 (Product Type)

The product type is defined by

$$\sigma \times \tau := \forall t. (\sigma \to \tau \to t) \to t$$

The pairing function is defined by

$$\langle \_, \_ \rangle := \lambda(x : \sigma)(y : \tau). \Lambda t. \lambda(f : \sigma \to \tau \to t). f x y$$

#### Exercise

Define projections

$$proj_1: \sigma \times \tau \to \sigma$$
 and  $proj_2: \sigma \times \tau \to \tau$ 

### Natural numbers i

The type of Church numerals is defined by

$$\mathsf{nat} \mathrel{\mathop:}= \forall t.\, (t \to t) \to t \to t$$

#### Church numerals

$$\mathbf{c}_n : \mathsf{nat}$$
  
 $\mathbf{c}_n := \mathsf{\Lambda} t. \, \lambda(f:t \to t) \, (x:t). \, f^n \, x$ 

Successor

$$\verb+suc+: \verb+nat+ \to \verb+nat+ \\ \verb+suc+: = \lambda(n: \verb+nat+). \land t. \lambda(f: t \to t) (x: t). f(n t f x)$$

### Natural numbers ii

#### Addition

$$\label{eq:add:nat} \begin{split} \operatorname{add}:&\operatorname{nat} \to \operatorname{nat} \to \operatorname{nat} \\ \operatorname{add}:&= \lambda(n:\operatorname{nat})\,(m:\operatorname{nat}) \quad \Lambda t.\,\lambda(f:t\to t)\,(x:t). \\ &\qquad \qquad (m\,t\,f)\,(n\,t\,f\,x) \end{split}$$

### Multiplication

$$\label{eq:mul:nat} \begin{split} & \text{mul}: \text{nat} \rightarrow \text{nat} \rightarrow \text{nat} \\ & \text{mul}:=? \end{split}$$

#### Conditional

$$ifz: \forall t. \, nat \rightarrow t \rightarrow t \rightarrow t$$
  $ifz:=?$ 

### Natural numbers iii

System F allows us to define iterator like fold in Haskell.

$$\begin{aligned} & \texttt{fold}_{\texttt{nat}} : \forall t. \, (t \to t) \to t \to \texttt{nat} \to t \\ & \texttt{fold}_{\texttt{nat}} := \Lambda t. \, \lambda(f : t \to t) (e_0 : t) (n : \texttt{nat}).n \ t \ f \ e_0 \end{aligned}$$

#### Exercise

Define add and mul using  $fold_{nat}$  and justify your answer.

- 1.  $add' := ? : nat \rightarrow nat \rightarrow nat$
- 2.  $mul' := ? : nat \rightarrow nat \rightarrow nat$

### Lists

#### **Definition 9**

For any type  $\sigma$ , the type of lists over  $\sigma$  is

$$\mathtt{list}\,\sigma := \forall t.\, t \to (\sigma \to t \to t) \to t$$

with "list constructors":

$$\mathsf{nil}_{\sigma} := \mathsf{\Lambda} t. \lambda(h:t)(f:\sigma \to t \to t). h$$

and

$$\mathsf{cons}_\sigma := \lambda(\mathsf{x} : \sigma)(\mathsf{xs} : \mathsf{list}\,\sigma).\, \Lambda t. \lambda(\mathsf{h} : \mathsf{t})(\mathsf{f} : \sigma \to \mathsf{t} \to \mathsf{t}). \mathsf{f} \mathsf{x} \, (\mathsf{xs} \, \mathsf{t} \, \mathsf{h} \, \mathsf{f})$$
 of type  $\sigma \to \mathsf{list}\,\sigma \to \mathsf{list}\,\sigma$ .

### Type erasure

#### **Definition 10**

The erasing map is a function defined by

$$|x| = x$$

$$|\lambda(x : \tau). M| = \lambda x. |M|$$

$$|M N| = (|M| |N|)$$

$$|\Lambda t. M| = |M|$$

$$|M \tau| = |M|$$

### **Proposition 11**

Within System F, if  $\vdash M : \sigma$  and  $|M| \longrightarrow_{\beta 1} N'$ , then there exists a well-typed term N with  $\vdash N : \sigma$  and |N| = N'.

# Type safety and normalisation

### Theorem 12 (Type safety)

Suppose  $\vdash$  M : σ. Then,

- 1.  $M \longrightarrow_{\beta 1} N \text{ implies} \vdash N : \sigma$ ;
- 2. M is in normal form or there exists N such that M  $\longrightarrow_{\beta 1}$  N

Type safety is proved by induction on the derivation of  $\vdash M : \sigma$ .

### Theorem 13 (Normalisation properties)

**F** enjoys the weak and strong normalisation properties.

Proved by Girard's reducibility candidates.

# Parametricity

What functions can you write for the following type?

$$\forall t. t \rightarrow t$$

Since *t* is arbitrary, we cannot inspect the content of *t*. What we can do with *t* is simply return it.

#### Theorem 14

Every term M of type  $\forall t. t \rightarrow t$  is observationally equivalent<sup>1</sup> to  $\Lambda t. \lambda x : t. x$ .

<sup>&</sup>lt;sup>1</sup>The notion of observational equivalence is beyond the scope of this lecture.

# Parametricity: Theorems for free<sup>2</sup>

Assume F extended with the list type list  $\tau$  for  $\tau$  and the type  $\mathbb N$  of naturals, denoted  $F_{list.\mathbb N}$ .

Then  $\mathbf{head} \circ \mathbf{map} \ f = f \circ \mathbf{head}$  for any  $f : \tau \to \sigma$  where  $\mathbf{head} : \forall t. \ \mathbf{list} \ t \to t$  can be proved by just reading the type of  $\mathbf{head}$  and  $\mathbf{tail}$ !

#### Theorem 15

For any type  $\sigma$  in **F** (with lists) and  $\cdot \vdash M : \sigma$ , then

 $M \sim M : \mathcal{R}_{\sigma,\sigma}$ 

<sup>&</sup>lt;sup>2</sup>Philip Wadler. 1989. Theorems for free! In *Proceedings of the fourth international* conference on Functional programming languages and computer architecture (FPCA '89). ACM, New York, NY, USA, 347–359.

# Undecidability of type inference

### Theorem 16 (Wells, 1999)

It is undecidable whether, given a closed term M of the untyped lambda-calculus, there is a well-typed term M' in System F such that |M'| = M.

Two ways to retain decidable type inference:

- 1. Limit the expressiveness so that type inference remains decidable. For example, *Hindley-Milner type system* adapted by Haskell 98, Standard ML, etc. supports only a limited form of polymorphism but type inference is decidable.
- 2. Adopt *partial* type inference so that type annotations are needed for, e.g. top-level definitions and local definitions.

Check out bidirectional type inference.

Nameless Representation

# Capture-avoiding but ill-defined substitution

The definition of capture-avoiding substitution is not well-defined. Recall that

$$x[L/x] = L$$

$$y[L/x] = y if x \neq y$$

$$(MN)[L/x] = M[L/x] N[L/x]$$

$$(\lambda x. M)[L/x] = \lambda x. M$$

$$(\lambda y. M)[L/x] = \lambda y. M[L/x] if x \neq y \text{ and } y \notin FV(L)$$

The function [L/x]:  $Term_V \to Term_V$  is not total, so it is **not** an instance of *structural recursion* (i.e. **fold**). In what sense, is the above well-defined?

- 1. Use *nominal technique* and the notion of  $\alpha$ -structure recursion/induction. It requires some elements of group theory.
- 2. Use nameless representation.

# Well-Scoped de Bruijn index representation i

An index i starting from 0 is used as a variable to represent the i-th enclosing  $\lambda$  (binder) 'from the inside out'. For example, a term with named variables

$$\lambda a. \lambda b. (\lambda c. c) (\lambda c. a b)$$

becomes

$$\lambda \lambda (\lambda 0) (\lambda 2 1)$$

Hint. It may be easier to think of a term in its tree representation.

# Well-Scoped de Bruijn index representation ii

### Definition 17 (de Bruijn representation with a local scope)

The term formation t Term<sub>n</sub> is defined inductively for  $n \in \mathbb{N}$  by

$$\frac{0 \le i < n}{i \quad \mathsf{Term}_n}$$

$$\frac{t \quad \mathsf{Term}_{n+1}}{\lambda t \quad \mathsf{Term}_n}$$

$$\frac{t \quad \mathsf{Term}_n \quad u \quad \mathsf{Term}_n}{t \ u \quad \mathsf{Term}_n}$$

 $|t \quad \mathsf{Term}_n|$  means t has at most n many free variables.

### Exercise

Translate the following terms to its de Bruijn index representation.

- 1.  $\lambda x. x$
- 2.  $\lambda s. \lambda z. s. z$
- 3.  $\lambda a. \lambda b. a (\lambda c. a b)$
- 4.  $(\lambda x. x) (\lambda y. y)$
- 5.  $\lambda x. y$
- 6. *x y z*

### Substitution, revisited

How to reformulate  $\beta$ -reduction for terms in de Bruijn representation? Consider

$$(\lambda \lambda (\lambda 0) (\lambda 2 1)) t \longrightarrow_{\beta} (\lambda (\lambda 0) (\lambda 2 1)) [t/0]$$

The de Bruijn index increments under a binder so [t/i] should be [t'/i+1] where t' is the result of incrementing every index in t, e.g.,

$$(\lambda(\lambda 0) (\lambda 2 1)) [t/0] = \lambda(\lambda 0)[t'/1] \quad (\lambda 2 1)[t'/1]$$

$$= \lambda(\lambda 0[t''/2]) \quad (\lambda (2 1) [t''/2])$$

$$= \lambda(\lambda 0) \quad (\lambda 2[t''/2] 1[t''/2])$$

$$= \lambda(\lambda 0) \quad (\lambda t'' 1)$$

# Simultaneous variable renaming

#### **Definition 18**

A (variable) renaming is a function  $\rho$  between  $\mathbb{Z}_n$  and  $\mathbb{Z}_m$ .

Every renaming  $\rho \colon \mathbb{Z}_n \to \mathbb{Z}_m$  extends to an action on terms:

$$\langle \rho \rangle i = \rho(i)$$
$$\langle \rho \rangle (t u) = \langle \rho \rangle t \langle \rho \rangle u$$
$$\langle \rho \rangle \lambda t = \lambda \langle \rho' \rangle t$$

where  $\rho' \colon \mathbb{Z}_{n+1} \to \mathbb{Z}_{m+1}$  is defined as

$$\rho'(0) = 0$$

$$\rho'(i) = 1 + \rho(i) \qquad \text{if } i \neq 0$$

to avoid changing bound variables.

In particular,  $wk: \mathbf{Term}_n \to \mathbf{Term}_{n+1}$  derived by  $i \mapsto i+1 \in \mathbb{Z}_{n+1}$  increments every index of a free variable by 1.

### Simultaneous substitution

#### **Definition 19**

A (simultaneous) substitution is a function  $\sigma$  from  $\mathbb{Z}_n$  to  $\mathsf{Term}_m$ .

Every substitution extends to an action terms:

$$\langle \sigma \rangle i = \sigma(i)$$
$$\langle \sigma \rangle (t u) = \langle \sigma \rangle t \langle \sigma \rangle u$$
$$\langle \sigma \rangle \lambda t = \lambda \langle \sigma' \rangle t$$

where  $\sigma' \colon \mathbb{Z}_{n+1} \to \mathsf{Term}_{m+1}$  is defined as

$$\sigma'(0) = 0$$

$$\sigma'(i) = wk(\sigma(i)) if i \neq 0$$

# Single substitution

### Definition 20

A single substitution for t is a simultaneous substitution given by

$$\sigma(i) = \begin{cases} t & i = 0 \\ i & \text{otherwise.} \end{cases}$$

### Exercise

- 1. Adopt  $\alpha$ -equivalence to the de Bruijn representation.
- 2. Adopt  $\beta$ -equivalence to the de Bruijn representation.
- 3. Apply the new definition of substitution to compute not True.
- 4. Adopt the definitions of renaming and substitution to the de Bruijn level representation. N.B. we may also count the *i*-th enclosing binder 'from the outside in' using the same definition, called *the de Bruijn level*.

### Homework

- 1. (2.5%) Extend **PCF** with the type  $\mathbb{B}$  of boolean values with  $ifz(M; N) true =_{\beta} M$  and  $ifz(M; N) false =_{\beta} N$  including term formation rules, typing rules, and dynamics for  $\mathbb{B}$ .
- 2. (2.5%) Define  $\operatorname{length}_{\sigma}: \operatorname{list} \sigma \to \operatorname{nat}$  calculating the length of a list in System F.