

# Fundamentals of Programming Languages

# Assignment 2

## Cost Semantics and Higher-Order Recursion

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## 1 Big-step semantics with cost

Assuming all the problem context given for the questions in group 1, we have the following as the answer for each question:

### A. The big step evaluation rules

$$\frac{\text{B-SUCC} \quad t1 \Downarrow^n \text{nv1}}{\text{succ } t1 \Downarrow^{n+1} \text{succ nv1}}$$

$$\frac{\text{B-PREDZERO} \quad t1 \Downarrow^n 0}{\text{pred } t1 \Downarrow^{n+1} 0}$$

$$\frac{\text{B-PREDSUCC} \quad t1 \Downarrow^n \text{succ nv1}}{\text{pred } t1 \Downarrow^{n+1} \text{nv1}}$$

### B. Example of reduction

$$\begin{array}{c}
\text{B-VALUE} \\
\frac{0 \Downarrow^0 0}{\text{succ } 0 \Downarrow^{0+1} \text{succ } 0} \text{B-SUCC} \\
\frac{\text{succ}(\text{succ } 0) \Downarrow^{1+1} \text{succ}(\text{succ } 0)}{\text{pred } 2 \Downarrow^{1+2} \text{succ } 0} \text{B-PREDSUCC} \\
\frac{\text{pred}(\text{pred } 2) \Downarrow^{1+3} 0}{\lambda f. \lambda x. f(fx) \text{pred } 2 \Downarrow^{1+0+4} 0} \text{B-APP}
\end{array}$$

$$\frac{\begin{array}{c} \text{B-VALUE} \\ \hline \lambda f.\lambda x.f(fx) \Downarrow^0 \lambda f.\lambda x.f(fx) \end{array} \quad \begin{array}{c} \text{B-VALUE} \\ \hline \text{pred} \Downarrow^0 \text{pred} \end{array} \quad \begin{array}{c} \text{B-VALUE} \\ \hline \lambda x.\text{pred}(\text{pred } x) \Downarrow^0 \lambda x.\text{pred}(\text{pred } x) \end{array}}{\lambda f.\lambda x.f(fx) \text{ pred} \Downarrow^{0+0+0+1} \lambda x.\text{pred}(\text{pred } x)} \text{B-APP}$$

We can conclude that we have  $applyTwice \text{ pred } 2 \Downarrow^k v$  for: cost  $k = 5$ ; value  $v = 0$ ;

### C. Evaluation returns a value

Induction on the rules for  $t \Downarrow^n v$

1. Induction on B-VALUE:  $v \Downarrow^0 v$   
This is straightforward, because the rule tells that every value reduces to a value in 0 steps.

2. Induction on B-APP:

Similarly to the B-SUCC, PREDZERO and B-PREDSUCC cases below, the rule B-APP tells us that  $t \Downarrow^n v$  is true if it is confirmed to be the case that  $t_1 \Downarrow^n \lambda x.t'_1$  and  $t_2 \Downarrow^m v_2$  and  $[x \rightarrow v_2]t'_1 \Downarrow^o v_1$ . In this case, we have to explore 3 subcases for each premise.

(a) Subcase  $t_1 \Downarrow^n \lambda x.t'_1$

This is somewhat straightforward, because  $t_1$  reduces to  $\lambda x.t'_1$ , and  $\lambda x.t'_1$  is a value.

(b) Subcase  $t_2 \Downarrow^m v_2$

This is straightforward, because  $t_2$  reduces to a value.

(c) Subcase  $[x \rightarrow v_2]t'_1 \Downarrow^o v_1$

This is also straightforward, because the substitution  $[x \rightarrow v_2]t'_1$  reduces to a value.

We can then see that, when applying B-APP, every subcase meets the requirements, so we can then conclude that  $v_1$  is a value and have  $t \Downarrow^n v$  for B-APP.

3. Induction on B-SUCC:

The rule B-SUCC tells us that  $t \Downarrow^n v$  is true if it is confirmed to exist a  $t_1 \Downarrow^n nv_1$ . If so, by applying the induction hypothesis, for  $t_1 \Downarrow^n nv_1$ , we conclude that  $nv_1$  is a value, and so we have  $t \Downarrow^n v$  for B-SUCC.

4. Induction on B-PREDZERO:

The rule B-PREDZERO tells us that  $t \Downarrow^n v$  is true if it is confirmed to exist a  $t_1 \Downarrow^n 0$ . If so, by applying the induction hypothesis, for  $t_1 \Downarrow^n 0$ , we conclude that  $0$  is a value, and so we have  $t \Downarrow^n v$  for B-PREDZERO.

5. Induction on B-PREDSUCC:

Similarly to the B-SUCC and PREDZERO cases, the rule B-PREDSUCC tells us that  $t \Downarrow^n v$  is true if it is confirmed to exist a  $t_1 \Downarrow^n succ\ nv_1$ . If so, by applying the induction hypothesis, for  $t_1 \Downarrow^n succ\ nv_1$ , we conclude that  $succ\ nv_1$  is a value (proved in the B-SUCC case), and so we have  $t \Downarrow^n v$  for B-PREDSUCC.

## D. The cost of big step and small step semantics coincide

1. Proof by rule induction:

(a) Case B-VALUE:

The rule says that a value reduces to a value in 0 steps, in other words,  $v \Downarrow^0 v$ , so it is equal to  $v \rightarrow^0 v$  according to the reflexivity of the multi-step evaluation.

(b) Case B-APP:

$t = t_1 t_2$ ,  $v = v_1$  and  $k = n + m + o + 1$

The rule says that  $t \Downarrow^k v$  only if we have the following:

i.  $t_1 \Downarrow^n \lambda x.t'_1$ , so by the induction hypothesis, we have  $t_1 \rightarrow^n \lambda x.t'_1$ .

ii.  $t_2 \Downarrow^m v_2$ , so by the induction hypothesis, we have  $t_2 \rightarrow^m v_2$ .

iii.  $[x \rightarrow v_2]t'_1 \Downarrow^o v_1$ , so by the induction hypothesis, we have  $[x \rightarrow v_2]t'_1 \rightarrow^o v_1$ .

So we can conclude that if  $t \Downarrow^k v$ , then  $t \rightarrow^k v$ .

(c) Case B-SUCC:

$t = succ\ t_1$ ,  $v = succ\ nv_1$  and  $k = n + 1$

The rule says that  $t \Downarrow^k v$  only if we have  $t_1 \Downarrow^n nv_1$ . By the induction hypothesis, having  $t_1 \Downarrow^n nv_1$  then we have  $t_1 \rightarrow^n nv_1$ , so we can conclude that if  $t \Downarrow^k v$ , then  $t \rightarrow^k v$ .

(d) Case B-PREDZERO:

$t = pred\ t_1$ ,  $v = 0$  and  $k = n + 1$

The rule says that  $t \Downarrow^k v$  only if we have  $t_1 \Downarrow^n 0$ . By the induction hypothesis, having  $t_1 \Downarrow^n 0$  then we have  $t_1 \rightarrow^n 0$ , so we can conclude that if  $t \Downarrow^k v$ , then  $t \rightarrow^k v$ .

(e) Case B-PREDSUCC:

$t = \text{pred } t_1$ ,  $v = nv_1$  and  $k = n + 1$

The rule says that  $t \Downarrow^k v$  only if we have  $t_1 \Downarrow^n \text{succ } nv_1$ . By the induction hypothesis, having  $t_1 \Downarrow^n \text{succ } nv_1$  then we have  $t_1 \rightarrow^n \text{succ } nv_1$ , so we can conclude that if  $t \Downarrow^k v$ , then  $t \rightarrow^k v$ .

2. Proof by induction on  $k$ :

(a) Case  $k = 0$ :

The only case in which  $k = 0$  is when we have the rule B-VALUE  $v \rightarrow^0 v$ , which says that a value reduces to a value in 0 steps, so by induction hypothesis we conclude  $v \Downarrow^0 v$ .

(b) Case  $k = n$

i. Case B-APP:

$t = t_1 t_2$  and  $v = v_1$

The rule says that  $t \rightarrow^k v$  only if we have the following:

A.  $t_1 \rightarrow^p \lambda x. t'_1$ , so by the induction hypothesis, we have  $t_1 \Downarrow^p \lambda x. t'_1$ .

B.  $t_2 \rightarrow^m v_2$ , so by the induction hypothesis, we have  $t_2 \Downarrow^m v_2$ .

C.  $[x \rightarrow v_2] t'_1 \rightarrow^o v_1$ , so by the induction hypothesis, we have  $[x \rightarrow v_2] t'_1 \Downarrow^o v_1$ .

So we can conclude that if  $t \rightarrow^k v$ , then  $t \Downarrow^k v$ .

ii. Case B-SUCC:

$t = \text{succ } t_1$  and  $v = \text{succ } nv_1$

The rule says that  $t \rightarrow^k v$  only if we have  $t_1 \rightarrow^{k-1} nv_1$ . By the induction hypothesis, having  $t_1 \rightarrow^{k-1} nv_1$  then we have  $t_1 \Downarrow^{k-1} nv_1$ , so we can conclude that if  $t \rightarrow^k v$ , then  $t \Downarrow^k v$ .

iii. Case B-PREDZERO:

$t = \text{pred } t_1$  and  $v = 0$

The rule says that  $t \rightarrow^k v$  only if we have  $t_1 \rightarrow^{k-1} 0$ . By the induction hypothesis, having  $t_1 \rightarrow^{k-1} 0$  then we have  $t_1 \Downarrow^{k-1} 0$ , so we can conclude that if  $t \rightarrow^k v$ , then  $t \Downarrow^k v$ .

iv. Case B-PREDSUCC:

$t = \text{pred } t_1$  and  $v = nv_1$

The rule says that  $t \rightarrow^k v$  only if we have  $t_1 \rightarrow^{k-1} \text{succ } nv_1$ . By the induction hypothesis, having  $t_1 \rightarrow^{k-1} \text{succ } nv_1$  then we have  $t_1 \Downarrow^{k-1} \text{succ } nv_1$ , so we can conclude that if  $t \rightarrow^k v$ , then  $t \Downarrow^k v$ .

## 2 Godel's system T

Assuming all the problem context given for the questions in group 2, we have the following as the answer for each question:

### A. Example of reduction

$$\frac{\text{E-TRANSITIVITY} \quad \begin{array}{c} t \rightarrow t' \quad t' \rightarrow^* t'' \\ \hline t \rightarrow^* t'' \end{array}}{\quad}$$

$$\frac{\text{E-REFLEXIVITY} \quad \quad}{t \rightarrow^* t}$$

For the sake of space and readability, it will only be expressed the  $t \rightarrow t'$  derivation directly, in multiple one-step transitions, correspondent to what the derivation tree using E-TRANSITIVITY and E-REFLEXIVITY rules would look like.

$$\begin{aligned} & (\lambda n : \text{Nat}. \text{rec}(0; x.y.(\text{succ } x) + y)(n))(\text{succ}(\text{succ}(\text{succ } 0))) \rightarrow \\ & \text{rec}(0; x.y.(\text{succ } x) + y)(\text{succ}(\text{succ}(\text{succ } 0))) \rightarrow \end{aligned}$$

$$\begin{aligned}
& (\text{succ}(\text{succ}(\text{succ } 0))) + (\text{rec}(0; x.y.(\text{succ } x) + y)(\text{succ}(\text{succ } 0))) \rightarrow \\
& (\text{succ}(\text{succ}(\text{succ } 0))) + (\text{succ}(\text{succ } 0)) + (\text{rec}(0; x.y.(\text{succ } x) + y)(\text{succ } 0)) \rightarrow \\
& (\text{succ}(\text{succ}(\text{succ } 0))) + (\text{succ}(\text{succ } 0)) + (\text{succ } 0) + (\text{rec}(0; x.y.(\text{succ } x) + y)(0)) \rightarrow \\
& (\text{succ}(\text{succ}(\text{succ } 0))) + (\text{succ}(\text{succ } 0)) + (\text{succ } 0) + 0 \rightarrow \\
& (\text{succ}(\text{succ}(\text{succ}(\text{succ}(\text{succ}(\text{succ } 0))))))
\end{aligned}$$

### B. A definition for +

$$\text{sum} = \lambda n. \lambda m. \text{rec}(m; x.y. \text{succ } y)(n)$$

### C. Typing the recursor

$$\frac{\Gamma \vdash t_0 : T \quad \Gamma, x : \text{Nat}, y : T \vdash t_1 : T \quad \Gamma \vdash t : \text{Nat}}{\Gamma \vdash \text{rec}(t_0; x.y.t_1)(t) : T} \text{ T-REC}$$

### D. A typing derivation

Assuming the existence of the arithmetic expressions typing rules for numbers (e.g. T-ZERO) and of the simply typed lambda-calculus typing rules (e.g. T-VAR and T-ABS).

$$\begin{array}{c}
\frac{}{n : \text{Nat} \vdash 0 : \text{Nat}} \text{ T-ZERO} \quad \frac{n : \text{Nat} \in n : \text{Nat}}{n : \text{Nat} \vdash n : \text{Nat}} \text{ T-VAR} \\
\frac{n : \text{Nat}, y : \text{Nat}, n : \text{Nat} \vdash (\text{succ } x) + y : \text{Nat} \quad n : \text{Nat} \vdash \text{rec}(0; x.y.(\text{succ } x) + y)(n) : \text{Nat}}{\vdash \lambda n : \text{Nat}. \text{rec}(0; x.y.(\text{succ } x) + y)(n) : \text{Nat} \rightarrow \text{Nat}} \text{ T-REC} \quad \text{ T-ABS}
\end{array}$$

A term  $t$  is typable (or well typed) if there is some  $T$  such that  $t : T$ . With this, it is observable, that for the term  $S$  there is a  $T$  such that  $S : T$ , because, as the derivation shows,  $S : \text{Nat} \rightarrow \text{Nat}$ , in other words,  $T = \text{Nat} \rightarrow \text{Nat}$ .

### E. Progress

[Proof] By induction on a derivation of  $t : T$ . The T-ZERO and T-ABS cases are immediate, since  $t$  in these cases is a value. For the other cases, we argue as follows.

1. Case T-SUCC:
 

$t = \text{succ } t_1$  and  $t_1 : \text{Nat}$

By induction hypothesis, either  $t_1$  is a value or else there is some  $t'_1$  such that  $t_1 \rightarrow t'_1$ . If  $t_1$  is a value, then the canonical forms lemma assures us that it must be a numeric value, in which case so is  $t$ . On the other hand, if  $t_1 \rightarrow t'_1$ , then, by E-SUCC,  $\text{succ } t_1 \rightarrow \text{succ } t'_1$ .
2. Case T-VAR:
 

This case cannot occur, because  $t$  is closed.
3. Case T-APP:
 

Using the Inversion of Typing Relation, we know that  $t = t_1 t_2$ ,  $\Gamma \vdash t_1 : T_{11} \rightarrow T_{12}$  and  $\Gamma \vdash t_2 : T_{11}$ . By induction hypothesis, either  $t_1$  is a value or else there is some  $t'_1$  such that  $t_1 \rightarrow t'_1$ . By induction hypothesis, either  $t_2$  is a value or else there is some  $t'_2$  such that  $t_2 \rightarrow t'_2$ . With that said, we have the following:

  - (a) If  $t_1 \rightarrow t'_1$ , then apply E-APP1.
  - (b) If  $t_1$  is a value and  $t_2 \rightarrow t'_2$ , then apply E-APP2.
  - (c) If  $t_1$  is a value and  $t_2$  is also a value, we know that  $\vdash t_1 : T_{11} \rightarrow T_{12}$  and the canonical form tells that  $t_1 = \lambda x. t_{11}$ , then we apply E-APPABS.

4. Case T-REC:

$t = \text{rec}(t_0; x.y.t_1)(t_2)$ ,  $\Gamma \vdash t_0 : T$ ,  $\Gamma, x : \text{Nat}, y : T \vdash t_1 : T$  and  $\Gamma \vdash t_2 : \text{Nat}$

By induction hypothesis, either  $t_2$  is a value or else there is some  $t'_2$  such that  $t_2 \rightarrow t'_2$ . If  $t_2$  is a value, then the canonical forms lemma assures us that it must be a numeric value, in other words, either 0 or  $\text{succ } nv$ , and one of the rules E-REC-Z or E-REC-S applies to  $t$ . On the other hand, if  $t_2 \rightarrow t'_2$ , then, by E-REC-A,  $\text{rec}(t_0; x.y.t_1)(t_2) \rightarrow \text{rec}(t_0; x.y.t_1)(t'_2)$ .

## F. Preservation

[Proof] By induction on a derivation of  $t : T$ . At each step of the induction, we assume that the desired property holds for all subderivations (i.e., that if  $s : S$  and  $s \rightarrow s'$ , then  $s' : S$  whenever  $s : S$  is proved by a subderivation of the present one) then and proceed by case analysis on the final rule in the derivation.

1. Case T-ZERO:

$t = 0$  and  $T = \text{Nat}$

If the last rule in the derivation is T-ZERO, then we know from the form of this rule that  $t$  must be a value and  $T$  must be  $: \text{Nat}$ . But if  $t$  is a value, then it cannot be the case that  $t \rightarrow t'$  for any  $t'$ , and the requirements of the theorem are vacuously satisfied.

2. Case T-SUCC:

$t = \text{succ } t_1$ ,  $T = \text{Nat}$  and  $t_1 : \text{Nat}$

By inspecting the evaluation rules, we see that there is just one rule, E-SUCC, that can be used to derive  $t \rightarrow t'$ . The form of this rule tells us that  $t_1 \rightarrow t'_1$ . Since we also know  $t_1 : \text{Nat}$ , we can apply the induction hypothesis to obtain  $t'_1 : \text{Nat}$ , from which we obtain  $\text{succ}(t'_1) : \text{Nat}$ , i.e.,  $t' : T$ , by applying rule T-SUCC.

3. Case T-VAR:

$t = x$  and  $x : T$

If the last rule in the derivation is T-VAR, then we know from the form of this rule that  $t$  must be a value and  $T$  must be  $: T$ . But if  $t$  is a value, then it cannot be the case that  $t \rightarrow t'$  for any  $t'$ , and the requirements of the theorem are vacuously satisfied.

4. Case T-ABS:

$t = \lambda x : T_1. t_2$ ,  $T = T_1 \rightarrow T_2$  and  $t_2 : T_2$

If the last rule in the derivation is T-ABS, then we know from the form of this rule that  $t$  must be a value and  $T$  must be  $: T_1 \rightarrow T_2$ . But if  $t$  is a value, then it cannot be the case that  $t \rightarrow t'$  for any  $t'$ , and the requirements of the theorem are vacuously satisfied.

5. Case T-APP:

If the last rule in the derivation is T-APP, then, using the Inversion of Typing Relation, we know that  $t = t_1 t_2$ ,  $T = T_{12}$ ,  $\Gamma \vdash t_1 : T_{11} \rightarrow T_{12}$  and  $\Gamma \vdash t_2 : T_{11}$ . By inspecting the evaluation rules, we find that there are three rules, E-APP1, E-APP2 and E-APPABS, that can be used to derive  $t \rightarrow t'$ .

(a) E-APP1:  $t_1 \rightarrow t'_1$ ,  $t' = t'_1 t_2$

Since we know  $\Gamma \vdash t_1 : T_{11} \rightarrow T_{12}$ , we can apply the induction hypothesis to obtain  $\Gamma \vdash t'_1 : T_{11} \rightarrow T_{12}$ , from which we obtain  $\Gamma \vdash t'_1 t_2 : T$ , i.e.,  $t' : T$ , by applying rule T-APP.

(b) E-APP2:  $t_2 \rightarrow t'_2$ ,  $t' = t_1 t'_2$

Since we know  $\Gamma \vdash t_2 : T_{11}$ , we can apply the induction hypothesis to obtain  $\Gamma \vdash t'_2 : T_{11}$ , from which we obtain  $\Gamma \vdash t_1 t'_2 : T$ , i.e.,  $t' : T$ , by applying rule T-APP.

(c) E-APPABS:  $t' = \Gamma \vdash [x \rightarrow t_2] t'_1$

We know that  $\vdash t_1 : T_{11} \rightarrow T_{12}$  and the canonical form tells that  $t_1 = \lambda x. t'_1$

$\Gamma, x : T_{11} \vdash t'_1 : T_{12}$

$t_2$  is a value  $\Gamma \vdash t_2 : T_{11}$

We obtain  $\Gamma \vdash [x \rightarrow t_2] t'_1 : T$ , i.e.,  $t' : T$ , by applying the Preservation of Types Under Substitution, in which its result preserves the type  $T$ .

6. Case T-REC:

$t = \text{rec}(t_0; x.y.t_1)(t_2)$ ,  $\Gamma \vdash t_0 : T$ ,  $\Gamma, x : \text{Nat}, y : T \vdash t_1 : T$  and  $\Gamma \vdash t_2 : \text{Nat}$

By inspecting the evaluation rules, we see that there are three rules, E-REC-A, E-REC-Z and E-REC-S, that can be used to derive  $t \rightarrow t'$ .

(a) E-REC-A:  $t_2 \rightarrow t'_2$ ,  $t' = \text{rec}(t_0; x.y.t_1)(t'_2)$

Since we know  $\Gamma \vdash t_2 : \text{Nat}$ , we can apply the induction hypothesis to obtain  $\Gamma \vdash t'_2 : \text{Nat}$ , from which we obtain  $\text{rec}(t_0; x.y.t_1)(t'_2) : T$ , i.e.,  $t' : T$ , by applying rule T-REC.

(b) E-REC-Z:  $t_2 = 0$ ,  $t' = t_0$

If  $t \rightarrow t'$  is derived using E-REC-Z, then from the form of this rule we see that  $t_2$  must be 0 and the resulting term  $t'$  is  $t_0$ . This means we are finished, since we know (by the assumptions of the T-REC case) that  $t_0 : T$ , which is what we need.

(c) E-REC-S:  $t_2 = \text{succ } nv$ ,  $t' = \Gamma \vdash [x \rightarrow nv][y \rightarrow s]t_1$

If  $t \rightarrow t'$  is derived using E-REC-S, then from the form of this rule we have the following:

i. First Substitution:

$\Gamma, x : \text{Nat} \vdash t_1 : T$

$t_2 = \text{succ } nv$  and  $\Gamma \vdash t_2 : \text{Nat}$

We obtain  $\Gamma \vdash [x \rightarrow nv]t_1 : T$ , i.e.,  $t' : T$ , by applying the Preservation of Types Under Substitution, in which its result preserves the type  $T$ .

ii. Second Substitution:

Assuming  $t'$  to be the result of the first substitution.

$\Gamma, y : T \vdash t' : T$

$s = \text{rec}(t_0; x.y.t_1)(nv)$  and  $s : T$

We obtain  $\Gamma \vdash [y \rightarrow s]t' : T$ , i.e.,  $t'' : T$ , by applying the Preservation of Types Under Substitution, in which its result preserves the type  $T$ .