

Barendregt's Theory of the λ -Calculus, Refreshed and Formalized

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Outline

Barendregt's Theory of the Lambda Calculus

Formalizing in Abella

Partial Recursive Functions

Partial Recursive Functions model which mathematical functions are computable.

There is a natural *extensional preorder* on partial functions

$$f \leq_{\text{PRF}} g \text{ if } \forall n \in \mathbb{N}, f(n) = \perp \text{ or } f(n) =_{\mathbb{N}} g(n)$$

$f_{\perp} : n \mapsto \perp$ is the **minimum** PRF function for \leq_{PRF}

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Lambda Calculus

PRF do not look at how to compute, hence the preorder can only be extensional.

Instead, in the lambda calculus, **how to compute** is a critical concept.

There are a rich number of possible equivalences (or preorders) of lambda terms, both extensional or intensional.

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Computable Functions & Lambda Calculus

Partial recursive functions embed in the lambda calculus.

What is the lambda term that represents **undefined**?

A computation that never ends? Ω !

$$\Omega := (\lambda x. xx)(\lambda x. xx) \rightarrow_{\beta} (\lambda x. xx)(\lambda x. xx) \rightarrow_{\beta} \dots$$

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A first naive attempt

Undefined represents a computation that never ends.

► **undefined** terms = β -diverging terms?

Surprisingly, this would lead to an **inconsistency**.

>> If all β -diverging terms are equated in an equational theory, then this theory **equates all terms**.

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β -diverging terms may be very different

Indeed, let us look at two β -diverging terms

fix	and	Ω
\downarrow_{β}		\downarrow_{β}
$\lambda f.f \ (fix \ f)$		Ω
\downarrow_{β}		\downarrow_{β}
$\lambda f.f \ (f \ (fix \ f))$		Ω
\downarrow_{β}		\downarrow_{β}
$\lambda f.f \ (f \ (f \ (fix \ f)))$		Ω
\downarrow_{β}		\downarrow_{β}
$\lambda f.f \ (f \ (f \ (f \ \dots)))$		Ω
\downarrow_{β}		\downarrow_{β}
\vdots		\vdots

Recursion does not carry the same meaning as looping on itself.

A second attempt

Instead, one might consider a more restrained reduction

► **undefined** terms = **head**-diverging terms?

The equational theory that identifies **head**-diverging terms is **consistent**.

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Fixpoint combinators are **head**-normalizing.

$$\begin{array}{ccc} \text{fix} & \text{and} & \Omega \\ \downarrow_h & & \downarrow_h \\ \lambda f.f \ (\text{fix} \ f) & & \Omega \\ \downarrow_h & & \downarrow_h \\ & & \vdots \end{array}$$

Recursion and looping are nicely separated by **head** reduction.

Consistency

A relation $\mathcal{R} \subseteq \Lambda \times \Lambda$ is **consistent** if there exists $t, u \in \Lambda$ such that $(t, u) \notin \mathcal{R}$.

An equational theory is an equivalence relation $=_{\mathcal{T}}$ such that:

- ▶ *Invariance under Computation*: if $t \rightarrow_{\beta} u$ then $t =_{\mathcal{T}} u$
- ▶ *Stability by Contexts*: if $t =_{\mathcal{T}} u$ then $\forall C, C\langle t \rangle =_{\mathcal{T}} C\langle u \rangle$.

To validate the choice of **undefined terms**: Is there a consistent equational theory where undefined terms are collapsed?

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What is Genericity?

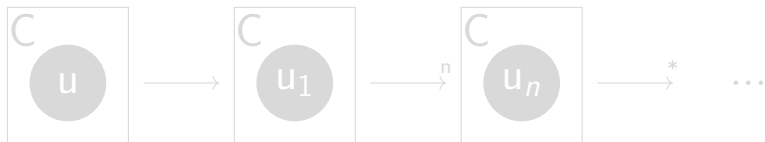
Undefined terms are black holes for the evaluation process.



If a program awaits the evaluation of an undefined sub-term



Then it will be unable to produce a result

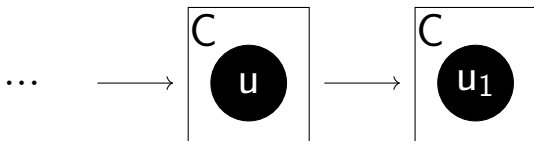


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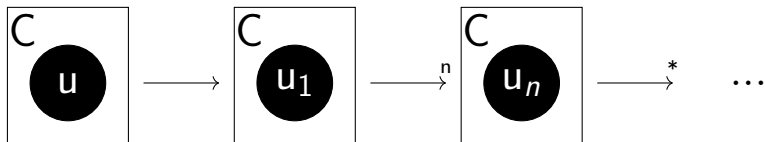
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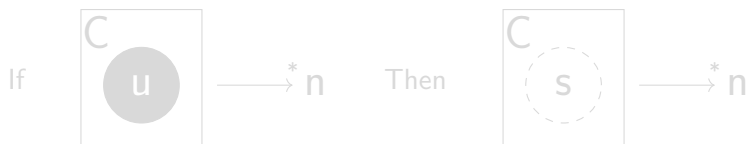


What is Genericity?

Genericity somehow specifies this fact dually:

If a program **terminates** while there were **undefined** sub-terms, then **it never entered** the black hole.

Genericity says: (n is a normal form and s is any term)



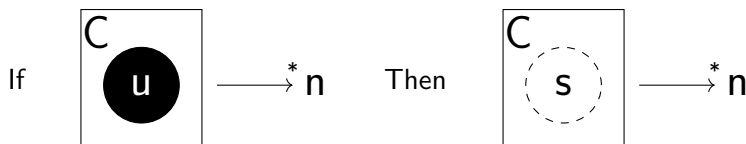
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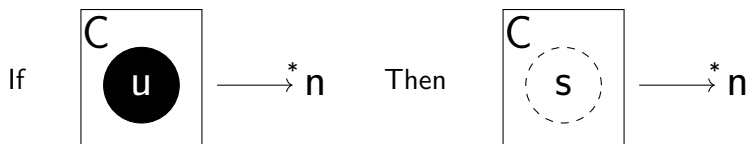
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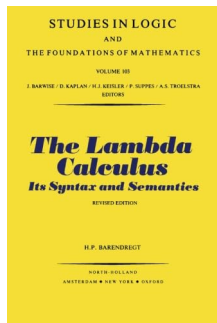
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We survey some results of Barendregt's theory of the λ -calculus (1984).



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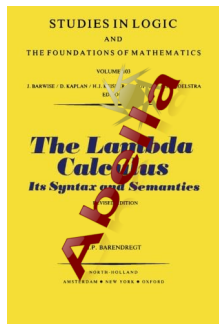
- ▶ Takahashi's proof of genericity (1994)
- ▶ Accattoli et al. study of normalization (2019)

Formalized with the Abella proof assistant:

- ▶ Reasoning with binders close to paper
- ▶ Representing contexts (with possible captures)

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Proving/Formalizing Genericity

A Simple Proof of the Genericity Lemma

Masako Takahashi

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Abstract. A short direct proof is given for the fundamental property of unsolvable λ -terms: if M is an unsolvable λ -term and $C[M]$ is solvable, then $C[N]$ is solvable for any λ -term N . (Here $C[\]$ stands for an arbitrary context.)

1. Preliminaries

A term in this note means a λ -term, which is either $x, \lambda x.M$ or MN , (where M, N are terms and x is a variable.) Unless otherwise stated, capital letters M, N, P, \dots stand for arbitrary terms, M, N, \dots for (possibly null) sequences of terms, x, y, \dots for variables, and x, y, \dots for (possibly null) sequences of variables. We refer to [1] as the standard text in the field.

A term of the form $\lambda x_1.M$ (more precisely, $\lambda x_1.(\lambda x_2.(\dots(\lambda x_n.(\dots(\lambda y_1.M_1).M_2).\dots).M_n).\dots)$) for some $n, m \geq 0$ is said to be in *head normal form* (*hnf*, for short). If a term M has a hnf (that is, $M =_{\beta} M'$ for a term M' in hnf), then M is called *solvable*. The following are well-known facts of solvable terms ([cf.] [1] §3.1–14).

- (1) M is solvable if and only if $\forall P. \exists x. \exists Q. (\lambda x.M)Q =_{\beta} P$.
- (2) $\lambda x.M$ is solvable if and only if so is M .
- (3) if $M[x := N]$ is solvable then so is M .
- (4) if MN is solvable then so is M .

A term in β -normal form (β -nf, for short) is recursively defined as a term of the form $\lambda x_1.xM$ where M is a (possibly null) sequence of terms in β -nf.

2. Propositions

First we prove a special case of the genericity lemma.

Lemma 1. Let M, N, P be terms with M unsolvable and N in β -nf. Then $P[x := M] =_{\beta} N$ implies $P[x := M'] =_{\beta} N$ for any M' .

Proof. We prove the lemma by induction on the structure of N . Suppose $P[x := M] =_{\beta} N$, and $N = \lambda y_1.N_1.N_2 \dots N_n$, where $n \geq 0$ and each N_i is in β -nf. (Here, $=$ denotes syntactic equality of terms.) Since N is solvable, P is also solvable by (3) above, and hence has a hnf, say $\lambda u.v.P_1.P_2 \dots P_r$. Here v and u must be different. (For otherwise $P[x := M] =_{\beta} \lambda u.M.P$ for some P , and $P[x := M]$ would by (2) and (4) above be unsolvable, which contradicts our assumption.) Therefore we have $P[x := M] =_{\beta} \lambda u.v.P_1.P_2 \dots P_r$ where $P_i \neq P$ for $P_i[x := M] =_{\beta} N_i$ ($i = 1, 2, \dots, r$). Since $P[x := M] =_{\beta} N = \lambda y_1.N_1.N_2 \dots N_n$, we know from the Church-Rosser theorem that $P_i =_{\beta} N_i$ ($i = 1, 2, \dots, n$) and $v = u$. Without loss of generality we may also assume $u = y$ and $v = z$.

If $n = 0$, then $P =_{\beta} \lambda u.x \lambda u.x \in N$. In this case, we have $P[x := M] =_{\beta} \lambda u.x[x := M] =_{\beta} \lambda u.x \in N$ for any M' . If $n > 0$, then from the fact $P[x := M] =_{\beta} P_1[x := M] \dots P_r[x := M]$ and the inductive hypothesis, we get $P_i[x := M] =_{\beta} N_i$ ($i = 1, 2, \dots, n$) for any M' . In this case,

$$\begin{aligned} P[x := M] &=_{\beta} \lambda u.x.P_1.P_2 \dots P_r[x := M'] \\ &=_{\beta} \lambda u.x.(P_1[x := M'])(P_2[x := M'])\dots(P_r[x := M']) \\ &=_{\beta} \lambda y.\lambda x.N_1.N_2 \dots N_n = N. \end{aligned}$$

This proves the lemma. \square

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Lemma 2. ([1] 14.3.24. Genericity lemma) Let M be an unsolvable term, and $C[\]$ be a context such that $C[M]$ has a β -nf. Then $C[M] =_{\beta} C[M']$ for any M' .

Proof. For given M' , let y be a sequence of all free variables in M' . Take a new variable z (neither in $C[M]$ nor $C[M']$), and let $P \equiv C[zy]$. Then since $\lambda y.M$ and $\lambda y.M'$ are closed terms, we have

$$\begin{aligned} P[x := \lambda y.M] &= C[(\lambda y.M)[y] =_{\beta} C[M], \\ P[x := \lambda y.M'] &= C[(\lambda y.M')[y] =_{\beta} C[M']]. \end{aligned}$$

The term $\lambda y.M$ therefore satisfies $P[x := \lambda y.M] =_{\beta} C[M] =_{\beta} N$ for some N in β -nf. Here $\lambda y.M$ is unsolvable because so is M . Hence by applying lemma 1 we get $P[x := \lambda y.M'] =_{\beta} N$, which implies $C[M'] =_{\beta} C[M]$. \square

Corollary 3. If M is unsolvable and $C[M]$ is solvable, then $C[M']$ is solvable for any M' .

Proof. Since $C[M]$ is solvable, by (1) above there exist x and N such that $(\lambda x.C[M])N$ has a β -nf. Then by lemma 2 (applied to the context $(\lambda x.C[\]N)$), we know $(\lambda x.C[M])N$ has a β -nf for any M' . This means $(\lambda x.C[M])N$ is solvable, and consequently $C[M']$ is solvable. \square

The proof presented provides an alternative to the conventional one which uses a topological argument on Böhm trees ([cf.] Chapters 10 and 14).

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Main Lemma

~15 lines of text
~90 lines of Abella
~140 tactics

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If $n = 0$, then $P =_{\beta\eta} \lambda u.x$. In this case, we have $P[x := M'] =_{\beta\eta} \lambda u.x[x := M'] =_{\beta\eta} \lambda u.u = N$ for any M' . If $n > 0$, then from the fact $P[x := M] =_{\beta\eta} P_1 \dots P_r$ and the inductive hypothesis, we get $P[x := M] =_{\beta\eta} N_i(u = 1, 2, \dots, n)$ for any M' . In this case,

$$\begin{aligned} P[x := M] &=_{\beta\eta} \lambda u.x.P_1.P_2 \dots P_r[x := M'] \\ &=_{\beta\eta} \lambda u.x.(P_1[x := M'])(P_2[x := M'] \dots (P_r[x := M'])) \\ &=_{\beta\eta} \lambda y.\lambda z.N_1.N_2 \dots N_n = N. \end{aligned}$$

This proves the lemma. \square

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Lemma 2. ([1] 14.3.24. Genericity lemma) Let M be an unsolvable term, and $C[\]$ be a context such that $C[M]$ has a β -nf. Then $C[M] =_{\beta\eta} C[M']$ for any M' .

Proof. For given M' , let y be a sequence of all free variables in M' . Take a new variable z (neither in $C[M]$ nor $C[M']$), and let $P = C[y]$. Then since $\lambda y.M$ and $\lambda y.M'$ are closed terms, we have

$$\begin{aligned} P[x := \lambda y.M] &= C[(\lambda y.M)y] =_{\beta\eta} C[M], \\ P[x := \lambda y.M'] &= C[(\lambda y.M')y] =_{\beta\eta} C[M']. \end{aligned}$$

The term $\lambda y.M$ therefore satisfies $P[x := \lambda y.M] =_{\beta\eta} N$ for some N in β -nf. Here $\lambda y.M$ is unsolvable because so is M . Hence by applying lemma 1 we get $P[x := \lambda y.M'] =_{\beta\eta} N$, which implies $C[M] =_{\beta\eta} C[M']$. \square

Corollary 3. If M is unsolvable and $C[M]$ is solvable, then $C[M']$ is solvable for any M' .

Proof. Since $C[M]$ is solvable, by (1) above there exist x and N such that $(\lambda x.C[M])N$ has a β -nf. Then by lemma 2 (applied to the context $(\lambda x.C[\]N)$), we know $(\lambda x.C[M'])N$ has a β -nf for any M' . This means $(\lambda x.C[M'])N$ is solvable, and consequently $C[M']$ is solvable. \square

The proof presented provides an alternative to the conventional one which uses a topological argument on Böhm trees ([1] Chapters 10 and 14).

Reference

- [1] H. P. Barendregt, *The Lambda Calculus* (North-Holland 1984).

Preliminaries:
~2000 lines of Abella

Main Lemma
~15 lines of text
~90 lines of Abella
~140 tactics

Proving/Formalizing Genericity

A Simple Proof of the Genericity Lemma

Takahashi's trick
(Disentangling)
~60 lines of Abella

Abstract. A short direct proof of the genericity lemma is presented.

1. Preliminaries

A term in this note means a λ -term, which is either $\lambda x.M$ or MN , (where M, N are terms and x is a variable.) Unless otherwise stated, capital letters M, N, P, \dots stand for arbitrary terms, M, N, \dots for (possibly null) sequences of terms, x, y, \dots for variables, and x, y, \dots for (possibly null) sequences of variables. We refer to [1] as the standard text in the field.

A term of the form $\lambda x.M$ (more precisely, $\lambda x_1. (\lambda x_2. (\dots (\lambda x_n. (M)) \dots))$) for some $n, m \geq 0$ is said to be in *normal form* (and *nf* for short). If a term M has a hnf (that is, $M \rightarrow_{\beta} M'$ for a term M' in nf), then M is called *solvable*. The following are well-known facts of solvable terms ([1] 8.3.1 - 14).

- (1) M is solvable if and only if $\forall P. \exists x. \exists Q. (\lambda x. M)Q \rightarrow_{\beta} P$.
- (2) $\lambda x. M$ is solvable if and only if so is M .
- (3) If $M[x := N]$ is solvable then so is M .
- (4) If MN is solvable then so is M .

A term in β -normal form (and *nf* for short) is recursively defined as the form $\lambda x_1. \lambda x_2. M$ where M is a (possibly null) sequence of terms in β -nf.

2. Propositions

First we prove a special case of the genericity lemma.

Lemma 1. Let M, N, P be terms with M unsolvable and N in β -nf. Then $P[x := M] \rightarrow_{\beta} N$ implies $P[x := M'] \rightarrow_{\beta} N$ for any M' .

Proof. We prove the lemma by induction on the structure of N . Suppose $P[x := M] \rightarrow_{\beta} N$, and $N \equiv \lambda y_1. \lambda y_2. N_1 N_2 \dots N_n$, where $n \geq 0$ and each N_i is in β -nf. (Here, \equiv denotes syntactic equality of terms.) Then since N is solvable, P is also solvable by (3) above, and hence has a hnf, say $\lambda u. x P_1 P_2 \dots P_r$. Here x and u must be distinct. (For otherwise $P[x := M] \rightarrow_{\beta} \lambda u. x M P$ for some P , and $P[x := M]$ would by (2) and (4) above be unsolvable, which contradicts our assumption.) Therefore we have $P[x := M] \rightarrow_{\beta} \lambda u. x P_1 P_2 \dots P_r$ where $P_i \equiv P[x := M](y_i := N_i)$ for $i = 1, 2, \dots, r$. Since $P[x := M] \rightarrow_{\beta} N \equiv \lambda y_1. \lambda y_2. N_1 N_2 \dots N_n$, we know from the Church-Rosser theorem that $P_i \rightarrow_{\beta} N_i$ for $i = 1, 2, \dots, r$ and $y_i \neq u$. Without loss of generality we may also assume $u \equiv y_1$ and $r \equiv n$.

If $n = 0$, then $P \rightarrow_{\beta} \lambda u. x N$. In this case, we have $P[x := M'] \rightarrow_{\beta} \lambda u. x N$ for any M' . If $n > 0$, then from the fact $P[x := M] \rightarrow_{\beta} P_1 P_2 \dots P_n$ and the inductive hypothesis, we get $P[x := M'] \rightarrow_{\beta} N_1 (y_1 := N_1) \dots (y_n := N_n)$ for any M' . In this case,

$$\begin{aligned} P[x := M'] &\rightarrow_{\beta} \lambda u. x P_1 P_2 \dots P_n[x := M'] \\ &\equiv \lambda u. x (P_1[x := M'])(P_2[x := M'])(P_3[x := M'])(P_n[x := M']) \\ &\equiv_{\beta} \lambda y_1. \lambda y_2. N_1 N_2 \dots N_n \equiv N. \end{aligned}$$

This proves the lemma. \square

Lemma 2. ([1] 14.3.24. Genericity lemma) Let M be an unsolvable term, and $C[\]$ be a context such that $C[M]$ has a β -nf. Then $C[M] \rightarrow_{\beta} C[M']$ for any M' .

Proof. For given M' , let y be a sequence of all free variables in M' . Take a new variable x (neither in $C[M]$ nor $C[M']$), and let $P \equiv C[y]$. Then since $\lambda y. M$ and $\lambda y. M'$ are closed terms, we have

$$\begin{aligned} P[x := \lambda y. M] &\equiv C[(\lambda y. M)[y := y]] \rightarrow_{\beta} C[M], \\ P[x := \lambda y. M'] &\equiv C[(\lambda y. M')[y := y]] \rightarrow_{\beta} C[M']. \end{aligned}$$

The term $\lambda y. M$ therefore satisfies $P[x := \lambda y. M] \rightarrow_{\beta} C[M] \rightarrow_{\beta} N$ for some N in β -nf. Here $\lambda y. M$ is unsolvable because so is M . Hence by applying lemma 1 we get $P[x := \lambda y. M'] \rightarrow_{\beta} N$, which implies $C[M'] \rightarrow_{\beta} C[M]$. \square

Corollary 3. If M is unsolvable and $C[M]$ is solvable, then $C[M']$ is solvable for any M' .

Proof. Since $C[M]$ is solvable, by (1) above there exist x and N such that $(\lambda x. C[M])N$ has a β -nf. Then by lemma 2 (applied to the context $(\lambda x. C[\])(N)$), we know $(\lambda x. C[M'])N$ has a β -nf for any M' . This means $(\lambda x. C[M'])N$ is solvable, and consequently $C[M']$ is solvable. \square

The proof presented provides an alternative to the conventional one which uses a topological argument on Böhm trees ([1] Chapters 10 and 14).

Reference

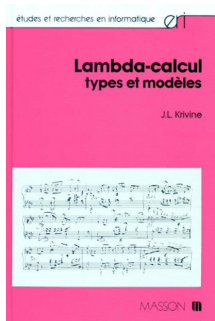
- [1] H. P. Barendregt, *The Lambda Calculus* (North-Holland 1984).

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Some Related Work

Many other formal developments of the theory of the λ -calculus



← **Formalization** of parts of Krivine's book (1990) in Rocq by Larchey-Wendling

- ▶ Countless formalized proofs of confluence
- ▶ The previous talk!
- ▶ ...

Contextual Preorder

The **head (open) contextual preorder** is defined as:

$t \lesssim_{\mathcal{CO}}^h u$ if **for all contexts** C , $C\langle t \rangle$ is h -normalizing implies $C\langle u \rangle$ is h -normalizing.

- ▶ A natural extensional inequational theory

The only non-trivial point is the inclusion of β -conversion.

- ▶ Strongly Connected with Genericity:

Genericity says that “head diverging terms are **minimums** for the head contextual preorder”.

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Outline

Barendregt's Theory of the Lambda Calculus

Formalizing in Abella

Formalizing λ

TERMS $t, u := x \mid \lambda x.t \mid tu$

λ -terms and the predicate for inducting on them in Abella:

```
Kind tm type.
```

```
Type abs (tm -> tm) -> tm.
```

```
Type app tm -> tm -> tm.
```

```
Define is_tm : tm -> prop by
```

```
  nabla x, is_tm x;
```

```
  is_tm (abs T) := nabla x, is_tm (T x);
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  is_tm (app T U) := is_tm T /\ is_tm U.
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Formalizing λ and β

$$\frac{}{(\lambda x.t)u \mapsto_{\beta} t\{x \leftarrow u\}} \quad \frac{t \rightarrow_{\beta} t'}{tu \rightarrow_{\beta} t'u} \quad \frac{t \rightarrow_{\beta} t'}{\lambda x.t \rightarrow_{\beta} \lambda x.t'} \quad \frac{u \rightarrow_{\beta} u'}{tu \rightarrow_{\beta} tu'}$$

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Define beta : tm -> tm -> prop by
  beta (app (abs T) U) (T U);
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$$\frac{}{(\lambda x.t)u \rightarrow_h t\{x \leftarrow u\}} \quad \frac{t \rightarrow_h u}{ts \rightarrow_h us} \quad \frac{t \rightarrow_h u}{\lambda x.t \rightarrow_h \lambda x.u}$$

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Formalizing λ -theories

A λ -theory is stable by contexts...

Contextual equivalence...

We need to formalize contexts

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Formalizing λ -theories

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Formalizing Contexts

A context is a term with a hole? Not really...

Set $C := \lambda x. \langle \cdot \rangle$, then $C\langle y \rangle = \lambda x. y$ and $C\langle x \rangle = \lambda x. x = I$.

`ctx T CT` holds iff there exists a context C such that $C\langle T \rangle = CT$.

```
Define ctx : tm -> tm -> prop by
  ctx T T;
  ctx T (app P Q) := ctx T P \ / ctx T Q;
  nabla x, ctx (T x) (abs CT) :=
    nabla x, ctx (T x) (CT x).
```

How to apply a context to two different terms?

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Define ctx : tm -> tm -> prop by
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    nabra x, ctx (T x) (CT x).
```

How to apply a context to two different terms?

Formalizing Contexts

ctxs T CT U CU holds

iff there exists a context C such that $C\langle T \rangle = CT$ and $C\langle U \rangle = CU$.

```
Define ctxs : tm -> tm -> tm -> tm -> prop by
  ctxs T T U U;
  ctxs T (app A B) U (app C D) :=
    (ctxs T A U C /\ B = D /\ tm D)
    /\ (ctxs T B U D /\ A = C /\ tm C);
  nabla x, ctxs (T x) (abs CT) (U x) (abs CU) :=
    nabla y, ctxs (T y) (CT y) (U y) (CU y).
```

Formalizing Contexts

`ctxs T CT U CU` holds

iff there exists a context C such that $C\langle T \rangle = CT$ and $C\langle U \rangle = CU$.

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  nabra x, ctxs (T x) (abs CT) (U x) (abs CU) :=
    nabra y, ctxs (T y) (CT y) (U y) (CU y).
```

Formalizing Contextual Preorder

```
Define ctx_preord : tm -> tm -> prop by
  ctx_preord P Q := forall CP CQ,
    tm P -> tm Q ->
    ctxs P CP Q CQ -> head_terminating CP ->
    head_terminating CQ.
```

- ▶ `ctx_preord` is stable by contexts.
- ▶ `ctx_preord` is invariant under computation.
- ▶ `ctx_preord` has h-diverging terms as minimums.

Light Genericity

Light Genericity: head-diverging terms are minimum for the head open contextual preorder.

Unfolded statement:

Light Genericity: let u be head-diverging and C such that $C\langle u \rangle$ is head-normalizing then $C\langle t \rangle$ is head-normalizing for all $t \in \Lambda$.

Main difficulty: reasoning with contexts and reduction.

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Direct proof of Light Genericity

Takahashi proves Barendregt's heavy genericity with a **very short proof** [Tak94] and gives **as a corollary light genericity**.

Key idea/trick: Reason with substitutions instead of contexts!

Light genericity as substitution: let u be **h-diverging** and t such that $t\{x \leftarrow u\}$ is **h-normalizing** then $t\{x \leftarrow s\}$ is **h-normalizing** for all $s \in \Lambda$.

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Light genericity as substitution: let u be \mathbf{h} -diverging and t such that $t\{x \leftarrow u\}$ is \mathbf{h} -normalizing then $t\{x \leftarrow s\}$ is \mathbf{h} -normalizing for all $s \in \Lambda$.

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Takahashi's Trick in CbN

$$C\langle u \rangle \leftrightarrow t_C\{x \leftarrow u_C\}$$

$$C\langle s \rangle \leftrightarrow t_C\{x \leftarrow s_C\}$$

Trick:

Let $\text{fv}(u) \cup \text{fv}(s) = \{x_1, \dots, x_k\}$, and y a fresh variable.

- ▶ $u_C := \lambda x_1 \dots \lambda x_k. u$ and $s_C := \lambda x_1 \dots \lambda x_k. s$ are closed terms.
- ▶ Consider $t_C := C\langle yx_1 \dots x_k \rangle$, and note that:

$$\begin{aligned} t_C\{y \leftarrow u_C\} &= C\langle u_C x_1 \dots x_k \rangle \\ &= C\langle (\lambda x_1 \dots \lambda x_k. u) x_1 \dots x_k \rangle \\ &\xrightarrow[\beta]{k} C\langle u \rangle \end{aligned}$$

- ▶ u is h -diverging implies that u_C is also h -diverging.
- ▶ $C\langle u \rangle$ is h -normalizing if and only if $t\{y \leftarrow u_C\}$ is. (also true for s and s_C)

by the Head Normalization Theorem (and confluence, etc.)

Formalizing Takahashi's Trick

$$C\langle u \rangle \leftrightarrow t_C\{x \leftarrow u_C\}$$

Disentangling:

For any context C , there exist t_C and a variable $x \notin \text{fv}(C)$ such that:

- ▶ for all terms u there exists u_C such that $t_C\{x \leftarrow u_C\} \rightarrow_{\beta}^* C\langle u \rangle$.
(Moreover, if u is head divergent then u_C is head divergent.)

Some small technicalities in Abella...

Substitution Preorder:

$u \lesssim_S^h s$ holds if

for all terms t , variables x , and lists of variables y_1, \dots, y_n
with $n \geq 0$,

$t\{x \leftarrow \lambda y_1 \dots \lambda y_n. u\} \rightarrow_h\text{-terminating}$ implies that
 $t\{x \leftarrow \lambda y_1 \dots \lambda y_n. s\}$ is $\rightarrow_h\text{-terminating}$

The substitution preorder coincides with the contextual preorder.

Formalizing Takahashi's Trick

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Maximality

Another result in Barendregt's book:

Maximality of the Head Contextual Preorder:

if $\lesssim_{\mathcal{CO}}^h \subsetneq \leq_{\mathcal{T}}$ then $\leq_{\mathcal{T}}$ is inconsistent.

« The head contextual preorder is the largest sensible theory to study. »

Constructive Contextual Equivalence?

Proofs of maximality always starts by:

If $\mathcal{T} \vdash t \leq u$ and $t \not\leq_{\mathcal{CO}}^h u$

Then $\exists \underline{C}$ such that

- ▶ $C\langle t \rangle$ is h-normalizing and
- ▶ $C\langle u \rangle$ is h-diverging.

...

In general, not valid in intuitionistic logic

$$\neg \forall \phi \not\Rightarrow \exists \neg \phi$$

Constructive Contextual Equivalence?

Proofs of maximality always starts by:

If $\mathcal{T} \vdash t \leq u$ and $t \not\leq_{\mathcal{CO}}^h u$

Then $\exists \underline{C}$ such that

- ▶ $C\langle t \rangle$ is h-normalizing and
- ▶ $C\langle u \rangle$ is h-diverging.

...

In general, not valid in intuitionistic logic

$$\neg \forall \phi \not\Rightarrow \exists \neg \phi$$

Conclusions

- ▶ A small subset of Barendregt's book formalized (many rewriting theorems hidden in this presentation)
- ▶ Easy proofs that rely mostly on rewriting/operational results
- ▶ Faithful formalization of the pen-and-paper proofs

Future work:

- ▶ Constructive Contextual (In)Equivalence?
- ▶ Many results adapt to the theory of the Call-by-Value calculus (haven't formalized these)
- ▶ Other results on program equivalence to be made formal (mechanizing Böhm trees and Böhm's theorem?
⇒ intensional presentation of contextual equivalence)

Thank you!

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Thank you!



Masako Takahashi.

A simple proof of the genericity lemma, pages 117–118.

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