

# Barendregt's Theory of the $\lambda$ -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  $\leq_{\text{PRF}}$

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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?  $\Omega$ !

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

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## A first naive attempt

Undefined represents a computation that never ends.

- ▶ undefined terms =  $\beta$ -diverging terms?

Surprisingly, this would lead to an inconsistency.

>> If all  $\beta$ -diverging terms are equated in an equational theory, then this theory equates all terms.

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

## $\beta$ -diverging terms may be very different

Indeed, let us look at two  $\beta$ -diverging terms

$fix$	and	$\Omega$
$\downarrow_\beta$		$\downarrow_\beta$
$\lambda f.f \ (fix\ f)$		$\Omega$
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$\lambda f.f \ (f \ (f \ (f \dots)))$		$\Omega$
$\downarrow_\beta$		$\downarrow_\beta$
$\vdots$		$\vdots$

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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## $\beta$ -diverging terms may be very different

Fixpoint combinators are **head**-normalizing.

$$\begin{array}{ccc} fix & \text{and} & \Omega \\ \downarrow_h & & \downarrow_h \\ \lambda f.f \ (fix\ f) & & \Omega \\ \not\downarrow_h & & \downarrow_h \\ & & \vdots \end{array}$$

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

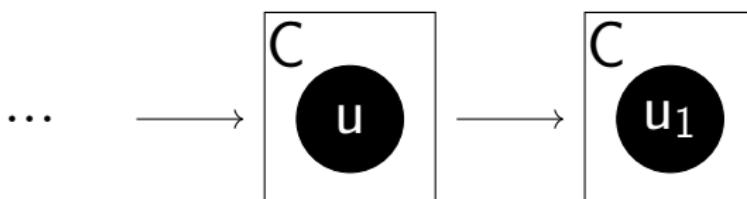


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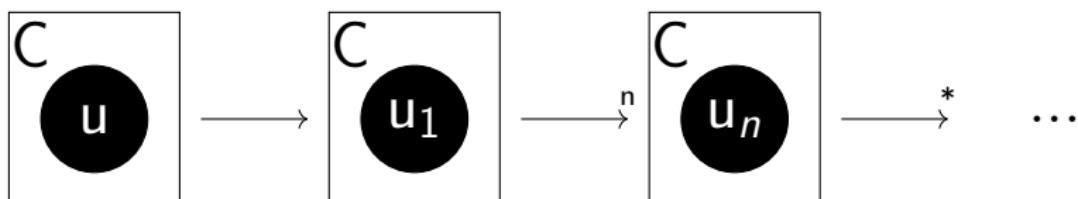
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# What is Genericity?

**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)



Anything can simulate the *generic undefined* sub-terms in a terminating term.

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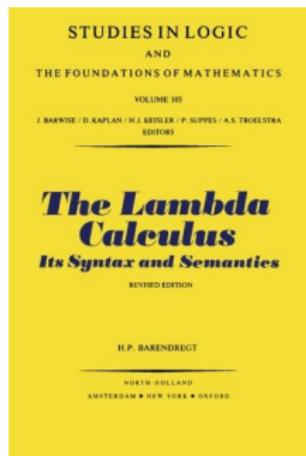
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# Refreshed and Formalized

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



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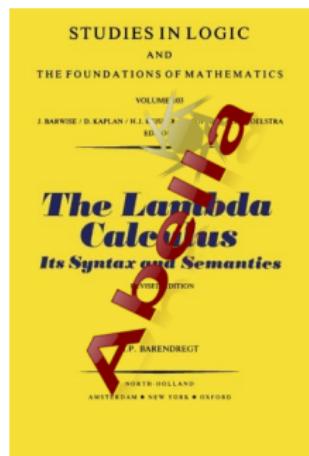
- ▶ Takahashi's proof of genericity (1994)
- ▶ Accattoli et al. study of normalization (2019)

## Formalized with the Abella proof assistant:

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

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# Proving/Formalizing Genericity

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## 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  $\lambda$ -terms: if  $M$  is an unsolvable  $\lambda$ -term and  $C[M]$  is solvable, then  $C[N]$  is solvable for any  $\lambda$ -term  $N$ . (Here  $C[\cdot]$  stands for an arbitrary context.)

### 1. Preliminaries

A term in this note means a  $\lambda$ -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  $\lambda x_1 x_2 \dots x_m M$  (more precisely,  $\lambda x_1 (\lambda x_2 (\dots (\lambda x_m ((\dots ((yM_1)M_2) \dots )M_{m-1})M_m)))$ ) 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  $\forall P \exists Q (\lambda x. M)Q =_\beta P$ .
- (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  $\beta$ -normal form ( $\beta\text{-nf}$ , for short) is recursively defined as a term of the form  $\lambda x.yM$  where  $M$  is a (possibly null) sequence of terms in  $\beta\text{-nf}$ .

### 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  $\beta\text{-nf}$ . 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  $N = \lambda y.zN_1N_2\dots N_n$  where  $n \geq 0$  and each  $N_i$  is in  $\beta\text{-nf}$ . (Here,  $=_\beta$  denotes syntactic equality of terms.) Then since  $N$  is solvable,  $P$  is also solvable by (3) above, and hence has a hnf, say  $\lambda u.P_1P_2\dots P_p$ . Here  $x$  and  $v$  must be different. (For otherwise  $P[x := M] =_\beta \lambda u.MP$  for some  $P$ , and  $P[x := M]$  would by (2) and (4) above be unsolvable.) By the definition of  $\beta$ -normal form, we have  $\lambda u.P_1P_2\dots P_p =_\beta \lambda u.(P'_1P'_2\dots P'_p)$  where  $P'_i = P_i[x := M'] (i = 1, 2, \dots, p)$ . Since  $P[x := M] =_\beta N$  is by  $\lambda y.zN_1N_2\dots N_n$  from the Church-Rosser theorem that  $P'_i =_\beta N_i (i = 1, 2, \dots, n)$  and  $p = n$ . Without loss of generality we may also assume  $u = y$  and  $v = z$ .

If  $n = 0$ , thus  $P =_\beta \lambda u.v = N$ . In this case, we have  $P[x := M'] =_\beta (\lambda u.v)[x := M'] = \lambda u.v = N$  for any  $M'$ . If  $n > 0$ , then from the fact  $P[x := M] = P'_1 =_\beta N_1$  and the inductive hypothesis, we get  $P[x := M'] =_\beta N_1 (i = 1, 2, \dots, n)$  for any  $M'$ . In this case,

$$\begin{aligned} P[x := M'] &=_\beta (\lambda u.P_1P_2\dots P_p)[x := M'] \\ &= \lambda u.z(P_1[x := M'])(P_2[x := M']) \dots (P_n[x := M']) \\ &=_\beta \lambda y.zN_1N_2\dots N_n = N. \end{aligned}$$

This proves the lemma.  $\square$

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

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

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

The term  $\lambda y.M$  therefore satisfies  $P[x := \lambda y.M] =_\beta C[M] =_\beta N$  for some  $N$  in  $\beta\text{-nf}$ . 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  $\beta$ -nf. Then by lemma 2 (applied to the context  $(\lambda x.C[\cdot])N$ ), we know  $(\lambda x.C[M'])N$  has a  $\beta$ -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.[1] Chapters 10 and 14).

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# Proving/Formalizing Genericity

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**Lemma 1.** Let  $M, N, P$  be terms with  $M$  unsolvable and  $N$  in  $\beta$ -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  $N = \lambda y.zN_1N_2\cdots N_n$  where  $n \geq 0$  and each  $N_i$  is in  $\beta$ -nf. (Here  $=_\beta$  denotes syntactic equality of terms.) Then since  $N$  is solvable,  $P$  is also solvable by (3) above, and hence has a hnf, say  $\lambda u.P_1P_2\cdots P_p$ . Here  $x$  and  $v$  must be different. (For otherwise  $P[x := M] =_\beta \lambda u.MP$  for some  $P$ , and  $P[x := M]$  would by (2) and (4) above be unsolvable.) Now we consider two cases: (1) if  $x \neq u$ , then we have  $P[x := M] =_\beta \lambda u.P'_1P'_2\cdots P'_p$  where  $P'_i = P[x := M']_i$  ( $i = 1, 2, \dots, p$ ). Since  $P[x := M] =_\beta N$  is by  $\lambda y.zN_1N_2\cdots N_n$ , we can deduce from the Church-Rosser theorem that  $P'_i =_\beta N_i$  ( $i = 1, 2, \dots, n$ ) and  $p = n$ . Without loss of generality we may also assume  $u = y$  and  $v = z$ .

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$$\begin{aligned} P[x := M'] &=_\beta (\lambda u.vP_1P_2\cdots P_p)[x := M'] \\ &\equiv \lambda u.z(P_1[x := M'])(P_2[x := M'])\cdots(P_n[x := M']) \\ &=_\beta \lambda y.zN_1N_2\cdots N_n = N. \end{aligned}$$

This proves the lemma.  $\square$

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

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

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*Proof.* Since  $C[M]$  is solvable, by (1) above there exist  $x$  and  $N$  such that  $(\lambda x.C[M])N$  has a  $\beta$ -nf. Then by lemma 2 (applied to the context  $(\lambda x.C[M])N$ ), we know  $(\lambda x.C[M'])N$  has a  $\beta$ -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.[1] Chapters 10 and 14).

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## Main Lemma

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

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- (4) If  $MN$  is solvable then so is  $M$ .

A term in  $\beta$ -normal form ( $\beta$ -nf, for short) is recursively defined as a term of the form  $\lambda x.yM$  where  $M$  is a (possibly null) sequence of terms in  $\beta$ -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  $\beta$ -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  $N = \lambda y.zN_1N_2\dots N_n$  where  $n \geq 0$  and each  $N_i$  is in  $\beta$ -nf. (Here  $=_\beta$  denotes syntactic equality of terms.) Then since  $N$  is solvable,  $P$  is also solvable by (3) above, and hence has a hnf, say  $\lambda u.P_1P_2\dots P_p$ . Here  $x$  and  $v$  must be different. (For otherwise  $P[x := M] =_\beta \lambda u.MP$  for some  $P$ , and  $P[x := M]$  would by (2) and (4) above be unsolvable.) By the definition of  $\beta$ -nf, we have  $P_1 =_\beta \lambda u_1.P'_1$ ,  $P_2 =_\beta \lambda u_2.P'_2$ , ...,  $P_p =_\beta \lambda u_p.P'_p$  where  $P'_i = P[x := M](i = 1, 2, \dots, p)$ . Since  $P[x := M] =_\beta N$  is by  $\lambda y.zN_1N_2\dots N_n$ , we can deduce from the Church-Rosser theorem that  $P'_i =_\beta N_i$  ( $i = 1, 2, \dots, n$ ) and  $p = n$ . Without loss of generality we may also assume  $u = y$  and  $v = z$ .

If  $n = 0$ , thus  $P =_\beta \lambda u.v$  and  $N$ . In this case, we have  $P[x := M'] =_\beta (\lambda u.v)[x := M'] =_\beta \lambda u.v = N$  for any  $M'$ . If  $n > 0$ , then from the fact  $P[x := M] =_\beta P'_n =_\beta N_n$  and the inductive hypothesis, we get  $P[x := M'] =_\beta N_n(i = 1, 2, \dots, n)$  for any  $M'$ . In this case,

$$\begin{aligned} P[x := M'] &=_\beta (\lambda u.P_1P_2\dots P_n)[x := M'] \\ &\equiv \lambda u.z(P_1[x := M'])(P_2[x := M'])\dots(P_n[x := M']) \\ &=_\beta \lambda y.zN_1N_2\dots N_n = N. \end{aligned}$$

This proves the lemma.  $\square$

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

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

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

The term  $\lambda y.M$  therefore satisfies  $P[x := \lambda y.M] =_\beta C[M] =_\beta N$  for some  $N$  in  $\beta$ -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  $\beta$ -nf. Then by lemma 2 (applied to the context  $(\lambda x.C[M])N$ ), we know  $(\lambda x.C[M'])N$  has a  $\beta$ -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.[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 is an unsolvable  $\lambda$ -term and stands for an arbitrary cost

#### 1. Preliminaries

A term in this note means a  $\lambda$ -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  $\lambda x_1 x_2 M$  (more precisely,  $\lambda x_1 (\lambda x_2. \dots (x_n. \dots ((yM_1)M_2) \dots )M_m))$  for some  $n, m \geq 0$  is said to be in head normal form (*hnf* for short). If  $M$  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] 8.3, 14).

- (1)  $M$  is solvable if and only if  $\forall P \exists x \exists Q (x x.M)Q =_\beta P$ .
- (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  $\beta$ -normal form ( $\beta\text{-nf}$ , for short) is recursively defined as a term of the form  $\lambda x.yM$  where  $M$  is a (possibly null) sequence of terms in  $\beta\text{-nf}$ .

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First we prove a special case of the genericity lemma.

**Lemma 1.** Let  $M, N, P$  be terms with  $M$  unsolvable and  $N$  in  $\beta\text{-nf}$ . 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  $N = \lambda y.zN_1N_2\dots N_n$  where  $n \geq 0$  and each  $N_i$  is in  $\beta\text{-nf}$ . (Here  $=_\beta$  denotes syntactic equality of terms.) Then since  $N$  is solvable,  $P$  is also solvable by (3) above, and hence has a hnf, say  $\lambda u.P_1P_2\dots P_p$ . Here  $x$  and  $v$  must be different. (For otherwise  $P[x := M] =_\beta \lambda u.MP$  for some  $P$ , and  $P[x := M]$  would by (2) and (4) above be unsolvable.) Now we consider two cases. First, if  $x \neq u$ , then we have  $P[x := M] =_\beta \lambda u.P'_1P'_2\dots P'_p$  where  $P'_i = P[x := M'] \quad (i = 1, 2, \dots, p)$ . Since  $P[x := M] =_\beta N$  is by  $\lambda y.zN_1N_2\dots N_n$ , we can deduce from the Church-Rosser theorem that  $P'_i =_\beta N_i$  ( $i = 1, 2, \dots, n$ ) and  $p = n$ . Without loss of generality we may also assume  $u = y$  and  $v = z$ .

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

$$\begin{aligned} P[x := M'] &=_\beta (\lambda u.P_1P_2\dots P_p)[x := M'] \\ &\equiv \lambda u.z(P_1[x := M'])(P_2[x := M']) \dots (P_n[x := M']) \\ &=_\beta \lambda u.zN_1N_2\dots N_n = N. \end{aligned}$$

This proves the lemma.  $\square$

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

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

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

The term  $\lambda y.M$  therefore satisfies  $P[x := \lambda y.M] =_\beta C[M] =_\beta N$  for some  $N$  in  $\beta\text{-nf}$ . 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  $\beta$ -nf. Then by lemma 2 (applied to the context  $(\lambda x.C[M])N$ ), we know  $(\lambda x.C[M'])N$  has a  $\beta$ -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 [1] Chapters 10 and 14).

#### Reference

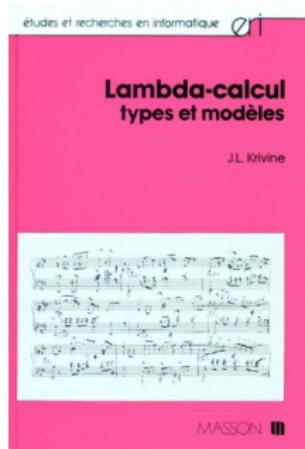
- [1] H. P. Barendregt, *The Lambda Calculus* (North-Holland 1984).

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# Some Related Work

Many other formal developments of the theory of the  $\lambda$ -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:

$t \lesssim_{CO}^h u$  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  $\beta$ -conversion.

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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 $\lambda$

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

$\lambda$ -terms and the predicate for inducting on them in Abella:

Kind tm type.

Type abs (tm  $\rightarrow$  tm)  $\rightarrow$  tm.

Type app tm  $\rightarrow$  tm  $\rightarrow$  tm.

Define is\_tm : tm  $\rightarrow$  prop by  
nabla x, is\_tm x;  
is\_tm (abs T) := nabla x, is\_tm (T x);  
is\_tm (app T U) := is\_tm T  $\wedge$  is\_tm U.

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## Formalizing $\lambda$ and $\beta$

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

Define beta : tm  $\rightarrow$  tm  $\rightarrow$  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 $\lambda$ -theories

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Contextual equivalence...

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# Formalizing Contexts

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

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

$\text{ctx } T \text{ CT}$  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) :=
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How to apply a context to two different terms?

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# Formalizing Contexts

`ctxs T CT U CU holds`

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

```
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) :=
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# Formalizing Contexts

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    nabla 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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# Takahashi's Trick in CbN

$$\begin{aligned}C\langle u \rangle &\leftrightarrow t_C\{x \leftarrow u_C\} \\C\langle s \rangle &\leftrightarrow t_C\{x \leftarrow s_C\}\end{aligned}$$

## 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:

$u \precsim_S^h s$  holds if

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

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

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

The substitution preorder coincides with the contextual preorder.

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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  $t \not\approx_{CO}^h u$

Then  $\exists C$  such that

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

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In general, not valid in intuitionistic logic

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

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# 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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