

# Proving "theorems for free" via relational parametricity

## A tutorial using the syntax of Scala code

Sergei Winitzki

Academy by the Bay

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# Outline of the tutorial

- Motivation: practical applications of the parametricity theorem
- What is “fully parametric code”
- Naturality laws and their uses
  - ▶ Example: Covariant and contravariant Yoneda identities
- A complete proof of “theorems for free” in 6 steps
  - ▶ Step 1: Deriving `fmap` and `cmap` methods from types
  - ▶ Step 2: Motivation for the relational approach to naturality laws
  - ▶ Step 3: Definition and examples of relations
  - ▶ Step 4: Definition and properties of the relational lifting (`rmap`)
  - ▶ Step 5: Proof of the relational naturality law
  - ▶ Step 6: Deriving the wedge law from the relational naturality law
- Advanced applications of the parametricity theorem:
  - ▶ Beyond Yoneda: a first example
  - ▶ The Church encoding of recursive types
  - ▶ Simplifying universally quantified types where Yoneda fails

# Applications of parametricity. “Theorems for free”

**Parametricity theorem:** any fully parametric function obeys a certain law

Some applications:

Naturality laws for code that works in the same way for all types

```
def headOption[A]: List[A] => Option[A] = {  
  case Nil           => None  
  case head :: tail  => Some(head)  
}
```

- Naturality law for `headOption`: for all `x: List[A]` and `f: A => B`,  
`x.headOption.map(f) == x.map(f).headOption`

Uniqueness properties for fully parametric functions

- The `map` and `contramap` methods uniquely follow from types
- There is only one function `f` with type signature `f[A]: A => (A, A)`

Type equivalence for universally quantified types

- The type of functions `pure[A]: A => F[A]` is equivalent to `F[Unit]`
  - ▶ In Scala 3, this type is written as `[A] => A => F[A]`
- The type `[A] => (A, (K, A) => A) => A` is equivalent to `List[K]`
- The type `[A] => ((A => K) => A) => A` is equivalent to `K`

# Requirements for parametricity. Fully parametric code

Parametricity theorem works only if the code is “fully parametric”

- “**Fully parametric**” code: use only type parameters and `Unit`, no run-time type reflection, no external libraries or built-in types
  - ▶ For instance, no `IO`-like monads
- “Fully parametric” is a stronger restriction than “purely functional”

Parametricity theorem applies only to a subset of a programming language

- Usually, it is a certain flavor of typed lambda calculus

# Examples of code that is not fully parametric

Explicit matching on type parameters using type reflection:

```
def badHeadOpt[A]: List[A] => Option[A] = {  
  case Nil => None  
  case (head: Int) :: tail => None // Run-time type match!  
  case head :: tail => Some(head)  
}
```

Using typeclasses: define a typeclass `NotInt[A]` with the method `notInt[A]` that returns `true` unless `A = Int`

```
def badHeadOpt[A: NotInt]: List[A] => Option[A] = {  
  case h :: tail if notInt[A] => Some(h)  
  case _ => None  
}
```

Failure of naturality law:

```
scala> badHeadOpt(List(10, 20, 30).map(x => s"x = $x"))  
res0: Option[String] = Some(x = 10)
```

```
scala> badHeadOpt(List(10, 20, 30)).map(x => s"x = $x")  
res1: Option[String] = None
```

Fully parametric programs are written using the 9 code constructions:

```
def fmap[A, B](f: A => B): List[(A, A)] => List[(B, B)] = { // 3
  case Nil          => Nil
//   8   1          1,7
  case head :: tail => (f (head._1), f (head._2)) :: fmap(f)(tail)
//   8       6       2 4       6 5 2 4       6   7   9
}
// This code uses each of the nine allowed constructions.
```

- 1 Use `Unit` value (or equivalent type), e.g. `()`, `Nil`, `None`
- 2 Use bound variable (a given argument of the function)
- 3 Create a function: `{ x => expr(x) }`
- 4 Use a function: `f(x)`
- 5 Create a product: `(a, b)`
- 6 Use a product: `p._1` (or via pattern matching)
- 7 Create a co-product: `Left[A, B](x)`
- 8 Use a co-product: `{ case ... => ... }` (pattern matching)
- 9 Use a recursive call: e.g., `fmap(f)(tail)` within the code of `fmap`

# Naturality laws require map

Naturality law: applying  $t[A]: F[A] \Rightarrow G[A]$  before  $\_.\text{map}(f)$  equals applying  $t[B]: F[B] \Rightarrow G[B]$  after  $\_.\text{map}(f)$  for any function  $f: A \Rightarrow B$

$$\begin{array}{ccc} F[A] & \xrightarrow{t[A]} & G[A] \\ \downarrow \text{\_}.\text{map}(f) \text{ for } F & & \downarrow \text{\_}.\text{map}(f) \text{ for } G \\ F[B] & \xrightarrow{t[B]} & G[B] \end{array}$$

- Example:  $F = \text{List}$ ,  $G = \text{Option}$ ,  $t = \text{headOption}$

The naturality law of `headOption`: for all  $x: \text{List}[A]$  and  $f: A \Rightarrow B$ ,  
 $x.\text{headOption}.\text{map}(f) = x.\text{map}(f).\text{headOption}$

Naturality laws are formulated using  $\_.\text{map}$  for  $F$  and  $G$

What is the code of `map` for a given  $F[_]$ ?

- Equivalently, the code of  $\text{fmap}[A, B]: (A \Rightarrow B) \Rightarrow F[A] \Rightarrow F[B]$

# Using naturality laws: the Yoneda identities

For covariant  $F[A]$ , the type  $F[R]$  is equivalent to the type of functions

$p[A]: (R \Rightarrow A) \Rightarrow F[A]$  satisfying the naturality law:

$p[A](k).map(f) == p[B](k \text{ andThen } f)$  for all  $f: A \Rightarrow B$ ,  $k: R \Rightarrow A$

Isomorphism maps:

$inY[A]: F[R] \Rightarrow (R \Rightarrow A) \Rightarrow F[A] = fr \Rightarrow k \Rightarrow fr.map[A](k)$

$outY: ([A] \Rightarrow (R \Rightarrow A) \Rightarrow F[A]) \Rightarrow F[R] = p \Rightarrow p[R](identity[R])$

Proofs of isomorphism:

$outY(inY(fr)) == outY(k \Rightarrow fr.map(k)) == fr.map(identity) == fr$

The other direction:

$inY(outY(p)) == k \Rightarrow outY(p).map(k) == k \Rightarrow p(identity).map(k)$

Use the naturality law:  $p(identity).map(k) == p(identity \text{ andThen } k)$

So:  $inY(outY(p)) == k \Rightarrow p(k) == p$

- The naturality law and the code of `inY` must use *the same* `_.map`

For contravariant  $G[A]$ , the type  $G[R]$  is equivalent to the type of functions

$q[A]: (A \Rightarrow R) \Rightarrow G[A]$  satisfying the appropriate naturality law



# Example applications of the Yoneda identities

Many types can be converted to the form  $[A] \Rightarrow (R \Rightarrow A) \Rightarrow F[A]$  with a covariant  $F$  or to  $[A] \Rightarrow (A \Rightarrow R) \Rightarrow G[A]$  with a contravariant  $G$

Some examples (assume covariant  $F[_]$  and contravariant  $G[_]$ ):

- $[A] \Rightarrow A$  is equivalent to `Nothing`
- $[A] \Rightarrow F[A]$  is equivalent to `F[Nothing]`
- $[A] \Rightarrow G[A]$  is equivalent to `G[Unit]`
- $[A] \Rightarrow A \Rightarrow A$  is equivalent to `Unit`
- $[A] \Rightarrow A \Rightarrow F[A]$  is equivalent to `F[Unit]`
- $[A] \Rightarrow (A, A) \Rightarrow A$  is equivalent to `Boolean`
- $[A] \Rightarrow (A, A) \Rightarrow F[A]$  is equivalent to `F[Boolean]`
- $[A] \Rightarrow (P \Rightarrow A) \Rightarrow Q \Rightarrow A$  is equivalent to `Q => P`
- $[A] \Rightarrow (A \Rightarrow P) \Rightarrow A \Rightarrow Q$  is equivalent to `P => Q`
- $[A] \Rightarrow F[A] \Rightarrow (A \Rightarrow P) \Rightarrow Q$  is equivalent to `F[P] => Q`
- `flatMap` is equivalent to `flatten`: (use Yoneda w.r.t.  $A$ )  

```
def flatMap[A, B]: F[A] => (A => F[B]) => F[B]  
def flatten[B]: F[F[B]] => F[B]
```

# Step 1. Fully parametric type constructors

What is the `fmap` function for a given type constructor `F[_]`?

- If the code of `t[A]: F[A] => G[A]` is fully parametric, then there are only a few ways to build the type constructors `F[_]` and `G[_]`
- Such “fully parametric” type constructors `F[_]` are built as:
  - ① `F[A] = Unit` or `F[A] = K` where `K` is another type parameter
  - ② `F[A] = A`
  - ③ `F[A] = (G[A], H[A])` — product types
  - ④ `F[A] = Either[G[A], H[A]]` — co-product types
  - ⑤ `F[A] = G[A] => H[A]` — function types
  - ⑥ `F[A] = G[F[A], A]` — recursive types
  - ⑦ `F[A] = [X] => G[A, X]` — universally quantified types

The recursive type construction (`Fix`) can be defined as:

```
case class Fix[G[_], _](unfix: G[Fix[G[_], _], A], A)
F[A] = Fix[G, A] satisfies the type equation F[A] = G[F[A], A]
```

# Step 1. Deriving fmap from types

- What is the `fmap` function for a covariant type constructor `F[_]`?

`fmap_F[A, B]: (A => B) => F[A] => F[B]`

- 1 If `F[A] = Unit` or `F[A] = K` then `fmap_F(f) = identity`
- 2 If `F[A] = A` then `fmap_F(f) = f`
- 3 If `F[A] = (G[A], H[A])` then we need `fmap_G` and `fmap_H`  
`fmap_F(f) = { case (ga, ha) => (fmap_G(f)(ga),  
fmap_H(f)(ha)) }`
- 4 If `F[A] = Either[G[A], H[A]]` then `fmap_F(f) = {  
case Left(ga) => Left(fmap_G(f)(ga))  
case Right(ha) => Right(fmap_H(f)(ha))  
}`
- 5 If `F[A] = G[A] => H[A]` then we need `cmap_G` and `fmap_H`  
`cmap_G[A, B]: (A => B) => G[B] => G[A]`  
We define `fmap_F(f)(p: G[A] => H[A]) =  
cmap_G(f) andThen p andThen fmap_H(f)`
- 6 If `F[A] = G[F[A], A]` then we need `fmap_G1` and `fmap_G2`  
`fmap_F(f) = fmap_G1(fmap_F(f)) andThen fmap_G2(f)`
- 7 If `F[A] = [X] => G[A, X]` then we need `fmap_G1`  
`fmap_F(f) = p => [X] => fmap_G1(f)(p[X])`

## Step 1. Deriving cmap from types

- When  $F[_]$  is contravariant, we need the `cmap` function  
 $\text{cmap\_G}[A, B]: (A \Rightarrow B) \Rightarrow G[B] \Rightarrow G[A]$
- Use structural induction on the type of  $F[_]$ :
  - ① If  $F[A] = \text{Unit}$  or  $F[A] = K$  then  $\text{cmap\_F}(f) = \text{identity}$
  - ② If  $F[A] = A$  then  $F$  is *not* contravariant!
  - ③ If  $F[A] = (G[A], H[A])$  then we need `cmap_G` and `cmap_H`  
 $\text{cmap\_F}(f) = \{ \text{case } (gb, hb) \Rightarrow (\text{cmap\_G}(f)(gb), \text{cmap\_H}(f)(hb)) \}$
  - ④ If  $F[A] = \text{Either}[G[A], H[A]]$  then  $\text{cmap\_F}(f) = \{$   
     $\text{case Left}(gb) \Rightarrow \text{Left}(\text{cmap\_G}(f)(gb))$   
     $\text{case Right}(hb) \Rightarrow \text{Right}(\text{cmap\_H}(f)(hb))$   
     $\}$
  - ⑤ If  $F[A] = G[A] \Rightarrow H[A]$  then we need `fmap_G` and `cmap_H`  
We define  $\text{cmap\_F}(f)(k: G[B] \Rightarrow H[B]) =$   
     $\text{fmap\_G}(f) \text{ andThen } k \text{ andThen } \text{cmap\_H}(f)$
  - ⑥ If  $F[A] = G[F[A], A]$  then we need `fmap_G1` and `cmap_G2`  
 $\text{cmap\_F}(f) = \text{fmap\_G1}(\text{cmap\_F}(f)) \text{ andThen } \text{cmap\_G2}(f)$
  - ⑦ If  $F[A] = [X] \Rightarrow G[A, X]$  then we need `cmap_G1`  
 $\text{cmap\_F}(f) = k \Rightarrow [X] \Rightarrow \text{cmap\_G1}(f)(k[X])$

## Step 1. Detect covariance and contravariance from types

- The same constructions for `fmap` and `cmap` except for function types
- The function arrow (`=>`) swaps covariant and contravariant positions
- In any fully parametric type expression, each type parameter is either in a covariant position or in a contravariant position

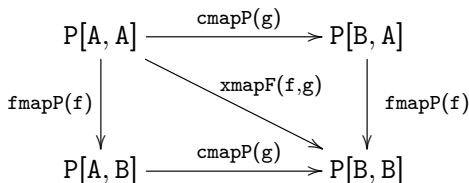
```
type F[A, B] = (A => Either[A, B], A => (B => A) => (A, B))
               -           + +   -           +   -           + +
```

- $F[A, B]$  is covariant w.r.t.  $B$  since  $B$  is always in covariant positions
  - ▶ But  $F[A, B]$  is neither covariant nor contravariant w.r.t.  $A$
  - ▶ We can recognize co(ntra)variance by counting nested function arrows
- Defined in this way, co(ntra)variance is independent of subtyping
- We can generate the code for `fmap` or `cmap` mechanically, from types
- A type expression  $F[A, B, \dots]$  can be analyzed with respect to each of the type parameters separately, and found to be covariant, contravariant, or neither (“invariant”)
- We can write the naturality law for any type signature  $F[A] \Rightarrow G[A]$

# Step 1. “Invariant” type constructors. Profunctors

For “invariant” types, we use a trick: rename contravariant positions

- Example: `type F[A] = Either[A => (A, A), (A, A) => A]`
- Define `type P[X, A] = Either[X => (A, A), (X, X) => A]`
- Then `F[A] = P[A, A]` while `P[X, A]` is contravariant in `X` and covariant in `A`. Such `P[X, A]` are called **profunctors**
- We can implement `cmap` with respect to `X` and `fmap` with respect to `A`  
`def fmapP[X, A, B]: (A => B) => P[X, A] => P[X, B]`  
`def cmapP[X, Y, A]: (X => Y) => P[Y, A] => P[X, A]`
- Then we can compose `cmapP` and `fmapP` to get `xmapF`:  
`def xmapF[A, B]: (A => B, B => A) => P[A, A] => P[B, B] =`  
    `(f, g) => cmapP[A, B, A](g) andThen fmapP[B, A, B](f)`
- What if we compose in another order? A commutativity law holds:



# Step 1. Verifying the functor laws

`fmap` and `cmap` need to satisfy two functor laws

- Identity law:

`fmap(identity) = identity`

`cmap(identity) = identity`

- Composition law: for any `f: A => B` and `g: B => C`,

`fmap(f) andThen fmap(g) = fmap(f andThen g)`

`cmap(g) andThen cmap(f) = cmap(f andThen g)`

- Go through each case and prove that the laws hold

- ▶ Proofs by induction on the type structure

## Step 1. Functor laws: composition law for tuples

- We will prove the composition law for `fmap` in case 3

`fmap_F(f) = { case (ga, ha) => (fmap_G(f)(ga), fmap_H(f)(ha)) }`

For any `f: A => B` and `g: B => C` and values `ga: G[A]`, `ha: H[A]`:

- Apply `fmap_F(f)` and then `fmap_F(g)` to the tuple `(ga, ha)`:

`fmap_F(f)((ga, ha)) == ( fmap_G(f)(ga), fmap_H(f)(ha) )`

`fmap_F(g)((fmap_G(f)(ga), fmap_H(f)(ha)))`  
`== (fmap_G(g)(fmap_G(f)(ga)), fmap_H(g)(fmap_H(f)(ha)))`  
`== ( (fmap_G(f) andThen fmap_G(g))(ga), (fmap_H(f) andThen`  
`fmap_H(g))(ha) )`

- Apply `fmap_F(f andThen g)` to the tuple `(ga, ha)`:

`fmap_F(f andThen g)((ga, ha)) == ( fmap_G(f andThen g)(ga),`  
`fmap_H(f andThen g)(ha) )`

- The law holds for `fmap_F` if it already holds for `fmap_G` and `fmap_H`



## Step 1. Functor laws: composition law for function types

- We will prove the composition law for `cmap` in case 5

`cmap_F(f)(k) == fmap_G(f) andThen k andThen cmap_H(f)`

For any `f: A => B` and `g: B => C` and `kc: G[C] => H[C]`:

Apply `cmap_F(g) andThen cmap_F(f)` to `kc`:

`cmap_F(g)(kc) == fmap_G(g) andThen kc andThen cmap_H(g)`

`cmap_F(f)(fmap_G(g) andThen kc andThen cmap_H(g))`  
`== fmap_G(f) andThen fmap_G(g) andThen kc andThen cmap_H(g)`  
`andThen cmap_H(f)`  
`== fmap_G(f andThen g) andThen kc andThen cmap_H(f andThen g)`

This is the same as `cmap_F(f andThen g)(kc)` by inductive assumption

- The law holds for `cmap_F` if it already holds for `fmap_G` and `cmap_H`

## Step 1. Functor laws: composition law for recursive types

- We will prove the composition law for `fmap` in case 6

`fmap_F(f) = fmap_G1(fmap_F(f)) andThen fmap_G2(f)`

For any `f: A => B` and `g: B => C`:

LHS: `fmap_F(f) andThen fmap_F(g) == fmap_G1(fmap_F(f)) andThen  
fmap_G2(f) andThen fmap_G1(fmap_F(g)) andThen fmap_G2(g)`

RHS: `fmap_F(f andThen g) == fmap_G1(fmap_F(f andThen g)) andThen  
fmap_G2(f andThen g) == fmap_G1(fmap_F(f) andThen fmap_F(g))  
andThen fmap_G2(f) andThen fmap_G2(g) == fmap_G1(fmap_F(f))  
andThen fmap_G1(fmap_F(g)) andThen fmap_G2(f) andThen fmap_G2(g)`

- LHS equals RHS if the commutativity law holds for `G`
- The law holds for `fmap_F` if the composition laws and the commutativity law already hold for `fmap_G1` and `fmap_G2`

# Step 1. Summary

- `fmap` or `cmap` or `xmap` follow from a given type expression  $F[A]$
- The code of `fmap`, `cmap`, `xmap` is always fully parametric and lawful
  - ▶ That is the “standard” code used by all naturality laws
- Consistency of the definition of `xmap` requires a commutativity law
- Functor laws for recursive types require a commutativity law
  - ▶ Those commutativity laws are naturality laws and will be proved later

## Step 2. Motivation for relational parametricity. I. Papers

Parametricity theorem: any fully parametric function satisfies a certain law  
“Relational parametricity” is a powerful method for proving the parametricity theorem and for using it to prove other laws

- Main papers: Reynolds (1983) and Wadler “Theorems for free” (1989)
  - ▶ Those papers are limited in scope and hard to understand
- There are *few* pedagogical tutorials on relational parametricity
  - ▶ “On a relation of functions” by R. Backhouse (1990)
  - ▶ “The algebra of programming” by R. Bird and O. de Moor (1997)
  - ▶ Parametricity tutorial [part 1](#), [part 2](#), [part 3](#) by E. de Vries (2015)
- Here I derive the main results *not* following any of the above
- I will only explain the minimum necessary knowledge and notation

## Step 2. Motivating relational parametricity. II. The difficulty

Naturality laws are formulated via liftings (`fmap`, `cmap`), for example:

```
fmap(f) andThen t == t andThen fmap(f)
```

Cannot lift  $f: A \Rightarrow B$  to  $F[A] \Rightarrow F[B]$  when  $F[_]$  is not covariant!

- For covariant  $F[_]$  we lift  $f: A \Rightarrow B$  to  $\text{fmap}(f): F[A] \Rightarrow F[B]$
- For contravariant  $F[_]$  we lift  $f: A \Rightarrow B$  to  $\text{cmap}(f): F[B] \Rightarrow F[A]$

In general,  $F[_]$  will be neither covariant nor contravariant

- Example: `foldLeft` with respect to type parameter  $A$   

```
def foldLeft[T, A]: List[T] => (T => A => A) => A => A
```
- This is *not* of the form  $F[A] \Rightarrow G[A]$  with  $F[_]$  and  $G[_]$  being both covariant or both contravariant
  - ▶ Because some occurrences of  $A$  are in covariant and contravariant positions together in function arguments, e.g.,  $(T \Rightarrow A \Rightarrow A) \Rightarrow \dots$
- What law (similar to a naturality law) does `foldLeft` obey with respect to the type parameter  $A$ ?
- We need to formulate a more general naturality law that applies to all type constructors  $F[A]$ , not necessarily covariant nor contravariant

## Step 2. Motivating relational parametricity. III. The solution

The difficulty is resolved using three nontrivial ideas:

- 1 Generalize functions  $f: A \Rightarrow B$  to binary relations  $r: A \Leftrightarrow B$ 
  - ▶ The **graph** relation:  $(a, b)$  in  $\text{graph}(f)$  means  $f(a) == b$
  - ▶ Relations are more general than functions, can be many-to-many
  - ▶ Instead of  $f(a) == b$ , we will write  $(a, b)$  in  $r$
- 2 It is *a/lways* possible to lift  $r: A \Leftrightarrow B$  to  $\text{rmap}(r): F[A] \Leftrightarrow F[B]$
- 3 Reformulate the naturality law of  $t$  via relations: for any  $r: A \Leftrightarrow B$ ,

$$\begin{array}{ccc} F[A] & \xrightarrow{t[A]} & G[A] \\ \updownarrow \text{rmap}(r) \text{ for } F & & \updownarrow \text{rmap}(r) \text{ for } G \\ F[B] & \xrightarrow{t[B]} & G[B] \end{array}$$

To read the diagram: the starting values are on the left

For any  $r: A \Leftrightarrow B$ , for any  $fa: F[A]$  and  $fb: F[B]$  such that

$(fa, fb)$  in  $\text{rmap}_F(r)$ , we require  $(t(fa), t(fb))$  in  $\text{rmap}_G(r)$

The relational naturality law will reduce to the ordinary naturality laws when  $F[_]$ ,  $G[_]$  are both co(ntra)variant and  $r = \text{graph}(f)$  for any  $f: A \Rightarrow B$

## Step 2. Formulating naturality laws via relations

Ordinary naturality law of  $t[A] : F[A] \Rightarrow G[A]$

$$\begin{array}{ccc} F[A] & \xrightarrow{t[A]} & G[A] \\ \text{fmap}_F(f) \downarrow & & \downarrow \text{fmap}_G(f) \\ F[B] & \xrightarrow{t[B]} & G[B] \end{array}$$

$\forall fa: F[A], fb: F[B]$  if  $fa.map(f) == fb$  then  $t(fa).map(f) == t(fb)$   
Rewrite this via relations: For all  $fa: F[A], fb: F[B]$ , when  $(fa, fb)$  in  $graph(fmap\_F(f))$  then  $(t(fa), t(fb))$  in  $graph(fmap\_G(f))$

We expect:  $graph(fmap(f)) == rmap(graph(f))$ , replace  $graph(f)$  by  $r$ :  
when  $(fa, fb)$  in  $rmap\_F(graph(f))$  then  $(t(fa), t(fb))$  in  $rmap\_G(graph(f))$

when  $(fa, fb)$  in  $rmap\_F(r)$  then  $(t(fa), t(fb))$  in  $rmap\_G(r)$

$$\begin{array}{ccc} F[A] & \xrightarrow{t[A]} & G[A] \\ rmap\_F(r) \updownarrow & & \updownarrow rmap\_G(r) \\ F[B] & \xrightarrow{t[B]} & G[B] \end{array}$$

## Step 3. Definition of relations. Examples

In the terminology of relational databases:

- A relation  $r: A \Leftrightarrow B$  is a table with 2 columns ( $A$  and  $B$ )
- A row  $(a: A, b: B)$  means that the value  $a$  is related to the value  $b$

Mathematically speaking: a relation  $r: A \Leftrightarrow B$  is a subset  $r \subset A \times B$

- We write  $(a, b)$  in  $r$  to mean  $a \times b \in r$  where  $a \in A$  and  $b \in B$

Relations can be many-to-many while functions  $A \Rightarrow B$  are many-to-one  
A function  $f: A \Rightarrow B$  generates the **graph** relation  $\text{graph}(f): A \Leftrightarrow B$

- Two values  $a: A, b: B$  are in  $\text{graph}(f)$  if  $f(a) == b$
- $\text{graph}(\text{identity}: A \Rightarrow A)$  gives an **identity relation**  $\text{id}: A \Leftrightarrow A$

Example of a relation that can be many-to-many: given any  $f: A \Rightarrow C$  and  $g: B \Rightarrow C$ , define the **pullback relation**:  $\text{pull}(f, g): A \Leftrightarrow B$ ;

$(a: A, b: B)$  in  $\text{pull}(f, g)$  means  $f(a) == g(b)$

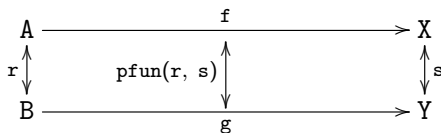
- The pullback relation is *not* the graph of a function  $A \Rightarrow B$  or  $B \Rightarrow A$



## Step 3. Relational combinators: pprod, psum, pfun, rev

Given two relations  $r: A \Leftrightarrow B$  and  $s: X \Leftrightarrow Y$ , we define new relations:

- Pair product:  $\text{pprod}(r, s)$  of type  $(A, X) \Leftrightarrow (B, Y)$   
 $((a, x), (b, y))$  in  $\text{pprod}(r, s)$  means  $(a, b)$  in  $r$  and  $(x, y)$  in  $s$
- Pair co-product:  $\text{psum}(r, s)$  of type  $\text{Either}[A, X] \Leftrightarrow \text{Either}[B, Y]$   
 $(\text{Left}(a), \text{Left}(b))$  in  $\text{psum}(r, s)$  if  $(a, b)$  in  $r$   
 $(\text{Right}(x), \text{Right}(y))$  in  $\text{psum}(r, s)$  if  $(x, y)$  in  $s$
- Pair function mapper:  $\text{pfun}(r, s)$  of type  $(A \Rightarrow X) \Leftrightarrow (B \Rightarrow Y)$   
 $(f, g)$  in  $\text{pfun}(r, s)$  means when  $(a, b)$  in  $r$  then  $(f(a), g(b))$  in  $s$



- Reverse:  $\text{rev}(r)$  has type  $B \Leftrightarrow A$   
 $(b, a)$  in  $\text{rev}(r)$  means the same as  $(a, b)$  in  $r$

## Step 4. The relational lifting (`rmap`)

For a type constructor  $F$  and  $r: A \Leftrightarrow B$ , need  $\text{rmap\_F}(r): F[A] \Leftrightarrow F[B]$

Define  $\text{rmap\_F}$  for  $F[A]$  by induction on the *type expression* of  $F[A]$

A fully parametric type  $F[A]$  must be built up via these seven cases:

- ①  $F[A] = \text{Unit}$  or  $F[A] = K$  (a fixed type):  $\text{rmap\_F}(r) = \text{id}$
- ②  $F[A] = A$ : define  $\text{rmap\_F}(r) = r$
- ③  $F[A] = (G[A], H[A])$ :  $\text{rmap\_F}(r) = \text{pprod}(\text{rmap\_G}(r), \text{rmap\_H}(r))$
- ④  $F[A] = \text{Either}[G[A], H[A]]$ :  
 $\text{rmap\_F}(r) = \text{psum}(\text{rmap\_G}(r), \text{rmap\_H}(r))$
- ⑤  $F[A] = G[A] \Rightarrow H[A]$ :  $\text{rmap\_F}(r) = \text{pfun}(\text{rmap\_G}(r), \text{rmap\_H}(r))$
- ⑥ Recursive type:  $F[A] = G[A, F[A]]$ :  
 $\text{rmap\_F}(r) = \text{rmap2\_G}(r, \text{rmap\_F}(r))$  – recursive definition of  $\text{rmap\_F}$
- ⑦ Universally quantified type:  $F[A] = [X] \Rightarrow G[A, X]$ :  
 $\text{rmap\_F}(r) = \forall(X, Y). \forall(s: X \Leftrightarrow Y). \text{rmap2\_G}(r, s)$ 
  - The inductive assumption is that liftings to  $G$  and  $H$  are already defined
  - $\text{rmap\_F}$  translates the type expression  $F[A]$  into relational combinators

We will define  $\text{rmap2}$  in a similar way

## Step 4. Simultaneous relational lifting (rmap2)

For a type constructor  $F[_]$  and  $r: A \leq B$ ,  $s: P \leq Q$ , we define  $\text{rmap2\_F}(r, s): F[A, P] \leq F[B, Q]$  by induction on the type  $F[A, P]$

- ①  $F[A, P] = K$  (a fixed type):  $\text{rmap2\_F}(r, s) = \text{id}$
- ② If  $F[A, P] = A$  then  $\text{rmap2\_F}(r, s) = r$   
If  $F[A, P] = P$  then  $\text{rmap2\_F}(r, s) = s$
- ③  $F[A, P] = (G[A, P], H[A, P])$ :  
 $\text{rmap2\_F}(r, s) = \text{pprod}(\text{rmap2\_G}(r, s), \text{rmap2\_H}(r, s))$
- ④  $F[A, P] = \text{Either}[G[A, P], H[A, P]]$ :  
 $\text{rmap2\_F}(r, s) = \text{psum}(\text{rmap2\_G}(r, s), \text{rmap2\_H}(r, s))$
- ⑤  $F[A, P] = G[A, P] \Rightarrow H[A, P]$ :  
 $\text{rmap2\_F}(r, s) = \text{pfun}(\text{rmap2\_G}(r, s), \text{rmap2\_H}(r, s))$
- ⑥ Recursive type:  $F[A, P] = G[A, P, F[A, P]]$ :  
 $\text{rmap2\_F}(r, s) = \text{rmap3\_G}(r, s, \text{rmap2\_F}(r, s))$
- ⑦ Universally quantified type:  $F[A, P] = [X] \Rightarrow G[A, P, X]$ :  
 $\text{rmap2\_F}(r, s) = \forall(X, Y). \forall(t: X \leq Y). \text{rmap3\_G}(r, s, t)$ 
  - The inductive assumption is that liftings to  $G$  and  $H$  are already defined

Actually, we need to define  $\text{rmap}$ ,  $\text{rmap2}$ ,  $\text{rmap3}$ ,  $\text{rmap4}$ , ..., all at once  
This is not a problem:  $F[_]$  is finitely long, so the induction will stop

## Step 4. Example: `rmap` for a covariant type constructor

Consider  $P[A] = R \Rightarrow (A, A)$  where  $R$  is a fixed type

Compare `fmap_P` and `rmap_P` defined via the inductive definitions

Case 5:  $P[A] = G[A] \Rightarrow H[A]$  with  $G[A] = R$  (case 1),  $H[A] = (A, A)$

Case 3:  $H[A] = (K[A], L[A])$  with  $K[A] = A$ ,  $L[A] = A$  (case 2)

For `fmap_P`:

```
fmap_P(f)(p) = cmap_G(f) andThen p andThen fmap_H(f)
```

```
fmap_H(f) = { case (k, l) => (fmap_K(f)(k), fmap_L(f)(l)) }
```

```
cmap_G(f) = identity; fmap_K(f) = f; fmap_L(f) = f
```

```
fmap_P(f)(p) = p andThen { case (k, l) => (f(k), f(l)) }
```

For `rmap_P`:

```
rmap_P(r) = pmap(rmap_G(r), rmap_H(r)) = pmap(id, rmap_H(r))  
           = pmap(id, pprod(rmap_K(r), rmap_L(r))) = pmap(id, pprod(r, r))
```

Two values  $(p: P[A], q: P[B])$  are in `rmapP(r)` if for  $\forall x: R, y: R$ , when  $(x, y)$  in `id` then  $(p(x), q(x))$  in `pprod(r, r)` or equivalently:

for any  $x: R$ ,  $(p(x)._1, q(x)._1)$  in `r` and  $(p(x)._2, q(x)._2)$  in `r`

Choose `r = graph(f)` and get for any  $x: R$ : `f(p(x)._1) == q(x)._1` and `f(p(x)._2) == q(x)._2`

This is the same as `q == fmap_P(f)(p)` or `(p, q) in graph(fmap_P(f))`

## Step 4. Example: rmap for function types

Compare `fmap` and `rmap` for function types:  $(F[A] = G[A] \Rightarrow H[A])$

To rewrite `fmap_F` via relations, introduce intermediate arguments

Choose any values  $p: G[A] \Rightarrow H[A]$  and  $f: A \Rightarrow B$

Define  $q = \text{fmap\_F}(f)(p) = (gb: G[B]) \Rightarrow \text{fmap\_H}(f)(p(\text{cmap\_G}(f)(gb)))$

Rewrite this via relations:  $(p, q) \text{ in } \text{graph}(\text{fmap\_F}(f))$  means:

for all  $gb: G[B]$  we must have  $q(gb) = \text{fmap\_H}(f)(p(\text{cmap\_G}(f)(gb)))$

Define  $ga: G[A] = \text{cmap\_G}(f)(gb)$ , then:  $q(gb) = \text{fmap\_H}(f)(p(ga))$

But  $ga = \text{cmap\_G}(f)(gb)$  means  $(ga, gb) \text{ in } \text{rev}(\text{graph}(\text{cmap\_G}(f)))$

So, the relational formulation of `fmap_F` is:

$(p, q) \text{ in } \text{graph}(\text{fmap\_F}(f))$  means for all  $ga: G[A], gb: G[B]$  when

$(ga, gb) \text{ in } \text{rev}(\text{graph}(\text{cmap\_G}(f)))$  then:

$(p(ga), q(gb)) \text{ in } \text{graph}(\text{fmap\_H}(f))$

Replace  $\text{graph}(f)$  by an arbitrary relation  $r: A \Leftrightarrow B$ ; replace

$\text{graph}(\text{fmap\_F}(f))$  by  $\text{rmap\_F}(r)$ ;  $\text{rev}(\text{graph}(\text{cmap\_G}(f)))$  by  $\text{rmap\_G}(r)$

Then we get:  $(p, q) \text{ in } \text{rmap}(r)$  means for all  $ga: G[A], gb: G[B]$  when

$(ga, gb) \text{ in } \text{rmap\_G}(r)$  then  $(p(ga), q(gb)) \text{ in } \text{rmap\_H}(r)$

This is the same as  $(p, q) \text{ in } \text{pfun}(\text{rmap\_G}(r), \text{rmap\_H}(r))$

## Step 4. Example: `rmap` for non-covariant type constructors

Consider some type constructors of different complexity:

- If  $F[A]$  is covariant: `rmap(graph(f)) == graph(fmap(f))`
- If  $F[A]$  is contravariant: `rmap(graph(f)) == rev(graph(cmap(f)))`
- If  $G[A] = A \Rightarrow A$  then `(ga, gb) in rmap(graph(f))` means:

when `(a, b) in graph(f)` then `(ga(a), gb(b)) in graph(f)`

or: `f(ga(a)) == gb(f(a))` or: `ga andThen f == f andThen gb`

This relation between `ga` and `gb` has the form of a pullback

- If  $H[A] = (A \Rightarrow A) \Rightarrow A$  then `(ha, hb) in rmap_H(graph(f))` is:

when `(p, q) in rmap_G(graph(f))` then `(ha(p), hb(q)) in graph(f)`

equivalently: if `p andThen f == f andThen q` then `f(ha(p)) == hb(q)`

This is *not* in the form of a pullback relation: cannot express `p` through `q`

- This happens for sufficiently complicated type constructors
- It is hard to use relations that are neither a graph nor a pullback

## Example: applying relational naturality to $[A] \Rightarrow A \Rightarrow A$

Example: `def t[A]: A => A = ... // Fully parametric.`

- The value `t` has type  $[A] \Rightarrow A \Rightarrow A$
- Denote  $P[A] = A \Rightarrow A$

The relational naturality law says:

- For any types  $A$  and  $B$ , and for any relation  $r: A \Leftrightarrow B$ , we have:

$(t[A], t[B])$  in  $\text{rmap\_P}(r)$

For the type  $P[A] = A \Rightarrow A$  we have:

$\text{rmap\_P}(r): (A \Rightarrow A) \Leftrightarrow (B \Rightarrow B)$

$\text{rmap\_P}(r) = \text{pfun}(r, r)$

- $(t[A], t[B])$  in  $\text{pfun}(r, r)$  means:  
for any  $a: A, b: B$ , if  $(a, b)$  in  $r$  then  $(t(a), t(b))$  in  $r$

Trick: choose  $r: A \Leftrightarrow A$  such that  $(a, b)$  in  $r$  only if  $a == b == a_0$

- Whenever  $a == b == a_0$  then  $t(a) == t(b) == a_0$
- So,  $t(a_0) == a_0$  for any fixed  $a_0: A$ 
  - It means that `t` must be an identity function

## Step 5. Preparing to prove the relational naturality law

Instead of proving relational properties for  $t[A] : P[A] \Rightarrow Q[A]$ , use the function type and the quantified type constructions and get:

- Any fully parametric  $t[A] : F[A]$  satisfies for any  $r : A \Leftrightarrow B$  the relation  $(t[A], t[B]) \text{ in } \text{rmap\_F}(r)$

It is convenient to prove the relational law when  $t$  has a free variable:

- Any fully parametric expression  $t[A](z) : Q[A]$  with  $z : P[A]$  satisfies, for any relation  $r : A \Leftrightarrow B$  and for any  $z1 : P[A], z2 : P[B]$ , the law: if  $(z1, z2) \text{ in } \text{rmap\_P}(r)$  then  $(t[A](z1), t[B](z2)) \text{ in } \text{rmap\_Q}(r)$
- Equivalently:  $(t[A], t[B]) \text{ in } \text{pfun}(\text{rmap\_P}(r), \text{rmap\_Q}(r))$

This applies to expressions containing *one* free variable ( $z$ )

- Any number of free variables can be grouped into a tuple



## Step 5. Outline of the proof of the relational naturality law

The theorem says that  $t[A](z)$  satisfies its relational naturality law

Proof goes by induction on the structure of the code of  $t[A](z)$

At the top level,  $t[A](z)$  must have one of the 9 code constructions

Each construction decomposes the code of  $t[A](z)$  into sub-expressions

The inductive assumption is that the theorem holds for all sub-expressions and for the free variable  $z$

In each inductive case, we choose arbitrary  $z1: P[A]$ ,  $z2: P[B]$  such that  $(z1, z2) \text{ in } \text{rmap\_P}(r)$

## Step 5. The first four cases of the proof

- 1 Constant type:  $t[A](z) = c$  where  $c: C$  has a fixed type  $C$ :
  - We have  $\text{rmap\_P}(r) == \text{id}$  and  $(c, c) \text{ in id}$  holds
- 2 Use argument:  $t[A](z) = z$  where  $z$  and  $t[A]$  have type  $P[A]$ :
  - If  $(z1, z2) \text{ in rmap\_P}(r)$  then  $(t(z1), t(z2)) \text{ in rmap\_P}(r)$
- 3 Create function:  $t(z) = h \Rightarrow s(z, h)$  where we assume  $h: H[A]$  and  $s(z, h): S[A]$ 
  - If  $(z1, z2) \text{ in rmap\_P}(r)$  and  $(h1, h2) \text{ in rmap\_H}(r)$  then  $(s(z1, h1), s(z2, h2)) \text{ in rmap\_S}(r)$ 
    - This is the same as the inductive assumption for  $s(z, h)$
- 4 Use function:  $t(z) = g(z)(h(z))$  where  $g(z): H[A] \Rightarrow Q[A]$  and  $h(z): H[A]$  are sub-expressions:
  - If  $(z1, z2) \text{ in rmap\_P}(r)$  then the inductive assumption says:  
 $(h(z1), h(z2)) \text{ in rmap\_H}(r)$
  - If  $(h1, h2) \text{ in rmap\_H}(r)$  then the inductive assumption says:  
 $(g(z1)(h1), g(z2)(h2)) \text{ in rmap\_Q}(r)$
  - Therefore  $(t[A](z1), t[B](z2)) \text{ in rmap\_Q}(r)$

## Step 5. The next three cases of the proof

5 Create tuple:  $t[A](z) = (u(z), v(z))$  where  $u(z): U[A]$ ,  $v(z): V[A]$   
Need  $(t[A](z1), t[B](z2))$  in  $rmap\_Q(r)$  where  $Q[A] = (U[A], V[A])$

- As  $rmap\_Q(r) = pprod(rmap\_U(r), rmap\_V(r))$ , we have  $(t[A](z1), t[B](z2))$  in  $rmap\_Q(r)$  when  $(u(z1), u(z2))$  in  $rmap\_U(r)$  and  $(v(z1), v(z2))$  in  $rmap\_V(r)$ , which hold by inductive assumptions

6 Use tuple:  $t[A](z) = g[A](z)._1$  with  $g[A](z): G[A] = (Q[A], R[A])$

- By inductive assumption,  $(g(z1), g(z2))$  in  $rmap\_G(r)$  while we have  $rmap\_G(r) = pprod(rmap\_Q(r), rmap\_R(r))$ , so we get  $(g(z1)._1, g(z2)._1)$  in  $rmap\_Q(r)$  as required
- The case  $t[A](z) = g[A](z)._2$  is proved similarly

7 Create a co-product:  $t[A](z) = Left[G[A], H[A]](g[A](z))$

Here we set  $Q[A] = Either[G[A], H[A]]$  and  $g[A](z): G[A]$

By the inductive assumption,  $(g(z1), g(z2))$  in  $rmap\_G(r)$  and then:  
 $(Left(g(z1)), Left(g(z2)))$  in  $rmap\_Q(r)$

- The case  $t[A](z) = Right[G[A], H[A]](g[A](z))$  is proved similarly

## Step 5. The last two cases of the proof

8 Use a co-product (pattern-matching):

```
t(z) = s(z) match {  
  case Left(x) => u(z)(x)  
  case Right(y) => v(z)(y)  
}
```

- We set  $S[A] = \text{Either}[G[A], H[A]]$ ,  $s(z): S[A]$ ,  $x: G[A]$ ,  $y: H[A]$ ,  $u(z): G[A] \Rightarrow Q[A]$ , and  $v(z): H[A] \Rightarrow Q[A]$
- Inductive assumptions:  $s(z)$ ,  $u(z)$ ,  $v(z)$  already satisfy the law
- if  $(z1: P[A], z2: P[B])$  in  $\text{rmap\_P}(r)$  and  $(x1: G[A], x2: G[B])$  in  $\text{rmap\_G}(r)$  then  $u(z1)(x1), u(z2)(x2)$  in  $\text{rmap\_Q}(r)$
- $(s[A](z1), s[B](z2))$  in  $\text{rmap\_S}(r) = \text{psum}(\text{rmap\_G}(r), \text{rmap\_H}(r))$  means  $s(z1), s(z2)$  are both in `Left` or both in `Right`

If  $s(z1) = \text{Left}(x1)$ ,  $s(z2) = \text{Left}(x2)$  then  $(x1, x2)$  in  $\text{rmap\_G}(r)$  and  $(u(z1)(x1), u(z2)(x2))$  in  $\text{rmap\_Q}(r)$

- The case when both  $s(z1), s(z2)$  are in `Right` is proved similarly

9 Recursive call:  $t(z) = f(z)(t(z))$  where  $f(z): Q[A] \Rightarrow Q[A]$

Inductive assumptions: the law holds for  $f(z)$  and for the recursive  $t(z)$

- Then  $t(z)$  satisfies the law because of the “use function” rule

## Step 6. From relational naturality to the wedge law

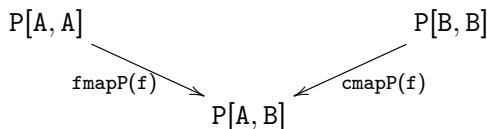
Based on Bartosz Milewski's blog post: [The Free Theorem for Ends](#) (2017)

Given:

- a function  $f: A \Rightarrow B$
- a fully parametric profunctor  $P[X, Y]$  with methods `cmapP` and `fmapP`:
  - ▶  $\text{cmapP}[X, Y, B]: (X \Rightarrow Y) \Rightarrow P[Y, B] \Rightarrow P[X, B]$
  - ▶  $\text{fmapP}[X, A, B]: (A \Rightarrow B) \Rightarrow P[X, A] \Rightarrow P[X, B]$
- a fully parametric value (without free variables)  $t: [A] \Rightarrow P[A, A]$

Then we will prove that the wedge law holds:

- $\text{fmapP}[A, A, B](f)(t[A]) == \text{cmapP}[A, B, B](f)(t[B])$



- Expressed via  $\text{xmapP}(f, g) = \text{cmapP}(g) \text{ andThen } \text{fmapP}(f)$ :  
 $\text{xmapP}(f, \text{id})(t[A]) == \text{xmapP}(\text{id}, f)(t[B])$ 
  - ▶ We do *not* need to assume the commutativity law for `xmapP`

## Step 6. From relational naturality to the wedge law

The relational naturality law holds for `xmapP`:

`xmapP[A, B, X, Y]: (A => B, X => Y) => P[Y, A] => P[X, B]`

For any types `A, A', B, B', X, X', Y, Y'`, and for any relations `p: A <=> A'`, `q: B <=> B'`, `r: X <=> X'`, `s: Y <=> Y'` and for any values `f: A => B`, `f': A' => B'`, `g: X => Y`, `g': X' => Y'`, `v: P[Y, A]`, `v': P[Y', A']` such that  $(f, f')$  in `pfun(p, q)` and  $(g, g')$  in `pfun(r, s)` and  $(v, v')$  in `rmap2_P(s, p)` we will have:

`(xmapP(f, g)(v), xmapP(f', g')(v')) in rmap2_P(r, q)`

We need to get the equation `xmapP(f, id)(t[A]) == xmapP(id, f)(t[B])`

This means we need `rmap2_P(r, q)` to be an *identity* relation

Choose `r = id: X <=> X` and `q = id: B <=> B` (here `X' = X`, `B' = B`) and obtain `rmap2_P(r, q) = id` (of type `P[X, B] <=> P[X, B]`)

- This is a version of the “identity extension lemma” of Reynolds
  - ▶ Prove it by induction over the cases in the definition of `rmap2`
  - ▶ Also need to prove that `rmap2_F(r, id) = rmap_G(r)` etc.
- For the case `P[X, A] = [Y] => Q[X, A, Y]` we need to assume full parametricity for values in the relation `rmap2_P(id, id)`

## Step 6. From relational naturality to the wedge law

$\text{xmapP}[A, B, X, Y]: (A \Rightarrow B, X \Rightarrow Y) \Rightarrow P[Y, A] \Rightarrow P[X, B]$

We have:  $\text{xmapP}(f, g)(v) == \text{xmapP}(f', g')(v')$

We need:  $\text{xmapP}(f, \text{id})(t[A]) == \text{xmapP}(\text{id}, f)(t[B])$

Choose values as  $f' = \text{id}, g = \text{id}, g' = f, v = t[A], v' = t[B]$

Choose types as  $A' = B = B' = Y', A = X = X' = Y$

The relational naturality law of  $\text{xmapP}$  also requires us to have:

- $(f, f') \text{ in } \text{pfun}(p, q)$  – this is  $(f, \text{id}) \text{ in } \text{pfun}(p, \text{id})$  – for any  $(x: A, y: B) \text{ in } p$  we need  $f(x) == y$  – this holds if  $p = \text{graph}(f)$
- $(g, g') \text{ in } \text{pfun}(r, s)$  – this is  $(\text{id}, f) \text{ in } \text{pfun}(\text{id}, s)$  – for any  $x: A$  we need  $(x, f(x)) \text{ in } s$  – this holds if  $s = \text{graph}(f)$
- $(v, v') \text{ in } \text{rmap2\_P}(s, p)$  – this is  $(t[A], t[B]) \text{ in } \text{rmap2\_P}(s, p)$  – when  $s = p$ , this is the relational naturality law of  $t$  if formulated for the type signature  $t[A]: P[A, A]$
- Need to prove:  $\text{rmap2\_P}(p, p) = \text{rmap\_F}(p)$  where  $F[A] = P[A, A]$ 
  - ▶ Prove it by induction over the cases in the definition of  $\text{rmap2}$
  - ▶ Also need to prove that  $\text{rmap3}(p, p, r) = \text{rmap2}(p, r)$  etc.

With these choices, the relational naturality law reduces to the wedge law

## Step 6. From the wedge law to naturality laws

- For type signatures  $G[A] \Rightarrow H[A]$  where both  $G$  and  $H$  are covariant:

Define  $P[X, Y] = G[X] \Rightarrow H[Y]$ , take any fully parametric  $t[A]: P[A, A]$

The wedge law of  $t$  is:  $fmapP(f)(t[A]) == cmapP(f)(t[B])$

For any  $f: A \Rightarrow B$ , we have:  $fmapP(f)(t[A]) = t[A] \text{ andThen } fmapH(f)$   
and  $cmapP(f)(t[B]) = fmapG(f) \text{ andThen } t[B]$

The wedge law gives:  $t[A] \text{ andThen } fmapH(f) == fmapG(f) \text{ andThen } t[B]$

- This is exactly the naturality law of  $t$

Similarly, the naturality law follows when  $G$  and  $H$  are both contravariant



# Advanced applications. I. Beyond Yoneda

- Consider the type  $[A] \Rightarrow (A \Rightarrow A) \Rightarrow \text{Either}[E, A]$ 
  - ▶ The Yoneda identities do not apply to that type signature
  - ▶  $P[A] = (A \Rightarrow A) \Rightarrow \text{Either}[E, A]$  does not have naturality laws
  - ▶ The wedge law holds but does not give enough information
- Write the relational naturality law of  $p[A]: P[A]$
- For any relation  $r: A \Leftrightarrow B$ , for any  $p: P[A]$  and  $q: P[B]$ , we must have  $(p, q) \text{ in } \text{rmap\_P}(r)$
- The relational lifting:  $\text{rmap\_P}(r) = \text{rfun}(\text{rfun}(r, r), \text{rsum}(\text{id}, r))$
- For any  $k: A \Rightarrow A$ ,  $l: B \Rightarrow B$ , if  $(k, l) \text{ in } \text{rfun}(r, r)$  then we must have  $(p(k), q(l)) \text{ in } \text{rsum}(\text{id}, r)$
- Compute the liftings for  $r = \emptyset$  (an **empty relation** of type  $A \Leftrightarrow B$ )
- $(k, l) \text{ in } \text{rfun}(\emptyset, \emptyset)$  means: for any  $a: A$ ,  $b: B$ , if  $(a, b) \text{ in } \emptyset$  then  $(k(a), l(b)) \text{ in } \emptyset$
- This holds for *all*  $k$  and  $l$  because there are no  $(a, b) \text{ in } \emptyset$
- The law becomes: for any  $k: A \Rightarrow A$ ,  $l: B \Rightarrow B$ , we must have either  $p(k) == q(l) == \text{Left}(e)$  with some  $e: E$ , or  $p(k) == \text{Right}(x)$ ,  $q(l) == \text{Right}(y)$  and  $(x, y) \text{ in } \emptyset$
- $p$  and  $q$  must be equal constant functions returning  $\text{Left}(e)$

We have proved:  $E \cong [A] \Rightarrow (A \Rightarrow A) \Rightarrow \text{Either}[E, A]$

## Advanced applications. II. Church encoding

- Define recursive types by induction:  $T \cong S[T]$  with *covariant*  $S[_]$
- The isomorphism is given by `fix: S[T] => T` and `unfix: T => S[T]`
- `fix andThen unfix == identity; unfix andThen fix == identity`
- Example:  $T = \text{List}[R]$ , so  $T \cong S[T]$  with  $S[A] = \text{Option}[(R, A)]$
- Church encoding:  $CT = [A] \Rightarrow (S[A] \Rightarrow A) \Rightarrow A$  (fully parametric)
- With Scala 2 traits: `trait CT { def fold[A](fix: S[A] => A): A }`

Intuition about the types  $CT$  and  $S[A] \Rightarrow A$ : consider  $T = \text{List}[R]$

- A function of type  $S[A] \Rightarrow A$  is equivalent to: 

```
{  
  case None => (aFixedValue: A)  
  case Some((r, a)) => (computeNext(r, a): A)  
}
```

- The data in  $S[A] \Rightarrow A$  is equivalent to the type  $(A, (R, A) \Rightarrow A)$
- These are exactly the *argument data* of the `List`'s `foldLeft` function  
`foldLeft[A]: (S[A] => A) => A`

Intuition: we can create a value of type  $CT$  only if we have a list (of type `List[R]`) that we can then fold using any “fold data”  $(A, (R, A) \Rightarrow A)$

## Advanced applications. II. Church encoding

The type `CT` is the least fixpoint of the equation  $CT \cong S[CT]$

- See Wadler's paper “Recursive types for free” (1990)

```
def fix(sct: S[CT]): [A] => (S[A] => A) => A =  
  [A] => saa => saa(sct.map(ct => ct[A](saa)))  
def unfix(ct: CT): S[CT] = ct[S[CT]](fmap_S(fix))
```

- Relational law of `ct: CT` is: for any  $r: A \leq B$ ,  $p: S[A] \Rightarrow A$ ,  $q: S[B] \Rightarrow B$  such that (for any  $sa: S[A]$ ,  $sb: S[B]$  if  $(sa, sb)$  in  $rmap\_S(r)$  then  $(p(sa), q(sb))$  in  $r$ ) we will have  $(ct[A](p), ct[B](q))$  in  $r$ 
  - Choose  $r = \text{graph}(f)$  with an arbitrarily chosen  $f: A \Rightarrow B$
  - Then the relational law says: for any  $p: S[A] \Rightarrow A$ ,  $q: S[B] \Rightarrow B$ , when  $p$  and  $f == fmap\_S(f)$  and  $q$  then we will have  $f(ct[A](p)) == ct[B](q)$

$$\begin{array}{ccc} S[A] & \xrightarrow{p} & A \\ \text{fmap\_S}(f) \downarrow & & \downarrow f \\ S[B] & \xrightarrow{q} & B \end{array}$$

- Can prove the isomorphism directly via that law; instead use a trick

## Advanced applications. II. Church encoding

The trick is first to prove the “initial algebra” property:

For any “fold data”  $q: S[B] \Rightarrow B$  there is a *unique*  $c(q): CT \Rightarrow B$  such that `fix andThen c(q) == fmap_S(c(q)) andThen q`

$$\begin{array}{ccc} S[CT] & \xrightarrow{\text{fix}} & CT \\ \text{fmap\_S}(c(q)) \downarrow & & \downarrow c(q) \\ S[B] & \xrightarrow{q} & B \end{array}$$

The code: `def c[B](q: S[B] => B)(ct: CT): B = ct[B](q)`

- With that code,  $c(q)$  satisfies the diagram: for any  $sct: S[CT]$ ,  $c(q)(\text{fix}(sct)) == q(sct.\text{map}(c(q)))$  ?  
 $\text{fix}(sct)(q) == q(sct.\text{map}(ct \Rightarrow ct(q)))$  by definition of `fix`
- Use the law with  $p = \text{fix}$ ,  $f = c(q)$  to get  $c(q)(ct(\text{fix})) == ct(q)$ 
  - ▶ Equivalently  $ct(\text{fix})(q) == ct(q)$  for any  $q$ , so  $ct(\text{fix}) == ct$
- Use the law with  $p = \text{fix}$  and *any*  $f$  to get  $f(ct(\text{fix})) == ct(q)$ 
  - ▶ So, any  $f: CT \Rightarrow B$  satisfies  $f(ct) == ct(q)$ , so  $f == c(q)$

## Advanced applications. II. Church encoding

- To prove the isomorphism properties, use another trick:

Consider  $\text{fmap\_S}(\text{fix}): S[S[CT]] \Rightarrow S[CT]$  as “fold data” for  $S[CT]$

The corresponding unique function  $u: CT \Rightarrow S[CT]$  is  $u(ct) = ct(\text{fmap\_S}(\text{fix})) = \text{unfix}(ct)$  and so  $\text{unfix}$  satisfies  $\text{fix andThen unfix} == \text{fmap\_S}(\text{unfix}) \text{ andThen fmap\_S}(\text{fix}) == \text{fmap\_S}(\text{unfix andThen fix})$ . Then consider  $\text{fix}: S[CT] \Rightarrow CT$  as “fold data”; the corresponding unique function of type  $CT \Rightarrow CT$  is identity since  $ct(\text{fix}) == ct$

But we also have a function  $i = \text{unfix andThen fix}$  of type  $CT \Rightarrow CT$  satisfying  $\text{fix andThen i} == \text{fmap\_S}(i) \text{ andThen fix}$  because:

$\text{fix andThen unfix andThen fix} ==$   
 $\text{fmap\_S}(\text{unfix andThen fix}) \text{ andThen fix}$

By uniqueness, we must have  $i == \text{identity}$

It follows that  $\text{unfix andThen fix} == \text{identity}$  and  
 $\text{fix andThen unfix} = \text{fmap\_S}(i) = \text{identity}$

- We proved the isomorphism  $CT \cong S[CT]$ , so  $CT$  is a fixpoint
- $CT$  is the “least fixpoint”: for any other fixpoint  $T \cong S[T]$  there is a unique map  $CT \Rightarrow T$  that preserves the fixpoint structures of  $CT$  and  $T$

## Advanced applications. III. A third-order function

- Define `type F[K] = [A] => ((A => Option[K]) => A) => A`
  - This is an attempt to apply the Church encoding to the recursive type definition  $T \cong T \Rightarrow \text{Option}[K]$
  - That recursive type has the form  $T \cong S[T]$  with a *contravariant*  $S[_]$
- We will prove that  $F[K] \cong \text{Option}[K]$

- Define isomorphisms `in` and `out`:

```
def in[A](optK: Option[K]): ((A => Option[K]) => A) => A =  
  (p: (A => Option[K]) => A) => p(_ => optK)  
def out(h: [A] => ((A => Option[K]) => A) => A): Option[K] =  
  h[Option[K]] { t: (Option[K] => Option[K]) => t(None) }
```

- We need to prove that `out(in(optK)) == optK` and `in(out(h)) == h`

First: `out(in(optK)) == out(p => p(_ => optK)) ==`

`(t => t(None))(_ => optK) == (_ => optK)(None) == optK`

Second: `in(out(h)) == in(h[Option[K]](t => t(None))) ==`

`{ p => p(_ => h[Option[K]](t => t(None))) }`

But we expected `in(out(h)) == h == { p => h(p) }` instead of that!

- Need a law for `h` saying that `h(p)` *must* apply `p` to a constant function:  
`h[A](p) == p(_ => h[Option[K]](t => t(None)))`

## Advanced applications. III. A third-order function

- Use the *naturality law* for functions  $h[A]: G[A] \Rightarrow A$  where  $G[A]$  is defined by  $G[A] = (A \Rightarrow \text{Option}[K]) \Rightarrow A$  and is covariant in  $A$ : for any  $f: X \Rightarrow Y$  and  $gx: G[X]: h[Y](gx.\text{map}(f)) == f(h[X](gx))$
- Here  $gx.\text{map}(f) == (k: Y \Rightarrow \text{Option}[K]) \Rightarrow f(gx(f \text{ andThen } k))$
- Naturality law:  $h[Y](k \Rightarrow f(gx(f \text{ andThen } k))) == f(h[X](gx))$
- We need a law of the form:  $h[A](p) == p(_ \Rightarrow h[\text{Option}[K]](...))$
- Choose  $X = \text{Option}[K]; Y = A; f = \text{optK} \Rightarrow p(_ \Rightarrow \text{optK});$  and  $gx: G[\text{Option}[K] = (t: \text{Option}[K] \Rightarrow \text{Option}[K]) \Rightarrow t(\text{None})$
- Then LHS:  $f(h[X](gx)) == p(_ \Rightarrow h[\text{Option}[K]](t \Rightarrow t(\text{None})))$
- The LHS is exactly what we need (with arbitrary  $p: G[A]$ )
- But the RHS is:  $h[Y](k \Rightarrow f(gx(f \text{ andThen } k))) ==$   
 $h[A](k \Rightarrow f((f \text{ andThen } k)(\text{None}))) ==$   
 $h[A](k \Rightarrow p(_ \Rightarrow k(p(_ \Rightarrow \text{None}))))$
- Instead of that, we need  $h[A](p) == h[A](k \Rightarrow p(k))$

We must find a more powerful law of  $h$  than the naturality law

## Advanced applications. III. A third-order function

- Intuition: a function  $h: ((A \Rightarrow \text{Option}[K]) \Rightarrow A) \Rightarrow A$  must apply its argument  $p: (A \Rightarrow \text{Option}[K]) \Rightarrow A$  to a *constant* function of type  $A \Rightarrow \text{Option}[K]$ . So, we expect  $h(p) == h(q)$  whenever  $p(k) == q(k)$  for all constant functions  $k$ . It will follow that  $h(p) = p(k)$  for some constant function  $k = \_ \Rightarrow \text{optK}$
- To express this intuition via relations, apply the relational naturality law to an “almost-identity” relation  $r(a): A \Leftrightarrow A$  defined for a fixed  $a: A$  by:  $(x: A, y: A) \text{ in } r(a)$  means  $x == y$  or  $x == a$
- Lift  $r(a)$  to the type constructor  $((A \Rightarrow \text{Option}[K]) \Rightarrow A) \Rightarrow A$
- This gives the relational naturality law of  $h$ :  
 $(h(p) == h(q) \text{ or } h(p) == a)$  for all  $p, q$  such that  $(p(k) == q(l) \text{ or } p(k) == a)$  for all  $k, l$  such that  $\{ k(x) == l(y) \text{ for all } x, y \text{ such that } x == y \text{ or } x == a \}$ 
  - ▶ Suppose  $k(x) == l(y)$  for all  $x, y$  such that  $x == y$  or  $x == a$
  - ▶ It means that  $k(a) == l(y)$  for all  $y: A$ , so  $l$  is a *constant* function
  - ▶ And  $k(y) == l(y)$  for all  $y \neq a$ , so  $k$  and  $l$  are the same function
- The relational law of  $h$  is:  $(h(p) == h(q) \text{ or } h(p) == a)$  for all  $p, q$  such that  $(p(k) == q(k) \text{ or } p(k) == a)$  for all constant functions  $k$



## Advanced applications. III. A third-order function

- Use the relational law of  $h$  to prove that, for any  $p: G[A]$ , we have:  
 $h[A](p) == h[A](k \Rightarrow p(\_ \Rightarrow k(p(\_ \Rightarrow None))))$
- The relational law says:  $h[A](p) == h[A](q)$  for all  $p, q$  such that (...)
- Choose  $q = (k: A \Rightarrow Option[K]) \Rightarrow p(\_ \Rightarrow k(p(\_ \Rightarrow None)))$
- We find that the precondition holds for these  $p$  and  $q$ : For any *constant* function  $k: A \Rightarrow Option[K]$  we actually have  $p(k) == q(k)$ 
  - ▶ To verify that: Suppose  $k = \{ \_ \Rightarrow optK \}$ , then:  
 $q(k) == p(\_ \Rightarrow k(p(\_ \Rightarrow None))) == p(\_ \Rightarrow optK) == p(k)$
- Since the precondition holds, we obtain  $h(p) == h(q)$  or  $h(p) == a$
- This holds for any chosen  $a: A$  but the definition of  $q$  does not depend on  $a$ , so we can rewrite the law as  $\forall h \forall p \forall a$  instead of  $\forall h \forall a \forall p$
- When the type  $A$  has at least two different values, choose  $a \neq h(p)$
- The result is  $h(p) == h(q)$  as required

This completes the proof of  $in(out(h)) == h$  and of the type isomorphism  $Option[K] \cong [A] \Rightarrow ((A \Rightarrow Option[K]) \Rightarrow A) \Rightarrow A$

# Summary

- “Theorems for free” are laws always satisfied by fully parametric code
- Relational parametricity is a powerful proof technique
- Relational parametricity has a steep learning curve
  - ▶ The result may be a relation that is difficult to interpret as code
  - ▶ Cannot directly write code that manipulates relations
  - ▶ All calculations need to be done symbolically or with proof assistants
- Naturality laws and the wedge law are shortcuts to “theorems for free”
  - ▶ A few proofs in FP do require the relational naturality law
- More details in the free book — <https://github.com/winitzki/sofp>

