

# Normalization by Evaluation

## Dependent Types and Impredicativity

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## Context of This Work

- **Dependently-typed** (programming) languages allow
  - to express functional specifications in types,
  - to prove (correctness) properties **in** the language,
  - formalize and prove mathematical propositions.
- Prominent proof assistant: **Coq** (INRIA 1984–)
  - CompCert: Certified compiler for C– (Leroy)
  - Formalized proof of Four Color Theorem (Gonthier, 2005)
  - Odd-Order Theorem (Gonthier, 2012)

Theorem Feit\_Thompson

$$(gT : \text{finGroupType}) (G : \{\text{group } gT\}) : \\ \text{odd } \#|G| \rightarrow \text{solvable } G.$$

- Experimental languages: **Agda**, Epigram, Idris, ...

## Behind the Veil

- What made Coq ready for huge developments?

*Benjamin Grégoire, Xavier Leroy:*

*A compiled implementation of strong reduction. ICFP 2002*

- **Efficient normalization!**
- Grégoire, Leroy: Efficient checking of  $\beta$ -equality.
- This thesis: Framework for  $\beta\eta$ -equality.

# A Taste of Programming with Dependent Types

- Descending lists:  $[x, y, \dots, z] \in \text{List}^\downarrow n$  iff  $n \geq x \geq y \geq \dots \geq z$
- Constructor carries **proof**  $p$  for descent.

$$\frac{}{\text{nil} : \text{List}^\downarrow 0} \qquad \frac{x : \mathbb{N} \quad p : x \geq y \quad xs : \text{List}^\downarrow y}{\text{cons } x \ p \ xs : \text{List}^\downarrow x}$$

- Singleton list carries a trivial proof.

$$\begin{aligned} \text{singleton} & : (x : \mathbb{N}) \rightarrow \text{List}^\downarrow x \\ \text{singleton } x & = \text{cons } x \ \_ \ \text{nil} \quad \text{where } \_ : x \geq 0 \end{aligned}$$

## Correct Insert

- Case: Insert into empty list.

$$\begin{aligned} \text{insert} & : (x : \mathbb{N}) \rightarrow \text{List}^\downarrow n \rightarrow \text{List}^\downarrow (\max x n) \\ \text{insert } x \text{ nil} & = \text{singleton } x \end{aligned}$$

- Inferred type  $\text{singleton } x : \text{List}^\downarrow x$ .
- Expected type  $\text{singleton } x : \text{List}^\downarrow (\max x 0)$ .
- Type-checker needs to ensure  $\text{List}^\downarrow x = \text{List}^\downarrow (\max x 0)$ .
- Sufficient:  $x = \max x 0$ .
- Compare expressions with free variables!
- Solution: *normalize*  $\max x 0$  to  $x$ .

# Normalization

*Bring an expression with unknowns into a canonical form.*

- Unknowns = free variables.
- Checking equality by comparing canonical forms.
- Examples:

Expression	Normalizer
arithmetical expression	symbolic evaluator (MathLAB)
functional programming language	term rewriting, partial evaluation
stack matching code	JIT compiler
SQL query	query compiler

# Evaluation

*Compute the value of an expression relative to an environment.*

- Environment assigns values to free variables of expressions.
- Examples:

Expression	Environment	Evaluator
arithmetical expression	valuation	calculator
functional programming language	stack & heap	interpreter
stack machine code	stack	stack machine
SQL-query	database	SQL processor

# Normalization by Evaluation (NbE)

*Adapt an interpreter to simplify expressions with unknowns.*

- MLTT Martin-Löf 1975: NbE for Type Theory (weak conversion)
- STL Berger Schwichtenberg 1991: NbE for simply-typed  $\lambda$ -calculus
- T Danvy 1996: Type-directed partial evaluation
- F Altenkirch Hofmann Streicher 1996: NbE for  $\lambda$ -free System F
- $\lambda$  Aehlig Joachimski 2004: Untyped NbE, operationally
- $\lambda$  Filinski Rohde 2004: Untyped NbE, denotationally
- LF Danielsson 2006: strongly typed NbE for LF
- T Altenkirch Chapman 2007: Tait in one big step



# This Thesis

*A correct normalization-by-evaluation procedure  
for functional languages with dependent types  
and impredicative polymorphism.*

- Start from **untyped** NbE.
- **Semantics/model** based on NbE.
- Model proves **decidability** of equality and typing.
- Model uses **generic** partial applicative structures.
- Covers many different implementations (e.g., Coq's compiled reduction).

# Publications Underlying This Thesis

## Dependent types:

MLTT Abel Aehlig Dybjer (MFPS 2007): untyped equality.

MLTT Abel Coquand Dybjer (LICS 2007):  
Decidability of typed equality with  $\eta$  on types.

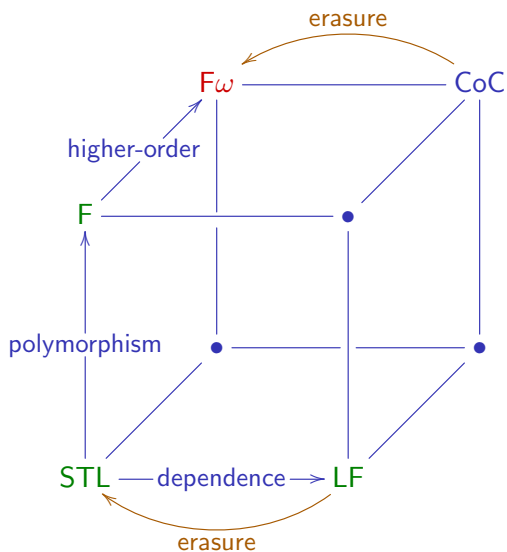
MLTT Abel Coquand Pagano (LMCS 2011): Singleton types.

## Impredicativity:

F Abel (LPAR 2008)

$F\omega$  Abel (CSL 2009)

CoC+ $\mathbb{N}$  Abel (FLOPS 2010)

Barendregt's  $\lambda$ -Cube

NbE:

known (STL, LF, F)

this thesis ( $F\omega$ )

reducible (CoC)

# Dependency Erasure

- **Restrictive** dependencies can be erased safely.

$$|\text{List}^\downarrow n| = \text{List}$$

- We can forget that we deal with descending lists.
- **Recursive** (computational) dependencies cannot be erased.

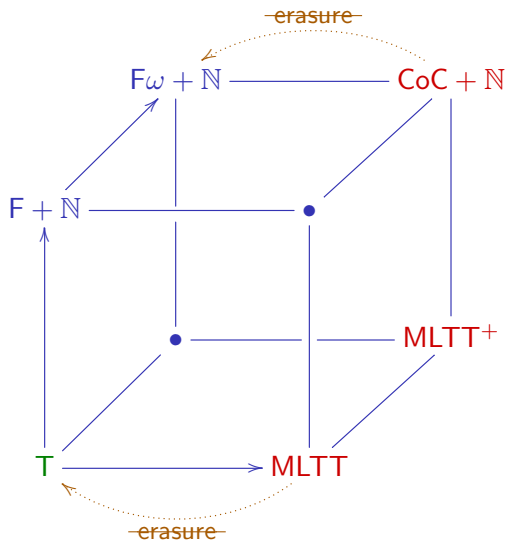
$$\text{NAry} \quad : \quad \mathbb{N} \rightarrow \text{Type}$$

$$\text{NAry } 0 \quad = \quad \mathbb{N}$$

$$\text{NAry } (n + 1) \quad = \quad \mathbb{N} \rightarrow \text{NAry } n$$

$$|\text{NAry } n| \quad = \quad ?$$

- No simple type corresponds to  $\text{NAry } n$ .

The Cube with  $\mathbb{N}$  and Recursion

NbE:

known (T)

th. ( $MLTT^+$ ,  $CoC + \mathbb{N}$ )subsumed ( $F(\omega) + \mathbb{N}$ )

# Untyped Lambda Calculus

- Grammar:

$$\begin{aligned} \text{Exp} \ni r, s, t &::= x && \text{variable} \\ &| \lambda x. t && \text{abstracting variable } x \text{ in body } t \\ &| r s && \text{applying } r \text{ to } s \end{aligned}$$

- Equational theory ( $\beta$ ):

$$\vdash (\lambda x. t) s = t[s/x]$$

- $\beta$ -normal forms.

$$\text{Nf} \ni v ::= \lambda x. v \mid u \quad \text{normal form}$$

$$\text{Ne} \ni u ::= x \mid uv \quad \text{neutral term}$$

## Evaluation of Lambda-Expressions

- Values  $a, b, f \in D$  with (partial) application  $\_ \cdot \_ : D \times D \rightarrow D$ .
- Evaluation (specification):

$$\begin{aligned} \langle x \rangle_\rho &= \rho(x) \\ \langle r s \rangle_\rho &\doteq \langle r \rangle_\rho \cdot \langle s \rangle_\rho \\ \langle \lambda x. t \rangle_\rho \cdot a &\doteq \langle t \rangle_{(\rho, a/x)} \end{aligned}$$

- Instance: compiled execution.

$f \cdot a$       Call  $f$  with argument  $a$

$\langle \lambda x. t \rangle_\rho$       Code for function  $\lambda x. t$  with predefined variables  $\rho$

## Implementation via Closures

- Instance: do nothing.

$$\langle \lambda x. t \rangle_\rho = \langle \underline{\lambda} x t \rangle_\rho$$

- Initial applicative structure: closures.

$$D \ni a, b, f ::= \langle \underline{\lambda} x t \rangle_\rho \text{ waiting for value of } x$$

- Application and evaluation are mutually defined.

$$\langle \underline{\lambda} x t \rangle_\rho \cdot a = \langle t \rangle_{(\rho, a/x)}$$

$$\langle r s \rangle_\rho = \langle r \rangle_\rho \cdot \langle s \rangle_\rho$$



## Residual Model: Adding Unknowns

- For normalization, we need free variables in  $D$ .
- Application  $x \cdot a$  of a free variable stores argument  $a$ .
- Need neutrals/accumulators  $x \vec{a}$  in  $D$ .

$$D \ni a, b, f ::= (\underline{\lambda}xt)\rho \mid e$$

$$D^{\text{ne}} \ni e ::= x \mid e a$$

- Application extended:

$$(\underline{\lambda}xt)\rho \cdot a = \llbracket t \rrbracket_{(\rho, a/x)}$$

$$x \vec{a} \cdot a = x(\vec{a}, a)$$

## Reading Back Expressions from Values

- Reading back values:

$$\begin{aligned}
 R^{\text{nf}} & : D \rightarrow \text{Nf} \\
 R^{\text{nf}}((\underline{\lambda}xt)\rho) & = \lambda y. R^{\text{nf}}(|t|_{(\rho, y/x)}) \text{ where } y \text{ "fresh"} \\
 R^{\text{nf}}(e) & = R^{\text{ne}}(e)
 \end{aligned}$$

- Reading back neutrals:

$$\begin{aligned}
 R^{\text{ne}} & : D^{\text{ne}} \rightarrow \text{Ne} \\
 R^{\text{ne}}(x) & = x \\
 R^{\text{ne}}(e a) & = R^{\text{ne}}(e) R^{\text{nf}}(a)
 \end{aligned}$$

## Fresh Name Generation

- Freshness problem:  $\geq 9$  approaches.
- Simple solution:  $R_{\xi}^{\text{nf}}$  reads fresh names from supply  $\xi$ .
- E.g.,  $\xi$  is an infinite stream of distinct identifiers.

$$R_{(y,\xi)}^{\text{nf}}((\lambda xt)\rho) = \lambda y. R_{\xi}^{\text{nf}}(\llbracket t \rrbracket_{(\rho, y/x)})$$

$$R_{\xi}^{\text{nf}}(e) = R_{\xi}^{\text{ne}}(e)$$

$$R_{\xi}^{\text{ne}}(x \vec{a}) = x R_{\xi}^{\text{nf}}(\vec{a})$$

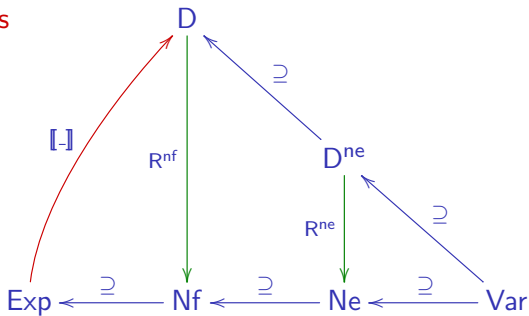
- Normalization:

$$\text{nf}_{\xi}(t) = R_{\xi}^{\text{nf}}(\llbracket t \rrbracket_{\rho_{\text{id}}})$$

## Summary

Semantics

Syntax



## Simply-Typed Lambda Calculus

- Types  $S, T ::= N \mid S \rightarrow T$ .
- Typing contexts  $\Gamma ::= x_1 : S_1, \dots, x_n : S_n$ .
- Typing  $\Gamma \vdash t : T$ .

$$\frac{(x : T) \in \Gamma}{\Gamma \vdash x : T} \quad \frac{\Gamma, x : S \vdash t : T}{\Gamma \vdash \lambda x. t : S \rightarrow T} \quad \frac{\Gamma \vdash r : S \rightarrow T \quad \Gamma \vdash s : S}{\Gamma \vdash rs : T}$$

- Equational theory  $(\beta\eta)$ .

$$(\beta) \frac{\Gamma, x : S \vdash t : T \quad \Gamma \vdash s : S}{\Gamma \vdash (\lambda x t) s = t[s/x] : T}$$

$$(\eta) \frac{\Gamma \vdash t : S \rightarrow T}{\Gamma \vdash t = \lambda x. tx : S \rightarrow T}$$

## Bidirectional $\eta$ -Expansion

- $\uparrow^T$  “reflection”:  $\eta$ -expansion inside-out
- $\downarrow^T$  “reification”:  $\eta$ -expansion outside-in
- Example (terms):

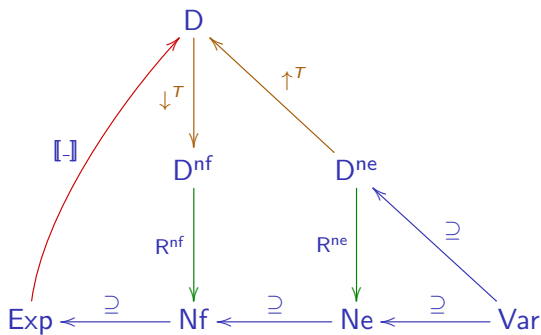
$$\begin{aligned}
 \downarrow^{(N \rightarrow N) \rightarrow (N \rightarrow N)} f &= \lambda y. \downarrow^{N \rightarrow N} (f (\uparrow^{N \rightarrow N} y)) \\
 &= \lambda y. \lambda x. \downarrow^N (f (\uparrow^{N \rightarrow N} y) (\uparrow^N x)) \\
 &= \lambda y. \lambda x. \downarrow^N (f (\lambda z. \downarrow^N (y (\uparrow^N z)))) (\uparrow^N x)) \\
 &= \lambda y. \lambda x. f (\lambda z. y z) x
 \end{aligned}$$

# Adding $\eta$ -Expansion

Semantics ( $\beta$ )

Semantics ( $\beta\eta$ )

Syntax



## Eta-expansion: reflection and reification

- Values now include delayed  $\eta$ -expansions.

$$D \ni a, b, f ::= (\underline{\lambda}xt)\rho \mid \uparrow^T e$$

$$D^{ne} \ni e ::= x \mid e d$$

$$D^{nf} \ni d ::= \downarrow^T a$$

- Application and readback trigger these expansions.

$$(\underline{\lambda}xt)\rho \cdot a = (t)_{(\rho, a/x)}$$

$$\uparrow^{S \rightarrow T} e \cdot a = \uparrow^T (e \downarrow^S a)$$

$$R_{(y, \xi)}^{nf} (\downarrow^{S \rightarrow T} f) = \lambda y. R_{\xi}^{nf} (\downarrow^T (f \cdot \uparrow^S y))$$

$$R_{\xi}^{nf} (\downarrow^N \uparrow^N e) = R_{\xi}^{ne}(e)$$



## Normalization for STL

- Canonical environment:

$$\rho_{\Gamma}(x) = \uparrow^T x \quad \text{where } (x : T) \in \Gamma$$

- Variable supply:

$$\xi_{\Gamma} = \text{Var} \setminus \Gamma$$

- Normalization of  $\Gamma \vdash t : T$ :

$$\text{nf}_{\Gamma}^T(t) = R_{\xi_{\Gamma}}^{\text{nf}}(\downarrow^T(|t|)_{\rho_{\Gamma}})$$

# Dependent Types

- Recall  $\text{singleton} : (x : \mathbb{N}) \rightarrow \text{List}^\downarrow x$ .
- Dependent function space  $(x : S) \rightarrow T$ .

$$\frac{\Gamma \vdash S : \text{Type} \quad \Gamma, x:S \vdash T : \text{Type}}{\Gamma \vdash (x:S) \rightarrow T : \text{Type}}$$

$$\frac{\Gamma, x:S \vdash t : T}{\Gamma \vdash \lambda x. t : (x:S) \rightarrow T} \quad \frac{\Gamma \vdash r : (x:S) \rightarrow T \quad \Gamma \vdash s : S}{\Gamma \vdash rs : T[s/x]}$$

- $\eta$ -expansion directed by **type values**.

$$\begin{aligned} \downarrow^{\text{NAry}(2)}(f) &= \downarrow^{\mathbb{N} \rightarrow \text{NAry}(1)}(f) \\ &= \lambda x. \downarrow^{\text{NAry}(1)}(f (\uparrow^{\mathbb{N}} x)) \\ &= \lambda x. \downarrow^{\mathbb{N} \rightarrow \text{NAry}(0)}(f (\uparrow^{\mathbb{N}} x)) \\ &= \lambda x. \lambda y. \downarrow^{\text{NAry}(0)}(f (\uparrow^{\mathbb{N}} x) (\uparrow^{\mathbb{N}} y)) = \dots \end{aligned}$$

# Type Values

- Values include types.

$$D \ni a, b, f, A, F ::= (\lambda x t)\rho \mid \text{Fun } A F \mid \text{Type} \mid \uparrow^A e$$

$$D^{\text{ne}} \ni e ::= x \mid e d$$

$$D^{\text{nf}} \ni d ::= \downarrow^A a$$

- Read-back evaluates types further.

$$R_{(y, \xi)}^{\text{nf}}(\downarrow^{\text{Fun } A F} f) = \lambda y. R_{\xi}^{\text{nf}}(\downarrow^{F \cdot a}(f \cdot a))$$

$$R_{(y, \xi)}^{\text{nf}}(\downarrow^{\text{Type}}(\text{Fun } A F)) = (y : \downarrow^{\text{Type}} A) \rightarrow \downarrow^{\text{Type}}(F \cdot a)$$

where  $a = \uparrow^A y$ .

# Normalization for Dependent Types

- Canonical environment:

$$\rho_{\Gamma}(x) = \uparrow \langle T \rangle_{\rho_{\Gamma}}(x) \quad \text{where } (x : T) \in \Gamma$$

- Normalization of  $\Gamma \vdash t : T$ :

$$\text{nf}_{\Gamma}^T(t) = R_{\xi_{\Gamma}}^{\text{nf}}(\downarrow \langle T \rangle_{\rho_{\Gamma}}(t))_{\rho_{\Gamma}}$$

## Correctness of Normalization

- Normalization is **sound** if for all expressions  $\Gamma \vdash t : T$ ,

$$\Gamma \vdash t = \text{nf}_\Gamma^T(t) : T.$$

- Normalization is **complete** if for all  $\Gamma \vdash t, t' : T$ ,

$$\Gamma \vdash t = t' : T \implies \text{nf}_\Gamma^T(t) =_\alpha \text{nf}_\Gamma^T(t')$$

- Implies idempotence  $\text{nf}_\Gamma^T(t) =_\alpha \text{nf}_\Gamma^T(\text{nf}_\Gamma^T(t))$ .

## Partial Equivalence Relations

- Relation  $A = A' \in \text{Type}$  shall mean that  $A, A'$  are extensionally equal type values.
- Relation  $a = a' \in A$  shall mean that  $a, a'$  are extensionally equal values of type  $A$ .
- Defined simultaneously by **induction-recursion**:

$$\frac{A = A' \in \text{Type} \quad F \cdot a = F' \cdot a' \in \text{Type} \text{ for all } a = a' \in A}{\text{Fun } A \ F = \text{Fun } A' \ F' \in \text{Type}}$$

$$\frac{f \cdot a = f' \cdot a' \in F \cdot a \text{ for all } a = a' \in A}{f = f' \in \text{Fun } A \ F}$$

- Models  $\beta\eta$ -equality.

# Typed Candidate Spaces

- Greatest and least PERs:

$$d = d' \in \top \iff R_{\xi}^{\text{nf}}(d) =_{\alpha} R_{\xi}^{\text{nf}}(d') \text{ for all } \xi$$

$$e = e' \in \perp \iff R_{\xi}^{\text{ne}}(e) =_{\alpha} R_{\xi}^{\text{ne}}(e') \text{ for all } \xi$$

- Greatest and least type candidate:

$$a = a' \in \bar{A} \iff \downarrow^A a = \downarrow^A a' \in \top$$

$$a = a' \in \underline{A} \iff a = \uparrow^A e \text{ and } a' = \uparrow^A e' \text{ and } e = e' \in \perp$$

- Sandwich property:

$$a = a' \in \underline{A} \implies a = a' \in A \implies a = a' \in \bar{A}$$

# Completeness of Normalization

Well-typed  $\beta\eta$ -equal terms have the same normal form.

$$\begin{aligned}
 \Gamma \vdash t = t' : T &\implies \overbrace{\llbracket t \rrbracket_{\rho\Gamma}}^a = \overbrace{\llbracket t' \rrbracket_{\rho\Gamma}}^{a'} \in \overbrace{\llbracket T \rrbracket_{\rho\Gamma}}^A \\
 &\implies a = a' \in \bar{A} \\
 &\implies \downarrow^A a = \downarrow^A a' \in \mathsf{T} \\
 &\implies \mathsf{R}_{\xi\Gamma}^{\text{nf}} \downarrow^A a =_{\alpha} \mathsf{R}_{\xi\Gamma}^{\text{nf}} \downarrow^A a'
 \end{aligned}$$



# Soundness of Normalization

A well-typed term is  $\beta\eta$ -equal to its normal form.

$$\begin{aligned}
 \Gamma \vdash t : T &\implies \Gamma \vdash t : T \circledast \overbrace{(t)_{\rho\Gamma}}^a \in \overbrace{(T)_{\rho\Gamma}}^A \\
 &\implies \Gamma \vdash t = R_{\xi\Gamma}^{\text{nf}} \downarrow^A a : T \\
 &\iff \Gamma \vdash t = \text{nf}_{\Gamma}^T(t) : T
 \end{aligned}$$

# Impredicative Polymorphism

- Impredicativity: Quantification over **all** types gives a type.

$$\frac{\Gamma, X:\text{Type} \vdash T : \text{Type}}{\Gamma \vdash (\forall X:\text{Type}. T) : \text{Type}}$$

- Applications:
  - (Functional) programming: System F, Haskell, ...
  - Second-order logic.
- Semantic difficulty: Valid types cannot be defined from below.

$$\frac{F \cdot A = F' \cdot A' \in \text{Type} \text{ for all } A = A' \in \text{Type}}{\forall F = \forall F' \in \text{Type}}$$

- Circularity!

## NbE for System F

- Semantic type **candidate**  $\mathcal{A}$  for  $S$

$$\underline{S} \subseteq \mathcal{A} \subseteq \overline{S}$$

- Interpret  $\forall$  by quantifying over all candidates (Girard):

$$\llbracket \forall X T \rrbracket \rho = \bigcap_{\underline{S} \subseteq \mathcal{A} \subseteq \overline{S}} \llbracket T \rrbracket (\rho, \mathcal{A}/X)$$

## Results

- NbE for dependent types and impredicativity:  $\text{CoC} + \mathbb{N}$ .  
(Close to Coq's logical basis).
- Decidability of type checking with  $\eta$  on type level.
- Singleton types and universes.
- Theoretical basis for “compiled reduction” with  $\eta$ .

## Future Work

- Agda: compiled equality checking based on NbE.
- Full Calculus of Inductive Constructions (Coq).
- Use NbE-semantics as tool to develop sound extensions of dependent type systems.

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## A Munich Topic

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