CS 430/530 Formal Semantics

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Type-Generic Programming

Consider a function f of type $\rho \rightarrow \rho'$, which transforms values of type ρ into values of type ρ' . For example, f might be the doubling function on natural numbers.

Extend f to a transformation from type $[\rho/t]\tau$ to type $[\rho'/t]\tau$ by applying f to various spots in the input, where a value of type ρ occurs to obtain a value of type ρ' , leaving the rest of the data structure alone.

For example, τ might be bool \times t, in which case f could be extended to a function of type bool $\times \rho \rightarrow bool \times \rho'$ that sends the pairs (a, b) to the pair (a, f (b)).

We need a template that marks the occurrences of t in τ at which f is applied. Such a template is known as a *type operator*, t. τ , which is an abstractor binding a type variable t within a type τ .

Polynomial Type Operators

A *type operator* is a type equipped with a designated variable whose occurrences mark the spots in the type where a transformation is applied. A type operator is an abstractor $t.\tau$ such that t type $\vdash \tau$ type. An example of a type operator is the abstractor

 $t.unit + (bool \times t)$

The *polynomial* type operators are those constructed from the type variable t the types void and unit, and the product and sum type constructors $\tau_1 \times \tau_2$ and $\tau_1 + \tau_2$. More precisely, the judgment $t.\tau$ poly is inductively defined by the following rules:

t.t poly

$$\frac{t \cdot \tau_{1} \text{ poly}}{t \cdot \tau_{2} \text{ poly}}$$
(14.1b)

$$\frac{t \cdot \tau_{1} \text{ poly} \quad t \cdot \tau_{2} \text{ poly}}{t \cdot \tau_{1} \times \tau_{2} \text{ poly}}$$
(14.1c)

$$\frac{t \cdot \tau_{1} \text{ poly} \quad t \cdot \tau_{2} \text{ poly}}{t \cdot \tau_{1} + \tau_{2} \text{ poly}}$$
(14.1e)

(14.1a)

Type-Generic Extension

The *generic extension* of a polynomial type operator is a form of expression with the following syntax

Exp $e ::= \max\{t.\tau\}(x.e')(e) \max\{t.\tau\}(x.e')(e)$ generic extension.

Its statics is given as follows:

$$\frac{t \cdot \tau \text{ poly } \Gamma, x : \rho \vdash e' : \rho' \quad \Gamma \vdash e : [\rho/t]\tau}{\Gamma \vdash \max\{t \cdot \tau\}(x \cdot e')(e) : [\rho'/t]\tau}$$
(14.2)

The abstractor x.e' specifies a mapping that sends $x : \rho$ to $e' : \rho'$. The generic extension of $t.\tau$ along x.e' specifies a mapping from $[\rho/t]\tau$ to $[\rho'/t]\tau$. The latter mapping replaces values v of type ρ occurring at spots corresponding to occurrences of t in τ by the transformed value [v/x]e' of type ρ' at the same spot. The type operator $t.\tau$ is a template in which certain spots, marked by occurrences of t, show where to apply the transformation x.e' to a value of type $[\rho/t]\tau$ to obtain a value of type $[\rho'/t]\tau$.

Type-Generic Extension

The following dynamics makes precise the concept of the generic extension of a polynomial type operator.

$$\frac{14.3a}{\operatorname{map}\{t.t\}(x.e')(e) \longmapsto [e/x]e'}$$

$$\frac{14.3b}{\operatorname{map}\{t.\operatorname{unit}\}(x.e')(e) \longmapsto e}$$

$$\frac{\operatorname{map}\{t.\tau_{1} \times \tau_{2}\}(x.e')(e)}{\longmapsto}$$

$$(14.3c) \qquad (14.3c) \qquad (14.3c) \qquad (14.3c) \qquad (14.3d) \qquad (14.3d)$$

 $\operatorname{case} e \left\{ \mathbf{l} \cdot x_1 \hookrightarrow \mathbf{l} \cdot \operatorname{map}\{t.\tau_1\}(x.e')(x_1) \mid \mathbf{r} \cdot x_2 \hookrightarrow \mathbf{r} \cdot \operatorname{map}\{t.\tau_2\}(x.e')(x_2) \right\}$

Type-Generic Extension

Theorem 14.1 (Preservation). If map $\{t.\tau\}(x.e')(e) : \tau' \text{ and } map \{t.\tau\}(x.e')(e) \longmapsto e''$, then $e'' : \tau'$.

Proof By inversion of rule (14.2), we have

t type ⊢ τ type;
 x : ρ ⊢ e' : ρ' for some ρ and ρ';
 e : [ρ/t]τ;
 τ' is [ρ'/t]τ.

The proof proceeds by cases on rules (14.3). For example, consider rule (14.3c). It follows from inversion that $\max\{t.\tau_1\}(x.e')(e \cdot 1)$: $[\rho'/t]\tau_1$, and similarly that $\max\{t.\tau_2\}(x.e')(e \cdot \mathbf{r}) : [\rho'/t]\tau_2$. It is easy to check that

 $\langle \max\{t.\tau_1\}(x.e')(e\cdot 1), \max\{t.\tau_2\}(x.e')(e\cdot r) \rangle$

has type $[\rho'/t](\tau_1 \times \tau_2)$, as required.

Positive Type Operators

We define the judgment $t.\tau$ pos, which states that the abstractor $t.\tau$ is a positive type operator by the following rules:

$\overline{t.t}$ pos	(14.4a)
$\overline{t.unit pos}$	(14.4b)
$\frac{t.\tau_1 \text{ pos } t.\tau_2 \text{ pos}}{t.\tau_1 \times \tau_2 \text{ pos}}$	(14.4c)
$\overline{t.void pos}$	(14.4d)
$\frac{t.\tau_1 \text{ pos } t.\tau_2 \text{ pos}}{t.\tau_1 + \tau_2 \text{ pos}}$	(14.4e)
$\frac{\tau_1 \text{ type } t.\tau_2 \text{ pos}}{t.\tau_1 \rightarrow \tau_2 \text{ pos}}$	(14.4f)

Positive Type Operators

The generic extension of a positive type operator is defined similarly to that of a polynomial type operator, with the following dynamics on function types:

$$map^{+} \{ t.\tau_{1} \to \tau_{2} \} (x.e')(e) \longmapsto \lambda (x_{1} : \tau_{1}) map^{+} \{ t.\tau_{2} \} (x.e')(e(x_{1}))$$
(14.5)

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Because *t* is not allowed to occur within the domain type, the type of the result is $\tau_1 \rightarrow [\rho'/t]\tau_2$, assuming that *e* is of type $\tau_1 \rightarrow [\rho/t]\tau_2$. It is easy to verify preservation for the generic extension of a positive type operator.

Inductive & Coinductive Types

Two important forms of recursive type

- Inductive types: *least*, or *initial*, solutions of certain type equations
- coinductive types: *greatest*, or *final*, solutions of certain type equations

The elements of an inductive type

- a finite composition of its introduction forms.
- If we specify the behavior of a function on each of the introduction forms of an inductive type, then its behavior is defined for all values of that type. Such a function is a *recursor*, or *catamorphism*.

The elements of a coinductive type

- a finite composition of its **elimination** forms.
- If we specify the behavior of an element on each elimination form, then we have fully specified a value of that type. Such an element is a *generator*, or *anamorphism*.

Nullary and Binary Products

The abstract syntax of products is given by the following grammar:

Typ
$$\tau$$
::=unitunitnullary product $prod(\tau_1; \tau_2)$ $\tau_1 \times \tau_2$ binary productExp e ::=triv $\langle \rangle$ null tuple $pair(e_1; e_2)$ $\langle e_1, e_2 \rangle$ ordered pair $pr[1](e)$ $e \cdot 1$ left projection $pr[r](e)$ $e \cdot r$ right projection

The statics of product types is given by the following rules.

$$\overline{\Gamma \vdash \langle \rangle : \text{unit}}$$

$$\frac{\Gamma \vdash e_{1} : \tau_{1} \quad \Gamma \vdash e_{2} : \tau_{2}}{\Gamma \vdash \langle e_{1}, e_{2} \rangle : \tau_{1} \times \tau_{2}}$$

$$\frac{\Gamma \vdash e : \tau_{1} \times \tau_{2}}{\Gamma \vdash e \cdot 1 : \tau_{1}}$$

$$\frac{\Gamma \vdash e : \tau_{1} \times \tau_{2}}{\Gamma \vdash e \cdot r : \tau_{2}}$$
(10.1c)
$$(10.1d)$$

Nullary and Binary Sums

The abstract syntax of sums is given by the following grammar:



The nullary sum represents a choice of zero alternatives, and hence admits no introduction form. The elimination form, abort(e), aborts the computation in the event that e evaluates to a value, which it cannot do. The elements of the binary sum type are labeled to show whether they are drawn from the left or the right summand, either $1 \cdot e$ or $r \cdot e$. A value of the sum type is eliminated by case analysis.

The statics of sum types is given by the following rules.

$$\frac{\Gamma \vdash e : \text{void}}{\Gamma \vdash \text{abort}(e) : \tau}$$
(11.1a)

$$\frac{\Gamma \vdash e : \tau_1}{\Gamma \vdash \iota \cdot e : \tau_1 + \tau_2}$$
(11.1b)

$$\frac{\Gamma \vdash e : \tau_2}{\Gamma \vdash \mathbf{r} \cdot e : \tau_1 + \tau_2} \tag{11.1c}$$

$$\frac{\Gamma \vdash e: \tau_1 + \tau_2 \quad \Gamma, x_1: \tau_1 \vdash e_1: \tau \quad \Gamma, x_2: \tau_2 \vdash e_2: \tau}{\Gamma \vdash \operatorname{case} e \left\{ 1 \cdot x_1 \hookrightarrow e_1 \mid \mathbf{r} \cdot x_2 \hookrightarrow e_2 \right\}: \tau}$$
(11.1d)

Inductive Type Example: Nat

With a view towards deriving the type nat as a special case of an inductive type, it is useful to combine zero and successor into a single introduction form, and to correspondingly combine the basis and inductive step of the iterator. The following rules specify the statics of this reformulation:

$$\frac{\Gamma \vdash e: \texttt{unit} + \texttt{nat}}{\Gamma \vdash \texttt{fold}_{\texttt{nat}}(e): \texttt{nat}}$$
(15.1a)

$$\frac{\Gamma, x: \texttt{unit} + \tau \vdash e_1 : \tau \quad \Gamma \vdash e_2 : \texttt{nat}}{\Gamma \vdash \texttt{rec}_{\texttt{nat}}(x.e_1; e_2) : \tau}$$
(15.1b)

The expression $fold_{nat}(e)$ is the unique introduction form of the type nat. Using this, the expression z is $fold_{nat}(1 \cdot \langle \rangle)$, and s(e) is $fold_{nat}(r \cdot e)$. The recursor, $rec_{nat}(x.e_1;e_2)$, takes as argument the abstractor $x.e_1$ that combines the basis and inductive step into a single computation that, given a value of type $unit + \tau$, yields a value of type τ . Intuitively, if x is replaced by the value $1 \cdot \langle \rangle$, then e_1 computes the base case of the recursion, and if x is replaced by the value $r \cdot e$, then e_1 computes the inductive step from the result e of the recursive call.

Inductive Type Example: Nat

(15.2a)

 $fold_{nat}(e)$ val

$$\frac{e_2 \longmapsto e'_2}{\operatorname{rec}_{nat}(x.e_1;e_2) \longmapsto \operatorname{rec}_{nat}(x.e_1;e'_2)}$$
(15.2b)

$$rec_{nat}(x.e_{1}; fold_{nat}(e_{2}))$$

$$\longmapsto$$

$$[map\{t.unit + t\}(y.rec_{nat}(x.e_{1}; y))(e_{2})/x]e_{1}$$
(15.2c)

Rule (15.2c) uses (polynomial) generic extension (see Chapter 14) to apply the recursor to the predecessor, if any, of a natural number. If we expand the definition of the generic extension in place, we obtain this rule:

$$\operatorname{rec_{nat}}(x.e_1; \operatorname{fold_{nat}}(e_2)) \qquad \longmapsto \\ [\operatorname{case} e_2 \{ 1 \cdot \Box \hookrightarrow 1 \cdot \langle \rangle \mid r \cdot y \hookrightarrow r \cdot \operatorname{rec_{nat}}(x.e_1; y) \} / x] e_1$$

A stream is given by its behavior under the elimination forms for the stream type: hd(e) returns the next, or head, element of the stream, and tl(e) returns the tail of the stream, the stream resulting when the head element is removed. A stream is introduced by a *generator*, the dual of a recursor, that defines the head and the tail of the stream in terms of the current state of the stream, which is represented by a value of some type. The statics of streams is given by the following rules:

$$\frac{\Gamma \vdash e: \texttt{stream}}{\Gamma \vdash \texttt{hd}(e): \texttt{nat}} \tag{15.3a}$$

$$\frac{\Gamma \vdash e: \texttt{stream}}{\Gamma \vdash \texttt{tl}(e): \texttt{stream}}$$
(15.3b)

$$\frac{\Gamma \vdash e: \tau \quad \Gamma, x: \tau \vdash e_1: \text{nat} \quad \Gamma, x: \tau \vdash e_2: \tau}{\Gamma \vdash \text{strgen} x \text{ is } e \text{ in } < \text{hd} \hookrightarrow e_1, \text{tl} \hookrightarrow e_2 >: \text{stream}}$$
(15.3c)

The dynamics of streams is given by the following rules:

 $\overline{\texttt{strgen}\,x\,\texttt{is}\,e\,\texttt{in}\,\texttt{<hd}\,\hookrightarrow\,e_1,\texttt{tl}\,\hookrightarrow\,e_2\!>\,\texttt{val}}$

$$\frac{e \longmapsto e'}{\operatorname{hd}(e) \longmapsto \operatorname{hd}(e')} \tag{15.4b}$$

(15.4a)

 $\frac{15.4c}{\operatorname{hd}(\operatorname{strgen} x \text{ is } e \text{ in } < \operatorname{hd} \hookrightarrow e_1, \operatorname{tl} \hookrightarrow e_2 >) \longmapsto [e/x]e_1}$

$$\frac{e \longmapsto e'}{\operatorname{tl}(e) \longmapsto \operatorname{tl}(e')} \tag{15.4d}$$

$$tl(strgen x is e in < hd \hookrightarrow e_1, tl \hookrightarrow e_2 >)$$

$$\longmapsto$$
(15.4e)

 $\operatorname{strgen} x \operatorname{is} [e/x]e_2 \operatorname{in} < \operatorname{hd} \hookrightarrow e_1, \operatorname{tl} \hookrightarrow e_2 >$

To derive streams as a special case of a coinductive type, we combine the head and the tail into a single elimination form, and reorganize the generator correspondingly. Thus, we consider the following statics:

$$\frac{\Gamma \vdash e: \texttt{stream}}{\Gamma \vdash \texttt{unfold}_{\texttt{stream}}(e): \texttt{nat} \times \texttt{stream}}$$
(15.5a)

$$\frac{\Gamma, x : \tau \vdash e_1 : \operatorname{nat} \times \tau \quad \Gamma \vdash e_2 : \tau}{\Gamma \vdash \operatorname{gen}_{\operatorname{stream}}(x.e_1; e_2) : \operatorname{stream}}$$
(15.5b)

The dynamics of streams is given by the following rules:

$$\frac{1}{\text{gen}_{\text{stream}}(x.e_1;e_2) \text{ val}}$$
(15.6a)

$$\frac{e \longmapsto e'}{\text{unfold}_{\text{stream}}(e) \longmapsto \text{unfold}_{\text{stream}}(e')}$$
(15.6b)

$$unfold_{stream}(gen_{stream}(x.e_1;e_2))$$
(15.6c)
$$\longmapsto map\{t.nat \times t\}(y.gen_{stream}(x.e_1;y))([e_2/x]e_1)$$

Rule (15.6c) uses generic extension to generate a new stream whose state is the second component of $[e_2/x]e_1$. Expanding the generic extension we obtain the following reformulation of this rule:

$$unfold_{stream}(gen_{stream}(x.e_1;e_2))$$

$$\longmapsto$$

$$\langle ([e_2/x]e_1) \cdot 1, gen_{stream}(x.e_1;([e_2/x]e_1) \cdot \mathbf{r}) \rangle$$

M: T with Inductive/Coinductive Types

Typ τ ::= t t self-reference ind($t.\tau$) $\mu(t.\tau)$ inductive coi($t.\tau$) $\nu(t.\tau)$ coinductive

Type formation judgments have the form

 t_1 type, ..., t_n type $\vdash \tau$ type,

$\overline{\Delta, t}$ type $\vdash t$ type	$\frac{\Delta \vdash \tau_1 \text{ type } \Delta \vdash \tau_2 \text{ type }}{\Delta \vdash \text{sum}(\tau_1; \tau_2) \text{ type }}$
$\overline{\Delta \vdash \texttt{unit type}}$	$\frac{\Delta \vdash \tau_1 \text{ type } \Delta \vdash \tau_2 \text{ type }}{\Delta \vdash \texttt{arr}(\tau_1; \tau_2) \text{ type }}$
$\frac{\Delta \vdash \tau_1 \text{ type } \Delta \vdash \tau_2 \text{ type }}{\Delta \vdash \text{prod}(\tau_1; \tau_2) \text{ type }}$	$\frac{\Delta, t \text{ type} \vdash \tau \text{ type } \Delta \vdash t.\tau \text{ pos}}{\Delta \vdash \text{ind}(t.\tau) \text{ type}}$
$\overline{\Delta \vdash \texttt{void type}}$	$\frac{\Delta, t \text{ type} \vdash \tau \text{ type } \Delta \vdash t.\tau \text{ pos}}{\Delta \vdash \operatorname{coi}(t.\tau) \text{ type }}$

Language M: Syntax & Statics

The abstract syntax of M is given by the following grammar:

Exp
$$e ::= fold{t.\tau}(e)$$
 $fold_{t.\tau}(e)$ constructor
 $rec{t.\tau}(x.e_1;e_2)$ $rec(x.e_1;e_2)$ recursor
 $unfold{t.\tau}(e)$ $unfold_{t.\tau}(e)$ destructor
 $gen{t.\tau}(x.e_1;e_2)$ $gen(x.e_1;e_2)$ generator

The statics for **M** is given by the following typing rules:

$$\frac{\Gamma \vdash e : [\operatorname{ind}(t,\tau)/t]\tau}{\Gamma \vdash \operatorname{fold}\{t,\tau\}(e) : \operatorname{ind}(t,\tau)}$$
(15.8a)

$$\frac{\Gamma, x : [\tau'/t]\tau \vdash e_1 : \tau' \quad \Gamma \vdash e_2 : \operatorname{ind}(t.\tau)}{\Gamma \vdash \operatorname{rec}\{t.\tau\}(x.e_1; e_2) : \tau'}$$
(15.8b)

$$\frac{\Gamma \vdash e : \operatorname{coi}(t.\tau)}{\Gamma \vdash \operatorname{unfold}\{t.\tau\}(e) : [\operatorname{coi}(t.\tau)/t]\tau}$$
(15.8c)

$$\frac{\Gamma \vdash e_2 : \tau_2 \quad \Gamma, x : \tau_2 \vdash e_1 : [\tau_2/t]\tau}{\Gamma \vdash \operatorname{gen}\{t.\tau\}(x.e_1; e_2) : \operatorname{coi}(t.\tau)}$$
(15.8d)

Language M: Dynamics

(15.9a)

 $fold{t.\tau}(e) val$

(15.9b)

 $\frac{e_2 \longmapsto e'_2}{\operatorname{rec}\{t.\tau\}(x.e_1;e_2) \longmapsto \operatorname{rec}\{t.\tau\}(x.e_1;e'_2)}$

 $\operatorname{rec}\{t.\tau\}(x.e_1; \operatorname{fold}\{t.\tau\}(e_2)) \\ \longmapsto$

 $[map^{+}{t.\tau}(y.rec{t.\tau}(x.e_{1}; y))(e_{2})/x]e_{1}$

(15.9d)

(15.9f)

(15.9c)

 $\overline{\operatorname{gen}\{t.\tau\}(x.e_1;e_2)}$ val

 $\frac{e \longmapsto e'}{\operatorname{unfold}\{t.\tau\}(e) \longmapsto \operatorname{unfold}\{t.\tau\}(e')}$ (15.9e)

 $unfold{t.\tau}(gen{t.\tau}(x.e_1;e_2))$

 $map^{+}{t.\tau}(y.gen{t.\tau}(x.e_1; y))([e_2/x]e_1)$

Language M

Lemma 15.1. *If* $e : \tau$ *and* $e \mapsto e'$ *, then* $e' : \tau$ *.*

Proof By rule induction on rules (15.9).

Lemma 15.2. If $e : \tau$, then either e valor there exists e' such that $e \mapsto e'$.

Proof By rule induction on rules (15.8).

Although a proof of this fact lies beyond our current reach, all programs in M terminate.

Theorem 15.3 (Termination for M). If $e : \tau$, then there exists e' val such that $e \mapsto^* e'$.

Solving Type Equations

For a positive type operator $t.\tau$, we may say that the inductive type $\mu(t.\tau)$ and the coinductive type $\nu(t.\tau)$ are both *solutions* (up to isomorphism) of the type equation $t \cong \tau$:

 $\mu(t.\tau) \cong [\mu(t.\tau)/t]\tau$ $\nu(t.\tau) \cong [\nu(t.\tau)/t]\tau.$

Whereas both are solutions to the same type equation, they are not isomorphic to each other. To see why, consider the inductive type $nat \triangleq \mu(t.unit + t)$ and the coinductive type $conat \triangleq \nu(t.unit + t)$. Informally, nat is the smallest (most restrictive) type containing zero, given by fold $(1 \cdot \langle \rangle)$, and closed under formation of the successor of any other e of type nat, given by fold $(r \cdot e)$. Dually, conat is the largest (most permissive) type of expressions e for which the unfolding, unfold(e), is either zero, given by $1 \cdot \langle \rangle$, or to the successor of some other e' of type conat, given by $r \cdot e'$.

Solving Type Equations

Because nat is defined by the composition of its introduction forms and sum injections, it is clear that only finite natural numbers can be constructed in finite time. Because conat is defined by the composition of its elimination forms (unfoldings plus case analyses), it is clear that a co-natural number can only be explored to finite depth in finite time—essentially we can only examine some finite number of predecessors of a given co-natural number in a terminating program. Consequently,

- 1. there is a function $i : nat \rightarrow conat$ embedding every finite natural number into the type of possibly infinite natural numbers; and
- 2. there is an "actually infinite" co-natural number ω that is essentially an infinite composition of successors.

Defining the embedding of nat into conat is the subject of Exercise 15.1. The infinite co-natural number ω is defined as follows:

$$\omega \triangleq \operatorname{gen}(x.\mathbf{r} \cdot x; \langle \rangle).$$