Weak Normalization for the Simply-Typed Lambda-Calculus in Twelf

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Abstract

Weak normalization for the simply-typed λ -calculus is proven in Twelf, an implementation of the Edinburgh Logical Framework. Since due to proof-theoretical restrictions Twelf Tait's computability method does not seem to be directly usable, a combinatorical proof is adapted and formalized instead.

Key words: Edinburgh Logical Framework, HOAS, Mechanized Proof, Normalization, Twelf

1 Introduction

Twelf is an implementation of the Edinburgh Logical Framework which supports reasoning in full higher-order abstract syntax (HOAS); therefore it is an ideal candidate for reasoning comfortably about properties of prototypical programming languages with binding. Previous work has focused on properties like subject reduction, confluence, compiler correctness. Even cut elimination for various sequent calculi has been proven successfully. But until recently, there were no formalized proofs of normalization ² in Twelf. The reason might be that normalization is typically proven by Tait's method, which cannot be applied directly in Twelf. This work explains why Tait's method is at least not directly applicable and provides a combinatorical proof for the simply-typed lambda-calculus.

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² There have been normalization proofs in logical frameworks with inductive definitions, for instance, Altenkirch's proof of strong normalization for System F in LEGO [2]. Since HOAS is not available in a framework like LEGO, he represents terms using de Bruijn indices.

$$\mathbb{K} ::= \mathsf{type} \qquad \text{kind of types} \\ | \{\mathbb{X} : \mathbb{A}\}\mathbb{K} \qquad \text{dependent function kind} \\ \mathbb{A} ::= \mathbb{F} \, \mathbb{M}_1 \dots \mathbb{M}_n \qquad \text{base type} \\ | \{\mathbb{X} : \mathbb{A}\}\mathbb{A} \qquad \text{dependent function type} \\ | \mathbb{A} \to \mathbb{A} \qquad \text{non-dependent function type} \\ \mathbb{M} ::= \mathbb{C} \qquad \text{term constant} \\ | \mathbb{X} \qquad \text{term variable} \\ | [\mathbb{X} : \mathbb{A}]\mathbb{M} \qquad \text{term abstraction} \\ | \mathbb{M} \, \mathbb{M} \qquad \text{term application} \\ \end{cases}$$

Fig. 1. Syntactic classes of LF.

2 Twelf

The Edinburgh Logical Framework (LF 3) [6,7] is a dependently-typed lambdacalculus with type families and $\beta\eta$ -equality, but neither polymorphism, inductive data types nor recursion. Expressions are divided into three syntactic classes: kinds, types and terms, generated by the grammar in Fig. 1. Herein, the meta variable \mathbb{X} ranges over a countably infinite set of variable identifiers, while \mathbb{F} resp. \mathbb{C} range over type-family resp. term constants provided in a signature Σ . Note that neither a type nor a kind can depend on a type; consequently, abstraction is missing on the type level [10, p. 1124].

Syntax. $r, s, t, u ::= x \mid \lambda x.t \mid rs$ $A, B, C ::= * \mid A \rightarrow B$ $\Gamma ::= \diamond \mid \Gamma, x:A$

untyped terms simple types contexts

Type assignment $\Gamma \vdash t : A$.

$$\frac{(x\!:\!A)\in\Gamma}{\Gamma\vdash x:A} \text{ of_var}$$

$$\frac{\Gamma,\,x:A\vdash t:B}{\Gamma\vdash \lambda x.t:A\to B} \text{ of_lam } \qquad \frac{\Gamma\vdash r:A\to B}{\Gamma\vdash rs:B} \text{ of_app }$$

Weak head reduction $t \longrightarrow_{\mathsf{w}} t'$.

$$\frac{r \longrightarrow_{\mathsf{w}} r'}{(\lambda x.t) \, s \longrightarrow_{\mathsf{w}} [s/x]t} \text{ beta } \frac{r \longrightarrow_{\mathsf{w}} r'}{r \, s \longrightarrow_{\mathsf{w}} r' \, s} \text{ appl}$$

Fig. 2. Simply-typed λ -calculus and weak head reduction.

The framework comes with judgements for typing, M: A, kinding, A: K,

 $^{^3}$ This is not to be confused with Martin-Löf's framework for dependent type theory, which is also abbreviated by LF.

and wellformedness of kinds, \mathbb{K} kind, plus $\beta\eta$ -equality on for terms, types, and kinds [7]. An object theory can be described in the framework by providing a suitable signature Σ which adds kinded type family constants \mathbb{F} : \mathbb{K} and typed term constants \mathbb{C} : \mathbb{A} .

Twelf [11] is an implementation of LF whose most fundamental task is to check typing (and kinding) of a user given signature Σ , usually provided as a set of ASCII files. Symbols reserved for the framework are the following.

All others can be used to denote entities in the object theories. In the remainder of this section, we show how to represent the simply-typed λ -calculus with weak head reduction, as specified in Fig. 2, in Twelf.

2.1 Representation of Syntactic Objects

Untyped lambda terms t can be represented by one type family constant tm and two term constants:

```
tm : type.
lam : (tm -> tm) -> tm.
app : tm -> tm -> tm.
```

The lack of a construct for variables is due to the use of HOAS: object variables are represented by variables of the framework, e.g., in the code for the twice function:

```
twice = lam [f:tm] lam [x:tm] app f (app f x).
```

A more detailed explanation of higher-order encodings has been given by Schürmann [14, p. 20ff]. Simple types A can be generated from a nullary constant * for some base type and a binary constant =>, used infix, for function type formation.

```
ty : type.
* : ty.
=> : ty -> ty -> ty.
```

2.2 Representation of Judgements and Relations

Type assignment for untyped terms, $\Gamma \vdash t : A$, can be represented by two constants as well: one for function introduction and one for function elimination. Note that in Twelf syntax, the types of new constants may contain free variables (captial letters), which are regarded as universally quantified on the outside.

Again, there is no separate rule for the typing of variables, instead it is part of the rule for abstraction. The premise of rule of_lam is to be read as:

Consider a temporary extension of the signature by a fresh constant x:tm and assume x of A. Then (T x) of B holds.

This adds a *dynamical* typing rule x of A for each new variable x instead of inserting a typing hypothesis x : A into the typing context Γ . Hence, we do not explicitly encode Γ , but let the framework handle the typing hypotheses.

Similar to the typing relation, we can represent weak head reduction $t \longrightarrow_{\mathsf{w}} t'$, which eliminates the head (resp. key) redex in term t but does not step under a binding.

```
-->w : tm -> tm -> type.
beta : app (lam T) S -->w T S.
appl : R -->w R' -> app R S -->w app R' S.
```

One advantage of HOAS is that substitution does not have to be defined, but can be inherited from the framework. Since in rule beta, term T: tm -> tm is λ -function, substitution $\lfloor u/y \rfloor t$ is simply expressed as application T U.

```
Lemma 2.1 If t \longrightarrow_{\mathsf{w}} t' then \lfloor u/y \rfloor t \longrightarrow_{\mathsf{w}} \lfloor u/y \rfloor t'.
```

Proof. By induction on the derivation of $t \longrightarrow_{\mathsf{w}} t'$.

• Case $(\lambda x.t) s \longrightarrow_{\mathsf{w}} [s/x]t$. W.l.o.g. $x \neq y$ and x not free in u. Then,

$$[u/y]((\lambda x.t)\,s) \quad = \quad (\lambda x.[u/y]t) \ [u/y]s$$

$$\longrightarrow_{\mathsf{W}} \quad [[u/y]s/x][u/y]t \quad = [u/y][s/x]t.$$

• Case $rs \longrightarrow_{\sf w} r's$ with $r \longrightarrow_{\sf w} r'$. By ind. hyp., $[u/y]r \longrightarrow_{\sf w} [u/y]r'$. Hence,

$$[u/y](r\,s) \quad = \quad ([u/y]r) \ ([u/y]s)$$

$$\longrightarrow_{\mathsf{w}} ([u/y]r') \ ([u/y]s) = [u/y](r'\,s)$$

Fig. 3. Weak head reduction is closed under substitution.

2.3 Representation of Theorems and Proofs

Fig. 3 shows the first lemma of our object theory. How do we represent it? Twelf's internal logic is constructive, therefore the lemma must be interpreted constructively: Given a derivation \mathcal{P} of $t \longrightarrow_{\mathsf{w}} t'$ and a term u, we can construct a derivation \mathcal{P}' of $[u/y]t \longrightarrow_{\mathsf{w}} [u/y]t'$. In type theories with inductive types and recursion, like Agda, Coq [8] and LEGO [13], the lemma would be

represented as a recursive function of the dependent type

```
\Pi t: tm. \Pi t': tm. \Pi \mathcal{P}: t \longrightarrow_{\mathsf{w}} t'. \Pi u: tm. \Pi y: var. [u/y]t \longrightarrow_{\mathsf{w}} [u/y]t'.
```

In Twelf, however, with no recursive functions at hand, the lemma is represented as a relation between input and output derivations, and, thus, via the propositions-as-types paradigm, as just another type family.

The mode statement marks the first two arguments of type family mode as inputs (+) and the third as output (-). Thus, the lemma is a functional relation, and its proof is a logic program with two clauses, one for each case in the proof.

The base case of the induction is given by the constant subst_red_beta, and the step case, which appeals to the induction hypothesis, by subst_red_appl. The *types* of these constants are the actual program and correspond to PRO-LOG clauses. Note that in the second type a reversed arrow "<-", which resembles PROLOG's ":-", has been used to encourage an operational reading:

Substitution in a derivation whose last rule is appl, and the remainder, P, may mention y, results in a derivation P' extended by an application of rule appl. Herein, P' is constructed from P recursively.

Since it is a logic program, we can even "execute" the lemma. Execution in Twelf is search: Given a type with free variables, find an inhabitant of the type and solutions for the free variables. For example:

This defines a 2-rule derivation P which witnesses that $(\lambda x.x) yy \longrightarrow_{\mathsf{w}} yy$. The %solve statement asks Twelf for a derivation P' which arises from P by substituting $\lambda z.z$ for y, according to the lemma. The answer is:

Since the value of P' equals P, the shape of the derivation has not changed, only its result: the type of P'. The value of K gives an execution trace of logic program subst_red: First, clause subst_red_appl has fired, then clause subst_red_beta has concluded the search.

2.4 External Properties: Termination and Coverage

A logic program in Twelf corresponds to a partial function from inputs to outputs as specified by the mode declaration. Since only total functions correspond to valid inductive proofs we must ensure that the defined function terminates on all inputs and covers all possible cases. Both properties cannot be shown within the framework, e.g., we cannot give a proof that subst_red is terminating. Instead, totality of a function needs external reasoning and can be ensured by built-in tactics.

Brigitte Pientka [12] contributed a termination checker which is invoked by the **%terminates** pragma. In our case, the second argument P decreases structurally in each recursive call. Case coverage is ensured by an algorithm by Pfenning and Schürmann [15]. Both termination and coverage checking are necessarily undecidable. For the proof developed in the remainder of this article, we found the implemented termination checker powerful enough to pass our code, whereas the coverage checker could not "see" that indeed all cases are handled. Thus, coverage had to be established manually, but for lack of space we will not detail on it.

3 A Formalized Proof of Weak Normalization

In this section, we present a combinatorial proof of weak normalization for the simply-typed lambda-calculus. It is similar to the textbook proof in Girard, Lafont and Taylor [4, Ch. 4], but we avoid reasoning with numbers altogether. In fact, we follow closely the very syntactical presentation of Joachimski and Matthes [9], which has also been implemented in Isabelle/Isar by Nipkow and Berghofer [3]. The main obstacle to a direct formalization in Twelf is the use of a vector notation for terms by Joachimski and Matthes, which allows them to reason on a high level in some cases. In this section, we will see a "de-vectorized" version of their proof which can be outlined as follows:

- (i) Define an inductive relation $t \downarrow A$.
- (ii) Prove that for every term t:A the relation $t \downarrow A$ holds.
- (iii) Show that every term in the relation is weakly normalizing.

$\it 3.1$ Inductive Characterization of Weak Normalization

Inductive characterizations of normalization go back to Goguen [5] and van Raamsdonk and Severi [16,17]. We introduce a relation $\Gamma \vdash t \Downarrow A$ which stipulates that t is weakly normalizing of type A, and an auxiliary relation

 $\Gamma \vdash t \downarrow^x A$ which additionally claims that t = x s for some sequence of terms s, i.e., t is neutral and head-redex free.

The Twelf representation is similar to the typing relation: Again, Γ and the hypothesis rule are indirectly represented in rule wn_lam.

wne : tm -> ty -> tm -> type.
wn : tm -> ty -> type.

 $wne_app : wne R (A \Rightarrow B) X \rightarrow wn S A \rightarrow wne (app R S) B X.$

 $wn_ne : \{X:tm\} wne R A X -> wn R A.$

 wn_{lam} : ({x:tm} wne x A x -> wn (T x) B)

 \rightarrow wn (lam T) (A \Rightarrow B).

 wn_{exp} : R -->w R' -> wn R' A -> wn R A.

3.2 Closure under Application and Substitution

To show that each typed term t:A is in the relation $t \downarrow A$, we will proceed by induction on the typing derivation. Difficult is the case for an application of the form $(\lambda x.r)s$. It can only be shown to be in the relation by rule wn_exp, which requires us to prove that [s/x]r is in the relation. If x is head variable of r, substitution might create new redexes. In this case, however, we can argue that the type of r is a smaller type than the one of s. These preliminary thoughts lead to the following lemma.

Lemma 3.1 (Application and Substitution) Let $\mathcal{D} :: \Gamma \vdash s \downarrow A$.

- (i) If $\mathcal{E} :: \Gamma \vdash r \Downarrow A \to C$ then $\Gamma \vdash r s \Downarrow C$.
- (ii) If $\mathcal{E} :: \Gamma, x : A \vdash t \Downarrow C$, then $\Gamma \vdash [s/x]t \Downarrow C$.
- (iii) If $\mathcal{E} :: \Gamma, x : A \vdash t \downarrow^x C$, then $\Gamma \vdash [s/x]t \Downarrow C$ and C is a part of A.
- (iv) If $\mathcal{E} :: \Gamma, x : A \vdash t \downarrow^y C$ with $x \neq y$, then $\Gamma \vdash [s/x]t \downarrow^y C$.

In Twelf, the lemma is represented by four type families. The invariant that C is a subexpression of A will be expressed via a $\mbox{\ensuremath{\mbox{"reduces}}}$ statement later, which makes is necessary to make type C an explicit argument to type family $\mbox{subst}_{\tt x}$.

app_wn :
$$\{A:ty\}$$
 wn S A -> wn R (A => C) -> wn (app R S) C -> type.

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Proof of Lemma 3.1 Simultaneously by main induction on type A and side induction on the derivation \mathcal{E} .

(i) Show $\Gamma \vdash r \mathrel{s} \Downarrow C$. If the last rule of \mathcal{E} was wn_ne, hence, r is neutral, then $r \mathrel{s}$ is also neutral by rule wne_app, thus, it is in the relation. If the last rule was wn_exp, we can apply the side ind. hyp. The interesting case is $r = \lambda x.t$ and

$$\frac{\Gamma, x \colon\! A \vdash t \Downarrow C}{\Gamma \vdash \lambda x \colon\! t \Downarrow A \to C} \text{ wn_lam.}$$

Here, we proceed by side ind. hyp. ii.

subst_wn_y : subst_wn A D

(ii) Show $\Gamma \vdash [s/x]t \Downarrow C$ for $\Gamma, x : A \vdash t \Downarrow C$. If t is not neutral, we conclude by ind. hyp. and possibly Lemma 2.1. Otherwise, we distinguish on the head variable of t: is it x, then we proceed by side ind. hyp. iii, otherwise by side ind. hyp. iv.

(iii) Show $\Gamma \vdash [s/x]t \Downarrow C$ for $\Gamma' \vdash t \downarrow^x C$ with $\Gamma' := \Gamma, x : A$. In case t = x, the type C is trivially a part of A = C and we conclude by assumption $\Gamma \vdash s \Downarrow C$. Otherwise, t = ru and the last rule in \mathcal{E} was

$$\frac{\Gamma' \vdash r \downarrow^x B \to C \qquad \Gamma' \vdash u \Downarrow B}{\Gamma' \vdash r \, u \mid^x C} \text{ wne_app.}$$

By side ind hyp. iii we know that $B \to C$ is a part of A and $\Gamma \vdash r' \Downarrow B \to C$ where r' := [s/x]r. Similarly $\Gamma \vdash u' \Downarrow B$ for u' := [s/x]u by side ind hyp. ii. Since B is a *strict* part of A, we can apply the main ind hyp. i and obtain $\Gamma \vdash r'u' \Downarrow C$.

%reduces C <= A (subst_x A D C E F).

The %reduces declaration states that the type expression C is a subexpression of A. Twelf checks that this invariant is preserved in all possibilities of introducing subst_x A D C E F. In case subst_x_x it holds because C is instantiated to A. In case subst_x_app it follows from the ind. hyp. which states that already B => C is a subexpression of A.

(iv) Show $\Gamma \vdash [s/x]t \downarrow^y C$ for $\Gamma, x : A \vdash t \downarrow^y C$. There a two cases. t = y, which holds immediately, and t = ru, which follows from side ind. hyp.s ii and iv. In our Twelf representation, we cannot distinguish variable y from any other term, so we widen the first case to cover all t such that x is not free in t. This is expressed by letting E not refer to x or dx.

To justify the appeals to the ind. hyp.s we invoke the Twelf termination checker with the following termination order.

```
%terminates {(Ax Ay As Aa) (Ex Ey Es Ea)}
  (subst_x Ax _ Ex _)
  (subst_y Ay _ Ey _)
  (subst_wn As _ Es _)
```

It expresses that the four type families are mutually recursive and terminate w.r.t. the lexicographic order on pairs (A, \mathcal{E}) of types A and typing derivations \mathcal{E} . This corresponds on a main induction on A and a side induction on \mathcal{E} . To verify termination, Twelf makes use of the **%reduces** declaration.

3.3 Soundness of Inductive Characterization

To complete our proof of weak normalization, we need to show that for each term t in the relation $t \downarrow A$ or $t \downarrow^x A$ there exists a normal form v such that $t \longrightarrow^* v$. After formulating full reduction \longrightarrow with the usual closure properties, the proof is a simple induction on the derivation $\mathcal{E} :: t \downarrow A$ resp. $\mathcal{E} :: t \downarrow^x A$. For lack of space we exclude the details, an implementation of the proof is available online [1].

4 On Proof-Theoretical Limitations of Twelf

Having successfully completed the proof of weak normalization we are interested whether it could be extended to strong normalization and stronger object theories, like Gödel's T. In this section, we touch these questions, but our answers are speculative and preliminary.

Joachimski and Matthes [9] extend their proof to Gödel's T, using the infinitary ω -rule to state when a recursive function over natural numbers is weakly normalizing. Their proof is not directly transferable since only finitary rules can be represented in Twelf.

For the same reason, Tait's proof cannot be formalized in Twelf. Its key part is the definition

$$\frac{\forall s. \ s \Downarrow A \Rightarrow r s \Downarrow B}{r \Downarrow A \to B}$$

with an infinitary premise. Its literal translation into Twelf

$$wn_arr : ({S:tm} wn S A \rightarrow wn (app R S) B) \rightarrow wn R (A \Rightarrow B)$$

means something else, namely "if for a fresh term S for which we assume wn S A it holds that wn (app R S) B, then wn R (A => B)". Translating this back into mathematical language, we obtain the rule

$$\frac{x \Downarrow A \Rightarrow rx \Downarrow B}{r \Downarrow A \to B} \text{ for a fresh variable } x.$$

Since variables x are weakly normalizing anyway, we can simplify the premise further to $rx \downarrow B$, obtaining clearly something we did not want in the first place.

Due to the interpretation of quantification in Twelf, infinitary rules cannot be represented, which also obstructs the definition of the predicate *strongly*

normalizing sn by the inductive rule

$$\frac{\forall t'.\ t\longrightarrow t'\Rightarrow\operatorname{sn}t'}{\operatorname{sn}t},$$

expressing that the set of strongly normalizing terms is the accessible part of the reduction relation.

Concluding, one might say that normalization of Gödel's T and proofs of strong normalization are at least difficult to express in Twelf. To see whether they are feasible at all, a detailed proof-theoretic analysis of Twelf would be required.

5 Conclusion and Related Work

We have presented a formalization of Joachimski and Matthes' version of an elementary proof of weak normalization of the simply-typed λ -calculus in Twelf. We further have outlined some problems with direct proofs of strong normalization and Tait style proofs.

In the 1990s, Filinski has investigated feasibility of logical relation proofs in the Edinburgh LF, but his findings remained unpublished. According to Pfenning, a possible way is to first define a logic in LF, and then within this logic investigate normalization of λ -calculi. This path is taken in the Isabelle system whose framework is similar to LF but only simply-typed instead of dependently typed. On top of core Isabelle, higher-order logic (HOL) is implemented which serves as the meta language in which, in turn, object theories are considered. Rich tactics for HOL make up for the loss of framework mechanism due to the extra indirection level. In Twelf, one could follow this path as well, with the drawback that the built-in facilities like termination checker and automated prover [14] would be rendered inapplicable.

Independently of the author, Watkins and Crary have formalized a normalization algorithm and proof in Twelf, namely for Watkins' concurrent logical framework. It is said to follow the principle of our Lemma 3.1, namely showing that canonical forms (=normal forms) are closed under eliminations.

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