#### Nominal Techniques or, Something Crazy about Free Variables

#### Christian Urban (TU Munich)

http://isabelle.in.tum.de/nominal/

Free Variables of Lambda-Terms:

$$egin{aligned} \mathsf{fv}(x) &= \{x\} \ \mathsf{fv}(t_1\,t_2) &= \mathsf{fv}(t_1) \cup \mathsf{fv}(t_2) \ \mathsf{fv}(\lambda x.t) &= \mathsf{fv}(t) - \{x\} \end{aligned}$$

What are the free variables of pairs, sets, functions...?

# **Informal Reasoning**

Fluet: "Expressions differing only in names of bound variables are equivalent."

Harper and Pfenning about contexts: "...when we write  $\Gamma$ ,x:A we assume that x is not already declared in  $\Gamma$ . If necessary, we tacitly rename x before adding it to the context  $\Gamma$ ."

Pfenning in Logical Frameworks - A Brief Introduction: "We allow tacit  $\alpha$ -conversion (renaming of bound variables) ..."

### Plan

 How do we get a type for lambda-terms where we have the equation

 $\lambda x.x = \lambda y.y?$ 

 For this we will have a closer look at the notion of free variables and describe abstractly what abstractions are. (Lots of fun!)

## **A Non-Starter**

#### If we define

```
datatype lam =
Var "name"
| App "lam" "lam"
| Lam "name" "lam"
```

then we do not have  $\lambda x.x = \lambda y.y.$ 

 In this case we have to make sure (manually) that everything we do is invariant modulo alphaequivalence. Curry & Feys need in "Combinatory Logic" 10 pages just for showing that

 $M \approx_{\alpha} M', N \approx_{\alpha} N' \Rightarrow M[x := N] \approx_{\alpha} M'[x := N']$ 



HOL includes a mechanism for introducing new types:

 If you can identify a non-empty subset in an existing type, then you can turn this set into a new type.

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# **Types in HOL**

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• As a result, we will be able to introduce the **type** of <u>named</u>  $\alpha$ -equivalence classes.

```
nominal_datatype lam =
Var "name"
| App "lam" "lam"
| Lam "«name»lam"
```

## **First Naive Attempt**

• We can define 'raw' lambda-terms (i.e. trees) as

```
datatype raw_lam =
Var "name"
| App "raw_lam" "raw_lam"
| Lam "name" "raw_lam"
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# and then quotient them modulo α. typedef lam = "(UNIV::raw\_lam set) // alpha"

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- and then quotient them modulo α.
   typedef lam = "(UNIV::raw\_lam set) // alpha"
- Problem: This is not an inductive definition and we have to provide an induction principle for lam (recall Barendregt's substitution lemma). This is painful.

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- Unfortunately this does not work, because datatypes need to be definable as sets.
- But a Cantor argument will tell us that pre\_lam set will always be bigger than pre\_lam.

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 In the following we will make this idea to work by finding an alternative representation for α-equivalence classes.

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• What are the free variables of a set?  $f_{v}(S) \stackrel{\text{def}}{=} \bigcup_{t \in S} f_{v}(t)$ 

## **Free Variables (2)**

• What are the free variables of a function, for example the identity function?

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But you just told me what the free variables of pairs and sets are. The identity function can be seen as the set of pairs (inputs and outputs):

 $\{(x,x),(y,y),(z,z),\ldots,(t_1\,t_2,t_1,t_2),\ldots\}$ 

This would imply that the free variables of  $\lambda x.x$  is the set of **all** variables?!

# **Free Variables (3)**

- We like to have an (overloaded) definition recursing over the type hierarchy.
  - Starting with definitions for the base types (such as natural numbers, strings and the object languages we want to study).
  - Then for type-formers where the definition should depend on earlier defined notions:

$$fv(t_1, t_2) \stackrel{\text{def}}{=} fv(t_1) \cup fv(t_2)$$
$$fv([]) \stackrel{\text{def}}{=} \emptyset$$
$$fv(t :: ts) \stackrel{\text{def}}{=} fv(t) \cup fv(ts)$$

• But what shall we do about functions,  $au \Rightarrow \sigma$ ?

#### Atoms

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  - They will be used for object language variables.
  - They are the 'things' that can be bound.
- We restrict ourselves here to just one kind of atoms.
- Permutations are lists of pairs of atoms:  $(a_1, b_1) \dots (a_n, b_n)$

### **Permutations**

A permutation acts on atoms as follows:

$$[] \cdot a \stackrel{\text{def}}{=} a$$
  
 $((a_1 a_2) :: \pi) \cdot a \stackrel{\text{def}}{=} \begin{cases} a_1 & \text{if } \pi \cdot a = a_2 \\ a_2 & \text{if } \pi \cdot a = a_1 \\ \pi \cdot a & \text{otherwise} \end{cases}$ 

- [] stands for the empty list (the identity permutation), and
- $(a_1 a_2) :: \pi$  stands for the permutation  $\pi$  followed by the swapping  $(a_1 a_2)$ . (We usually drop the ::.)

- the composition of two permutations is given by list-concatenation, written as  $\pi'@\pi$ ,
- the inverse of a permutation is given by list reversal, written as  $\pi^{-1}$ , and
- permutation equality, two permutations  $\pi$  and  $\pi'$  are equal iff

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• Example calculations:

 $(b d)(b c)(a c) \cdot a = d$ 

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• Example calculations:  $(b d)(b c)(a c)^{-1} = (a c)(b c)(b d)$ 

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• Example calculations:

 $(a a) \sim []$ 

# **Three Properties**

We require of all permutation operations that:

- $[] \cdot x = x$
- $(\pi_1 @ \pi_2) \cdot x = \pi_1 \cdot (\pi_2 \cdot x)$
- If  $\pi_1 \sim \pi_2$  then  $\pi_1 \cdot x = \pi_2 \cdot x$ .
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From this we have:

- $\pi^{-1} \cdot (\pi \cdot x) = x$
- $\pi \cdot x_1 = x_2$  if and only if  $x_1 = \pi^{-1} \cdot x_2$
- $x_1 = x_2$  if and only if  $\pi \cdot x_1 = \pi \cdot x_2$

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An aside: This definition leads also to a simple definition of  $\alpha$ -equivalence:

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# **Perm's for Other Types**

- $\boldsymbol{\pi} \cdot (\boldsymbol{x}_1, \boldsymbol{x}_2) \stackrel{\text{\tiny def}}{=} (\boldsymbol{\pi} \cdot \boldsymbol{x}_1, \boldsymbol{\pi} \cdot \boldsymbol{x}_2)$  pairs
- $\pi \cdot [] \stackrel{\text{def}}{=} []$  lists  $\pi \cdot (x :: xs) \stackrel{\text{def}}{=} (\pi \cdot x) :: (\pi \cdot xs)$

• 
$$\pi \cdot X \stackrel{\text{\tiny def}}{=} \{ \pi \cdot x \mid x \in X \}$$
 sets  $\pi \cdot [\lambda x.N]_{lpha} = [\lambda(\pi \cdot x).(\pi \cdot N)]_{lpha}$ 

•  $\pi \cdot f \stackrel{\text{def}}{=} \lambda x \cdot \pi \cdot (f(\pi^{-1} \cdot x))$  functions  $\pi \cdot (fx) = (\pi \cdot f)(\pi \cdot x)$ 

integers, strings, bools

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 $= \ \pi \cdot (f \ (\pi^{-1} \cdot (\pi \cdot x)))$   
 $= \ \pi \cdot (f \ x)$ 

 $\boldsymbol{\pi}\boldsymbol{\cdot}(\boldsymbol{x} :: \boldsymbol{x} \boldsymbol{s}) = (\boldsymbol{\pi}\boldsymbol{\cdot}\boldsymbol{x}) :: (\boldsymbol{\pi}\boldsymbol{\cdot}\boldsymbol{x} \boldsymbol{s})$ 

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#### **Support and Freshness**

The support of an object  $\boldsymbol{x}$  is a set of atoms:

 $\mathsf{supp}(x) \stackrel{\mathsf{def}}{=} \{ a \mid \mathsf{infinite} \ \{ b \mid (a \ b) \boldsymbol{\cdot} x 
eq x \} \}$  $a \ \# \ x \stackrel{\mathsf{def}}{=} a \ 
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In words: all atoms a where the set

 $\{b \mid (a \ b) \boldsymbol{\cdot} x \neq x\}$ 

is infinite (each swapping (a b) needs to change something in x).

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 $supp(x) \stackrel{\text{def}}{=} \{a \mid \text{infinite} \{b \mid (a \ b) \cdot x \neq x\}\}$   $a \ \# \ x \stackrel{\text{def}}{=} a \ \not\in \text{supp}(x)$ OK, this definition is a tiny bit complicated, so let's go slowly...

 $\{b \mid (a \ b) \boldsymbol{\cdot} x \neq x\}$ 

is infinite (each swapping (a b) needs to change something in x).

What is the support of the atom c?

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Let's check the (infinitely many) atoms one by one:

 $a: (a?) \cdot c \neq c$ 

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$$a: (a?) \cdot c \neq c \text{ no}$$
  

$$b: (b?) \cdot c \neq c \text{ no}$$
  

$$c: (c?) \cdot c \neq c$$

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$$c: (c?) \cdot c \neq c \text{ yes}$$
  

$$d: (d?) \cdot c \neq c$$

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 $\mathsf{supp}(t_1,t_2) \stackrel{\text{\tiny def}}{=} \{ a \mid \mathsf{inf} \; \{ b \mid (a \; b) \boldsymbol{\cdot} (t_1,t_2) \neq (t_1,t_2) \} \}$ 

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We know $(t_1,t_2)=(s_1,s_2)$  iff  $t_1=s_1\wedge t_2=s_2$ hence $(t_1,t_2)
eq(s_1,s_2)$  iff  $t_1
eq s_1\lor t_2
eq s_2$ 

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 $\{a \mid \inf\{b \mid ((a \ b) \cdot t_1, (a \ b) \cdot t_2) \neq (t_1, t_2)\} \}$   $\{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1 \lor (a \ b) \cdot t_2 \neq t_2\} \}$   $\{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1\} \cup \{b \mid (a \ b) \cdot t_2 \neq t_2\}) \}$   $\{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1\} \lor \inf\{b \mid (a \ b) \cdot t_2 \neq t_2\} \}$   $\{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1\} \cup \{a \mid \inf\{b \mid (a \ b) \cdot t_2 \neq t_2\} \}$ 

 $\mathsf{supp}(t_1,t_2) \stackrel{\text{\tiny def}}{=} \{ a \mid \mathsf{inf} \; \{ b \mid (a \ b) \boldsymbol{\cdot} (t_1,t_2) \neq (t_1,t_2) \} \}$ 

$$\begin{split} & \{a \mid \inf\{b \mid ((a \ b) \cdot t_1, (a \ b) \cdot t_2) \neq (t_1, t_2)\} \} \\ & \{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1 \lor (a \ b) \cdot t_2 \neq t_2\} \} \\ & \{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1\} \cup \{b \mid (a \ b) \cdot t_2 \neq t_2\}) \} \\ & \{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1\} \lor \inf\{b \mid (a \ b) \cdot t_2 \neq t_2\} \} \\ & \{a \mid \inf\{b \mid (a \ b) \cdot t_1 \neq t_1\} \} \cup \{a \mid \inf\{b \mid (a \ b) \cdot t_2 \neq t_2\} \} \\ & \sup(t_1) \qquad \cup \qquad \sup(t_2) \end{split}$$

 $\mathsf{supp}(t_1,t_2) \stackrel{\text{\tiny def}}{=} \{ a \mid \mathsf{inf} \ \{ b \mid (a \ b) \boldsymbol{\cdot} (t_1,t_2) \neq (t_1,t_2) \} \}$ 

shows "supp  $(t_1, t_2)$  = supp  $t_1 \cup ((supp t_2)::atom set)" proof -$ 

#### have "supp $(t_1, t_2) = \{a. inf \{b. [(a,b)] \cdot (t_1, t_2) \neq (t_1, t_2)\}\}$ " by (simp add: supp\_def)

also have "... = {a. inf {b.  $([(a,b)] \cdot t_1, [(a,b)] \cdot t_2) \neq (t_1, t_2)$ }" by simp also have "... = {a. inf {b.  $[(a,b)] \cdot t_1 \neq t_1 \lor [(a,b)] \cdot t_2 \neq t_2$ }" by simp also have "... = {a. inf ({b.  $[(a,b)] \cdot t_1 \neq t_1$ }  $\cup$  {b.  $[(a,b)] \cdot t_2 \neq t_2$ })}" by (simp only: Collect\_disj\_eq) also have "... = {a. (inf {b.  $[(a,b)] \cdot t_1 \neq t_1$ }) $\lor$ (inf {b.  $[(a,b)] \cdot t_2 \neq t_2$ })}" by simp

also have "... = {a. inf {b. [(a,b)]•t₁ ≠ t₁}}∪{a. inf {b. [(a,b)]•t₂ ≠ t₂}}"
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shows "supp  $(t_1, t_2)$  = supp  $t_1 \cup ((supp t_2)::atom set)" proof -$ 

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also have "... = {a. inf {b. ([(a,b)]• $t_1$ ,[(a,b)]• $t_2$ )  $\neq$  ( $t_1$ , $t_2$ )}}" by simp also have "... = {a. inf {b. [(a,b)]• $t_1 \neq t_1 \lor [(a,b)]•t_2 \neq t_2$ }" by simp also have "... = {a. inf ({b. [(a,b)]• $t_1 \neq t_1$ }  $\cup$  {b. [(a,b)]• $t_2 \neq t_2$ })}"

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also have "... = supp  $t_1 \cup$  supp  $t_2$ " by (simp add: supp\_def) finally show "supp ( $t_1, t_2$ ) = supp  $t_1 \cup$  ((supp  $t_2$ )::atom set)" by simp

qed

shows "supp  $(t_1, t_2)$  = supp  $t_1 \cup ((supp t_2)::atom set)" proof -$ 

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#### It's as Simple as This Lemma: $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$

It's as Simple as This Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ 

Proof: case a = b clear.
$\frac{\text{Proof:}}{(1) \text{ fin} \{c \mid (a \ c) \cdot x \neq x\}} \\ \text{fin} \{c \mid (b \ c) \cdot x \neq x\}$ 

from Ass. +Def. of #

$$egin{array}{rcl} a \ \# \ x \ \stackrel{ ext{def}}{=} & a 
ot\in ext{supp}(x) \ ext{supp}(x) \ \stackrel{ ext{def}}{=} & \{a \ | \ ext{inf}\{c \ | \ (a \ c) {f \cdot} x 
eq x\}\} \end{array}$$

 $\begin{array}{l} \underline{\operatorname{Proof:}} \operatorname{case} a \neq b:\\ (1) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x\} & \text{from Ass. +Def. of } \#\\ \operatorname{fin} \{c \mid (b \ c) \cdot x \neq x\} \\ (2) \operatorname{fin} (\{c \mid (a \ c) \cdot x \neq x\} \cup \{c \mid (b \ c) \cdot x \neq x\}) \text{ f'rm (1)} \end{array}$ 

 $\begin{array}{l} \underline{\operatorname{Proof:}} \operatorname{case} a \neq b:\\ (1) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x\} & \text{from Ass. +Def. of } \#\\ \operatorname{fin} \{c \mid (b \ c) \cdot x \neq x\} \\ (2) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x \lor (b \ c) \cdot x \neq x\} & \text{f'rm (1)} \end{array}$ 

$$\begin{array}{l} \underline{\operatorname{Proof:}} \operatorname{case} a \neq b:\\ (1) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x\} & \text{from Ass. +Def. of } \#\\ \operatorname{fin} \{c \mid (b \ c) \cdot x \neq x\} \\ (2) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x \lor (b \ c) \cdot x \neq x\} & \text{f'rm (1)}\\ (3) \operatorname{inf} \{c \mid \neg ((a \ c) \cdot x \neq x \lor (b \ c) \cdot x \neq x)\} & \text{f'rm (2)} \end{array}$$

Given a finite set of atoms, its 'co-set' must be infinite.

$$\begin{array}{l} \underline{\operatorname{Proof:}} \operatorname{case} a \neq b:\\ (1) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x\} & \text{from Ass. +Def. of } \#\\ \operatorname{fin} \{c \mid (b \ c) \cdot x \neq x\} \\ (2) \operatorname{fin} \{c \mid (a \ c) \cdot x \neq x \lor (b \ c) \cdot x \neq x\} & \text{f'rm (1)}\\ (3) \operatorname{inf} \{c \mid (a \ c) \cdot x = x \land (b \ c) \cdot x = x\} & \text{f'rm (2)} \end{array}$$

<u>Proof</u> : case $a \neq b$ :	
(1) fin $\{c \mid (a \ c) \cdot x \neq x\}$ fr	rom Ass. +Def. of #
$fin\{c \mid (bc){\boldsymbol{\cdot}} x \neq x\}$	
(2) fin $\{c \mid (a \ c) \boldsymbol{\cdot} x  eq x \lor (b \ c) \boldsymbol{\cdot} x  eq$	<b>x</b> } f'rm (1)
(3) $\inf \{ c \mid (a \ c) \cdot x = x \land (b \ c) \land (b \ c) \cdot x = x \land (b \ c) \land (b$	${\mathbf x}$ f'rm (2)
(4) (i) $(a c) \cdot x = x$ (ii) $(b c) \cdot x = x$	for a $\mathbf{c} \in (3)$

If a set is infinite, it must contain a few elements. Let's pick c.

<u>Proof</u> : case $a \neq b$ :	
(1) fin{ $c \mid (a c) \cdot x \neq x$ } from A	ss. +Def. of #
$fin\{c \mid (bc){\boldsymbol{\cdot}} x \neq x\}$	
(2) fin{ $c \mid (a c) \cdot x \neq x \lor (b c) \cdot x \neq x$ }	f'rm (1)
(3) $\inf\{c \mid (a c) \cdot x = x \land (b c) \cdot x = x\}$	f'rm (2)
(4) (i) $(a c) \cdot x = x$ (ii) $(b c) \cdot x = x$	for a $\mathbf{c} \in (3)$
$(5) (a c) \cdot x = x$	by (4i)

Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ Proof: case  $a \neq b$ : (1) fin  $\{c \mid (a \ c) \cdot x \neq x\}$ from Ass. +Def. of #  $fin\{c \mid (bc) \cdot x \neq x\}$ (2) fin{ $c \mid (a c) \cdot x \neq x \lor (b c) \cdot x \neq x$ } f'rm (1) (3)  $\inf \{ c \mid (a c) \cdot x = x \land (b c) \cdot x = x \}$ f'rm (2) (4) (i)  $(a c) \cdot x = x$  (ii)  $(b c) \cdot x = x$ for a  $\mathbf{c} \in (3)$  $(5) (a c) \cdot x = x$ by (4i) (6)  $(b c) \cdot (a c) \cdot x = (b c) \cdot x$ by bij.

It's as Simple as This

bij.: 
$$x = y$$
 iff  $\pi \cdot x = \pi \cdot y$ 

It's as Simple as This Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ Proof: case  $a \neq b$ : (1) fin  $\{c \mid (a \ c) \cdot x \neq x\}$ from Ass. +Def. of #  $fin\{c \mid (bc) \cdot x \neq x\}$ (2) fin{ $c \mid (a c) \cdot x \neq x \lor (b c) \cdot x \neq x$ } f'rm (1) (3)  $\inf \{ c \mid (a c) \cdot x = x \land (b c) \cdot x = x \}$ f'rm (2) (4) (i)  $(a c) \cdot x = x$  (ii)  $(b c) \cdot x = x$ for a  $\mathbf{c} \in (3)$ (5)  $(a c) \cdot x = x$ by (4i) by bij. (4ii) (6)  $(b c) \cdot (a c) \cdot x = x$ 

Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ Proof: case  $a \neq b$ : (1) fin  $\{c \mid (a \ c) \cdot x \neq x\}$ from Ass. +Def. of #  $fin\{c \mid (b c) \cdot x \neq x\}$ (2) fin{ $c \mid (a c) \cdot x \neq x \lor (b c) \cdot x \neq x$ } f'rm (1) (3)  $\inf \{ c \mid (a c) \cdot x = x \land (b c) \cdot x = x \}$ f'rm (2) (4) (i)  $(a c) \cdot x = x$  (ii)  $(b c) \cdot x = x$ for a  $\mathbf{c} \in (3)$  $(5) (a c) \cdot x = x$ by (4i) (6)  $(b c) \cdot (a c) \cdot x = x$ by bij. (4ii) (7)  $(a c) \cdot (b c) \cdot (a c) \cdot x = (a c) \cdot x$ by bij.

It's as Simple as This

Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ Proof: case  $a \neq b$ : (1) fin  $\{c \mid (a \ c) \cdot x \neq x\}$ from Ass. +Def. of #  $fin\{c \mid (b c) \cdot x \neq x\}$ (2) fin{ $c \mid (a c) \cdot x \neq x \lor (b c) \cdot x \neq x$ } f'rm (1) (3)  $\inf \{ c \mid (a c) \cdot x = x \land (b c) \cdot x = x \}$ f'rm (2) (4) (i)  $(a c) \cdot x = x$  (ii)  $(b c) \cdot x = x$ for a  $\mathbf{c} \in (3)$ by (4i)  $(5) (a c) \cdot x = x$ (6)  $(b c) \cdot (a c) \cdot x = x$ by bij. (4ii) (7)  $(a c) \cdot (b c) \cdot (a c) \cdot x = x$ by bij.(4i)

It's as Simple as This

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It's as Simple as This

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Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ Proof: case  $a \neq b$ : (1) fin  $\{c \mid (a \ c) \cdot x \neq x\}$ from Ass. +Def. of #  $fin\{c \mid (b c) \cdot x \neq x\}$ (2) fin property of permutation:  $\not\in x$ f'rm (1) (3) inf  $\pi_1 \sim \pi_2 \Rightarrow \pi_1{\scriptstyle ullet} x = \pi_2{\scriptstyle ullet} x$ = xf'rm (2) (4) (i)  $(a c) \cdot x = x$  (ii)  $(b c) \cdot x = x$ for a  $\mathbf{c} \in (3)$  $(5) (a c) \cdot x = x$ by (4i) by bij.,(4ii) (6)  $(b c) \cdot (a c) \cdot x = x$ (7)  $(a c) \cdot (b c) \cdot (a c) \cdot x = x$ by bij. (4i) (8)  $(a b) \cdot x = x$ by prop. of perms

It's as Simple as This

Lemma:  $a \# x \land b \# x \Rightarrow (a b) \cdot x = x$ Proof: case  $a \neq b$ : (1) fin  $\{c \mid (a \ c) \cdot x \neq x\}$ from Ass. +Def. of #  $fin\{c \mid (b c) \cdot x \neq x\}$ (2) fin{ $c \mid (a c) \cdot x \neq x \lor (b c) \cdot x \neq x$ } f'rm (1) (3)  $\inf \{ c \mid (a c) \cdot x = x \land (b c) \cdot x = x \}$ f'rm (2) (4) (i)  $(a c) \cdot x = x$  (ii)  $(b c) \cdot x = x$ for a  $\mathbf{c} \in (3)$  $(5) (a c) \cdot x = x$ by (4i) (6)  $(b c) \cdot (a c) \cdot x = x$ by bij. (4ii) (7)  $(a c) \cdot (b c) \cdot (a c) \cdot x = x$ by bij.(4i)(8)  $(a b) \cdot x = x$ by prop. of perms Done.

It's as Simple as This

#### **Existence of a Fresh Atom**

Q: Why do we assume that there are countably infinitely many atoms?

A: For any finitely supported  $\boldsymbol{x}$ :

 $\exists a. a \# x$ 

If something is finitely supported, then we can always choose a fresh atom (also for finitely supported functions).

# **Exercises about Support**

- Given a <u>finite</u> set of atoms. What is the support of this set?
- What is the support of the set of <u>all</u> atoms?
- From the set of all atoms take one atom out. What is the support of the resulting set?
- Are there any sets of atoms that have infinite support?



"Support by Andrew Pitts"

#### In Daily Use there Is Nothing Scary about Support

- We usually restrict ourselves to finitary structures (lists, lambda-terms, etc). In those structures, the notion of support coincides with the usual notion of what the free variables are.
- We just have to be careful with sets and functions (we treat them on a case-by-case basis and they usually turn out to have empty support).

#### In Daily Use there Is Nothing Scary about Support

- We usually restrict ourselves to finitary structures (lists, lambda-terms, etc). In those structures, the notion of support coincides with the usual notion of what the free variables are.
- We just have to be careful with sets and functions (we treat them on a case-by-case basis and they usually turn out to have empty support).
- There are two reasons for wanting to find out what the free variables of functions are: when we define functions over the "structure" of α-equivalence classes and because of a trick.

## **Nominal Abstractions**

We are now going to specify what abstraction 'abstractly' means: it is an operation

 $[\_].(\_): atom \Rightarrow trm \Rightarrow trm$ 

and has to satisfy two properties:

•  $\pi \cdot ([a] \cdot x) = [\pi \cdot a] \cdot (\pi \cdot x)$ 

• 
$$[a].x = [b].y$$
 iff

• These two properties imply for finitely supported x $supp([a].x) = supp(x) - \{a\}$ 

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We are now going to specify what abstraction 'abstractly' means: it is an operation

 $[\_].(\_): atom \Rightarrow trm \Rightarrow trm$ 

and has to satisfy two properties:

•  $\pi \cdot ([a] \cdot x) = [\pi \cdot a] \cdot (\pi \cdot x)$ 

• 
$$[a].x = [b].y$$
 iff

• These two properties imply for finitely supported x $supp([a].x) = supp(x) - \{a\}$ 

## **Nominal Abstractions**

We are now going to specify what abstraction 'abstractly' means: it is an operation

 $[\_].(\_): atom \Rightarrow trm \Rightarrow trm$ 

and has to satisfy two properties:

• 
$$\pi \cdot ([a].x) = [\pi \cdot a].(\pi \cdot x)$$
  
•  $[a].x$   
 $(a = \begin{bmatrix} a \# [a].x \\ a \# [a].x \end{bmatrix} \xrightarrow{b \neq a \ b \# x}{b \# [a].x}$   
 $(a \neq b \land x = (a \ b) \cdot y \land a \# y)$ 

• These two properties imply for finitely supported x $supp([a].x) = supp(x) - \{a\}$ 

**Function** 
$$[a].t = (\lambda a.t]_{\alpha}$$

$$[a].t \stackrel{\text{def}}{=} (\lambda b.\text{if } a = b \\ \text{then Some}(t) \\ \text{else if } b \# t \text{ then Some}((b a) \cdot t) \text{ else None})$$

type: atom  $\rightarrow$  trm option



Function  $[a].t = [\lambda a.t]_{\alpha}$   $[a].(a,c) \stackrel{\text{def}}{=}$   $(\lambda b.\text{if } a = b$ then Some(a,c)else if b # (a,c)then Some $((b a) \cdot (a,c))$  else None)

Let's check this for  $[a] \cdot (a, c)$ :

Function  $[a].t = (\lambda a.t]_{\alpha}$  $[a].(a,c) \stackrel{\scriptscriptstyle{\mathsf{def}}}{=}$  $(\lambda b.if a = b)$ then Some(a, c)else if b # (a, c)then Some $((b a) \cdot (a, c))$  else None) Let's check this for [a].(a, c): a 'applied to' [a].(a,c) 'gives' Some(a,c)

Function  $[a].t := [\lambda a.t]_{\alpha}$   $[a].(a,c) \stackrel{\text{def}}{=}$  $(\lambda b.\text{if } a = b)$ 

then Some(a, c)else if b # (a, c)then Some $((b a) \cdot (a, c))$  else None)

Let's check this for [a].(a, c):

a 'applied to' [a].(a,c) 'gives' Some(a,c)b 'applied to' [a].(a,c) 'gives' Some(b,c)

**Function** 
$$[a].t$$
 '='  $[\lambda a.t]_{\alpha}$ 

 $[a].(a, c) \stackrel{\text{def}}{=} \\ (\lambda b.\text{if } a = b \\ \text{then Some}(a, c) \\ \text{else if } b \ \# \ (a, c) \\ \text{then Some}((b \ a) \cdot (a, c)) \text{ else None})$ 

Let's check this for [a].(a, c):

a 'applied to' [a].(a, c) 'gives' Some(a, c)b 'applied to' [a].(a, c) 'gives' Some(b, c)c 'applied to' [a].(a, c) 'gives' None **Function**  $[a].t = (\lambda a.t]_{\alpha}$ 

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Let's check this for [a].(a, c):

a 'applied to' [a].(a, c) 'gives' Some(a, c)b 'applied to' [a].(a, c) 'gives' Some(b, c)c 'applied to' [a].(a, c) 'gives' None d 'applied to' [a].(a, c) 'gives' Some(d, c) **Function**  $[a].t = (\lambda a.t]_{\alpha}$ 

 $[a].(a, c) \stackrel{\text{def}}{=} \\ (\lambda b.\text{if } a = b \\ \text{then Some}(a, c) \\ \text{else if } b \ \# \ (a, c) \\ \text{then Some}((b \ a) \cdot (a, c)) \text{ else None})$ 

Let's check this for [a].(a, c):

 $\begin{array}{ll} a \text{ 'applied to' } [a].(a,c) \text{ 'gives' Some}(a,c) & `\lambda a.(a\,c)'\\ b \text{ 'applied to' } [a].(a,c) \text{ 'gives' Some}(b,c) & `\lambda b.(b\,c)'\\ c \text{ 'applied to' } [a].(a,c) \text{ 'gives' None}\\ d \text{ 'applied to' } [a].(a,c) \text{ 'gives' Some}(d,c) & `\lambda d.(d\,c)'\\ \end{array}$ 

Function  $|a|.t = (\lambda a.t)_{\alpha}$  $[a].(a,c) \stackrel{\scriptscriptstyle{\mathsf{def}}}{=}$  $(\lambda b.if a = b$ then Some(a, c)else if b # (a, c)then  $Some((b a) \cdot (a, c))$  else None) Let's check this for  $[a] \cdot (a, c)$ :  $[\lambda a.(a c)]_{\alpha}$  $a^{k'}$ applied to' [a].(a,c) 'gives' Some(a,c) $\lambda a.(a c)$ b 'applied to' [a].(a,c) 'gives' Some(b,c) $\lambda b.(b c)$ c 'applied to' [a].(a, c) 'gives' None d 'applied to' [a].(a, c) 'gives' Some(d, c) $\lambda d.(dc)$ 

Function 
$$[a].t = (\lambda a.t]_{\alpha}$$

 $[a].t \stackrel{\text{def}}{=} (\lambda b.\text{if } a = b \\ \text{then Some}(t) \\ \text{else if } b \# t \text{ then Some}((b a) \cdot t) \text{ else None})$ 

This function 'takes' a lambda-abstraction and an atom, and tries to rename the abstraction according to the given atom.

Function 
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This function 'takes' a lambda-abstraction and an atom, and tries to rename the abstraction according to the given atom.

# $\alpha$ -Equivalence Classes

We can now define **inductively named**  $\alpha$ -equivalence classes of lambda-terms:



#### **Definition of Small Set**



$$egin{aligned} \overline{\mathsf{Var}\, a \in \Lambda_lpha} & rac{t_1 \in \Lambda_lpha & t_2 \in \Lambda_lpha}{\mathsf{App}\, t_1\, t_2 \in \Lambda_lpha} \ & rac{t \in \Lambda_lpha}{\mathsf{Lam}\, [a].t \in \Lambda_lpha} \end{aligned}$$

#### **Definition of Small Set**



$$egin{aligned} \overline{\mathsf{Var}\,a\in\Lambda_lpha}&rac{t_1\in\Lambda_lpha&t_2\in\Lambda_lpha}{\mathsf{App}\,t_1\,t_2\in\Lambda_lpha}\ &rac{t\in\Lambda_lpha}{\mathsf{Lam}\,[a].t\in\Lambda_lpha} \end{aligned}$$

#### **Definition of Small Set**



This means we have the familiar induction principle for  $\Lambda_{\alpha}$  and so also for  $\Lambda_{/\approx}$ .
## **Structural Induction**

$$egin{array}{lll} \overline{\operatorname{Var} a \in \Lambda_lpha} & rac{t_1 \in \Lambda_lpha & t_2 \in \Lambda_lpha}{\operatorname{App} t_1 t_2 \in \Lambda_lpha} \ & rac{t \in \Lambda_lpha}{\operatorname{Lam} [a].t \in \Lambda_lpha} \end{array}$$

... implies the structural induction principle over the **type lam**:

### **Better Structural Induction**

implies (as seen yesterday)

provided c is finitely supported

#### nominal\_datatype lam = Var "name" | App "lam" "lam" | Lam "«name»lam" ("Lam [\_].\_")

lemma alpha\_test:
 shows "Lam [x].Var x = Lam [y].Var y"
 by (simp add: lam.inject alpha swap\_simps fresh\_atm)

#### nominal\_datatype lam = Var "name" | App "lam" "lam" | Lam "«name»lam" ("Lam [\_].\_")

lemma alpha\_test:
 shows "Lam [x].Var x = Lam [y].Var y"
 by (simp add: lam.inject alpha swap\_simps fresh\_atm)

thm lam.inject[no\_vars] (Var x1 = Var y1) = (x1 = y1) (App x2 x1 = App y2 y1) = (x2 = y2  $\land$  x1 = y1) (Lam [x1].x2 = Lam [y1].y2) = ([x1].x2 = [y1].y2)

#### nominal\_datatype lam = Var "name" | App "lam" "lam" | Lam "«name»lam" ("Lam [\_].\_")

lemma alpha\_test:
 shows "Lam [x].Var x = Lam [y].Var y"
 by (simp add: lam.inject alpha swap\_simps fresh\_atm)

thm alpha[no\_vars]
([a].x = [b].y) =
 (a = b ∧ x = y ∨ a ≠ b ∧ x = [(a, b)] • y ∧ a # y)

```
nominal_datatype lam =
Var "name"
| App "lam" "lam"
| Lam "«name»lam" ("Lam [_]._")
```

```
lemma alpha_test:
   shows "Lam [x].Var x = Lam [y].Var y"
   by (simp add: lam.inject alpha swap_simps fresh_atm)
```

```
thm swap_simps[no_vars]
[(a, b)] • a = b
[(a, b)] • b = a
```

#### nominal\_datatype lam = Var "name" | App "lam" "lam" | Lam "«name»lam" ("Lam [\_].\_")

lemma alpha\_test:
 shows "Lam [x].Var x = Lam [y].Var y"
 by (simp add: lam.inject alpha swap\_simps fresh\_atm)

thm fresh\_atm[no\_vars] a # b = (a  $\neq$  b)

## In LF

nominal\_datatype kind = Type | KPi "ty" "«name»kind" and ty = TConst "id" | TApp "ty" "trm" | TPi "ty" "«name»ty" and trm = Const "id" | Var "name" | App "trm" "trm" | Lam "ty" "«name»trm"

abbreviation KPi\_syn :: "name  $\Rightarrow$  ty  $\Rightarrow$  kind  $\Rightarrow$  kind" (" $\Pi[\_:\_]$ .\_") where " $\Pi[x:A]$ .K  $\equiv$  KPi A  $\times$  K"

abbreviation TPi\_syn :: "name  $\Rightarrow$  ty  $\Rightarrow$  ty  $\Rightarrow$  ty" ("II[\_:\_].\_") where "II[x:A<sub>1</sub>].A<sub>2</sub>  $\equiv$  TPi A<sub>1</sub> x A<sub>2</sub>"

abbreviation Lam\_syn ::: "name  $\Rightarrow$  ty  $\Rightarrow$  trm  $\Rightarrow$  trm" ("Lam [\_:\_].\_") where "Lam [x:A].M  $\equiv$  Lam A × M"

## In My PhD

nominal\_datatype trm = Ax "name" "coname" Cut "«coname»trm" "«name»trm" NotR "«name» trm" "coname" NotL "«coname»trm" "name" AndR "«coname»trm" "«coname»trm" "coname" AndL1 "«name»trm" "name" AndL<sub>2</sub> "«name»trm" "name" OrR1 "«coname»trm" "coname" OrR<sub>2</sub> "«coname»trm" "coname" OrL "«name»trm" "«name»trm" "name" ImpR "«name»(«coname»trm)" "coname" ImpL "«coname»trm" "«name»trm" "name"

 $\begin{array}{c} ("Cut \langle \_ \rangle .\_ (\_).\_") \\ ("NotR (\_).\_ \_") \\ ("NotL \langle \_ \rangle .\_ ") \\ ("AndR \langle \_ \rangle .\_ \langle \_ \rangle .\_ ") \\ ("AndL_1 (\_).\_ ") \\ ("AndL_2 (\_).\_ ") \\ ("OrR_1 \langle \_ \rangle .\_ ") \\ ("OrR_2 \langle \_ \rangle .\_ ") \\ ("OrL (\_).\_ (\_).\_ ") \\ ("ImpR (\_). \langle \_ \rangle .\_ ") \\ ("ImpL \langle \_ \rangle .\_ (\_). \_") \end{array}$ 

 A SN-result for cut-elimination in CL: reviewed by Henk Barendregt and Andy Pitts, and reviewers of conference and journal paper. Still, I found errors in central lemmas; fortunately the main claim was correct :0)

• The support of  $\lambda x \cdot x$ :

$$egin{array}{rll} \piullet\lambda x.x&\stackrel{ ext{def}}{=}&\lambda x.\piullet((\lambda x.x)\ (\pi^{-1}ullet x))\ &=&\lambda x.\piullet\pi^{-1}ullet x\ &=&\lambda x.x \end{array}$$

• The support of  $\lambda x.x$ :

 $egin{array}{lll} \piullet\lambda x.x &\stackrel{ ext{def}}{=} &\lambda x.\piullet((\lambda x.x) \ (\pi^{-1}ullet x))) \ &= &\lambda x.\piullet\pi^{-1}ullet x \ &= &\lambda x.x \end{array}$ 

Therefore

# $\begin{aligned} \mathsf{supp}(\lambda x.x) &\stackrel{\text{def}}{=} \{ a \mid \mathsf{infinite}\{b \mid (a \ b) \boldsymbol{\cdot} \lambda x.x \neq \lambda x.x \} \} \\ &= \{ a \mid \mathsf{infinite}\{b \mid \lambda x.x \neq \lambda x.x \} \} \\ &= \varnothing \end{aligned}$

- To represent α-equivalence classes we used a trick:
  - The same  $\alpha$ -equivalence class can be written in many ways  $(\lambda x.x, \lambda y.y)$ .
  - Similarly, one and the same function can be written in many ways ([x].Var x, [y].Var y).

- To represent α-equivalence classes we used a trick:
  - The same  $\alpha$ -equivalence class can be written in many ways  $(\lambda x.x, \lambda y.y)$ .
  - Similarly, one and the same function can be written in many ways ([x].Var x, [y].Var y).
- Next: This all might look complicated, but my claim is that nearly all complications can be hidden away. I will show you tomorrow how to formalise a simple CK machine.

## **Exercises**

- Given a <u>finite</u> set of atoms. What is the support of this set?
- What is the support of the set of <u>all</u> atoms?
- From the set of all atoms take one atom out.
   What is the support of the resulting set?
- Are there any sets of atoms that have infinite support?