

# Logical Relations for PCF

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August 16, 2018

## Abstract

We apply Andy Pitts’s methods of defining relations over domains to several classical results in the literature. We show that the Y combinator coincides with the domain-theoretic fixpoint operator, that parallel-or and the Plotkin existential are not definable in PCF, that the continuation semantics for PCF coincides with the direct semantics, and that our domain-theoretic semantics for PCF is adequate for reasoning about contextual equivalence in an operational semantics. Our version of PCF is untyped and has both strict and non-strict function abstractions. The development is carried out in HOLCF.

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## 1 Introduction

Showing the existence of relations on domains has historically been an involved process. This is due to the presence of the contravariant function space domain constructor that defeats familiar inductive constructions; in particular we wish to define “logical” relations, where related functions take related arguments to related results, and the corresponding relation transformers are not monotonic. Before Pitts (1996) such demonstrations involved laborious appeals to the details of the domain constructions themselves. (See Mulmuley (1987); Stoy (1977) for historical perspective.)

Here we develop some standard results about PCF using Pitts’s technique for showing the existence of particular recursively-defined relations on domains. By doing so we demonstrate that HOLCF (Müller et al. 1999; Huffman 2012b) is useful for reasoning about programming language semantics and not just particular programs.

We treat a variant of the PCF language due to Plotkin (1977). It contains both call-by-name and call-by-value abstractions and is untyped. We show the breadth of Pitts’s technique by compiling several results, some of which have only been shown in simply-typed settings where the existence of the logical relations is straightforward to demonstrate.

## 2 Pitts’s method for solving recursive domain predicates

We adopt the general theory of Pitts (1996) for solving recursive domain predicates. This is based on the idea of *minimal invariants* that Pitts (1993, Def 2) ascribes “essentially to D. Scott”.

Ideally we would like to do the proofs once and use Pitts’s *relational structures*. Unfortunately it seems we need higher-order polymorphism (type functions) to make this work (but see Huffman (2012a)). Here we develop three versions, one for each of our applications. The proofs are similar (but not quite identical) in all cases.

We begin by defining an *admissible* set (aka an *inclusive predicate*) to be one that contains  $\perp$  and is closed under countable chains:

**definition**  $admS :: 'a::pcpo \text{ set set where}$   
 $admS \equiv \{ R :: 'a \text{ set. } \perp \in R \wedge adm (\lambda x. x \in R) \}$

**typedef** ( $'a::pcpo$ )  $admS = \{ x::'a::pcpo \text{ set . } x \in admS \}$   
**morphisms**  $unlr \ mklr \ \langle proof \rangle$

These sets form a complete lattice.

$\langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

### 2.1 Sets of vectors

The simplest case involves the recursive definition of a set of vectors over a single domain. This involves taking the fixed point of a functor where the *positive* (covariant) occurrences of the recursion variable are separated from the *negative* (contravariant) ones. (See §3.4 etc. for examples.)

By dually ordering the negative uses of the recursion variable the functor is made monotonic with respect to the order on the domain  $'d$ . Here the type constructor  $'a$  *dual* yields a type with the same elements as  $'a$  but with the reverse order. The functions *dual* and *undual* mediate the isomorphism.

**type-synonym**  $'d$  *lf-rep* =  $'d$  *admS dual*  $\times$   $'d$  *admS*  $\Rightarrow$   $'d$  *set*  
**type-synonym**  $'d$  *lf* =  $'d$  *admS dual*  $\times$   $'d$  *admS*  $\Rightarrow$   $'d$  *admS*

The predicate *eRSV* encodes our notion of relation. (This is Pitts's  $e : R \subset S$ .) We model a vector as a function from some index type  $'i$  to the domain  $'d$ . Note that the minimal invariant is for the domain  $'d$  only.

**abbreviation**

$eRSV :: ('d::pcpo \rightarrow 'd) \Rightarrow ('i::type \Rightarrow 'd) \text{ admS dual} \Rightarrow ('i \Rightarrow 'd) \text{ admS} \Rightarrow \text{bool}$

**where**

$eRSV e R S \equiv \forall d \in \text{unlr } (\text{undual } R). (\lambda x. e \cdot (d x)) \in \text{unlr } S$

In general we can also assume that  $e$  here is strict, but we do not need to do so for our examples.

Our locale captures the key ingredients in Pitts's scheme:

- that the function  $\delta$  is a minimal invariant;
- that the functor defining the relation is suitably monotonic; and
- that the functor is closed with respect to the minimal invariant.

**locale** *DomSolV* =

**fixes**  $\delta :: ('d::pcpo \rightarrow 'd) \rightarrow 'd \rightarrow 'd$

**fixes**  $F :: ('i::type \Rightarrow 'd::pcpo) \text{ lf}$

**assumes** *min-inv-ID*:  $\text{fix } \delta = \text{ID}$

**assumes** *monoF*:  $\text{mono } F$

**assumes** *eRSV-deltaF*:

$\bigwedge (e :: 'd \rightarrow 'd) (R :: ('i \Rightarrow 'd) \text{ admS dual}) (S :: ('i \Rightarrow 'd) \text{ admS}).$

$eRSV e R S \Longrightarrow eRSV (\delta \cdot e) (\text{dual } (F (\text{dual } S, \text{undual } R))) (F (R, S)) \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle$

From these assumptions we can show that there is a unique object that is a solution to the recursive equation specified by  $F$ .

**definition** *delta*  $\equiv$  *delta-pos*

**lemma** *delta-sol*:  $\text{delta} = F (\text{dual } \text{delta}, \text{delta}) \langle \text{proof} \rangle$

**lemma** *delta-unique*:

**assumes**  $r: F (\text{dual } r, r) = r$

**shows**  $r = \text{delta} \langle \text{proof} \rangle$

**end**

We use this to show certain functions are not PCF-definable in §3.3.

## 2.2 Relations between domains and syntax

To show computational adequacy (§4.3) we need to relate elements of a domain to their syntactic counterparts. An advantage of Pitts's technique is that this is straightforward to do.

**definition**  $\text{synlr} :: ('d::\text{pcpo} \times 'a::\text{type}) \text{ set set}$  **where**  
 $\text{synlr} \equiv \{ R :: ('d \times 'a) \text{ set}. \forall a. \{ d. (d, a) \in R \} \in \text{admS} \}$

**typedef**  $('d::\text{pcpo}, 'a::\text{type}) \text{ synlr} = \{ x::('d \times 'a) \text{ set}. x \in \text{synlr} \}$   
**morphisms**  $\text{unsynlr mksynlr} \langle \text{proof} \rangle$

An alternative representation (suggested by Brian Huffman) is to directly use the type  $'a \Rightarrow 'b \text{ admS}$  as this is automatically a complete lattice. However we end up fighting the automatic methods a lot.

$\langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle$

Again we define functors on  $('d, 'a) \text{ synlr}$ .

**type-synonym**  $('d, 'a) \text{ synlf-rep} = ('d, 'a) \text{ synlr dual} \times ('d, 'a) \text{ synlr} \Rightarrow ('d \times 'a) \text{ set}$   
**type-synonym**  $('d, 'a) \text{ synlf} = ('d, 'a) \text{ synlr dual} \times ('d, 'a) \text{ synlr} \Rightarrow ('d, 'a) \text{ synlr}$

We capture our relations as before. Note we need the inclusion  $e$  to be strict for our example.

**abbreviation**

$eRSS :: ('d::\text{pcpo} \rightarrow 'd) \Rightarrow ('d, 'a::\text{type}) \text{ synlr dual} \Rightarrow ('d, 'a) \text{ synlr} \Rightarrow \text{bool}$

**where**

$eRSS e R S \equiv \forall (d, a) \in \text{unsynlr} (\text{undual } R). (e \cdot d, a) \in \text{unsynlr } S$

**locale**  $\text{DomSolSyn} =$

**fixes**  $\delta :: ('d::\text{pcpo} \rightarrow 'd) \rightarrow 'd \rightarrow 'd$

**fixes**  $F :: ('d::\text{pcpo}, 'a::\text{type}) \text{ synlf}$

**assumes**  $\text{min-inv-ID}: \text{fix } \delta = \text{ID}$

**assumes**  $\text{min-inv-strict}: \bigwedge r. \delta \cdot r \cdot \perp = \perp$

**assumes**  $\text{monoF}: \text{mono } F$

**assumes**  $eRS\text{-deltaF}:$

$\bigwedge (e :: 'd \rightarrow 'd) (R :: ('d, 'a) \text{ synlr dual}) (S :: ('d, 'a) \text{ synlr}).$

$\llbracket e \cdot \perp = \perp; eRSS e R S \rrbracket \Longrightarrow eRSS (\delta \cdot e) (\text{dual } (F (\text{dual } S, \text{undual } R))) (F (R, S))$

Again, from these assumptions we can construct the unique solution to the recursive equation specified by  $F$ .

## 2.3 Relations between pairs of domains

Following Reynolds (1974) and Filinski (2007), we want to relate two pairs of mutually-recursive domains. Each of the pairs represents a (monadic) computation and value space.

**type-synonym**  $('am, 'bm, 'av, 'bv) \text{ lr-pair} = ('am \times 'bm) \text{ admS} \times ('av \times 'bv) \text{ admS}$

**type-synonym**  $('am, 'bm, 'av, 'bv) \text{ lf-pair-rep} =$

$('am, 'bm, 'av, 'bv) \text{ lr-pair dual} \times ('am, 'bm, 'av, 'bv) \text{ lr-pair} \Rightarrow ((am \times 'bm) \text{ set} \times ('av \times 'bv) \text{ set})$

**type-synonym**  $('am, 'bm, 'av, 'bv) \text{ lf-pair} =$

$('am, 'bm, 'av, 'bv) \text{ lr-pair dual} \times ('am, 'bm, 'av, 'bv) \text{ lr-pair} \Rightarrow ((am \times 'bm) \text{ admS} \times ('av \times 'bv) \text{ admS})$

The inclusions need to be strict to get our example through.

**abbreviation**

$$\begin{aligned}
eRSP &:: (('am::pcpo \rightarrow 'am) \times ('av::pcpo \rightarrow 'av)) \\
&\Rightarrow (('bm::pcpo \rightarrow 'bm) \times ('bv::pcpo \rightarrow 'bv)) \\
&\Rightarrow (('am \times 'bm) admS \times ('av \times 'bv) admS) dual \\
&\Rightarrow ('am \times 'bm) admS \times ('av \times 'bv) admS \\
&\Rightarrow bool
\end{aligned}$$

where

$$\begin{aligned}
eRSP \text{ ea eb } R \ S &\equiv \\
&(\forall (am, bm) \in unlr (fst (undual R)). (fst \text{ ea} \cdot am, fst \text{ eb} \cdot bm) \in unlr (fst S)) \\
&\wedge (\forall (av, bv) \in unlr (snd (undual R)). (snd \text{ ea} \cdot av, snd \text{ eb} \cdot bv) \in unlr (snd S))
\end{aligned}$$

locale *DomSolP* =

fixes *ad* :: (('am::pcpo  $\rightarrow$  'am)  $\times$  ('av::pcpo  $\rightarrow$  'av))  $\rightarrow$  (('am  $\rightarrow$  'am)  $\times$  ('av  $\rightarrow$  'av))

fixes *bd* :: (('bm::pcpo  $\rightarrow$  'bm)  $\times$  ('bv::pcpo  $\rightarrow$  'bv))  $\rightarrow$  (('bm  $\rightarrow$  'bm)  $\times$  ('bv  $\rightarrow$  'bv))

fixes *F* :: ('am, 'bm, 'av, 'bv) lf-pair

assumes *monoF*: mono *F*

assumes *ad-ID*: fix.ad = (*ID*, *ID*)

assumes *bd-ID*: fix.bd = (*ID*, *ID*)

assumes *ad-strict*:  $\bigwedge r. fst (ad \cdot r) \cdot \perp = \perp \wedge r. snd (ad \cdot r) \cdot \perp = \perp$

assumes *bd-strict*:  $\bigwedge r. fst (bd \cdot r) \cdot \perp = \perp \wedge r. snd (bd \cdot r) \cdot \perp = \perp$

assumes *eRSP-deltaF*:

$$\llbracket eRSP \text{ ea eb } R \ S; fst \text{ ea} \cdot \perp = \perp; snd \text{ ea} \cdot \perp = \perp; fst \text{ eb} \cdot \perp = \perp; snd \text{ eb} \cdot \perp = \perp \rrbracket$$

$$\implies eRSP (ad \cdot ea) (bd \cdot eb) (dual (F (dual S, undual R))) (F (R, S)) \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$$

We use this solution to relate the direct and continuation semantics for PCF in §5.

### 3 Logical relations for definability in PCF

Using this machinery we can demonstrate some classical results about PCF (Plotkin 1977). We diverge from the traditional treatment by considering PCF as an untyped language and including both call-by-name (CBN) and call-by-value (CBV) abstractions following Reynolds (1974). We also adopt some of the presentation of Winskel (1993, Chapter 11), in particular by making the fixed point operator a binding construct.

We model the syntax of PCF as a HOL datatype, where variables have names drawn from the naturals:

**type-synonym** *var* = *nat*

**datatype** *expr* =

$$\begin{aligned}
&Var \text{ var} \\
&| App \text{ expr expr} \\
&| AbsN \text{ var expr} \\
&| AbsV \text{ var expr} \\
&| Diverge (\Omega) \\
&| Fix \text{ var expr} \\
&| tt \\
&| ff \\
&| Cond \text{ expr expr expr} \\
&| Num \text{ nat} \\
&| Succ \text{ expr} \\
&| Pred \text{ expr} \\
&| IsZero \text{ expr}
\end{aligned}$$

### 3.1 Direct denotational semantics

We give this language a direct denotational semantics by interpreting it into a domain of values.

**domain**  $ValD =$   
 $ValF$  (**lazy**  $appF :: ValD \rightarrow ValD$ )  
 $| ValTT | ValFF$   
 $| ValN$  (**lazy**  $nat$ )

The **lazy** keyword means that the  $ValF$  constructor is lifted, i.e.  $ValF.\perp \neq \perp$ , which further means that  $ValF.(\Lambda x. \perp) \neq \perp$ .

The naturals are discretely ordered.

$\langle proof \rangle \langle proof \rangle \langle proof \rangle$

The minimal invariant for  $ValD$  is straightforward; the function  $cfun-map.f \cdot g \cdot h$  denotes  $g \circ h \circ f$ .

**fixrec**

$ValD-copy-rec :: (ValD \rightarrow ValD) \rightarrow (ValD \rightarrow ValD)$

**where**

$ValD-copy-rec.r.(ValF.f) = ValF.(cfun-map.r.r.f)$   
 $| ValD-copy-rec.r.(ValTT) = ValTT$   
 $| ValD-copy-rec.r.(ValFF) = ValFF$   
 $| ValD-copy-rec.r.(ValN.n) = ValN.n \langle proof \rangle \langle proof \rangle \langle proof \rangle$

We interpret the PCF constants in the obvious ways. “Ill-typed” uses of these combinators are mapped to  $\perp$ .

**definition**  $cond :: ValD \rightarrow ValD \rightarrow ValD \rightarrow ValD$  **where**

$cond \equiv \Lambda i t e. case\ i\ of\ ValF.f \Rightarrow \perp \mid ValTT \Rightarrow t \mid ValFF \Rightarrow e \mid ValN.n \Rightarrow \perp$

**definition**  $succ :: ValD \rightarrow ValD$  **where**

$succ \equiv \Lambda (ValN.n). ValN.(n + 1)$

**definition**  $pred :: ValD \rightarrow ValD$  **where**

$pred \equiv \Lambda (ValN.n). case\ n\ of\ 0 \Rightarrow \perp \mid Suc\ n \Rightarrow ValN.n$

**definition**  $isZero :: ValD \rightarrow ValD$  **where**

$isZero \equiv \Lambda (ValN.n). if\ n = 0\ then\ ValTT\ else\ ValFF$

We model environments simply as continuous functions from variable names to values.

**type-synonym**  $Var = var$

**type-synonym**  $'a\ Env = Var \rightarrow 'a$

**definition**  $env-empty :: 'a\ Env$  **where**

$env-empty \equiv \perp$

**definition**  $env-ext :: Var \rightarrow 'a \rightarrow 'a\ Env \rightarrow 'a\ Env$  **where**

$env-ext \equiv \Lambda v\ x\ \rho\ v'. if\ v = v'\ then\ x\ else\ \rho.v' \langle proof \rangle \langle proof \rangle$

The semantics is given by a function defined by primitive recursion over the syntax.

**type-synonym**  $EnvD = ValD\ Env$

**primrec**

$$evalD :: expr \Rightarrow EnvD \rightarrow ValD$$
**where**

$$evalD (Var v) = (\Lambda \varrho. \varrho.v)$$

$$evalD (App f x) = (\Lambda \varrho. appF \cdot (evalD f \cdot \varrho) \cdot (evalD x \cdot \varrho))$$

$$evalD (AbsN v e) = (\Lambda \varrho. ValF \cdot (\Lambda x. evalD e \cdot (env-ext \cdot v \cdot x \cdot \varrho)))$$

$$evalD (AbsV v e) = (\Lambda \varrho. ValF \cdot (strictify \cdot (\Lambda x. evalD e \cdot (env-ext \cdot v \cdot x \cdot \varrho))))$$

$$evalD (Diverge) = (\Lambda \varrho. \perp)$$

$$evalD (Fix v e) = (\Lambda \varrho. \mu x. evalD e \cdot (env-ext \cdot v \cdot x \cdot \varrho))$$

$$evalD (tt) = (\Lambda \varrho. ValTT)$$

$$evalD (ff) = (\Lambda \varrho. ValFF)$$

$$evalD (Cond i t e) = (\Lambda \varrho. cond \cdot (evalD i \cdot \varrho) \cdot (evalD t \cdot \varrho) \cdot (evalD e \cdot \varrho))$$

$$evalD (Num n) = (\Lambda \varrho. ValN \cdot n)$$

$$evalD (Succ e) = (\Lambda \varrho. succ \cdot (evalD e \cdot \varrho))$$

$$evalD (Pred e) = (\Lambda \varrho. pred \cdot (evalD e \cdot \varrho))$$

$$evalD (IsZero e) = (\Lambda \varrho. isZero \cdot (evalD e \cdot \varrho))$$

**abbreviation**  $eval' :: expr \Rightarrow ValD \Rightarrow Env \Rightarrow ValD$  ( $\llbracket - \rrbracket$  -  $[0,1000]$  60) **where**

$$eval' M \varrho \equiv evalD M \cdot \varrho$$

### 3.2 The Y Combinator

We can show the Y combinator is the least fixed point operator using just the minimal invariant. In other words, *fix* is definable in untyped PCF minus the *Fix* construct.

This is Example 3.6 from Pitts (1996). He attributes the proof to Plotkin.

These two functions are  $\Delta \equiv \lambda f x. f (x x)$  and  $Y \equiv \lambda f. (\Delta f) (\Delta f)$ .

Note the numbers here are names, not de Bruijn indices.

**definition**  $Y\text{-delta} :: expr$  **where**

$$Y\text{-delta} \equiv AbsN 0 (AbsN 1 (App (Var 0) (App (Var 1) (Var 1))))$$

**definition**  $Ycomb :: expr$  **where**

$$Ycomb \equiv AbsN 0 (App (App Y\text{-delta} (Var 0)) (App Y\text{-delta} (Var 0)))$$

**definition**  $fixD :: ValD \rightarrow ValD$  **where**

$$fixD \equiv \Lambda (ValF \cdot f). fix \cdot f$$

**lemma**  $Y: \llbracket Ycomb \rrbracket \varrho = ValF \cdot fixD \langle proof \rangle$

### 3.3 Logical relations for definability

An element of  $ValD$  is definable if there is an expression that denotes it.

**definition**  $definable :: ValD \Rightarrow bool$  **where**

$$definable d \equiv \exists M. \llbracket M \rrbracket env\text{-empty} = d$$

A classical result about PCF is that while the denotational semantics is *adequate*, as we show in §4, it is not *fully abstract*, i.e. it contains undefinable values (junk).

One way of showing this is to reason operationally; see, for instance, Plotkin (1977, §4) and Gunter (1992, §6.1).

Another is to use *logical relations*, following Plotkin (1973), and also Mitchell (1996); Sieber (1992); Stoughton (1993).

For this purpose we define a logical relation to be a set of vectors over  $ValD$  that is closed under continuous functions of type  $ValD \rightarrow ValD$ . This is complicated by the  $ValF$  tag and having strict function abstraction.

**definition**

$logical\text{-}relation :: ('i::type \Rightarrow ValD) set \Rightarrow bool$

**where**

$logical\text{-}relation R \equiv$   
 $(\forall fs \in R. \forall xs \in R. (\lambda j. appF \cdot (fs j) \cdot (xs j)) \in R)$   
 $\wedge (\forall fs \in R. \forall xs \in R. (\lambda j. strictify \cdot (appF \cdot (fs j)) \cdot (xs j)) \in R)$   
 $\wedge (\forall fs. (\forall xs \in R. (\lambda j. (fs j) \cdot (xs j)) \in R) \longrightarrow (\lambda j. ValF \cdot (fs j)) \in R)$   
 $\wedge (\forall fs. (\forall xs \in R. (\lambda j. strictify \cdot (fs j) \cdot (xs j)) \in R) \longrightarrow (\lambda j. ValF \cdot (strictify \cdot (fs j))) \in R)$   
 $\wedge (\forall xs \in R. (\lambda j. fixD \cdot (xs j)) \in R)$   
 $\wedge (\forall cs \in R. \forall ts \in R. \forall es \in R. (\lambda j. cond \cdot (cs j) \cdot (ts j) \cdot (es j)) \in R)$   
 $\wedge (\forall xs \in R. (\lambda j. succ \cdot (xs j)) \in R)$   
 $\wedge (\forall xs \in R. (\lambda j. pred \cdot (xs j)) \in R)$   
 $\wedge (\forall xs \in R. (\lambda j. isZero \cdot (xs j)) \in R) \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

In the context of PCF these relations also need to respect the constants.

**definition**

$PCF\text{-}consts\text{-}rel :: ('i::type \Rightarrow ValD) set \Rightarrow bool$

**where**

$PCF\text{-}consts\text{-}rel R \equiv$   
 $\perp \in R$   
 $\wedge (\lambda i. ValTT) \in R$   
 $\wedge (\lambda i. ValFF) \in R$   
 $\wedge (\forall n. (\lambda i. ValN \cdot n) \in R) \langle proof \rangle \langle proof \rangle$

**abbreviation**

$PCF\text{-}lr R \equiv adm (\lambda x. x \in R) \wedge logical\text{-}relation R \wedge PCF\text{-}consts\text{-}rel R$

The fundamental property of logical relations states that all PCF expressions satisfy all PCF logical relations. This result is essentially due to Plotkin (1973). The proof is by a straight-forward induction on the expression  $M$ .

**lemma *lr-fundamental*:**

**assumes**  $lr: PCF\text{-}lr R$   
**assumes**  $\varrho: \forall v. (\lambda i. \varrho i \cdot v) \in R$   
**shows**  $(\lambda i. \llbracket M \rrbracket (\varrho i)) \in R \langle proof \rangle$

We can use this result to show that there is no PCF term that maps the vector  $args \in R$  to  $result \notin R$  for some logical relation  $R$ . If we further show that there is a function  $f$  in  $ValD$  such that  $f args = result$  then we can conclude that  $f$  is not definable.

**abbreviation**

$appFLv :: ValD \Rightarrow ('i::type \Rightarrow ValD) list \Rightarrow ('i \Rightarrow ValD)$

**where**

$appFLv f args \equiv (\lambda i. foldl (\lambda f x. appF \cdot f \cdot (x i)) f args)$

**lemma *lr-appFLv*:**

**assumes**  $lr: logical\text{-}relation R$   
**assumes**  $f: (\lambda i::'i::type. f) \in R$   
**assumes**  $args: set args \subseteq R$   
**shows**  $appFLv f args \in R \langle proof \rangle$



**corollary** *not-definable*:

**fixes**  $R :: ('i::type \Rightarrow ValD)$  set

**fixes**  $args :: ('i \Rightarrow ValD)$  list

**fixes**  $result :: 'i \Rightarrow ValD$

**assumes**  $lr: PCF\text{-}lr\ R$

**assumes**  $args: set\ args \subseteq R$

**assumes**  $result: result \notin R$

**shows**  $\neg(\exists(f::ValD). definable\ f \wedge appFLv\ f\ args = result)\langle proof \rangle$

### 3.4 Parallel OR is not definable

We show that parallel-or is not  $\lambda$ -definable following Sieber (1992) and Stoughton (1993).

Parallel-or is similar to the familiar short-circuiting or except that if the first argument is  $\perp$  and the second one is  $ValTT$ , we get  $ValTT$  (and not  $\perp$ ). It is continuous and then have included in the  $ValD$  domain.

**definition**  $por :: ValD \Rightarrow ValD \Rightarrow ValD$  (*- por - [31,30] 30*) **where**

$x\ por\ y \equiv$

if  $x = ValTT$  then  $ValTT$

else if  $y = ValTT$  then  $ValTT$

else if  $(x = ValFF \wedge y = ValFF)$  then  $ValFF$  else  $\perp$

The defining properties of parallel-or.

**lemma** *POR-simps [simp]*:

$(ValTT\ por\ y) = ValTT$

$(x\ por\ ValTT) = ValTT$

$(ValFF\ por\ ValFF) = ValFF$

$(ValFF\ por\ \perp) = \perp$

$(ValFF\ por\ ValN\cdot n) = \perp$

$(ValFF\ por\ ValF\cdot f) = \perp$

$(\perp\ por\ ValFF) = \perp$

$(ValN\cdot n\ por\ ValFF) = \perp$

$(ValF\cdot f\ por\ ValFF) = \perp$

$(\perp\ por\ \perp) = \perp$

$(\perp\ por\ ValN\cdot n) = \perp$

$(\perp\ por\ ValF\cdot f) = \perp$

$(ValN\cdot n\ por\ \perp) = \perp$

$(ValF\cdot f\ por\ \perp) = \perp$

$(ValN\cdot m\ por\ ValN\cdot n) = \perp$

$(ValN\cdot n\ por\ ValF\cdot f) = \perp$

$(ValF\cdot f\ por\ ValN\cdot n) = \perp$

$(ValF\cdot f\ por\ ValF\cdot g) = \perp$

$\langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

We need three-element vectors.

**datatype**  $Three = One \mid Two \mid Three$

The standard logical relation  $R$  that demonstrates POR is not definable is:

$$(x, y, z) \in R \text{ iff } x = y = z \vee (x = \perp \vee y = \perp)$$

That POR satisfies this relation can be seen from its truth table (see below).

Note we restrict the  $x = y = z$  clause to non-function values. Adding functions breaks the “logical relations” property.

**definition**

$POR\text{-base-}lf\text{-rep} :: (Three \Rightarrow ValD) lf\text{-rep}$

**where**

$POR\text{-base-}lf\text{-rep} \equiv \lambda(mR, pR).$   
 $\{ (\lambda i. ValTT) \} \cup \{ (\lambda i. ValFF) \} \text{ — } x = y = z \text{ for bools}$   
 $\cup (\bigcup n. \{ (\lambda i. ValN \cdot n) \}) \text{ — } x = y = z \text{ for numerals}$   
 $\cup \{ f . f One = \perp \} \text{ — } x = \perp$   
 $\cup \{ f . f Two = \perp \} \text{ — } y = \perp$

We close this relation with respect to continuous functions. This functor yields an admissible relation for all  $r$  and is monotonic.

**definition**

$fn\text{-}lf\text{-rep} :: (i::type \Rightarrow ValD) lf\text{-rep}$

**where**

$fn\text{-}lf\text{-rep} \equiv \lambda(mR, pR). \{ \lambda i. ValF \cdot (fs i) \mid fs. \forall xs \in unlr (undual mR). (\lambda j. (fs j) \cdot (xs j)) \in unlr pR \}$   
 $\langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

**definition**  $POR\text{-}lf\text{-rep} :: (Three \Rightarrow ValD) lf\text{-rep}$  **where**

$POR\text{-}lf\text{-rep} R \equiv POR\text{-base-}lf\text{-rep} R \cup fn\text{-}lf\text{-rep} R$

**abbreviation**  $POR\text{-}lf \equiv \lambda r. mklr (POR\text{-}lf\text{-rep} r) \langle proof \rangle \langle proof \rangle$

Again it yields an admissible relation and is monotonic.

We need to show the functor respects the minimal invariant.

**lemma**  $min\text{-}inv\text{-}POR\text{-}lf$ :

**assumes**  $eRSV e R' S'$

**shows**  $eRSV (ValD\text{-}copy\text{-}rec\text{-}e) (dual (POR\text{-}lf (dual S', undual R'))) (POR\text{-}lf (R', S')) \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

We can show that the solution satisfies the expectations of the fundamental theorem  $lr\text{-}fundamental$ .

**lemma**  $PCF\text{-}lr\text{-}POR\text{-}delta$ :  $PCF\text{-}lr (unlr POR.delta) \langle proof \rangle$

This is the truth-table for POR rendered as a vector: we seek a function that simultaneously maps the two argument vectors to the result.

**definition**  $POR\text{-}arg1\text{-}rel$  **where**

$POR\text{-}arg1\text{-}rel \equiv \lambda i. case\ i\ of\ One \Rightarrow ValTT \mid Two \Rightarrow \perp \mid Three \Rightarrow ValFF$

**definition**  $POR\text{-}arg2\text{-}rel$  **where**

$POR\text{-}arg2\text{-}rel \equiv \lambda i. case\ i\ of\ One \Rightarrow \perp \mid Two \Rightarrow ValTT \mid Three \Rightarrow ValFF$

**definition**  $POR\text{-}result\text{-}rel$  **where**

$POR\text{-}result\text{-}rel \equiv \lambda i. case\ i\ of\ One \Rightarrow ValTT \mid Two \Rightarrow ValTT \mid Three \Rightarrow ValFF$

**lemma**  $lr\text{-}POR\text{-}arg1\text{-}rel$ :  $POR\text{-}arg1\text{-}rel \in unlr POR.delta$   
 $\langle proof \rangle$

**lemma**  $lr\text{-}POR\text{-}arg2\text{-}rel$ :  $POR\text{-}arg2\text{-}rel \in unlr POR.delta$   
 $\langle proof \rangle$

**lemma**  $lr\text{-}POR\text{-}result\text{-}rel$ :  $POR\text{-}result\text{-}rel \notin unlr POR.delta \langle proof \rangle$

Parallel-or satisfies these tests:

**theorem** *POR-sat*:

$appFLv (ValF \cdot (\Lambda x. ValF \cdot (\Lambda y. x \text{ por } y))) [POR\text{-arg1-rel}, POR\text{-arg2-rel}] = POR\text{-result-rel}$   
 $\langle proof \rangle$

... but is not PCF-definable:

**theorem** *POR-is-not-definable*:

**shows**  $\neg(\exists f. \text{definable } f \wedge appFLv f [POR\text{-arg1-rel}, POR\text{-arg2-rel}] = POR\text{-result-rel})$   
 $\langle proof \rangle$

### 3.5 Plotkin's existential quantifier

We can also show that the existential quantifier of Plotkin (1977, §5) is not PCF-definable using logical relations.

Our definition is quite loose; if the argument function  $f$  maps any value to  $ValTT$  then *plotkin-exists* yields  $ValTT$ . It may be more plausible to test  $f$  on numerals only.

**definition** *plotkin-exists* ::  $ValD \Rightarrow ValD$  **where**

*plotkin-exists*  $f \equiv$   
 if  $(appF \cdot f \cdot \perp = ValFF)$   
 then  $ValFF$   
 else if  $(\exists n. appF \cdot f \cdot n = ValTT)$  then  $ValTT$  else  $\perp \langle proof \rangle \langle proof \rangle \langle proof \rangle$

We can show this function is continuous.

**lemma** *cont-pe* [*cont2cont*, *simp*]: *cont plotkin-exists*  $\langle proof \rangle \langle proof \rangle$

Again we construct argument and result test vectors such that *plotkin-exists* satisfies these tests but no PCF-definable term does.

**definition** *PE-arg-rel* **where**

*PE-arg-rel*  $\equiv \lambda i. ValF \cdot (\text{case } i \text{ of}$   
 $0 \Rightarrow (\Lambda -. ValFF)$   
 $| Suc\ n \Rightarrow (\Lambda (ValN \cdot x). \text{if } x = Suc\ n \text{ then } ValTT \text{ else } \perp))$

**definition** *PE-result-rel* **where**

*PE-result-rel*  $\equiv \lambda i. \text{case } i \text{ of } 0 \Rightarrow ValFF \mid Suc\ n \Rightarrow ValTT$

Note that unlike the POR case the argument relation does not characterise PE: we don't treat functions that return  $ValTT$ s and  $ValFF$ s.

The Plotkin existential satisfies these tests:

**theorem** *pe-sat*:

$appFLv (ValF \cdot (\Lambda x. \text{plotkin-exists } x)) [PE\text{-arg-rel}] = PE\text{-result-rel}$   
 $\langle proof \rangle$

As for POR, the difference between the two vectors is that the argument can diverge but not the result.

**definition** *PE-base-lf-rep* ::  $(nat \Rightarrow ValD)$  *lf-rep* **where**

*PE-base-lf-rep*  $\equiv \lambda(mR, pR).$   
 $\{ \perp \}$   
 $\cup \{ (\lambda i. ValTT) \} \cup \{ (\lambda i. ValFF) \} \text{ — } x = y = z \text{ for bools}$   
 $\cup (\bigcup n. \{ (\lambda i. ValN \cdot n) \}) \text{ — } x = y = z \text{ for numerals}$

$\cup \{ f . f 1 = \perp \vee f 2 = \perp \}$  — Vectors that diverge on one or two.  $\langle proof \rangle \langle proof \rangle$

Again we close this under the function space, and show that it is admissible, monotonic and respects the minimal invariant.

**definition**  $PE\text{-}lf\text{-}rep :: (nat \Rightarrow ValD) \text{ } lf\text{-}rep$  **where**  
 $PE\text{-}lf\text{-}rep R \equiv PE\text{-}base\text{-}lf\text{-}rep R \cup fn\text{-}lf\text{-}rep R$

**abbreviation**  $PE\text{-}lf \equiv \lambda r. mklr (PE\text{-}lf\text{-}rep r) \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

The solution satisfies the expectations of the fundamental theorem:

**lemma**  $PCF\text{-}lr\text{-}PE\text{-}delta$ :  $PCF\text{-}lr (unlr PE.delta) \langle proof \rangle$

**lemma**  $lr\text{-}PE\text{-}arg\text{-}rel$ :  $PE\text{-}arg\text{-}rel \in unlr PE.delta \langle proof \rangle$

**lemma**  $lr\text{-}PE\text{-}result\text{-}rel$ :  $PE\text{-}result\text{-}rel \notin unlr PE.delta \langle proof \rangle$

**theorem**  $PE\text{-}is\text{-}not\text{-}definable$ :  $\neg(\exists f. definable f \wedge appFLv f [PE\text{-}arg\text{-}rel] = PE\text{-}result\text{-}rel) \langle proof \rangle$

### 3.6 Concluding remarks

These techniques could be used to show that Haskell’s *seq* operation is not PCF-definable. (It is definable for each base “type” separately, and requires some care on function values.) If we added an (unlifted) product type then it should be provable that parallel evaluation is required to support *seq* on these objects (given *seq* on all other objects). (See [Hudak et al. \(2007, §5.4\)](#) and sundry posts to the internet by Lennart Augustsson.) This may be difficult to do plausibly without adding a type system.

## 4 Logical relations for computational adequacy

We relate the denotational semantics for PCF of §3.1 to a *big-step* (or *natural*) operational semantics. This follows [Pitts \(1993\)](#).

### 4.1 Direct semantics using de Bruijn notation

In contrast to §3 we must be more careful in our treatment of  $\alpha$ -equivalent terms, as we would like our operational semantics to identify all these. To that end we adopt de Bruijn notation, adapting the work of [Nipkow \(2001\)](#), and show that it is suitably equivalent to our original syntactic story.

**datatype**  $db =$   
 $DBVar \text{ } var$   
 $| DBApp \text{ } db \text{ } db$   
 $| DBAbsN \text{ } db$   
 $| DBAbsV \text{ } db$   
 $| DBDiverge$   
 $| DBFix \text{ } db$   
 $| DBtt$   
 $| DBff$   
 $| DBCond \text{ } db \text{ } db \text{ } db$   
 $| DBNum \text{ } nat$   
 $| DBSucc \text{ } db$   
 $| DBPred \text{ } db$

| *DBIsZero db*

Nipkow et al's substitution operation is defined for arbitrary open terms. In our case we only substitute closed terms into terms where only the variable  $0::'a$  may be free, and while we could develop a simpler account, we retain the traditional one.

**fun**

*lift* :: *db* ⇒ *nat* ⇒ *db*

**where**

| *lift* (*DBVar i*) *k* = *DBVar* (*if i < k then i else (i + 1)*)  
| *lift* (*DBAbsN s*) *k* = *DBAbsN* (*lift s (k + 1)*)  
| *lift* (*DBAbsV s*) *k* = *DBAbsV* (*lift s (k + 1)*)  
| *lift* (*DBApp s t*) *k* = *DBApp* (*lift s k*) (*lift t k*)  
| *lift* (*DBFix e*) *k* = *DBFix* (*lift e (k + 1)*)  
| *lift* (*DBCond c t e*) *k* = *DBCond* (*lift c k*) (*lift t k*) (*lift e k*)  
| *lift* (*DBSucc e*) *k* = *DBSucc* (*lift e k*)  
| *lift* (*DBPred e*) *k* = *DBPred* (*lift e k*)  
| *lift* (*DBIsZero e*) *k* = *DBIsZero* (*lift e k*)  
| *lift x k* = *x*

**fun**

*subst* :: *db* ⇒ *db* ⇒ *var* ⇒ *db* (-<'/'-> [300, 0, 0] 300)

**where**

| *subst-Var*: (*DBVar i*)<*s/k*> =  
(*if k < i then DBVar (i - 1) else if i = k then s else DBVar i*)  
| *subst-AbsN*: (*DBAbsN t*)<*s/k*> = *DBAbsN* (*t<lift s 0 / k+1>*)  
| *subst-AbsV*: (*DBAbsV t*)<*s/k*> = *DBAbsV* (*t<lift s 0 / k+1>*)  
| *subst-App*: (*DBApp t u*)<*s/k*> = *DBApp* (*t<s/k>*) (*u<s/k>*)  
| (*DBFix e*)<*s/k*> = *DBFix* (*e<lift s 0 / k+1>*)  
| (*DBCond c t e*)<*s/k*> = *DBCond* (*c<s/k>*) (*t<s/k>*) (*e<s/k>*)  
| (*DBSucc e*)<*s/k*> = *DBSucc* (*e<s/k>*)  
| (*DBPred e*)<*s/k*> = *DBPred* (*e<s/k>*)  
| (*DBIsZero e*)<*s/k*> = *DBIsZero* (*e<s/k>*)  
| *subst-Consts*: *x<s/k>* = *x*<*proof*><*proof*><*proof*><*proof*><*proof*><*proof*><*proof*><*proof*>

We elide the standard lemmas about these operations.

A variable is free in a de Bruijn term in the standard way.

**fun**

*freedb* :: *db* ⇒ *var* ⇒ *bool*

**where**

| *freedb* (*DBVar j*) *k* = (*j = k*)  
| *freedb* (*DBAbsN s*) *k* = *freedb s (k + 1)*  
| *freedb* (*DBAbsV s*) *k* = *freedb s (k + 1)*  
| *freedb* (*DBApp s t*) *k* = (*freedb s k* ∨ *freedb t k*)  
| *freedb* (*DBFix e*) *k* = *freedb e (Suc k)*  
| *freedb* (*DBCond c t e*) *k* = (*freedb c k* ∨ *freedb t k* ∨ *freedb e k*)  
| *freedb* (*DBSucc e*) *k* = *freedb e k*  
| *freedb* (*DBPred e*) *k* = *freedb e k*  
| *freedb* (*DBIsZero e*) *k* = *freedb e k*  
| *freedb - -* = *False*<*proof*><*proof*><*proof*><*proof*><*proof*><*proof*>

Programs are closed expressions.

**definition** *closed* :: *db* ⇒ *bool* **where**

$closed\ e \equiv \forall i. \neg freedb\ e\ i \langle proof \rangle \langle proof \rangle$

The direct denotational semantics is almost identical to that given in §3.1, apart from this change in the representation of environments.

**definition**  $env\text{-}empty\text{-}db :: 'a\ Env\ \mathbf{where}$

$env\text{-}empty\text{-}db \equiv \perp$

**definition**  $env\text{-}ext\text{-}db :: 'a \rightarrow 'a\ Env \rightarrow 'a\ Env\ \mathbf{where}$

$env\text{-}ext\text{-}db \equiv \Lambda\ x\ \varrho\ v. (case\ v\ of\ 0 \Rightarrow x \mid Suc\ v' \Rightarrow \varrho.v') \langle proof \rangle \langle proof \rangle$

**primrec**

$evalDdb :: db \Rightarrow ValD\ Env \rightarrow ValD$

**where**

$evalDdb\ (DBVar\ i) = (\Lambda\ \varrho. \varrho.i)$

|  $evalDdb\ (DBApp\ f\ x) = (\Lambda\ \varrho. appF.(evalDdb\ f.\varrho).(evalDdb\ x.\varrho))$

|  $evalDdb\ (DBAbsN\ e) = (\Lambda\ \varrho. ValF.(\Lambda\ x. evalDdb\ e.(env\text{-}ext\text{-}db.x.\varrho)))$

|  $evalDdb\ (DBAbsV\ e) = (\Lambda\ \varrho. ValF.(strictify.(\Lambda\ x. evalDdb\ e.(env\text{-}ext\text{-}db.x.\varrho))))$

|  $evalDdb\ (DBDiverge) = (\Lambda\ \varrho. \perp)$

|  $evalDdb\ (DBFix\ e) = (\Lambda\ \varrho. \mu\ x. evalDdb\ e.(env\text{-}ext\text{-}db.x.\varrho))$

|  $evalDdb\ (DBtt) = (\Lambda\ \varrho. ValTT)$

|  $evalDdb\ (DBff) = (\Lambda\ \varrho. ValFF)$

|  $evalDdb\ (DBCond\ c\ t\ e) = (\Lambda\ \varrho. cond.(evalDdb\ c.\varrho).(evalDdb\ t.\varrho).(evalDdb\ e.\varrho))$

|  $evalDdb\ (DBNum\ n) = (\Lambda\ \varrho. ValN.n)$

|  $evalDdb\ (DBSucc\ e) = (\Lambda\ \varrho. succ.(evalDdb\ e.\varrho))$

|  $evalDdb\ (DBPred\ e) = (\Lambda\ \varrho. pred.(evalDdb\ e.\varrho))$

|  $evalDdb\ (DBIsZero\ e) = (\Lambda\ \varrho. isZero.(evalDdb\ e.\varrho)) \langle proof \rangle \langle proof \rangle$

We show that our direct semantics using de Bruijn notation coincides with the evaluator of §3 by translating between the syntaxes and showing that the evaluators yield identical results.

Firstly we show how to translate an expression using names into a nameless term. The following function finds the first mention of a variable in a list of variables.

**primrec**  $index :: var\ list \Rightarrow var \Rightarrow nat \Rightarrow nat\ \mathbf{where}$

$index\ []\ v\ n = n$

|  $index\ (h\ \# \ t)\ v\ n = (if\ v = h\ then\ n\ else\ index\ t\ v\ (Suc\ n))$

**primrec**

$transdb :: expr \Rightarrow var\ list \Rightarrow db$

**where**

$transdb\ (Var\ i)\ \Gamma = DBVar\ (index\ \Gamma\ i\ 0)$

|  $transdb\ (App\ t1\ t2)\ \Gamma = DBApp\ (transdb\ t1\ \Gamma)\ (transdb\ t2\ \Gamma)$

|  $transdb\ (AbsN\ v\ t)\ \Gamma = DBAbsN\ (transdb\ t\ (v\ \# \ \Gamma))$

|  $transdb\ (AbsV\ v\ t)\ \Gamma = DBAbsV\ (transdb\ t\ (v\ \# \ \Gamma))$

|  $transdb\ (Diverge)\ \Gamma = DBDiverge$

|  $transdb\ (Fix\ v\ e)\ \Gamma = DBFix\ (transdb\ e\ (v\ \# \ \Gamma))$

|  $transdb\ (tt)\ \Gamma = DBtt$

|  $transdb\ (ff)\ \Gamma = DBff$

|  $transdb\ (Cond\ c\ t\ e)\ \Gamma = DBCond\ (transdb\ c\ \Gamma)\ (transdb\ t\ \Gamma)\ (transdb\ e\ \Gamma)$

|  $transdb\ (Num\ n)\ \Gamma = (DBNum\ n)$

|  $transdb\ (Succ\ e)\ \Gamma = DBSucc\ (transdb\ e\ \Gamma)$

|  $transdb\ (Pred\ e)\ \Gamma = DBPred\ (transdb\ e\ \Gamma)$

|  $transdb\ (IsZero\ e)\ \Gamma = DBIsZero\ (transdb\ e\ \Gamma)$

This semantics corresponds with the direct semantics for named expressions.

$\langle proof \rangle \langle proof \rangle$  **lemma** *evalD-evalDdb*:  
**assumes** *free e = []*  
**shows**  $\llbracket e \rrbracket_{\varrho} = evalDdb (transdb\ e\ []) \cdot \varrho$   
 $\langle proof \rangle$

Conversely, all de Bruijn expressions have named equivalents.

**primrec**

*transdb-inv* :: *db*  $\Rightarrow$  (*var*  $\Rightarrow$  *var*)  $\Rightarrow$  *var*  $\Rightarrow$  *var*  $\Rightarrow$  *expr*

**where**

*transdb-inv* (*DBVar i*)  $\Gamma\ c\ k = Var\ (\Gamma\ i)$   
| *transdb-inv* (*DBApp t1 t2*)  $\Gamma\ c\ k = App\ (transdb-inv\ t1\ \Gamma\ c\ k)\ (transdb-inv\ t2\ \Gamma\ c\ k)$   
| *transdb-inv* (*DBAbsN e*)  $\Gamma\ c\ k = AbsN\ (c + k)\ (transdb-inv\ e\ (case-nat\ (c + k)\ \Gamma)\ c\ (k + 1))$   
| *transdb-inv* (*DBAbsV e*)  $\Gamma\ c\ k = AbsV\ (c + k)\ (transdb-inv\ e\ (case-nat\ (c + k)\ \Gamma)\ c\ (k + 1))$   
| *transdb-inv* (*DBDiverge*)  $\Gamma\ c\ k = Diverge$   
| *transdb-inv* (*DBFix e*)  $\Gamma\ c\ k = Fix\ (c + k)\ (transdb-inv\ e\ (case-nat\ (c + k)\ \Gamma)\ c\ (k + 1))$   
| *transdb-inv* (*DBtt*)  $\Gamma\ c\ k = tt$   
| *transdb-inv* (*DBff*)  $\Gamma\ c\ k = ff$   
| *transdb-inv* (*DBCond i t e*)  $\Gamma\ c\ k =$   
    *Cond* (*transdb-inv i*  $\Gamma\ c\ k$ ) (*transdb-inv t*  $\Gamma\ c\ k$ ) (*transdb-inv e*  $\Gamma\ c\ k$ )  
| *transdb-inv* (*DBNum n*)  $\Gamma\ c\ k = (Num\ n)$   
| *transdb-inv* (*DBSucc e*)  $\Gamma\ c\ k = Succ\ (transdb-inv\ e\ \Gamma\ c\ k)$   
| *transdb-inv* (*DBPred e*)  $\Gamma\ c\ k = Pred\ (transdb-inv\ e\ \Gamma\ c\ k)$   
| *transdb-inv* (*DBIsZero e*)  $\Gamma\ c\ k = IsZero\ (transdb-inv\ e\ \Gamma\ c\ k)$   $\langle proof \rangle$

**lemma** *transdb-inv*:

**assumes** *closed e*  
**shows** *transdb* (*transdb-inv e*  $\Gamma\ c\ k$ )  $\Gamma' = e$   $\langle proof \rangle \langle proof \rangle \langle proof \rangle$

## 4.2 Operational Semantics

The evaluation relation (big-step, or natural operational semantics). This is similar to [Gunter \(1992, §6.2\)](#), [Pitts \(1993\)](#) and [Winskel \(1993, Chapter 11\)](#).

We firstly define the *values* that expressions can evaluate to: these are either constants or closed abstractions.

**inductive**

*val* :: *db*  $\Rightarrow$  *bool*

**where**

*v-Num[intro]*: *val* (*DBNum n*)  
| *v-FF[intro]*: *val* *DBff*  
| *v-TT[intro]*: *val* *DBtt*  
| *v-AbsN[intro]*: *val* (*DBAbsN e*)  
| *v-AbsV[intro]*: *val* (*DBAbsV e*)

**inductive**

*evalOP* :: *db*  $\Rightarrow$  *db*  $\Rightarrow$  *bool* (-  $\Downarrow$  - [50,50] 50)

**where**

*evalOP-AppN[intro]*:  $\llbracket P \Downarrow DBAbsN\ M; M < Q / \theta > \Downarrow V \rrbracket \Longrightarrow DBApp\ P\ Q \Downarrow V$   
| *evalOP-AppV[intro]*:  $\llbracket P \Downarrow DBAbsV\ M; Q \Downarrow q; M < q / \theta > \Downarrow V \rrbracket \Longrightarrow DBApp\ P\ Q \Downarrow V$   
| *evalOP-AbsN[intro]*: *val* (*DBAbsN e*)  $\Longrightarrow DBAbsN\ e \Downarrow DBAbsN\ e$   
| *evalOP-AbsV[intro]*: *val* (*DBAbsV e*)  $\Longrightarrow DBAbsV\ e \Downarrow DBAbsV\ e$

$| \text{evalOP-Fix}[intro]: P < \text{DBFix } P / 0 > \Downarrow V \implies \text{DBFix } P \Downarrow V$   
 $| \text{evalOP-tt}[intro]: \text{DBtt} \Downarrow \text{DBtt}$   
 $| \text{evalOP-ff}[intro]: \text{DBff} \Downarrow \text{DBff}$   
 $| \text{evalOP-CondTT}[intro]: \llbracket C \Downarrow \text{DBtt}; T \Downarrow V \rrbracket \implies \text{DBCond } C \ T \ E \Downarrow V$   
 $| \text{evalOP-CondFF}[intro]: \llbracket C \Downarrow \text{DBff}; E \Downarrow V \rrbracket \implies \text{DBCond } C \ T \ E \Downarrow V$   
 $| \text{evalOP-Num}[intro]: \text{DBNum } n \Downarrow \text{DBNum } n$   
 $| \text{evalOP-Succ}[intro]: P \Downarrow \text{DBNum } n \implies \text{DBSucc } P \Downarrow \text{DBNum } (\text{Suc } n)$   
 $| \text{evalOP-Pred}[intro]: P \Downarrow \text{DBNum } (\text{Suc } n) \implies \text{DBPred } P \Downarrow \text{DBNum } n$   
 $| \text{evalOP-IsZeroTT}[intro]: \llbracket E \Downarrow \text{DBNum } 0 \rrbracket \implies \text{DBIsZero } E \Downarrow \text{DBtt}$   
 $| \text{evalOP-IsZeroFF}[intro]: \llbracket E \Downarrow \text{DBNum } n; 0 < n \rrbracket \implies \text{DBIsZero } E \Downarrow \text{DBff}$

It is straightforward to show that this relation is deterministic and sound with respect to the denotational semantics.

$\langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \mathbf{theorem} \text{ evalOP-sound}:$   
**assumes**  $P \Downarrow V$   
**shows**  $\text{evalDdb } P \cdot \varrho = \text{evalDdb } V \cdot \varrho \langle \text{proof} \rangle$

We can use soundness to conclude that POR is not definable operationally either. We rely on *transdb-inv* to map our de Bruijn term into the syntactic universe of §3 and appeal to the results of §3.4. This takes some effort as *ValD* contains irrelevant junk that makes it hard to draw obvious conclusions; we use *DBCond* to restrict the arguments to the putative witness.

#### definition

$\text{isPORdb } e \equiv \text{closed } e$   
 $\wedge \text{DBApp } (\text{DBApp } e \ \text{DBtt}) \ \text{DBDiverge} \Downarrow \text{DBtt}$   
 $\wedge \text{DBApp } (\text{DBApp } e \ \text{DBDiverge}) \ \text{DBtt} \Downarrow \text{DBtt}$   
 $\wedge \text{DBApp } (\text{DBApp } e \ \text{DBff}) \ \text{DBff} \Downarrow \text{DBff}$   
 $\langle \text{proof} \rangle \langle \text{proof} \rangle$

**lemma** *POR-is-not-operationally-definable*:  $\neg \text{isPORdb } e \langle \text{proof} \rangle$

### 4.3 Computational Adequacy

The lemma *evalOP-sound* tells us that the operational semantics preserves the denotational semantics. We might also hope that the two are somehow equivalent, but due to the junk in the domain-theoretic model (see §3.3) we cannot expect this to be entirely straightforward. Here we show that the denotational semantics is *computationally adequate*, which means that it can be used to soundly reason about contextual equivalence.

We follow Pitts (1993, 1996) by defining a suitable logical relation between our *ValD* domain and the set of programs (closed terms). These are termed "formal approximation relations" by Plotkin. The machinery of §2.2 requires us to define a unique bottom element, which in this case is  $\{\perp\} \times \{P. \text{closed } P\}$ . To that end we define the type of programs.

**typedef**  $\text{Prog} = \{ P. \text{closed } P \}$   
**morphisms**  $\text{unProg } \text{mkProg} \langle \text{proof} \rangle$

#### definition

$\text{ca-lf-rep} :: (\text{ValD}, \text{Prog}) \ \text{synlf-rep}$   
**where**  
 $\text{ca-lf-rep} \equiv \lambda(rm, rp).$   
 $(\{\perp\} \times \text{UNIV})$   
 $\cup \{ (d, P) \mid d \ P.$   
 $(\exists n. d = \text{ValN} \cdot n \wedge \text{unProg } P \Downarrow \text{DBNum } n)$



$$\begin{aligned}
& \vee (d = \text{ValTT} \wedge \text{unProg } P \Downarrow \text{DBtt}) \\
& \vee (d = \text{ValFF} \wedge \text{unProg } P \Downarrow \text{DBff}) \\
& \vee (\exists f M. d = \text{ValF}\cdot f \wedge \text{unProg } P \Downarrow \text{DBAbsN } M \\
& \quad \wedge (\forall (x, X) \in \text{unsynlr } (\text{undual } rm). (f\cdot x, \text{mkProg } (M \langle \text{unProg } X / 0 \rangle)) \in \text{unsynlr } rp)) \\
& \vee (\exists f M. d = \text{ValF}\cdot f \wedge \text{unProg } P \Downarrow \text{DBAbsV } M \wedge f\cdot \perp = \perp \\
& \quad \wedge (\forall (x, X) \in \text{unsynlr } (\text{undual } rm). \forall V. \text{unProg } X \Downarrow V \\
& \quad \quad \longrightarrow (f\cdot x, \text{mkProg } (M \langle V / 0 \rangle)) \in \text{unsynlr } rp)) \}
\end{aligned}$$

**abbreviation**  $ca\text{-lr} :: (\text{ValD}, \text{Prog}) \text{ synlf where}$   
 $ca\text{-lr} \equiv \lambda r. \text{mksynlr } (ca\text{-lf-rep } r)$

Intuitively we relate domain-theoretic values to all programs that converge to the corresponding syntactic values. If a program has a non- $\perp$  denotation then we can use this relation to conclude something about the value it (operationally) converges to.

$\langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle$

**interpretation**  $ca: \text{DomSolSyn ValD-copy-rec } ca\text{-lr}$   
 $\langle \text{proof} \rangle$

**definition**  $ca\text{-lr-syn} :: \text{ValD} \Rightarrow \text{db} \Rightarrow \text{bool } (- \triangleleft - [80, 80] 80) \text{ where}$   
 $d \triangleleft P \equiv (d, P) \in \{ (x, \text{unProg } Y) \mid x Y. (x, Y) \in \text{unsynlr } ca.\text{delta} \} \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle$

To establish this result we need a ‘‘closing substitution’’ operation. It seems easier to define it directly in this simple-minded way than reusing the standard substitution operation.

This is quite similar to a context-plugging (non-capturing) substitution operation, where the ‘‘holes’’ are free variables, and indeed we use it as such below.

**fun**

$\text{closing-subst} :: \text{db} \Rightarrow (\text{var} \Rightarrow \text{db}) \Rightarrow \text{var} \Rightarrow \text{db}$

**where**

$\text{closing-subst } (\text{DBVar } i) \Gamma k = (\text{if } k \leq i \text{ then } \Gamma (i - k) \text{ else } \text{DBVar } i)$   
 $\mid \text{closing-subst } (\text{DBApp } t u) \Gamma k = \text{DBApp } (\text{closing-subst } t \Gamma k) (\text{closing-subst } u \Gamma k)$   
 $\mid \text{closing-subst } (\text{DBAbsN } t) \Gamma k = \text{DBAbsN } (\text{closing-subst } t \Gamma (k + 1))$   
 $\mid \text{closing-subst } (\text{DBAbsV } t) \Gamma k = \text{DBAbsV } (\text{closing-subst } t \Gamma (k + 1))$   
 $\mid \text{closing-subst } (\text{DBFix } e) \Gamma k = \text{DBFix } (\text{closing-subst } e \Gamma (k + 1))$   
 $\mid \text{closing-subst } (\text{DBCond } c t e) \Gamma k =$   
 $\quad \text{DBCond } (\text{closing-subst } c \Gamma k) (\text{closing-subst } t \Gamma k) (\text{closing-subst } e \Gamma k)$   
 $\mid \text{closing-subst } (\text{DBSucc } e) \Gamma k = \text{DBSucc } (\text{closing-subst } e \Gamma k)$   
 $\mid \text{closing-subst } (\text{DBPred } e) \Gamma k = \text{DBPred } (\text{closing-subst } e \Gamma k)$   
 $\mid \text{closing-subst } (\text{DBIsZero } e) \Gamma k = \text{DBIsZero } (\text{closing-subst } e \Gamma k)$   
 $\mid \text{closing-subst } x \Gamma k = x$

We can show it has the expected properties when all terms in  $\Gamma$  are closed.

$\langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle \langle \text{proof} \rangle$

The key lemma is shown by induction over  $e$  for arbitrary environments ( $\Gamma$  and  $\varrho$ ):

**lemma**  $ca\text{-open}$ :

**assumes**  $\forall v. \text{freedb } e v \longrightarrow \varrho.v \triangleleft \Gamma v \wedge \text{closed } (\Gamma v)$

**shows**  $\text{evalDdb } e.\varrho \triangleleft \text{closing-subst } e \Gamma 0 \langle \text{proof} \rangle$

**lemma**  $ca\text{-closed}$ :

**assumes**  $\text{closed } e$

**shows**  $\text{evalDdb } e.\text{env-empty-db} \triangleleft e$

$\langle proof \rangle$

**theorem** *ca*:

**assumes** *nb*:  $evalDdb\ e.\ env\ empty\ db \neq \perp$

**assumes** *closed*  $e$

**shows**  $\exists V. e \Downarrow V$

$\langle proof \rangle$

This last result justifies reasoning about contextual equivalence using the denotational semantics, as we now show.

### 4.3.1 Contextual Equivalence

As we are using an un(i)typed language, we take a context  $C$  to be an arbitrary term, where the free variables are the “holes”. We substitute a closed expression  $e$  uniformly for all of the free variables in  $C$ . If open, the term  $e$  can be closed using enough *AbsNs*. This seems to be a standard trick now, see e.g. [Koutavas and Wand \(2006\)](#). If we didn’t have CBN (only CBV) then it might be worth showing that this is an adequate treatment.

**definition** *ctxt-sub*  $:: db \Rightarrow db \Rightarrow db \ ((-\langle - \rangle) [300, 0] 300)$  **where**

$C\langle e \rangle \equiv closing\ subst\ C\ (\lambda\cdot. e)\ 0\langle proof \rangle\langle proof \rangle$

Following [Pitts \(1996\)](#) we define a relation between values that “have the same form”. This is weak at functional values. We don’t distinguish between strict and non-strict abstractions.

**inductive**

*have-the-same-form*  $:: db \Rightarrow db \Rightarrow bool\ (-\sim-\ [50, 50] 50)$

**where**

$DBAbsN\ e \sim DBAbsN\ e'$

|  $DBAbsN\ e \sim DBAbsV\ e'$

|  $DBAbsV\ e \sim DBAbsN\ e'$

|  $DBAbsV\ e \sim DBAbsV\ e'$

|  $DBFix\ e \sim DBFix\ e'$

|  $DBtt \sim DBtt$

|  $DBff \sim DBff$

|  $DBNum\ n \sim DBNum\ n\langle proof \rangle$

A program  $e2$  *refines* the program  $e1$  if it converges in context at least as often. This is a preorder on programs.

**definition**

*refines*  $:: db \Rightarrow db \Rightarrow bool\ (-\sqsubseteq-\ [50, 50] 50)$

**where**

$e1 \sqsubseteq e2 \equiv \forall C. \exists V1. C\langle e1 \rangle \Downarrow V1 \longrightarrow (\exists V2. C\langle e2 \rangle \Downarrow V2 \wedge V1 \sim V2)$

Contextually-equivalent programs refine each other.

**definition**

*contextually-equivalent*  $:: db \Rightarrow db \Rightarrow bool\ (-\approx-\ )$

**where**

$e1 \approx e2 \equiv e1 \sqsubseteq e2 \wedge e2 \sqsubseteq e1\langle proof \rangle\langle proof \rangle$

Our ultimate theorem states that if two programs have the same denotation then they are contextually equivalent.

**theorem** *computational-adequacy*:

**assumes** 1: *closed e1*

**assumes** 2: *closed e2*

**assumes** D: *evalDdb e1.env-empty-db = evalDdb e2.env-empty-db*

**shows**  $e1 \approx e2$  *<proof>*

This gives us a sound but incomplete method for demonstrating contextual equivalence. We expect this result is useful for showing contextual equivalence for *typed* programs as well, but leave it to future work to demonstrate this.

See [Gunter \(1992, §6.2\)](#) for further discussion of computational adequacy at higher types.

The reader may wonder why we did not use Nominal syntax to define our operational semantics, following [Urban and Narboux \(2009\)](#). The reason is that Nominal2 does not support the definition of continuous functions over Nominal syntax, which is required by the evaluators of §3 and §4.1. As observed above, in the setting of traditional programming language semantics one can get by with a much simpler notion of substitution than is needed for investigations into  $\lambda$ -calculi. Clearly this does not hold of languages that reduce “under binders”.

The “fast and loose reasoning is morally correct” work of [Danielsson et al. \(2006\)](#) can be seen as a kind of adequacy result.

[Benton et al. \(2009b\)](#) demonstrate a similar computational adequacy result in Coq. However their system is only geared up for this kind of metatheory, and not reasoning about particular programs; its term language is combinatory.

[Benton et al. \(2007, 2009a\)](#) have shown that it is difficult to scale this domain-theoretic approach up to richer languages, such as those with dynamic allocation of mutable references, especially if these references can contain (arbitrary) functional values.

## 5 Relating direct and continuation semantics

This is a fairly literal version of [Reynolds \(1974\)](#), adapted to untyped PCF. A more abstract account has been given by [Filinski \(2007\)](#) in terms of a monadic meta language, which is difficult to model in Isabelle (but see [Huffman \(2012a\)](#)).

We begin by giving PCF a continuation semantics following the modern account of [Wadler \(1992\)](#). We use the symmetric function space  $(\text{'o } ValK, \text{'o } K) \rightarrow (\text{'o } ValK, \text{'o } K)$  as our language includes call-by-name.

**type-synonym**  $(\text{'a}, \text{'o}) K = (\text{'a} \rightarrow \text{'o}) \rightarrow \text{'o}$

**domain**  $\text{'o } ValK$

$= ValKF$  (**lazy** *appKF*  $:: (\text{'o } ValK, \text{'o } K) \rightarrow (\text{'o } ValK, \text{'o } K)$   
 $| ValKTT | ValKFF$   
 $| ValKN$  (**lazy** *nat*)

**type-synonym**  $\text{'o } ValKM = (\text{'o } ValK, \text{'o } K) \langle proof \rangle \langle proof \rangle \langle proof \rangle$

We use the standard continuation monad to ease the semantic definition.

**definition**  $unitK :: \text{'o } ValK \rightarrow \text{'o } ValKM$  **where**

$unitK \equiv \Lambda a. \Lambda c. c \cdot a$

**definition**  $bindK :: \text{'o } ValKM \rightarrow (\text{'o } ValK \rightarrow \text{'o } ValKM) \rightarrow \text{'o } ValKM$  **where**

$bindK \equiv \Lambda m k. \Lambda c. m \cdot (\Lambda a. k \cdot a \cdot c)$

**definition**  $appKM :: 'o \text{ ValKM} \rightarrow 'o \text{ ValKM} \rightarrow 'o \text{ ValKM}$  **where**

$appKM \equiv \Lambda fK xK. bindK \cdot fK \cdot (\Lambda (ValKF \cdot f). f \cdot xK) \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

The interpretations of the constants.

**definition**

$condK :: 'o \text{ ValKM} \rightarrow 'o \text{ ValKM} \rightarrow 'o \text{ ValKM} \rightarrow 'o \text{ ValKM}$

**where**

$condK \equiv \Lambda iK tK eK. bindK \cdot iK \cdot (\Lambda i. \text{case } i \text{ of } \\ ValKF \cdot f \Rightarrow \perp \mid ValKTT \Rightarrow tK \mid ValKFF \Rightarrow eK \mid ValKN \cdot n \Rightarrow \perp)$

**definition**  $succK :: 'o \text{ ValKM} \rightarrow 'o \text{ ValKM}$  **where**

$succK \equiv \Lambda nK. bindK \cdot nK \cdot (\Lambda (ValKN \cdot n). unitK \cdot (ValKN \cdot (n + 1)))$

**definition**  $predK :: 'o \text{ ValKM} \rightarrow 'o \text{ ValKM}$  **where**

$predK \equiv \Lambda nK. bindK \cdot nK \cdot (\Lambda (ValKN \cdot n). \text{case } n \text{ of } 0 \Rightarrow \perp \mid Suc \ n \Rightarrow unitK \cdot (ValKN \cdot n))$

**definition**  $isZeroK :: 'o \text{ ValKM} \rightarrow 'o \text{ ValKM}$  **where**

$isZeroK \equiv \Lambda nK. bindK \cdot nK \cdot (\Lambda (ValKN \cdot n). unitK \cdot (\text{if } n = 0 \text{ then } ValKTT \text{ else } ValKFF))$

A continuation semantics for PCF. If we had defined our direct semantics using a monad then the correspondence would be more syntactically obvious.

**type-synonym**  $'o \text{ EnvK} = 'o \text{ ValKM Env}$

**primrec**

$evalK :: \text{expr} \Rightarrow 'o \text{ EnvK} \rightarrow 'o \text{ ValKM}$

**where**

$evalK \ (Var \ v) = (\Lambda \ \varrho. \ \varrho \cdot v)$   
 $| \ evalK \ (App \ f \ x) = (\Lambda \ \varrho. \ appKM \cdot (evalK \ f \cdot \varrho) \cdot (evalK \ x \cdot \varrho))$   
 $| \ evalK \ (AbsN \ v \ e) = (\Lambda \ \varrho. \ unitK \cdot (ValKF \cdot (\Lambda \ x. \ evalK \ e \cdot (env\text{-}ext \cdot v \cdot x \cdot \varrho))))$   
 $| \ evalK \ (AbsV \ v \ e) = (\Lambda \ \varrho. \ unitK \cdot (ValKF \cdot (\Lambda \ x \ c. \ x \cdot (\Lambda \ x'. \ evalK \ e \cdot (env\text{-}ext \cdot v \cdot (unitK \cdot x') \cdot \varrho) \cdot c))))$   
 $| \ evalK \ (Diverge) = (\Lambda \ \varrho. \ \perp)$   
 $| \ evalK \ (Fix \ v \ e) = (\Lambda \ \varrho. \ \mu \ x. \ evalK \ e \cdot (env\text{-}ext \cdot v \cdot x \cdot \varrho))$   
 $| \ evalK \ (tt) = (\Lambda \ \varrho. \ unitK \cdot ValKTT)$   
 $| \ evalK \ (ff) = (\Lambda \ \varrho. \ unitK \cdot ValKFF)$   
 $| \ evalK \ (Cond \ i \ t \ e) = (\Lambda \ \varrho. \ condK \cdot (evalK \ i \cdot \varrho) \cdot (evalK \ t \cdot \varrho) \cdot (evalK \ e \cdot \varrho))$   
 $| \ evalK \ (Num \ n) = (\Lambda \ \varrho. \ unitK \cdot (ValKN \cdot n))$   
 $| \ evalK \ (Succ \ e) = (\Lambda \ \varrho. \ succK \cdot (evalK \ e \cdot \varrho))$   
 $| \ evalK \ (Pred \ e) = (\Lambda \ \varrho. \ predK \cdot (evalK \ e \cdot \varrho))$   
 $| \ evalK \ (IsZero \ e) = (\Lambda \ \varrho. \ isZeroK \cdot (evalK \ e \cdot \varrho))$

To establish the chain completeness (admissibility) of our logical relation, we need to show that  $unitK$  is an *order monic*, i.e., if  $unitK \cdot x \sqsubseteq unitK \cdot y$  then  $x \sqsubseteq y$ . This is an order-theoretic version of injectivity.

In order to define a continuation that witnesses this, we need to be able to distinguish converging and diverging computations. We therefore require our observation domain to contain at least two elements:

**locale**  $at\text{-}least\text{-}two\text{-}elements =$

**fixes**  $some\text{-}non\text{-}bottom\text{-}element :: 'o :: domain$

**assumes**  $some\text{-}non\text{-}bottom\text{-}element: some\text{-}non\text{-}bottom\text{-}element \neq \perp$



$\langle proof \rangle$

## 5.2 A retraction between the two definitions

We can use the relation to establish a strong connection between the direct and continuation semantics. All results depend on the observation type being rich enough.

**context** *at-least-two-elements*  
**begin**

**abbreviation** *mrel* ( $\eta: - \mapsto -$  [50, 51] 50) **where**  
 $\eta: x \mapsto x' \equiv (x, x') \in \text{unlr } (\text{fst } F.\text{delta})$

**abbreviation** *vrel* ( $\vartheta: - \mapsto -$  [50, 51] 50) **where**  
 $\vartheta: y \mapsto y' \equiv (y, y') \in \text{unlr } (\text{snd } F.\text{delta}) \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle \langle proof \rangle$

Theorem 1 from Reynolds (1974).

**lemma** *AbsV-aux*:

**assumes**  $\eta: \text{Val}F.f \mapsto \text{unit}K \cdot (\text{Val}KF.f')$

**shows**  $\eta: \text{Val}F \cdot (\text{strictify}.f) \mapsto \text{unit}K \cdot (\text{Val}KF \cdot (\Lambda x c. x \cdot (\Lambda x'. f' \cdot (\text{unit}K \cdot x') \cdot c))) \langle proof \rangle$

**theorem** *Theorem1*:

**assumes**  $\forall v. \eta: \varrho \cdot v \mapsto \varrho' \cdot v$

**shows**  $\eta: \text{eval}D e \cdot \varrho \mapsto \text{eval}K e \cdot \varrho' \langle proof \rangle$

**end**

The retraction between the two value and monadic value spaces.

Note we need to work with an observation type that can represent the “explicit values”, i.e.  $'o \text{Val}K$ .

**locale** *value-retraction* =

**fixes**  $VtoO :: 'o \text{Val}K \rightarrow 'o$

**fixes**  $OtoV :: 'o \rightarrow 'o \text{Val}K$

**assumes**  $OV: OtoV \circ o VtoO = ID$

**sublocale** *value-retraction* < *at-least-two-elements*  $VtoO \cdot (\text{Val}KN \cdot 0)$   
 $\langle proof \rangle$

**context** *value-retraction*

**begin**

**fun**

$DtoKM-i :: \text{nat} \Rightarrow \text{Val}D \rightarrow 'o \text{Val}KM$

**and**

$KMtoD-i :: \text{nat} \Rightarrow 'o \text{Val}KM \rightarrow \text{Val}D$

**where**

$DtoKM-i 0 = \perp$

|  $DtoKM-i (\text{Suc } n) = (\Lambda v. \text{case } v \text{ of}$

$\text{Val}F.f \Rightarrow \text{unit}K \cdot (\text{Val}KF \cdot (\text{cfun-map} \cdot (\text{KMtoD-}i \ n) \cdot (\text{DtoKM-}i \ n) \cdot f))$

|  $\text{Val}TT \Rightarrow \text{unit}K \cdot \text{Val}KTT$

|  $\text{Val}FF \Rightarrow \text{unit}K \cdot \text{Val}KFF$

|  $\text{Val}N \cdot m \Rightarrow \text{unit}K \cdot (\text{Val}KN \cdot m)$

$| KMtoD-i\ 0 = \perp$   
 $| KMtoD-i\ (Suc\ n) = (\Lambda\ v.\ case\ OtoV\cdot(v\cdot VtoO)\ of$   
 $\quad ValKF\cdot f \Rightarrow ValF\cdot(cfun-map\cdot(DtoKM-i\ n)\cdot(KMtoD-i\ n)\cdot f)$   
 $| ValKTT \Rightarrow ValTT$   
 $| ValKFF \Rightarrow ValFF$   
 $| ValKN\cdot m \Rightarrow ValN\cdot m)$

**abbreviation**  $DtoKM \equiv (\bigsqcup i.\ DtoKM-i\ i)$

**abbreviation**  $KMtoD \equiv (\bigsqcup i.\ KMtoD-i\ i)\langle proof \rangle$

Lemma 1 from Reynolds (1974).

**lemma** *Lemma1*:

$\eta: x \mapsto DtoKM\cdot x$

$\eta: x \mapsto x' \implies x = KMtoD\cdot x'\langle proof \rangle$

Theorem 2 from Reynolds (1974).

**theorem** *Theorem2*:  $evalD\ e\cdot \rho = KMtoD\cdot(evalK\ e\cdot(DtoKM\ oo\ \rho))$

$\langle proof \rangle$

**end**

Filinski (2007, Remark 48) observes that there will not be a retraction between direct and continuation semantics for languages with richer notions of effects.

It should be routine to extend the above approach to the higher-order backtracking language of Wand and Vaillancourt (2004).

I wonder if it is possible to construct continuation semantics from direct semantics as proposed by Sethi and Tang (1980). Roughly we might hope to lift a retraction between two value domains to a retraction at higher types by synthesising a suitable logical relation.

## 6 A small-step (reduction) operational semantics for PCF

A small-step semantics allows us to express more things, like the progress of well-typed programs.

FIXME adjust: This relation is non-deterministic, but only  $\beta$ -reduces terms where the argument is a value. Moreover if we start with a closed term then our values are also closed. So while in general (i.e., for open terms) our substitution operation is wrong and this relation is too big, we show that things work out if we start reducing from a closed term (i.e., a program).

FIXME following Tolmach <https://www.cis.upenn.edu/~bcpierce/sf/current/Norm.html> we make this relation deterministic. Eases the normalization proof.

**inductive**

*reduction*  $:: db \Rightarrow db \Rightarrow bool\ (- \rightarrow_v - [50, 50]\ 50)$

**where**

*betaN*:  $DBApp\ (DBAbsN\ u)\ v \rightarrow_v u <v/0 >$

$|$  *betaV*:  $val\ v \implies DBApp\ (DBAbsV\ u)\ v \rightarrow_v u <v/0 >$

$|$   $f \rightarrow_v f' \implies DBApp\ f\ x \rightarrow_v DBApp\ f'\ x$

$|$   $\llbracket f = DBAbsV\ u; x \rightarrow_v x' \rrbracket \implies DBApp\ f\ x \rightarrow_v DBApp\ f\ x'$

$|$  *DBFix*:  $f \rightarrow_v f <DBFix\ f/0 >$

$|$  *DBCond*:  $DBtt\ t\ e \rightarrow_v t$

```

| DBCond DBff t e →v e
| DBSucc (DBNum n) →v DBNum (Suc n)
| DBPred (DBNum (Suc n)) →v DBNum n
| DBIsZero (DBNum 0) →v DBtt
| 0 < n ⇒ DBIsZero (DBNum n) →v DBff

```

**abbreviation** — The transitive, reflexive closure of the reduction relation.

*reduction-trc* :: *db* ⇒ *db* ⇒ *bool* (- →<sub>v</sub>\* - [100, 100] 100)

**where**

*reduction-trc* ≡ *rtranclp reduction*

**declare** *reduction.intros*[*intro!*]

**inductive-cases** *reduction-inv*:

```

DBVar v →v t'
DBApp f x →v t'
DBAbsN u →v t'
DBAbsV u →v t'
DBFix f →v t'
DBCond i t e →v t'
DBff →v t'
DBtt →v t'
DBNum n →v t'
DBSucc n →v t'
DBPred n →v t'
DBIsZero n →v t'

```

**lemma** *reduction-val*:

```

assumes val v
assumes v →v v'
shows False

```

⟨*proof*⟩

**lemma** *reduction-deterministic*:

```

assumes t →v t'
assumes t →v t''
shows t'' = t'

```

⟨*proof*⟩

### 6.0.1 Reduction is consistent with evaluation

**lemma** *reduction-eval*:

```

assumes t →v t'
assumes t' ↓ v
shows t ↓ v

```

⟨*proof*⟩

**lemma** *reduction-trc-eval*:

```

assumes t →v* t'
assumes t' ↓ v
shows t ↓ v

```

⟨*proof*⟩



**theorem** *reduction-trc-val-eval*:

**assumes**  $t \rightarrow_v^* v$

**assumes**  $val\ v$

**shows**  $t \Downarrow v$

*<proof>*

We show the converse (of sorts) using the frame stack machinery of the next section.

## 7 Concluding remarks

We have seen that Pitts’s techniques for showing the existence of relations over domains is straightforward to mechanise and use in HOLCF.

One source of irritation in doing so is that Pitts’s technique is formulated in terms of minimal invariants, which presently must be written out by hand. (Earlier versions of HOLCF’s domain package provided these copy functions, though we would still need to provide our own in such cases as §5.) HOLCF ’11 provides us with take functions (approximations, deflations) on domains that compose, and so one might hope to adapt Pitts’s technique to use these instead. This has been investigated by Benton et al. (2009a, §6), but it is unclear that the deflations involved are those generated by HOLCF ’11.

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