

Formal Metatheory of Second-Order Abstract Syntax

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Lemma (Weakening) If $\Gamma \vdash t : \beta$, then $\Gamma, x : \alpha \vdash t : \beta$.

Proof Trivial.

Lemma (Substitution) If $\Gamma, x : \alpha \vdash t : \beta$ and $\Gamma \vdash s : \alpha$
then $\Gamma \vdash [s/x]t : \beta$.

Proof By induction on $\Gamma, x : \alpha \vdash t : \beta$, weakening, and exchange.

Theorem (Type preservation) If $\Gamma \vdash t : \alpha$ and $t \rightsquigarrow s$ then $\Gamma \vdash s : \alpha$.

Proof By induction on $t \rightsquigarrow s$ and the substitution lemma.

Lemma (Renaming) If $\Gamma \vdash t : \alpha$ and $\rho : \Gamma \rightsquigarrow \Delta$, then $\Delta \vdash \langle \rho \rangle t : \alpha$.

Proof By induction on $\Gamma \vdash t : \alpha$.

Lemma (Weakening) If $\Gamma \vdash t : \beta$, then $\Gamma, x : \alpha \vdash t : \beta$.

Proof By renaming with $\Gamma \rightsquigarrow (\Gamma, \alpha)$.

Lemma (Lifting) If $\Delta \vdash \sigma : \Gamma$, then $(\Delta, \alpha) \vdash \text{lift } \sigma : (\Gamma, \alpha)$.

Proof By induction on $\Delta \vdash \sigma : \Gamma$ and weakening.

Lemma (Simultaneous substitution) If $\Gamma \vdash t : \alpha$ and $\Delta \vdash \sigma : \Gamma$,
then $\Delta \vdash [\sigma]t : \alpha$.

Proof By induction on $\Gamma \vdash t : \alpha$ and lifting.

Lemma (Substitution) If $\Gamma, x : \alpha \vdash t : \beta$ and $\Gamma \vdash s : \alpha$
then $\Gamma \vdash [s/x]t : \beta$.

Proof By simultaneous substitution with $\Gamma \vdash \text{id}, t : \Gamma, \alpha$.

Theorem (Type preservation) If $\Gamma \vdash t : \alpha$ and $t \rightsquigarrow s$ then $\Gamma \vdash s : \alpha$.

Proof By induction on $t \rightsquigarrow s$ and the substitution lemma.

Lemma (Lift-id)	$\text{lift}_v \text{id } v = v$
Lemma (Ren-id)	$\langle \text{id} \rangle t = t$
Lemma (Lift-var)	$\text{lift var } v = \text{var } v$

Theorem (Identity substitution) $[\text{var}]t = t$

Lemma (Lift-ren-ren)	$\text{lift}_v (\varrho \circ \rho) v = \langle \text{lift}_v \varrho \rangle (\text{lift}_v \rho v)$
Lemma (Ren-ren)	$\langle \varrho \rangle (\langle \rho \rangle t) = \langle \varrho \circ \rho \rangle t$
Lemma (Lift-ren-sub)	$\text{lift} (\langle \rho \rangle \circ \sigma) v = \langle \text{lift}_v \rho \rangle (\text{lift} \sigma v)$
Lemma (Ren-sub)	$\langle \rho \rangle ([\sigma]t) = [\langle \rho \rangle \circ \sigma]t$
Lemma (Lift-sub-ren)	$\text{lift} (\sigma \circ \rho) x = \text{lift} \sigma (\text{lift}_v \rho) v$
Lemma (Sub-ren)	$[\sigma] (\langle \rho \rangle t) = [\sigma \circ \rho]t$
Lemma (Lift-sub-sub)	$\text{lift} ([\varsigma] \circ \sigma) x = [\text{lift } \varsigma] (\text{lift} \sigma x)$

Theorem (Substitution associativity) $[\varsigma]([\sigma]t) = [[\varsigma] \circ \sigma]t$

Proof assistants can demand an
intimidating amount of rigour

Proof assistants can demand an
intimidating amount of rigour
boilerplate

benefit from
Proof assistants can demand an
intimidating amount of rigour
a tasteful boilerplate
code generation

Syntax description file

syntax Λ

type

$N : 0\text{-ary}$

$_ \succ _ : 2\text{-ary}$

term

$\text{app} : (\alpha \succ \beta) \alpha \rightarrow \beta$

$\text{lam} : \alpha. \beta \rightarrow \alpha \succ \beta$

\Rightarrow

Data type of types and terms

data $\Lambda T : \text{Set}$ **where**

$N : \Lambda T$

$_ \succ _ : \Lambda T \rightarrow \Lambda T \rightarrow \Lambda T$

data $\Lambda : \Lambda T \rightarrow \text{Ctx } \Lambda T \rightarrow \text{Set}$ **where**

$\text{var} : I \alpha \Gamma \rightarrow \Lambda \alpha \Gamma$

$\text{app} : \Lambda (\alpha \succ \beta) \Gamma \rightarrow \Lambda \alpha \Gamma \rightarrow \Lambda \beta \Gamma$

$\text{lam} : \Lambda \beta (\alpha \cdot \Gamma) \rightarrow \Lambda (\alpha \succ \beta) \Gamma$

Syntactic and semantic operations

$\text{wk} : \Lambda \alpha \Gamma \rightarrow \Lambda \alpha (\beta \cdot \Gamma)$

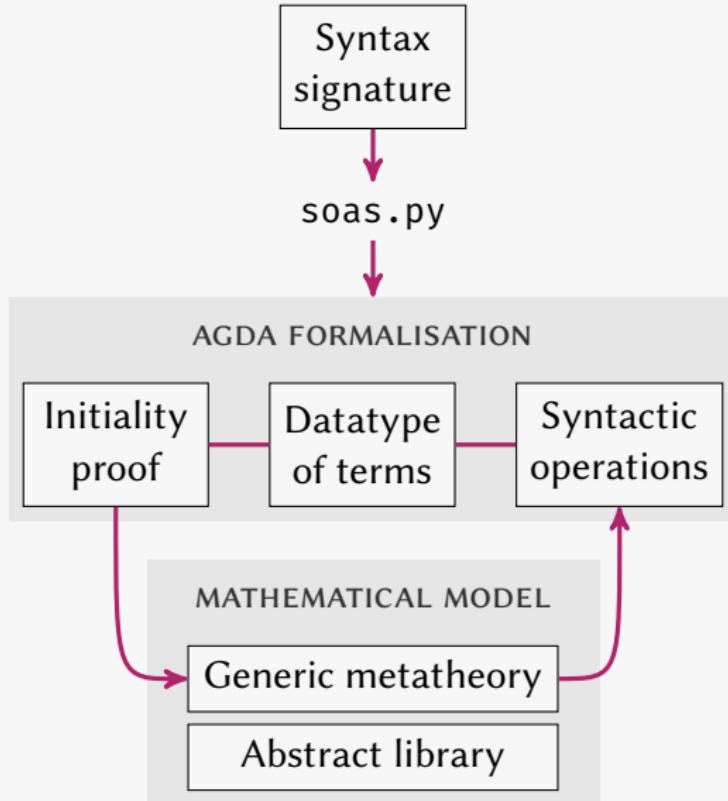
$[_/_] : \Lambda \alpha \Gamma \rightarrow \Lambda \beta (\alpha \cdot \Gamma) \rightarrow \Lambda \beta \Gamma$

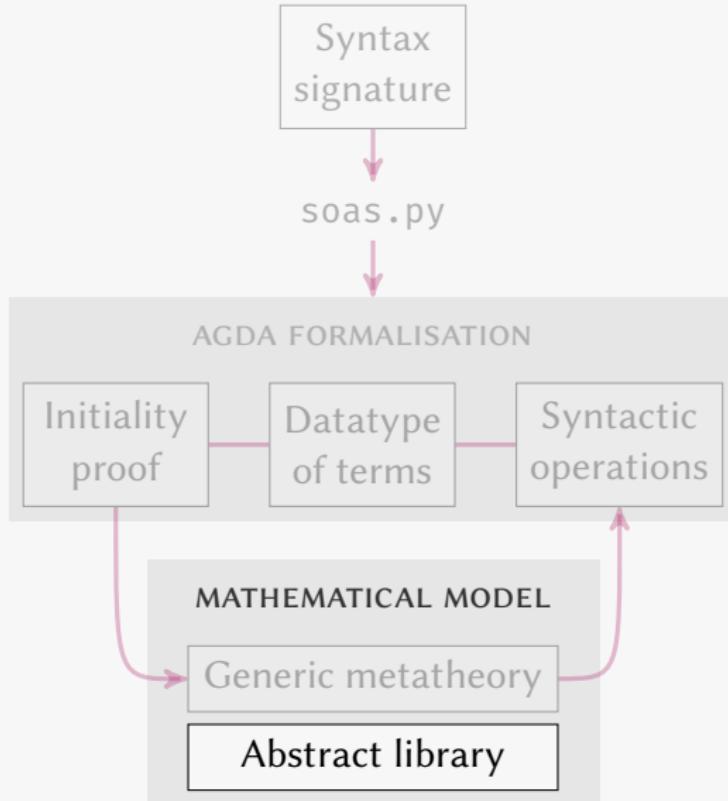
$\llbracket _\rrbracket : \Lambda \alpha \Gamma \rightarrow M \alpha \Gamma$

Correctness laws

$\text{syn-sub-lemma} : [r/] ([s/] t) \equiv [[r/] s /] ([r/] t)$

$\text{sem-sub-lemma} : \llbracket [s/] t \rrbracket \equiv M.\text{sub} \llbracket s \rrbracket \llbracket t \rrbracket$





The universe of discourse of abstract syntax is typed- and scoped- sets – *sorted families*

Objects and morphisms

$\text{Family}_s : \text{Set}_1$

$\text{Family}_s = T \rightarrow \text{Ctx} \rightarrow \text{Set}$

$_ \rightarrow _ : \text{Family}_s \rightarrow \text{Family}_s \rightarrow \text{Set}$

$\mathcal{X} \rightarrow \mathcal{Y} = \{\alpha : T\} \{\Gamma : \text{Ctx}\} \rightarrow \mathcal{X} \alpha \Gamma \rightarrow \mathcal{Y} \alpha \Gamma$

Example (Variables)

```
data I : Familys where
  new : I α (α · Γ)
  old : I β Γ → I β (α · Γ)
```

Example (Syntactic terms)

```
data Λ : Familys where
  var : I α Γ → Λ α Γ
  app : Λ (α > β) Γ → Λ α Γ → Λ β Γ
  lam : Λ β (α · Γ) → Λ (α > β) Γ
```

Context maps assign terms of a family
to variables in a type-preserving way

$$\begin{array}{ccccccc} \Gamma = & \alpha & & \beta & & \gamma & & \delta \\ & \downarrow & & \downarrow & & \downarrow & & \downarrow \\ \sigma = & t_1 : X \alpha \Delta & & t_2 : X \beta \Delta & & t_3 : X \gamma \Delta & & t_4 : X \delta \Delta & : \Gamma -[X] \rightarrow \Delta \end{array}$$

Simultaneous substitutions represented as a function space

$$\begin{aligned} -[_] \rightarrow __ &: \text{Ctx} \rightarrow \text{Family}_S \rightarrow \text{Ctx} \rightarrow \text{Set} \\ \Gamma -[X] \rightarrow \Delta &= \{\alpha : T\} \rightarrow I \alpha \Gamma \rightarrow X \alpha \Delta \end{aligned}$$

Renamings are variable-valued context maps

Contexts and renamings form a cocartesian category

$$\begin{aligned} \sim _ &: \text{Ctx} \rightarrow \text{Ctx} \rightarrow \text{Set} \\ \Gamma \sim \Delta &= \Gamma -[I] \rightarrow \Delta \end{aligned}$$

Families can be parametrised by context maps

Make \mathcal{Y} dependent on a \mathcal{X} -valued context map into an arbitrary Δ
Internal hom of \mathcal{X} and \mathcal{Y} in the skew-closed category of families

$$\begin{aligned}\langle _, _ \rangle : \text{Family}_s &\rightarrow \text{Family}_s \rightarrow \text{Family}_s \\ \langle X, Y \rangle \alpha \Gamma &= \{\Delta : \text{Ctx}\} \rightarrow (\Gamma - [X] \rightarrow \Delta) \rightarrow Y \alpha \Delta\end{aligned}$$

“Renamable” terms are elements of $\square X \triangleq \langle I, X \rangle$

A term $t \in (\square X) \alpha \Gamma$ applied to $\rho : \Gamma \rightsquigarrow \Delta$ gives $t \rho : X \alpha \Delta$

“Substitutable” terms are elements of $\langle X, X \rangle$

A term $t \in \langle X, X \rangle \alpha \Gamma$ applied to $\sigma : \Gamma - [X] \rightarrow \Delta$ gives $t \sigma : X \alpha \Delta$

Renamability is coalgebra structure

Definition

A *coalgebra* for the comonad \square on \mathbf{Fam}_S is an object X and a structure map $r: X \rightarrow \square X$ compatible with the comonad structure:

$$\begin{array}{ccc} X & & \\ \downarrow r & \searrow & \\ \square X & \xrightarrow{\varepsilon} & X \end{array}$$

$$\begin{array}{ccc} X & \xrightarrow{r} & \square X \\ \downarrow r & & \downarrow \delta \\ \square X & \xrightarrow{\square r} & \square \square X \end{array}$$

$$t \mapsto r t \text{ id} = t$$

$$t \mapsto \rho, \varrho \mapsto r(r t \rho) \varrho = r t (\varrho \circ \rho)$$

The structure map $r: X \rightarrow \square X$ acts as the *renaming operation*
It turns a family with coalgebra structure into a renamable family

$$r: X \rightarrow \square X = \forall \{\alpha \Gamma\} \rightarrow X \alpha \Gamma \rightarrow (\forall \{\Delta\} \rightarrow (\Gamma \rightsquigarrow \Delta) \rightarrow X \alpha \Delta)$$

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$$r: X \rightarrow \square X = \forall \{\alpha \Gamma \Delta\} \rightarrow X \alpha \Gamma \rightarrow (\Gamma \rightsquigarrow \Delta) \rightarrow X \alpha \Delta$$

Substitutability is monoid structure

Definition

A *monoid* in a closed category $(\mathbf{Fam}_S, \mathcal{I}, \langle -, = \rangle)$ is an object \mathcal{M} with a unit $\eta: \mathcal{I} \rightarrow \mathcal{M}$ and multiplication $\mu: \mathcal{M} \rightarrow \langle \mathcal{M}, \mathcal{M} \rangle$ satisfying unit and associativity laws.

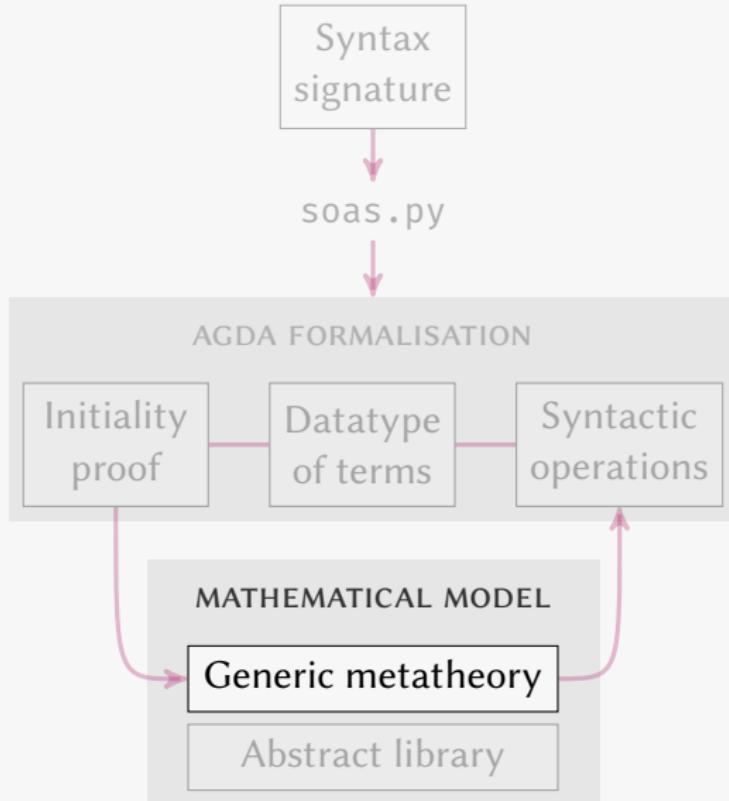
```
record Mon (M : FamilyS) : Set where
  field η : I → M
        μ : M → ⟨ M , M ⟩

  lunit : {σ : Γ -[ M ]→ Δ} {v : I α Γ} → μ (η v) σ ≡ σ v
  runit : {t : M α Γ} → μ t η ≡ t
  assoc : {σ : Γ -[ M ]→ Δ} {ξ : Δ -[ M ]→ Θ} {t : M α Γ} →
          μ (μ t σ) ξ ≡ μ t (λ v → μ (σ v) ξ)
```

Simultaneous substitution μ and associativity assoc reduces to single-variable substitution and the substitution lemma, respectively

$$\begin{array}{ll} [_ /] : M \alpha \Gamma \rightarrow M \beta (\alpha \cdot \Gamma) \rightarrow M \beta \Gamma & [r /] ([s /] t) \\ [s /] t = \mu t (\lambda \text{new} \rightarrow s; (\text{old } v) \rightarrow \eta v) & \equiv [[r /] s /] ([r /] t) \end{array}$$

The categorical viewpoint leads to an abstract,
natural characterisation of substitution structure



Initial pointed Σ -algebras encode syntax with variables

Signature endofunctor Σ captures operator arities

For example, $\Sigma_{\text{Mon}}(\mathcal{A}) \triangleq \mathbb{1} + \mathcal{A} \times \mathcal{A}$

Algebras $\Sigma\mathcal{A} \rightarrow \mathcal{A}$ capture constructors of the syntax

For example, $[\text{unit}, \text{mult}] : (\mathbb{1} + \mathcal{A} \times \mathcal{A}) \rightarrow \mathcal{A} = \Sigma_{\text{Mon}}(\mathcal{A}) \rightarrow \mathcal{A}$

Initial pointed Σ -algebras $\Sigma\mathbb{T} \rightarrow \mathbb{T} \leftarrow \mathcal{I}$ capture structural recursion

$$\begin{array}{ccc} \Sigma\mathbb{T} & \xrightarrow{\Sigma \text{sem}} & \Sigma\mathcal{A} \\ \downarrow \text{alg} & & \downarrow \text{alg} \\ \mathbb{T} & \xrightarrow{\text{sem}} & \mathcal{A} \\ & \swarrow \text{var} & \searrow \text{var} \\ & \mathcal{I} & \end{array}$$

$$\text{sem}(\text{alg}(t)) = \text{alg}(\Sigma \text{sem}(t))$$

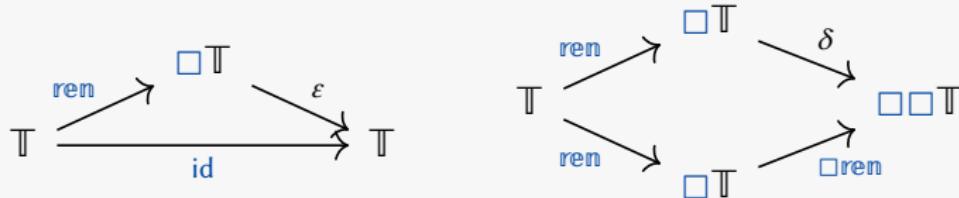
$$\text{sem}(\text{var}(v)) = \text{var}(v)$$

Syntactic operations are constructed and proved correct using initiality

Syntactic operations can often be brought to the form $\mathbb{T} \rightarrow \mathcal{A}$
Suffices to show that \mathcal{A} is a $(\Sigma + \mathcal{I})$ -algebra

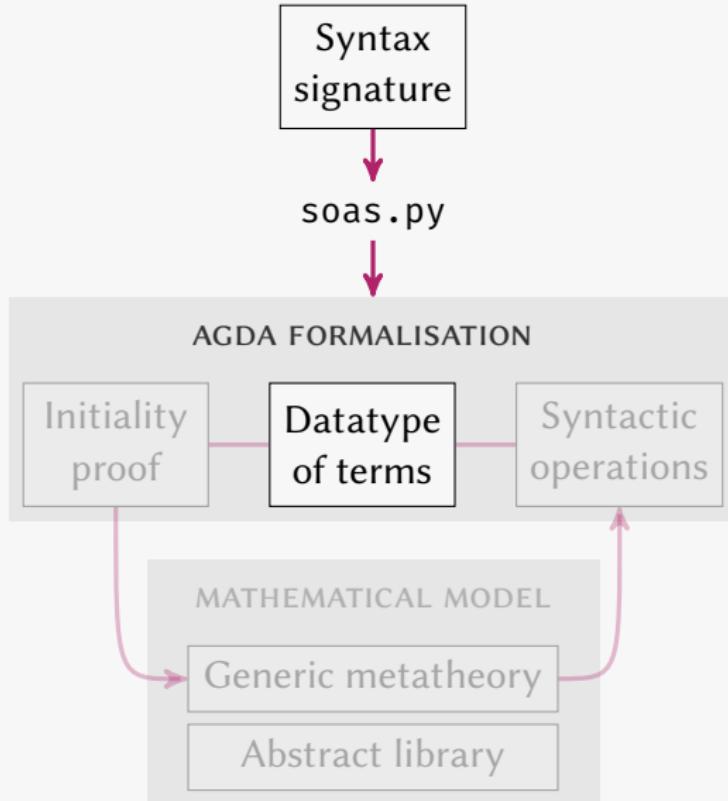
$$\text{ren}: \mathbb{T} \rightarrow \square \mathbb{T} \quad \text{sub}: \mathbb{T} \rightarrow \langle \mathbb{T}, \mathbb{T} \rangle$$

Correctness laws equate maps of the form $\mathbb{T} \rightarrow \mathcal{A}$
Suffices to show that edges are $(\Sigma + \mathcal{I})$ -algebra homomorphisms



Coalgebra and monoid structure given by categorical reasoning
Compositional constructions and diagrammatic proofs

The substitution structure is defined and proved generically over any second-order signature



Everything starts with a syntax description file

```
syntax STLC | Λ  
type  
  N    : 0-ary  
  _succ_ : 2-ary | r30  
term  
  app : (αsuccβ) α → β | _$_ l20  
  lam : α.β → αsuccβ | λ_ r10
```

Type syntax

```
data ΛT : Set where  
  N   : ΛT  
  _succ_ : ΛT → ΛT → ΛT
```

Operator symbols

```
data Λo : Set where  
  appo : {α β : ΛT} → Λo  
  lamo : {α β : ΛT} → Λo
```

Term syntax

```
data Λ : ΛT → Ctx ΛT → Set where  
  var : I α Γ → Λ α Γ  
  _$_ : Λ (αsuccβ) Γ → Λ α Γ → Λ β Γ  
  λ_ : Λ β (α · Γ) → Λ (αsuccβ) Γ
```

Signature

```
Λ:Sig : Λo → List (Ctx × ΛT) × ΛT  
Λ:Sig = λ { appo → [([],αsuccβ),([],α)], β  
           ; lamo → [([α],β)], αsuccβ }
```

The signature determines the endofunctor Σ and its algebras

$$\Sigma : \text{Family}_s \rightarrow \text{Family}_s$$

$$\Sigma X \alpha \Gamma = \Sigma[o \in \Lambda_o] (\alpha \equiv \text{Sort } o \times \text{Arg}(\text{Arity } o) X \Gamma)$$

Associate an operator symbol with a tuple of X -terms

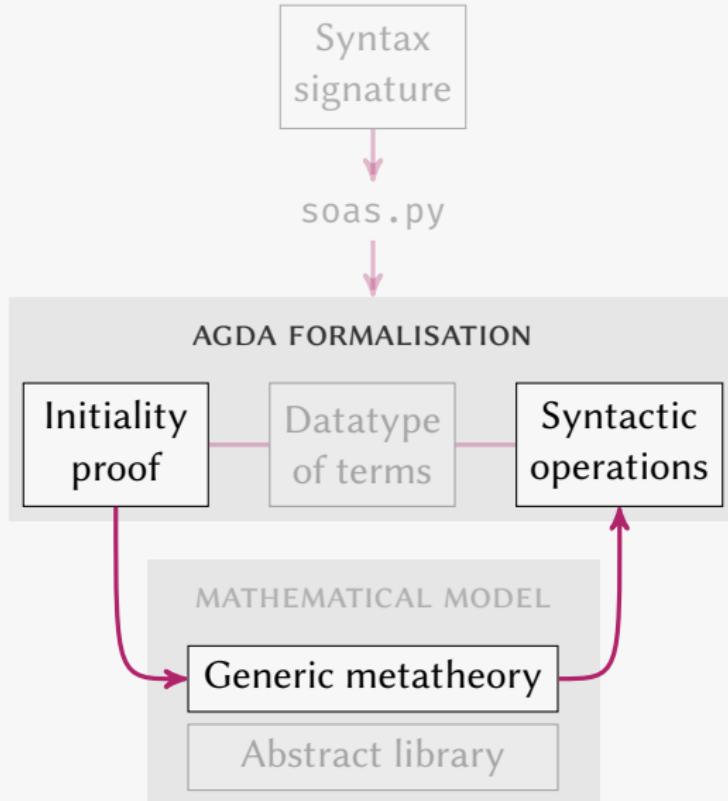
The operator arity determines the type and context of subterms

$$f : X(\alpha \succ \beta) \Gamma, a : X \alpha \Gamma \vdash (\text{app}_o, \text{refl}, (f, a)) : \Sigma X \beta \Gamma$$

$$b : X \beta (\alpha \cdot \Gamma) \vdash (\text{lam}_o, \text{refl}, b) : \Sigma X(\alpha \succ \beta) \Gamma$$

Pointed Σ -algebras $\Sigma X \rightarrow X \leftarrow I$ carry the syntactic structure

The initial such algebra will also have substitution structure



The inductive type of terms is the initial pointed Σ -algebra

Translation of Λ to any algebra (\mathcal{A} , $\text{var}: \mathcal{I} \rightarrow \mathcal{A}$, $\text{alg}: \Sigma\mathcal{A} \rightarrow \mathcal{A}$)

Captures all forms of recursive definitions on the syntax

$$\text{sem} : \Lambda \rightarrow \mathcal{A}$$

$$\text{sem}(\text{var } v) = \text{var } v$$

$$\text{sem}(\text{app } g a) = \text{alg}(\text{app}_o, \text{refl}, (\text{sem } g, \text{sem } a))$$

$$\text{sem}(\text{lam } b) = \text{alg}(\text{lam}_o, \text{refl}, \text{sem } b)$$

Uniqueness of sem among all homomorphisms (g , $\langle \text{var} \rangle$, $\langle \text{alg} \rangle$)

Captures all forms of inductive equality proofs on the syntax

$$\text{sem!} : (t : \Lambda \alpha \Gamma) \rightarrow \text{sem } t \equiv g t$$

$$\text{sem!}(\text{var } v) = \text{sym } \langle \text{var} \rangle$$

$$\text{sem!}(\text{app } f a) \text{ rewrite sem! } f | \text{sem! } a = \text{sym } \langle \text{alg} \rangle$$

$$\text{sem!}(\text{lam } b) \text{ rewrite sem! } b = \text{sym } \langle \text{alg} \rangle$$

The initiality proof for the syntax instantiates the generic metatheory

```
open import SOAS.Metatheory Λ:Sig Λ sem sem!
```

`[] : Λ α Γ → ([Γ]c → [α]t)`
`[] = ΣAlg.sem record { ... }`

sub-lemma : $\{b : \Lambda \beta (\alpha \cdot \Gamma)\} \{a : \Lambda \alpha \Gamma\} (\gamma : [\![\Gamma]\!]^c) \rightarrow [\![\![a/\]!] b]\!] \gamma \equiv [\![b]\!] (\gamma^+ [\![a]\!])$

data \rightsquigarrow : $\Lambda \alpha \Gamma \rightarrow \Lambda \alpha \Gamma \rightarrow \text{Set}$ **where**

$$\begin{array}{ll} \beta\text{-}\lambda : \{b : \Lambda \beta (\alpha \cdot \Gamma)\} & \{a : \Lambda \alpha \Gamma\} \rightarrow (\lambda b) \$ a \rightsquigarrow [a/]b \\ \zeta\text{-\$} : \{f g : \Lambda (\alpha \succ \beta) \Gamma\} \{a : \Lambda \alpha \Gamma\} \rightarrow f & \rightsquigarrow g \\ & \rightarrow f \$ a \rightsquigarrow g \$ a \end{array}$$

```

sound : {t s : Λ α Γ} → t ↣ s → (γ : [[Γ]]c) → [[t]] γ ≡ [[s]] γ
sound (ζ-$ r)      γ rewrite sound r γ = refl
sound (β-ƛ {t}{b}) γ rewrite sub-lemma t b
= cong [[b]] (dext λ{ new → refl ; (old v) → refl })

```

Move from language design to
valuable metatheory in seconds!

Example: first-order logic

syntax F

type

* : 0-ary
N : 0-ary

term

false → * | ⊥
and : * * → * | _Λ_
not : * → * | _¬_
all : N.* → * | _∀_ ...

theory

'and' commutative, idempotent

'false' annihilates 'and'

(DMAΛ) a b ▷ not (and (a, b)) = or (not(a), not(b))

(ΛPΛ^L) p : * q : N.* ▷ and (p, all(x.q[x]))
= all (x. and(p,q[x])) ...

data FT : Set where

★ : FT
N : FT

data F : FT → Ctx FT → Set where

var : I $\alpha\Gamma \rightarrow \Lambda\alpha\Gamma$
⊥ : F★Γ
Λ : F★Γ → F★Γ → F★Γ
¬ : F★Γ → F★Γ
∀ : F★(N · Γ) → F★Γ ...

Example: first-order logic

`data _▷_F_≈A_ : ∀(M Γ) → F M α Γ → F M α Γ → Set where`

`∧C : [*] [*] ▷ ∅ ⊢ a ∧ b ≈A b ∧ a`

`⊥XΛL : [*] ▷ ∅ ⊢ ⊥ ∧ a ≈A ⊥`

`DMΛ : [*] [*] ▷ ∅ ⊢ ¬(a ∧ b) ≈A (¬ a) ∨ (¬ b)`

`∧PΛL : [*] [N ⊢ *] ▷ ∅ ⊢ a ∧ (forall b(x₀)) ≈A ∀(a ∧ b(x₀)) ...`

`ax_with_ : {s t : F M α Π} → M ▷ Π ⊢ s ≈A t →
 (ζ : MSub Γ M N) → N ▷ Π ⊢ msub s ζ ≈ msub t ζ`

`cong[_]in_ : {s t : F M β (Π + Γ)} → M ▷ (Π + Γ) ⊢ s ≈A t →
 (u : F(M [Π ⊢ β]) α Γ) → M ▷ Γ ⊢ msub₁ u s ≈ msub₁ u t`

`∧PΛR : [N ⊢ *] [*] ⊢ (forall a(x₀)) ∧ b ≈ ∀(a(x₀) ∧ b)`

`∧PΛR = begin`

`(forall a(x₀)) ∧ b ≈⟨ ax ∧C with ⟨⟨ (forall a(x₀)) ▷ b ⟩⟩ ⟩`

`b ∧ (forall a(x₀)) ≈⟨ ax ∧PΛL with ⟨⟨ b ▷ a(x₀) ⟩⟩ ⟩`

`forall (b ∧ a(x₀)) ≈⟨ cong[ax ∧C with ⟨⟨ b ▷ a(x₀) ⟩⟩]in ∀(○c(x₀)) ⟩`

`forall (a(x₀) ∧ b) ■`

Conclusions

A signature captures the full syntactic structure of a language

No definition or proof requires particular, syntax-specific insight

Categorical viewpoint lends generality and deep understanding

Capture and abstract over common constructions from literature

Second-order extensions follow naturally from the theory

Further analysis of metasubstitution is ongoing work

Generality, practicality, efficiency – choose three!

Source code, documentation, and examples
can be found on the project page:

<https://tinyurl.com/agda-soas>

Give it a try!