

Structural Logical Relations with Case Analysis and Equality Reasoning

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Motivation

- Logical relations (LR) are a powerful proof technique, but difficult to formalize in Twelf and similar systems.
- Method to do so (*structural logical relations*) devised by [Schürmann and Sarnat, 2008]: Formalizes weak normalization and completeness of equivalence checking for simply typed λ -calculus.
- Minimal, pure λ -calculus.
- Can we use this for “real” programming languages?

Our Contributions

- Extension of structural logical relations allowing more proofs to be formalized.
- Further insight into the structure of logical-relations based proofs.
- Demonstration of proofs of observational equivalence.
- In this talk: High-level perspective; see paper for technical details.

Example 1: Termination

Definition (λ^{nat})

Naturals	n	::	Nat	::=	z s n
Expressions	e, v	::	Exp	::=	x lam $x. e_0$ app $e_1 e_2$ num n
Types	τ	::	Tp	::=	nat arr $\tau_2 \tau_0$
CBN Eval.	\mathcal{E}	::			$e \Downarrow v$
Typing	\mathcal{T}	::			$x_1 : \tau_1, \dots, x_n : \tau_n \triangleright e : \tau$

Theorem (Termination)

For any e where $\triangleright e : \text{nat}$, there exists a v such that $e \Downarrow v$.

Example 1: Logical Relation

- Termination proof requires a logical relation:

Definition (Logical Relation for Termination)

$$\begin{aligned} e \in \llbracket \text{nat} \rrbracket &\iff \exists n. e \Downarrow \text{num } n \\ e \in \llbracket \text{arr } \tau_2 \ \tau_0 \rrbracket &\iff \forall e_2. e_2 \in \llbracket \tau_2 \rrbracket \supset \text{app } e \ e_2 \in \llbracket \tau_0 \rrbracket \end{aligned}$$

- Extend to open expressions: For $\Gamma = x_1 : \tau_1, \dots, x_n : \tau_n$:

$$\Gamma \vdash e \in \llbracket \tau \rrbracket \iff \begin{aligned} &\forall e_1 \in \llbracket \tau_1 \rrbracket \cdots e_n \in \llbracket \tau_n \rrbracket. \\ &e[e_1 \cdots e_n / x_1 \cdots x_n] \in \llbracket \tau \rrbracket \end{aligned}$$

- Fundamental Theorem: If $\Gamma \triangleright e : \tau$ then $\Gamma \vdash e \in \llbracket \tau \rrbracket$.
- Representing LR at arrow types problematic. Twelf only supports metatheorems on $\forall\exists$ -form.

Use an Assertion Logic

Structural Logical Relations [Schürmann and Sarnat, 2008]:

Definition (Assertion Logic, $\Longrightarrow^{\text{eval}}$)

Propositions: $A, B \quad :: \text{Form} \quad ::= \forall^{\text{Exp}} \alpha. A \mid \exists^{\text{Nat}} \alpha. A$
| $A \supset B$
| $\text{eval}(e, v)$

Assumptions: $\Delta \quad :: \text{Assm} \quad ::= \{A_1, \dots, A_n\}$ (Unordered)

Parameters: $\Xi \quad :: \text{Ctx} \quad ::= \cdot \mid \Xi, \alpha : \text{Nat} \mid \Xi, \alpha : \text{Exp}$

“Cut-full” sequent:

$$\Xi \mid \Delta \xrightarrow{\bullet} A$$

“Cut-free” sequent:

$$\Xi \mid \Delta \xrightarrow{\circ} A$$

- $\xrightarrow{\circ} \text{eval}(_, _)$ axiomatizes $_ \Downarrow _$:

Theorem (Extraction)

If $\cdot \mid \emptyset \xrightarrow{\circ} \text{eval}(e, v)$, then $e \Downarrow v$.

Fundamental Theorem

- LR representation: Map types to propositions w/bound expression:

$$\llbracket \tau \rrbracket :: \text{Exp} \rightarrow \text{Form}$$

Definition (Logical Relation for Termination, Assertion-Level)

$$\begin{aligned} \llbracket \text{nat} \rrbracket (e) &\iff \exists^{\text{Nat}} n. \text{eval}(e, \text{num } n) \\ \llbracket \text{arr } \tau_2 \ \tau_0 \rrbracket (e) &\iff \forall^{\text{Exp}} e_2. \llbracket \tau_2 \rrbracket (e_2) \supset \llbracket \tau_0 \rrbracket (\text{app } e \ e_2) \end{aligned}$$

Theorem (Fundamental Theorem)

For any e , if

$$x_1 : \tau_1, \dots, x_n : \tau_n \triangleright e : \tau,$$

then

$$x_1 : \text{Exp}, \dots, x_n : \text{Exp} \mid \llbracket \tau_1 \rrbracket (x_1), \dots, \llbracket \tau_n \rrbracket (x_n) \xRightarrow{\bullet} \llbracket \tau \rrbracket (e).$$

- Note:** Induction lives entirely on the meta-level!

Cut Elimination

- Corollary: $\triangleright e : \text{nat}$ implies $\cdot | \emptyset \xRightarrow{\bullet} \exists v. \text{eval}(e, v)$.
- By *extraction*, termination reduced to proving *cut elimination*:

Theorem (Cut Elimination)

If $\Xi | \Delta \xRightarrow{\bullet} A$, then $\Xi | \Delta \xRightarrow{\circ} A$

- In Twelf: Syntactic proof due to [Pfenning, 2000]. Bulk of work in:

Lemma (Cut Admissibility)

If $\Xi | \Delta \xRightarrow{\circ} A$ and $\Xi | \Delta, A \xRightarrow{\circ} C$ then $\Xi | \Delta \xRightarrow{\circ} C$.

Extending to More Expressive Languages

- Languages just slightly more expressive than simply typed λ -calculus require stronger assertion logic.
- Specifically, equality reasoning and case-analysis principles.
- Assertion logic can only be strengthened if it retains cut-admissibility.

Example 2: λ -calculus + ifz

Definition ($\lambda^{\text{nat,ifz}}$)

Naturals	n	::	Nat	::=	z s n
Expressions	e	::	Exp	::=	x lam x . e_0 app e_1 e_2 num n ifz (e_0, e_1, e_2)
Types	τ	::	Tp	::=	nat arr τ_2 τ_0
CBN Eval.	\mathcal{E}	::	$e \Downarrow v$		
Typing	\mathcal{T}	::	$\Gamma \triangleright e : \tau$		

- Fund thm.: By IH, get $\llbracket \text{nat} \rrbracket (e_0) \equiv \exists^{\text{Nat}} n. \mathbf{eval}(e_0, \mathbf{num} \ n)$. Select one of branches e_1 or e_2 based on n .
- Structure of terms opaque to assertion logic.
- Specify structure explicitly in LR.

Example 2: Logical Relation, Assertion Logic

Definition (Assertion Logic ($\Longrightarrow^{\text{eval}, \text{eq}}$))

Propositions: $A, B \quad :: \quad \text{Form} \quad ::= \quad \forall^{\text{Exp}} \alpha. A \mid \exists^{\text{Nat}} \alpha. A$
| $A \supset B \mid A \wedge B \mid A \vee B$
| $\text{eval}(e, v) \mid \text{eq}(n, n')$

Assumptions: $\Delta \quad :: \quad \text{Assm} \quad ::= \quad \{A_1, \dots, A_n\}$ (Unordered)

Parameters: $\Xi \quad :: \quad \text{Ctx} \quad ::= \quad \cdot \mid \Xi, \alpha : \text{Nat} \mid \Xi, \alpha : \text{Exp}$

Proof sequent: $\Xi \mid \Delta \xrightarrow{c} A \quad (c \in \{\bullet, \circ\})$

Definition (Logical Relation for Termination, Assertion-Level)

$\llbracket \text{nat} \rrbracket(e) \iff \exists^{\text{Nat}} n. \text{eval}(e, \text{num } n)$
 $\wedge (\text{eq}(n, z) \vee \exists^{\text{Nat}} n'. \text{eq}(n, \text{s } n'))$

$\llbracket \text{arr } \tau_2 \tau_0 \rrbracket(e) \iff \forall^{\text{Exp}} e_2. \llbracket \tau_2 \rrbracket(e_2) \supset \llbracket \tau_0 \rrbracket(\text{app } e e_2)$

Equality

- $\mathbf{eq}(n, n')$ axiomatizes syntactic equality:

$$\frac{}{\Xi | \Delta \xRightarrow{c} \mathbf{eq}(n, n)}$$

- Cannot show cut-elim for logic w/general equality conversion.
- Must restrict equality reasoning to *leaves* of proofs, i.e., atomic formulas:

$$\frac{\Xi | \Delta \xRightarrow{c} \mathbf{eval}(e[n_1/x_1], v[n_2/x_2]) \quad \Xi | \Delta \xRightarrow{c} \mathbf{eq}(n_1, n'_1) \quad \Xi | \Delta \xRightarrow{c} \mathbf{eq}(n_2, n'_2)}{\Xi | \Delta \xRightarrow{c} \mathbf{eval}(e[n'_1/x_1], v[n'_2/x_2])}$$

Example 3: λ -calculus + case

Definition ($\lambda^{\text{nat,case}}$)

Naturals	n	::	Nat	::=	z s n
Expressions	e	::	Exp	::=	x lam x . e_0 app e_1 e_2 num n case ($e_0, e_1, x. e_2$)
Types	τ	::	Tp	::=	nat arr τ_2 τ_0
CBN Eval.	\mathcal{E}	::	$e \Downarrow v$		
Typing	\mathcal{T}	::	$\Gamma \triangleright e : \tau$		

- Still need to select branch based on $\llbracket \text{nat} \rrbracket(e_0)$.
- In subcase where $\Delta \mid \Xi \xRightarrow{\bullet} \text{eval}(e_0, \text{num}(\text{s } n'))$: By IH, get $\Xi, x : \text{Exp} \mid \Delta, \llbracket \text{nat} \rrbracket(x) \xRightarrow{\bullet} \llbracket \tau \rrbracket(e_2)$. *Instantiate LR for $e_2[\text{num } n'/x]$: Need to show $\xRightarrow{\bullet} \llbracket \text{nat} \rrbracket(\text{num } n')$.*

Example 3: Logical Relation, Assertion Logic

Definition (Assertion Logic ($\Longrightarrow^{\text{eval}, \text{eq}}$))

Propositions: $A, B \ :: \ \text{Form} \ ::= \ \forall^{\text{Exp}} \alpha. A \mid \exists^{\text{Nat}} \alpha. A$
| $A \supset B \mid A \wedge B \mid A \vee B$
| $\text{eval}(e, v) \mid \text{eq}(n, n')$

Assumptions: $\Delta \ :: \ \text{Assm} \ ::= \ \{A_1, \dots, A_n\}$ (Unordered)

Parameters: $\Xi \ :: \ \text{Ctx} \ ::= \ \cdot \mid \Xi, \alpha : \text{Nat} \mid \Xi, \alpha : \text{Exp}$

Proof sequent: $\Xi \mid \Delta \xrightarrow{c} A$ ($c \in \{\bullet, \circ\}$)

Definition (Logical Relation for Termination, Assertion-Level)

$$\llbracket \text{nat} \rrbracket (e) \iff \exists^{\text{Nat}} n. \text{eval}(e, \text{num } n)$$
$$\wedge (\text{eq}(n, z) \vee (\exists^{\text{Nat}} n'. \text{eq}(n, \text{s } n') \wedge (\text{eq}(n', z) \vee \exists^{\text{Nat}} n''. \dots)))$$
$$\llbracket \text{arr } \tau_2 \ \tau_0 \rrbracket (e) \iff \forall^{\text{Exp}} e_2. \llbracket \tau_2 \rrbracket (e_2) \supset \llbracket \tau_0 \rrbracket (\text{app } e \ e_2)$$

Example 3: Logical Relation, Assertion Logic

Definition (Assertion Logic ($\Longrightarrow^{\text{eval}, \text{eq}, \text{nat}^+}$))

Propositions:	A, B	::	Form	::=	$\forall^{\text{Exp}} \alpha. A \mid \exists^{\text{Nat}} \alpha. A$ $\mid A \supset B \mid A \wedge B \mid A \vee B$ $\mid \text{eval}(e, v) \mid \text{eq}(n, n') \mid \text{nat}^+(n)$
Assumptions:	Δ	::	Assm	::=	$\{A_1, \dots, A_n\}$ (Unordered)
Parameters:	Ξ	::	Ctx	::=	$\cdot \mid \Xi, \alpha : \text{Nat} \mid \Xi, \alpha : \text{Exp}$
Proof sequent:					$\Xi \mid \Delta \xrightarrow{c} A$ ($c \in \{\bullet, \circ\}$)

Definition (Logical Relation for Termination, Assertion-Level)

$$\llbracket \text{nat} \rrbracket(e) \iff \exists^{\text{Nat}} n. \text{eval}(e, \text{num } n) \wedge \text{nat}^+(n)$$

$$\llbracket \text{arr } \tau_2 \tau_0 \rrbracket(e) \iff \forall^{\text{Exp}} e_2. \llbracket \tau_2 \rrbracket(e_2) \supset \llbracket \tau_0 \rrbracket(\text{app } e e_2)$$

Assertion Logic With Case-Analysis on Naturals

$$\frac{}{\Xi|\Delta \xRightarrow{c} \mathbf{nat}^+(z)} \qquad \frac{\Xi|\Delta \xRightarrow{c} \mathbf{nat}^+(n)}{\Xi|\Delta \xRightarrow{c} \mathbf{nat}^+(s n)}$$

$$\frac{\Xi|\Delta, \mathbf{eq}(n, z) \xRightarrow{c} C \quad \Xi, n' : \mathbf{Nat}|\Delta, \mathbf{eq}(n, s n'), \mathbf{nat}^+(n') \xRightarrow{c} C}{\Xi|\Delta, \mathbf{nat}^+(n) \xRightarrow{c} C}$$

- $\mathbf{nat}^+(n)$ proof: *structural witness* for some n .
- As-is, Pfenning's cut-admissibility proof does not work for logic with left-rules on atomic propositions.
- Can be made to work as long as an index term always gets smaller in subderivations. For $\mathbf{nat}^+(n)$: n gets smaller.

Case-Analysis on *Derivations*?

- Required in, e.g., proofs of observational equivalence (see paper).
- Observation: For **eval**(e, v), indices do not get smaller in sub-proofs. To be able to add left-rule, index by explicit metric, e.g.: **eval**(e, v, d).
- Alternatively: Treat object-language derivations as *terms* with *dependent sorts*.
- In the following: Will show minimal example.

Example 4: λ -calculus + case + numeral constructors

Definition ($\lambda^{sz,case}$)

Expressions	e	::	Exp	::=	$x \mid \text{lam } x. e_0 \mid \text{app } e_1 e_2 \mid z \mid s e_0$
					$\mid \text{case}(e_0, e_1, x. e_2)$
Types	τ	::	Tp	::=	$\text{nat} \mid \text{arr } \tau_2 \tau_0$
CBN Eval.	\mathcal{E}	::			$e \Downarrow v$
Typing	\mathcal{T}	::			$\Gamma \triangleright e : \tau$
Num	\mathcal{N}	::			$v \#$

- Numerals characterized in *object-language judgment*:

$$\frac{}{z \#} \quad \frac{v \#}{s v \#}$$

- *Could* axiomatize as atomic formula, $A ::= \dots \mid \text{isnum}(v)$.
- Alternatively: Treat $v \#$ as a *dependent sort*; add structural witness formula.

Example 4: Logical Relation, Assertion Logic

Definition (Assertion Logic ($\Longrightarrow_{\Pi}^{\text{eval,eq,num}^+}$))

Propositions: $A, B \ :: \ \text{Form} \ ::= \ \forall^{\text{Exp}} \alpha. A \mid \exists^{\text{Exp}} \alpha. A \mid \exists^{(e \#)} \alpha. A$
| $A \supset B \mid A \wedge B \mid A \vee B$
| $\text{eval}(e, v) \mid \text{eq}(e, e')$
| $\text{num}^+(\mathcal{N})$

Assumptions: $\Delta \ :: \ \text{Assm} \ ::= \ \{A_1, \dots, A_n\}$ (Unordered)

Parameters: $\Xi \ :: \ \text{Ctx} \ ::= \ \cdot \mid \Xi, \alpha : \text{Exp} \mid \Xi, \alpha : (e \#)$

Proof sequent: $\boxed{\Xi \mid \Delta \xrightarrow{c} A}$ ($c \in \{\bullet, \circ\}$)

Definition (Logical Relation for Termination, Assertion-Level)

$\llbracket \text{nat} \rrbracket(e) \iff \exists^{\text{Exp}} v. \text{eval}(e, v) \wedge \exists^{(v \#)} \mathcal{N}. \text{num}^+(\mathcal{N})$
 $\llbracket \text{arr } \tau_2 \ \tau_0 \rrbracket(e) \iff \forall^{\text{Exp}} e_2. \llbracket \tau_2 \rrbracket(e_2) \supset \llbracket \tau_0 \rrbracket(\text{app } e \ e_2)$

Cut-Elimination for Logic with Dependent Sorts

- “Well-sortedness” must be compositional w.r.t. substitution:

Theorem (Compositionality)

*If $o :: S$ and $\Xi_1, \alpha : S, \Xi_2 \mid \Delta \xrightarrow{c} A$ then
 $\Xi_1, \Xi_2[o/\alpha] \mid \Delta[o/\alpha] \xrightarrow{c} A[o/\alpha]$.*

- “Free” theorem: everything is represented in LF, contexts Ξ in particular.
- Pfenning’s cut-admissibility theorem requires no changes!

Equality and Case-Analysis

- Need to take care if we want to add equality conversion axioms to judgments on which we reason by case distinction.

- **Example:** Let $\boxed{e \stackrel{*}{=} e'}$ be axiomatization of syntactic equality. Treat as sort.

$$\frac{}{e \stackrel{*}{=} e} \quad \frac{e \stackrel{*}{=} e'}{s e \stackrel{*}{=} s e'} \quad \frac{s e \stackrel{*}{=} s e'}{e \stackrel{*}{=} e'} \quad \frac{s e_0 \stackrel{*}{=} z}{e \stackrel{*}{=} e'} \quad \frac{e \stackrel{*}{=} e' \quad e' \stackrel{*}{=} e''}{e \stackrel{*}{=} e''} \quad \dots$$

- **Goal:** From $s n \stackrel{*}{=} s n'$ and $n \#$, infer $n' \#$.
- Quantify over alternative judgment $\boxed{e \# =}$ equivalent to $\boxed{e \#}$, but with explicit equality rules.

Resulting Assertion Logic

Definition (Assertion Logic $\left(\Longrightarrow_{\Pi, \#^=, \#^*}^{\text{eval}, \text{num}^+} \right)$)

Propositions: $A, B \quad :: \quad \text{Form} \quad ::= \quad \forall^{\text{Exp}} \alpha. A \mid \exists^{\text{Exp}} \alpha. A$
| $\exists(e \#^=) \alpha. A \mid \exists(e \#^* e') \alpha. A$
| $A \supset B \mid A \wedge B \mid A \vee B$
| $\text{eval}(e, v) \mid \text{num}^+(\mathcal{N})$

Assumptions: $\Delta \quad :: \quad \text{Assm} \quad ::= \quad \{A_1, \dots, A_n\}$ (Unordered)

Parameters: $\Xi \quad :: \quad \text{Ctx} \quad ::= \quad \cdot \mid \Xi, \alpha : \text{Exp} \mid \Xi, \alpha : (e \#^=)$
| $\Xi, \alpha : (e \#^* e')$

Proof sequent: $\Xi \mid \Delta \xrightarrow{c} A \quad (c \in \{\bullet, \circ\})$

Retain Canonicity of Derivations

- How to define rules for $e \# =$?

- Bad:** Add extra rule \Rightarrow extra case to handle in all proofs:

$$\frac{}{z \# =} \text{nz} \quad \frac{v' \# =}{s v' \# =} \text{ns} \quad \frac{v \# = \quad v \stackrel{*}{=} v'}{v' \# =} \text{conv}$$

- Good:** Make equality intrinsic property of all rules:

$$\frac{v \stackrel{*}{=} z}{v \# =} \text{nz}' \quad \frac{v' \# = \quad v \stackrel{*}{=} s v'}{v \# =} \text{ns}'$$

- Derivations still canonical. Conversions pushed to equality derivations.

Example

● **Given** $\mathcal{Q} :: s e' \stackrel{*}{=} s e$ and $\mathcal{N} :: e \# =$, show $e' \# =$.

● \mathcal{N} must end in nz' or ns' .

● Case $\mathcal{N} = \frac{\mathcal{N}' \quad \mathcal{Q}'}{e_0 \# = \quad e \stackrel{*}{=} s e_0} ns'$ (case for nz' analogous).

● Obtain result by

$$\frac{\mathcal{N}' \quad \frac{\frac{\mathcal{Q}}{s e' \stackrel{*}{=} s e} \quad \mathcal{Q}'}{e' \stackrel{*}{=} e \quad e \stackrel{*}{=} s e_0}}{e_0 \# = \quad e' \stackrel{*}{=} s e_0} ns'}{e' \# =}$$

● **Results**

- Extension of SLR method to allow reasoning by case-analysis and equality.
- More proofs can be formalized: see paper for observational equivalence proofs.
- Nice property: Pfenning's cut-elim proof works for dependently-sorted logic.

● **Results**

- Extension of SLR method to allow reasoning by case-analysis and equality.
- More proofs can be formalized: see paper for observational equivalence proofs.
- Nice property: Pfenning's cut-elim proof works for dependently-sorted logic.

● **Future work**

- Lots of boilerplate. Code generation or extension of Twelf?
- Experiment with stronger logics – no termination guarantees for cut-elim though.

● Results

- Extension of SLR method to allow reasoning by case-analysis and equality.
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● Future work

- Lots of boilerplate. Code generation or extension of Twelf?
- Experiment with stronger logics – no termination guarantees for cut-elim though.

● Questions?

- Code, paper, slides: see <http://www.uttr.dk/>.



Frank Pfenning.

Structural cut elimination: I. Intuitionistic and classical logic.
Information and Computation, 157(1–2):84–141, 2000.



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