

# The Essence of Generalized Algebraic Data Types

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# Type-indexed vectors

```
data Zero :: *  
data Succ :: * -> *
```

```
data Vec :: * -> * -> * where  
  Nil :: forall a. Vec a Zero  
  Cons :: forall a n. a -> Vec a n -> Vec a (Succ n)
```

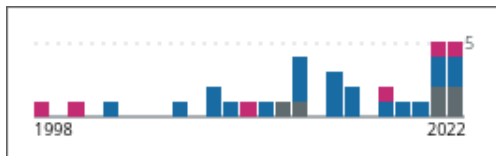
Fixed-length lists without dependent types.

# Well-typed DSLs

```
data Expr :: * -> * where
  LiftExpr  :: forall a. a -> Expr a
  LamExpr   :: forall a b. (a -> Expr b) -> Expr (a -> b)
  AppExpr   :: forall a b. Expr (a -> b)
              -> Expr a -> Expr b
  FixExpr   :: forall a. Expr (a -> a) -> Expr a
  ...
```

Can be used to embed DSLs, and fallback onto Haskell for typechecking.  
E.g., Pugs, Darcs.

# Existing works on GADTs



31 relevant results on dblp:

- 8: categorical semantics
  - 23: syntax, type-inference, implementation, usage
- Our work can be used by compiler developers, language designers, or for the verification of data structures.
  - Moreover, we target feature-rich languages.

# This work

- Calculus for GADTs.
- Semantic model for this calculus.

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- Calculus for GADTs.
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allows proving free theorems  
or representation independence  
of different implementations

semantic model

progress +  
preservation

(initial)  
→ syntactic model

KEY property: universe  
of semantic relations

## Short description

Our calculus:

System  $F\omega$

- + recursive types
- + type equalities
- + optional additional type constructors

Can be perceived as an IR used by a compiler.



# Syntax

kinds	$\kappa$	$::= \mathbf{T} \mid \kappa \Rightarrow \kappa$
constructors	$c$	$::= \forall_{\kappa} \mid \exists_{\kappa} \mid \mu_{\kappa} \mid \rightarrow \mid \times \mid + \mid \text{unit} \mid \text{void}$
constraints	$\chi$	$::= \sigma \equiv_{\kappa} \tau$
types	$\tau, \sigma$	$::= \alpha \mid \lambda \alpha :: \kappa. \tau \mid \sigma \tau \mid c \mid \chi \rightarrow \tau \mid \chi \times \tau$

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values	$v$	$::= x \mid \langle \rangle \mid \lambda x. e \mid \langle v_1, v_2 \rangle \mid \mathbf{inj}_1 v \mid \mathbf{inj}_2 v \mid \Lambda. e$ $\mid \mathbf{pack} v \mid \mathbf{roll} v \mid \lambda \bullet. e \mid \langle \bullet, v \rangle$
expressions	$e$	$::= \mathbf{let} x = e_1 \mathbf{in} e_2 \mid v_1 v_2 \mid \mathbf{proj}_1 v \mid \mathbf{proj}_2 v$ $\mid \mathbf{case} v [x. e_1 \mid y. e_2] \mid v \mid \mathbf{abort} \bullet \mid v \bullet$ $\mid \mathbf{let} (\bullet, x) = v \mathbf{in} e$
eval. contexts	$E$	$::= \square \mid \mathbf{let} x = E \mathbf{in} e$

- Type constructors are built-in functions on types.
- Constraint types are ‘**assert**’s and ‘**assume**’s for type equalities.

# Dynamic semantics

Constraints don't have any interesting operational semantics, and their introduction and elimination forms just 'guide typechecking'.

$$(\lambda \bullet. e) \bullet \mapsto e$$

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Informally, we can consider constraints as singleton types.

# Discriminability

For impossible case elimination it is enough to look at the head symbols.

$$\frac{c_1 \neq c_2 \quad (\Delta \vdash c_i \bar{\tau}_i :: \kappa)_{i \in \{1,2\}}}{\Delta \Vdash c_1 \bar{\tau}_1 \#_{\kappa} c_2 \bar{\tau}_2}$$

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$$\frac{\Delta \vdash \tau_1 :: T \quad \Delta \vdash \tau_2 :: T \quad \Delta \vdash \sigma_1 :: T \quad \Delta \vdash \sigma_2 :: T}{\Delta \Vdash \tau_1 + \sigma_1 \#_T \tau_2 \times \sigma_2}$$

# Provability

The main crux of the system — injectivity. This rule makes it possible to use GADTs (e.g., in case of well-typed terms) to derive non-trivial equalities.

$$\frac{c :: (\kappa_j \Rightarrow)_j \kappa \quad \Delta \mid \Phi \Vdash c (\sigma_i)_j \equiv_{\kappa} c (\tau_i)_j}{(\Delta \mid \Phi \Vdash \sigma_i \equiv_{\kappa_j} \tau_i)_j}$$



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$$\frac{\Delta \mid \Phi \Vdash \sigma_1 \times \tau_1 \equiv_{\top} \sigma_2 \times \tau_2}{\Delta \mid \Phi \Vdash \tau_1 \equiv_{\top} \tau_2}$$

# Static semantics

We handle constraint passing manually to simplify semantic model.  
 This is handled by the typechecker in real calculi with GADTs.

$$\frac{\Delta \vdash \chi \text{ constr} \quad \Delta \mid \Phi, \chi \mid \Gamma \vdash e : \tau}{\Delta \mid \Phi \mid \Gamma \vdash \lambda \bullet. e : \chi \rightarrow \tau} \quad \frac{\Delta \mid \Phi \Vdash \chi \quad \Delta \mid \Phi \mid \Gamma \vdash v : \tau}{\Delta \mid \Phi \mid \Gamma \vdash \langle \bullet, v \rangle : \chi \times \tau}$$

$$\frac{\Delta \mid \Phi \Vdash \sigma_1 \equiv_{\kappa} \sigma_2 \quad \Delta \Vdash \sigma_1 \#_{\kappa} \sigma_2 \quad \Delta \vdash \tau :: T}{\Delta \mid \Phi \mid \Gamma \vdash \text{abort } \bullet : \tau}$$

$$\frac{\Delta \mid \Phi \Vdash \tau_1 \equiv_T \tau_2 \quad \Delta \mid \Phi \mid \Gamma \vdash e : \tau_1}{\Delta \mid \Phi \mid \Gamma \vdash e : \tau_2}$$

# Type-indexed vectors

Some classical examples of dependent types can be expressed with just GADTs, if we use them as ‘tags’.

$$\text{natvec} :: \mathbb{T} \Rightarrow \mathbb{T}$$
$$\text{natvec} \triangleq$$
$$\mu\varphi :: \mathbb{T} \Rightarrow \mathbb{T}. \lambda\alpha :: \mathbb{T}.$$
$$((\alpha \equiv_{\mathbb{T}} \text{void}) \times \text{unit})$$
$$+ (\mathbb{N} \times \exists\beta :: \mathbb{T}. (\alpha \equiv_{\mathbb{T}} (\beta + \text{unit})) \times (\varphi \beta))$$

natvec is either **unit** (and has void as its index)  
or **not unit** (and the tail has a smaller index).

$$\text{nenatvec} :: \mathbb{T}$$
$$\text{nenatvec} \triangleq \exists\alpha :: \mathbb{T}. \text{natvec} (\alpha + \text{unit})$$

# Type-indexed vectors

The head function is now total! (We can eliminate the impossible case.)

$\text{vhead} : \text{nenatvec} \rightarrow \mathbb{N}$

$\text{vhead } xs \triangleq$

let  $(*, ys) = xs$  in

case unroll  $ys$

|  $\text{inj}_1 (\bullet, w)$ . abort  $\bullet$

|  $\text{inj}_2 \langle y, - \rangle$ .  $y$

Enough about the syntax of our calculus! Can we actually prove something about it?

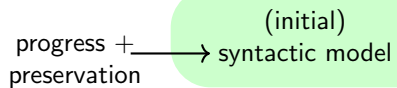
# Naïve approach

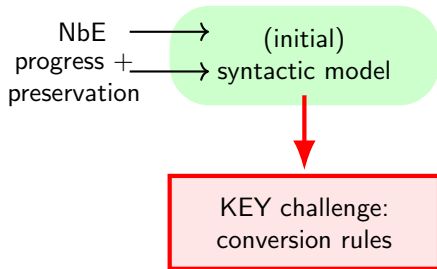
- Types are interpreted as sets of values. Constraints are interpreted as equalities of these sets.
- We can't validate injectivity rules, e.g., consider this instance:

$$\frac{\Delta \mid \Phi \Vdash \text{void} \times \tau_1 \equiv_{\text{T}} \text{void} \times \tau_2}{\Delta \mid \Phi \Vdash \tau_1 \equiv_{\text{T}} \tau_2}$$

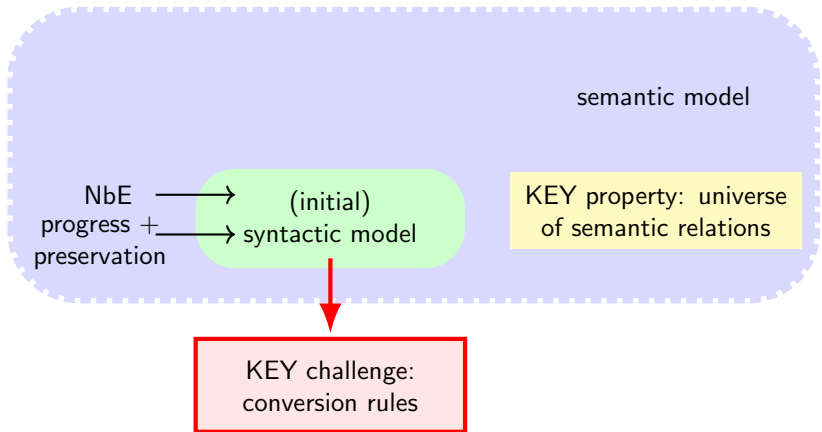
- If  $\emptyset \times A = \emptyset \times B$ , then it isn't necessarily true that  $A = B$ .

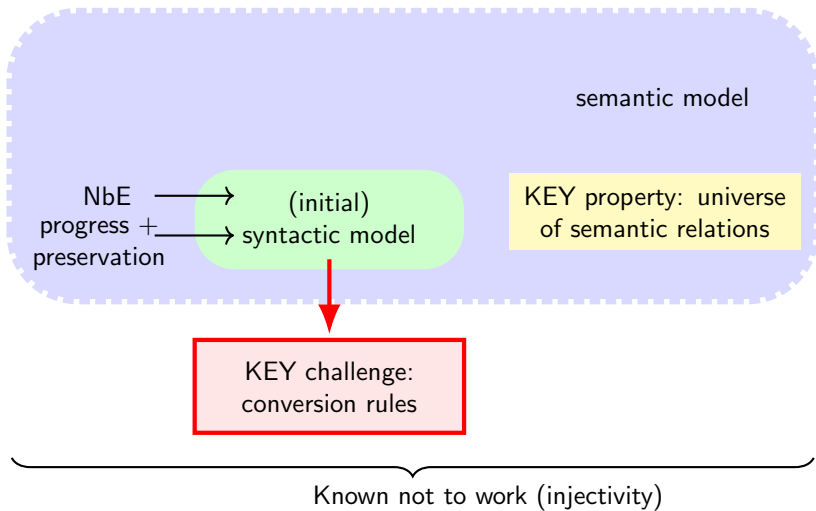
progress +  
preservation → (initial)  
syntactic model



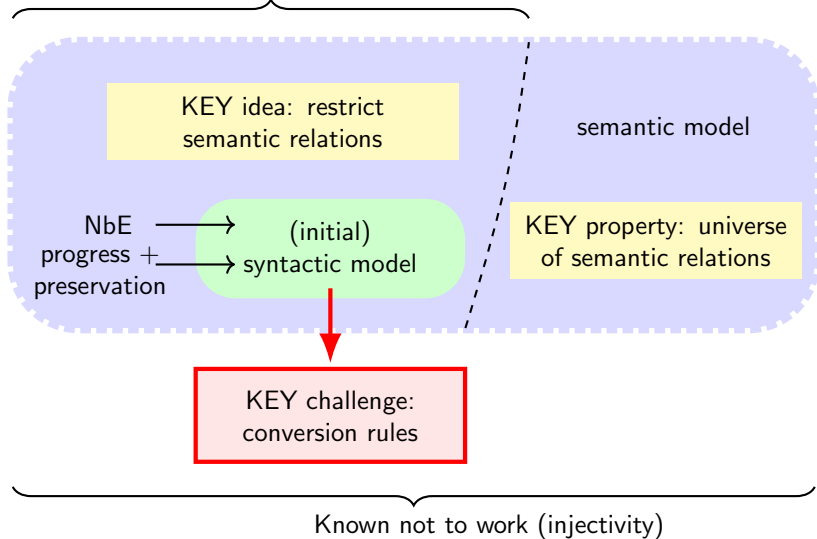








Our model: validates injectivity rules + has a model with semantic relations



# High-level explanation

Idea: two stages.

- Before we compute the actual semantics, we need to do some equalities house-keeping.
- The first stage helps to reason about equalities.
- The second stage is for sets of values.

# Normal forms

- We need an inductively defined universe of 'codes' for types.
- We can use NbE for types, and their normal forms as codes.

# First stage

- *Normalization by evaluation* for types.
- Syntax of normal and neutral forms for types.
- Normalization is performed by composition of reify and eval.

$$\begin{aligned} \llbracket \mathsf{T} \rrbracket &\triangleq \mathsf{Neu}_{\mathsf{T}} \\ \llbracket \kappa_a \Rightarrow \kappa_r \rrbracket &\triangleq \llbracket \kappa_a \rrbracket \Rightarrow \llbracket \kappa_r \rrbracket \\ \llbracket \Delta \rrbracket &\triangleq \prod_{\alpha :: \kappa \in \Delta} \llbracket \kappa \rrbracket \end{aligned}$$

$$\begin{aligned} \mathsf{reify} &: \llbracket \kappa \rrbracket \Rightarrow \mathsf{Nf}_{\kappa} \\ \mathsf{reflect} &: \mathsf{Neu}_{\kappa} \Rightarrow \llbracket \kappa \rrbracket \\ \mathsf{eval} &: \mathsf{Ty}_{\kappa}^{\Delta} \rightarrow (\llbracket \Delta \rrbracket \Rightarrow \llbracket \kappa \rrbracket) \end{aligned}$$

## Setup for the second stage

We used step-indexed logic for this version of the calculus.  
Language features might require additional gadgets.

$$\tau ::= T \mid \text{Val} \mid \text{Expr} \mid \text{Prop} \mid 1 \mid \tau + \tau \mid \tau \times \tau \mid \tau \rightarrow \tau$$

$$\begin{aligned} t, P ::= & x \mid v \mid e \mid F(t_1, \dots, t_n) \mid \\ & () \mid (t, t) \mid \pi_i t \mid \lambda x : \tau. t \mid t(t) \mid \\ & \text{inl } t \mid \text{inr } t \mid \text{case}(t, x.t, y.t) \mid \\ & \text{False} \mid \text{True} \mid t =_{\tau} t \mid P \Rightarrow P \mid P \wedge P \mid P \vee P \mid \\ & \exists x : \tau. P \mid \forall x : \tau. P \mid \triangleright P \mid \mu x : \tau. t \end{aligned}$$

$$\frac{\Gamma, x : \tau \vdash t : \tau \quad x \text{ is guarded in } t}{\Gamma \vdash \mu x : \tau. t : \tau}$$

## Second stage

- We can interpret normal forms now, instead of arbitrary types.
- Syntactic equality of normal forms for constraints.

$$(\Delta \vdash \tau \equiv_{\kappa} \sigma \text{ constr}) \text{ true} \triangleq$$
$$\forall(\Delta' : \text{Ctx})(\eta : \llbracket \Delta \rrbracket^{\Delta'}) . \text{reify}(\text{eval}(\tau)(\eta)) = \text{reify}(\text{eval}(\sigma)(\eta))$$

$$\mathcal{R}(\chi \times \nu)(v) \triangleq \exists v' . v = \langle \bullet, v' \rangle \wedge \chi \text{ true} \wedge \mathcal{R}(\nu)(v')$$



But what happens when we want to go under binders in types  
(at this point, it's either forall or recursive types)?

$$\mathcal{R}(\forall\alpha :: \kappa. \tau)(v) \triangleq \exists e. v = \Lambda. e \wedge \forall\mu \in ?.wp(\mathcal{R}(\tau + \text{something about } \mu \text{ and } \alpha))(e)$$

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What if we want to validate an equality in  $\tau$  that involves  $\alpha$ ?

If we try to use predicates, we end up with a function from an interpretation of  $\mathbb{N}$  to some arbitrary interpretation of  $\alpha$  and a syntactic constraint.

$$\mathcal{R}(\forall\alpha :: \mathbb{T}. \forall\beta :: \mathbb{T}. (\alpha \times \beta \equiv_{\mathbb{T}} \mathbb{N} \times \beta) \rightarrow \mathbb{N} \rightarrow \alpha)$$

## Second stage\*

- We cannot directly use predicates for  $\forall$ .
- Guarded recursion not only in the case of recursive types, but also in the case of  $\forall$  (syntactic substitution strikes back).
- We can interpret normal forms now, instead of arbitrary types.
- Syntactic equality of normal forms for constraints.

$$\mathcal{R}(\forall \alpha :: \kappa. \tau)(v) \triangleq \exists e. v = \Lambda. e \wedge \forall \mu \in \llbracket \kappa \rrbracket (\cdot). \triangleright \text{wp}(\mathcal{R}(\text{eval}(\tau)([\alpha \mapsto \mu])))(e)$$
$$\mathcal{R}(\chi \times \nu)(v) \triangleq \exists v'. v = \langle \bullet, v' \rangle \wedge \chi \text{ true} \wedge \mathcal{R}(\nu)(v')$$

## Dealing with equalities

$$(\Delta \vdash \tau \equiv_{\kappa} \sigma \text{ constr}) \text{ true} \triangleq \\ \forall(\Delta' : \text{Ctx})(\eta : \llbracket \Delta \rrbracket^{\Delta'}) . \text{reify}(\text{eval}(\tau)(\eta)) = \text{reify}(\text{eval}(\sigma)(\eta))$$

- To validate the conversion rule we need reification to be injective.
- That's what *good* stands for.

### Lemma (Injectivity of reify)

For any types  $\tau_1, \tau_2$  of kind  $\kappa$ , well-formed in  $\Delta$   
and any good environment  $\eta : \llbracket \Delta \rrbracket^{\Delta'}$ ,  
if  $\text{reify}(\text{eval}(\tau_1)(\eta)) = \text{reify}(\text{eval}(\tau_2)(\eta))$ , then  $\text{eval}(\tau_1)(\eta) = \text{eval}(\tau_2)(\eta)$ .

## Second stage\*\*

- We need to maintain a *good* environment.
- We cannot use purely semantic predicates in  $\forall$ .
- Guarded recursion not only in case of recursive types, but also in  $\forall$  (syntactic substitution strikes back).
- We can interpret normal forms now, instead of arbitrary types.
- Syntactic equality of normal forms for constraints.

$$\mathcal{R}(\forall\alpha :: \kappa. \tau)(\nu) \triangleq \exists e. \nu = \Lambda. e \wedge \forall\mu \in \llbracket \kappa \rrbracket(\cdot). \text{good}(\mu) \rightarrow \triangleright_{\text{wp}}(\mathcal{R}(\text{eval}(\tau)([\alpha \mapsto \mu])))(e)$$
$$\mathcal{R}(\chi \times \nu)(\nu) \triangleq \exists v'. \nu = \langle \bullet, v' \rangle \wedge \chi \text{ true} \wedge \mathcal{R}(\nu)(v')$$

## Logical relation

We avoided a few problems so far:

- If the interpretation of equalities is too *semantical*, we cannot validate injectivity rules.
- If we use equalities of normal forms to interpret equalities, but do not use *good* environments, we cannot validate the conversion rules.

After that, we can actually validate all the rules, given a *good* environment for types, and valid contexts for constraints and term variables.

You might have a question: it's good, but is it usable for anything apart from proving safety in a semantical way?

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No!



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No!

But we can cook up something.

We can extend the syntax with arbitrary stuff at the base kind (remember, that reify and reflect are 'inert' for the base kind).

$$\frac{\varphi : X}{\varphi : \text{Neu}_{\top}^{\Delta}}$$

If  $X$  is instantiated with predicates (or relations), we can verify syntactically not well-typed programs (or prove interesting binary properties).

To evaluate the model we prove representation independence of type-indexed vectors and lists.

Moreover, we don't break anything in the process (e.g., we still can prove free theorems).

# Limitations

- The model is not robust enough to ensure termination of the sub-calculus with restricted injectivity and no recursive types.
- Relational reasoning is limited to types at the base kind (well, in any case, programmers don't use types at higher kinds).

## Contributions:

- Calculus for studies of GADTs.
- Novel approach to study semantics of feature-rich languages with syntactic constraints for types.
- Semantical models of a language that allows us to express GADTs:
  - Unary model that validates potential extensions for languages with GADTs.
  - Binary model that allows reasoning about representation independence (and (sic!) doesn't break anything from System  $F$ ).

## and future:

- Extensions (general effects).
- Relational interpretation of  $\forall$  quantified at higher kinds. (Less restrictive interpretation of  $\forall$ ?)
- The end goal is to provide a setup that can be used for designing a language that supports GADTs.

## Placeholder before backup slides

# Logical relation

$$\llbracket \Phi \rrbracket_{\eta} \text{ true} \triangleq \forall \varphi \in \Phi. \llbracket \varphi \rrbracket_{\eta} \text{ true}$$

$$\llbracket \Gamma \rrbracket_{\eta} \triangleq \{ \gamma \in \text{dom}(\Gamma) \rightarrow \text{Val} \mid \forall x \in \text{dom}(\Gamma). \mathcal{R}(\text{eval}(\Gamma(x))(\eta))(\gamma(x)) \}$$

$$\Delta \mid \Phi \mid \Gamma \models e : \tau \triangleq \forall \eta \in \llbracket \Delta \rrbracket(\cdot). \text{good}(\eta) \rightarrow \llbracket \Phi \rrbracket_{\eta} \text{ true} \rightarrow \forall \gamma \in \llbracket \Gamma \rrbracket_{\eta} \rightarrow \text{wp}(\mathcal{R}(\text{eval}(\tau)(\eta)))(e)$$

# Injectivity and Cantor's paradox

Injectivity of some constructors implies false. It's a known fact, but can come up as a surprise.

For any injective constructor  $c :: (T \Rightarrow T) \Rightarrow T$  and type  $\alpha :: T$  it is possible to derive a value of type `void` in System  $F_{\omega}^{=i}$ .



# Non-termination

For any injective constructor  $c :: (T \Rightarrow T) \Rightarrow T$  and type  $\alpha :: T$  it is possible to derive a value of type `void` in System  $F_{\omega}^=i$ .

- $\tau_c^{\text{loop}} \triangleq \exists \beta :: T \Rightarrow T. (c \beta \equiv_T \alpha) \times (\beta \alpha \rightarrow \text{void})$
- $v^{\text{loop}} \triangleq \lambda x. \text{let } (*, (\bullet, y)) = x \text{ in } y \text{ (pack } \langle \bullet, y \rangle)$
- $\vdash v^{\text{loop}} : \tau_c^{\text{loop}}[(c (\lambda \alpha :: T. \tau_c^{\text{loop}}))/\alpha] \rightarrow \text{void},$
- $\vdash v^{\text{loop}} \text{ (pack } \langle \bullet, v^{\text{loop}} \rangle) : \text{void}$

# Syntactic type-safety via NbE

## Lemma (Consistency)

*A discriminable constraint is not provable in an empty context: in other words,  $\emptyset \mid \emptyset \Vdash \tau_1 \equiv_{\kappa} \tau_2$  and  $\emptyset \mid \emptyset \Vdash \tau_1 \#_{\kappa} \tau_2$  are contradictory.*

- Consequence of the injectivity of reify.
- Allows to discharge impossible cases.

## Lemma (Canonical form for arrows)

*If  $v$  is a closed value of type  $\tau$  and  $\tau$  is provably equal to some arrow type in an empty context, then  $v$  is a lambda-abstraction with a well-typed body.*

$$\begin{aligned} (\emptyset \mid \emptyset \Vdash \tau \equiv_{\top} (\tau_1 \rightarrow \tau_2)) \wedge (\emptyset \mid \emptyset \mid \Gamma \vdash v : \tau) \\ \implies (\exists x e. v = \lambda x. e \wedge \emptyset \mid \emptyset \mid \Gamma, x : \tau_1 \vdash e : \tau_2) \end{aligned}$$

## Orthogonal extensions

References and concurrency.

constructors  $c ::= \dots \mid \text{ref}$

references  $l ::= \mathbb{N}$

values  $v ::= \dots \mid l$

expressions  $e ::= \dots \mid \text{fork } e \mid \text{alloc } v \mid v := v \mid ! v$

The first stage stays the same, and the rest depends only on the logic used for defining  $\mathcal{R}$ .

The only requirements are that new effects should be expressed by type constructors, and that the ambient logic can express them.

## Type-safe red-black trees

```
data Red
data Black
data Tree a where
  Tree :: Node Black n a -> Tree a
```

```
data Node t n a where
  Nil :: Node Black Zero a
  BlackNode :: NodeH t0 t1 n a -> Node Black (Succ n) a
  RedNode :: NodeH Black Black n a -> Node Red n a
data NodeH l r n a = NodeH (Node l n a) a (Node r n a)
```

Stronger type invariants.

# Well-typed lambda terms

$\text{Tm} :: \text{T} \Rightarrow \text{T}$

$\text{Tm} \triangleq$

$\mu\varphi :: \text{T} \Rightarrow \text{T}. \lambda\alpha :: \text{T}.$

$\alpha + (\exists\beta, \gamma :: \text{T}. (\alpha \equiv_{\text{T}} (\beta \rightarrow \gamma)) \times (\beta \rightarrow \varphi \gamma))$   
 $+ (\exists\beta :: \text{T}. \varphi (\beta \rightarrow \alpha) \times \varphi \beta)$

# Well-typed lambda terms

$\text{eval} : \forall \alpha :: \mathbb{T}. \text{Tm } \alpha \rightarrow \alpha$

$\text{eval} \triangleq$

fix  $\lambda f. \Lambda. \lambda x.$

case unroll  $x$

| inj<sub>1</sub>  $y. y$

| inj<sub>2</sub>  $y. \text{case } y$

| inj<sub>1</sub>  $(*, (*, (\bullet, g))) . \lambda z. f * (g z)$

| inj<sub>2</sub>  $(*, \langle g, x \rangle) . (f * g) (f * x)$

# Logical relation for denotations

For any two bigger related contexts and arguments in this extended contexts, results are related after extension.

$$\eta \mid \nu_1 \approx_{\top} \nu_2 \triangleq \llbracket \nu_1 \rrbracket_{\eta} = \nu_2$$

$$\eta \mid \varphi_1 \approx_{\kappa_a \Rightarrow \kappa_r} \varphi_2 \triangleq \forall \Delta'_1, \Delta'_2, (\delta_1 : \text{hom}_{\mathcal{K}}(\Delta'_1, \Delta_1), \delta_2 : \text{hom}_{\mathcal{K}}(\Delta'_2, \Delta_2)), (\eta' : \llbracket \Delta'_1 \rrbracket^{\Delta'_2}), \mu_1, \mu_2. \\ (\delta_2^* \eta = \lambda x. \eta'(\delta_1(x))) \rightarrow (\eta' \mid \mu_1 \approx_{\kappa_a} \mu_2) \rightarrow (\eta' \mid \varphi_1(\delta_1, \mu_1) \approx_{\kappa_r} \varphi_2(\delta_2, \mu_2))$$

## Lemma

*If  $\eta \mid \mu_1 \approx \mu_2$ , then  $\llbracket \text{reify}(\mu_1) \rrbracket_{\eta} = \mu_2$ .*

*If  $\eta \mid \eta_1 \approx \eta_2$ , then  $\eta \mid \llbracket \tau \rrbracket_{\eta_1} \approx \llbracket \tau \rrbracket_{\eta_2}$ .*

$$\iota \mid \nu \approx_{\kappa} \nu$$