

Assignment 1

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1 Introduction

We define a category \mathcal{L} whose objects are the types of simply-typed lambda calculus, and whose morphisms are the terms of that calculus. The natural desiderata for such a category are that the fundamental algebraic structure of lambda calculus, function application and lambda abstraction, should be realised by categorical algebra.

We assume familiarity with simply-typed lambda calculus; some details are recalled in Appendix A or one can consult [2].

Following Church's original presentation our lambda calculus only contains function types and Φ_{\rightarrow} denotes the set of simple types. We write Λ_{σ} for the set of α -equivalence classes of lambda terms of type σ , and we write $=_{\beta\eta}$ for the equivalence relation generated by $\beta\eta$ equivalence.

Definition 1.1 (Category of lambda terms). The category \mathcal{L} has objects

$$\text{ob}(\mathcal{L}) = \Phi_{\rightarrow} \cup \{\mathbf{1}\}$$

and morphisms given for types $\sigma, \tau \in \Phi_{\rightarrow}$ by

$$\mathcal{L}(\sigma, \tau) = \Lambda_{\sigma \rightarrow \tau} / =_{\beta\eta}$$

$$\mathcal{L}(\mathbf{1}, \sigma) = \Lambda_{\sigma} / =_{\beta\eta}$$

$$\mathcal{L}(\sigma, \mathbf{1}) = \{\star\}$$

$$\mathcal{L}(\mathbf{1}, \mathbf{1}) = \{\star\},$$

where \star is a new symbol. For $\sigma, \tau, \rho \in \Phi_{\rightarrow}$ the composition rule is the function

$$(1.1) \quad \mathcal{L}(\tau, \rho) \times \mathcal{L}(\sigma, \tau) \longrightarrow \mathcal{L}(\sigma, \rho)$$

$$(1.2) \quad (N, M) \longmapsto \lambda x^{\sigma} . (N(Mx))$$

where $x \notin \text{FV}(N) \cup \text{FV}(M)$. We write the composite as $N \circ M$. In the remaining special cases the composite is given by the rules

$$(1.3) \quad \mathcal{L}(\tau, \rho) \times \mathcal{L}(\mathbf{1}, \tau) \longrightarrow \mathcal{L}(\mathbf{1}, \rho), \quad N \circ M = (N M),$$

$$(1.4) \quad \mathcal{L}(\mathbf{1}, \rho) \times \mathcal{L}(\mathbf{1}, \mathbf{1}) \longrightarrow \mathcal{L}(\mathbf{1}, \rho), \quad N \circ \star = N,$$

$$(1.5) \quad \mathcal{L}(\mathbf{1}, \rho) \times \mathcal{L}(\sigma, \mathbf{1}) \longrightarrow \mathcal{L}(\sigma, \rho), \quad N \circ \star = \lambda t^{\sigma} . N,$$

where in the final rule $t \notin \text{FV}(N)$. Notice that these functions, although their rules depend on representatives of equivalence classes, are none-the-less well defined.

For terms M, N the expression $M = N$ always means equality of terms (that is, up to α -equivalence) and we write $M =_{\beta\eta} N$ if we want to indicate equality up to $\beta\eta$ -equivalence (for example as morphisms in the category \mathcal{L}). Since the free variable set of a lambda term is not invariant under β -reduction, some care is necessary in defining the category \mathcal{L}_Q below. Let \rightarrow_β denote multi-step β -reduction [1, Definition 1.3.3].

Lemma 1.2. *If $M \rightarrow_\beta N$ then $\text{FV}(N) \subseteq \text{FV}(M)$.*

Definition 1.3. Given a term M we define

$$\text{FV}_\beta(M) = \bigcap_{N =_\beta M} \text{FV}(N)$$

where the intersection is over all terms N which are β -equivalent to M .

Clearly if $M =_\beta M'$ then $\text{FV}_\beta(M) = \text{FV}_\beta(M')$.

Lemma 1.4. *Given terms $M : \sigma \rightarrow \rho$ and $N : \sigma$ we have*

$$\text{FV}_\beta((MN)) \subseteq \text{FV}_\beta(M) \cup \text{FV}_\beta(N).$$

Lemma 1.5. *Given $M : \sigma \rightarrow \rho$ and $N : \tau \rightarrow \sigma$ we have*

$$(1.6) \quad \text{FV}_\beta(M \circ N) \subseteq \text{FV}_\beta(M) \cup \text{FV}_\beta(N).$$

Given a set Q of variables we write Λ_σ^Q for the set of lambda terms M of type σ with $\text{FV}(M) \subseteq Q$. Let $=_{\beta\eta}$ denote the induced relation on this subset of Λ_σ .

Lemma 1.6. *For any type σ and set Q of variables the image of the injective map*

$$(1.7) \quad \Lambda_p^Q / =_{\beta\eta} \longrightarrow \Lambda_p / =_{\beta\eta}$$

is the set of equivalence classes of terms M with $\text{FV}_\beta(M) \subseteq Q$.

Proof. Since the simply-typed lambda calculus is strongly normalising [1, Theorem 3.5.1] and confluent [1, Theorem 3.6.3] there is a unique normal form \widehat{M} in the β -equivalence class of M , and $\text{FV}_\beta(M) = \text{FV}(\widehat{M})$. Hence if $\text{FV}_\beta(M) \subseteq Q$ then $\text{FV}(\widehat{M}) \subseteq Q$ and so M is in the image of (1.7). \square

Definition 1.7. For a set of variables Q we define a subcategory $\mathcal{L}_Q \subseteq \mathcal{L}$ by

$$\text{ob}(\mathcal{L}_Q) = \text{ob}(\mathcal{L}) = \Phi_\rightarrow \cup \{\mathbf{1}\}$$

and for types σ, ρ

$$\begin{aligned}\mathcal{L}_Q(\sigma, \rho) &= \{M \in \mathcal{L}(\sigma, \rho) \mid \text{FV}_\beta(M) \subseteq Q\}, \\ \mathcal{L}_Q(\mathbf{1}, \sigma) &= \{M \in \mathcal{L}(\mathbf{1}, \sigma) \mid \text{FV}_\beta(M) \subseteq Q\}, \\ \mathcal{L}_Q(\sigma, \mathbf{1}) &= \mathcal{L}(\sigma, \mathbf{1}) = \{\star\}, \\ \mathcal{L}_Q(\mathbf{1}, \mathbf{1}) &= \mathcal{L}(\mathbf{1}, \mathbf{1}) = \{\star\}.\end{aligned}$$

Note that the last two lines have the same form using the convention that $\text{FV}_\beta(\star) = \emptyset$. We denote the inclusion functor by $I_Q : \mathcal{L}_Q \longrightarrow \mathcal{L}$. We write \mathcal{L}_{cl} for \mathcal{L}_Q when $Q = \emptyset$ and call this the category of **closed** lambda terms.

We claim that the inclusion I_Q has a right adjoint, provided Q is **cofinite**, by which we mean that $Q^c = Y \setminus Q$ is a finite set. Our convention is to use letters $\mathfrak{p}, \mathfrak{q}, \dots$ for ordered sets of variables, with \mathfrak{q} always denoting an ordering on the finite unordered set of variables Q^c . With this notation, we next define a functor

$$\Gamma_{\mathfrak{q}} : \mathcal{L} \longrightarrow \mathcal{L}_Q$$

which we will prove is right adjoint to I_Q , with counit a natural transformation

$$\mathcal{U}^{\mathfrak{q}} : I_Q \circ \Gamma_{\mathfrak{q}} \longrightarrow 1_{\mathcal{L}}.$$

For the rest of this section let Q be a cofinite set of variables and $\mathfrak{q} = (q_1 : \tau_1, \dots, t_k : q_k : \tau_k)$ an ordering of the complement. While the functor $\Gamma_{\mathfrak{q}}$ and natural transformation $\mathcal{U}^{\mathfrak{q}}$ depend on the choice of ordering, by the uniqueness of adjoints they are independent of the ordering up to unique natural isomorphism.

Definition 1.8. For a type ρ we define

$$\Gamma_{\mathfrak{q}}(\rho) = \tau_1 \rightarrow \tau_2 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho$$

which is ρ if Q is empty. We set $\Gamma_{\mathfrak{q}}(\mathbf{1}) = \mathbf{1}$. For types σ, τ we define a function

$$(1.8) \quad \Gamma_{\mathfrak{q}} : \mathcal{L}(\sigma, \tau) \longrightarrow \mathcal{L}_Q(\Gamma_{\mathfrak{q}}\sigma, \Gamma_{\mathfrak{q}}\tau)$$

on a term $M : \sigma \rightarrow \tau$ by

$$(1.9) \quad \Gamma_{\mathfrak{q}}(M) = \lambda U^{\tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \sigma} q_1^{\tau_1} \dots q_k^{\tau_k} . (M(\dots (Uq_1) \dots q_k)) .$$

Since it is clear by inspection that $\text{FV}_\beta(\Gamma_{\mathfrak{q}}M) \subseteq \text{FV}_\beta(M) \setminus Q^c$ we have $\Gamma_{\mathfrak{q}}M \in \mathcal{L}_Q$. In the special cases involving $\mathbf{1}$ we define $\Gamma_{\mathfrak{q}}$ by

$$\begin{aligned}\mathcal{L}(\sigma, \mathbf{1}) &\longrightarrow \mathcal{L}_Q(\Gamma_{\mathfrak{q}}\sigma, \Gamma_{\mathfrak{q}}\mathbf{1}) = \mathcal{L}_Q(\Gamma_{\mathfrak{q}}\sigma, \mathbf{1}), & \star &\mapsto \star \\ \mathcal{L}(\mathbf{1}, \rho) &\longrightarrow \mathcal{L}_Q(\Gamma_{\mathfrak{q}}\mathbf{1}, \Gamma_{\mathfrak{q}}\rho) = \mathcal{L}_Q(\mathbf{1}, \Gamma_{\mathfrak{q}}\rho), & M &\mapsto \lambda q_1^{\tau_1} \dots q_k^{\tau_k} . M \\ \mathcal{L}(\mathbf{1}, \mathbf{1}) &\longrightarrow \mathcal{L}_Q(\Gamma_{\mathfrak{q}}\mathbf{1}, \Gamma_{\mathfrak{q}}\mathbf{1}) = \mathcal{L}_Q(\mathbf{1}, \mathbf{1}) & \star &\mapsto \star.\end{aligned}$$

Remark 1.9. It is important in (1.9) that we lambda abstract over the particular variables q_i that belong to Q^c . By α -equivalence the result of a lambda abstraction is independent of the variable we use *if* the term being lambda abstracted does not contain that variable as a free variable. However we are certainly interested in the case where M *does* contain the q_i as free variables, and in these cases $\Gamma_{\mathbf{q}}(M)$ defined using, say, a sequence of variables $v_1^{\tau_1}, \dots, v_k^{\tau_k}$ distinct from \mathbf{q} would be a different morphism in \mathcal{L} .

Lemma 1.10. $\Gamma_{\mathbf{q}}$ is a functor $\mathcal{L} \longrightarrow \mathcal{L}_Q$.

With the same notation as in Definition 1.8:

Definition 1.11. For a type ρ we define $\mathcal{U}_{\rho}^{\mathbf{q}} \in \mathcal{L}(\Gamma_{\mathbf{q}}\rho, \rho)$ by

$$(1.10) \quad \mathcal{U}_{\rho}^{\mathbf{q}} = \lambda U^{\Gamma_{\mathbf{q}}\rho} . (\dots ((Uq_1)q_2) \dots q_k) .$$

Once again, it is significant that we use the sequence of variables \mathbf{q} to form this term, and not arbitrary variables of the same type. The special case is $\mathcal{U}_{\mathbf{1}}^{\mathbf{q}} \in \mathcal{L}(\Gamma_{\mathbf{q}}\mathbf{1}, \mathbf{1}) = \mathcal{L}(\mathbf{1}, \mathbf{1})$ given by $\mathcal{U}_{\mathbf{1}}^{\mathbf{q}} = \star$.

Proposition 1.12. Given types $\tau_1, \dots, \tau_k, \sigma, \rho$ and a permutation $\theta \in S_k$, the term

$$P_{\theta} : (\tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho) \rightarrow (\tau_{\theta(1)} \rightarrow \dots \rightarrow \tau_{\theta(k)} \rightarrow \rho)$$

$$P_{\theta} = \lambda U^{\tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho} v_1^{\tau_{\theta(1)}} v_2^{\tau_{\theta(2)}} \dots v_k^{\tau_{\theta(k)}} . (\dots ((Uv_{\theta^{-1}(1)})v_{\theta^{-1}(2)}) \dots v_{\theta^{-1}(k)})$$

is an isomorphism in \mathcal{L} between the objects

$$(\tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho) \cong (\tau_{\theta(1)} \rightarrow \dots \rightarrow \tau_{\theta(k)} \rightarrow \rho) .$$

With the notation of the proposition:

Corollary 1.13. There is a bijection

$$\Lambda_{\tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho} / \cong_{\beta\eta} \longrightarrow \Lambda_{\tau_{\theta(1)} \rightarrow \dots \rightarrow \tau_{\theta(k)} \rightarrow \rho} / \cong_{\beta\eta} .$$

Proof. We have, by the proposition

$$\begin{aligned} \Lambda_{\tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho} / \cong_{\beta\eta} &= \mathcal{L}(\mathbf{1}, \tau_1 \rightarrow \dots \rightarrow \tau_k \rightarrow \rho) \\ &\cong \mathcal{L}(\mathbf{1}, \tau_{\theta(1)} \rightarrow \dots \rightarrow \tau_{\theta(k)} \rightarrow \rho) \\ &= \Lambda_{\tau_{\theta(1)} \rightarrow \dots \rightarrow \tau_{\theta(k)} \rightarrow \rho} / \cong_{\beta\eta} . \end{aligned}$$

□

1.1 Structural rules and monads

As above, let \mathcal{L}_{cl} denote the category of closed lambda terms. Throughout this section, $A \subseteq Y$ is finite and so in particular the inclusion $\emptyset \subseteq A$ satisfies the conditions of Theorem ?? and there is a right adjoint $\Gamma_{\mathbf{a}}$ to the inclusion I for any ordering \mathbf{a} of A :

$$(1.11) \quad \mathcal{L}_{cl} \begin{array}{c} \xrightarrow{I} \\ \xleftarrow{\Gamma_{\mathbf{a}}} \end{array} \mathcal{L}_A .$$

Definition 1.14. Denote by $T_{\mathbf{a}}$ the composition $\Gamma_{\mathbf{a}} \circ I$ on \mathcal{L}_{cl} .

In the case where $\mathbf{a} = \{x : \alpha\}$ we define the monad $T_{\mathbf{a}}$ to have multiplication μ given by

$$\mu_{\sigma} = \lambda u^{\alpha \rightarrow (\alpha \rightarrow \sigma)} x^{\alpha} . ((ux)x) : (\alpha \rightarrow (\alpha \rightarrow \sigma)) \rightarrow (\alpha \rightarrow \sigma)$$

and unit ξ given by

$$\xi_{\sigma} = \lambda w^{\sigma} x^{\alpha} . w : \sigma \rightarrow (\alpha \rightarrow \sigma) .$$

Let \mathbf{a}, \mathbf{b} be *disjoint* finite ordered sets of variables, and $T_{\mathbf{a}}, T_{\mathbf{b}}$ the associated monads on \mathcal{L}_{cl} . There is a distributive law between these two monads, and their composition as functors is therefore naturally equipped with the structure of a monad. For simplicity, we write down the propositions only in the case where $\mathbf{a} = \{x : \alpha\}$ and $\mathbf{b} = \{y : \beta\}$ are singletons.

Lemma 1.15. *With the induced monad structure the composite $T_{\mathbf{a}}T_{\mathbf{b}}$ is isomorphic, as a monad, to $T_{\mathbf{a}:\mathbf{b}}$ where $\mathbf{a} : \mathbf{b}$ denotes concatenation of sequences.*

2 Questions

Question 1 (6 marks). *Prove that \mathcal{L} is a category.*

Question 2 (2 marks). *Prove Lemma 1.4, you may use Lemma 1.2 in your proof.*

Question 3 (6 marks). *Prove that $\mathcal{U}^{\mathfrak{q}}$ is a natural transformation $I_Q \circ \Gamma_{\mathfrak{q}} \longrightarrow 1_{\mathcal{L}}$ in the special case where $\mathfrak{q} = \{q : \tau\}$.*

Question 4 (8 marks). *Prove that $\Gamma_{\mathfrak{q}}$ is right adjoint to I_Q with counit $\mathcal{U}^{\mathfrak{q}}$ by showing that for types σ, ρ there are natural bijections*

$$(2.1) \quad \mathcal{L}(\sigma, \rho) = \mathcal{L}(I_Q(\sigma), \rho) \cong \mathcal{L}_Q(\sigma, \Gamma_{\mathfrak{q}}\rho) ,$$

$$(2.2) \quad \mathcal{L}(\mathbf{1}, \rho) = \mathcal{L}(I_Q(\mathbf{1}), \rho) \cong \mathcal{L}_Q(\mathbf{1}, \Gamma_{\mathfrak{q}}\rho) .$$

You can use Corollary 1.13 in your proof.

Question 5 (8 marks). *Prove that the monads $T_{\mathbf{a}}, T_{\mathbf{b}}$ admit a distributive law*

$$\chi : T_{\mathbf{a}}T_{\mathbf{b}} \longrightarrow T_{\mathbf{b}}T_{\mathbf{a}}$$

$$\chi_{\sigma} = \lambda z^{\alpha \rightarrow (\beta \rightarrow \sigma)} y^{\beta} x^{\alpha} . ((zx)y) .$$

A Background on lambda calculus

Definition A.1. Let \mathcal{V} be a (countably) infinite set of variables, and let \mathcal{L} be the language consisting of \mathcal{V} along with the special symbols

$$\lambda \quad . \quad (\quad)$$

Let \mathcal{L}^* be the set of words of \mathcal{L} , more precisely, an element $w \in \mathcal{L}^*$ is a finite sequence (w_1, \dots, w_n) where each w_i is in \mathcal{L} , for convenience, such an element will be written as $w_1 \dots w_n$. Now let Λ' denote the smallest subset of \mathcal{L}^* such that

- if $x \in \mathcal{V}$ then $x \in \Lambda'$,
- if $M, N \in \Lambda'$ then $(MN) \in \Lambda'$,
- if $x \in \mathcal{V}$ and $M \in \Lambda'$ then $(\lambda x.M) \in \Lambda'$

Λ' is the set of **preterms**. A preterm M such that $M \in \mathcal{V}$ is a **variable**, if $M = (M_1 M_2)$ for some preterms M_1, M_2 , then M is an **application**, and if $M = (\lambda x.M')$ for some $x \in \mathcal{V}$ and $M' \in \Lambda'$ then M is an **abstraction**.

Definition A.2. *Single step β -reduction* \rightarrow_β is the smallest relation on Λ satisfying:

- the **reduction axiom**:
 - for all variables x and λ -terms M, M' , $(\lambda x.M)M' \rightarrow_\beta M[x := M']$, where $M[x := M']$ is the term given by replacing every free occurrence of x in M with M' ,
- the following **compatibility axioms**:
 - if $M \rightarrow_\beta M'$ then $(MN) \rightarrow_\beta (M'N)$ and $(NM) \rightarrow_\beta (NM')$,
 - if $M \rightarrow_\beta M'$ then for any variable x , $\lambda x.M \rightarrow_\beta \lambda x.M'$.

A subterm of the form $(\lambda x.M)M'$ is a **β -redex**, and $(\lambda x.M)M'$ **single step β -reduces** to M' .

Definition A.3. *Multi step β -reduction* \twoheadrightarrow (or simply **β -reduction**) is the smallest relation on Λ satisfying

- the **reduction axiom**:
 - if $M \rightarrow_\beta M'$ then $M \twoheadrightarrow M'$,
- **reflexivity**:
 - if $M = M'$ then $M \twoheadrightarrow M'$,

- **transitivity:**

– if $M_1 \rightarrow M_2$ and $M_2 \rightarrow M_3$ then $M_1 \rightarrow M_3$

If $M \rightarrow M'$, then M **multistep β -reduces** to $M[x := M']$.

The reflexive, symmetric closure of multistep β -reduction is **β -equivalence**. That is, the smallest relation containing multi step β -reduction which is reflexive and symmetric.

There is also η -expansion, which is defined similarly, we are more terse in Definition A.4 than in Definition A.3.

Definition A.4. Single step η -expansion \rightarrow_η is the smallest, compatible relation on Λ satisfying:

$$(A.1) \quad M \rightarrow_\eta \lambda x. Mx$$

where x is a variable not in the free variable set of M . **Multi step η -expansion** is the reflexive closure of single step η -expansion. **η -equivalence** is the reflexive, symmetric symmetric closure of multi step η -expansion.

$\beta\eta$ -equivalence is the union of η -equivalence and β -equivalence.

In the simply-typed lambda calculus [1, Chapter 3] there is an infinite set of **atomic types** and the set Φ_\rightarrow of **simple types** is built up from the atomic types using \rightarrow . Let Λ' denote the set of untyped lambda calculus preterms in these variables, as defined in [1, Chapter 1]. We define a subset $\Lambda'_{wt} \subseteq \Lambda'$ of **well-typed** preterms, together with a function $t : \Lambda'_{wt} \rightarrow \Phi_\rightarrow$ by induction:

- all variables $x : \sigma$ are well-typed and $t(x) = \sigma$,
- if $M = (PQ)$ and P, Q are well-typed with $t(P) = \sigma \rightarrow \tau$ and $t(Q) = \sigma$ for some σ, τ then M is well-typed and $t(M) = \tau$,
- if $M = \lambda x. N$ with N well-typed, then M is well-typed and $T(M) = t(x) \rightarrow t(N)$.

We define $\Lambda'_\sigma = \{M \in \Lambda'_{wt} \mid t(M) = \sigma\}$ and call these **preterms of type σ** . Next we observe that $\Lambda'_{wt} \subseteq \Lambda'$ is closed under the relation of α -equivalence on Λ' , as long as we understand α -equivalence type by type, that is, we take

$$\lambda x. M =_\alpha \lambda y. M[x := y]$$

as long as $t(x) = t(y)$. Denoting this relation by $=_\alpha$, we may therefore define the sets of **well-typed lambda terms** and **well-typed lambda terms of type σ** , respectively:

$$(A.2) \quad \Lambda_{wt} = \Lambda'_{wt} / =_\alpha$$

$$(A.3) \quad \Lambda_\sigma = \Lambda'_\sigma / =_\alpha .$$

Note that Λ_{wt} is the disjoint union over all $\sigma \in \Phi_\rightarrow$ of Λ_σ . We write $M : \sigma$ as a synonym for $[M] \in \Lambda_\sigma$, and call these equivalence classes **terms of type σ** . Since terms are, by definition, α -equivalence classes, the expression $M = N$ henceforth means $M =_\alpha N$ unless indicated otherwise. We denote the set of free variables of a term M by $\text{FV}(M)$.

Definition A.5. The substitution operation on lambda terms is a family of functions

$$\{ \text{subst}_\sigma : Y_\sigma \times \Lambda_\sigma \times \Lambda_{wt} \longrightarrow \Lambda_{wt} \}_{\sigma \in \Phi_{\rightarrow}}$$

We write $M[x := N]$ for $\text{subst}_\sigma(x, N, M)$ and this term is defined inductively (on the structure of M) as follows:

- if M is a variable then either $M = x$ in which case $M[x := N] = N$, or $M \neq x$ in which case $M[x := N] = M$.
- if $M = (M_1 M_2)$ then $M[x := N] = (M_1[x := N] M_2[x := N])$.
- if $M = \lambda y.L$ we may assume by α -equivalence that $y \neq x$ and that y does not occur in N and set $M[x := N] = \lambda y.L[x := N]$.

Note that if $x \notin \text{FV}(M)$ then $M[x := N] = M$.

References

- [1] M. Sørensen and P. Urzyczyn, *Lectures on the Curry-Howard isomorphism*, Studies in Logic and the Foundations of Mathematics Vol. 149, Elsevier New York, (2006).
- [2] W. Troiani, *An Introduction to the Untyped λ -Calculus and the Church-Rosser Theorem*, <https://williamtroiani.github.io/pdfs/ChurchRosserTheorem.pdf>