

Equational Reasoning with Applicative Functors

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model effects



state



probabilities



error



non-determinism

1 2 3 4 ...

streams

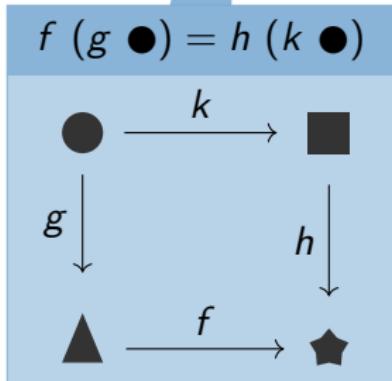
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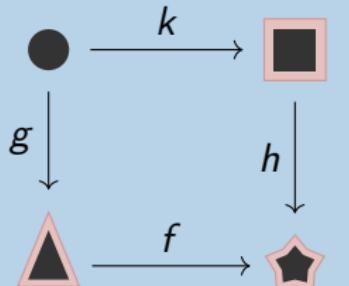
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$$\text{pure } f \diamond (g \bullet) = \text{pure } h \diamond (k \bullet)$$



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Equational Reasoning with Applicative Functors

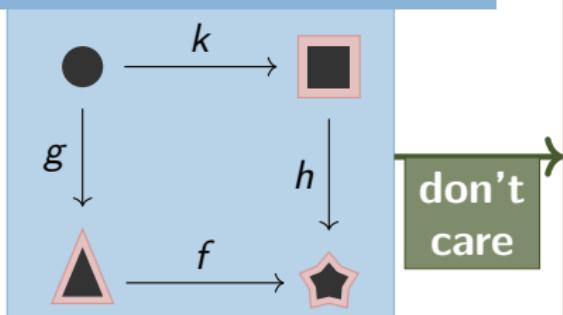
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$$\text{pure } f \diamond (g \bullet) = \text{pure } h \diamond (k \bullet)$$



model effects

- | | |
|--|-----------------|
| | state |
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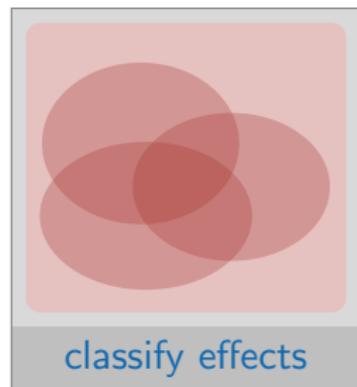
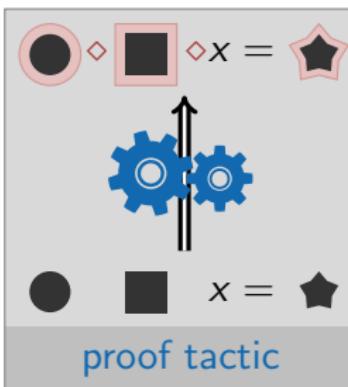
Contributions

- ▶ Isabelle/HOL package for reasoning about applicative effects

```
applicative state
for
  pure: pure_state
  ap: ap_state

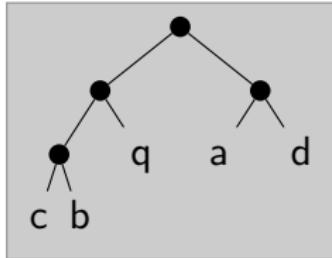
proof (prove)
goal (4 subgoals):
  1.  $\lambda f\ x.\ \text{pure } f \diamond \text{pure } x = \text{pure } (f\ x)$ 
  2.  $\lambda g\ f\ x.\ \text{pure } (\lambda g\ f\ x.\ g\ (f\ x))$ 
  3.  $\lambda x.\ \text{pure } (\lambda x.\ x) \diamond x = x$ 
  4.  $\lambda f\ x.\ f \diamond \text{pure } x = \text{pure } (\lambda f.\ f\ x)$ 
```

functor registration



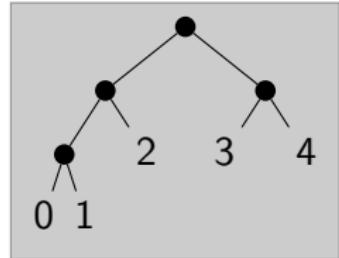
- ▶ Meta theory formalised and algorithms verified
- ▶ Used in several examples and case studies

Task: Label a binary tree with distinct numbers!

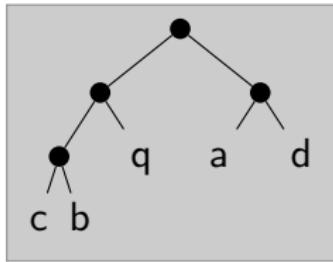


lbl

datatype α tree =
 $L \alpha | N (\alpha \text{ tree}) (\alpha \text{ tree})$

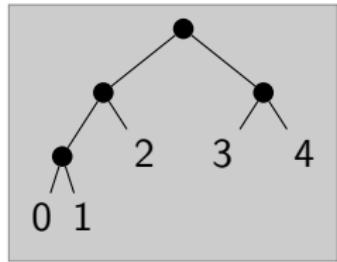


Task: Label a binary tree with distinct numbers!



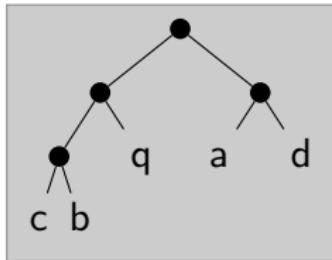
lbl

datatype $\alpha\ tree =$
 $L\ \alpha\ |\ N\ (\alpha\ tree)\ (\alpha\ tree)$



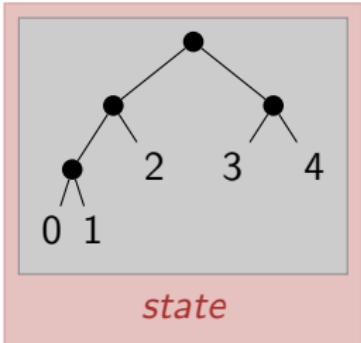
lbl :: $\alpha\ tree \Rightarrow nat\ tree$

Task: Label a binary tree with distinct numbers!



lbl

datatype $\alpha \text{ tree} =$
 $L \alpha | N (\alpha \text{ tree}) (\alpha \text{ tree})$



state

$\text{lbl} :: \alpha \text{ tree} \Rightarrow \text{nat tree state}$

where

$\alpha \text{ state} = \text{nat} \Rightarrow \alpha \times \text{nat}$

monadic

$$\alpha M = \alpha \text{ state}$$

$\text{return} :: \alpha \Rightarrow \alpha M$

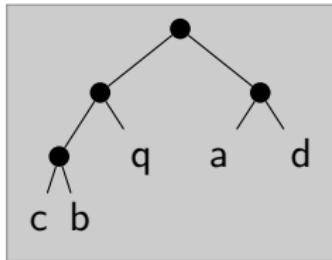
$(\gg) :: \alpha M \Rightarrow (\alpha \Rightarrow \beta M) \Rightarrow \beta M$

$\text{lbl } (L _) = \text{fresh } \gg \lambda x'. \text{return } (L x')$

$\text{lbl } (N / r) =$

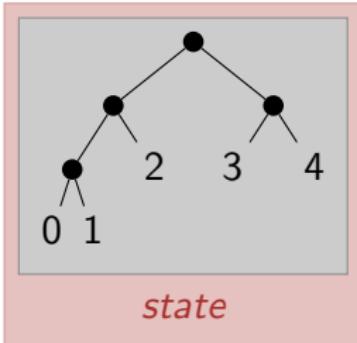
$\text{lbl } l \gg \lambda l'. \text{lbl } r \gg \lambda r'. \text{return } (N /' r')$

Task: Label a binary tree with distinct numbers!



$\text{lbl} \rightarrow$

datatype $\alpha \text{ tree} =$
 $L \alpha | N (\alpha \text{ tree}) (\alpha \text{ tree})$



$\text{lbl} :: \alpha \text{ tree} \Rightarrow \text{nat tree state}$

where

$\alpha \text{ state} = \text{nat} \Rightarrow \alpha \times \text{nat}$

monadic

$$\alpha M = \alpha \text{ state}$$

$\text{return} :: \alpha \Rightarrow \alpha M$

$(\gg) :: \alpha M \Rightarrow (\alpha \Rightarrow \beta M) \Rightarrow \beta M$

$\text{lbl } (L _) = \text{fresh } \gg \lambda x'. \text{return } (L x')$

$\text{lbl } (N / r) =$

$\text{lbl } / \gg \lambda I'. \text{lbl } r \gg \lambda r'. \text{return } (N /' r')$

applicative

$$\alpha F = \alpha \text{ state}$$

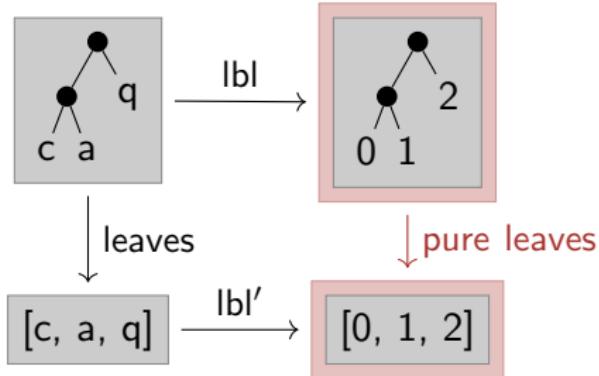
$\text{pure} :: \alpha \Rightarrow \alpha F$

$(\diamond) :: (\alpha \Rightarrow \beta) F \Rightarrow \alpha F \Rightarrow \beta F$

$\text{lbl } (L _) = \text{pure } L \diamond \text{fresh}$

$\text{lbl } (N / r) = \text{pure } N \diamond \text{lbl } / \diamond \text{lbl } r$

Labelling trees and lists



$\text{leaves} :: \alpha \text{ tree} \Rightarrow \alpha \text{ list}$

$\text{leaves } (\text{L } x) = x \cdot []$

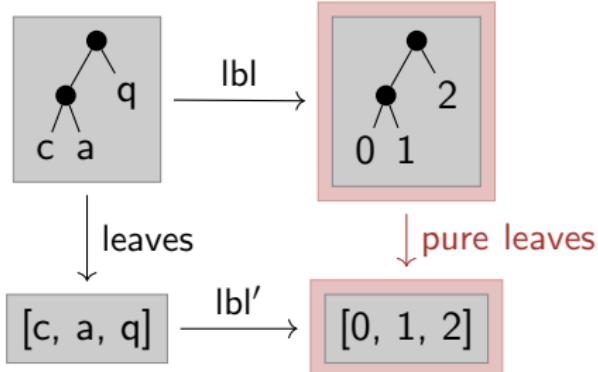
$\text{leaves } (\text{N } l \ r) = \text{leaves } l ++ \text{leaves } r$

$\text{lbl}' :: \alpha \text{ list} \Rightarrow \text{nat list state}$

$\text{lbl}' [] = \text{pure } []$

$\text{lbl}' (x \cdot xs) = \text{pure } (\cdot) \diamond \text{fresh } \diamond \text{lbl}' xs$

Labelling trees and lists



$\text{leaves} :: \alpha \text{ tree} \Rightarrow \alpha \text{ list}$
 $\text{leaves } (\text{L } x) = x \cdot []$
 $\text{leaves } (\text{N } l \ r) = \text{leaves } l ++ \text{leaves } r$

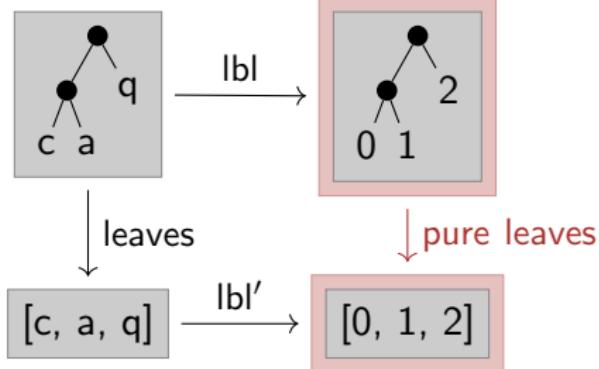
$\text{lbl}' :: \alpha \text{ list} \Rightarrow \text{nat list state}$
 $\text{lbl}' [] = \text{pure } []$
 $\text{lbl}' (x \cdot xs) = \text{pure } (\cdot) \diamond \text{fresh } \diamond \text{lbl}' xs$

Lemma: $\text{pure leaves } \diamond \text{lbl } t = \text{lbl}' (\text{leaves } t)$

Proof by induction on t .

Case $\text{L } x$: $\text{pure leaves } \diamond \text{lbl } (\text{L } x) = \text{lbl}' (\text{leaves } (\text{L } x))$

Labelling trees and lists



$\text{leaves} :: \alpha \text{ tree} \Rightarrow \alpha \text{ list}$

$\text{leaves } (\text{L } x) = x \cdot []$

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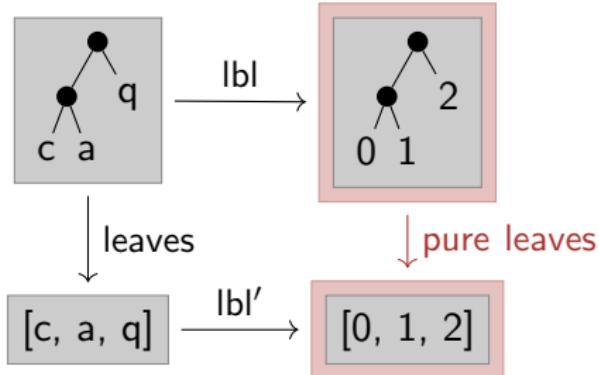
Proof by induction on t .

Case $\text{L } x$: $\text{pure leaves} \diamond \text{lbl } (\text{L } x) = \text{lbl}' (\text{leaves } (\text{L } x))$

$\text{pure leaves} \diamond (\text{pure L } \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$

$\forall x. \quad \text{leaves } (\text{L } x) = (\cdot) \ x \ []$

Labelling trees and lists



$\text{leaves} :: \alpha \text{ tree} \Rightarrow \alpha \text{ list}$

$\text{leaves } (\text{L } x) = x \cdot []$

$\text{leaves } (\text{N } / r) = \text{leaves } / ++ \text{ leaves } r$

$\text{lbl}' :: \alpha \text{ list} \Rightarrow \text{nat list state}$

$\text{lbl}' [] = \text{pure } []$

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Lemma: $\text{pure leaves} \diamond \text{lbl } t = \text{lbl}' (\text{leaves } t)$

Proof by induction on t .

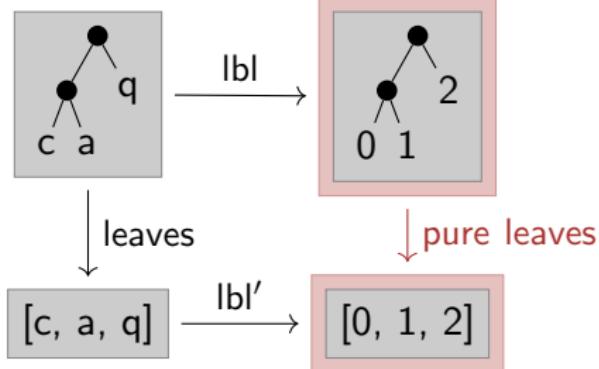
Case $\text{L } x$: $\text{pure leaves} \diamond \text{lbl } (\text{L } x) = \text{lbl}' (\text{leaves } (\text{L } x))$

$\text{pure leaves} \diamond (\text{pure L} \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$

holds by the applicative laws \uparrow

$\forall x. \quad \text{leaves } (\text{L } x) = (\cdot) \ x \ []$

Labelling trees and lists



$\text{leaves} :: \alpha \text{ tree} \Rightarrow \alpha \text{ list}$

$\text{leaves } (\text{L } x) = x \cdot []$

$\text{leaves } (\text{N } / r) = \text{leaves } / ++ \text{leaves } r$

$\text{lbl}' :: \alpha \text{ list} \Rightarrow \text{nat list state}$

$\text{lbl}' [] = \text{pure } []$

$\text{lbl}' (x \cdot xs) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{lbl}' xs$

Lemma: $\text{pure leaves} \diamond \text{lbl } t = \text{lbl}' (\text{leaves } t)$

Proof by induction on t .

Case $\text{L } x$: $\text{pure leaves} \diamond \text{lbl } (\text{L } x) = \text{lbl}' (\text{leaves } (\text{L } x))$

$\text{pure leaves} \diamond (\text{pure L} \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$

holds by the applicative laws \uparrow apply applicative_lifting

$\forall x. \quad \text{leaves } (\text{L } x) = (\cdot) \ x \ []$

Lifting equations over applicative functors

[Hinze 2010]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

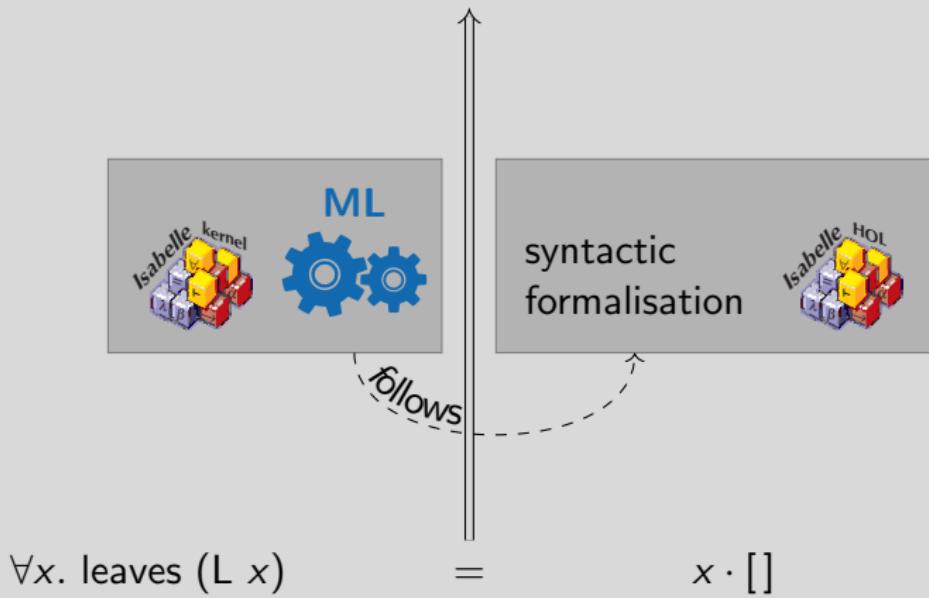
↑

$$\forall x. \text{leaves } (L x) = x \cdot []$$

Lifting equations over applicative functors

[Hinze 2010]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$



Lifting equations over applicative functors

[Hinze 2010]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

1. Convert to canonical form

$$\text{pure } (\lambda x. \text{leaves } (L x)) \diamond \text{fresh} = \text{pure } (\lambda x. x \cdot []) \diamond \text{fresh}$$

$$\forall x. \text{leaves } (L x)$$

$$=$$

$$x \cdot []$$

Canonical form

[McBride, Paterson]

applicative expression \mapsto pure $f \diamond x_1 \diamond x_2 \diamond \dots \diamond x_n$

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

1. Convert to canonical form

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$$\forall x. \text{leaves } (L x)$$

$$=$$

$$x \cdot []$$

Lifting equations over applicative functors

[Hinze 2010]

Canonical form

applicative expression \mapsto pure $f \diamond x_1 \diamond x_2 \diamond \dots \diamond x_n$

opaque arguments

pure function

[McBride, Paterson]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

|| 1. Convert to canonical form ||

$$\text{pure } (\lambda x. \text{leaves } (L x)) \diamond \text{fresh} = \text{pure } (\lambda x. x \cdot []) \diamond \text{fresh}$$

$$\forall x. \text{leaves } (L x)$$

=

$$x \cdot []$$

Lifting equations over applicative functors

[Hinze 2010]

pure function opaque arguments

Canonical form

applicative expression \mapsto pure $f \diamond x_1 \diamond x_2 \diamond \dots \diamond x_n$

[McBride, Paterson]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

|| 1. Convert to canonical form ||

$$\text{pure } (\lambda x. \text{leaves } (L x)) \diamond \text{fresh} = \text{pure } (\lambda x. x \cdot []) \diamond \text{fresh}$$

2. Generalise opaque arguments

$$\forall X. \text{pure } (\lambda x. \text{leaves } (L x)) \diamond X = \text{pure } (\lambda x. x \cdot []) \diamond X$$

$$\forall x. \text{leaves } (L x)$$

$$x \cdot []$$

Lifting equations over applicative functors

[Hinze 2010]

pure function opaque arguments

Canonical form

applicative expression \mapsto pure $f \diamond x_1 \diamond x_2 \diamond \dots \diamond x_n$

[McBride, Paterson]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

|| 1. Convert to canonical form ||

$$\text{pure } (\lambda x. \text{leaves } (L x)) \diamond \text{fresh} = \text{pure } (\lambda x. x \cdot []) \diamond \text{fresh}$$

2. Generalise opaque arguments

$$\forall X. \text{pure } (\lambda x. \text{leaves } (L x)) \diamond X = \text{pure } (\lambda x. x \cdot []) \diamond X$$

3. Equality is a congruence

$$\forall X. \text{pure } (\lambda x. \text{leaves } (L x)) \diamond X = \text{pure } (\lambda x. x \cdot []) \diamond X$$

$$\forall x. \text{leaves } (L x) = x \cdot []$$

Lifting equations over applicative functors

[Hinze 2010]

pure function opaque arguments

Canonical form

applicative expression \mapsto pure $f \diamond x_1 \diamond x_2 \diamond \dots \diamond x_n$

[McBride, Paterson]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

1. Convert to canonical form

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3. Equality is a congruence

$$\forall X. \text{pure } (\lambda x. \text{leaves } (L x)) \diamond X = \text{pure } (\lambda x. x \cdot []) \diamond X$$

4. Use extensionality

$$\forall x. \text{leaves } (L x) = x \cdot []$$

Lifting equations over applicative functors

[Hinze 2010]

Canonical form

pure function

opaque arguments

$$\text{applicative expression} \mapsto \text{pure } f \diamond x_1 \diamond x_2 \diamond \dots \diamond x_n$$

[McBride, Paterson]

$$\text{pure leaves} \diamond (\text{pure } L \diamond \text{fresh}) = \text{pure } (\cdot) \diamond \text{fresh} \diamond \text{pure } []$$

1. Convert to canonical form

$$\text{pure } (\lambda x. \text{leaves } (L x)) \diamond \text{fresh} = \text{pure } (\lambda x. x \cdot []) \diamond \text{fresh}$$

2. Generalise opaque arguments

$$\forall X. \text{pure } (\lambda x. \text{leaves } (L x)) \diamond X = \text{pure } (\lambda x. x \cdot []) \diamond X$$

3. Equality is a congruence

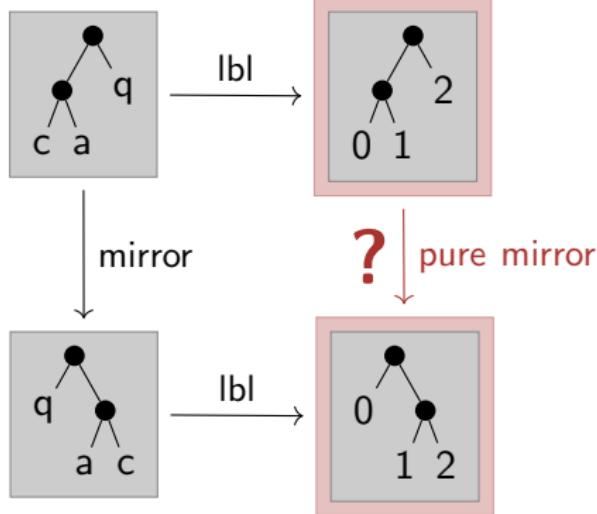
Same opaque args. on both sides!

$$\forall X. \text{pure } (\lambda x. \text{leaves } (L x)) \diamond X = \text{pure } (\lambda x. x \cdot []) \diamond X$$

4. Use extensionality

$$\forall x. \text{leaves } (L x) = x \cdot []$$

Tree mirroring



$\text{mirror} :: \alpha \text{ tree} \Rightarrow \alpha \text{ tree}$

$\text{mirror } (\text{L } x) = \text{L } x$

$\text{mirror } (\text{N } / r) = \text{N } (\text{mirror } r) (\text{mirror } /)$

$\text{lbl} :: \alpha \text{ tree} \Rightarrow \text{nat tree state}$

$\text{lbl } (\text{L } _) = \text{pure L} \diamond \text{fresh}$

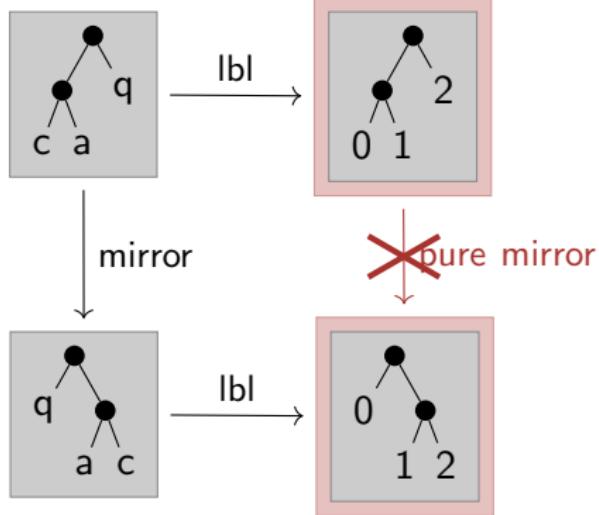
$\text{lbl } (\text{N } / r) = \text{pure N} \diamond \text{lbl } / \diamond \text{lbl } r$

Lemma: $\text{lbl } (\text{mirror } t) = \text{pure mirror} \diamond \text{lbl } t$

Proof by induction on t .

$$\begin{aligned} \text{Case } \text{N } / r: & \quad \text{pure } (\lambda r' I'. \text{N } (\text{mirror } r') (\text{mirror } I')) \diamond \text{lbl } r \diamond \text{lbl } I \\ & \stackrel{?}{=} \text{pure } (\lambda I' r'. \text{mirror } (\text{N } I' r')) \diamond \text{lbl } I \diamond \text{lbl } r \end{aligned}$$

Tree mirroring



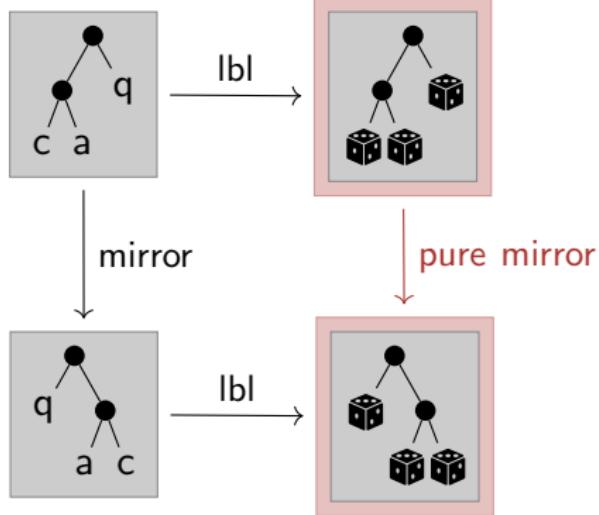
$\text{lbl} :: \alpha \text{ tree} \Rightarrow \text{nat tree state}$
 $\text{lbl} (L _) = \text{pure } L \diamond \text{fresh}$
 $\text{lbl} (N / r) = \text{pure } N \diamond \text{lbl } l \diamond \text{lbl } r$

Lemma: $\text{lbl} (\text{mirror } t) = \text{pure mirror} \diamond \text{lbl } t$

Proof by induction on t .

$$\begin{aligned} \text{Case } N / r: & \quad \text{pure } (\lambda r' l'. N (\text{mirror } r') (\text{mirror } l')) \diamond \text{lbl } r \diamond \text{lbl } l \\ & \stackrel{?}{=} \text{pure } (\lambda l' r'. \text{mirror } (N l' r')) \diamond \text{lbl } l \diamond \text{lbl } r \end{aligned}$$

Tree mirroring and random labels



$\text{mirror} :: \alpha \text{ tree} \Rightarrow \alpha \text{ tree}$

$\text{mirror } (\text{L } x) = \text{L } x$

$\text{mirror } (\text{N } / r) = \text{N } (\text{mirror } r) (\text{mirror } /)$

$\text{lbl} :: \alpha \text{ tree} \Rightarrow \text{nat tree probability}$

$\text{lbl } (\text{L } _) = \text{pure L } \diamond \text{ fresh}$

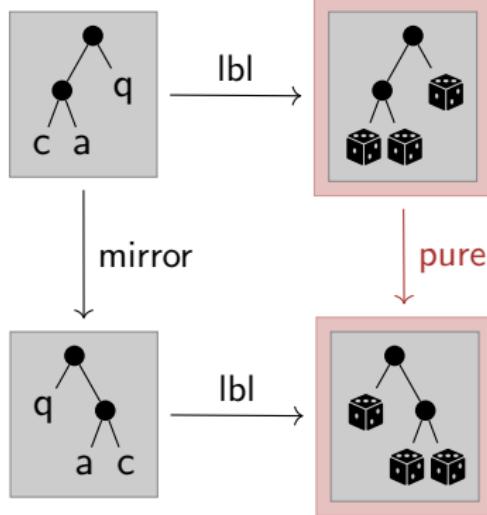
$\text{lbl } (\text{N } / r) = \text{pure N } \diamond \text{lbl } / \diamond \text{lbl } r$

Lemma: $\text{lbl } (\text{mirror } t) = \text{pure mirror } \diamond \text{lbl } t$ if effects commute

Proof by induction on t .

$$\begin{aligned}
 \text{Case } \text{N } / r: & \quad \text{pure } (\lambda r' I'. \text{N } (\text{mirror } r') (\text{mirror } I')) \diamond \text{lbl } r \diamond \text{lbl } I \\
 & = \quad \uparrow \quad \uparrow \\
 & \quad \text{pure } (\lambda I' r'. \text{mirror } (\text{N } I' r')) \quad \diamond \text{lbl } I \diamond \text{lbl } r
 \end{aligned}$$

Tree mirroring and random labels



$\text{mirror} :: \alpha \text{ tree} \Rightarrow \alpha \text{ tree}$

$\text{mirror } (\text{L } x) = \text{L } x$

$\text{mirror } (\text{N } l / r) = \text{N } (\text{mirror } r) (\text{mirror } l)$

Criterion for commutative effects:

$$\text{pure } (\lambda f x y. f y x) \diamond f \diamond x \diamond y = f \diamond y \diamond x$$

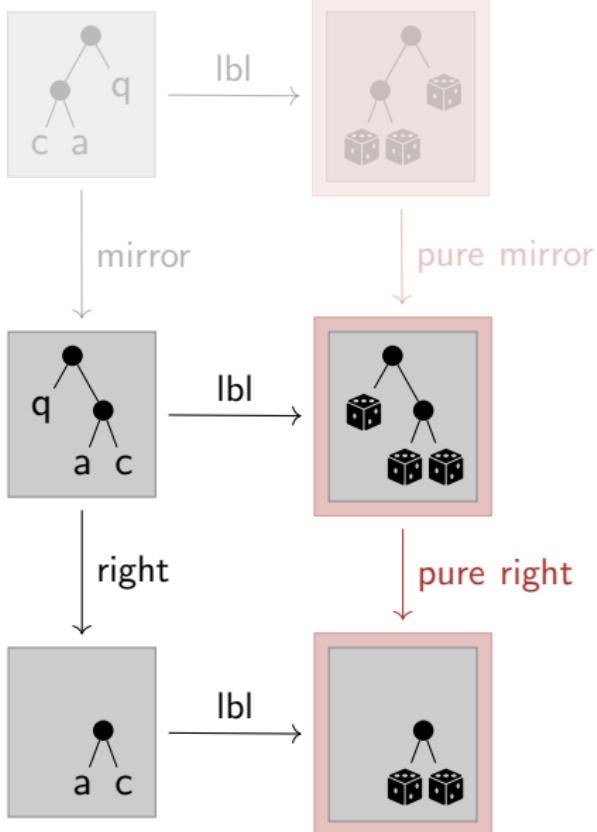
$$\text{lbl } (\text{N } r) = \text{pure } f \text{ N } x \text{ lbl } y / \text{lbl } f \text{ y } x$$

Lemma: $\text{lbl } (\text{mirror } t) = \text{pure mirror} \diamond \text{lbl } t$ if effects commute

Proof by induction on t .

$$\begin{aligned} \text{Case } \text{N } l / r: & \quad \text{pure } (\lambda r' l'. \text{N } (\text{mirror } r') (\text{mirror } l')) \diamond \text{lbl } r \diamond \text{lbl } l \\ &= \quad \uparrow \qquad \uparrow \qquad \uparrow \qquad \uparrow \\ & \quad \text{pure } (\lambda l' r'. \text{mirror } (\text{N } l' r')) \diamond \text{lbl } l \diamond \text{lbl } r \end{aligned}$$

Subtrees



Lemma:

$$\text{lbl}(\text{right } t) = \text{pure right} \diamond \text{lbl } t$$

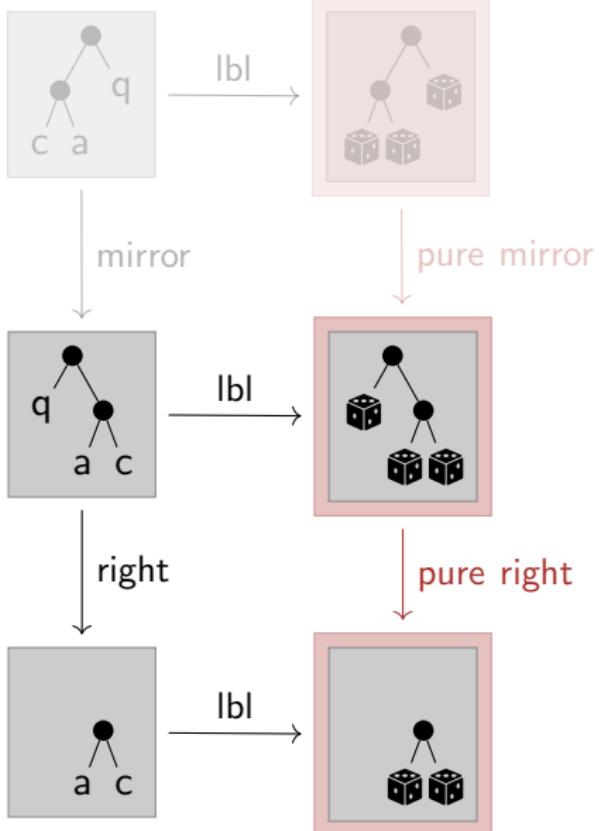
Proof by case analysis on t .

Case N / r :

$$\begin{aligned} & \text{pure } (\lambda r'. \quad r') \quad \diamond \text{lbl } r \\ & \stackrel{?}{=} \end{aligned}$$

$$\text{pure } (\lambda_- r'. \quad r') \diamond \text{lbl } / \diamond \text{lbl } r$$

Subtrees



Criterion for omissible effects:

$$\text{pure } (\lambda x \ y. \ x) \diamond x \diamond y = x$$

$$\mathbf{K} \quad x \ y = x$$

Lemma: if effects are omissible

$$\text{lbl } (\text{right } t) = \text{pure right } \diamond \text{lbl } t$$

Proof by case analysis on t .

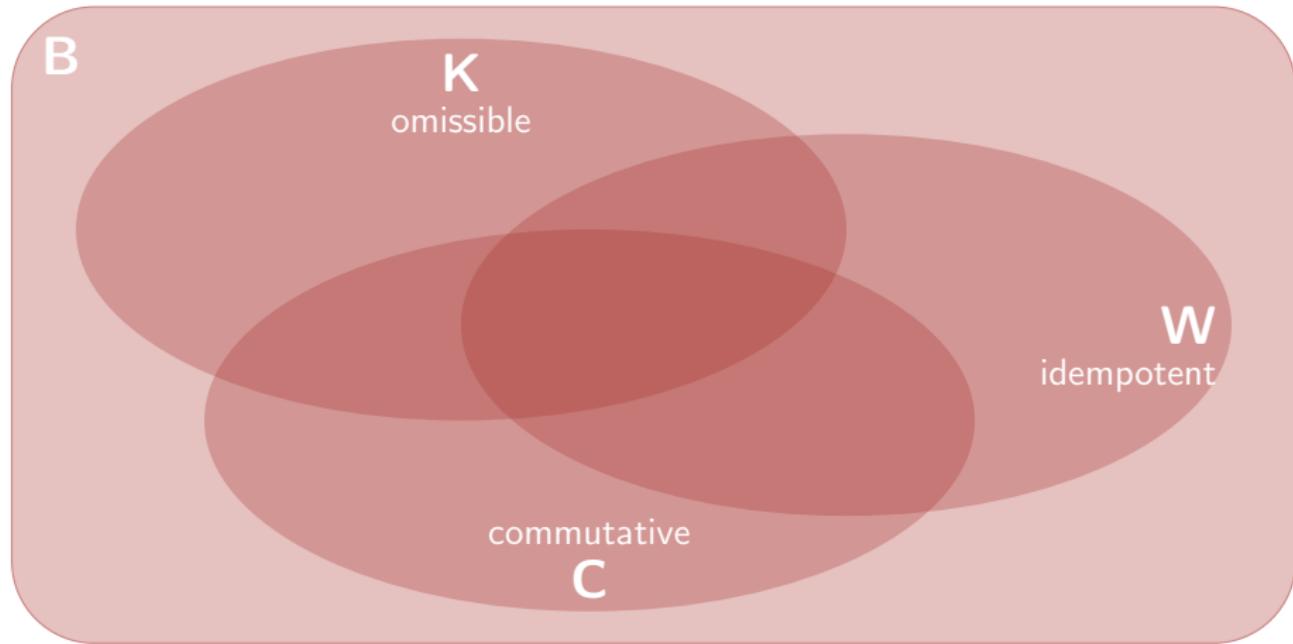
Case N / r :

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=

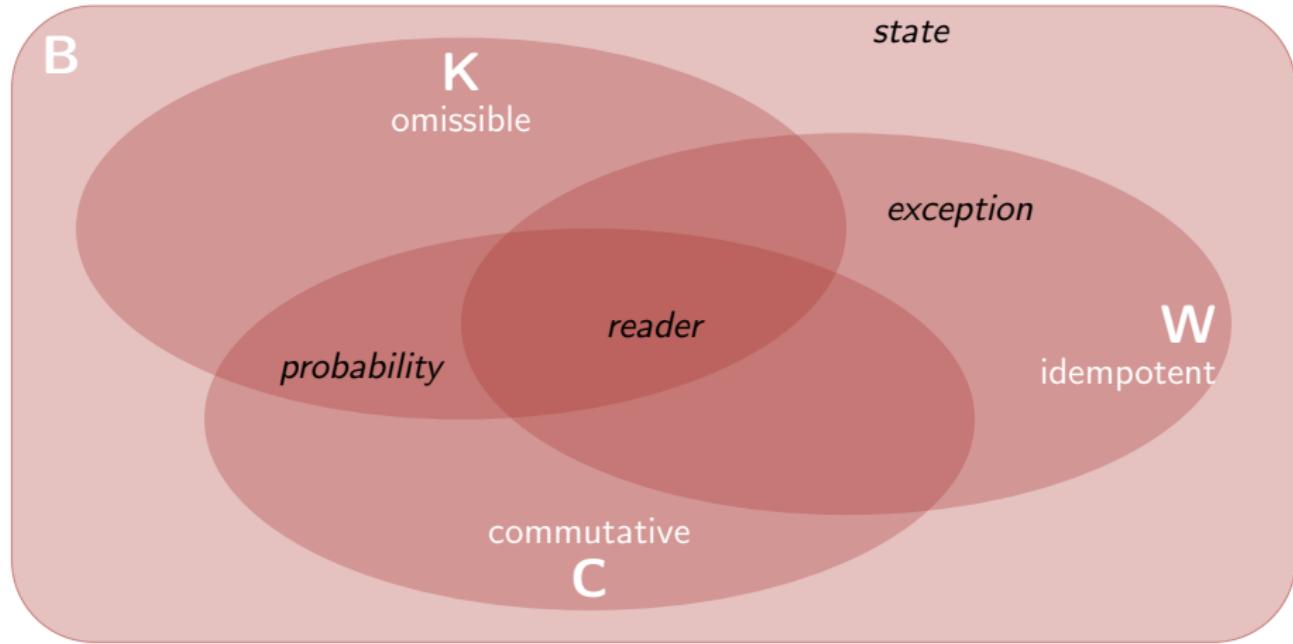
$$\text{pure } (\lambda_- r'. \ r') \diamond \text{lbl } / \diamond \text{lbl } r$$

Combinatorial basis **BCKW**



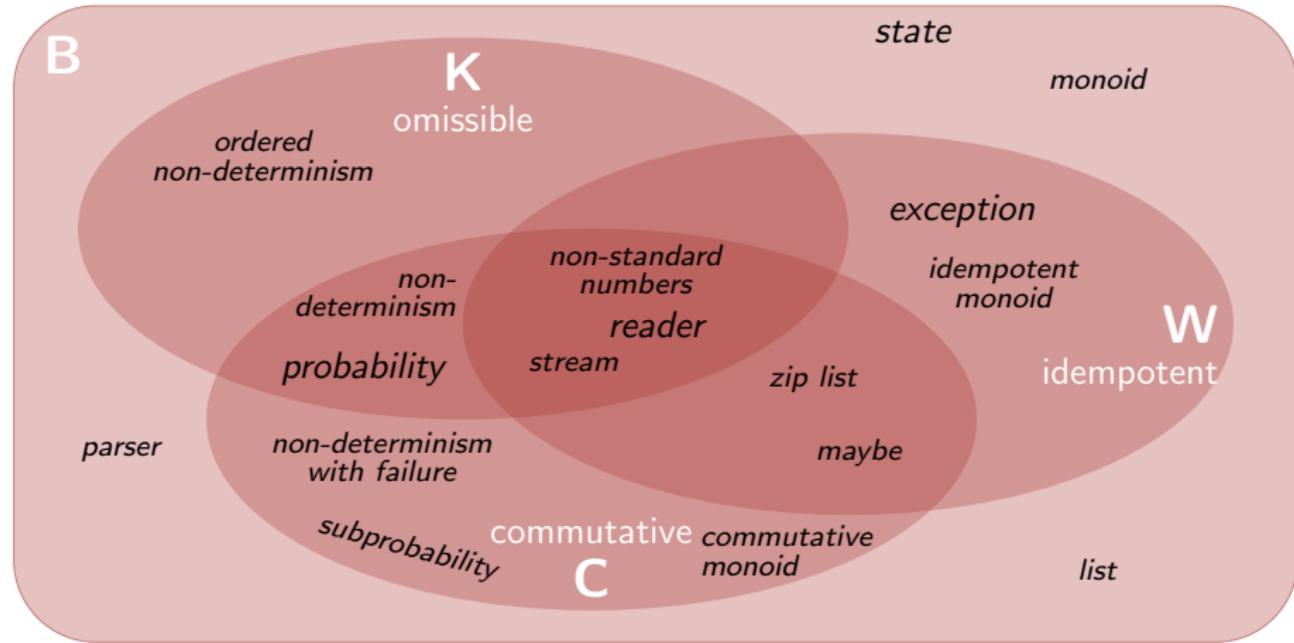
- ▶ Declarative characterisation of “liftable” equations
- ▶ Modular implementation via bracket abstraction

Combinatorial basis **BCKW**



- Declarative characterisation of “liftable” equations
- Modular implementation via bracket abstraction
- User declares and proves combinator properties at registration

Combinatorial basis BCKW



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- Modular implementation via bracket abstraction
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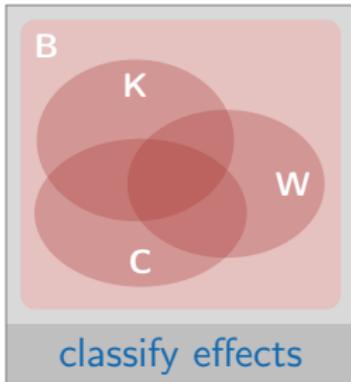
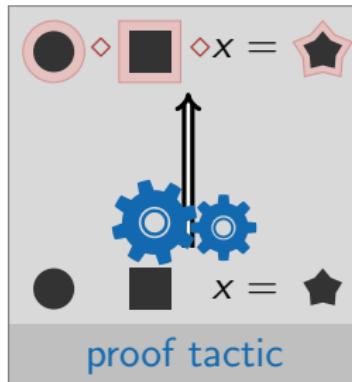
Summary

www.isa-afp.org/entries/Applicative_Lifting.shtml

```
applicative state
for
  pure: pure_state
  ap: ap_state

proof (prove)
goal (4 subgoals):
1.  $\lambda f\ x.\ \text{pure } f \circ \text{pure } x = \text{pure } ($ 
2.  $\lambda g\ f\ x.\ \text{pure } (\lambda g\ f\ x.\ g\ (f\ x))$ 
3.  $\lambda x.\ \text{pure } (\lambda x.\ x) \circ x = x$ 
4.  $\lambda f\ x.\ f \circ \text{pure } x = \text{pure } (\lambda f.\ f$ 
```

functor registration



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```

functor registration

