

A Pronominal Account of Binding and Computation

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Overview

Goal: datatype mechanism with **binding** and **computation**.

- LF-like representations of syntactic objects with binding and scope.
- ML-like computation by structural induction (modulo renaming).
- Dependent families of types indexed by such objects.

Applications:

- Security-typed languages based on proof-carrying API's.
- Mechanized metatheory via total functional programming.

Overview

Main methods: **polarization** and **contextualization**.

- Distinguish **positive** from **negative** types.
- Manage **binding** and **scope** in the types.

Key idea: **positive** and **negative** function spaces.

- Negative = computational = admissible.
- Positive = representational = derivable.

Judgements and Evidence

Judgements are forms of assertion.

- e expr, $e : \tau$, *etc.*.
- Defined by a collection of rules.

Evidence for J is a **derivation**, ∇ , composing rules.

- Abstract syntax trees, typing derivations, *etc.*.
- Write $\nabla : J$ to mean that ∇ is a derivation of J .

Derivability

The **derivability** judgement $J_1 \vdash J_2$ states that J_2 is derivable **from the assumption** J_1 .

- Assumption is a **local axiom**.
- Evidence is a **pattern**, $a.\nabla$, consisting of evidence $\nabla : J_2$ involving the **parameter** $a : J_1$.
- Primitive rules are just assumed evidence for derivabilities.

In general, a rule

$$\frac{J_1 \quad \dots \quad J_n}{J}$$

is **derivable** iff $J_1, \dots, J_n \vdash J$.

Iterated Derivability

Left-iterated derivability $(J_1 \vdash J_2) \vdash J$ states that J is derivable from **rule** $J_1 \vdash J_2$.

- *cf.* Schroeder-Heister's definitional reflection
- Gives rise to higher-order rules (*cf.* LF representations).
- Evidence is a pattern with a parameter corresponding to the assumed rule.

Right-iterated derivability $J_1 \vdash (J_2 \vdash J_3)$ means $J_1, J_2 \vdash J_3$, with multiple assumptions.

Iterated Derivability

Higher-order rules:

$$\frac{A \text{ true} \vdash B \text{ true}}{A \supset B \text{ true}}$$

Expressed as a derivability,

$$(A \text{ true} \vdash B \text{ true}) \vdash A \supset B \text{ true}$$

Derivable rules:

$$(A \text{ true} \vdash B \text{ true}) \vdash (A \wedge C \text{ true} \vdash B \wedge C \text{ true})$$

Admissibility

The **admissibility** judgement $J_1 \models J_2$ states that evidence for J_1 may be transformed into evidence for J_2 .

- Evidence is **any** (computable) function sending any $\nabla_1 : J_1$ to some $\nabla_2 : J_2$.
- Typically defined by **pattern matching** against derivations $\nabla_1 : J_1$ to obtain $\nabla_2 : J_2$ in each case.

A rule

$$\frac{J_1 \quad \dots \quad J_n}{J}$$

is **admissible** iff $J_1, \dots, J_n \models J$.

Admissibility

Admissibility, being implication, is **structural**:

- Reflexivity: $J \models J$.
- Transitivity: if $J_1 \models J_2$ and $J_2 \models J_3$, then $J_1 \models J_3$.
- Weakening: if $J_1 \models J$, then $J_1, J_2 \models J$.
- Contraction: if $J_1, J_1 \models J$, then $J_1 \models J$.
- Exchange: if $J_1, J_2 \models J$, then $J_2, J_1 \models J$.

These properties may be phrased as iterated admissibilities, e.g.,

$$(J_1 \models J) \models (J_1, J_2 \models J).$$

Admissibility

Admissibilities $J_1 \models J_2$ are **not stable** under rule extension!

- If $J_1 \models J_2$, then $J \models (J_1 \models J_2)$, but **not** $J \vdash (J_1 \models J_2)$.
- Why? Admissibility considers **all derivations** of antecedent.

Adding new rules disrupts evidence for admissibility.

- $(\mathbf{IL} \vdash \exists x. \phi \text{ true}) \models (\mathbf{IL} \vdash \phi(t) \text{ true})$ for some term t .
- But this fails for $\mathbf{CL} = \mathbf{IL} + \mathbf{LEM}$.

Admissibilities **circumscribe** the evidence for a judgement.

Admissibility

If all primitive rules are **pure**, then derivability is structural.

- Reflexivity: $J \vdash J$.
- Transitivity: $(J_1 \vdash J_2, J_2 \vdash J_3) \models (J_1 \vdash J_3)$.
- Weakening: $(J_1 \vdash J) \models (J_1, J_2 \vdash J)$.
- Contraction: $(J_1, J_1 \vdash J) \models (J_1 \vdash J)$.
- Exchange: $(J_1, J_2 \vdash J) \models (J_2, J_1 \vdash J)$.

Pure rules are those without **side conditions**, *i.e.*, without constraints on applicability.

Weakening

Evidence for weakening transforms derivations rule-by-rule.

$$\frac{\Gamma \vdash J_1 \quad \dots \quad \Gamma \vdash J_n}{\Gamma \vdash J}$$

That is, we pattern match on the last rule of $\nabla : \Gamma \vdash J$, and recursively transform premises and apply the same rule.

The validity of this argument **depends on** purity! The rule continues to apply after transformation of premises.

Weakening

Evidence for weakening transforms derivations rule-by-rule.

$$\frac{\Gamma \Gamma' \vdash J_1 \quad \dots \quad \Gamma \Gamma' \vdash J_n}{\Gamma \Gamma' \vdash J}$$

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Side Conditions

Side conditions on rules may be seen as admissibility premises.

- $\neg J$ is just $J \models \#$.
- Need not be negations, but this is a common case.

Side conditions may **disrupt** structural properties, e.g.,

$$\frac{\Gamma \vdash J_1 \quad \dots \quad \Gamma \vdash J_n \quad \Gamma \vdash \neg J}{\Gamma \vdash J}$$

Side Conditions

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Side conditions may **disrupt** structural properties, e.g.,

$$\frac{\Gamma \Gamma' \vdash J_1 \quad \dots \quad \Gamma \Gamma' \vdash J_n \quad \Gamma \Gamma' \not\vdash \neg J}{\Gamma \Gamma' \vdash J}$$

Derivability and Admissibility

Two notions of **entailment**:

- **Derivability**: introduced by **patterns**, eliminated by **pattern matching**.
- **Admissibility**: introduced by any **computable transformation** and eliminated by **application**.

Intermixing these leads to a general theory of rules that accounts for side conditions, and allows us to express meta-theoretic properties such as admissibility and derivability of rules.

It also generalizes higher-order abstract syntax, and typical syntactic operations such as substitution.

Polarized Types

Two views of the meaning of a logical connective:

- **Verificationist**: defined by introduction; elimination inverts introduction.
- **Pragmatist**: defined by elimination; introduction inverts elimination.

Operationally, these determine different connectives:

- **Positive**, or **eager**: values are compositions of patterns; elimination by pattern matching.
- **Negative**, or **lazy**: experiments are compositions of patterns; introduction by pattern matching.

Polarized Types

Positive type: natural numbers.

- Introduction: $z, s(z), s(s(z)), \dots$
- Elimination:

$$\phi \text{ s.t. } \begin{cases} z & \mapsto e_0 \\ s(z) & \mapsto e_1 \\ s(s(z)) & \mapsto e_2 \\ \dots & \end{cases}$$

Crucially, elimination must cover all values!

Polarized Types

Negative type: infinite streams.

- Elimination: hd , tl .
- Introduction:

$$\sigma \text{ s.t. } \left\{ \begin{array}{ll} \text{hd} & \mapsto e_0 \\ \text{tl}; \text{hd} & \mapsto e_1 \\ \text{tl}; \text{tl}; \text{hd} & \mapsto e_2 \\ \dots & \end{array} \right.$$

Crucially, introduction must cover all experiments!

Polarized Types

Computational (ML, Coq) functions are **negative**:

- Introduced by defining response to an argument, not by internal structure.
- Eliminated by application to an argument value.

Computational functions are **open-ended**:

- Any mapping from domain to range is acceptable.
- Pragmatically, allows us to import functions from other systems.

Polarized Types

Representational (LF) functions are **positive**:

- Introduced by compositions of constructors, starting with variables.
- Eliminated by pattern matching, not application.

Representational functions are **closed-ended**:

- Cannot enrich with operations that analyze form of input.
- Essentially a value with (some/any) indeterminate.

Functions and Entailments

Positive (representational) functions witness **derivability**.

- Parameters are “fresh” axioms/assumptions.
- Body is a derivation schema with distinguished parameters.
- Generalizes **higher-order abstract syntax**.

Negative (computational) functions witness **admissibility**.

- Analyzes all possible derivations of antecedent.
- Computes a derivation for each possible argument.
- Captures **meta-reasoning** and **meta-computation**.

Types for Binding and Computation

Focusing (Andreoli, Girard, Zeilberger)

- Patterns mediate between **focus** and **inversion**.
- Positive: (right) focus = values, (left) inversion = matching.
- Negative: (left) focus = matching, (right) inversion = values.

Contextual Modality (Nanevski and Pientka)

- Object $M : \langle \Psi \rangle A$ has type A with parameters in Ψ .
- Supports **pronominal** account of derivability.
 - Parameters are **pronouns**, not **nouns**.
 - Specializes to binding and scope of identifiers.
- cf. pre-sheaf models of Plotkin, Tiuri, Fiori.

Types for Binding and Computation

Type structure (simplified):

Positive $A^+ ::= \downarrow A^- \mid A_1^+ \otimes A_2^+ \mid A_1^+ \oplus A_2^+ \mid R^+ \Rightarrow A^+ \mid D$

Negative $A^- ::= \uparrow A^+ \mid A_1^+ \rightarrow A_2^-$

Rules $R ::= D \Leftarrow A^+$

Extensible **pronominal data types**, D , defined by rules.

- **Higher-order** rules: $D \Leftarrow (A_1^+ \Rightarrow A_2^+)$.
- **Side conditions** on rules: $D \Leftarrow \downarrow (\uparrow A_1^+ \rightarrow A_2^+)$.

Types for Binding and Computation

Rule contexts: $\Psi = u_1 : R_1, \dots, u_n : R_n$.

- Each rule is represented by a **parameter**, u_i .
- **Order** matters: $\Psi \approx R_1 \times \dots \times R_n$ (names are surface syntax.)
- Not necessarily structural (because rules need not be pure).

Judgements (simplified):

- Positive values: $\Gamma \vdash v^+ : \langle \Psi \rangle A^+$.
- Positive matches: $\Gamma \vdash k^+ : \langle \Psi_0 \rangle A^+ > \langle \Psi_1 \rangle B^-$.
- Neutral: $\Gamma \vdash e : \langle \Psi \rangle A$.

Pronominal Data Types

D introduction: create an instance of a rule.

$$\frac{u:D \Leftarrow A^+ \in \Psi \quad \Gamma \vdash v^+ : \langle \Psi \rangle A^+}{\Gamma \vdash u(v^+) : \langle \Psi \rangle D}$$

D elimination: pattern matching on all rules for D .

$$\frac{\Gamma \vdash e : \langle \Psi \rangle D \quad (u:D \Leftarrow A^+ \in \Psi) \longrightarrow \Gamma, x : \langle \Psi \rangle A^+ \vdash e' : \langle \Psi' \rangle C}{\Gamma \vdash \text{case } e \{ \dots u(x) \mapsto e' \dots \} : \langle \Psi' \rangle C}$$

Positive Functions

Positive functions **extend** the rule context:

$$\frac{\Gamma \vdash v^+ : \langle \Psi, u : R \rangle A^+}{\Gamma \vdash \lambda^+ u. v^+ : R \Rightarrow \langle \Psi \rangle A^+}$$

Positive functions are eliminated by matching:

$$\frac{\Gamma \vdash e : \langle \Psi \rangle R \Rightarrow A^+ \quad \Gamma, x : \langle \Psi, u : R \rangle A^+ \vdash e' : \langle \Psi' \rangle C}{\Gamma \vdash \text{case } e \{ \lambda^+ u. x[u] \Rightarrow e' \} : \langle \Psi' \rangle C}$$

NB: parameters may or may not induce substitution functions!

Contextual Hypotheses

Variables in context are **instantiated** on use:

$$\frac{\Psi' \vdash \theta : \Psi}{\Gamma, x : \langle \Psi \rangle A \vdash x[\theta] : \langle \Psi' \rangle A}$$

Officially, Ψ is an ordered product: $\Psi = \Psi', \theta = id$.

External syntax supports renamings of parameters (exchange, contraction) witnessed by θ .

Structural Properties

Structurality of Ψ is **not** assured (side conditions disrupt it).

- May not validate weakening = adding a new rule.
- May not validate substitution = deriving a rule.
- Always supports exchange (swapping of parameters).

Structurality must be programmed wherever needed.

- When rules are **pure**: generically definable.
- When **subordination** ensures that parameter is irrelevant.
- Admissibility witnessed by **computational** (negative) functions.

Subordination

A type A^+ is **subordinate** to a type B^+ (modulo Ψ) iff a value of type A may be used to construct a value of type B .

For example, nat might be subordinate to exp , but not vice versa.

If A is **not** subordinate to B , then weakening by A cannot disrupt a side condition that circumscribes B .

For example, a computational function on nat cannot be affected by adding parameters of type exp , but would be disrupted by a parameter of type nat .

Example

A simple expression language:

$$e ::= \text{num}[k] \mid e_1 \odot_f e_2 \mid \text{let } x = e_1 \text{ in } e_2$$

Represented by rule context Ψ_{exp} :

zero : nat

succ : nat $\Leftarrow$ nat

num : nat $\Leftarrow$ exp

binop : exp $\Leftarrow$ exp $\Leftarrow$ (nat $\otimes$ nat $\rightarrow$ nat) $\Leftarrow$ exp

let : exp $\Leftarrow$ exp $\Leftarrow$ (exp $\Rightarrow$ exp)

Example

We wish to define an evaluator for expressions:

$$\text{eval} : \langle \Psi_{\text{exp}} \rangle (\text{exp} \rightarrow \text{nat})$$

Match on argument x of type $\langle \Psi_{\text{exp}} \rangle \text{exp}$:

$$\text{num } n \longmapsto n$$

$$\text{binop } e_1 \ f \ e_2 \longmapsto f \ (\text{eval } e_1) \ (\text{eval } e_2)$$

$$\text{let } e_1 \ (\lambda u. e_2[u]) \longmapsto \text{eval}(\text{subst}(\lambda u. e_2[u]) \ e_1)$$

Example

The function `subst` witnesses admissibility of transitivity.

- Realizing $\Psi_{\text{exp}}, u : \text{exp in } \Psi$.
- Definable because `exp` not subordinate to `nat`.

By contrast we **cannot** substitute for, say, `z` in an `exp`!

- Binary operation f analyzes each value of type `nat`.
- Cannot expect f to be stable under substitution.

Normalization by Evaluation

Define context Ψ_{nbe} for syntax and semantics.

$$\text{app} : \text{exp} \Leftarrow (\text{exp} \otimes \text{exp})$$
$$\text{lam} : \text{exp} \Leftarrow (\text{exp} \Rightarrow \text{exp})$$
$$\text{napp} : \text{neu} \Leftarrow (\text{neu} \otimes \text{sem})$$
$$\text{neut} : \text{sem} \Leftarrow \text{neu}$$
$$\text{slam} : \text{sem} \Leftarrow (\forall (\Psi \in \text{neu}^*). \Psi \Rightarrow \text{sem} \rightarrow \text{sem})$$

In what follows Ψ consists of parameters of types `exp` and `neu`.

Normalization by Evaluation

The function `eval` has type

$$\langle \Psi_{\text{nbe}} \rangle \quad \forall \Psi \quad \Psi \Rightarrow (\text{exp} \rightarrow (\text{exp} \# \rightarrow \text{sem}) \rightarrow \text{sem})$$

Spelled out, this means that

Normalization by Evaluation

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Spelled out, this means that

- in context $\Psi_{\text{nbe}} \dots$

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Spelled out, this means that

- in context $\Psi_{\text{nbe}} \dots$
- in any extension by `neu` and `exp` parameters $\dots$

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- in any extension by `neu` and `exp` parameters $\dots$
- given an expression and $\dots$

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Spelled out, this means that

- in context $\Psi_{\text{nbe}} \dots$
- in any extension by `neu` and `exp` parameters ...
- given an expression and ...
- a mapping of `expr` variables to semantic values ...

Normalization by Evaluation

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Spelled out, this means that

- in context $\Psi_{\text{nbe}} \dots$
- in any extension by `neu` and `exp` parameters $\dots$
- given an expression and $\dots$
- a mapping of `expr` variables to semantic values $\dots$
- `eval` yields a semantic value.

Normalization by Evaluation

The function `reify` has type

$$\langle \Psi_{\text{nbe}} \rangle \forall \Psi \Psi \Rightarrow (\text{sem} \rightarrow (\text{exp } \# \rightarrow \text{neu } \#) \rightarrow \text{exp})$$

That is,

Normalization by Evaluation

The function `reify` has type

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That is,

- in context $\Psi_{\text{nbe}} \dots$

Normalization by Evaluation

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That is,

- in context $\Psi_{\text{nbe}} \dots$
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That is,

- in context $\Psi_{\text{nbe}} \dots$
- in any extension with `neu` and `expr` parameters $\dots$
- given a semantic value and $\dots$

Normalization by Evaluation

The function `reify` has type

$$\langle \Psi_{\text{nbe}} \rangle \forall \Psi \Psi \Rightarrow (\text{sem} \rightarrow (\text{exp \#} \rightarrow \text{neu \#}) \rightarrow \text{exp})$$

That is,

- in context $\Psi_{\text{nbe}} \dots$
- in any extension with `neu` and `exp` parameters $\dots$
- given a semantic value and $\dots$
- a mapping from syntactic to semantic variables $\dots$

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That is,

- in context $\Psi_{\text{nbe}} \dots$
- in any extension with `neu` and `exp` parameters $\dots$
- given a semantic value and $\dots$
- a mapping from syntactic to semantic variables $\dots$
- `reify` yields an expression.

Evaluation

$\text{eval} : \forall \Psi. \Psi \Rightarrow (\text{exp} \rightarrow (\text{exp} \# \rightarrow \text{sem}) \rightarrow \text{sem})$
 $\text{eval}[\Psi] \ x \quad \sigma = \sigma \ x$
 $\text{eval}[\Psi] \ \text{app}(e1, e2) \quad \sigma = \text{appsem} \ (\text{eval}[\Psi] \ e1 \ \sigma) \ (\text{eval}[\Psi] \ e2 \ \sigma)$
 $\text{eval}[\Psi] \ \text{lam}(\lambda x. e[x]) \ \sigma = \text{slam} \ \varphi \text{ where } \varphi = \dots$

$\text{appsem} : \forall \Psi. \Psi \Rightarrow (\text{sem} \rightarrow \text{sem} \rightarrow \text{sem})$
 $\text{appsem}[\Psi] \ \text{slam}(\varphi) \ s2 = \varphi \ [\cdot] \ s2$
 $\text{appsem}[\Psi] \ \text{neut}(n) \ s2 = \text{neut}(\text{napp}(n \ , \ s2))$

Evaluation

The semantic function φ is defined as follows:

$$\varphi : \langle \Psi \rangle (\forall (\Psi' \in \text{neu}^*). \Psi' \Rightarrow \text{sem} \rightarrow \text{sem})$$

$$\varphi[\Psi'] \text{ s}' = \text{strengthen } x \text{ from} \\ (\text{eval}[\Psi, x:\text{exp} , \Psi'] (\text{weaken } e[x] \text{ with } \Psi') \sigma')$$

where

$$\sigma' : \langle \Psi, x:\text{exp} , \Psi' \rangle (\text{exp} \# \rightarrow \text{sem})$$

$$\sigma' x = \text{weaken } s' \text{ with } x$$

$$\sigma' (y \in \Psi) = \text{weaken } (\sigma y) \text{ with } (x, \Psi')$$

Evaluation

The definition of φ uses auxiliaries `strengthen` and `weaken`.

- `weaken` is a computational function that weakens with respect to a fresh parameter of type `exp`.
- `strengthen` uses subordination to remove parameter of type `exp` in result of type `sem`.

These are type-generic programs that are generated automatically, **when they exist**.

Reification

$\text{reify} : \forall \Psi. \Psi \Rightarrow (\text{sem} \rightarrow (\text{exp} \# \rightarrow \text{neu} \#) \rightarrow \text{exp})$

$\text{reify}[\Psi] \text{ neut}(n) \sigma = \text{reifyn}[\Psi] n \sigma$

$\text{reify}[\Psi] \text{ slam}(\varphi) \sigma =$

$\text{lam } (\lambda x.$

$\text{strengthen } y \text{ from}$

$\text{(reify}[\Psi, y:\text{neu} , x:\text{exp}]$

$\text{(weaken } (\varphi [y:\text{neu}] \text{ neut}(y)) \text{ with } x)$

$\sigma'))$

where

$\sigma' : \langle \Psi, y:\text{neu} , x:\text{exp} \rangle \text{exp} \# \rightarrow \text{neu} \#$

$\sigma' x = y$

$\sigma' (x' \in \Psi') = \text{weaken } (\sigma x) \text{ with } [x , y]$

Semantic Application

$\text{reifyn} : \forall \Psi. \Psi \Rightarrow (\text{neu} \rightarrow (\text{exp } \# \rightarrow \text{neu } \#) \rightarrow \text{exp})$

$\text{reifyn}[\Psi] \ x \quad \sigma = \sigma \ x$

$\text{reifyn}[\Psi] \ \text{napp}(n,s) \ \sigma = \text{napp} \ (\text{reifyn}[\Psi] \ n \ \sigma ,$
 $\quad \text{reify} \ [\Psi] \ s \ \sigma)$

Summary

A **pronominal** approach to binding and computation:

- Names are pronouns (references), not nouns (objects).
- Avoids reliance on state, or associated logics of purity.
- Captures central concepts of judgements-as-types, including higher-order abstract syntax.
- Admits precise types for admissibilities.

But there is a **cost** for expressiveness and generality:

- If impurities are admitted, admissibilities are not assured.
- Expressing more precise types takes real work.
- Extension to dependent computation and representation types?

Ongoing and Future Work

Implementation.

- Implemented as a universe within Agda (see my web page).
- Designing an external language with elaboration for named form.

Positive Dependent Types [LH PLPV09]

- Admit $\Pi x : A_1^+. A_2^-$ (negative) and $\Sigma x : A_1^+. A_2^+$ (positive).
- Avoids testing equivalence of negative values.
- Relies on simultaneous induction-recursion.

Richer Rule Formalisms

- Pure dependent LF, without side conditions.
- Impure LF: how to intermix dependency and side conditions?

Thank You!

Questions?