

Reduction Strategies in the Lambda Calculus

A Systematic Approach to Their Specification and Efficient
Implementation with Abstract Machines

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Reduction strategies

- ▶ one-step strategy is a function $F : \Lambda \rightarrow \Lambda$ s.t.

$$t \rightarrow_{\beta}^1 F(t)$$

- ▶ examples: leftmost-outermost, call by name, call by value

Reduction strategies

- ▶ of interest both in theory and in practice of lambda calculus
- ▶ multitude of strategies, defined and studied in different disguises
- ▶ relevant for efficient computation in lambda calculus
- ▶ often used as folklore, auxiliary tool

Reduction strategies – systematic approach

- ▶ formats to define strategies
- ▶ methodology to interderive various semantics
(based on functional programming)
- ▶ formalization and classification

Weak strategies

$$\underline{(\lambda xy.xy)((\lambda z.z)(\lambda w.w))} \xrightarrow{\text{CbN}} \lambda y.(\lambda z.z)(\lambda w.w)y$$

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$$(\lambda xy.xy)\underline{((\lambda z.z)(\lambda w.w))} \xrightarrow{\text{CbV}} \underline{(\lambda xy.xy)(\lambda w.w)}$$

Weak strategies

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$$(\lambda xy.xy)\underline{((\lambda z.z)(\lambda w.w))} \xrightarrow{\text{CbV}} \underline{(\lambda xy.xy)(\lambda w.w)} \xrightarrow{\text{CbV}} (\lambda y.(\lambda w.w)y)$$

Strong strategies

- ▶ fully normalize terms
- ▶ need to descend under λ and account for free variables in terms
- ▶ conservative extensions of weak strategies (e.g., strong CbN, strong CbV, strong CbNeed)
- ▶ efficient implementations required e.g. for typechecking in dependent types

Strong strategies

Normal order = “iterate CbN”

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Strong strategies

Normal order = “iterate CbN”

$$\begin{aligned} \underline{(\lambda xy.xy)((\lambda z.z)(\lambda w.w))} &\xrightarrow{\text{NO}} \lambda y. \underline{(\lambda z.z)(\lambda w.w)y} \\ &\xrightarrow{\text{NO}} \lambda y. \underline{(\lambda w.w)y} \\ &\xrightarrow{\text{NO}} \lambda y.y \end{aligned}$$

Strong strategies

$$(\lambda xy.x(yy))\underline{((\lambda z.z)(\lambda w.w))} \xrightarrow{\text{SCbV}} \underline{(\lambda xy.x(yy))} (\lambda w.w)$$

Strong strategies

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Strong CbV = iterate **Open CbV**

Strong strategies

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Strong CbV = iterate **Open CbV**

Strong CbV is nondeterministic – we can choose right-to-left normalization (rrSCbV)

Formats of operational semantics

- ▶ structural operational semantics
- ▶ big-step semantics
- ▶ reduction semantics
- ▶ abstract machine
- ▶ definitional interpreter

Big-step semantics

$$\frac{}{\lambda x.t \Downarrow \lambda x.t} \quad \frac{t_1 \Downarrow \lambda x.t \quad t_2 \Downarrow t'_2 \quad t[x := t'_2] \Downarrow t'}{t_1 t_2 \Downarrow t'}$$

$$\frac{x \Downarrow x \quad t_1 \Downarrow t'_1 \neq \lambda x.t \quad t_2 \Downarrow t'_2}{t_1 t_2 \Downarrow t'_1 t'_2}$$

Open call by value

Reduction semantics

$$w ::= \lambda x.t \mid x \vec{w} \quad E ::= \square \mid w E \mid E t$$

$$\frac{}{(\lambda x.t) w \rightarrow_{\beta_w} t[x := w]} \quad \frac{t \rightarrow_{\beta_w} t'}{E[t] \xrightarrow{lcbw} E[t']}$$

Left-to-right open call by value

Abstract machines

- ▶ micro-step semantics (explicit **decomposition** and **substitution**)
- ▶ abstract model of language implementation
- ▶ work on source terms (not on compiled terms)
- ▶ constant cost of each transition
- ▶ abstract cost model of computation

Krivine machine for CbN evaluation

$$t ::= n \mid t t \mid \lambda t \quad C ::= [t, E]$$
$$E ::= \bullet \mid C :: E$$
$$S ::= \bullet \mid C :: S$$
$$t \mapsto \langle t, \bullet, \bullet \rangle$$
$$\langle t_1 t_2, E, S \rangle \rightarrow \langle t_1, E, [t_2, E] :: S \rangle$$
$$\langle \lambda t, E, C :: S \rangle \rightarrow \langle t, C :: E, S \rangle$$
$$\langle 0, [t, E] :: E', S \rangle \rightarrow \langle t, E, S \rangle$$
$$\langle n + 1, C :: E, S \rangle \rightarrow \langle n, E, S \rangle$$

Techniques for AM derivation

- ▶ **refocusing** – from reduction semantics to abstract machine
- ▶ **functional correspondence** – from higher-order normalizer to abstract machine
- ▶ introduced for weak strategies, extendable to strong ones

Generalized reduction semantics

Normal order in λ -calculus

$$t ::= x \mid \lambda x. t \mid t t \quad a ::= x \mid a n \quad n ::= a \mid \lambda x. n$$

$$\underline{E} ::= F \mid \lambda x. E \mid a E$$

$$F ::= \square_F \mid F t$$

$$E[(\lambda x. t) s] \xrightarrow{no} E[t[x := s]]$$

Generalized reduction semantics – formalization

syntactic categories: **kinds**,
initial kind, terms

values, potential redices,
elementary contexts –
parameterized by kinds

atomic plug – defining
meaning of contexts

contraction function

proofs of basic properties

```
Parameters (ckind term : Set)
  (init_ckind : ckind)
  (redex value : ckind -> Set).
```

```
Parameters
  (elem_ctx : ckind -> ckind -> Set)
  (elem_plug :  $\forall$  {k0 k1}, term ->
    elem_ctx k0 k1 -> term).
```

```
Parameter contract :
   $\forall$  {k}, redex k -> option term.
```

```
Axioms
(v_triv:  $\forall$  ..., ec:[t] = v ->  $\exists$  v', t = v')
(v_red:  $\forall$  {k} (v : value k) (r : redex k),
v <> r).
```

Input to generalized refocusing

- ▶ generalized reduction semantics
- ▶ linear strict order $<_{k,t}$ on instances of productions from P^k that are compatible with t (i.e., elementary k -contexts matching t)
- ▶ atomic decomposition functions
- ▶ conditions on input enforce unique decomposition

Input to generalized refocusing — normal order

- ▶ elementary contexts

$$E ::= \lambda x. \square_E \mid a \square_E \mid \square_F t$$

$$F ::= \square_F t$$

- ▶ search order $a \square_E <_{E, _} \square_F t$

Abstract machine for normal order

$$\langle \lambda x.t, C, F \rangle_e \triangleright \langle C, F, \lambda x.t \rangle_c$$

$$\langle \lambda x.t, C, E \rangle_e \triangleright \langle t, \lambda x.\square :: C, E \rangle_e$$

$$\langle t_1 t_2, C, k \rangle_e \triangleright \langle t_1, (k, \square t_2) :: C, F \rangle_e$$

$$\langle x, C, k \rangle_e \triangleright \langle C, k, x \rangle_c$$

$$\langle \lambda x.\square :: C, E, v \rangle_c \triangleright \langle C, E, \lambda x.v \rangle_c$$

$$\langle n_e \square :: C, E, v \rangle_c \triangleright \langle C, E, n_e v \rangle_c$$

$$\langle (k, \square s) :: C, F, \lambda x.t \rangle_c \triangleright \langle t[x := s], C, k \rangle_e$$

$$\langle (k, \square s) :: C, k', x \rangle_c \triangleright \langle s, (k, x \square) :: C, E \rangle_e$$

Correctness – intensionally

An abstract rewriting system $\langle \mathcal{S}, \Rightarrow \rangle$ **traces** another system $\langle \mathcal{T}, \rightarrow \rangle$ if there exists a surjection $\llbracket \cdot \rrbracket : \mathcal{S} \rightarrow \mathcal{T}$ s.t.

1. if $s_1 \Rightarrow s_2$ then $\llbracket s_1 \rrbracket = \llbracket s_2 \rrbracket$ or $\llbracket s_1 \rrbracket \rightarrow \llbracket s_2 \rrbracket$
2. if $t_1 \rightarrow t_2$ then for each s_0 s.t. $\llbracket s_0 \rrbracket = t_1$ there exists $s_0 \Rightarrow \dots \Rightarrow s_{n+1}$, where $\llbracket s_0 \rrbracket = \dots = \llbracket s_n \rrbracket$ and $\llbracket s_{n+1} \rrbracket = t_2$
3. there are no silent loops

Theorem

Let M – machine generated by generalized refocusing from a RS with terms \mathcal{T} and reduction relation \rightarrow . Then M traces $\langle \mathcal{T}, \rightarrow \rangle$.

Functional correspondence

Higher-order evaluator



Closure conversion



CPS translation



Defunctionalization



Abstract machine

A call-by-name evaluator

```
type value = Value of (thunk -> value)
and thunk = unit -> value

let rec eval (e : env) (t : term) : value =
  match t with
  | Var n          -> List.nth e n ()
  | App(t0, t1)    -> value_unfold (eval e t0)
                    (fun () -> eval e t1)
  | Lam t          -> Value (fun v -> eval (v :: e) t)

let main (t : term) : value = eval [] t
```

After closure conversion

```
type thunk = Thunk of term * env
and env = thunk list
```

```
type value = Closure of term * env
```

```
let rec eval (e : env) (t : term) : value =
  match t with
  | Var n          -> let Thunk(t', e') = List.nth e n in
                      eval e' t'
  | App(t0, t1) -> let Closure(t', e') = eval e t0 in
                      eval (Thunk(t1, e)::e') t'
  | Lam t         -> Closure(t, e)
```

```
let main (t : term) : value = eval [] t
```

CPS translation

```
type thunk = Thunk of term * env
and env = thunk list
```

```
type value = Closure of term * env
```

```
let rec eval (e : env) (t : term) (k : value -> 'a) : 'a =
  match t with
  | Var n          -> let Thunk(t', e') = List.nth e n in
                      eval e' t' k
  | App(t0, t1)   -> eval e t0 (function Closure(t', e') ->
                                eval (Thunk(t1, e)::e') t' k)
  | Lam t         -> k (Closure(t, e))
```

```
let main (t : term) : value = eval [] t (fun x -> x)
```

Defunctionalization of continuations

```
type thunk = Thunk of term * env
and env = thunk list

type value = Closure of term * env

type stack = thunk list

let rec eval (e : env) (t : term) (s : stack) : value =
  match t, s with
  | Var n, _ -> let Thunk(t', e') = List.nth e n in
                 eval e' t' s
  | Lam t, v :: s -> eval (v :: e) t s
  | App(t0, t1), _ -> eval e t0 (Thunk(t1, e) :: s)
  | Lam t, [] -> Closure(t, e)

let main (t : term) : value = eval [] t []
```


Reformatted as abstract machine

```
type thunk = Thunk of term * env
and env = thunk list
type conf = term * env * env
let transition (c:conf) : conf =
  match c with
  | (App(t0, t1), e, s)      -> (t0, e, Thunk(t1, e) :: s)
  | (Lam t, e, v :: s)      -> (t, v :: e, s)
  | (Var 0, Thunk(t, e) :: _, s) -> (t, e, s)
  | (Var n, _ :: e, s)      -> (Var(n-1), e, s))

let load (t : term) : conf = (t, [], [])
```

Normalization by evaluation

- ▶ programming technique to produce full normal forms
reduction-free, based on denotational semantics
- ▶ interpret terms in a model
- ▶ then reify semantic values into syntactic normal forms

Normalization by evaluation for CbV

```
type term = Var of index | Lam of term | App of term * term
```

```
type level = int
```

```
type sem = Abs of (sem -> sem) | Neutral of (level -> term)
```

```
let to_sem (f : sem -> sem) : sem = Abs f
```

```
let from_sem (d : sem) : sem -> sem =
```

```
  fun d' ->
```

```
    match d with
```

```
    | Abs f ->
```

```
      f d'
```

```
    | Neutral l ->
```

```
      Neutral (fun m -> let n = reify d' m in App (l m, n))
```

Normalization by evaluation for CbV

```
let rec eval (t : term) (e : sem list) : sem =  
  match t with  
  | Var n -> List.nth e n  
  | Lam t' -> to_sem (fun d -> eval t' (d :: e))  
  | App (t1, t2) -> let d2 = eval t2 e  
                    in from_sem (eval t1 e) d2
```

```
let rec reify (d : sem) (m : level) : term =  
  match d with  
  | Abs f ->  
    Lam (reify (f (Neutral (fun m' -> Var (m'-m-1))))(m+1))  
  | Neutral l ->  
    l m
```

```
let nbe (t : term) : term = reify (eval t []) 0
```

Normalization by evaluation for CbV

- ▶ functional correspondence applied to CbV NbE produces AM performing full normalization in Strong CbV strategy
- ▶ from the machine we can read off the reduction contexts
- ▶ obtained AM is inefficient: does not reuse constructed structures and suffers from size explosion

Size explosion problem

$$\omega := \lambda x. x x$$

$$e_n := \lambda x. c_n \omega x$$

Under Strong CbV

e_n normalizes in **linear** number of steps

to normal form of **exponential** size

$$\begin{aligned} \omega^1 x &\rightarrow x x \\ \omega^2 x &\rightarrow^* (x x) (x x) \\ &\vdots \end{aligned}$$

NbE for CbV – memoization

```
type 'a cache = 'a option ref

let cached_call (c : 'a cache) (f : unit -> 'a) : 'a =
  match !c with
  | Some y -> y
  | None    -> let y = f () in
                c := Some y;
                y
```

NbE for CbV – memoization

```
type sem = Abs of (sem -> sem)
          | Neutral of (unit -> term)
          | Cache of term cache * sem

let rec from_sem : sem -> (sem -> sem) = function
  | Abs f          -> f
  | Neutral l     -> apply_neutral l
  | Cache (c, Neutral l) -> apply_neutral
                                (fun () -> cached_call c l)
  | Cache (c,      v) -> from_sem v
and apply_neutral (l : unit -> term) (v : sem) : sem =
  Neutral (fun () -> let n = reify v in App (l (), n))
```


NbE for CbV – eval and reify

```
let rec eval (t : term) (e : env) : sem =  
  match t with  
  | Var x          -> env_lookup x e  
  | Lam (x, t')    -> to_sem  
    (fun v -> eval t' @@ Dict.add x (mount_cache v) e)  
  | App (t1, t2)  -> let v2 = eval t2 e  
    in from_sem (eval t1 e) v2  
  
let rec reify : sem -> term = function  
  | Abs f -> let xm = "x_" ^ string_of_int (gensym ()) in  
    Lam (xm, reify (f @@ abstract_variable xm))  
  | Neutral l -> l ()  
  | Cache (c, v) -> cached_call c (fun () -> reify v)
```

RKNV – abstract machine for SCbV

Terms $t ::= x \mid t_1 t_2 \mid \lambda x. t$

Values $v ::= V(x) \mid v_1 v_2 \mid [x, t, E] \mid v^\ell$

Frames $F ::= [t, E] \square \mid \square v \mid v \square \mid \square t \mid \lambda x. \square \mid \textcircled{[l]}$

Heaps H : location \rightarrow term option

Conf. $K ::= \langle t, E, S, m, H \rangle_{\mathcal{E}} \mid \langle S, v, m, H \rangle_{\mathcal{C}}$
 $\mid \langle S, t, m, H \rangle_{\mathcal{S}} \mid \langle t^?, \ell, S, v, m, H \rangle_{\mathcal{M}}$

RKNV – abstract machine for SCbV

$$\langle [n], \ell, S_2, v, m, H \rangle_{\mathcal{M}} \rightarrow \langle S_2, n, m, H \rangle_{\mathcal{S}}$$

$$\langle \bullet, \ell, S_2, v, m, H \rangle_{\mathcal{M}} \rightarrow \langle @[\ell] :: S_2, v, m, H \rangle_{\mathcal{C}}$$

$$\langle @[\ell] :: S_2, n, m, H \rangle_{\mathcal{S}} \rightarrow \langle S_2, n, m, H[\ell := [n]] \rangle_{\mathcal{S}}$$

RKNV – sound and complete

- ▶ RKNV traces right-to-left strong call by value
- ▶ normal forms are equal up to α -equivalence

RKNV – complexity

- ▶ amortized cost analysis based on configuration potential
- ▶ potential Φ_K of configuration K = how many steps the machine can make till the next β -step
- ▶ all but one transitions decrease potential

RKNV – complexity

Configuration potential

$$\Phi_K(K) := \Phi_t(t) + \Phi_S(S) + \Phi_H(K) \quad \text{if } K = \langle t, E, S, m, H \rangle_\varepsilon$$

Erasure transition (precedes β -step)

$$\langle \square v :: S_1, [x, t, E]^\ell, m, H \rangle_c \xrightarrow{\text{pre}\beta} \langle \square v :: S_1, [x, t, E], m, H \rangle_c$$

- ▶ If $K \xrightarrow{\neq(\text{pre}\beta)} K'$ then $\Phi_K(K) > \Phi_K(K')$
- ▶ If $K \xrightarrow{(\text{pre}\beta)} K'$ then $\Phi_K(K) + \Phi_t(\text{input}) > \Phi_K(K')$

RKNV – complexity

reasonability Let: $|\rho|$ – number of transitions starting from term t_0 ,
 n – the number of β -reductions in rrSCbV normalization
of term t_0 .

Then $|\rho| \leq (n + 1) \cdot \Phi_t(t_0)$.

overall complexity

$$O((1 + n) \cdot |t_0| \cdot E(|t_0|))$$

$E(n)$ – cost of operations on environment of size n

RKNV – complexity

- ▶ Strong CbV can be simulated in polynomial time
- ▶ Strong CbV calculus is a reasonable time cost model – using approach alternative to [Accattoli et al. '21]

Strong CbNeed – how to approach it

- ▶ extend weak CbNd
- ▶ two approaches for weak CbNd: storeless or store-based

Strong CbNeed – storeless

- ▶ complex declarative definition of reduction semantics [Balabonski et al. '17]
- ▶ expressible with generalized reduction semantics with contexts parameterized with sets of variables [Biernacka et al. '19]
- ▶ AM for SCbNd derived from generalized reduction semantics by refocusing

Strong Call by Need – example

$\lambda z. (\lambda x. x t) (z z)$ z is frozen

$\rightarrow \lambda z. \text{let } x = z z \text{ in } x t$

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$\equiv \lambda z. \text{let } x := z z \text{ in } [x] t$ x is frozen

$\equiv \lambda z. \text{let } x := z z \text{ in } x [t] \rightarrow \dots$

Strong CbNeed – alternative approach

- ▶ starting point: NbE normalizer for normal order
- ▶ introduce memoized thunks to avoid recomputation of arguments and of normal forms
- ▶ apply functional correspondence to derive AM

Strong CbNeed – RKNL abstract machine

$$\langle [\lambda x. t, e], s, \sigma \rangle_{\nabla} \rightarrow \langle [\lambda x. t, e]^{\ell}, s, \sigma * [l \mapsto \perp] \rangle_{\Delta}$$

$$\langle [\lambda x. t, e]^{\ell}, s, \sigma \rangle_{\Delta} \rightarrow$$

$$\langle [t, e[x := l_2]], \lambda \check{x}. \square :: \mathcal{C}[l] :: s, \sigma * [l_2 \mapsto \check{x}_{\check{\vee}}] \rangle_{\nabla}$$

$$\text{where } \sigma(l) = \perp$$

$$\langle [\lambda x. t, e]^{\ell}, \square [t_2, e_2] :: s, \sigma \rangle_{\Delta} \rightarrow \langle [t, e[x := l_2]], s, \sigma * [l_2 \mapsto [t_2, e_2]] \rangle_{\nabla}$$

Strong CbNeed – results

- ▶ derived store-based AM
- ▶ RKNL simulates the normal-order strategy:
 - ▶ each machine configuration accounts for a sequence of NO reduction steps (modulo α -equivalence)
 - ▶ each NO reduction step is simulated by a sequence of machine steps
- ▶ amenable to complexity analysis using potential function:
number of transitions bilinear in the number of β -steps in NO
and in size of initial term

A zoo of strategies

- ▶ collection of reduction strategies
- ▶ characterized by *term decompositions*
- ▶ based on ubiquitous *reduction contexts*
- ▶ formalized in Coq

Context

```
Inductive frame : Type :=  
| Lam : string → frame  
| Rapp : term → frame  
| Lapp : term → frame.
```

```
Definition context : Type := list frame.
```

Example – CBN contexts

```
Definition CBN_frame (f:frame) : Prop :=  
match f with  
| Rapp _ => True  
| _      => False  
end.
```

```
Fixpoint Uniform (F:frame → Prop) (C:context) : Prop :=  
match C with  
| []      => True  
| f :: C => F f ∧ Uniform F C  
end.
```

```
Definition CBN : context → Prop := Uniform CBN_frame.
```

Strategy

Definition decomposition : Type := context * term.

Definition strategy : Type := decomposition → Prop.

Definition recompose : decomposition → term := uncurry plug.

Definition normal_form (s:strategy) (t:term) : Prop :=
¬ ∃ d, t = recompose d ∧ d ∈ s.

Definition det_strategy (s:strategy) : Prop :=
∀ t, ∃_{≤1} d, t = recompose d ∧ d ∈ s.

Example – CBN strategy

Definition $\beta_contrex$: term \rightarrow Prop :=
app_of abstraction ●.

Definition cbn : strategy :=
CBN \times $\beta_contrex$.

Normal forms

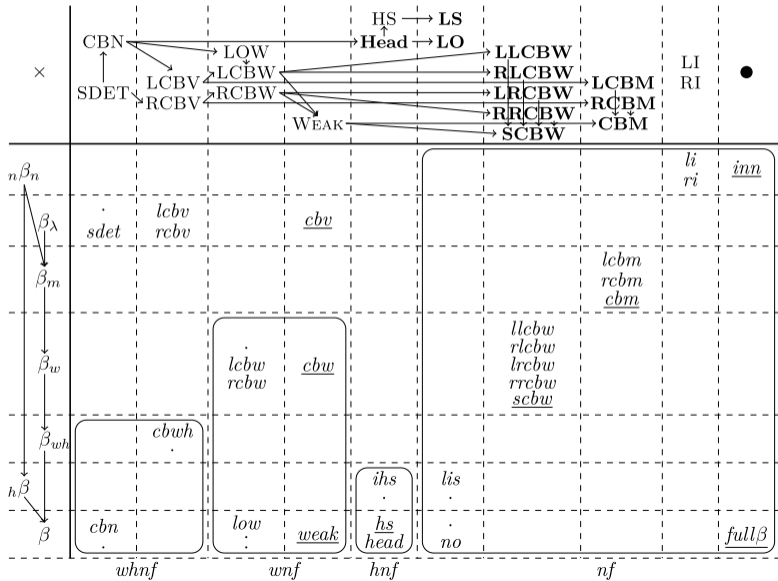
```
Fixpoint rigid (t:term) : Prop :=  
match t with  
| var _ => True  
| app s _ => rigid s  
| _ => False  
end.
```

Definition whnf : term \rightarrow Prop := abstraction \cup rigid.

Example rigid_is_whnf : rigid \subseteq whnf.

Lemma cbn_nf : normal_form cbn == whnf.

Zoo



Phased strategies

Definition `sequence_strategy (r s: strategy) : strategy :=`
`λ d, r d ∨ (normal_form r (recompose d) ∧ s d).`

Notation " \swarrow " := `left_strategy`.

Notation " β " := `only_β_contraction`.

Definition `cbn_phased :=` \swarrow `cbn`;; β .

Definition `no_phased :=` (β ;; \swarrow `no`;; \searrow `no`) \cup \downarrow `no`.

Phased strategies

Definition $\text{cbw_phased} := (\swarrow \text{cbw} \cup \searrow \text{cbw});; \beta.$

Definition $\text{scbw_phased} := (\text{cbw};; (\swarrow \text{scbw} \cup \searrow \text{scbw})) \cup \downarrow \text{scbw}.$

Lemma $\text{scbw_conservative_extension_cbw} : \text{scbw} == \text{cbw};; \text{scbw}.$

Phased strategies

Lemma `sequence_strategy_assoc` : $\forall q r s,$
 $q;; (r;; s) == (q;; r);; s.$

Lemma `left_weak_strategy_beta_contraction_commutative` : $\forall w,$
 $w \subseteq \text{weak} \rightarrow \sphericalangle w;; \beta == \beta;; \sphericalangle w.$

Lemma `phased_left_strategy` : $\forall s s',$
 $\sphericalangle s;; \sphericalangle s' == \sphericalangle (s;; s').$

Benefits

- ▶ framework to study, compare and discover new strategies
- ▶ more structured and generic proofs of strategy properties, normal forms, etc.
- ▶ algebraic reasoning about strategies

Thank you!