

# A Mathematical Theory of Substitution and its Applications to Syntax and Semantics

Marcelo Fiore

Computer Laboratory  
University of Cambridge

ICMS

26.V.2007

# A Mathematical Theory of Substitution and its Applications to Syntax and Semantics

(tu·to·ri·al)

a class in which a tutor gives *intensive instruction* in some subject to an individual student or a small group of students

Marcelo Fiore

Computer Laboratory  
University of Cambridge

ICMS

26.V.2007

# Aim

---

To give an elementary introductory presentation of the basic ideas underlying a mathematical theory of algebraic models for languages with variable binding and substitution.

# Specification of first-order syntax

---

**Signature:** A set of *operators* equipped with *arities*.

$$|-| : \Sigma \rightarrow \mathbb{N}$$

# Specification of first-order syntax

---

**Signature:** A set of *operators* equipped with *arities*.

$$|-| : \Sigma \rightarrow \mathbb{N}$$

**Example:** The signature of monoids has operators  $\{\mathbf{e}, \mathbf{m}\}$  with arities  $|\mathbf{e}| = 0$  and  $|\mathbf{m}| = 2$ .

# Inductive definition of abstract syntax

---

$$\text{(Variables)} \quad \frac{x \in X}{[x] \in \Sigma^*(X)}$$

$$\text{(Operators)} \quad \frac{t_1, \dots, t_n \in \Sigma^*(X)}{o(t_1, \dots, t_n) \in \Sigma^*(X)} \quad (|o| = n)$$

- ▶ Induction principle.
- ▶ Structural recursive definitions.

# Analysis of abstract syntax

---

$\Sigma$ -algebras:

$$A, \quad \{\alpha_o : A^{|o|} \rightarrow A\}_{o \in \Sigma}$$

Homomorphisms:

$$\begin{array}{ccc} A^{|o|} & \xrightarrow{h^{|o|}} & B^{|o|} \\ \alpha_o \downarrow & & \downarrow \beta_o \\ A & \xrightarrow{h} & B \end{array} \quad (o \in \Sigma)$$

$$h(\alpha_o(a_1, \dots, a_n)) = \beta_o(h(a_1), \dots, h(a_n))$$

- ▶ Definition in a category with finite products.

# The structure of abstract syntax

---

1.  $\Sigma^*(X)$  is a  $\Sigma$ -algebra.

$$(\Sigma^* X)^{|o|} \rightarrow \Sigma^* X$$

$$t_1, \dots, t_n \mapsto o(t_1, \dots, t_n)$$

# The structure of abstract syntax

---

1.  $\Sigma^*(X)$  is a  $\Sigma$ -algebra.

$$(\Sigma^* X)^{|o|} \rightarrow \Sigma^* X$$

$$t_1, \dots, t_n \mapsto o(t_1, \dots, t_n)$$

$$\frac{X \vdash t_1 , \dots , X \vdash t_n}{X \vdash o(t_1, \dots, t_n)}$$

# The structure of abstract syntax

---

1.  $\Sigma^*(X)$  is a  $\Sigma$ -algebra.

$$(\Sigma^* X)^{|o|} \rightarrow \Sigma^* X$$

$$t_1, \dots, t_n \mapsto o(t_1, \dots, t_n)$$

$$\frac{X \vdash t_1, \dots, X \vdash t_n}{X \vdash o(t_1, \dots, t_n)}$$

2.  $[-] : X \rightarrow \Sigma^*(X)$  is a free  $\Sigma$ -algebra on  $X$ .



# Universal definition of abstract syntax

---

**Definition:**  $X \rightarrow \Sigma^*(X)$  is the free  $\Sigma$ -algebra on  $X$ .

ABSTRACT SYNTAX = FREE ALGEBRAS

- ▶ Induction principle.
- ▶ Structural recursive definitions.
- ▶ Abstraction.
- ▶ Generality.

# $\Sigma$ -algebras revisited

$$\begin{array}{c} \{A^{|o|} \xrightarrow{\alpha_o} A\}_{o \in \Sigma} \\ \hline \hline \underbrace{\left( \coprod_{o \in \Sigma} A^{|o|} \right)}_{\Sigma(A)} \xrightarrow{\alpha = [\alpha_o]_{o \in \Sigma}} A \end{array}$$

- ▶ Definition in a category with finite products and coproducts

# $\Sigma$ -algebras revisited

$$\begin{array}{c} \{A^{|\circ|} \xrightarrow{\alpha_\circ} A\}_{\circ \in \Sigma} \\ \hline \hline \underbrace{\left( \coprod_{\circ \in \Sigma} A^{|\circ|} \right)}_{\Sigma(A)} \xrightarrow{\alpha = [\alpha_\circ]_{\circ \in \Sigma}} A \end{array}$$

$$\begin{array}{ccccc} A & & \Sigma(A) & & o(a_1, \dots, a_n) \\ \downarrow \rho & \mapsto & \downarrow -[\rho] & & \downarrow \\ B & & \Sigma(B) & & o(\rho(a_1), \dots, \rho(a_n)) \end{array}$$

- ▶ Definition in a category with finite products and coproducts

# Abstract signatures

---

**Algebras for an endofunctor:**

$$A, \quad \alpha : SA \rightarrow A$$

**Homomorphisms:**

$$\begin{array}{ccc} SA & \xrightarrow{Sh} & SB \\ \alpha \downarrow & & \downarrow \beta \\ A & \xrightarrow{h} & B \end{array}$$

# Abstract syntax

---

Free  $S$ -algebras:

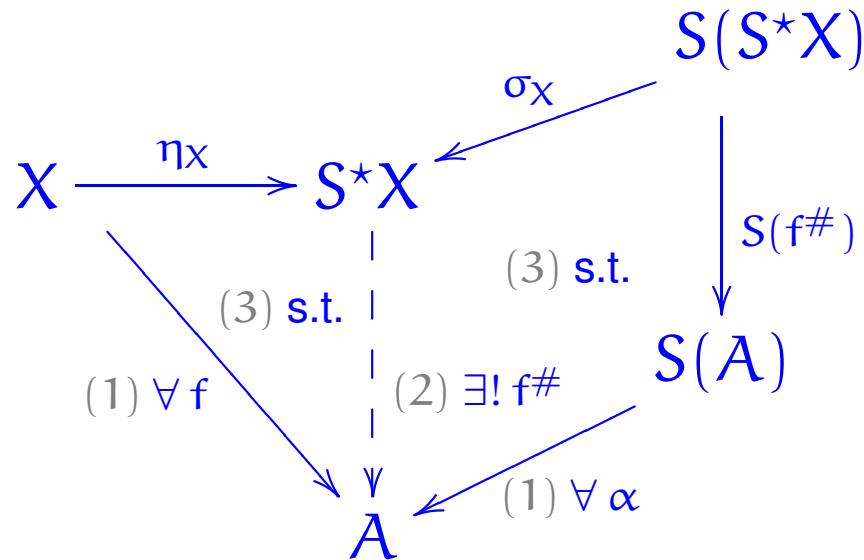
$$S^*X \cong X + S(S^*X)$$

$$\begin{array}{ccc} & & S(S^*X) \\ & \nearrow \sigma_X & \\ X & \xrightarrow{\eta_X} & S^*X \end{array}$$

# Abstract syntax

Free  $S$ -algebras:

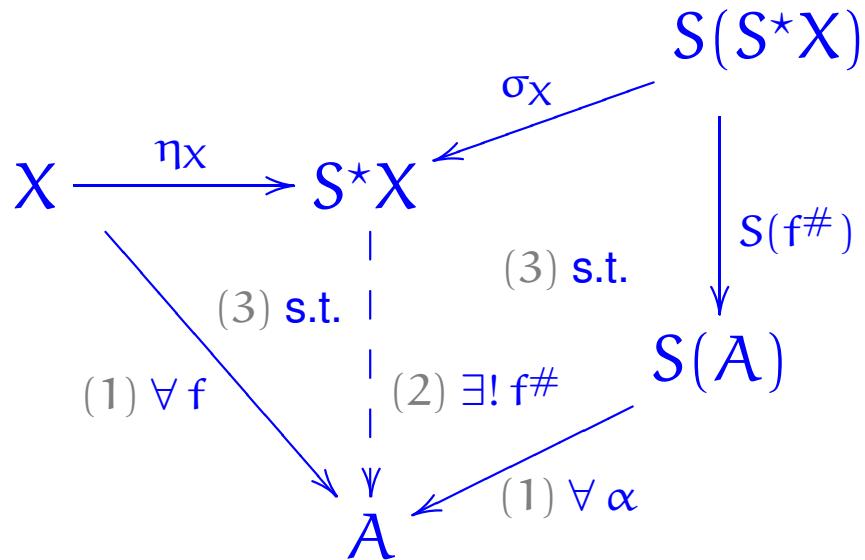
$$S^*X \cong X + S(S^*X)$$



# Abstract syntax

Free  $S$ -algebras:

$$S^*X \cong X + S(S^*X)$$



- Initial algebras are free algebras:  $S^*0$  is an initial  $S$ -algebra.
- Free algebras are initial algebras:  $S^*X = (X + S(-))^*0$ .

# Initial-algebras

---

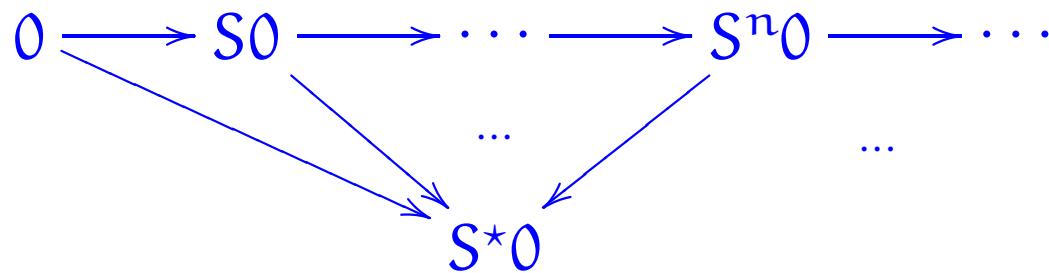
$$\blacktriangleright \Sigma^* 0 = \coprod_{n \in \mathbb{N}} \Sigma^n 0$$

# Initial-algebras

---

►  $\Sigma^*0 = \coprod_{n \in \mathbb{N}} \Sigma^n 0$

► For  $S$  finitary:



# Initial-algebra semantics

---

**Compositionality:**

$$\begin{array}{ccc} S(S^*0) & \xrightarrow{S[\_]} & S(A) \\ \sigma_0 \downarrow & \text{(3) s.t.} & \downarrow (1) \forall \\ S^*0 - \underset{(2) \exists! [\_]}{\dashrightarrow} A \end{array}$$

# Initial-algebra semantics

**Compositionality:**

$$\begin{array}{ccc} S(S^*0) & \xrightarrow{S[\_]} & S(A) \\ \sigma_0 \downarrow & \text{(3) s.t.} & \downarrow (1) \forall \\ S^*0 - \xrightarrow[\text{(2) } \exists! [\_]}{=} A & & \end{array}$$

**Induction Principle:**

$$\begin{array}{ccc} S(P) & \xrightarrow{S(\iota)} & S(S^*0) \\ \text{(2) s.t. } \exists \downarrow & & \downarrow \sigma_0 \\ P & \xrightarrow[\text{(1) } \forall \iota]{\hookrightarrow} & S^*0 \end{array} \implies \iota : P \cong S^*0$$

# Renaming

---

**Renaming:**

$$\begin{array}{ccc} X & \xrightarrow{\quad} & S^*X \\ \downarrow \rho & & \downarrow (-)[\rho] \\ Y & & S^*Y \end{array}$$

# Renaming

---

**Renaming:**

$$\begin{array}{ccc} X & \xrightarrow{\eta_X} & S^*X \\ \rho \downarrow & \mapsto & \downarrow (-)[\rho] = (\eta_Y \rho)^\# \\ Y & \xrightarrow{\eta_Y} & S^*Y \end{array}$$

# Renaming

---

**Renaming:**

$$\begin{array}{ccc} X & \xrightarrow{\eta_X} & S^*X \\ \rho \downarrow & \mapsto & \downarrow (-)[\rho] = (\eta_Y \rho)^\# \\ Y & \xrightarrow{\eta_Y} & S^*Y \end{array}$$

Functorial laws:

$$\left\{ \begin{array}{l} t[\text{id}] = t \\ t[\rho][\tau] = t[\tau\rho] \end{array} \right.$$

# Parameterised structural recursion

---

**Cartesian strength:**

$$S(X) \times P \xrightarrow{\ell} S(X \times P) : (o(x_1, \dots, x_n), p) \mapsto o((x_1, p), \dots, (x_n, p))$$

# Parameterised structural recursion

**Cartesian strength:**

$$S(X) \times P \xrightarrow{\ell} S(X \times P) : (o(x_1, \dots, x_n), p) \mapsto o((x_1, p), \dots, (x_n, p))$$

induces

$$\begin{array}{ccccc} S(S^*X) \times P & \xrightarrow{\ell} & S(S^*(X) \times P) & \xrightarrow{S(\bar{\ell})} & S(S^*(X \times P)) \\ \sigma_X \times \text{id} \downarrow & & & & \downarrow \sigma_{X \times P} \\ S^*(X) \times P & \dashrightarrow^{\bar{\ell}} & S^*(X \times P) & & \\ \eta_X \times \text{id} \uparrow & & \nearrow \eta_{X \times P} & & \\ X \times P & & & & \end{array}$$

# Parameterised structural recursion

**Cartesian strength:**

$$S(X) \times P \xrightarrow{\ell} S(X \times P) : (o(x_1, \dots, x_n), p) \mapsto o((x_1, p), \dots, (x_n, p))$$

induces

$$\begin{array}{ccccc} S(S^*X) \times P & \xrightarrow{\ell} & S(S^*(X) \times P) & \xrightarrow{S(\bar{\ell})} & S(S^*(X \times P)) \\ \sigma_X \times \text{id} \downarrow & & & & \downarrow \sigma_{X \times P} \\ S^*(X) \times P & \dashrightarrow^{\bar{\ell}} & S^*(X \times P) & & \\ \eta_X \times \text{id} \uparrow & & \nearrow \eta_{X \times P} & & \\ X \times P & & & & \end{array}$$

**NB:** The discussion to follow on renaming and substitution applies more generally to a **tensorial strength**  $S(X) \otimes P \rightarrow S(X \otimes P)$  with respect to a closed tensor product.

# Renaming

---

Definition by parameterised structural recursion:

$$\begin{array}{ccccc} S(S^*X) \times Y^X & \xrightarrow{\ell} & S(S^*(X) \times Y^X) & \xrightarrow{S(-[=])} & S(S^*Y) \\ \sigma_X \times \text{id} \downarrow & & & & \downarrow \sigma_Y \\ S^*(X) \times Y^X & \dashrightarrow & -[=] & \dashrightarrow & S^*Y \\ \eta_X \times \text{id} \uparrow & & & & \uparrow \eta_Y \\ X \times Y^X & \xrightarrow{\varepsilon} & & & Y \end{array}$$

# Substitution

---

Definition by structural recursion:

$$\begin{array}{ccccc} S(S^*X) \times A^X & \xrightarrow{\ell} & S(S^*(X) \times A^X) & \xrightarrow{S(s)} & S(A) \\ \sigma_X \times \text{id} \downarrow & & & & \downarrow \alpha \\ S^*(X) \times A^X & \dashrightarrow^s & & & A \\ \eta_X \times \text{id} \uparrow & & \varepsilon & & \end{array}$$

$X \times A^X$

The diagram illustrates the definition of substitution by structural recursion. It shows a commutative square with three main nodes:  $S(S^*X) \times A^X$ ,  $S(S^*(X) \times A^X)$ ,  $S(A)$ , and  $A$ . There are two horizontal arrows: one from  $S(S^*X) \times A^X$  to  $S(S^*(X) \times A^X)$  labeled  $\ell$ , and another from  $S(S^*(X) \times A^X)$  to  $S(A)$  labeled  $S(s)$ . There are also two vertical arrows: one from  $S(S^*X) \times A^X$  down to  $S^*(X) \times A^X$  labeled  $\sigma_X \times \text{id}$ , and one from  $S(A)$  down to  $A$  labeled  $\alpha$ . A dashed blue arrow labeled  $s$  connects  $S^*(X) \times A^X$  to  $A$ . A solid gray arrow labeled  $\varepsilon$  connects  $X \times A^X$  to  $S^*(X) \times A^X$ . Additionally, there is a vertical arrow labeled  $\eta_X \times \text{id}$  pointing up from  $X \times A^X$  to  $S^*(X) \times A^X$ .

# Substitution

Definition by structural recursion:

$$\begin{array}{ccccc} S(S^*X) \times A^X & \xrightarrow{\ell} & S(S^*(X) \times A^X) & \xrightarrow{S(s)} & S(A) \\ \sigma_X \times \text{id} \downarrow & & & & \downarrow \alpha \\ S^*(X) \times A^X & \dashrightarrow^s & & & A \\ \eta_X \times \text{id} \uparrow & & \varepsilon & & \end{array}$$

$X \times A^X$

**Obs:** Substitution generalises renaming.

$$\begin{array}{ccc} S^*(X) \times Y^X & & \\ \text{id} \times (\eta_Y)^X \downarrow & \searrow -[=] & \rightarrow S^*Y \\ S^*(X) \times (S^*Y)^X & \xrightarrow{s} & \end{array}$$

**Obs:** Renaming yields substitution.

$$\begin{array}{ccc} & \xrightarrow{-[=]} & S^*S^*Y \\ S^*(X) \times (S^*Y)^X & \xrightarrow{s} & S^*Y \end{array}$$

where

$$\begin{array}{ccc} S(S^*S^*Y) & \xrightarrow{S\mu_Y} & S(S^*Y) \\ \downarrow \sigma_{S^*Y} & & \downarrow \sigma_Y \\ S^*S^*Y & \dashrightarrow^{\mu_Y} & S^*Y \\ \uparrow \eta_Y & \nearrow id & \\ S^*Y & & \end{array}$$

# Substitution structure

---

The structure

$$S^*(X) \times (S^*Y)^X \xrightarrow{s_{X,Y}} S^*(Y) \xleftarrow{\eta_Y} Y$$

is a substitution structure for  $S^*$

# Substitution structure

---

The structure

$$S^*(X) \times (S^*Y)^X \xrightarrow{s_{X,Y}} S^*(Y) \xleftarrow{\eta_Y} Y$$

is a substitution structure for  $S^*$  in the sense of satisfying the following axioms:

1. Projection.

$$x_j[t_i/x_i] = t_j$$

$$\begin{array}{ccc} X \times (S^*Y)^X & \xrightarrow{\eta_X \times \text{id}} & S^*(X) \times (S^*Y)^X \\ & \searrow \varepsilon & \downarrow s \\ & & S^*(Y) \end{array}$$

## 2. Extensionality.

$$t[x_i/x_i] = t$$

$$\begin{array}{ccc} S^*(X) \times 1 & \xrightarrow{\text{id} \times [\eta_X]} & S^*(X) \times (S^*X)^X \\ & \searrow \cong & \downarrow s \\ & & S^*(X) \end{array}$$

### 3. Associativity.

$$(t[u_i/x_i])[v_j/y_j] = t[u_i[v_j/y_j]/x_i]$$

$$\begin{array}{ccc} S^*(X) \times (S^*Y)^X \times (S^*Z)^Y & \xrightarrow{\hspace{10em}} & S^*(X) \times (S^*(Y) \times (S^*Z)^Y)^X \\ s \times \text{id} \downarrow & & \downarrow \text{id} \times s^X \\ S^*(Y) \times (S^*Z)^Y & \xrightarrow{s} & S^*Z \xleftarrow{s} S^*(X) \times (S^*Z)^X \end{array}$$

## 4. Compatibility with renaming.

(a)

$$x_j[x_i \mapsto y_{\rho i}] = y_{\rho j}$$

$$\begin{array}{ccc} X \times Y^X & \xrightarrow{\eta_X \times \text{id}} & S^*(X) \times Y^X \\ \varepsilon \downarrow & & \downarrow -[=] \\ Y & \xrightarrow{\eta_Y} & S^*Y \end{array}$$

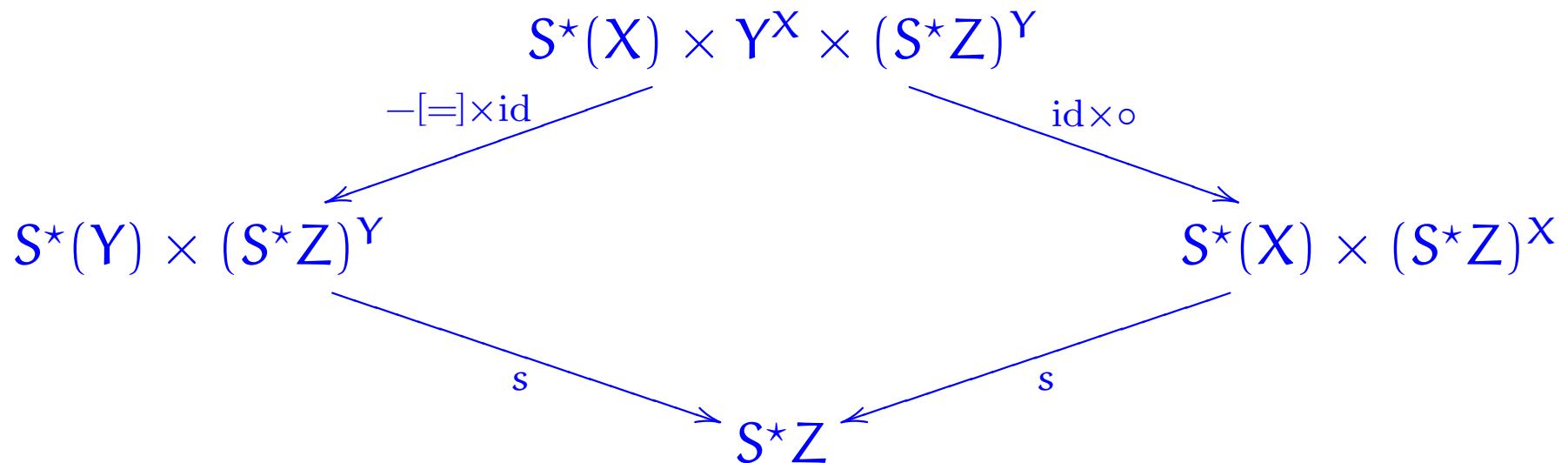
(b)

$$(t[t_i/x_i])[y_j \mapsto z_{\rho j}] = t[t_i[y_j \mapsto z_{\rho j}]/x_i]$$

$$\begin{array}{ccc} S^*(X) \times (S^*Y)^X \times Z^Y & \xrightarrow{\hspace{10cm}} & S^*(X) \times (S^*(Y) \times Z^Y)^X \\ s \times \text{id} \downarrow & & \downarrow \text{id} \times (-[=])^X \\ S^*(Y) \times Z^Y & \xrightarrow{-[=]} & S^*Z \xleftarrow[s]{} S^*(X) \times (S^*Z)^X \end{array}$$

(c)

$$(t[x_i \mapsto y_{\rho i}])[\,{}^{t_j}/y_j] = t[\,{}^{t_{\rho i}}/\chi_i]$$



## Example:

Substitution structure on the clone of operations:

- ▶  $\langle D, D \rangle(X) = [D^X, D]$
- ▶  $X \rightarrow [D^X, D] : x \mapsto \lambda v : D^X. v(x)$
- ▶  $[D^X, D] \times [D^Y, D]^X \rightarrow [D^Y, D] : \tau, f \mapsto \lambda v : D^Y. \tau(\lambda x : X. f(x)(v))$

## Example:

Substitution structure on the clone of operations:

- ▶  $\langle D, D \rangle(X) = [D^X, D]$
- ▶  $X \rightarrow [D^X, D] : x \mapsto \lambda v : D^X. v(x)$
- ▶  $[D^X, D] \times [D^Y, D]^X \rightarrow [D^Y, D] : \tau, f \mapsto \lambda v : D^Y. \tau(\lambda x : X. f(x)(v))$

**NB:** The structure

$$(S^*X)^X \times (S^*X)^X \xrightarrow{\quad} (S^*X)^X \xleftarrow{1} \\ (g, f) \longmapsto \lambda x : X. s(f(x), g) \qquad \lambda x : X. \eta_X(x) \longleftarrow ()$$

is a monoid.

# Synthesis of substitution structure

---

substitution structure  $T(X) \times (TY)^X \xrightarrow{T} TY \xleftarrow{Y}$

# Synthesis of substitution structure

---

substitution structure  $T(X) \times (TY)^X \rightarrow TY \leftarrow Y$

$\equiv$

substitution structure  $(\coprod_X T(X) \times (TY)^X) \rightarrow TY \leftarrow Y$

# Synthesis of substitution structure

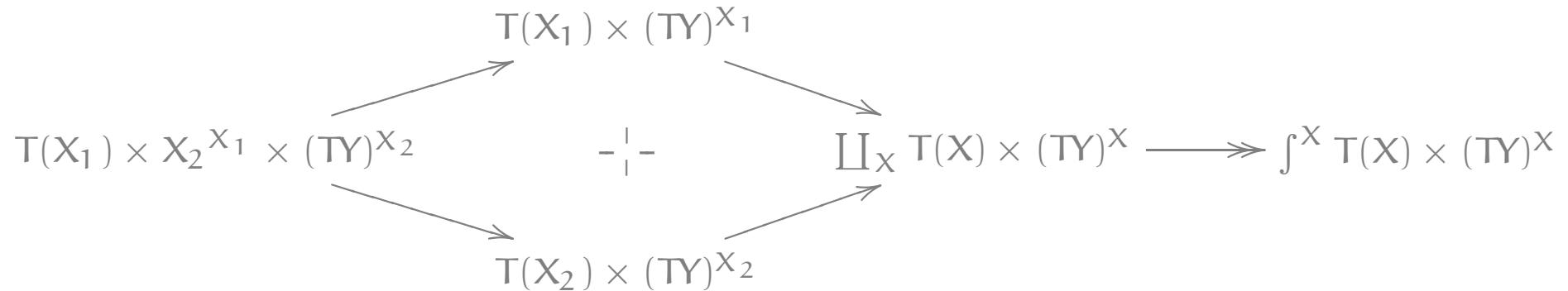
substitution structure  $T(X) \times (TY)^X \rightarrow TY \leftarrow Y$

$\equiv$

substitution structure  $(\coprod_X T(X) \times (TY)^X) \rightarrow TY \leftarrow Y$

$\equiv$

$\left( \int^X T(X) \times (TY)^X \right) \rightarrow TY \leftarrow Y$  satisfying (1–3) and (4a&b)



# Synthesis of substitution structure = monoid structure

---

substitution structure  $T(X) \times (TY)^X \rightarrow TY \leftarrow Y$

$\equiv$

$\underbrace{\left( \int^X T(X) \times (TY)^X \right)}_{(T \bullet T)(Y)} \rightarrow TY \leftarrow Y$  satisfying (1–3) and (4a&b)

$\equiv$

$T \bullet T \rightarrow T \leftarrow \text{Id}$  satisfying monoid laws [cf. (1–3)]

# Synthesis of substitution structure = monoid structure

---

substitution structure  $T(X) \times (TY)^X \rightarrow TY \leftarrow Y$

≡

$\underbrace{\left( \int^X T(X) \times (TY)^X \right)}_{(T \bullet T)(Y)} \rightarrow TY \leftarrow Y$  satisfying (1–3) and (4a&b)

≡

$T \bullet T \rightarrow T \leftarrow \text{Id}$  satisfying monoid laws [cf. (1–3)]

≡

$TT \rightarrow T \leftarrow \text{Id}$  satisfying monad laws

►  $S^*$  is the free monad on  $S$

# The finitary aspect of syntax

---

$$\Sigma^*(X) = \bigcup_{C \subseteq_{\text{fin}} X} \Sigma^*(C)$$

# The finitary aspect of syntax

---

The finitary condition

$$\Sigma^*(X) = \bigcup_{C \subseteq_{\text{fin}} X} \Sigma^*(C)$$

amounts to consider  $\Sigma^*$  as a variable set

$$\mathbb{F} \rightarrow \mathbf{Set}$$

for  $\mathbb{F}$  a category of contexts given by finite sets of variables and renamings between them.

The mathematical universe of variable sets  $\mathbf{Set}^{\mathbb{F}}$  is a natural and convenient setting for syntax and semantics.

# Variable sets

---

**Variable sets:**  $P \in \text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{P(C)\}_{C \in \mathbb{F}} \\ -[=] : P(C) \times \mathbb{F}[C, D] \rightarrow P(D) \\ \text{s.t. } p[\text{id}] = p \text{ and } (p[\rho])[\tau] = p[\tau\rho] \\ \text{for all } p \in P(C) \text{ and } C \xrightarrow{\rho} D \xrightarrow{\tau} E \end{array} \right. \quad [p \in P(C) \iff C \vdash p : P]$$

# Variable sets

---

**Variable sets:**  $P \in \text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{P(C)\}_{C \in \mathbb{F}} \\ -[=] : P(C) \times \mathbb{F}[C, D] \rightarrow P(D) \\ \text{s.t. } p[\text{id}] = p \text{ and } (p[\rho])[\tau] = p[\tau\rho] \\ \text{for all } p \in P(C) \text{ and } C \xrightarrow{\rho} D \xrightarrow{\tau} E \end{array} \right. \quad [p \in P(C) \iff C \vdash p : P]$$

**Examples:**

- ▶  $\Sigma^*$
- ▶  $\langle D, D \rangle$
- ▶  $V$ , with  $V(C) = C$  [the type of variables]

# Variable functions

---

**Variable functions:**  $f : P \rightarrow Q$  in  $\text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{f_C : P(C) \rightarrow Q(C)\}_{C \in \mathbb{F}} \\ \text{s.t. } (f_C(p))[\rho] = f_D(p[\rho]) \\ \text{for all } \rho : C \rightarrow D \end{array} \right.$$

# Variable functions

---

**Variable functions:**  $f : P \rightarrow Q$  in  $\text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{f_C : P(C) \rightarrow Q(C)\}_{C \in \mathbb{F}} \\ \text{s.t. } (f_C(p))[\rho] = f_D(p[\rho]) \\ \text{for all } \rho : C \rightarrow D \end{array} \right.$$

**Examples:**

- $\llbracket - \rrbracket : \Sigma^* \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle : (C \vdash t) \mapsto \llbracket t \rrbracket \in [\mathcal{D}^C, \mathcal{D}]$

# Variable functions

---

**Variable functions:**  $f : P \rightarrow Q$  in  $\text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{f_C : P(C) \rightarrow Q(C)\}_{C \in \mathbb{F}} \\ \text{s.t. } (f_C(p))[\rho] = f_D(p[\rho]) \\ \text{for all } \rho : C \rightarrow D \end{array} \right.$$

**Examples:**

- $\llbracket - \rrbracket : \Sigma^* \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle : (C \vdash t) \mapsto \llbracket t \rrbracket \in [\mathcal{D}^C, \mathcal{D}]$
- $f : V \rightarrow P$

# Variable functions

---

**Variable functions:**  $f : P \rightarrow Q$  in  $\text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{f_C : P(C) \rightarrow Q(C)\}_{C \in \mathbb{F}} \\ \text{s.t. } (f_C(p))[\rho] = f_D(p[\rho]) \\ \text{for all } \rho : C \rightarrow D \end{array} \right.$$

**Examples:**

- $\llbracket - \rrbracket : \Sigma^* \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle : (C \vdash t) \mapsto \llbracket t \rrbracket \in [\mathcal{D}^C, \mathcal{D}]$
- $f : V \rightarrow P$  amounts to  $x \vdash p : P$   $(V \cong \mathbb{F}[\{x\}, -])$

# Variable functions

---

**Variable functions:**  $f : P \rightarrow Q$  in  $\text{Set}^{\mathbb{F}}$

$$\left\{ \begin{array}{l} \{f_C : P(C) \rightarrow Q(C)\}_{C \in \mathbb{F}} \\ \text{s.t. } (f_C(p))[\rho] = f_D(p[\rho]) \\ \text{for all } \rho : C \rightarrow D \end{array} \right.$$

**Examples:**

- $\llbracket - \rrbracket : \Sigma^* \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle : (C \vdash t) \mapsto \llbracket t \rrbracket \in [\mathcal{D}^C, \mathcal{D}]$
- $f : V \rightarrow P$  amounts to  $x \vdash p : P$   $(V \cong \mathbb{F}[\{x\}, -])$
- $f : 1 \rightarrow P$  amounts to  $\vdash p : P$   $(1 \cong \mathbb{F}[\emptyset, -])$

# The universe of variable sets

---

**Substitution tensor product:**  $P \bullet Q$ , with

$$(P \bullet Q)(C) = \int^{D \in \mathbb{F}} P(D) \times (QC)^D$$

Laws:

- ▶  $(P \bullet Q) \bullet R \cong P \bullet (Q \bullet R)$
  
- ▶  $V \bullet P \cong P$      $P \cong P \bullet V$
  
- ▶ The substitution tensor product is closed.

# The universe of variable sets

**Substitution tensor product:**  $P \bullet Q$ , with

$$(P \bullet Q)(C) = \int^{D \in \mathbb{F}} P(D) \times (QC)^D$$

Laws:



$$(P \bullet Q) \bullet R \cong P \bullet (Q \bullet R)$$

$$(p \langle x_i \mapsto q_i \rangle_i) \langle y_j \mapsto r_j \rangle_j \mapsto p \langle x_i \mapsto q_i \langle y_j \mapsto r_j \rangle_j \rangle_i$$

$$(p \langle x_i \mapsto q_i \rangle_i) \langle y_j^{(i)} \mapsto r_j^{(i)} \rangle_{i,j} \leftarrow p \langle x_i \mapsto q_i \langle y_j^{(i)} \mapsto r_j^{(i)} \rangle_{i,j} \rangle_i$$



$$V \bullet P \cong P$$

$$P \cong P \bullet V$$

$$x_j \langle x_i \mapsto p_i \rangle \mapsto p_j$$

$$p \mapsto p \langle x_i \mapsto x_i \rangle$$

$$x \langle x \mapsto p \rangle \leftarrow p$$

$$p[x_i \mapsto y_{\rho i}] \leftarrow p \langle x_i \mapsto y_{\rho i} \rangle$$

► The substitution tensor product is closed.

► Substitution structure = monoid structure with respect to  $(V, \bullet)$ :

$$\begin{array}{ccc}
 V \bullet P & \xrightarrow{e \bullet P} & P \bullet P \\
 & \searrow \cong & \downarrow m \\
 & & P
 \end{array}$$

$$x_j[p_i/x_i] = p_j \quad p[x_i/x_i] = p$$

$$\begin{array}{ccc}
 (P \bullet P) \bullet P & \xrightarrow{P \bullet m} & P \bullet P \\
 m \bullet P \downarrow & & \downarrow m \\
 P \bullet P & \xrightarrow{m} & P
 \end{array}$$

$$(p[q_i/x_i])[r_j/y_j] = p[q_i[r_j/y_j]/x_i]$$

## **Finite products:**

- ▶  $\mathbf{1}$ , with  $\mathbf{1}(C) = 1$
- ▶  $P \times Q$ , with  $(P \times Q)(C) = P(C) \times Q(C)$

## **Example:**

- ▶  $V^n(-) \cong \mathbb{F}[\{x_1, \dots, x_n\}, -]$

## **Finite products:**

- ▶ **1**, with  $1(C) = 1$
- ▶  $P \times Q$ , with  $(P \times Q)(C) = P(C) \times Q(C)$

## **Example:**

- ▶  $V^n(-) \cong \mathbb{F}[\{x_1, \dots, x_n\}, -]$

## **Finite sums:**

- ▶ **0**, with  $0(C) = \emptyset$
- ▶  $P + Q$ , with  $(P + Q)(C) = P(C) \uplus Q(C)$

## Exponentials:

$P^Q$ , with

$P^Q(C)$

$$= \left\{ f \in \prod_{\rho: C \rightarrow D \text{ in } \mathbb{F}} [QD, PD] \right.$$

$$\left. \begin{array}{ccc} QD & \xrightarrow{f_\rho} & PD \\ \downarrow \neg [=] & & \downarrow \neg [=] \\ QE & \xrightarrow{f_{\tau\rho}} & PE \\ \text{for all } C \xrightarrow{\rho} D \xrightarrow{\tau} E \end{array} \right\}$$

Example:  $P^V$

$$P^V(C) = \left\{ f \in \prod_{\rho: C \rightarrow D \text{ in } \mathbb{F}} [D, PD] \mid \begin{array}{c} D \xrightarrow{f_\rho} PD \\ \rho \downarrow \quad \downarrow -[=] \\ E \xrightarrow{f_{\tau\rho}} PE \\ \text{for all } C \xrightarrow{\rho} D \xrightarrow{\tau} E \end{array} \right\}$$

Example:  $P^V$

$$P^V(C) = \left\{ f \in \prod_{\rho: C \rightarrow D \text{ in } \mathbb{F}} [D, PD] \mid \begin{array}{l} D \xrightarrow{f_\rho} PD \\ \rho \downarrow \quad \downarrow -[=] \\ E \xrightarrow{f_{\tau\rho}} PE \\ \text{for all } C \xrightarrow{\rho} D \xrightarrow{\tau} E \end{array} \right\}$$

For  $\rho : C \rightarrow D$  in  $\mathbb{F}$ ,  $x \in D$ ,  $\sigma : Z \cong C$ ,  $z \notin Z$  we have

$$\begin{array}{ccccc} & (Z, z) & \xrightarrow{f_{\iota\sigma^{-1}}} & P(Z, z) & \\ \iota\sigma^{-1} \nearrow & \downarrow & & \downarrow & \\ C & \xrightarrow{[\rho\sigma, z \mapsto x]} & D & \xrightarrow{f_\rho} & PD \\ \rho \searrow & & & & \\ & & & & \end{array}$$

and hence that  $f_\rho(x) = (f_{\iota\sigma^{-1}}(z))[\rho\sigma, z \mapsto x]$ .

Moreover, for all  $y \in Z$ , we have

$$\begin{array}{ccc} & (Z, z) & \xrightarrow{f_{\iota\sigma^{-1}}} P(Z, z) \\ C \begin{array}{c} \nearrow \iota\sigma^{-1} \\ \searrow \iota\sigma^{-1} \end{array} & \downarrow [\text{id}_Z, z \mapsto y] & \downarrow -[\text{id}_Z, z \mapsto y] \\ & (Z, z) & \xrightarrow{f_{\iota\sigma^{-1}}} P(Z, z) \end{array}$$

and hence that  $f_{\iota\sigma^{-1}}(y) = (f_{\iota\sigma^{-1}}(z))[\text{id}_Z, z \mapsto x]$ .

Moreover, for all  $y \in Z$ , we have

$$\begin{array}{ccc}
 & (Z, z) & \xrightarrow{f_{\iota\sigma^{-1}}} P(Z, z) \\
 C \begin{array}{c} \nearrow \iota\sigma^{-1} \\ \searrow \iota\sigma^{-1} \end{array} & \downarrow [\text{id}_Z, z \mapsto y] & \downarrow -[\text{id}_Z, z \mapsto y] \\
 & (Z, z) & \xrightarrow{f_{\iota\sigma^{-1}}} P(Z, z)
 \end{array}$$

and hence that  $f_{\iota\sigma^{-1}}(y) = (f_{\iota\sigma^{-1}}(z))[\text{id}_Z, z \mapsto x]$ .

Thus,  $f$  is completely determined by  $f_{\iota\sigma^{-1}}(z) \in P(Z, z)$ .

$$\begin{aligned}
 P^V(C) &\cong \left\{ p \in \prod_{\sigma: Z \cong C} \prod_{z \notin Z} P(Z, z) \mid p_{\sigma_1, z_1} [\sigma_2^{-1} \sigma_1, z_1 \mapsto z_2] = p_{\sigma_2, z_2} \right\} \\
 &\cong \left\{ (Z, \sigma, z, p) \mid \sigma: Z \cong C, z \notin Z, (Z, z \vdash p : P) \right\} / \sim
 \end{aligned}$$

$$\begin{aligned}
P^V(C) & \cong \left\{ p \in \prod_{\sigma: Z \cong C} \prod_{z \notin Z} P(Z, z) \mid p_{\sigma_1, z_1} [\sigma_2^{-1} \sigma_1, z_1 \mapsto z_2] = p_{\sigma_2, z_2} \right\} \\
& \cong \left\{ p \in \prod_{z \notin C} P(C, z) \mid p_x[\text{id}_C, x \mapsto y] = p_y \right\} \\
& \cong \left\{ (x)p \mid x \notin C, (C, x \vdash p : P) \right\} / \sim
\end{aligned}$$

$$\begin{aligned}
P^V(C) & \cong \left\{ p \in \prod_{\sigma: Z \cong C} \prod_{z \notin Z} P(Z, z) \mid p_{\sigma_1, z_1} [\sigma_2^{-1} \sigma_1, z_1 \mapsto z_2] = p_{\sigma_2, z_2} \right\} \\
& \cong \left\{ p \in \prod_{z \notin C} P(C, z) \mid p_x[\text{id}_C, x \mapsto y] = p_y \right\} \\
& \cong \left\{ (x)p \mid x \notin C, (C, x \vdash p : P) \right\} / \sim \\
& \cong \left\{ p \mid C, \nu_C \vdash p : P \right\}
\end{aligned}$$

$$\begin{aligned}
P^V(C) & \cong \left\{ p \in \prod_{\sigma: Z \cong C} \prod_{z \notin Z} P(Z, z) \mid p_{\sigma_1, z_1}[\sigma_2^{-1}\sigma_1, z_1 \mapsto z_2] = p_{\sigma_2, z_2} \right\} \\
& \cong \left\{ p \in \prod_{z \notin C} P(C, z) \mid p_x[\text{id}_C, x \mapsto y] = p_y \right\} \\
& \cong \left\{ (x)p \mid x \notin C, (C, x \vdash p : P) \right\} / \sim \\
& \cong \left\{ p \mid C, \nu_C \vdash p : P \right\} \\
& \cong P(C + 1)
\end{aligned}$$

# The arity of variable binding

Operator	Arity	Operation
app	$2 = (0, 0)$	$P^2 \rightarrow P$
lam	(1)	$P^V \rightarrow P$
let	(0, 1)	$P \times P^V \rightarrow P$

$$f : P^V \rightarrow P \quad \text{iff} \quad \frac{C, x \vdash p : P}{C \vdash f((x)p) : P}$$

# $\lambda$ -calculus syntax

The abstract syntax of the  $\lambda$ -calculus (up to  $\alpha$ -equivalence)  $\Lambda$  is algebraically described as the free  $\Sigma_\lambda$ -algebra on  $V$  for  $\Sigma_\lambda$  the binding signature  $\{\text{app} : (0, 0), \text{lam} : (1)\}$  interpreted in  $\text{Set}^F$ .

$$\left\{ \begin{array}{l} \text{var} : V \rightarrow \Lambda \\ \text{app} : \Lambda^2 \rightarrow \Lambda \\ \text{lam} : \Lambda^V \rightarrow \Lambda \end{array} \right.$$
$$\frac{}{\text{var}(x) : \Lambda}$$
$$\frac{C \vdash t_1 : \Lambda \quad C \vdash t_2 : \Lambda}{C \vdash \text{app}(t_1, t_2) : \Lambda}$$
$$\frac{C, x \vdash t : \Lambda}{C \vdash \text{lam}((x)t) : \Lambda}$$

$$\Lambda = \bigcup_{n \in \mathbb{N}} S_\lambda{}^n 0 \text{ for } S_\lambda = V + (-)^2 + (-)^V$$

	0	V	$S_\lambda(V)$	$S_\lambda^2(V)$	...
{}					
{x}					
{x, y}					
{x, y, z}					
:					

$$\Lambda = \bigcup_{n \in \mathbb{N}} S_\lambda^n 0 \text{ for } S_\lambda = V + (-)^2 + (-)^V$$

	0	V	$S_\lambda(V)$	$S_\lambda^2(V)$	...
{}					
{x}		$\text{var}(x)$			
{x, y}		$\text{var}(x)$ $\text{var}(y)$			
{x, y, z}		$\text{var}(z)$ ...			
:					

$$\Lambda = \bigcup_{n \in \mathbb{N}} S_\lambda^n 0 \text{ for } S_\lambda = V + (-)^2 + (-)^V$$

	0	V	$S_\lambda(V)$	$S_\lambda^2(V)$	...
{}					
{x}		$\text{var}(x)$	$\text{var}(x)$		
{x, y}		$\text{var}(x)$ $\text{var}(y)$	$\text{var}(x), \text{var}(y)$		
{x, y, z}		$\text{var}(z)$ ...	$\text{var}(z)$ ...		
:					

$$\Lambda = \bigcup_{n \in \mathbb{N}} S_\lambda^n 0 \text{ for } S_\lambda = V + (-)^2 + (-)^V$$

	0	V	$S_\lambda(V)$	$S_\lambda^2(V)$	...
{}					
{x}		$\text{var}(x)$	$\text{var}(x)$ $\text{app}(\text{var}(x), \text{var}(x))$		
{x, y}		$\text{var}(x)$ $\text{var}(y)$	$\text{var}(x), \text{var}(y)$ $\text{app}(\text{var}(x), \text{var}(y))$ ...		
{x, y, z}		$\text{var}(z)$ ...	$\text{var}(z)$ ...		
:					

$$\Lambda = \bigcup_{n \in \mathbb{N}} S_\lambda^n 0 \text{ for } S_\lambda = V + (-)^2 + (-)^V$$

	0	V	$S_\lambda(V)$	$S_\lambda^2(V)$	...
{}			$\text{lam}((x)\text{var}(x))$		
{x}		$\text{var}(x)$	$\text{var}(x)$ $\text{app}(\text{var}(x), \text{var}(x))$ ... $\text{lam}((y)\text{var}(x))$		
{x, y}		$\text{var}(x)$ $\text{var}(y)$	$\text{var}(x), \text{var}(y)$ $\text{app}(\text{var}(x), \text{var}(y))$ ... $\text{lam}((z)\text{var}(z))$		
{x, y, z}		$\text{var}(z)$ ...	$\text{var}(z)$ ...		
:					

$$\Lambda = \bigcup_{n \in \mathbb{N}} S_\lambda^n 0 \text{ for } S_\lambda = V + (-)^2 + (-)^V$$

	0	V	$S_\lambda(V)$	$S_\lambda^2(V)$	...
{ }			$\text{lam}((x)\text{var}(x))$	$\dots$ $\text{lam}((x)\text{lam}((y)\text{var}(x)))$	
{x}		$\text{var}(x)$	$\text{var}(x)$ $\text{app}(\text{var}(x), \text{var}(x))$ $\dots$ $\text{lam}((y)\text{var}(x))$	$\dots$ $\text{lam}((y)\text{app}(\text{var}(x), \text{var}(y)))$ $\text{lam}((y)\text{lam}((z)\text{var}(z)))$	
{x, y}		$\text{var}(x)$ $\text{var}(y)$	$\text{var}(x), \text{var}(y)$ $\text{app}(\text{var}(x), \text{var}(y))$ $\dots$ $\text{lam}((z)\text{var}(z))$	$\dots$	
{x, y, z}		$\text{var}(z)$ $\dots$	$\text{var}(z)$ $\dots$	$\dots$	
:					

# Internal structural induction principle

---

$\vdash \forall P \subseteq \Lambda.$

$[ (\forall v \in V. \text{var}(v) \in P)$

$\wedge (\forall t_1, t_2 \in \Lambda. t_1, t_2 \in P \Rightarrow \text{app}(t_1, t_2) \in P)$

$\wedge (\forall f \in \Lambda^V. (\forall v \in V. f(v) \in P) \Rightarrow \text{lam}(f) \in P) ]$

$\Rightarrow \Lambda \subseteq P$

# External structural induction principle

---

For  $\{P(C) \subseteq \Lambda(C)\}_{C \in \mathbb{F}}$  such that

$$\forall t \in \Lambda(C). \forall \rho : C \rightarrow D \text{ in } \mathbb{F}. t \in P(C) \Rightarrow t[\rho] \in P(D)$$

if

$$\forall C \in \mathbb{F}.$$

$$\wedge (\forall x \in C. \text{var}(x) \in P(C))$$

$$\wedge (\forall t_1, t_2 \in \Lambda(C). t_1, t_2 \in P(C) \Rightarrow \text{app}(t_1, t_2) \in P(C))$$

$$\wedge (\forall x \in \mathcal{V} \setminus C, t \in \Lambda(C, x). t \in P(C, x) \Rightarrow \text{lam}((x)t) \in P(C))$$

then

$$\forall C \in \mathbb{F}. \forall t \in \Lambda(C). t \in P(C)$$

- Rule induction on the derivation of terms

# External structural induction principle

---

For  $\{P(C) \subseteq \Lambda(C)\}_{C \in \mathbb{F}}$  such that

$$\forall t \in \Lambda(C). \forall \rho : C \rightarrow D \text{ in } \mathbb{F}. t \in P(C) \Rightarrow t[\rho] \in P(D)$$

if

$$\forall C \in \mathbb{F}.$$

$$\wedge (\forall x \in C. \text{var}(x) \in P(C))$$

$$\wedge (\forall t_1, t_2 \in \Lambda(C). t_1, t_2 \in P(C) \Rightarrow \text{app}(t_1, t_2) \in P(C))$$

$$\wedge (\forall x \in \mathcal{V} \setminus C, t \in \Lambda(C, x). t \in P(C, x) \Rightarrow \text{lam}((x)t) \in P(C))$$

$$(\forall t \in \Lambda(C + 1). t \in P(C + 1) \Rightarrow \text{lam}(t) \in P(C))$$

then

$$\forall C \in \mathbb{F}. \forall t \in \Lambda(C). t \in P(C)$$

- ▶ Rule induction on the derivation of terms

# Substitution tensorial strength

---

►  $P \bullet (-)$ :

$$(P \bullet (Q)) \bullet R \xrightarrow{\cong} P \bullet (Q \bullet R)$$

# Substitution tensorial strength

---

►  $P \bullet (-)$ :

$$(P \bullet (Q)) \bullet R \xrightarrow{\cong} P \bullet (Q \bullet R)$$

►  $(-) + (=)$ :

$$(P + Q) \bullet R \rightarrow (P \bullet R) + (Q \bullet R)$$

$$\iota(p)\langle x_i \mapsto r_i \rangle \mapsto \iota(p\langle x_i \mapsto r_i \rangle)$$

$$\jmath(q)\langle x_i \mapsto r_i \rangle \mapsto \jmath(q\langle x_i \mapsto r_i \rangle)$$

# Substitution tensorial strength

---

►  $P \bullet (-)$ :

$$(P \bullet (Q)) \bullet R \xrightarrow{\cong} P \bullet (Q \bullet R)$$

►  $(-) + (=)$ :

$$(P + Q) \bullet R \rightarrow (P \bullet R) + (Q \bullet R)$$

$$\iota(p)\langle x_i \mapsto r_i \rangle \mapsto \iota(p\langle x_i \mapsto r_i \rangle)$$

$$\jmath(q)\langle x_i \mapsto r_i \rangle \mapsto \jmath(q\langle x_i \mapsto r_i \rangle)$$

►  $(-) \times (=)$ :

$$(P \times Q) \bullet R \rightarrow (P \bullet R) \times (Q \bullet R)$$

$$(p, q)\langle x_i \mapsto r_i \rangle \mapsto (p\langle x_i \mapsto r_i \rangle, q\langle x_i \mapsto r_i \rangle)$$

►  $(-)^V$ :

Every  $\nu : V \rightarrow R$ , induces

$$(P^V) \bullet R \rightarrow (P \bullet R)^V$$

$$C \vdash ((x)p) \langle x_i \mapsto r_i \rangle \mapsto (y)(p \langle x_i \mapsto r_i[\iota], x \mapsto r \rangle)$$

for  $\iota : C \hookrightarrow (C, y)$

and  $r = \nu_{(C, y)}(y)$

►  $(-)^V$ :

Every  $\nu : V \rightarrow R$ , induces

$$(P^V) \bullet R \rightarrow (P \bullet R)^V$$

$$C \vdash ((x)p) \langle x_i \mapsto r_i \rangle \mapsto (y)(p \langle x_i \mapsto r_i[\iota], x \mapsto r \rangle)$$

for  $\iota : C \hookrightarrow (C, y)$

and  $r = \nu_{(C, y)}(y)$

**Pointed tensorial strength:**

$$\ell_{X, (p: I \rightarrow P)} : S(X) \otimes P \longrightarrow S(X \otimes P)$$

# Algebras with substitution

---

For an endofunctor  $S$  with a pointed tensorial strength  $\ell$  on a monoidal category  $(I, \otimes)$ , define  $S\text{-Mon}$  as the category with objects  $X$  equipped with an  $S$ -algebra structure  $\sigma : SX \rightarrow X$  and a monoid structure  $X \otimes X \xrightarrow{m} X \xleftarrow{e} I$  that are compatible in the sense that

$$\begin{array}{ccccc} S(X) \otimes X & \xrightarrow{\ell_{X,e}} & S(X \otimes X) & \xrightarrow{Sm} & SX \\ \downarrow \sigma \otimes X & & & & \downarrow \sigma \\ X \otimes X & \xrightarrow{m} & X & & \end{array}$$

Morphisms are both  $S$ -algebra and monoid homomorphisms.

**Example:** For  $\mathcal{D}^{\mathcal{D}} \triangleleft \mathcal{D}$ , the canonical monoid structure on  $\langle \mathcal{D}, \mathcal{D} \rangle$  with respect to the substitution tensor product has a  $\Sigma_{\lambda}\text{-Mon}$  algebra structure as follows:

- ▶ Application.

$$\langle \mathcal{D}, \mathcal{D} \rangle \times \langle \mathcal{D}, \mathcal{D} \rangle \rightarrow \langle \mathcal{D}, \mathcal{D}^{\mathcal{D}} \rangle \times \langle \mathcal{D}, \mathcal{D} \rangle \cong \langle \mathcal{D}, \mathcal{D}^{\mathcal{D}} \times \mathcal{D} \rangle \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle$$

- ▶ Abstraction.

$$\langle \mathcal{D}, \mathcal{D} \rangle^V \cong \langle \mathcal{D}, \mathcal{D}^{\mathcal{D}} \rangle \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle$$

# Initial algebra semantics with substitution

---

If the tensor product is closed, then the free  $\textcolor{blue}{S}$ -algebra on  $\mathbf{I}$  is an initial  $\textcolor{blue}{S}\text{-Mon}$  algebra.

# Initial algebra semantics with substitution

---

If the tensor product is closed, then the free  $\textcolor{blue}{S}$ -algebra on  $I$  is an initial  $\textcolor{blue}{S}\text{-Mon}$  algebra.

- The monoid structure on  $S^*I$  is induced by parameterised structural recursion and amounts to substitution.

**Example:**  $\Lambda = (\Sigma_\lambda)^*V$

$$C \vdash s(\text{var}(x_j), \langle x_i \mapsto t_i \rangle) = t_j$$

$$C \vdash s(\text{app}(t, t'), \langle x_i \mapsto t_i \rangle) = \text{app}(s(t, \langle x_i \mapsto t_i \rangle), s(t', \langle x_i \mapsto t_i \rangle))$$

$$\begin{aligned} C \vdash s(\text{lam}((x)t), \langle x_i \mapsto t_i \rangle) \\ = \text{lam}\left((y)s\left(t, \langle x_i \mapsto t_i, x \mapsto \text{var}(y) \rangle\right)\right) \text{ for } y \notin C \end{aligned}$$

## **Example:**

For  $\mathcal{D}^{\mathcal{D}} \triangleleft \mathcal{D}$  there exists a unique  $\Sigma_{\lambda}\text{-Mon}$  homomorphism  
 $\Lambda \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle$ .

## Example:

For  $\mathcal{D}^\mathcal{D} \triangleleft \mathcal{D}$  there exists a unique  $\Sigma_\lambda$ -**Mon** homomorphism  
 $\Lambda \rightarrow \langle \mathcal{D}, \mathcal{D} \rangle$ .

More generally:

If the tensor product is closed, then the free  $S_X$ -algebra  
on  $I$  for  $S_X = X \otimes (-) + S(-)$  is a free **S-Mon** algebra  
on  $X$ .

**Obs:** The free  $L_X$ -algebra on  $I$  for  $L_X = X \otimes (-)$  is a free  
monoid on  $X$ .

# Second-order abstract syntax

---

## Term metavariables as variable sets.

- ◆ A term metavariable is specified as follows:

$$n \vdash M \quad (n \in \mathbb{N})$$

# Second-order abstract syntax

---

## Term metavariables as variable sets.

- ◆ A term metavariable is specified as follows:

$$n \vdash M \quad (n \in \mathbb{N})$$

- ◆ A set of term metavariables  $X$  induces the variable set  $\bar{X}$  as follows:

$$C \vdash M[\rho_1, \dots, \rho_n] : \bar{X}$$

for all  $(n \vdash M) \in X$  and  $\rho : [n] \rightarrow C$ .

# Second-order abstract syntax

= Free algebras with substitution

---

**Example:** The initial  $(V + \bar{X} \bullet (-) + \Sigma_\lambda(-))$ -algebra  $\mathcal{M}_\lambda(\bar{X})$  is the free  $\Sigma_\lambda$ -Mon algebra on  $\bar{X}$  and can be syntactically presented as follows:

$$\frac{}{C \vdash \text{var}(x) : \mathcal{M}_\lambda(\bar{X})} \quad (x \in C)$$

$$\frac{C \vdash t_1 : \mathcal{M}_\lambda(\bar{X}) \quad C \vdash t_2 : \mathcal{M}_\lambda(\bar{X})}{C \vdash \text{app}(t_1, t_2) : \mathcal{M}_\lambda(\bar{X})}$$

$$\frac{C, x \vdash t : \mathcal{M}_\lambda(\bar{X})}{C \vdash \text{lam}((x)t) : \mathcal{M}_\lambda(\bar{X})}$$

$$\frac{C \vdash t_1 : M_\lambda(\bar{X}) , \dots , C \vdash t_n : M_\lambda(\bar{X})}{C \vdash M[t_1, \dots, t_n] : M_\lambda(\bar{X})} ((n \vdash M) \in X)$$

Two sample terms:

$$\text{app}\left(\text{lam}\left((x)M[\text{var}(x)]\right), N[]\right) \quad M[N[]]$$

$$\frac{C \vdash t_1 : \mathcal{M}_\lambda(\bar{X}), \dots, C \vdash t_n : \mathcal{M}_\lambda(\bar{X})}{C \vdash M[t_1, \dots, t_n] : \mathcal{M}_\lambda(\bar{X})} ((n \vdash M) \in X)$$

Two sample terms:

$$\text{app}\left(\text{lam}\left((x)M[\text{var}(x)]\right), N[]\right) \quad M[N[]]$$

► The monoid multiplication

$$\mathcal{M}_\lambda(\bar{X}) \bullet \mathcal{M}_\lambda(\bar{X}) \longrightarrow \mathcal{M}_\lambda(\bar{X})$$

extends the substitution of terms to term metavariables as follows:

$$s(M[t_1, \dots, t_n], \langle x_i \mapsto u_i \rangle) = M[s(t_1, \langle x_i \mapsto u_i \rangle), \dots, s(t_n, \langle x_i \mapsto u_i \rangle)]$$

# Second-order substitution

---

## Cartesian strength:

►  $P \times (-)$ :

$$(P \times (Q)) \times R \xrightarrow{\cong} P \times (Q \times R)$$

►  $(-) + (=)$ :

$$(P + Q) \times R \xrightarrow{\cong} (P \times R) + (Q \times R)$$

►  $(-)^V$ :

$$(P^V) \times R \rightarrow (P \times R)^V$$

$$(f, r) \mapsto \lambda v : V. (f(v), r)$$

►  $P \bullet (-)$ :

$$(P \bullet (Q)) \times R \rightarrow P \bullet (Q \times R)$$

$$(p \langle x_i \mapsto q_i \rangle, r) \mapsto p \langle x_i \mapsto (q_i, r) \rangle$$

►  $P \bullet (-)$ :

$$(P \bullet (Q)) \times R \rightarrow P \bullet (Q \times R)$$

$$(p\langle x_i \mapsto q_i \rangle, r) \mapsto p\langle x_i \mapsto (q_i, r) \rangle$$

►  $(-) \bullet (=)$ :

Every  $\nu : V \rightarrow Q$  induces

$$(P \bullet Q) \times R \rightarrow (P \times R) \bullet (Q \times R)$$

$$C = (z_j)_j \vdash (p\langle x_i \mapsto q_i \rangle_i, r) \mapsto (p[i], r[j])\langle x_i \mapsto (q_i, r), z_j \mapsto (\nu_C(z_j), r) \rangle_{i,j}$$

where  $(x_i)_i \xrightarrow{\iota} (x_i, z_j)_{i,j} \xleftarrow{\jmath} (z_j)_j$

Consider a cartesian closed and monoidal category with a strength

$$(X \otimes Y) \times Z \xrightarrow{\ell_{X, (y:I \rightarrow Y), Z}} (X \times Z) \otimes (Y \times Z)$$

and an endofunctor  $S$  on it equipped with a cartesian strength.

Let  $\mathcal{M}X$  be an initial  $(I + X \otimes (-) + S(-))$ -algebra.

Then,  $\mathcal{M}$  admits a renaming structure given as follows:

$$\begin{array}{ccc}
& I + (X \times Y^X) \otimes (\mathcal{M}(X) \times Y^X) + S(\mathcal{M}(X) \times Y^X) & \\
& \nearrow & \searrow id + (\varepsilon \otimes r) + Sr \\
(I + X \otimes \mathcal{M}(X) + S(\mathcal{M}X)) \times Y^X & & I + Y \otimes \mathcal{M}(Y) + S(\mathcal{M}Y) \\
\downarrow [e_X, a_X, \sigma_X] \times id & & \downarrow [e_Y, a_Y, \sigma_Y] \\
\mathcal{M}(X) \times Y^X & \xrightarrow{r} & \mathcal{M}Y
\end{array}$$

Furthermore, if the tensor product is closed, for  $S$  equipped with a pointed tensorial strength,  $\mathcal{M}X$  is a free  $S\text{-Mon}$  algebra on  $X$  and  $\mathcal{M}$  admits a (meta) substitution structure given as follows:

$$\begin{array}{ccc}
 & I + (X \times (\mathcal{M}Y)^X) \otimes (\mathcal{M}(X) \times (\mathcal{M}Y)^X) + S(\mathcal{M}(X) \times (\mathcal{M}Y)^X) & \\
 & \nearrow & \searrow id + (\varepsilon \otimes m) + Sm \\
 (I + X \otimes \mathcal{M}(X) + S(\mathcal{M}X)) \times (\mathcal{M}Y)^X & & I + \mathcal{M}(Y) \otimes \mathcal{M}(Y) + S(\mathcal{M}Y) \\
 \downarrow [e_X, a_X, \sigma_X] \times id & & \downarrow [e_Y, s_Y, \sigma_Y] \\
 \mathcal{M}(X) \times (\mathcal{M}Y)^X & \xrightarrow{m} & \mathcal{M}Y
 \end{array}$$

**Example:** For

$$X = \{n_i \vdash M_i\}_i$$

consider

$$x_1, \dots, x_n \vdash t : \mathcal{M}_\lambda(\bar{X})$$

and

$$\left\{ x_1, \dots, x_n, x_1^{(i)}, \dots, x_{n_i}^{(i)} \vdash t_i : \mathcal{M}_\lambda(\bar{Y}) \right\}_i$$

and let

$$\Theta = \left\{ M_i(x_1^{(i)}, \dots, x_{n_i}^{(i)}) := t_i \right\}_i$$

Then, we have

$$x_1, \dots, x_n \vdash m(t, \Theta) : \mathcal{M}_\lambda(\bar{Y})$$

given as follows:

- ▶  $m(\text{var}(x), \Theta) = \text{var}(x)$
- ▶  $m(\text{app}(t_1, t_2), \Theta) = \text{app}(m(t_1, \Theta), m(t_2, \Theta))$
- ▶  $m(\text{lam}((x)t), \Theta) = \text{lam}((x)m(t, \Theta))$
- ▶  $m(M_i[u_1, \dots, u_{n_i}], \Theta) = s(t_i, \langle x_j^{(i)} \mapsto m(u_j, \Theta), x_k \mapsto \text{var}(x_k) \rangle_{j,k})$

given as follows:

- ▶  $m(\text{var}(x), \Theta) = \text{var}(x)$
- ▶  $m(\text{app}(t_1, t_2), \Theta) = \text{app}(m(t_1, \Theta), m(t_2, \Theta))$
- ▶  $m(\text{lam}((x)t), \Theta) = \text{lam}((x)m(t, \Theta))$
- ▶  $m(M_i[u_1, \dots, u_{n_i}], \Theta) = s(t_i, \langle x_j^{(i)} \mapsto m(u_j, \Theta), x_k \mapsto \text{var}(x_k) \rangle_{j,k})$

For instance,

$$\begin{aligned} m(\text{app}(\text{lam}((x)M[\text{var}(x)]), N[]), \{M(z) := t, N() := u\}) \\ = \text{app}(\text{lam}((x)s(t, \langle z \mapsto \text{var}(x) \rangle)), u) \end{aligned}$$

and

$$\begin{aligned} m(M[N[]], \{M(z) := t, N() := u\}) \\ = s(t, \langle z \mapsto u \rangle) \end{aligned}$$

# Developments and programme

---

- ★ Mathematical theory of substitution

- single variable and simultaneous substitution
- homogeneous and heterogeneous substitution
- specification and programs for substitution
- cartesian, linear, mixed, *etc.* substitution

- ★ Reduction of type theory to algebra

- algebraic syntax and semantics
- admissibility of cut
- NBE (Normalisation By Evaluation)
- dependent sorts
- higher-order types

- ★ Equational and inequational theories

- rewriting
  - modularity

- ★ Structural combinatorics

- species of structures

# Assorted bibliography

---

- [1] M. Fiore, G. Plotkin and D. Turi. Abstract syntax and variable binding. In *Proceedings of the 14<sup>th</sup> Annual IEEE Symposium on Logic in Computer Science (LICS'99)*, pages 193–202. IEEE, Computer Society Press, 1999.
- [2] M. Fiore and D. Turi. Semantics of name and value passing. In *Proceedings of the 16<sup>th</sup> Annual IEEE Symposium on Logic in Computer Science (LICS'01)*, pages 93–104. IEEE, Computer Society Press, 2001.
- [3] M. Fiore. Semantic analysis of normalisation by evaluation for typed lambda calculus. In *Proceedings of the 4<sup>th</sup> International*

*Conference on Principles and Practice of Declarative Programming (PPDP 2002)*, pages 26–37. ACM Press, 2002.

- [4] M. Miculan and I. Scagnetto. A Framework for Typed HOAS and Semantics. In *Proceedings of the 5<sup>th</sup> International Conference on Principles and Practice of Declarative Programming (PPDP 2003)*, pages 184–194. ACM Press, 2003.
- [5] N. Ghani and T. Uustalu. Explicit Substitutions and Higher-Order Syntax. In *Proceedings of the 2<sup>nd</sup> ACM SIGPLAN Workshop on Mechanized Reasoning about Languages with Variable Binding (MERLIN'03)*, pages 1–7, ACM Press, 2003.

- [6] M. Hamana. Free  $\Sigma$ -monoids: A higher-order syntax with metavariables. In *Proceedings of the 2<sup>nd</sup> Asian Symposium on Programming Languages and Systems (APLAS 2004)*, volume 3202 of Lecture Notes in Computer Science, pages 348–363. Springer-Verlag, 2005.
- [7] M. Fiore. Mathematical models of computational and combinatorial structures. Invited address for Foundations of Software Science and Computation Structures (FOSSACS 2005) at the European Joint Conferences on Theory and Practice of Software (ETAPS), volume 3441 of Lecture Notes in Computer Science, pages 25-46. Springer-Verlag, 2005.

- [8] J. Power and M. Tanaka. A unified category-theoretic formulation of typed binding signatures. In *Proceedings of the 3<sup>rd</sup> ACM SIGPLAN workshop on Mechanized reasoning about languages with variable binding*, pages 13–24. ACM Press, 2005.
- [9] M. Fiore. On the structure of substitution. Invited address for the 22<sup>nd</sup> Mathematical Foundations of Programming Semantics Conference (MFPS XXII), DISI, University of Genova (Italy), 2006. Slides available from [⟨http://www.cl.cam.ac.uk/~mpf23/talks/⟩](http://www.cl.cam.ac.uk/~mpf23/talks/).