

Mechanized semantics, sixth lecture

Eternity is long... Semantics for divergence: domain theory and coinductive approaches

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In languages without input/output (IMP, purely functional):

- No practical interest.
- Useful for theory: computability, program equivalences.

In real-world computing:

- Many programs are supposed to never stop! (OS kernels, Web servers, control-command codes, ...)
- Reactive divergence: finite computation between successive I/O operations.

Negatively:

• Diverging programs are those programs that do not terminate, neither normally nor by going wrong.

Positively, or even constructively: (parts 2 and 3)

• Coinductive characterizations of divergence. (Termination is fundamentally inductive..)

At the same time we formalize termination: (parts 1 and 3)

- One of the main goals of denotational semantics.
- Classically (domain theory) or constructively (partiality monad)

From a bounded interpreter to a denotational semantics

As seen in the first lecture: it is impossible to define the semantics of an IMP command as a function

store "before" \rightarrow store "after"

since this function would be partial (non-termination).

However, we can define an approximation of this function by bounding *a priori* the recursion depth, using a fuel parameter of type nat.

. . .

A Some s' result mean that c is guaranteed to terminate on s'. A None result is unconclusive: either c diverges, either we need more fuel to finish the execution of c.

These results form a monad (\approx error monad):

Definition ret {A: Type} (v: A) := Some v.

```
Definition bind {A B: Type} (x: option A) (f: A -> option B) :=
match x with None => None | Some v => f v end.
```

```
Fixpoint cinterp (fuel: nat) (c: com) (s: store) : option store :=
 match fuel with
  | 0 => None
  | S n =>
      match c with
      | SKTP => Some s
      | ASSIGN x a => Some (update x (aeval a s) s)
      | SEQ c1 c2 => bind (cinterp n c1 s) (cinterp n c2)
      | IFTHENELSE b c1 c2 =>
          cinterp n (if beval b s then c1 else c2) s
      | WHILE b c1 =>
          if beval b s
          then bind (cinterp n c1 s) (cinterp n (WHILE b c1))
          else Some s
      end
```

end.

The order $r \sqsubseteq r'$, read "r' is more defined than r"

None
$$\sqsubseteq r'$$
 Some(v) \sqsubseteq Some(v)

A crucial property: the interpreter is monotonically increasing. (More fuel \Rightarrow more defined result.)

$$i \leq j \Rightarrow \text{ cinterp} i s c \sqsubseteq \text{cinterp} j s c$$

What happens if "fuel goes to infinity" ?

For a command c that terminates when started in store s:



For a command c that diverges when started in store s:



Every increasing sequence $f: nat \rightarrow option A$ has a limit lim f, equal to its supremum, and characterized by

$$\exists i, \forall j, i \leq j \Rightarrow f j = \lim f$$

This claim is not constructive: the Coq development (file Divergence.v) uses

- the excluded middle axiom to show that the limit exists (either $\forall i, f \ i = \text{None} \text{ or } \exists i, f \ i \neq \text{None}$);
- an axiom of description to define the limit lim f as a function of the sequence f.

Define [c], the denotation of command *c*, as the limit of *c*'s executions by the reference interpreter:

$$\llbracket c \rrbracket s \stackrel{def}{=} \lim (ext{fun } n \Rightarrow ext{cinterp } n \ c \ s)$$

This definition satisfies the expected equations:

$$[[skip]] s = Some(s)$$

$$[[x := a]] s = Some(s\{x \leftarrow [[a]]] s\})$$

$$[[c_1; c_2]] s = bind([[c_1]]] s)[[c_2]]$$

$$[[if b then c_1 else c_2]] s = \begin{cases} [[c_1]] s & if [[b]]] s = true \\ [[c_2]] s & if [[b]]] s = false \end{cases}$$

$$\llbracket \texttt{while } b \texttt{ do } c \rrbracket \texttt{s} = \begin{cases} \texttt{bind} (\llbracket c \rrbracket \texttt{s}) \llbracket \texttt{while } b \texttt{ do } c \rrbracket & \texttt{if} \llbracket b \rrbracket \texttt{s} = \texttt{true} \\ \texttt{Some}(\texttt{s}) & \texttt{if} \llbracket b \rrbracket \texttt{s} = \texttt{false} \end{cases}$$

Furthermore, [[while b do c]] is the smallest function $F : \text{store} \rightarrow \text{option store solution of the equation}$

$$F s = \begin{cases} \texttt{bind} (\llbracket c \rrbracket s) F & \texttt{if} \llbracket b \rrbracket s = \texttt{true} \\ \texttt{Some}(s) & \texttt{if} \llbracket b \rrbracket s = \texttt{false} \end{cases}$$

Example: [[while true do c]] s = None because the function fun s => None is a solution of the equation.

$$\begin{array}{ll} \mathsf{c}/\mathsf{s} \Downarrow \mathsf{s}' & \Rightarrow & \llbracket \mathsf{c} \rrbracket \, \mathsf{s} = \operatorname{Some}(\mathsf{s}') \\ \llbracket \mathsf{c} \rrbracket \, \mathsf{s} = \operatorname{Some}(\mathsf{s}') & \Rightarrow & \operatorname{cinterp} n \, \mathsf{c} \, \mathsf{s} = \operatorname{Some}(\mathsf{s}') \ \Rightarrow & \mathsf{c}/\mathsf{s} \Downarrow \mathsf{s}' \end{array}$$

(Proofs in file Divergence.v.)

A domain is a set A equipped with a partial order \sqsubseteq

 $x \sqsubseteq x$ (reflexive) $x \sqsubseteq y \land y \sqsubseteq z \Rightarrow x \sqsubseteq z$ (transitive) $x \sqsubseteq y \land y \sqsubseteq x \Rightarrow x = y$ (antisymmetric)

that is ω -complete: every increasing sequence has a supremum.

$$u_0 \sqsubseteq u_1 \sqsubseteq \cdots \sqsubseteq u_n \sqsubseteq \cdots \Rightarrow \operatorname{sup} u \in A$$

(In the literature, this is often called an ω -cpo or just a cpo.)

Examples of domains

Flat domain (\approx value of a base type)

0 1 2 3 4 5 …

Pointed domain (\approx computation of a base type)

Lazy pairs (pprox the OCaml type bool lazy * bool lazy)



Stream of Booleans:



Combinations of domains:

- "Pointing" (adding a minimal element): $D_{\perp} = D \uplus \{\perp\}$
- Product $D_1 \times D_2$, sum $D_1 + D_2$.
- Continuous functions $[D_1 \rightarrow D_2]$.

A function $f : D_1 \rightarrow D_2$ is Scott-continuous if it preserves the supremum of increasing sequences:

 $\sup f(u_i) = f(\sup u_i)$

All continuous functions are increasing. The converse is false.

Example: the function finite stream $\mapsto 0$, infinite stream $\mapsto 1$ is increasing yet discontinuous. Besides, it is not computable.

Theorem (Scott's fixed point theorem)

If D is a pointed domain, any continuous function $F : D \to D$ has a least fixed point $\mu F = \sup_n F^n(\bot)$.

To interpret recursive data types as domains, we need to solve (up to isomorphism) equations between domains, such as:

- Integer lists: $D_{list} \simeq \{nil\} + Nat \times D_{list}$
- Pure lambda-terms: $\textit{D}_{\infty} \simeq [\textit{D}_{\infty}
 ightarrow \textit{D}_{\infty}]$

This can be done if we use algebraic domains, also called Scott domains, where every element is the limit of a sequence of compact elements (\approx finitely described elements).

(See Plotkin's lecture notes in references.)

Coinductive predicates and natural semantics for divergence

Predicates defined by axioms and inference rules

$$P(ext{skip}, ext{s})$$
 $rac{c/s
ightarrow c'/s' \quad P(c', s')}{P(c, ext{s})}$

Up to now, we have interpreted such definitions of predicates in an inductive manner:

- as the least fixed point of an operator;
- in terms of finite derivations.

Another interpretation exists, the coinductive interpretation:

- as the greatest fixed point of an operator;
- in terms of infinite or finite derivations.

$$P(ext{skip}, ext{s})$$
 $rac{c/s
ightarrow c'/s' \quad P(c', s')}{P(c, ext{s})}$

To this axiom and this inference rule, we associate the operator

$$F(X) = \{(\texttt{skip}, \texttt{s})\} \cup \{(\texttt{c}, \texttt{s}) \mid \texttt{c}/\texttt{s} \rightarrow \texttt{c}'/\texttt{s}' \land (\texttt{c}', \texttt{s}') \in X\}$$

Intuitively: F(X) is the set of all facts that we can deduce by assuming the facts X and by applying one axiom or one inference rule.

The *F* operator is increasing, therefore it has a least fixed point and a greatest fixed point.

$$F(X) = \{(\texttt{skip}, \texttt{s})\} \cup \{(\texttt{c}, \texttt{s}) \mid \texttt{c}/\texttt{s} \rightarrow \texttt{c}'/\texttt{s}' \land (\texttt{c}', \texttt{s}') \in X\}$$

The smallest fixed point is

$$\mu F \stackrel{def}{=} \bigcap \{X \mid F(X) \subseteq X\}$$

It is the limit of the increasing sequence \emptyset , $F(\emptyset), \ldots, F^n(\emptyset), \ldots$

In the example, $F^n(\emptyset)$ is the set of (c, s) that reduce to skip in at most n reductions. Hence, μF is the set of (c, s) that terminate $(c/s \xrightarrow{*} skip/s')$.

- A derivation = a tree with axioms at the leaves and inference rules at the nodes.
- The inductive interpretation μF corresponds to facts that are conclusion of a derivation tree where all branches are finite.
- (If all rules have finitely many premises, these derivations are the finite trees.)



P(c,s) can be derived by a tree of height *n* if and only if c/s reduces to skip in *n* step.

$$F(X) = \{(\texttt{skip}, \texttt{s})\} \cup \{(\texttt{c}, \texttt{s}) \mid \texttt{c}/\texttt{s} \rightarrow \texttt{c}'/\texttt{s}' \land (\texttt{c}', \texttt{s}') \in X\}$$

The greatest fixed point is

$$\nu F \stackrel{def}{=} \bigcup \{X \mid X \subseteq F(X)\}$$

It's the limit of the decreasing sequence $U, F(U), \ldots, F^n(U), \ldots$ where U is the universe of all pairs (c, s).

In the example, ν *F* comprises

- all the (c,s) that terminate: $c/s \stackrel{*}{\rightarrow} \texttt{skip}/s'$
- all the (c,s) that diverge: $c/s \stackrel{*}{\to} c_n/s_n \to \cdots$

The coinductive interpretation νF corresponds to the facts that are conclusion of a finite or infinite derivation tree.

An example of infinite derivation:

$$c_n/s_n \rightarrow c_{n+1}/s_{n+1}$$

$$\frac{\frac{c_{2}/s_{2} \rightarrow c_{3}/s_{3}}{P(c_{3},s_{3})}}{\frac{P(c_{2},s_{2})}{P(c_{1},s_{1})}}$$

Divergence, co-inductively

$$\frac{c/s \rightarrow c'/s' \quad \text{div}(c',s')}{\text{div}(c,s)}$$

Inductive interpretation: always false! (there are no axioms...)

Coinductive interpretation (double horizontal line): characterizes the existence of an infinite sequence of reductions.

In Coq:

```
CoInductive div: com * state -> Prop :=
  | div_intro: forall c s c' s',
    red (c, s) (c', s') -> div (c', s') ->
    div (c, s).
```

By definition of the greatest fixed point $\nu F = \bigcup \{X \mid X \subseteq F(X)\}$, any X such that $X \subseteq F(X)$ is contained in νF .

Hence: if the predicate $X : \text{com} * \text{ store} \rightarrow \text{Prop satisfies}$

$$\forall c, \forall s, \ X \ (c,s) \Rightarrow \exists c', \exists s', \ c/s \rightarrow c'/s' \land X \ (c',s')$$

then X(c,s) implies div (c,s).



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then X(c,s) implies div (c,s).











In the first lecture, we introduced natural semantics as a way to structure the reductions to skip.

For example, if command *c*; *c*′ terminates, its reduction sequence must have the following shape:

$$\begin{split} (c;c')/s \to (c_1;c')/s_1 \to \cdots \to (\texttt{skip};c')/s' \\ & \to c'/s' \to \cdots \to \texttt{skip}/s'' \end{split}$$

This structure is reflected by the natural semantics rule for sequences:

$$\frac{c/s \Downarrow s' \quad c'/s' \Downarrow s''}{c; c'/s \Downarrow s''}$$

Likewise, if command c; c' diverges, its infinite sequence of reductions must have one of the following two shapes:

$$(c; c')/s \to \cdots \to (c_n; c')/s_n \to \cdots$$
 (1)

$$(c;c')/s \stackrel{*}{\rightarrow} (\text{skip};c')/s' \rightarrow c'/s' \rightarrow \cdots c'_n/s'_n \rightarrow \cdots$$
 (2)

In case (1): *c* diverges, *c'* does not get to run. In case (2): *c* terminates, then *c'* diverges.

Let's try to reflect this structure as rules for a predicate $c/s \uparrow \uparrow$, "command *c* diverges started in store *s*".

Natural semantics for divergence

c ₁ /s ↑		$c_1/s \Downarrow s'$	c_2/s'	_
		c ₁ ; c ₂ /s ↑		
$\llbracket b \rrbracket s = true c_1/s \Uparrow$		[[b]] s = :	false	$c_2/s \Uparrow$
(if <i>b</i> then c_1 else c_2)/s \uparrow		(if b the	n C ₁ else	e c₂)/s ↑
	[[b]] s = true	c/s ↑		
(while $b \text{ do } c)/s \Uparrow$				
[[b]] s = true	$c/s \Downarrow s'$	(while b do	⊳ c)/s′ ↑	_
(while $b \text{ do } c$)/s \uparrow				

The loop $c \stackrel{def}{=}$ while true do x := x + 1 diverges.

$$\begin{array}{c} x := x + 1/s_2 \Downarrow s_3 & \vdots \\ \hline \\ x := x + 1/s_1 \Downarrow s_2 & c/s_2 \Uparrow \\ \hline \\ \hline \\ c/s_0 \Uparrow \end{array}$$

(Where $s_i = s_0[x \leftarrow s_0(x) + i]$.)

Theorem

If $c/s \Uparrow then \ c/s$ reduces infinitely.

Proof (constructive).

We show $c/s \Uparrow \Rightarrow \exists c', \exists s', c/s \xrightarrow{+} c'/s' \land c'/s' \Uparrow$. We conclude by the second coinduction principle applied to the set $X = \{(c,s) \mid c/s \Uparrow \}.$

Theorem

If c/s reduces infinitely, then c/s \Uparrow .

Proof (classical).

By coinduction and case analysis on the shape of reduction sequences. We need excluded middle: either c/s reduces finitely to skip, or c/s reduces infinitely.

In lecture #2, we used natural semantics to show the correctness of the compiled code for a terminating IMP command:

```
Lemma compile_com_correct_terminating:

forall s c s', cexec s c s' ->

forall C pc \sigma, code_at C pc (compile_com c) ->

transitions C

(pc, \sigma, s)

(pc + codelen (compile_com c), \sigma, s').
```

An induction on the derivation of cexec s c s' led to a rather simple proof.

Paradise lost: this simple proof did not extend to diverging commands.

Paradise regained: natural coinductive semantics leads to a rather simple proof of compiler correctness for diverging commands.

Consider the set of machine configurations corresponding to diverging commands:

 $X \stackrel{def}{=} \{ (pc, \sigma, s) \mid \exists c, \ c/s \Uparrow \land \texttt{code_at} \ C \ pc \ (\texttt{compile_com} \ c) \}$

We show that this set is "productive":

$$\forall (\mathsf{pc}, \sigma, \mathsf{s}) \in \mathsf{X}, \ \exists (\mathsf{pc}', \sigma', \mathsf{s}') \in \mathsf{X}, \ (\mathsf{pc}, \sigma, \mathsf{s}) \xrightarrow{+} (\mathsf{pc}', \sigma', \mathsf{s}')$$

We conclude that, when started in a configuration that belongs to *X*, the machine performs infinitely many transitions.

Partiality monad and coinductive reference interpreter

(V. Capretta, General recursion via coinductive types, LMCS(1), 2005)

```
CoInductive delay (A: Type) : Type :=

| now: A -> delay A

| later: delay A -> delay A.
```

delay A represents computations that produce a value of type A if they terminate.

The later constructor materializes one step of computation.

The delay type being coinductive, we can have infinitely many steps of computation, that is, a non-terminating computation.

CoFixpoint bottom (A: Type) : delay A := later (bottom A).

Partial computations

```
CoInductive delay (A: Type) : Type :=
| now: A -> delay A
| later: delay A -> delay A.
```

Terminating computations are characterized inductively; diverging computations, coinductively.

We can define general recursive functions with delay result type, provided all recursive calls are guarded by later.

- Fixpoint remainder (a b: nat) : nat := if a <? b then a else remainder (a - b) b.</p>
- CoFixpoint remainder (a b: nat) : delay nat := if a <? b then now a else remainder (a - b) b.</p>
- CoFixpoint remainder (a b: nat) : delay nat := if a <? b then now a else later (remainder (a - b) b).</p>

Recursive function definition (Fixpoint):

- The argument has an inductive type.
- Guard condition: f x can call f y recursively provided the argument y is a strict sub-term of the argument x.

Corecursive function definition (CoFixpoint):

- The result has a coinductive type.
- Productivity condition: f x can call f y recursively provided the result f y is a strict sub-term of the result f x. (f x is f y wrapped inside one or several constructors.)

CoFixpoint remainder (a b: nat) : delay nat := if a <? b then now a else later (remainder (a - b) b).

We can reason about termination or divergence of the function after its definition.

```
Theorem remainder_Euclid:
  forall a b, b > 0 ->
  exists q r, terminates (remainder a b) r \lambda r < b \lambda a = b*q+r.</pre>
```

```
Theorem remainder_divergence:
forall a, diverges (remainder a 0).
```

A constructive definition of equitermination:

In classical logic, this is equivalent to

 $(\exists v, \text{terminates } x v \land \text{terminates } y v) \lor (\text{diverges } x \land \text{diverges } y)$

but it is stronger in constructive logic. (No need to "guess in advance" whether the two computations terminate or diverge.)

The delay type is a monad, with constructor now as the ret operation, and the bind operation defined as the sequencing of two computations.

```
CoFixpoint bind (A B: Type)

(a: delay A) (f: A -> delay B) : delay B :=

match a with

| now v => later (f v)

| later a' => later (bind a' f)

end.
```

We have the expected properties for a sequencing, e.g. bind a f diverges iff a diverges or a terminates with v and f v diverges.

The three monadic laws hold up to observational equivalence (equi, written \approx from now on):

 $\begin{array}{l} \texttt{bind} (\texttt{now} \ \texttt{v}) \ f \approx f \ \texttt{v} \\\\ \texttt{bind} \ \texttt{a} \ \texttt{now} \approx \texttt{a} \\\\ \texttt{bind} \ (\texttt{bind} \ \texttt{a} \ f) \ \texttt{g} \approx \texttt{bind} \ \texttt{a} \ (\texttt{fun} \ \texttt{x} \Rightarrow \texttt{bind} \ (f \ \texttt{x}) \ \texttt{g}) \end{array}$

Furthermore,

bind $a f \approx$ bind a' f' if $a \approx a'$ and $\forall x, f x \approx f' x$

An interpreter in the partiality monad

Using the partiality monad, let's try to write a general recursive interpreter for IMP.

```
CoFixpoint cinterp (c: com) (s: store) : delay store :=
  match c with
  | SKIP => now s
  | ASSIGN x a => now (update x (aeval a s) s)
  | SEQ c1 c2 => bind (cinterp c1 s) (cinterp c2)
  | IFTHENELSE b c1 c2 =>
      later (cinterp (if beval b s then c1 else c2) s)
  | WHILE b c =>
      if beval b s then bind (cinterp c s) (cinterp (WHILE b c))
                   else ret s
  end.
```

Problem: this definition is not productive!

(An application of N. A. Danielsson's technique, *Beating the Productivity Checker* Using Embedded Languages, 2010)

We can work around the problem by presenting the monad as a coinductive type whose constructors are the monad operations: ret, bind, and later.

```
CoInductive mon: Type -> Type :=

| Ret: forall {A: Type}, A -> mon A

| Later: forall {A: Type}, mon A -> mon A

| Bind: forall {A B: Type}, mon A -> (A -> mon B) -> mon B
```

In other words: the free monad (plus later).

In other words: an abstract syntax for Moggi's monadic metalanguage (plus later).

```
CoFixpoint cinterp (c: com) (s: store) : mon store :=
  match c with
  | SKTP => Ret s
  | ASSIGN x a => Ret (update x (aeval a s) s)
  | SEQ c1 c2 => Bind (cinterp c1 s) (cinterp c2)
  | IFTHENELSE b c1 c2 =>
      Later (cinterp (if beval b s then c1 else c2) s)
  | WHILE b c =>
      if beval b s then Bind (cinterp c s) (cinterp (WHILE b c))
                   else Ret s
  end.
```

This definition is productive!

A term of type mon A describes a computation of type delay A.

Note the use "on the fly" of the first and third monadic laws.

Productivity is surprising



The productivity condition is a syntactic approximation. It is not compositional. The run function can be viewed as a denotational semantics for the monadic metalanguage:

run: syntax (type mon A) \rightarrow meaning (type delay A).

Equivalences satisfied by run:

 $\begin{array}{ll} \operatorname{run}\left(\operatorname{Later} m\right)\approx\operatorname{later}(\operatorname{run} m) & (\operatorname{Later} \operatorname{denotation})\\ \operatorname{run}\left(\operatorname{Bind} m f\right)\approx\operatorname{bind}\left(\operatorname{run} m\right)\left(\operatorname{fun} x\Rightarrow\operatorname{run}\left(f\,x\right)\right)\\ & (\operatorname{Bind} \operatorname{denotation})\\ \operatorname{run}\left(\operatorname{Bind}\left(\operatorname{Ret} v\right)f\right)\approx\operatorname{run}\left(f\,v\right) & (\operatorname{first} \operatorname{monadic} \operatorname{law})\\ \operatorname{run}\left(\operatorname{Bind} m\operatorname{Ret}\right)\approx\operatorname{run} m & (\operatorname{second} \operatorname{monadic} \operatorname{law})\\ \operatorname{run}\left(\operatorname{Bind}\left(\operatorname{Bind} m f\right)g\right)\approx\operatorname{run}\left(\operatorname{Bind} m\left(\operatorname{fun} x\Rightarrow\operatorname{Bind}\left(f\,x\right)g\right)\right)\\ & (\operatorname{third} \operatorname{monadic} \operatorname{law})\end{array}$

Define the denotation of a command c as

 $[c] s \stackrel{def}{=} run (cinterp c s)$ (with type delay store)

This definition satisfies the expected equations:

$$\begin{bmatrix} [skip] & s \approx now(s) \\ & \llbracket x := a \rrbracket s \approx now(s \{ x \leftarrow \llbracket a \rrbracket s \}) \\ & \llbracket c_1; c_2 \rrbracket s \approx bind (\llbracket c_1 \rrbracket s) \llbracket c_2 \rrbracket \\ \\ \begin{bmatrix} \text{if } b \text{ then } c_1 \text{ else } c_2 \rrbracket s \approx \begin{cases} \llbracket c_1 \rrbracket s & \text{if } \llbracket b \rrbracket s = \text{true} \\ & \llbracket c_2 \rrbracket s & \text{if } \llbracket b \rrbracket s = \text{false} \end{cases} \\ \\ \\ \begin{bmatrix} \text{while } b \text{ do } c \rrbracket s \approx \begin{cases} bind (\llbracket c \rrbracket s) \llbracket while b \text{ do } c \rrbracket & \text{if } \llbracket b \rrbracket s = \text{false} \end{cases} \\ \\ \\ \hline now(s) & \text{if } \llbracket b \rrbracket s = \text{false} \end{cases}$$

Summary

Coinduction is a fundamental tool to reason about divergence, from the trivial (infinite sequences of reductions) to the subtle (natural semantics for divergence, partiality monad).

Denotational semantics require an appropriate mathematical structure. Classically, it's Scott domains; constructively, it could be the quotient type delay A/\approx .

For the time being, the approaches outlined in this lecture do not scale to "big languages" as well as transition semantics.

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