Foundational Nonuniform (Co)datatypes for Higher-Order Logic

Jasmin Christian Blanchette*, Fabian Meier†, Andrei Popescu‡, and Dmitriy Traytel‡
*Vrije Universiteit Amsterdam, The Netherlands, and Inria & LORIA, Nancy, France
†Institute of Information Security, Department of Computer Science, ETH Zürich, Switzerland
‡School of Science and Technology, Middlesex University London, UK

Abstract—Nonuniform (or “nested” or “heterogeneous”) datatypes are recursively defined types in which the type arguments vary recursively. They arise in the implementation of finger trees and other efficient functional data structures. We show how to reduce a large class of nonuniform datatypes and codatatypes to uniform types in higher-order logic. We programmed this reduction in the Isabelle/HOL proof assistant, thereby enriching its specification language. Moreover, we derive (co)induction and (co)recursion principles based on a weak variant of parametricity.

I. INTRODUCTION

Inductive (or algebraic) datatypes—often simply called datatypes—are a central feature of typed functional programming languages and of most proof assistants. A simple example is the type of finite lists over a type parameter \( \alpha \), specified as follows (in a notation inspired by Standard ML):

\[
\text{α list} = \text{Nil} | \text{Cons α (α list)}
\]

A datatype is uniform if the recursive occurrences of the datatype have the same arguments as the definition itself, as is the case for list; otherwise, the datatype is nonuniform. Nonuniform types are also called “nested” or “heterogeneous” in the literature. Powerlists are nonuniform:

\[
\text{α plist} = \text{Nil} | \text{Cons (α × α) plist}
\]

The type \( \text{α plist} \) is freely generated by the constructors \( \text{Nil} : \text{α plist} \) and \( \text{Cons} : \text{α → (α × α) plist → α plist} \). When \( \text{Cons} \) is applied several times, the product type constructors (\( × \)) accumulate to create pairs, pairs of pairs, and so on. Thus, any powerlist of length 3 will have the form

\[
\text{Cons α (Cons (b₁, b₂) (Cons ((c₁₁, c₁₂), (c₂₁, c₂₂)) Nil))}
\]

Nonuniform datatypes arise in the implementation of efficient functional data structures, such as finger trees [24], and they underlie Okasaki’s bootstrapping and implicit recursive slowdown optimization techniques [35]. Yet many programming languages and proof assistants lack proper support for such types. For example, even though Standard ML allows nonuniform definitions, a typing restriction disables interesting recursive definitions. As for proof assistants, Agda, Coq, Lean, and Matita allow nonuniform definitions, but they are built into the logic (dependent type theory), with all the risks and limitations that this entails [12, Section 1].

For systems based on higher-order logic such as HOL4, HOL Light, and Isabelle/HOL, no dedicated support exists for nonuniform types, probably because they are widely believed to lie beyond the logic’s ML-style polymorphism. Building on the well-understood metatheory of uniform datatypes (Section II), we disprove this folklore belief by showing how to define a large class of nonuniform datatypes by reduction to their uniform counterparts within higher-order logic (Section III).

Our constructions allow variations along several axes. They cater for mutual definitions:

\[
\text{α ptree} \triangleq \text{Node α (α pforest)}
\]

\[
\text{α pforest} = \text{Nil} | \text{Cons (α ptree) ((α × α) pforest)}
\]

They allow multiple recursive occurrences, with different type arguments:

\[
\text{α plist'} = \text{Nil} | \text{Cons₁ α (α plist')} | \text{Cons₂ α ((α × α) plist')}
\]

They allow multiple type arguments, which may all vary:

\[
\text{(α, β) tplist} = \text{Nil β} | \text{Cons α ((α × α, unit + β) tplist)}
\]

Moreover, they allow the presence of datatypes, codatatypes, and other well-behaved type constructors both around the type and around the recursive type occurrences:

\[
\text{α stree} \triangleq \text{Node α ((α fset) stree) fset}
\]

Here, \( fset \) is the type constructor associated with finite sets.

Furthermore, the constructions can be extended to coinductive (or coalgebraic) datatypes—codatatypes. Codatatypes are generally non-well-founded, allowing infinite values. They are often used to model the datatypes of languages with a nonstrict evaluation strategy, such as Haskell, and they can be very convenient for some proof tasks. The codatatype definition

\[
\text{α pstream} \triangleq \text{Cons α ((α × α) pstream)}
\]

introduces “powerstreams,” with infinite values of the form

\[
\text{Cons α (Cons (b₁, b₂) (Cons ((c₁₁, c₁₂), (c₂₁, c₂₂)) ...))}
\]

Unlike dependent type theory, higher-order logic requires all types to be nonempty (inhabited). To introduce a new type, we must both provide a construction in terms of existing types and prove its nonemptiness. For example, a datatype specification analogous to the \( pstream \) codatatype above should be rejected. In previous work [13], we showed how to decide the nonemptiness problem for uniform types—including mutually recursive specifications and arbitrary mixtures of datatypes.

For the sake of simplicity, we only present the constructions for datatypes, omitting the corresponding codatatypes. We refer the reader to the full version of the paper for the proofs and a detailed discussion.
and codatatypes—by viewing the definitions as a grammar, with the defined types as nonterminals. Here, we extend this result to nonuniform types (Section IV). This is achieved by encoding the nonuniformities in a generalized grammar, which can decide nonemptiness of the sets that arise in the construction of the nonuniform types.

Once a datatype has been introduced, users want to define functions that recur on it and carry out proofs by induction involving these functions—and similarly for codatatypes. A uniform datatype definition generates an induction theorem and a recursor. Nonuniform datatypes pose a challenge, because neither the induction theorem nor the recursor can be expressed in higher-order logic, due to its limited polymorphism. For example, induction for list should look like this:

\[
\forall Q. \ Q \text{Nil} \land (\forall x. \ Q \text{xs} \Rightarrow Q (\text{Cons} \ x \ \text{xs})) \Rightarrow \forall y. \ Q \ ys
\]

However, this formula is not typable in higher-order logic, because the second and third occurrences of the variable \( Q \) need different types: \((\alpha \times \alpha)\) list \(\rightarrow\) bool versus \(\alpha\) list \(\rightarrow\) bool. Our solution is to replace the theorem by a procedure parameterized by a polymorphic property \(\varphi\); \(\alpha\) list \(\rightarrow\) bool (Section V). For plist, the procedure transforms a proof goal of the form \(\varphi\ a\ ys\) into two subgoals \(\varphi\ a\ \text{Nil}\) and \(\forall x.\, x\, \text{xs}\Rightarrow\varphi\ a\ (\text{Cons} \ x \ \text{xs})\). A weak form of parametricity is needed to recursively transfer properties about \(\varphi\ a\) to properties about \(\varphi\ a\times\alpha\). Our approach to (co)recursion is similar (Section VI).

All the constructions and derivations are formalized in the Isabelle/HOL proof assistant and form the basis of high-level commands that let users define nonuniform types and (co)recursive functions on them and reason (co)inductively about them (Section VII). The commands are foundational: Unlike all previous implementations of nonuniform types in proof assistants, they require no new axioms or extensions of the logic. An example involving \(\lambda\)-terms in De Bruijn notation demonstrates the practical potential of our approach.

Our main contributions are the following: First, we designed a reduction of nonuniform datatypes to uniform datatypes within the relatively weak higher-order logic, including recursion and induction. Second, we adapted the constructions to support codatatypes as well, exploiting dualities. Third, we coded the reduction in a proof assistant based on higher-order logic, yielding a first implementation of nonuniform datatypes without dependent types. The formal proofs, the source code, and the examples are publicly available [11].

II. PRELIMINARIES

A. Higher-Order Logic

We consider classical higher-order logic (HOL) with Hilbert choice, the axiom of infinity, and rank-1 polymorphism. HOL is based on Church’s simple type theory [14]. It is the logic of Gordon’s original HOL system [18] and of its many successors and emulators, notably HOL4, HOL Light, and Isabelle/HOL.

Primitive types are built from type variables \(\alpha, \beta, \ldots\), a type bool of Booleans, and an infinite type ind using the function type constructor; thus, \((\text{bool} \rightarrow \alpha) \rightarrow \text{ind}\) is a type. Primitive constants are equality \(= : \alpha \rightarrow \alpha \rightarrow \text{bool}\), the Hilbert choice operator, and 0 and Suc for \text{ind}. Terms are built from constants and variables by means of typed \(\lambda\)-abstraction and application.

A polymorphic type is a type \(T\) that contains type variables. If \(T\) is polymorphic with variables \(\vec{\alpha} = (\alpha_1, \ldots, \alpha_n)\), we write \(\vec{\alpha}\ T\) instead of \(T\). Formulas are closed terms of type bool. The logical connectives and quantifiers on formulas are defined using the primitive constants—e.g., True as \((\lambda x. \text{bool}. x) = (\lambda x. \text{bool}. x)\). Polymorphic formulas are thought of as universally quantified over their type variables. For example, \(\forall x \alpha. x = x\) really means \(\forall x. \forall \alpha. x = x\). Nested type quantifications such as \((\forall \alpha. \ldots) \Rightarrow (\forall \alpha. \ldots)\) are not expressible. We will express concepts in standard mathematical language whenever the expressiveness of HOL is not a concern.

The only primitive mechanism for defining new types in HOL is type definition: For any existing type \(\vec{\alpha}\ T\) and predicate \(P : \vec{\alpha}\ T \rightarrow \text{bool}\) such that \(\{x : \vec{\alpha}\ T \mid P\ x\}\) is nonempty, we can introduce a type \(\vec{\alpha}\ S\) isomorphic to \(\{x : \vec{\alpha}\ T \mid P\ x\}\). Upon meeting the definition \(\vec{\alpha}\ S = \{x : \vec{\alpha}\ T \mid P\ x\}\), the system requires the user to prove \(\exists x : \vec{\alpha}\ T.\, P\ x\) and then introduces the type \(\vec{\alpha}\ S\), the projection \(\text{Rep}_{\vec{\alpha}} : \vec{\alpha}\ S \rightarrow \vec{\alpha}\ T\), and the embedding \(\text{Abs}_{\vec{\alpha}} : \vec{\alpha}\ T \rightarrow \vec{\alpha}\ S\) such that \(\forall x.\, P\ (\text{Rep}_{\vec{\alpha}} x)\), \(\forall x.\, \text{Abs}_{\vec{\alpha}} (\text{Rep}_{\vec{\alpha}} x) = x\), and \(\forall x.\, P\ x \Rightarrow \text{Rep}_{\vec{\alpha}} (\text{Abs}_{\vec{\alpha}} x) = x\). The nonemptiness check is necessary because all types in HOL must be nonempty. This is a well-known design decision connected to the presence of Hilbert choice in HOL [18], [36].

Thus, unlike dependent type theory, HOL does not have (co)datatypes as primitives. However, datatypes [5], [19], [20], [31], [40] and, more recently, codatatypes [40] are supported via derived specification mechanisms. Users can write fixpoint definitions an ML-style syntax, and the system defines the type using nonrecursive type definitions (ultimately appealing to \text{ind} and \text{→}); defines the constructors and related operators; and proves characteristic properties, such as injectivity of constructors, induction theorems, and recursion theorems.

B. Bounded Natural Functors

We take uniform (co)datatypes for granted, thus assuming the availability of types such as \(\alpha\ \text{list}\). Often it is useful to think in terms of type constructors. For example, \text{list} is a type constructor in one variable, sum (+) and product types (×) are binary type constructors. Most type constructors are not only operators on types but have a richer structure, that of bounded natural functors (BNFs) [40].

We write \([n]\) for \\{1, \ldots, n\} and \(\alpha\ \text{set}\) for the powertype of \(\alpha\), consisting of sets of \(\alpha\) elements; it is isomorphic to \(\alpha \rightarrow\) bool. An \(n\)-ary BNF is a tuple \(F = (F, \text{map}_F, (\text{set}_F)^{[n]}|\alpha|, \text{bd}_F)\), where

- \(F\) is an \(n\)-ary type constructor;
- \(\text{map}_F : (\alpha_1 \rightarrow \beta_1) \times \cdots \times (\alpha_n \rightarrow \beta_n) \rightarrow \vec{\alpha} F \rightarrow \vec{\beta} F\);
- \(\text{set}_F : \vec{\alpha} F \rightarrow \alpha_i\ \text{set}\) for \(i \in [n]\);
- \(\text{bd}_F\) is an infinite cardinal number satisfying the following properties:
  - \((F, \text{map}_F)\) is an \(n\)-ary weak-pullback-preserving functor;
  - each \(\text{set}_F\) is a natural transformation between the functor \((F, \text{map}_F)\) and the powerset functor \((\text{set}, \text{image})\);
  - \(\forall i \in [n].\, \forall a \in \text{set}_F x.\, f_i a = g_i a\Rightarrow\text{map}_F \vec{\alpha} F x = \text{map}_F \vec{\beta} F x;
  - \(\forall i \in [n].\, \forall x : \vec{\alpha} F.\, |\text{set}_F x| \leq \text{bd}_F\).
We regard the elements of $\sigma F$ as containers filled with “content” from $\alpha_i$—the set $\text{set}_F$ functions return the $\alpha_i$-content (known to be bounded by $\text{bd}_F$) and $\text{map}_F \bar{f}$ replaces content via $\bar{f}$. For example, $\text{list}$ is a unary BNF, where $\text{map}_{\text{list}}$ is the standard map function, $\text{set}_{\text{list}}$ collects all the list’s elements, and $\text{bd}_{\text{list}}$ is $\mathbb{R}_0$.

BNFs are closed under (least and greatest) fixpoint definitions [40] and the nonemptiness problem for BNFs constructed by basic functors, fixpoints and composition is decidable [13]. These crucial properties enable a modular approach to mixing and nesting uniform (co)datatypes and deciding if a high-level specification yields valid, i.e., nonempty, HOL types. In addition, BNFs display predicator and relator deciding if a high-level specification yields valid, i.e., nonempty, functions lifting of the relations associated with the component types.

We regard the elements of $\alpha$ out a subset that is isomorphic to the desired nonuniform datatype. Before describing the reduction of nonuniform (co)data-types to uniform (co)datatypes in full generality, we start with a simple example that conveys the main idea. The reduction proceeds by defining a larger uniform datatype and carving out a subset that is isomorphic to the desired nonuniform type. To prove that the constructed type is the intended one, we establish the isomorphism between the defined nonuniform type and the right-hand side of its specification.

A. Introductory Example

Okasaki [35, Section 10.1.1] sketches how to mimic nonuniform datatypes using uniform datatypes. He approximates powerlists by the following definitions:

datatype $\alpha sh = \text{Leaf} \alpha | \text{Node} (\alpha sh \times \alpha sh)$

datatype $\alpha raw = \text{Nil}_0 | \text{Cons}_0 (\alpha sh) (\alpha raw)$

The type $\alpha raw$ corresponds to lists of binary trees $\alpha sh$. It is larger than powerlists in two ways: (1) $\alpha sh$ allows non-full binary trees, which cannot arise in a powerlist; (2) $\alpha raw$ imposes no restriction on the depth of the binary trees, whereas a powerlist has elements successively of depth 0, 1, 2, ... .

Okasaki considers these mismatches as one of two disadvantages of the above encoding. The other disadvantage is that the encoding requires users to insert Leaf and Node coercions to convert an element such as $(\alpha, b), (\alpha, d) : (\alpha \times \alpha) \times (\alpha \times \alpha)$ to Node $(\text{Node} (\alpha sh a), \text{Node} (\alpha sh b), \text{Node} (\text{Leaf} c, \text{Leaf} d)) : \alpha sh$. We overcome the first disadvantage by using a type definition.

From the raw type, we select exactly those inhabitants that correspond to powerlists. To achieve this, we define two predicates, $\text{ok} : \alpha sh \to \alpha raw \to \text{bool}$ and $\text{sh} : \alpha sh \to \alpha raw \to \text{bool}$, as the least predicates satisfying the following rules:

\[
\begin{align*}
\text{ok} n \text{Nil}_0 & \iff \text{ok} n \text{Nil}_0 \\
\text{sh} n \text{Nil}_0 & \iff \text{sh} n \text{Nil}_0
\end{align*}
\]

The predicate $\text{ok} n r$ checks whether $r$ is a full binary tree of depth $n$, and $\text{sh} n r$ checks that the first element of a list is a full tree of depth $n$, the second is of depth $n+1$, and so on. The desired type starts at depth 0: $\alpha \text{plist} = \{xs : \alpha raw \mid \text{ok} 0 xs\}$.

The second disadvantage is addressed by hiding the internal construction of $\alpha \text{plist}$. We define the powerlist constructors $\text{Nil} : \alpha \text{plist}$ and $\text{Cons} : \alpha \to (\alpha \times \alpha) \alpha \text{plist} \to \alpha \text{plist}$ in terms of $\text{Nil}_0$ and $\text{Cons}_0$. These definitions will require some additional machinery on the raw type.

B. Datatypes

We assume that the desired nonuniform datatype has a single constructor. Separating constructors are easy to introduce as syntactic sugar [10, Section 4]. For powerlists, the single constructor definition is $\alpha \text{plist} = \text{Ctor}_{\text{plist}} (\text{unit} + \alpha \times (\alpha \times \alpha) \alpha \text{plist})$. It corresponds to finding a least solution (up to isomorphism) to the type fixpoint equation $\alpha \text{plist} \simeq (\alpha, (\alpha F) \alpha \text{plist}) G$ with $\alpha F = \alpha \times \alpha$ and $(\alpha, \beta) G = \text{unit} + \alpha \times \beta$.

We generalize this setting in multiple dimensions. First, we support a simultaneous definition of an arbitrary number $i$ of mutual nonuniform datatypes. For example, $\text{ptree}$ and $\text{pforest}$ from Section I are given by the system of fixpoint equations

\[
\begin{align*}
\alpha \text{ptree} & \simeq (\alpha, (\alpha F_1) \alpha \text{ptree}, (\alpha F_2) \alpha \text{pforest}) G_1 \\
\alpha \text{pforest} & \simeq (\alpha, (\alpha F_3) \alpha \text{ptree}, (\alpha F_4) \alpha \text{pforest}) G_2
\end{align*}
\]

where $(\alpha, \beta, \gamma) G_1 = \alpha \times \gamma, (\alpha, \beta, \gamma) G_2 = \text{unit} + \beta \times \gamma, \alpha F_1 = \alpha F_2 = \alpha F_3 = \alpha, \text{and } \alpha F_4 = \alpha \times \alpha$. We assume that all $G$s depend on the same type variables, even though the dependence may be spurious, as in the case of $G_1$ and $\beta$.

Second, a type may occur several times on the right-hand side of a definition. We support an arbitrary number $j$ of such occurrences. This feature is used in the $\text{plists}$ type: $\alpha \text{plists} \simeq (\alpha, (\alpha F_1) \alpha \text{plists}, (\alpha F_2) \alpha \text{plists}) G$, where $(\alpha, \beta, \gamma) G = \text{unit} + \alpha \times \beta + \alpha \times \gamma, \alpha F_1 = \alpha F_2 = \alpha F_3 = \alpha, \text{and } \alpha F_4 = \alpha \times \alpha$. And $G$s depend on the same type variables, even though the dependence may be spurious, as in the case of $G_1$ and $\beta$.

Finally, the construction supports an arbitrary number $k$ of type parameters. The parameter changes may differ for different type parameters, such as in the $\text{tlists}$ example:

\[
(\alpha, \beta) \text{tlists} \simeq (\alpha, (\alpha F_1, (\alpha, \beta) F_2) \text{tlists}) G,
\]

where $(\alpha, \beta, \gamma) G = \beta + \alpha \times \gamma, (\alpha, \beta) F_1 = \alpha \times \alpha, \text{and } (\alpha, \beta) F_2 = \text{unit} + \beta$. As before for the $G$s, all $F$s may depend on all type parameters of the specified nonuniform type.

In the sequel, the indices $i, j$, and $k$ range over $[i]$, $[j]$, and $[k]$, respectively. Moreover, we abbreviate indexed sequences using a horizontal bar; for example, $\overline{\alpha}$ stands for $\alpha_1, \ldots, \alpha_k$. 


and $\bar{\alpha} F_1$ stands for $\bar{\alpha} F_{1_1}, \ldots, \bar{\alpha} F_{1_k}$. It should be clear from the context which index is omitted.

A definition of $i$ mutual nonuniform datatypes $T_i$ is a system of $i$ type fixpoint equations

$$\bar{\alpha} T_i \equiv (\bar{\alpha}, (\bar{\alpha} F_1)_{\tau_{i(1)}}, \ldots, (\bar{\alpha} F_j)_{\tau_{i(j)}}) G_i$$

where the $G_i$’s are $(k + j)$-ary BNFs, the $F_k$’s are $k$-ary BNFs, and $\sigma : [j] \rightarrow [i]$ is a monotone surjective function that expresses which of the $i$ mutual types belong to which recursive occurrence. The construction generalizes Okasaki’s idea and yields $k$-ary BNFs $T_i$ that are least solutions (up to isomorphism) to equation (1). A uniform datatype definition [10] is a special case with $j = i$, $\sigma(i) = i$, and $\bar{\alpha} F_k = \alpha$. We start by defining the shape types $\bar{\alpha} sh_k$ that overapproximate the recursive changes to the type arguments. There are $k$ shape types, corresponding to the $k$ type arguments, and they are mutually recursive datatypes:

$$\bar{\alpha} sh_k = \text{Leaf}_k \alpha_k | \text{Node}_{jk} (\bar{\alpha} sh F_{1k}) | \cdots | \text{Node}_{jk} (\bar{\alpha} sh F_{jk})$$

For $\text{plist}$, the $sh$ is $sh$. In general, each recursive occurrence may change the type arguments in a different way; this is reflected in the different Node constructors.

Next, we define $i$ uniform mutually recursive datatypes $\bar{\alpha} raw_i$ that recur through the $G_i$’s in the same way as the $T_i$’s do, except that they keep the type arguments unchanged. The immediate $\alpha$ arguments to $G_i$ are replaced by $\bar{\alpha} sh$:

$$\bar{\alpha} raw_i = \text{Raw}_i ((\bar{\alpha} sh, \bar{\alpha} raw_{\tau_{i(1)}}, \ldots, \bar{\alpha} raw_{\tau_{i(j)}}) G_i)$$

For every $i$, we specify subsets of the types $\bar{\alpha} raw_i$ that are isomorphic to the nonuniform types $T_i$, by defining predicates $ok_i$ that characterize the allowed shapes and their changes in the recursion. As in the powerlist example, the definition of $ok_i$ relies on auxiliary predicates $\text{ok}_k : [j] \text{list} \rightarrow \bar{\alpha} sh_k \rightarrow \text{bool}$ on the shape types. The type of $\text{ok}_k$ shows an important difference to the $\text{plist}$ example: The first argument is not just a natural number denoting the depth of a full tree but has more structure. We call it the shadow of the shape and let $\Delta$ stand for $[j] \text{list}$. The additional structure is necessary because different Node constructors may occur in a single shape element. These occurrences in the full shape trees are layered: All Node constructors right above the Leaf constructors belong to a fixed occurrence $j$. The next layer of Nodes may belong to a different fixed occurrence $j$. The shadow summarizes the occurrence indices. Consider $\text{Cons}_1 (u : \alpha) (\text{Cons}_2 (v : \alpha) (\text{Cons}_2 (w : \alpha \times \alpha) (\text{Cons}_1 (x : (\alpha \times \alpha) \times (\alpha \times \alpha)) \text{Nil}))) : \alpha \text{plist}$. This order of constructors forces $x$’s type to be $\alpha F = \alpha F_1 F_2 F_2$, with $\alpha F_1 = \alpha$ and $\alpha F_2 = \alpha \times \alpha$. Consequently, $x$ is embedded into a $sh$ as $\text{Node}_2 (\text{map}_F, \text{Node}_2 (\text{map}_F, \text{Node}_1) (\text{map}_F \text{Leaf}_x)))$, whose shadow is $[2, 2, 1]$. Formally, the predicates $\text{ok}_k$ are defined together as the least predicates satisfying the rules

$$\text{ok}_k ([\text{Leaf}_k x]) \quad \text{pred}_k ([\text{ok}_k u] \ldots [\text{ok}_k u] f \Rightarrow [\text{ok}_k (\text{Node}_j f)]$$

where $[]$ and $\cdot$ are notations for Nil and Cons. To access the recursive components of $sh$, we rely on the predicates associated with the $F_i$’s. Predicates are monotone. The $\alpha$ mutual predicates $ok_i : \Delta \rightarrow \bar{\alpha} raw_i \rightarrow \text{bool}$ are defined similarly:

$$\text{pred}_i ([\text{ok}_i u] \ldots [\text{ok}_i u] (\text{ok}_{\tau_{i(1)}} (1 \cdot u)) \ldots (\text{ok}_{\tau_{i(j)}} (j \cdot u)) \Rightarrow ok_i u \Rightarrow \text{Raw}_i u$$

We access the $k$ immediate components of the shape type and the $j$ recursive components of the raw type through the predicator. We write that an element $r$ of type $\bar{\alpha} raw_i$ has shadow $u$ if $ok_i u r$ holds.

Finally, the nonuniform type $T_i$ can be defined as the subset of $\bar{\alpha} raw_i$ that satisfies the $ok_i$ predicate for the empty shadow: $\bar{\alpha} T_i = \{ r : \bar{\alpha} raw_i | ok_i [\ ] r \}$. Such a type definition introduces a new type and the embedding–projection pairs $\text{Rep}_i : \bar{\alpha} T_i \rightarrow \bar{\alpha} raw_i$ and $\text{Abs}_i : \bar{\alpha} raw_i \rightarrow \bar{\alpha} T_i$. The emerging nonemptiness problem is discussed in Section IV.

We can prove by induction that $ok_i$ is invariant under the $\text{map}_{\bar{\alpha} raw_i}$ function.

Lemma 1: $ok_i u (\text{map}_{\bar{\alpha} raw} \bar{\alpha} F_j r) \equiv ok_i u r$.

This property is sufficient to prove that $T_i$ is a BNF. By virtue of being a BNF, $T_i$ can appear around type arguments and recursive type occurrences in future uniform or nonuniform (co)datatype definitions.

C. Constructors

If the type $T_i$ is the nonuniform type that we intended to construct, it should satisfy equation (1). We prove this isomorphism by defining a constructor $\text{Ctor}_i : (\bar{\alpha}, (\bar{\alpha} F_1)_{\tau_{i(1)}}, \ldots, (\bar{\alpha} F_j)_{\tau_{i(j)}}) G_i \rightarrow \bar{\alpha} T_i$ and a destructor $\text{dtor}_i : \bar{\alpha} T_i \rightarrow (\bar{\alpha}, (\bar{\alpha} F_1)_{\tau_{i(1)}}, \ldots, (\bar{\alpha} F_j)_{\tau_{i(j)}}) G_i$ and by showing that they are inverses of each other.

Figure 1 gives diagrammatic definitions of $\text{Ctor}_i$ (by composing the functions on the outer arrows) and $\text{dtor}_i$ (by composing the functions on the inner arrows). All shape and raw types occurring in the diagram are annotated with their shadows. $\text{Abs}_i$ can be applied only to raw elements with shadow $[]$.

The $\text{unLeaf}_k$ and $\text{unRaw}_i$ functions are inverses of the corresponding constructors; they satisfy $\text{unLeaf}_k (\text{Leaf}_k a) = a$.
and unRawi (Rawi r) = r. Note that unLeafi is underspecified and
(and like Absi) may be applied only to Leafi shape elements with shadow \[\]. Moreover, the definition must bridge the gap
between the types \(\overline{\alpha}F_i\) rawr(\(j\)) of shadow \[\] and \(\overline{\alpha}rawr(\(j\))\) of shadow \[\] (the rightmost arrows in Figure 1). This must
happen recursively (even though the constructor Ctori itself is not
recursive), by inlining the additional Fs into a new layer of
the shape type (directly above the Leaf constructors) and
therefore requires a generalization that transforms an arbitrary
shadow \(u\) into \(u \Rightarrow j\) (i.e., the list \(u\) with the element \(j\) appended
to it). For each fixed \(j\), inlining is implemented by means of
i mutual primitively recursive functions \(\uparrow_{\mu} : \overline{\alpha}F_i\) rawr \(\rightarrow \overline{\alpha}rawr\), whose definition uses \(k\) mutual primitively
recursive functions \(\begin{align*}
\Box_k : \overline{\alpha}F_i\ \text{sh}_k \rightarrow \overline{\alpha}\text{sh}_k
\end{align*}\)
on the shape type:

\[\begin{align*}
\Pi_k (\text{Leaf}_k f) &= \text{Node}_k (\text{map}_{F_k} \text{Leaf}_f) \\
\Pi_k (\text{Node}_k f) &= \text{Node}_k (\text{map}_{F_k} \Pi_k f) \\
\uparrow_{\mu} u (\text{Raw}_i g) &= \text{Raw}_i (\text{map}_{G_i} \Pi_k u \uparrow_{\mu(1)} \ldots \uparrow_{\mu(j)} g)
\end{align*}\]

Inlining is injective. We define the (partial) inverse operations
\(\downarrow_{\mu} : \Delta \rightarrow \overline{\alpha}rawr \rightarrow \overline{\alpha}F_i\) rawr, and \(\downarrow_{\mu} : \Delta \rightarrow \overline{\alpha}\text{sh}_k \rightarrow \overline{\alpha}F_i\) shk, which are useful when defining the destructors dtor.

The additional shadow parameter in \(\Box_i\) denotes how
many more layers to destruct until we arrive at the last layer
of Nodes (with only Leaf constructors below).

\[\begin{align*}
\Pi_k \downarrow \text{Node}_k f &= \text{Leaf}_k (\text{map}_{F_k} \uparrow_{\mu} \text{Leaf}_f) \\
\Pi_k \downarrow (f \Rightarrow u) &= \text{Node}_k (\text{map}_{F_k} \Pi_k u) \\
\downarrow_{\mu} u (\text{Raw}_i g) &= \\
\text{Raw}_i (\text{map}_{G_i} \Pi_k u \downarrow_{\mu(1)} \ldots \downarrow_{\mu(j)} g)
\end{align*}\]

We establish the expected behavior of \(\uparrow_{\mu}\) and \(\downarrow_{\mu}\) with respect to shadows and prove that they are mutually inverse.
The proofs proceed by induction on the raw type using very
similar omitted auxiliary lemmas for \(\Pi_k\) and \(\Box_k\).

**Lemma 2:**
1) \(\text{ok}_i u \Rightarrow \text{ok}_i (u \Rightarrow j) (\uparrow_{\mu(1)} r)\); 3) \(\text{ok}_i u \Rightarrow \downarrow_{\mu} u (\uparrow_{\mu(1)} r) = r\);
2) \(\text{ok}_i (u \Rightarrow j) \Rightarrow \text{ok}_i (u \downarrow_{\mu(j)} r)\); 4) \(\text{ok}_i (u \Rightarrow j) \Rightarrow \uparrow_{\mu} (\downarrow_{\mu(j)} u) r = r\).

Since every pair of arrows in Figure 1 is mutually inverse (when
applied to elements of the right shadow), we obtain our
desired isomorphism property for Ctori and dtori.

**Theorem 3:** dtori (Ctori g) = g and Ctori (dtori i) = t.

Finally, we prove characteristic theorems for Tj’s BNF
constants. We focus on the property that mapci commutes
with the constructor Ctori. The theorems for the relator,
the predicate, and the set functions, are proved analogously.

**Theorem 4:** mapci \(\overline{\alpha} \) (Ctori g) = Ctori (mapci \(\overline{\alpha} \) g) where \(\overline{\alpha} R_i = (\overline{\alpha}, (\overline{\alpha} F_i) T_{\varphi(1)}, \ldots, (\overline{\alpha} F_i) T_{\varphi(j)}) G_i\) and mapci is the
map function associated to this composite BNF.

The proof of Theorem 4 relies on commutation properties of
mapraw, and \(\uparrow_{\mu}\) and of mapshk and \(\Box_k\) that can be proved by
induction. This is a perversive pattern when defining recursive
functions on nonuniform datatypes.

**Lemma 5:** mapshk \(\overline{\alpha} \) (\(\Box_k\)) = \(\Box_k\) (mapshk (mapci \(\overline{\alpha} \) f)) s) and
mapraw \(\overline{\alpha} \) (\(\uparrow_{\mu}\)) r = \(\uparrow_{\mu}\) (maprawi (mapci \(\overline{\alpha} \) f) r).

**D. Codatatypes**

The construction can be gracefully extended to support
codatatypes, which are types whose elements may be infinitely
deep. Codatatypes are the types \(\alpha T_i\) that are greatest solutions
to equation (1).

This change in semantics needs to be reflected only at the
raw level. Accordingly, the rawr1 types are defined as mutually
corecursive uniform types. The shape types remain unchanged,
since even in an infinitely deep object all type arguments are
finite (but unbounded) type expressions.

The subsequent changes are also minor. The predicates oki
are defined as a mutual greatest (or coinductive) fixpoint of
the same introduction rule as before for datatypes. The functions
\(\uparrow_{\mu}\) and \(\downarrow_{\mu}\) are defined by primitive corecursion using the same
equations as before.

All theorems from Subsections III-B and III-C hold as stated
also for codatatypes. The proofs, however, are different: For
example, whereas Lemma 2(1–2) was proved by induction
on \(r\), for codatatypes the corresponding argument proceeds
by coinduction on the now coinductive definitions of oki.
Similarly, the equational statements (e.g., Lemma 2(3–4) or
the raw part of Lemma 5) are proved by coinduction on \(\Rightarrow\).

**IV. The Nonemptiness Problem**

Types in HOL must be nonempty. As we are developing
more sophisticated high-level datatype specification
mechanisms, the problem of establishing nonemptiness of the
introduced types becomes more difficult. For nonuniform mutual
(co)datatypes \(\alpha T_i\), the question is whether \(\alpha T_i\) are indeed valid
HOL types, i.e., are nonempty. We want an answer that is
automatic (i.e., is given without asking the user to perform
any proof) and complete (i.e., does not reject valid types).

In previous work, we offered a solution for mutual uniform
(co)datatypes [13]. It is based on storing, for each BNF \(\overline{\alpha} K\)
with \(\overline{\alpha} = (\alpha_1, \ldots, \alpha_n)\), complete information on its conditional
nonemptiness, i.e., on which combinations of nonemptiness
assumptions for the argument types \(\alpha_i\) would be sufficient to
guarantee nonemptiness of \(\overline{\alpha} K\). For example, if \(n = 3\) and
\(\overline{\alpha} K\) is \(\alpha_1 \text{ stream} + \alpha_2 \times \alpha_3\), then for \(\overline{\alpha} K\) to be nonempty it
suffices that either \(\alpha_1\), or both \(\alpha_2\) and \(\alpha_3\) be nonempty.
We say that both \{\(\alpha_1\}\} and \{\(\alpha_2, \alpha_3\}\}, or, simply, \{1\} and \{2,3\}
are witnesses for the nonemptiness of \(\alpha_1 \text{ stream} + \alpha_2 \times \alpha_3\).

The above discussion assumes that \(\alpha\) operates on possibly
empty collections of elements (which, technically, as a type
constructor, it does not, since the HOL type variables are
assumed to range over nonempty types). To model this,
we employ the set\(\alpha\) operators to capture the action of\(\alpha\)
on sets, as the homonymous constant \(\alpha K : \alpha_1 \text{ set} \rightarrow \cdots \rightarrow \alpha_n \text{ set} \rightarrow (\overline{\alpha} K)\) \text{ set}, defined by \(K A_1 \cdots A_n = \{ x : \overline{\alpha} K \mid \forall i \in [n], \text{ set}_{\alpha K} x \subseteq A_i\}\) and \(\text{set}_{\alpha K} x \subseteq A_i\). The constant \(\alpha K\) operates on sets in the same way
as the type constructor \(\alpha\) operates on types. Since sets can be
empty, we can use them to express witnesshood.

Given \(I \subseteq [n]\), we call \(I\) a witness for \(\alpha\) if, for all sets \(\overline{\alpha}\), \(\forall i \in I, A_i \neq \emptyset\) implies \(\overline{\alpha} \overline{\alpha}\) \(\neq \emptyset\). A set \(\emptyset \subseteq [n]\) set of witnesses for \(\alpha\) is called perfect if for all witnesses \(I \subseteq [n]\) there exists a
witness \(I \subseteq \mathcal{I}\) such that \(I \subseteq J\). Thus, a perfect set of witnesses
for $K$ is one where no witness is missed, in that any witness $J$ is equal to, or improved by, a witness $I \in \mathcal{I}$.

We fix a definition of $i$ mutual nonuniform datatypes $T_i$, as depicted in equation (1) from Section III-B. We assume that the involved BNFs (the $G_i$'s and the $F_{jk}$'s) are endowed with perfect sets of witnesses $\mathcal{I}(G_i)$ and $\mathcal{J}(F_{jk})$. We will show how to effectively construct perfect sets of witnesses for the $T_i$'s. This construction allows us to decide whether the $T_i$'s are nonempty, hence valid HOL types, by simply checking if their perfect sets are nonempty. In addition, it equips the $T_i$'s with the infrastructure needed to establish the nonemptiness of future (co)datatypes that may use them as parameters.

To find the witnesses for the $T_i$'s, we generalize the approach we developed for uniform datatypes. We define a context-free set-grammar (which is like a standard context-free grammar except that its productions act on finite sets instead of words) having the $T_i$'s as nonterminals and the argument types $\alpha_i$ as terminals. The productions of the set-grammar follow the direction of the destructors, $\mathcal{I}(T_i) \xrightarrow{d_{\mathcal{I}}} (\mathcal{I}(G_i), \mathcal{I}(F_{jk})) G_i$, with each $T_i$ deriving sets containing the nonterminals $T_F$ and the terminals $\alpha_i$ allowed by witnesses of $G_i$.

For the nonuniform case, when recursively applying productions $\mathcal{I}(T_i) \xrightarrow{d_{\mathcal{I}}} (\mathcal{I}(G_i), \mathcal{J}(F_{jk})) G_i$, the following definitions, the $T_i$'s are applied to increasingly larger polynomial expressions involving the $F_{jk}$'s. To keep the grammar finite, we take a more abstract view, retaining from the $F_{jk}$-expressions only their witness-relevant information, obtained by suitably combining their perfect sets $\mathcal{J}(F_{jk})$. We define the set PolyWit, of polynomial witness sets (or polywits), inductively as follows:

- If $k \in [k]$, then $\{\{k\}\} \in \text{PolyWit}$.
- If $(j,k) \in \mathcal{I}([j] \times [k])$ and $p_1, \ldots, p_k \in \text{PolyWit}$, then $(p_1, \ldots, p_k) \cdot \mathcal{J}(F_{jk}) \in \text{PolyWit}$.

Polywits are sets of subsets of $[k]$. In the second clause above, we use the composition $(p_1, \ldots, p_k) \cdot \mathcal{J}(F_{jk})$, which is defined as $\{\{\mathcal{J}(F_{jk})\} \cap \prod_{i \in \mathcal{I}(p_i)} | \mathcal{I}(p_i) \in \prod_{i \in \mathcal{I}(p_i)}\}$. This composition captures the computation of witnesses for the composition of $F_{jk}$ with the BNFs corresponding to the polywits $p_1, \ldots, p_k$.

We fix a set of tokens, $\text{Tok} = \{t_i \mid i \in [i]\}$, to symbolically represent the $T_i$'s. We define the set-grammar $\mathcal{G} = (\text{Term}, \text{Term}, \text{Prod})$ as follows. Its terminals are $[k]$, i.e., one number $k \in [k]$ for each type variable $\alpha_k$. The nonterminals are either polywits or have the form $(p_1, \ldots, p_k) t_i$, where each $p_k$ is a polywit and $i \in [i]$. There are two types of productions:

1) $p \rightarrow I$, where $p \in \text{PolyWit}$ and $I \in p$;
2) $\mathcal{I}(t_i) \rightarrow \mathcal{J}(G_i)$ where $i \in [i], J \in \mathcal{I}(G_i)$ and $\mathcal{J}(t_i) = \{k \mid k \in J \cap [k]\} \cup \{\{\mathcal{J}(G_i)\} \cap \prod_{i \in \mathcal{I}(p_i)} | \mathcal{I}(p_i) \in \prod_{i \in \mathcal{I}(p_i)}\}$.

The first type of production selects witnesses from polywits. The second type mirrors the recursion in the definition of the $T_i$'s by following the destructors and selecting the terminals and nonterminals according to the witnesses of $G_i$.

Let $\text{Lang}_i(\mathcal{G})$ be the language (i.e., the set of subsets of $[k]$) generated by $\mathcal{G}$ starting from the nonterminal $\{\{a_1\}, \ldots, \{a_k\}\}$ (the token for $T_i$) applied to the trivial polywits for its argument types). Let $\text{Lang}_{\omega,i}(\mathcal{G})$ be the language cogenerated by $\mathcal{G}$—allowing infinite chains of productions, and infinite derivation trees—again, starting from $\{\{a_1\}, \ldots, \{a_k\}\}$.

**Theorem 6:** If we interpret the definition as specifying mutual datatypes, then the definition is valid in HOL (i.e., the specified types are nonempty) if and only if $\text{Lang}_i(\mathcal{G}) \neq \emptyset$ and $\text{Lang}_{\omega,i}(\mathcal{G})$ is a perfect set of witnesses for $T_i$. If we interpret the definition as specifying mutual codatatypes, then the definition is always valid in HOL and $\text{Lang}_{\omega,i}(\mathcal{G})$ is a perfect set of witnesses for $T_i$.

The theorem statement distinguishes the nonemptiness subproblem from the witness problem. This is because the $T_i$'s cannot be introduced as types without knowing their nonemptiness (i.e., the nonemptiness of their representing predicates $\alpha_k$). For codatatypes, nonemptiness always holds owing to the greatest fixpoint nature of the construction.

Since the raw $\text{F}_{jk}$'s are BNFs, we have a perfect set of witnesses for them, but these will usually fail to satisfy $\alpha_k$ (and even if they do satisfy the predicate, they need not constitute a perfect set for $T_i$). To prove the theorem, we adapt the notion of witness from types to predicates and show that the languages (co)generated by $\mathcal{G}$ or perfect sets for $\alpha_k u$ for any shadow $u$. We generalize from $\emptyset$ to an arbitrary $u$ because the shadow increases along applications of the raw $\text{F}_{jk}$ destructors. Appendix B provides the details.

For any finite set-grammar $\mathcal{G}$, the languages $\text{Lang}_i(\mathcal{G})$ and $\text{Lang}_{\omega,i}(\mathcal{G})$ are effectively computable by fixpoint iteration [13]. Moreover, iteration needs at most a number of steps equal to the number of nonterminals [13, Section 4.3]. For uniform datatypes, this number is precisely that of mutual types; i.e., for nonuniform datatypes, it is the larger number $j \times k \times |\text{PolyWit}|$, where $|\text{PolyWit}| = O(2^k)$. Fortunately, the worst-case double exponential in $k$ is unproblematic in practice for two reasons. First, the defined types tend to have few type variables. Second, the nonemptiness witnesses for the BNFs $\mathcal{G}$ can prune a large part of the search space: If a $\mathcal{G}$ has a constructor without recursive arguments, then $\emptyset$ is a witness for $\mathcal{G}$ and thus also for the (co)datatype $T_i$ regardless of $k$.

Consider the following contrived nonuniform codatatype of alternating streams over $\alpha_1$ and $\alpha_2$:

$$(\alpha_1, \alpha_2) \text{ alt} \equiv C \alpha_1 ((\alpha_2, \alpha_1) \text{ alt}) \mid D \alpha_2 ((\alpha_2, \alpha_1) \text{ alt})$$

We have $i = 1$, $j = 1$, $k = 2$, $\sigma$ is the unique function from $[1]$ to $[1]$, $(\alpha_1, \alpha_2) F_{11} = \alpha_2$, $(\alpha_1, \alpha_2) F_{12} = \alpha_1$, and $(\alpha_1, \alpha_2, \alpha_3) G_1 = \alpha_1 \times \alpha_3 + \alpha_2 \times \alpha_3$. Thus, $\{2\}$, $\{1\}$, and $\{1,3\}$, $\{2,3\}$ are perfect sets of witnesses for $F_{11}, F_{21}$, and $G_1$, respectively. Figure 2 shows two infinite derivation trees from the initial nonterminal $\{1,2\} t_1$ in the grammar $\mathcal{G}$ associated with this definition, where we write $\emptyset$ and $\{2\}$ for the polywits $\{\emptyset\}$ and $\{\{2\}\}$. The trees repeat the same pattern after reaching $\{1,2\} t_1$. In the left tree, the top production is $\{1,2\} t_1 \rightarrow \{1,2\} t_1$; this is a valid production of type $2$, based on $G_1$'s witness $\{1,3\}$. The tree’s other production of type $2$, $\{2,1\} t_1 \rightarrow \{1,2\} t_1$, uses the other witness, $J = \{2,3\}$. The frontiers of the two trees are $\emptyset$ and $\{2\}$, respectively. The set $\{\emptyset, \{1\}, \{2\}\}$ is perfect for $\text{alt}$.
Even though \( alt \) is always nonempty (since it is a codatatype), a perfect set of witnesses is necessary to decide the overall nonemptiness problem. If we used an imperfect set such as \( \{1, 2\} \), we would reject valid datatypes such as \( \alpha \text{ fractal} = \text{Fractal}(\alpha, \text{(\(\alpha, \alpha \text{ alt) fractal} \text{ alt)})} \), where we must know that \( \{1\} \) is a witness for \( alt \) to infer nonemptiness.

V. (CO)INDUCTION PRINCIPLES

In a proof assistant, high-level abstractions are pointless unless they are supported by a reasoning apparatus. Just like the types themselves, reasoning principles for nonuniform (co)datatypes can be derived in HOL. To avoid cluttering the ideas with technicalities, in this and the next section we discuss the restricted situation of a single (co)datatype \( \alpha \) and its components: the types themselves, reasoning principles for nonuniform datatypes, and their induction principle. So we should try to reduce \( \text{Ind}^\alpha_T \) to \( \text{Ind}^\alpha_{\text{raw}} \) along the embedding-projection pair \( \text{Rep}: \alpha T \to \alpha \text{ raw} \) and \( \text{Abs}': \alpha \text{ raw} \to \alpha T \), where the predicate \( \text{oK}[] \) describes the image of \( \text{Rep} \).

We start by defining \( Q \) to be \( P \circ \text{Abs} \) and try to prove \( \forall r. \text{oK}[] \rightarrow Q r \) using \( \text{Ind}^\alpha_{\text{raw}} \), hoping to be able to connect the hypothesis of \( \text{Ind}^\alpha_T \) with that of \( \text{Ind}^\alpha_{\text{raw}} \). We quickly encounter the following problem, depicted in Figure 3.\(^1\) Suppose \( r: \alpha \text{ raw} \) corresponds to \( t : \alpha T \) (via the embedding-projection pair); then \( T \)-induction speaks about the \( T \) components \( t' : \alpha F T \) of \( t \), which do not correspond to the \( \text{raw} \) components \( r' : \alpha \text{ raw} \) of \( r \), but rather to elements \( r'': \alpha F \text{ raw} \) of the form \( \downarrow r' \). This mismatch is a consequence of our representation technique: To represent \( T \)'s destructor using \( \text{raw} \)'s destructor, we applied the “correction” \( \downarrow \). To cope with it, we appeal to the shape type \( \alpha \text{ sh} \), which in the simplified setting amounts to \( \alpha + \alpha F + \alpha F^2 + \cdots \) and thus includes all the types inhabited by \( t \), its components, the components’ components, and so on.

So we weaken our goal and try to prove that \( P \) holds for types of the form \( \alpha \text{ sh} T \). For \( Q \), this means switching from \( \alpha \text{ raw} \) to \( \alpha \text{ sh raw} \). As shown in Figure 4, now we can travel from the type \( \alpha \text{ sh F raw} \) back to the type \( \alpha \text{ sh raw} \), by applying \( \text{Node} \) to level the nonuniformity \( F \) into the larger type \( \text{sh} \). For this to work, \( Q \) must reflect \( \text{map}_{\text{raw}} \text{Node} \), i.e., have \( Q(\text{map}_{\text{raw}} \text{Node} r'') \) imply \( Q r'' \).

Another issue is that \( r'' = \text{map}_{\text{raw}} \text{Node} r'' \) is not in the image of \( \text{Rep} \): \( r'' \) has shadow \( [1] \) instead of the required \([\ ]\). We must generalize the goal to arbitrary shadows, i.e., to

\(^1\)Starting with this figure, we replace \( \text{map}_{\text{D}} f g \) arrow annotations with arrows carrying two labels: \( f \) to the right in the arrow’s direction of travel and \( g \) to the left.

---

\[ \alpha \text{ raw} \quad \text{Abs} \to \alpha T \]
\[ \downarrow \text{dtor} \]
\[ (\alpha \text{ sh} r, \alpha \text{ raw}) \quad G \]
\[ \text{unT} \]
\[ (\alpha, \alpha F \text{ raw}) \quad G \quad \text{id}_{\text{Rep}} \]
\[ (\alpha, \alpha F T) \quad G \]

Fig. 3. The \( \text{raw} \) representation of \( T \)

\[ \alpha \text{ sh raw} \quad \text{Abs} \to \alpha \text{ sh} T \]
\[ \downarrow \text{dtor} \]
\[ (\alpha \text{ sh sh} r, \alpha \text{ sh raw}) \quad G \]
\[ \text{unT} \]
\[ (\alpha \text{ sh}, \alpha \text{ sh F raw}) \quad G \quad \text{id}_{\text{Rep}} \]
\[ (\alpha \text{ sh}, \alpha \text{ sh F T}) \]
∀r u, ok u r \Rightarrow Q' u r \) for a suitable predicate \( Q' : \Delta \rightarrow \alpha \ sh \ raw \rightarrow \text{bool} \) that extends \( Q \) in that \( Q' \downarrow u = Q \). To this end, we define \( \uparrow : \Delta \rightarrow \alpha \ sh \ raw \rightarrow \alpha \ sh \ raw \), an operator that generalizes the trip from \( r' \) to \( r'' \) to \( r''' \) described above to an arbitrary shadow \( u \), and \( \downarrow \), the cumulative iteration of \( \uparrow \):

\[
\uparrow u = \text{map}_{\text{raw}} \text{Node} (\downarrow u) \quad \uparrow (\downarrow u 1) r = \uparrow u (\downarrow u r)
\]

Intuitively, we can regard the elements of both \( \beta \ sh \) and \( \beta \ raw \) as trees with \( \beta \) leaves and whose nodes branch according to \( F \). Then \( \downarrow \) traverses elements of \( \alpha \ sh \ raw \) until it reaches their innermost nodes (with only leaves, i.e., elements of \( \alpha \ sh \), as subtrees) and immerses them as top nodes in the inner shape layer. The additional shadow argument \( u \) is needed to identify when an innermost tree has been reached (since we count on well-behavedness of \( \uparrow u r \) only if \( \text{ok} u r \)).

The \( sh \) counterparts of the above, \( \downarrow : \Delta \rightarrow \alpha \ sh \ sh \rightarrow \alpha \ sh \ sh \) and \( \uparrow \), are defined similarly (using \( \text{map}_{sh} \) instead of \( \text{map}_{\text{raw}} \)). The key property of the “immerse” family of operators is that they commute with \( raw \)’s destructor in the following sense.

**Lemma 7:** The left subdiagram in Figure 5 is commutative.

Now, we can take \( Q' u r \) to be \( Q (\downarrow u r) \). \( Q' \) can be proved by \( raw \)-induction on \( r \), since it achieves the desired correspondence between the \( raw \) components and the \( T \) components (i.e., between the leftmost and rightmost edges of Figure 5). That the correspondence works is ensured by the diagram’s commutativity, as a composition of two commutative subdiagrams (the left subdiagram by the above lemma and the right one by the definition of \( \text{dtor} \)).

Thus, assuming the hypothesis of \( \text{Ind}^p_{\text{P}} \), we have proved \( \forall \alpha \forall r : \alpha \ sh \ raw \forall u : \Delta \ \text{ok} u r \Rightarrow Q' u r \) —in particular, \( \forall \alpha \forall r : \alpha \ sh \ raw \ \text{ok} (\downarrow u r) \Rightarrow Q' (\downarrow u r) \), which implies \( \forall \alpha \forall r : \alpha \ sh \ T \ P t \). From this, we prove the more general fact \( \forall \alpha \forall r : \alpha \ sh \ T \ P t \). It would suffice that \( P \) reflects \( \text{map}_{\text{T}} \text{Leaf} : \alpha \ T \rightarrow \alpha \ sh \ T \). We can simply assume that \( P \) is \( \text{injective-antitone-parametric (IAP)} \), meaning that \( P (\text{map}_{T} f t) \) implies \( P t \) for all \( t : \alpha \ T \) and all injective functions \( f : \alpha \rightarrow \beta \) (including \( \text{Leaf} \) and \( \text{Node} \)). In conclusion:

**Theorem 8:** If \( P \) is IAP, then \( \text{Ind}^p_{\text{P}} \) is derivable in HOL.

IAP is substantially weaker than (general) parametricity, which for \( P \) would mean \( P t \Rightarrow \text{map}_{T} f t \) for all \( t \) and arbitrary functions \( f \) (Appendix A).

Due to the limitations of HOL, we were able to prove only a restricted form of induction. However, all formulas built from the usual terms used in functional programming and employing equality, the logical connectives, and universal quantifiers are IAP (if not fully parametric), and therefore fall within the scope of our theorem. The main outcasts are constants defined using Hilbert choice, existential quantifiers, and ad hoc overloaded constants.

### B. Coinduction

We designed the above infrastructure, consisting of the “immerse” operators, to work equally well for the codatatype as it does for the datatype. When \( \alpha T \) is a codatatype, these operators are defined in the same way and can be used to derive the soundness of a nonuniform coinduction rule under similar assumptions to the induction case (from the corresponding uniform coinduction on the \( raw \) type):

\[
\forall \alpha \forall t_1, t_2 : \alpha T. \quad P t_1 t_2 \Rightarrow \text{rel}_{G} (\Rightarrow) P (\text{dtor} t_1) (\text{dtor} t_2) \quad \text{Coind}^p
\]

For this rule to be sound, \( P : \alpha T \rightarrow \alpha T \rightarrow \text{bool} \) must again interact well with injective functions, but this time in the opposite direction. We say that \( P \) is \( \text{injective-monotone-parametric (IMP)} \) if \( P t_1 t_2 \) implies \( P (\text{map}_{T} f t_1) (\text{map}_{T} g t_2) \) for all \( t_1, t_2 : \alpha T \) and injective functions \( f, g : \alpha \rightarrow \beta \).

**Theorem 9:** If \( P \) is IMP, then \( \text{Coind}^p \) is derivable in HOL.

Unlike IAP, IMP disallows the usage of the universal quantifier in \( P \), while it allows the existential quantifier. This is a quite desirable symmetry: Induction requires the universal quantifier to perform generalization over non-inductive parameters. For coinduction, the existential quantifier takes this role.

### VI. (Co)Recursion Principles

For nonuniform (co)datatypes to be practically useful, there must exist some infrastructure supporting (co)recursive function definitions. We start with datatypes and consider the following simple recursive function on powerlists:

\[
\text{split} : (\alpha \times \beta) \text{plist} \rightarrow \alpha \text{plist} \times \beta \text{plist}
\]

\[
\text{split Nil} = (\text{Nil}, \text{Nil})
\]

\[
\text{split} (\text{Cons} (a, b) \text{xs}) = \text{let} (\text{as}, \text{bs}) = \text{split} (\text{map}_{\text{plist}} \text{swap} \text{xs}) \quad \text{in} \quad (\text{Cons} a \text{as}, \text{Cons} b \text{bs})
\]

Here, the pattern-matched variable \( \text{xs} \) has type \( ((\alpha \times \beta) \times (\alpha \times \beta)) \text{plist} \), and the auxiliary swap function is defined as \( \text{swa}p ((a_1, b_1), (a_2, b_2)) = ((a_1, a_2), (b_1, b_2)) \). The function \( \text{split} \) uses polymorphic recursion: Its type on the right-hand side of the specification is different from the one on the left-hand side. More precisely, the recursive call is applied to an argument of type \( ((\alpha \times \alpha) \times (\beta \times \beta)) \text{plist} \). None of the existing HOL-based tools for defining recursive functions support polymorphic recursion—the gap we are about to fill.
The split function is not primitively recursive in the standard sense: The recursive call is applied to a modified pattern-matched argument \( \text{map}_{\text{plus}} \). However, the modification takes place through the \( \text{map}_{\text{plus}} \) function, which leaves the length of \( \text{xs} \) unchanged. Hence, such generalized primitively recursive specifications are terminating.

A. Recursion

Primitively recursive specifications in HOL are reduced to nonrecursive definitions using a recursion combinator \[10\]. The equally expressive but less convenient primitively iterative specifications can be reduced as well, using a simpler fold combinator. For a uniform datatype \( \alpha T = \text{Ctor} ((\alpha, \alpha T) G) \) (e.g., \( \alpha T = \text{a list} \) with \( (\alpha, \beta) G = \text{unit} + \alpha \times \beta \)), the fold combinator has type \( ((\alpha, \beta) G \rightarrow \beta) \rightarrow \alpha T \rightarrow \beta \).

A function \( f = \text{fold} b \) for some fixed \( b : (\alpha, \beta) G \rightarrow \beta \), satisfies the characteristic recursive equation \( f (\text{Ctor} g) = b (\text{map}_G \text{id} \circ f \circ g) \). We call \( b \) the blueprint of \( f \). Note that \( b \) describes how to combine the results of the recursive calls into a new result of type \( \beta \). The recursion combinator’s blueprint, of type \( (\alpha, \alpha T \times \beta) G \rightarrow \beta \), generalizes fold’s blueprint by providing access to the original \( \alpha T \) values, in addition to the results of the recursive calls. For simplicity, we focus on iteration.

For a nonuniform datatype \( \alpha T = (\alpha, \alpha F T) G \), the natural generalization of fold would be a combinator of type

\[ \forall Y. (\forall a. (\alpha, \alpha F Y) G \rightarrow \alpha Y) \rightarrow \beta T \rightarrow \beta Y \]

where the universally quantified type constructor \( Y \) captures the positions where \( \alpha \) have to be replaced by \( \alpha F \), since the recursive calls will be applied to a term of type \( \alpha F T \). The explicit universal quantification over \( \alpha \) indicates that the blueprint needs to be truly polymorphic in \( \alpha \).

The primitive iteration schema provided by the above combinator is very restrictive, because it forces the type argument \( \beta \) of \( T \) to be fully polymorphic. Neither the split function nor a simple summation of a powerlist can be expressed using \( \beta \):

\[ \forall X. (\forall a. (\alpha X, \alpha V Y) G \rightarrow \alpha Y) \rightarrow (\forall a. \alpha X F \rightarrow \alpha V X) \rightarrow \beta X T \rightarrow \beta Y \]

This allows the recursive calls to return a type \( \alpha V Y \) instead of the fixed \( \alpha F Y \). The combinator satisfies the same characteristic equation (2) (with the more general types).

All these expressive combinators for nonuniform types have one problem in common: In HOL, type constructor quantification and type variable quantification can only occur at the outermost level. Thus, it is impossible to define the fold constants for nonuniform datatypes.

Instead, we follow a similar route as for induction. We devise a recursion procedure that takes (here, unary) BNFs \( V, X, \) and \( Y \), a blueprint \( b : (\alpha X, \alpha V Y) G \rightarrow \alpha Y \) and a swapper \( a : \alpha X F \rightarrow \alpha V X \) as input and yields a function \( f : \alpha X T \rightarrow \alpha Y \) satisfying equation (2).

The procedure defines a recursive function using \( b \) and \( a \) on the raw type and lifts it to the nonuniform type. To perform such a lifting for induction, the inductive property \( P \) must be a polymorphic IAP term. For recursion, we require both \( b \) and \( a \) to be polymorphic injective-parametric terms, i.e., parametric only for relations that are graphs of injective functions. This is a weaker assumption than Bird and Paterson’s naturality assumption (e.g., \( \text{map}_F (\text{map}_X f) = \text{map}_X (\text{map}_V f) \circ a \) for \( a \)).

On (bounded) natural functors, injective-parametricity implies the weak naturality assumption that demands for the above equation to hold only for injective functions \( f \). Consequently, \( f \) will also only be a natural transformation for injective functions. By contrast, our construction is closed: If both \( b \) and \( a \) are fully parametric in some type parameters, \( f \) is fully parametric in the same type parameters.

The definition of \( f \) proceeds in four steps. First, we define a shape type \( sh_Y \) for \( V \) analogously to \( sh_F \) for \( F \), including the constructors \( \text{Leaf}_V, \text{Node}_V \), their inverses \( \text{unLeaf}_V, \text{unNode}_V \), and the functions \( \text{inLeaf}_V, \text{inNode}_V \), and \( \text{rep}_V \). Second, we lift \( a \) to shapes

\[ a : \Delta \rightarrow \alpha X \times \text{sh} \rightarrow \alpha \times \text{sh}_X \]

by recursion on the shadow:

\[ a [] = \text{map}_X \text{Leaf}_V \circ \text{unLeaf} \]

\[ a [1 \times u] = \text{map}_X \text{Node}_V \circ a \circ \text{map}_F (\text{Rep}_v) \circ \text{unNode} \]

Third, we define a raw version of our function \( f_{\text{raw}} : \Delta \rightarrow \alpha X T \rightarrow \alpha \times \text{sh}_Y \) by primitive recursion:

\[ f_{\text{raw}} u (\text{Raw} g) = b (\text{map}_G (\text{Rep}_v)) (\text{map}_Y \text{unNode}_V \circ f_{\text{raw}} (1 \times u)) g \]

The generalization to \( sh_Y \) in the return type of \( f_{\text{raw}} \) is similar to what we did for induction. Finally, we define the function \( f \)

\[ f = \text{map}_Y \text{unLeaf}_V \circ f_{\text{raw}} \circ \text{rep}_V \circ \text{rep}_V \circ \text{Rep} \]

Figure 6 justifies the above definitions by proving equation (2). Some of the arrows labeled by injective functions,

\[ 2 \text{Strictly speaking, the boundedness assumption is not needed for } X \text{ and } Y, \]

which implies that \( \alpha \) set is permitted to occur in those type expressions.
such as \( \text{Leaf}_{(V)} \) and \( \text{Node}_{(V)} \) (possibly under further maps), must be inverted for the diagram to make sense. Elements of the two highlighted types have shadow [1]. All other elements of types \( sh, sh_v \), and \( raw \) in the diagram have shadow []..

Equation (2) is the outermost pentagon, which is filled by commutative diagrams starting by unfolding the definitions of \( f \) (twice), \( \text{Ctor} \), and \( \text{map}_T \) as well as the recursive specification of \( f_{\text{raw}} \). The quadrilateral follows from the naturality for injective functions \( (\text{Leaf}_V) \) of \( b \) and \( f \) from the recursive specification of \( \llbracket \). The remaining commutative pentagon relates \( f_{\text{raw}} \) and \( \uparrow \) (similarly to Lemma 5 for \( \text{map}_{raw} \)); the proof follows by induction. Therefore, the property used in \( \uparrow \) for shadow [] must be generalized to an arbitrary \( a \) and requires an auxiliary fact about \( a \) and \( f \) together with the facts that \( \llbracket \) and \( f_{\text{raw}} \) preserve \( \llbracket \) and \( f_{\text{raw}} \). The proofs rely on the injective-parametricity of \( a \) and \( b \).

Lemma 10:
1) \( \llbracket \alpha \rrbracket \llbracket u \rrbracket \llbracket s \rrbracket \Rightarrow \text{pred}_{sh_{V}} (\llbracket \alpha \rrbracket \llbracket u \rrbracket \llbracket s \rrbracket);
2) \( \llbracket \alpha \rrbracket \llbracket u \rrbracket \llbracket r \rrbracket \Rightarrow \text{pred}_{sh_{V}} (\llbracket \alpha \rrbracket \llbracket u \rrbracket \llbracket r \rrbracket);
3) \( \llbracket \alpha \rrbracket \llbracket u \rrbracket \llbracket s \rrbracket \Rightarrow \text{map}_{sh_{V}} (\llbracket \alpha \rrbracket \llbracket u \rrbracket (\text{map}_{sh} \ a \ s)));
4) \( \llbracket \alpha \rrbracket \llbracket u \rrbracket \llbracket r \rrbracket \Rightarrow \text{map}_{sh_{V}} (\llbracket \alpha \rrbracket \llbracket u \rrbracket (\text{map}_{sh} \ a \ s)).

Requiring \( Y \) to be a functor is very restrictive, because it disallows many recursive functions with parameters. We generalize the entire construction to \( \alpha Y = \alpha Y_1 \rightarrow \alpha Y_2 \), where \( Y_1 \) and \( Y_2 \) are natural functors. This allows first-order arguments as well as higher-order arguments that do not refer to \( a \) in their domain. This generalization is straightforward but technically involved.

B. Corecursion

The recursion procedure is designed to work dually for codatatypes. The corecursion procedure mainly reverses function arrows: It takes the injective-parametric blueprint \( \llbracket a \rrbracket \llbracket Y \rrbracket \llbracket X \rrbracket \rightarrow \llbracket b \rrbracket \llbracket Y \rrbracket \llbracket X \rrbracket \) and \( \text{swapper} \) \( a : \alpha V X \rightarrow \alpha X F \) as inputs and yields the function \( f : \alpha Y \rightarrow \alpha X T \), which satisfies \( f Y = \text{Cons} (\text{map}_T \ id (\text{map}_T \ a \ o f) (\llbracket b \rrbracket \llbracket y \rrbracket)).

VII. IMPLEMENTATION

To add support for nonuniform types to Isabelle/HOL, we followed the same general strategy as previously [10]:
1) We formalized in Isabelle/HOL an abstract datatype example \( \alpha T = \text{Ctor} ((\alpha, \alpha F T) G) \) as well as a codatatype.
2) We developed ML functions that generalize the abstract examples to produce the derivations for a concrete set of mututal types with an arbitrary number of type variables and to derive the nonemptiness witnesses.
3) We developed ML functions that extend the results of step 2 to multiple curried constructors—the high-level view presented to users.
4) We developed the commands that process type and function definitions and that perform (co)induction.

For datatypes, step 1 starts by defining the type \( \alpha T \), \( \text{Ctor} \), and the BNF constants; then it derives theorems about them and registers \( T \) as a BNF. This registration is performed by an existing Isabelle command that lifts the BNF structure of a type across an embedding-projection pair [6]. Induction is formalized by deriving a lemma \( Q t \) in terms of a fixed but unknown polymorphic predicate \( Q \) that is IAP and inductive (i.e., \( (\forall x \in \text{set}_2^G . \ Q x) \Rightarrow Q (\text{Ctor} \ g) \)). Recursion is formalized as a function \( f \) defined such that the recursive equation \( f (\text{Ctor} \ g) = (\llbracket b \rrbracket (\text{map}_{G} \ id (f \circ \text{map}_T \ a \ g)) \) holds for a fixed injective-parametric blueprint \( b \) and swapper \( a \).

The code for step 2 constructs the low-level types, terms, and lemma statements presented in Sections III to VI and proves the lemmas using specialized tactics—ML programs that generalize the proofs from the formalization. In principle, the tactics should always succeed, but it is necessary to execute them to obtain the highest level of trustworthiness. Assuming Isabelle’s inference kernel is correct, bugs in the new commands might lead to run-time failures but never to logical inconsistencies. For step 3, we were able to generalize and reuse the infrastructure for uniform types that performs the same lifting from low to high level [10, Sections 3–6].

Step 4 takes the form of six main commands available to the users and making definitions and reasoning about nonuniform types almost as convenient as for uniform types.

The \text{nonuniform} (co)datatype commands can be used to define nonuniform types. For example, the following definition introduces a type of \( \lambda \)-terms over variables drawn from \( \alpha \), with De Bruijn notation for bound variables [8]:

\[
\text{nonuniform datatype} \ \alpha \ tm = \text{Var} \ \alpha \ | \ \text{App} (\alpha \ tm) (\alpha \ tm) \ | \ \text{Lam} ((\text{unit} + \alpha) \ tm)
\]
Entering a $\lambda$-abstraction (Lam) creates a new variable, which is accommodated by the extended type $\text{unit} + \alpha$ consisting of the values $\text{Inl}()$ (the new variable) and $\text{Inr} x$ for all $x : \alpha$. The command performs the type construction and computes a nonemptiness witness. Then it defines the constructors $\text{Var}$, $\text{App}$, Lam and corresponding destructors and derives characteristic theorems about the constructors, the destructors, and the BNF constants $\text{map}_{\text{tm}}$, $\text{pred}_{\text{tm}}$, $\text{rel}_{\text{tm}}$, and $\text{set}_{\text{tm}}$.

The nonuniform primitives allow users to define primitively (co)recursive functions, by specifying their (co)recursive equations. For example, the following definition introduces a function join that “flattens” a term whose variables are themselves terms:

\[
\text{nonuniform_primrecursive join} : \alpha \text{ tm tm} \rightarrow \alpha \text{ tm}
\]

\[
\begin{align*}
\text{join} (\text{Var} x) &= x \\
\text{join} (\text{App} s t) &= \text{App} (\text{join} s) (\text{join} t) \\
\text{join} (\text{Lam} u) &= \text{Lam} (\text{map}_{\text{tm}} (\lambda x. \text{case} x \text{ of} \text{Inl} () \Rightarrow \text{Var} (\text{Inl} () | \text{Inr} y \Rightarrow \text{map}_{\text{tm}} (\text{Inr} y) u))
\end{align*}
\]

The command extracts blueprints and swappers from the equations and emits parametricity proof obligations that must be discharged by the user. In the example, the swapper is the $\lambda x$-expression that changes the type $\text{unit} + \alpha \text{ tm} \rightarrow (\text{unit} + \alpha) \text{ tm}$ that is passed to the outer $\text{map}_{\text{tm}}$. Once the proofs are complete, the command derives a low-level characteristic theorem about the defined function, from which the user-specified equations follow.

One of the most basic operations on $\lambda$-terms is substitution:

\[
\text{subst} : (\alpha \rightarrow \beta \text{ tm}) \rightarrow \alpha \text{ tm} \rightarrow \beta \text{ tm}.
\]

Due to the limitation that arguments to recursive functions must be BNFs, we cannot define higher-order functions like subst that depend on a type variable that changes in the recursive calls. But we can define subst as a composition:

\[
\text{subst} \sigma = \text{join} \circ \text{map}_{\text{tm}} \sigma.
\]

The nonuniform primitives can be used to prove a lemma by (co)induction. For example, the command

\[
\text{nonuniform_inductive s in subst_subst: subst } \tau (\text{subst } \sigma s) = \text{subst } (\text{subst } \tau \circ \sigma) s
\]

emits proof obligations for parametricity and the three cases of the induction on $s$. Often, the parametricity proofs can be delegated to Isabelle’s Transfer tool [26]. Once the obligations are discharged, the stated property is derived and stored under the specified name (subst_subst). For technical reasons given in Section V, the derivation can be performed only by an Isabelle command, not by a proof method as is done for uniform (co)datatypes [10]. Unlike commands, proof methods can be invoked on arbitrary proof goals in the middle of a proof.

As a simple example involving nonuniform codatatypes, we prove the equivalence between two definitions of the constant powerstream. The required proofs are fully automatic after specifying the trivial bisimulation relation $R \models r \Leftrightarrow \exists x \, xs. l = \text{const} x \land r = \text{map}_{\text{pstream}} (\lambda x. x) xx$ in the coinduction proof:

\[
\begin{align*}
\text{nonuniform_codatatype } \alpha \text{ pstream} = \\
\text{Cons } \alpha ((\alpha \times \alpha) \text{ pstream})
\end{align*}
\]

VIII. Discussion and Related Work

a) Inspiration: We generalized Okasaki’s construction [35] to a large class of datatypes. Nordhoff et al. [34] partially relied on this construction (defining the $\text{sh}$ and $\text{raw}$ types but without introducing a new nonuniform type) in their Isabelle/HOL formalization of 2-3 finger trees. We have not found any corresponding reduction of nonuniform to uniform codatatypes in the literature.

For recursion, we refined Bird and Paterson’s generalized fold combinators [9] in several ways, including weakening the parametricity/naturality condition and enabling non-functor target domains. In turn, Bird and Paterson had improved on the standard sheaf-functor approach from category theory [27].

Our (co)induction principles take advantage of the BNF structure including set operators and relators. They constitute a lightweight alternative to fibration-based approaches [17], [22] for the category of sets and functions.

b) Comparison with Other Proof Assistants: Our work shows that nonuniform (co)datatypes and the associated polymorphic (co)recursion [21], [32] can be supported in the minimalistic rank-one polymorphic framework of HOL, and therefore made available in HOL-based proof assistants, which cover about half of the theorem proving community.

The dependent type theory (DTT) camp, represented by Agda, Coq, Matita, and Lean, has sophisticated type systems built into their mechanized logic, including native nonuniform datatypes. Several case studies in these proof assistants exploit nonuniformity [4], [15], [25], [33], [39].

Compared with the DTT systems, our support for nonuniform types in HOL has some limitations. Obviously, dependent families of (nonuniform) types cannot be expressed in HOL. In addition, Agda supports self-nested (co)datatypes—e.g., $\alpha \text{ bush} = \text{BNil} | \text{BCons } \alpha (\alpha \text{ bush} \text{ bush})$. Moreover, our (co)induction principles have some restrictions concerning (a weak form of) parametricity. The reason is that we cannot perform well-founded induction across types in HOL. Although practical predicates about functional programs obey them, the restrictions are not necessary semantically. Appendix D presents an axiomatic extension that eliminates them. However, adding axioms, regardless of how provably correct they may be, is generally frowned upon by users of HOL-based systems.

Our approach derives some advantages from its category-theoretical orientation. First, arbitrary parameter types, and not only (co)datatypes, are allowed in the specifications for nonuniform types, either inside or outside of the recursive occurrences in the specification. For example, the type $\text{tree}$ from Section I is possible because the type $\alpha \text{ fset}$ of finite sets is a BNF. This is excluded with DTT, which restricts datatypes to a predefined grammar. Second, since the foundational

3The implementation of these two commands is incomplete at the time of this writing. We do not foresee any difficulties beyond those which we met for the other commands and expect to finish the implementation in the weeks following the submission deadline. The archive [11] will be updated.
approach compels us to maintain the functorial structure to justify fixpoint definitions, users enjoy map functions and relators, as well as some polytypic properties directly or within immediate reach. Our nonuniform recursion principle delivers parametric functions, i.e., natural transformations. Moreover, the fusion laws [9] (Appendix C), which help reasoning about functional programs, depend on functoriality and naturality, and they are immediate in our framework. By contrast, in DTT, little structure is available for nonuniform datatypes after definition. In particular, map functions and relators are missing and can be tricky to add for some types.

c) Other Work: The pioneering work of Bird and his collaborators on nonuniform datatypes [7], [8], [9] has been extended in several directions, including structures for efficient functional programming [23], [24], [28], datatypes with references [16], as well as work directly relevant for DTT proof assistants: reduction to W-types and container types [1], typed term rewriting frameworks for total programming [2], [3], [29], and induction in intensional DTT [30]. Our contribution was concerned with bootstrapping nonuniform datatypes in HOL on a sound and compositional basis. Time will tell if Isabelle/HOL users, or more generally the HOL community of users and researchers, will embrace nonuniform datatypes and their applications to the same extent as in advanced programming languages and type theories.

Acknowledgment: We thank David Basin for supporting this research, Peter Lammich for pointing us to his work on finger trees and for formalizing Okasaki’s construction for powerlists, Johannes Hölzl for taking the time to explain Lean’s nonuniform datatypes, and Mark Summerfield and the anonymous reviewers for suggesting textual improvements. Blanchette has received funding from the European Research Council (ERC) under the European Union’s Horizon 2020 research and innovation program (grant agreement No. 713999, Matryoshka). Popescu has received funding from UK’s Horizon 2020 research and innovation program (grant agreement 753187, Popescu). Hölzl for taking the time to explain Lean’s nonuniform datatypes, and for formalizing Okasaki’s construction for powerlists, Johannes Hölzl.

REFERENCES


Paper: title

Appendix

A. (Weak) Parametricity and Naturality

We define and connect the various parametric notions used in the paper. We fix two n-ary BNFs $F$ and $G$.

A polymorphic constant $c : \forall \alpha : F$ is parametric if $\text{rel}_F (c : \forall \alpha : F) (c : \beta F)$ holds for all $R : \alpha \rightarrow \beta$. We generalize this notion from BNFs to the full function space. (Note that the function space $\alpha \rightarrow \beta$ is only a BNF in $\beta$, since BNFs are strictly positive functions.) A function $f : F \rightarrow G$ between two BNFs is parametric if $(\text{rel}_F \Rightarrow \text{rel}_G) f f$ holds for all $R$. We use the function space relator $R \Rightarrow S$ defined as $M g, (\forall a R. a \Rightarrow S (f a) (g b))$. In other words, two functions are related by $R \Rightarrow S$ if for all $R$-related inputs, the outputs are $S$-related. Using the function space relator parametricity can be defined for higher-order functions of arbitrary arity as well.

Parametricity is a strong requirement. For example, polymorphic equality is not parametric. A weaker requirement is injective-parametricity ($\text{rel}_F \Rightarrow \text{rel}_G \Rightarrow \Rightarrow$) for higher-order functions of arbitrary arity as well.

For some constants, in particular the existential and universal quantifiers, injective-parametricity is still too strong. In general, on graphs of injective functions, i.e., left-total, single-valued relations. Polymorphic equality is injective-parametric, i.e. $(\forall \alpha. \forall \beta. \beta \rightarrow \alpha)$. Dually, we have $(\forall \alpha. \forall \beta. \alpha \rightarrow \beta)$.

Now we can formulate a generalization of (1), taking into account arbitrary shadows, not just $\ddot{u}$. For each nonterminal $x$, we write $\text{Lang}_x (\text{Gr})$ or $\text{Lang}_{\alpha_0 \alpha_1 \cdots \alpha_n} (\text{Gr})$ for the language (co)generated by $x$.

For datatypes: That every $I \in \text{Lang}_{\alpha_0 \alpha_1 \cdots \alpha_n} (\text{Gr})$ is an $\alpha_0$-witness follows by structural induction on its derivation tree in $\text{Gr}$. Conversely, that for every $\alpha_0$-witness $I$, we have $I \in \text{lang}_{\alpha_0 \alpha_1 \cdots \alpha_n} (\text{Gr})$ follows by induction on the definition of $\alpha_0$.

For codatatypes: To prove that every $I_0 \in \text{Lang}_{\alpha_0 \alpha_1 \cdots \alpha_n} (\text{Gr})$ is an $\alpha_0$-witness, let $\text{Gr}$ be such that $\forall \alpha_0. \Delta \alpha_1 \neq \emptyset$. With $u_0, u_1, I_0$ and $\Delta$ fixed, let $I$ be a (possibly infinite) derivation tree of $(\gamma_0 u_0, \cdots, \gamma_n u_n)$ in $\text{Gr}$—thus having $I_0$ as the set of terminals on its frontier. Let $\Delta_{\alpha_0} \Delta_{\alpha_1}$ consist of all shadows having $u_0$ as a prefix and such that the nonterminal $(\gamma u) t_0$ occurs in the tree $\text{Gr}$, where we write $\gamma$ for $(\gamma_0, \cdots, \gamma_n)$.

Mutually corecursively (by primitive raw-corecursion), we define the functions $w : \Delta_{\alpha_0} \rightarrow \text{rel}_I$ by

\[
\text{where the element } g_0 \in (\text{rel}_I) \text{ is defined as follows: Let } (\gamma u) t_1 \rightarrow (\gamma u) t_2. \text{ Then, for each } k \in \text{dom}(\gamma u) \text{, the set of } t \text{ such that } (\gamma u) t \rightarrow \gamma u \text{ is in } t \text{ (respectively } k \text{) for each } k \in \text{dom}(\gamma u) \). \text{ Then, we have } g_0 \in \text{rel}_I \text{.}
\]

From the definition of $\text{def}_T$ it follows that, for each $x$ such that $k + j \in J$, the nonterminal $(\gamma u + \gamma_0 u_0) \cdots \gamma_n u_n (\gamma u)$ is also in $\text{Gr}$. Since only type $I$ productions are applicable to $\text{pol} + \ldots + \gamma u_0 (\ldots + \gamma u)$, it is vacuously true that $k + j \in J$.

From the definition of $\text{def}_T$ it follows that, for each $k \in \text{dom}(\gamma u) \text{, the nonterminal } \gamma u_0 \text{ is also in } \text{Gr}$. Since only type $I$ productions are applicable to $\text{pol} + \ldots + \gamma u_0 (\ldots + \gamma u)$, it is vacuously true that $k + j \in J$.

Thus, we have constructed the elements $j \in \Delta_{\alpha_0}$ for each $j$ such that $k + j \in J$ and $x \in \text{sh}_{\gamma u}(k}$ for each $k \in \text{dom}(\gamma u)$, for each $k \in \text{dom}(\gamma u)$. Since $J$ is a witness for $G_0$, we obtain our desired element $g_0 \in (\text{rel}_I) \Delta_{\alpha_0}$, which concludes the definition of the $w_I$'s. Because of our choices in the definition, it is now routine to prove the following:
• by rule conduction on the definition of the \( \text{ok}_i \)'s, that
  \( \text{ok}_i u (\text{w}_i u) \) holds;
• by rule induction on the definition of the set operators for \( \text{raw} \),
  that \( \text{set}_{\text{raw}}(\text{w}_i u) \subseteq A_i \) holds, which means that \( \text{w}_i u \in \text{raw}_i \bar{A} \) holds.

This concludes the proof that \( b_i \) is a witness.

Conversely, to prove that for every \( u \)-witness \( J \), we have \( I \subseteq J \) for some \( I \in \text{Lang}_{\text{\( \gamma \)}}(\gamma \ldots n \ldots \alpha \ldots u \ldots \text{w}_i \ldots \text{Gr}) \), we construct a (possibly infinite) derivation tree whose frontier includes \( J \). The construction proceeds corecursively by each next production being the result of applying the last production to the previous ones, each producing a new set of productions to be applied from \( J \) and the \( G_i \)'s witnesses.

\[ \square \]

C. Fusion Laws

We fix a nonuniform datatype \( aT = \langle a, a F, T \rangle G \). Let us write \( \text{NURec}(X, Y, V, a, b) \) for the polymorphic function \( f : a X \rightarrow a Y \) defined by nonuniform recursion from a blueprint \( : (a X, a V Y) G \rightarrow a Y \) and a swapper \( a : a X F \rightarrow a V X \), as in Section VI-A. \( \text{NURec} \) cannot be a HOL combinator; it is simply a meta-level notation.

**Theorem 11**: The following hold:

Fold fusion: If \( \kappa : a X \rightarrow a Y \) is such that \( \kappa \circ b = b' \circ \text{map}_G \kappa \),
then \( \kappa \circ \text{NURec}(X, Y, V, a, b) = \text{NURec}(X, Y, V, a, b') \).

Map fusion: If \( \kappa : a X' \rightarrow a X \) is such that \( \kappa \circ a = a \circ \text{map}_F \kappa \),
then \( \text{NURec}(X, Y, V, a, b) \circ \text{map}_F \kappa = \text{NURec}(X', Y, V, a, b \circ \text{map}_G \kappa) \).

**Proof.** For fold fusion, let \( f = \text{NURec}(X, Y, V, a, b) \) and \( f' = \text{NURec}(X, Y', V, a, b)' \). Defining the predicate \( P \) by \( P g \iff g = f' g \),
we have \( P \) is IAP (since \( f \)' and \( f \)' are IAP, and so is the equality). Then \( P \) follows by nonuniform induction (rule schema \( \text{Ind}_F' \)),
chasing the left diagram of Figure 7 (where, as usual, we omit the mapping function for \( G \)—induction essentially allows one to assume that \( \kappa \circ f = f' \) holds on the right of the diagram (inside the \( \text{set}_G^g \)-components) and requires one to prove that it holds for the left of the diagram—this is trivial from the assumption \( \kappa \circ b = b' \circ \text{map}_G \kappa \) and the functoriality of the involved BNFs.

The case of map fusion is similar—depicted in the right diagram of Figure 7. As can be seen in the upper sub-diagram, here, besides functoriality, we also need that the destructor is a natural transformation (which is guaranteed by our construction and automatically delivered as a theorem when the type \( aT \) is defined).

\[ \square \]

The duals of the fusion laws hold when \( aT \) is a nonuniform codatatype as in Section VI-B.

D. Cross-Type Induction Schema

As discussed in the paper, a main restriction of our work is induction for nonuniform types, where we require IA-parametricity of the predicate. Here, we show how a gentle, provably consistent axiomatic extension of HOL removes this restriction. The axiom does not refer to nonuniform datatypes, or the intricate construction leading to them, or even to BNFs. Rather, it is a general-purpose axiom for cross-type well-founded induction and recursion.

We fix the types \( aT, aF, M \) (with the notations \( T \) and \( F \) not connected to nonuniform datatypes).

Let \( P : aT \rightarrow bool \) be a polymorphic predicate, for which we want to prove \( \forall a \forall t : aT \vdash P t \). A natural approach would be induction using a measure \( m : aT \rightarrow M \) which decreases w.r.t. a well-founded relation \( r : M set \rightarrow M set \rightarrow bool \). But what if the measure decreases by changing the type, say \( t : (m\langle t' \rangle \langle m\rangle t) \) where \( t : aT \) and \( t' : aF \)?

This is still acceptable, since well-foundedness should still operate across the types \( aF T \). Formally, we would like to have the following rule, where \( wF \) stands that \( wF \) is well-founded:

\[ \forall a \forall t : aT \vdash \exists t' : aT. (wF (wF t)) \Rightarrow P t \]

\[ \square \]

**Theorem 12**: The rule schema \( \text{WFInd} \) is sound in the standard models of HOL \([A4]\) and in the ground models of Isabelle/HOL \([A2]\). Hence it is consistent with HOL and Isabelle/HOL.

We treat Isabelle/HOL specially because it allows ad hoc overloading intertwined with type definitions, which is problematic in the standard HOL semantics \([A2]\, [A3]\).

**Proof.** In short, the schema is consistent with HOL because it is clearly sound in the set-theoretic interpretation of HOL. The following argument elaborates this idea.

A standard model of HOL fixes a universe \( \mathcal{U} \), i.e., a set of sets with some closure properties (e.g., closure under function spaces). It interprets a type constructor such as \( T \) as a function on this universe, \( T : \mathcal{U} \rightarrow \mathcal{U} \), a type such as \( M \) as an element of the universe, \( [M] \in \mathcal{U} \), etc. Moreover, a polymorphic constant such as \( aT \rightarrow M \) is interpreted as a \( \mathcal{U} \)-indexed family \( \{[m]a \mid a \in \mathcal{U} \} \) where \([m]a : T(a) \rightarrow M \).

Crucially, it interprets the function-space type constructor as the set of all functions between the interpretation of its arguments and the type \( nat \) as a countable set \( \mathbb{N} \), which with \([0]\) and \([Suc]\) is isomorphic to the natural numbers.

This means that the scheme \( \text{WFInd} \) can be justified inside \( \mathcal{U} \) as follows: Assuming its conclusion is false and repeatedly using its hypothesis, we obtain the infinite sequences \( \{A_i\} \) and \( \{b_i\} \) such that \( A_{i+1} = [f(A_i), b_i \in [T(A_i)] \text{ and } [r][m](A_i)(b_i)](A_i)(b_i) = [True] \).

Taking \( c_i = [m](A_i)(b_i) \), this gives us an infinite sequence \( \{c_i\} \) such that \( c_i \in [M] \) and \( [r](c_i) = [True] \). Thanks to standardsness, \( \{c_i\} \) yields a witness for the formula \( \exists i : \mathbb{N}. \forall i : \mathbb{N}. (r(c_i) = c_i) \), which therefore holds in the model. This contradicts the fact that \([wf r]\) also holds in the model.

A ground model of Isabelle/HOL only interprets the ground (monomorphic) types and terms, again with a standard interpretation for functions and numbers. A formula is true in such a model iff all its ground substitutions are true. For example, \( \forall x : a. x = x \) is true because, for all ground types \( K \), the ground formula \( \forall x : K. x = x \) is true.

The argument for why the schema \( \text{WFInd} \) is sound is similar to the case of standard HOL models, but employing ground types \( K \) instead of the sets \( A_i \).

\[ \square \]

With this addition, we can remove the parametricity requirement from Theorem 8:

**Theorem 13**: The \( \text{Ind} \) schema is derivable in HOL enriched with the \( \text{WFInd} \) schema.

**Proof.** The derivation takes place by instantiating the parameters of \( \text{WFInd}_{T,F,m,P} \) using those of \( \text{Ind}_F' \).

- \( T \) and \( F \) as in the nonuniform datatype definition \( aT = \langle a, a F, T \rangle G \);
- \( M \) to be the uniform datatype \( M = \text{MCons}((\text{unit}, M) G) \);
- \( r \) to be the immediate subterm relation associated to \( M \), namely \( \{m \in \mathcal{M} | m \in \text{set}_G^m \} \text{MCons}(M m) \);
- \( m \) to be the composition \( \text{rawmeas} \circ \text{Rep}_F \), where \( \text{Rep}_F : aT \rightarrow a \text{raw} \) is the representation function for \( T \) and \( \text{rawmeas} : \text{raw} \rightarrow M \) sends any \( r \) to its recursive depth:

\[ \text{rawmeas} (\text{Raw} g) = \text{MCons} (\text{map}_G (\text{iad} g) \text{rawmeas} g) \]

With these parameters in place, it is not hard to verify that the assumptions of \( \text{WFInd}_{T,F,m,P} \) hold.

\[ \square \]

In summary, the unrestricted version of nonuniform induction is available in a consistent axiomatic extension of HOL. Users can choose between enabling this axiom or using the more restricted rule that depends on parametricity.

**References**


Fig. 7. Proof of the fusion laws: fold (left) and map (right)
