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# 编程语言的设计原理

## Design Principles of Programming Languages

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# Recap on Subtype



# Rule of Subsumption

*a value of one type* can always safely be used where *a value of the other is expected*.

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$

1. a *subtyping relation* between types, written  $S <: T$
2. a rule of *subsumption* stating that, if  $S <: T$ , then any value of type  $S$  can also be regarded as having type  $T$

# Subtype Relation



$$S <: S \quad (\text{S-REFL})$$

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

$$\{l_i : T_i^{i \in 1..n+k}\} <: \{l_i : T_i^{i \in 1..n}\} \quad (\text{S-RCDWIDTH})$$

$$\frac{\text{for each } i \quad S_i <: T_i}{\{l_i : S_i^{i \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDDEPTH})$$

$$\frac{\{k_j : S_j^{j \in 1..n}\} \text{ is a permutation of } \{l_i : T_i^{i \in 1..n}\}}{\{k_j : S_j^{j \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDPERM})$$

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



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# Properties of Subtyping



# Safety

Statements of **progress** and **preservation** theorems are **unchanged** from  $\lambda_{\rightarrow}$   
*However*, Proofs become a bit **more involved**, because the **typing relation** is  
no longer **syntax directed**.

i.e., given a derivation, we **don't always know what rule was used** in **the last step**

e.g., the rule **T-SUB** could appear anywhere

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$



# An *Inversion Lemma* for subtyping

*Lemma:* If  $U <: T_1 \rightarrow T_2$ , then  $U$  has the form  $U_1 \rightarrow U_2$ , with  
 $T_1 <: U_1$  and  $U_2 <: T_2$ .

*Proof:* *By induction on subtyping derivations*

Case S-Arrow:  $U = U_1 \rightarrow U_2$      $T_1 <: U_1$      $U_2 <: T_2$   
Immediate.

Case S-Refl:     $U = T_1 \rightarrow T_2$   
– By S-Refl (twice),  $T_1 <: T_1$  and  $T_2 <: T_2$ , as required

Case S-Trans:     $U <: W$      $W <: T_1 \rightarrow T_2$   
– Applying the IH to the second subderivation, we find that  $W$  has the form  $W_1 \rightarrow W_2$ , with  $T_1 <: W_1$  and  $W_2 <: T_2$ .  
– Now the IH applies again (to the first subderivation), telling us that  $U$  has the form  $U_1 \rightarrow U_2$ , with  $W_1 <: U_1$  and  $U_2 <: W_2$ .  
– By S-Trans,  $T_1 <: U_1$ , and, by S-Trans again,  $U_2 <: T_2$ , as required.



# Inversion Lemma for Typing

*Lemma:* if  $\Gamma \vdash \lambda x: S_1. s_2: T_1 \rightarrow T_2$ , then  
 $T_1 <: S_1$  and  $\Gamma, x: S_1 \vdash s_2: T_2$

*Proof:* Induction on typing derivations.

Case T-Abs:  $T_1 = S_1$ ,  $T_2 = S_2$   $\Gamma, x: S_1 \vdash s_2: S_2$

Case T-Sub:  $\Gamma \vdash \lambda x: S_1. s_2: U$   $U: T_1 \rightarrow T_2$

- By the subtyping inversion lemma,  $U_1 \rightarrow U_2$ , with  $T_1 <: U_1$  and  $U_2 <: T_2$ .
- The IH now applies, yielding  $U_1 <: S_1$  and  $\Gamma, x: S_1 \vdash s_2 : U_2$ .
- From  $U_1 <: S_1$  and  $T_1 <: U_1$ , rule S-Trans gives  $T_1 <: S_1$ .
- From  $\Gamma, x: S_1 \vdash s_2 : U_2$  and  $U_2 <: T_2$ , rule T-Sub gives  $\Gamma, x: S_1 \vdash s_2: T_2$ , thus we are done





# Preservation

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*Theorem:* If  $\Gamma \vdash t : T$  and  $t \rightarrow t'$ , then  $\Gamma \vdash t' : T$ .

*Proof:* *induction on typing derivations.*

*Which cases* are likely to be *hard*?



# Preservation - Subsumption case

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*Case T-Sub:*  $t : S, S <: T$

By the induction hypothesis,  $\Gamma \vdash t' : S$ .

By T-Sub,  $\Gamma \vdash t' : T$ .

Not hard!



# Preservation - Application case

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Case T-App :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \longrightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

By the inversion lemma for evaluation, there are

*three rules*

by which  $t \longrightarrow t'$  can be derived:

E-App1, E-App2, and E-AppAbs.

Proceed by cases



# Preservation - Application case

Case T-App :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase E-App1 :  $t_1 \rightarrow t'_1 \quad t' = t'_1 t_2$

The result follows from **the induction hypothesis** and T-App

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

$$\frac{t_1 \rightarrow t'_1}{t_1 t_2 \rightarrow t'_1 t_2} \quad (\text{E-APP1})$$



# Preservation - Application case

Case T-App :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase E-App2 :  $t_1 = v_1 \quad t_2 \longrightarrow t'_2 \quad t' = v_1 t'_2$

Similar.

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

$$\frac{t_2 \longrightarrow t'_2}{v_1 t_2 \longrightarrow v_1 t'_2} \quad (\text{E-APP2})$$



# Preservation - Application case

Case T-App :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \longrightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase E-AppAbs :

$$t_1 = \lambda x : S_{11}. t_{12} \quad t_2 = v_2 \quad t' = [x \mapsto v_2] t_{12}$$

by the *inversion lemma* for the typing relation ...

$$T_{11} <: S_{11} \quad \text{and} \quad \Gamma, x : S_{11} \vdash t_{12} : T_{12}$$

By using T-Sub,  $\Gamma \vdash t_2 : S_{11}$

by the *substitution lemma*,  $\Gamma \vdash t' : T_{12}$

$$\frac{\Gamma \vdash t_1 : T_{11} \longrightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

$$(\lambda x : T_{11}. t_{12}) v_2 \longrightarrow [x \mapsto v_2] t_{12} \quad (\text{E-APPABS})$$



# Progress

## Lemma for Canonical Forms

1. If  $v$  is a closed value of type  $T_1 \rightarrow T_2$ , then  $v$  has the form  $\lambda x: S_1. t_2$ .
  2. If  $v$  is a closed value of type  $\{l_i: T_i^{i \in 1..n}\}$ , then  $v$  has the form  $\{k_j = v_j^{j \in 1..m}\}$   
with  $\{l_i^{i \in 1..n}\} \subseteq \{k_a^{a \in 1..m}\}$
- *Possible shapes of values* belonging to *arrow* and *record* types.
  - Based on this *Canonical Forms Lemma*, we can still have **the progress theorem** and its proof quite close to what we saw in the simply typed lambda-calculus



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# Subtyping with Other Features





# Ascription and Casting

Ordinary ascription:

$$\frac{\Gamma \vdash t_1 : T}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-ASCRIIBE})$$

$$v_1 \text{ as } T \longrightarrow v_1 \quad (\text{E-ASCRIIBE})$$

(T) T

up-cast

down-cast



# Ascription and Casting

Ordinary ascription:

$$\frac{\Gamma \vdash t_1 : T}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-ASCRIBE})$$

$$v_1 \text{ as } T \longrightarrow v_1 \quad (\text{E-ASCRIBE})$$

Casting (cf. Java):

$$\frac{\Gamma \vdash t_1 : S}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-CAST})$$

$$\frac{\vdash v_1 : T}{v_1 \text{ as } T \longrightarrow v_1} \quad (\text{E-CAST})$$

# Subtyping and Variants



$$\langle l_i : T_i^{i \in 1..n} \rangle <: \langle l_i : T_i^{i \in 1..n+k} \rangle \quad (\text{S-VARIANTWIDTH})$$

$$\frac{\text{for each } i \quad S_i <: T_i}{\langle l_i : S_i^{i \in 1..n} \rangle <: \langle l_i : T_i^{i \in 1..n} \rangle} \quad (\text{S-VARIANTDEPTH})$$

$$\frac{\langle k_j : S_j^{j \in 1..n} \rangle \text{ is a permutation of } \langle l_i : T_i^{i \in 1..n} \rangle}{\langle k_j : S_j^{j \in 1..n} \rangle <: \langle l_i : T_i^{i \in 1..n} \rangle} \quad (\text{S-VARIANTPERM})$$

$$\frac{\Gamma \vdash t_1 : T_1}{\Gamma \vdash \langle l_1 = t_1 \rangle : \langle l_1 : T_1 \rangle} \quad (\text{T-VARIANT})$$



# Subtyping and Lists

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i.e., List is a *covariant type* constructor

$$\frac{S_1 <: T_1}{\text{List } S_1 <: \text{List } T_1} \quad (\text{S-LIST})$$



# Subtyping and References

i.e., `Ref` is *not a covariant* (nor *a contravariant*) type constructor, but an *invariant*

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Ref } S_1 <: \text{Ref } T_1} \quad (\text{S-REF})$$



# Subtyping and References

i.e., `Ref` is not a *covariant* (nor a *contravariant*) type constructor.

Why?

- When a reference is *read*, the context expects a  $T_1$ , so if  $S_1 <: T_1$  then an  $S_1$  is ok.
- When a reference is *written*, the context provides a  $T_1$  and if the actual type of the reference is `Ref  $S_1$` , someone else may use the  $T_1$  as an  $S_1$ . So we need  $T_1 <: S_1$ .



# References again

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Observation: a value of type *Ref T* can be used in *two different* ways:

- as a *source* for values of type *T*, and
- as a *sink* for values of type *T*



# References again

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Observation: a value of type *Ref T* can be used in *two different* ways:

- as a *source* for values of type *T*, and
- as a *sink* for values of type *T*

Idea: Split *Ref T* into three parts:

- *Source T*: reference cell with “read capability”
- *Sink T*: reference cell with “write capability”
- *Ref T*: cell with both capabilities





# Modified Typing Rules

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$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Source } T_{11}}{\Gamma \mid \Sigma \vdash !t_1 : T_{11}} \quad (\text{T-DEREF})$$

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Sink } T_{11} \quad \Gamma \mid \Sigma \vdash t_2 : T_{11}}{\Gamma \mid \Sigma \vdash t_1 := t_2 : \text{Unit}} \quad (\text{T-ASSIGN})$$

# Subtyping rules



$$\frac{S_1 <: T_1}{\text{Source } S_1 <: \text{Source } T_1} \quad (\text{S-SOURCE})$$

$$\frac{T_1 <: S_1}{\text{Sink } S_1 <: \text{Sink } T_1} \quad (\text{S-SINK})$$

$$\text{Ref } T_1 <: \text{Source } T_1 \quad (\text{S-REFSOURCE})$$

$$\text{Ref } T_1 <: \text{Sink } T_1 \quad (\text{S-REFSINK})$$



# Subtyping and Arrays

Similarly...

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Array } S_1 <: \text{Array } T_1} \quad (\text{S-ARRAY})$$

$$\frac{S_1 <: T_1}{\text{Array } S_1 <: \text{Array } T_1} \quad (\text{S-ARRAY.JAVA})$$

This is regarded (even by the Java designers) **as a mistake** in the design



# Capabilities

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Other kinds of capabilities can be treated similarly, e.g.,

- *send* and *receive* capabilities on communication channels
- *encrypt/decrypt* capabilities of cryptographic keys
- ...



# Base Types

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For language with a rich set of base types, it's better to introduce primitive subtype relations among them

- e.g., `Bool <: Nat`



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# Intersection and Union Types



# Intersection Types

The inhabitants of  $T_1 \wedge T_2$  are terms belonging to *both*  $S$  and  $T$  — i.e.,  $T_1 \wedge T_2$  is an order-theoretic meet (*greatest lower bound*) of  $T_1$  and  $T_2$

$$T_1 \wedge T_2 <: T_1 \quad (\text{S-INTER1})$$

$$T_1 \wedge T_2 <: T_2 \quad (\text{S-INTER2})$$

$$\frac{S <: T_1 \quad S <: T_2}{S <: T_1 \wedge T_2} \quad (\text{S-INTER3})$$

$$S \rightarrow T_1 \wedge S \rightarrow T_2 <: S \rightarrow (T_1 \wedge T_2) \quad (\text{S-INTER4})$$



# Intersection Types

Intersection types permit a very *flexible form* of *finitary overloading*, e.g.,

**S-Inter4:**  $+ : (\text{Nat} \rightarrow \text{Nat} \rightarrow \text{Nat}) \wedge (\text{Float} \rightarrow \text{Float} \rightarrow \text{Float})$

This form of overloading is extremely powerful.

Every strongly *normalizing untyped lambda-term* can be typed in *the simply typed lambda-calculus with intersection types*

type reconstruction problem is undecidable

Intersection types *have not been used much* in language designs (too powerful!), but are being *intensively investigated* as type systems for *intermediate languages* in highly optimizing compilers (cf. Church project)





# Union types

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Union types are also useful.

$T_1 \vee T_2$  is an **untagged** (non-disjoint) *ordinary union* of the set of values belonging to  $T_1$  and that of values belonging to  $T_2$ .

**No tags**: no *case* construct. The only operations we can safely perform on elements of  $T_1 \vee T_2$  are ones *that make sense for both*  $T_1$  and  $T_2$ .

**Note well**: untagged union types in C are a source of *type safety violations* precisely because they ignores this restriction, allowing any operation on an element of  $T_1 \vee T_2$  that makes sense for *either*  $T_1$  or  $T_2$ .

Union types are being used recently in type systems for XML processing languages (cf. Xduce, Xtatic).



# Varieties of Polymorphism

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- Parametric polymorphism (ML-style)
- Subtype polymorphism (OO-style)
- Ad-hoc polymorphism (overloading)



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# Issues in Subtyping



# Typing with Subsumption

*Principle of safe substitution:*

- *a value of one* can *always safely be used* where *a value of the other* is expected

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$

1. a *subtyping relation* between types, written  $S <: T$
2. a rule of *subsumption* stating that, if  $S <: T$ , then any value of type  $S$  can also be regarded as having type  $T$ , i.e.,



# Subtype Relation: General rules

A subtyping is *a binary relation* between *types* that is closed under the following rules

$$S <: S \quad (\text{S-REFL})$$

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



# Issues in Subtyping

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For a *given subtyping statement*, there are *multiple rules* that could be used in a derivation.

1. The conclusions of *S-RcdWidth*, *S-RcdDepth*, and *S-RcdPerm* *overlap with each other*.
2. *S-REFL* and *S-TRANS* overlap with every other rule.



# Syntax-directed rules

In the simply typed lambda-calculus (without subtyping), *each rule* can be “*read from bottom to top*” in a straightforward way.

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

If we are given some  $\Gamma$  and some  $t$  of the form  $t_1 t_2$ , we can try to *find a type* for  $t$  by

1. finding (recursively) a type for  $t_1$
2. checking that it has the form  $T_{11} \rightarrow T_{12}$
3. finding (recursively) a type for  $t_2$
4. checking that it is the same as  $T_{11}$



# Syntax-directed rules

The reason this works is that we can *divide the “**positions**”* of the typing relation into ***input positions*** (i.e.,  $\Gamma$  and  $t$ ) and ***output positions*** ( $T$ ).

- For the input positions, **all metavariables** appearing in the *premises* also appear in the *conclusion* (so we can calculate inputs to the “sub-goals” from the sub-expressions of inputs to the main goal)
- For the output positions, **all metavariables** appearing in the *conclusions* also appear in the *premises* (so we can calculate outputs from the main goal from the outputs of the subgoals)

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$





# Syntax-directed sets of rules

The *second important point* about the simply typed lambda-calculus is that *the set of typing rules is syntax-directed*:

- for every “*input*”  $\Gamma$  and  $t$ , there is *one rule* that can be used to derive typing statements involving  $t$ , e.g.,
  - if  $t$  is an *application*, then we must proceed by trying to use **T-App**
- If we succeed, then we have found **a type** (indeed, the *unique type*) for  $t$
- If it *fails*, then we know that  $t$  is *not typable*

⇒ no backtracking!



# Non-syntax-directedness of typing

When we extend the system with *subtyping*, **both** aspects of syntax-directedness get broken.

1. The set of typing rules now includes *two* rules that can be used to give a type to terms of a given shape (*the old one* + T-SUB)

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$

2. Worse yet, the new rule T-SUB *itself is not syntax directed*: the *inputs* to *the left-hand sub-goal are exactly the same* as the *inputs* to *the main goal*

Hence, if we translate the typing rules naively into a typechecking function, the case corresponding to T-SUB would cause *divergence*



# Non-syntax-directedness of subtyping

Moreover, the *subtyping relation* is *not syntax directed* either

1. There are *lots of ways* to derive a given subtyping statement ( ∴ 8.2.4 /9.3.3 [uniqueness of types] × )
2. The transitivity rule

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

is *badly non-syntax-directed*: the premises contain a *metavariable* (in an “*input position*”) that does *not appear at all in the conclusion*.

To implement this rule naively, we have to *guess* a value for *U*!



# What to do?

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We'll turn the *declarative version* of subtyping into the *algorithmic version*

The **problem** was that

we don't have an algorithm to decide when  $S <: T$  or  $\Gamma \vdash t : T$

Both sets of rules are not *syntax-directed*



# What to do?

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1. *Observation*: We don't *need lots of ways* to prove a given typing or subtyping statement — *one is enough*.  
→ *Think more carefully about the **typing and subtyping** systems to see where we can get rid of **excess flexibility**.*
2. Use the resulting intuitions to formulate new “*algorithmic*” (i.e., syntax-directed) typing and subtyping relations.
3. Prove that the algorithmic relations are “*the same as*” the original ones in an appropriate sense.



# Chap 16

## Metatheory of Subtyping

Algorithmic Subtyping

Algorithmic Typing

Joins and Meets



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# Developing an algorithmic subtyping relation



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# Algorithmic Subtyping





# What to do

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How do we change the rules deriving  $S <: T$  to be *syntax-directed*?

There are lots of ways to derive a given subtyping statement  $S <: T$ .

The general idea is to *change this system* so that there is *only one way* to derive it.



# Step 1: simplify record subtyping

**Idea:** combine all three record subtyping rules into one “*macro rule*” that captures all of their effects

$$\frac{\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\} \quad k_j = l_i \text{ implies } S_j <: T_i}{\{k_j : S_j^{j \in 1..m}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCD})$$



# Simpler subtype relation

$$S <: S \quad (\text{S-REFL})$$

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

$$\frac{\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\} \quad k_j = l_i \text{ implies } S_j <: T_i}{\{k_j : S_j^{j \in 1..m}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCD})$$

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



## Step 2: Get rid of reflexivity

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*Observation:* S-REFL is unnecessary.

*Lemma 16.1.2:*  $s <: s$  can be derived for every type S without using S-REFL.



# Even simpler subtype relation

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

$$\frac{\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\} \quad k_j = l_i \text{ implies } S_j <: T_i}{\{k_j : S_j^{j \in 1..m}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCD})$$

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



## Step 3: Get rid of transitivity

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*Observation:* S-Trans is unnecessary.

*Lemma 16.1.2:* If  $S \leq T$  can be derived, then it can be derived without using S-Trans .



# Even simpler subtype relation

$$\frac{\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\} \quad k_j = l_i \text{ implies } S_j <: T_i}{\{k_j : S_j^{j \in 1..m}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCD})$$

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



# “Algorithmic” subtype relation

$$\boxed{\vdash} S <: \text{Top} \quad (\boxed{\text{SA-TOP}})$$

$$\frac{\vdash T_1 <: S_1 \quad \vdash S_2 <: T_2}{\vdash S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{SA-ARROW})$$

$$\frac{\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\} \quad \text{for each } k_j = l_i, \quad \vdash S_j <: T_i}{\vdash \{k_j : S_j^{j \in 1..m}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{SA-RCD})$$





# Soundness and completeness

**Theorem[16.1.5]:**  $S <: T$  iff  $\mapsto S <: T$

Terminology:

- The *algorithmic presentation* of subtyping is *sound* with respect to the original, if  $\mapsto S <: T$  implies  $S <: T$  (*Everything validated by the algorithm is actually true*)
- The *algorithmic presentation* of subtyping is *complete* with respect to the original, if  $S <: T$  implies  $\mapsto S <: T$  (*Everything true is validated by the algorithm*)



# Decision Procedures

Recall:

A *decision procedure* for a relation  $R \subseteq U$  is *a total function*  $p$  from  $U$  to  $\{true, false\}$  such that  $p(u) = true$  iff  $u \in R$ .

Is our *subtype* function a decision procedure?

*subtype* is just an implementation of the algorithmic subtyping rules, we have

1. if  $subtype(S, T) = true$ , then  $\mapsto S <: T$

hence, by **soundness** of the algorithmic rules,  $S <: T$

1. if  $subtype(S, T) = false$ , then not  $\mapsto S <: T$

hence, by **completeness**

of the algorithmic rules, not  $S <: T$

Q: **What's missing?**



# Decision Procedures

---

Is our *subtype* function a decision procedure?

Since *subtype* is just an implementation of the algorithmic subtyping rules, we have

1. if  $\text{subtype}(S, T) = \text{true}$ , then  $\mapsto S <: T$

(hence, by **soundness** of the algorithmic rules,  $S <: T$ )

1. if  $\text{subtype}(S, T) = \text{false}$ , then not  $\mapsto S <: T$

(hence, by **completeness** of the algorithmic rules, not  $S <: T$ )

Q: **What's missing?**

A: How do we know that *subtype* is a **total function**?



# Decision Procedures

Is our *subtype* function a decision procedure?

Since *subtype* is just an implementation of the algorithmic subtyping rules, we have

1. if  $subtype(S, T) = true$ , then  $\vdash S <: T$

(hence, by **soundness** of the algorithmic rules,  $S <: T$ )

1. if  $subtype(S, T) = false$ , then not  $\vdash S <: T$

(hence, by **completeness** of the algorithmic rules, not  $S <: T$ )

Q: **What's missing?**

A: How do we know that *subtype* is a **total function**?

**Prove it!**



# Decision Procedures

---

*Recall:* A decision procedure for a relation  $R \subseteq U$  is *a total function*  $p$  from  $U$  to  $\{true, false\}$  such that  $p(u) = true$  iff  $u \in R$ .

Example:

$$U = \{1, 2, 3\}$$

$$R = \{(1, 2), (2, 3)\}$$

**Note that**, we are saying nothing about *computability*.



# Decision Procedures

*Recall:* A decision procedure for a relation  $R \subseteq U$  is *a total function*  $p$  from  $U$  to  $\{true, false\}$  such that  $p(u) = true$  iff  $u \in R$ .

Example:

$$U = \{1, 2, 3\}$$

$$R = \{(1, 2), (2, 3)\}$$

The function  $p'$  whose graph is

$$\{((1, 2), true), ((2, 3), true)\}$$

*is not* a decision function for  $R$



# Decision Procedures

*Recall:* A decision procedure for a relation  $R \subseteq U$  is *a total function*  $p$  from  $U$  to  $\{true, false\}$  such that  $p(u) = true$  iff  $u \in R$ .

Example:

$$U = \{1, 2, 3\}$$

$$R = \{(1, 2), (2, 3)\}$$

The function  $p''$  whose graph is

$$\{((1, 2), true), ((2, 3), true), ((1, 3), false)\}$$

is *also not* a decision function for  $R$



# Decision Procedures

Recall: A decision procedure for a relation  $R \subseteq U$  is *a total function*  $p$  from  $U$  to  $\{true, false\}$  such that  $p(u) = true$  iff  $u \in R$ .

Example:

$$U = \{1, 2, 3\}$$

$$R = \{(1, 2), (2, 3)\}$$

The function  $p$  whose graph is

$$\begin{aligned} &\{ ((1, 2), true), ((2, 3), true), \\ &\quad ((1, 1), false), ((1, 3), false), \\ &\quad ((2, 1), false), ((2, 2), false), \\ &\quad ((3, 1), false), ((3, 2), false), ((3, 3), false) \} \end{aligned}$$

is a decision function for  $R$





# Decision Procedures (take 2)

---

We want *a decision procedure* to be a *procedure*.

A *decision procedure* for a relation  $R \subseteq U$  is a **computable total function**  $p$  from  $U$  to  $\{true, false\}$  such that

$$p(u) = true \text{ iff } u \in R.$$



# Example

$$U = \{1, 2, 3\}$$

$$R = \{(1, 2), (2, 3)\}$$

The function

$$p(x, y) = \begin{array}{l} \text{if } x = 2 \text{ and } y = 3 \text{ then true} \\ \text{else if } x = 1 \text{ and } y = 2 \text{ then true} \\ \text{else false} \end{array}$$

whose graph is

$$\begin{array}{l} \{ ((1, 2), \text{true}), ((2, 3), \text{true}), \\ ((1, 1), \text{false}), ((1, 3), \text{false}), \\ ((2, 1), \text{false}), ((2, 2), \text{false}), \\ ((3, 1), \text{false}), ((3, 2), \text{false}), ((3, 3), \text{false}) \} \end{array}$$

is a decision procedure for  $R$ .



# Example

$$U = \{1, 2, 3\}$$

$$R = \{(1, 2), (2, 3)\}$$

The recursively defined *partial function*

$p(x, y) = \text{if } x = 2 \text{ and } y = 3 \text{ then true}$

$\text{else if } x = 1 \text{ and } y = 2 \text{ then true}$

$\text{else if } x =$

$1 \text{ and } y = 3 \text{ then false}$

$\text{else } p(x, y)$

whose graph is

$\{ ((1, 2), \text{true}), ((2, 3), \text{true}), ((1, 3), \text{false}) \}$

is *not* a decision procedure for  $R$ .



# Subtyping Algorithm

The following *recursively defined total function* is a *decision procedure* for the subtype relation:

$subtype(S, T) =$

if  $T = Top$ , then *true*

else if  $S = S_1 \rightarrow S_2$  and  $T = T_1 \rightarrow T_2$

then  $subtype(T_1, S_1) \wedge subtype(S_2, T_2)$

else if  $S = \{k_j: S_j^{j \in 1..m}\}$  and  $T = \{l_i: T_i^{i \in 1..n}\}$

then  $\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\}$

$\wedge$  for all  $i \in 1..n$  there is some  $j \in 1..m$  with  $k_j = l_i$  and

$subtype(S_j, T_i)$

else *false*.



# Subtyping Algorithm

This *recursively defined total function* is a decision procedure for the subtype relation:

$subtype(S, T) =$

if  $T = Top$ , then *true*

else if  $S = S_1 \rightarrow S_2$  and  $T = T_1 \rightarrow T_2$

then  $subtype(T_1, S_1) \wedge subtype(S_2, T_2)$

else if  $S = \{k_j: S_j^{j \in 1..m}\}$  and  $T = \{l_i: T_i^{i \in 1..n}\}$

then  $\{l_i^{i \in 1..n}\} \subseteq \{k_j^{j \in 1..m}\}$

$\wedge$  for all  $i \in 1..n$  there is some  $j \in 1..m$  with  $k_j = l_i$  and  $subtype(S_j, T_i)$

else *false*.

To show this, we *need to prove* :

1. that it returns *true* whenever  $S <: T$ , and
2. that it returns either *true* or *false* on *all inputs*

[16.1.6 Termination Proposition]



---

# Algorithmic Typing



# Algorithmic typing

---

How do we implement a *type checker* for the lambda-calculus *with subtyping*?

Given a context  $\Gamma$  and a term  $t$ , how do we determine its type  $T$ , such that  $\Gamma \vdash t : T$ ?



# Issue

For the typing relation, we have *just one problematic rule* to deal with: *subsumption rule*

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$

Q: where is this rule really needed?

For *applications*, e.g., the term  $(\lambda r: \{x: \text{Nat}\}. r.x) \{x = 0, y = 1\}$  is *not typable* without using subsumption.

Where else??

*Nowhere else!*

Uses of subsumption rule to help typecheck *applications* are the only interesting ones.





# Plan

---

1. Investigate *how subsumption is used in typing derivations* by *looking at examples* of how it can be “*pushed through*” other rules;
2. Use the intuitions gained from these examples to design a new, algorithmic typing relation that
  - *Omits subsumption;*
  - Compensates for its absence by *enriching the application rule;*
3. *Show that the algorithmic typing relation is essentially equivalent to the original, declarative one.*



# Example (T-ABS)

becomes

$$\frac{\frac{\vdots}{\Gamma, x:S_1 \vdash s_2 : S_2} \quad \frac{\vdots}{S_2 <: T_2}}{\Gamma, x:S_1 \vdash s_2 : T_2} \text{ (T-SUB)}$$

$$\frac{\Gamma, x:S_1 \vdash s_2 : T_2}{\Gamma \vdash \lambda x:S_1 . s_2 : S_1 \rightarrow T_2} \text{ (T-ABS)}$$

$$\frac{\frac{\vdots}{\Gamma, x:S_1 \vdash s_2 : S_2} \quad \frac{\frac{\vdots}{S_1 <: S_1} \text{ (S-REFL)} \quad \frac{\vdots}{S_2 <: T_2}}{S_1 \rightarrow S_2 <: S_1 \rightarrow T_2} \text{ (S-ARROW)}}{\Gamma \vdash \lambda x:S_1 . s_2 : S_1 \rightarrow T_2} \text{ (T-SUB)}$$



# Intuitions

---

These examples show that *we do not need*  $T\text{-SUB}$  to “enable”  $T\text{-ABS}$  :

given any typing derivation, we **can construct a derivation** *with the same conclusion* in which  $T\text{-SUB}$  is *never used immediately before*  $T\text{-ABS}$ .

What about  $T\text{-APP}$ ?

We’ve already observed that  $T\text{-SUB}$  is required for typechecking some *applications*

Therefore we expect to find that we **cannot play the same game** with  $T\text{-APP}$  as we’ve done with  $T\text{-ABS}$

Let’s see why.



# Example (T-Sub with T-APP on the left)

becomes

$$\begin{array}{c}
 \vdots \\
 \hline
 \Gamma \vdash s_1 : S_{11} \rightarrow S_{12} \\
 \hline
 \Gamma \vdash s_1 : T_{11} \rightarrow T_{12} \quad \text{(T-SUB)} \\
 \hline
 \Gamma \vdash s_1 s_2 : T_{12} \quad \text{(T-APP)} \\
 \hline
 \Gamma \vdash s_1 s_2 : T_{12}
 \end{array}$$

$$\begin{array}{c}
 \vdots \\
 \hline
 \Gamma \vdash s_1 : S_{11} \rightarrow S_{12} \\
 \hline
 \Gamma \vdash s_1 s_2 : S_{12} \quad \text{(T-APP)} \\
 \hline
 \Gamma \vdash s_1 s_2 : S_{12} \\
 \hline
 \Gamma \vdash s_1 s_2 : T_{12} \quad \text{(T-SUB)} \\
 \hline
 \Gamma \vdash s_1 s_2 : T_{12}
 \end{array}$$



# Example (T-Sub with T-APP on the right)

becomes

$$\frac{\frac{\vdots}{\Gamma \vdash s_1 : T_{11} \rightarrow T_{12}} \quad \frac{\frac{\vdots}{\Gamma \vdash s_2 : T_2} \quad T_2 <: T_{11}}{\Gamma \vdash s_2 : T_{11}} \text{ (T-SUB)}}{\Gamma \vdash s_1 s_2 : T_{12}} \text{ (T-APP)}$$

$$\frac{\frac{\frac{\vdots}{\Gamma \vdash s_1 : T_{11} \rightarrow T_{12}} \quad \frac{\frac{\vdots}{T_2 <: T_{11}} \quad T_{12} <: T_{12}}{T_{11} \rightarrow T_{12} <: T_2 \rightarrow T_{12}} \text{ (S-REFL)}}{\Gamma \vdash s_1 : T_2 \rightarrow T_{12}} \text{ (S-ARROW)} \quad \frac{\vdots}{\Gamma \vdash s_2 : T_2}}{\Gamma \vdash s_1 s_2 : T_{12}} \text{ (T-APP)}$$



# Observations

---

We've seen that **uses of subsumption rule** can be "*pushed*" from one of immediately before **T-APP**'s premises to the other, but *cannot be completely eliminated*

# Example (nested uses of T-Sub)

becomes

$$\frac{\frac{\frac{\vdots}{\Gamma \vdash s : S} \quad \frac{\frac{\vdots}{S <: U}}{\Gamma \vdash s : U} \text{ (T-SUB)}}{\Gamma \vdash s : U} \quad \frac{\frac{\vdots}{U <: T}}{\Gamma \vdash s : T} \text{ (T-SUB)}}{\Gamma \vdash s : T} \text{ (T-SUB)}$$

$$\frac{\frac{\frac{\vdots}{\Gamma \vdash s : S} \quad \frac{\frac{\frac{\vdots}{S <: U} \quad \frac{\frac{\vdots}{U <: T}}{S <: T} \text{ (S-TRANS)}}{\Gamma \vdash s : S} \quad \frac{\vdots}{\Gamma \vdash s : T} \text{ (T-SUB)}}{\Gamma \vdash s : T} \text{ (T-SUB)}$$



# Summary

---

What we've learned:

- Uses of the **T-Sub** rule can be “*pushed down*” through typing derivations until they encounter either
  1. a use of **T-App** , or
  2. the *root* of the derivation tree.
- In both cases, *multiple uses of T-Sub can be coalesced into a single one.*

This suggests a notion of “*normal form*” for typing derivations, in which there is

- *exactly one use* of **T-Sub** before each use of **T-App**,
- *one use* of **T-Sub** at *the very end* of the derivation,
- no uses of **T-Sub** anywhere else.





# Algorithmic Typing

The next step is to “build in” the use of subsumption rule in *application rules*, by *changing* the **T-App** rule to *incorporate a subtyping premise*

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_2 \quad \boxed{\vdash T_2 <: T_{11}}}{\Gamma \vdash t_1 t_2 : T_{12}}$$

Given any typing derivation, we can now

1. *normalize* it, to *move all uses of subsumption rule* to either just *before applications* (in the right-hand premise) or *at the very end*
2. *replace* uses of **T-App** with **T-SUB** in the right-hand premise by uses of the extended rule above

This yields a derivation in which there is just *one* use of subsumption, at the very end!



# Minimal Types

---

But... if subsumption is only used at the very end of derivations, then it is actually *not needed* in order to show that *any term is typable*!

It is just used to give *more* types to terms that have already been shown to have a type.

In other words, if we *dropped subsumption completely* (after refining the application rule), we would still be able to give types to exactly the same set of terms — we just would not be able to give as *many types* to some of them.

If we drop subsumption, then the remaining rules will assign a *unique, minimal* type to *each typable term*

For purposes of building a typechecking algorithm, this is enough



# Final Algorithmic Typing Rules

$$\frac{x:T \in \Gamma}{\Gamma \vdash x : T} \quad (\text{TA-VAR})$$

$$\frac{\Gamma, x:T_1 \vdash t_2 : T_2}{\Gamma \vdash \lambda x:T_1. t_2 : T_1 \rightarrow T_2} \quad (\text{TA-ABS})$$

$$\frac{\Gamma \vdash t_1 : T_1 \quad T_1 = T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_2 \quad \boxed{\vdash T_2 <: T_{11}}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{TA-APP})$$

$$\frac{\text{for each } i \quad \Gamma \vdash t_i : T_i}{\Gamma \vdash \{l_1=t_1 \dots l_n=t_n\} : \{l_1:T_1 \dots l_n:T_n\}} \quad (\text{TA-RCD})$$

$$\frac{\Gamma \vdash t_1 : R_1 \quad R_1 = \{l_1:T_1 \dots l_n:T_n\}}{\Gamma \vdash t_1.l_i : T_i} \quad (\text{TA-PROJ})$$



# Completeness of the algorithmic rules

---

## Theorem [Minimal Typing]:

If  $\Gamma \vdash t : T$ , then  $\Gamma \mapsto t : S$  for some  $S <: T$ .

Proof: Induction on *typing derivation*.

N.b.: All the messing around with transforming derivations was just to build intuitions and *decide what algorithmic rules* to write down and *what property to prove*:

the proof itself is *a straightforward induction on typing derivations*.



---

# Meets and Joins



# Adding Booleans

Suppose we want to add *booleans* and *conditionals* to the language we have been discussing.

For the declarative presentation of the system, we just add in the appropriate *syntactic forms*, *evaluation rules*, and *typing rules*.

$$\begin{array}{l} \Gamma \vdash \text{true} : \text{Bool} \qquad \qquad \qquad (\text{T-TRUE}) \\ \Gamma \vdash \text{false} : \text{Bool} \qquad \qquad \qquad (\text{T-FALSE}) \\ \hline \frac{\Gamma \vdash t_1 : \text{Bool} \quad \Gamma \vdash t_2 : T \quad \Gamma \vdash t_3 : T}{\Gamma \vdash \text{if } t_1 \text{ then } t_2 \text{ else } t_3 : T} \qquad (\text{T-IF}) \end{array}$$



# A Problem with Conditional Expressions

---

For the *algorithmic presentation* of the system, however, we encounter a little difficulty.

What is the minimal type of

*if true then {x = true, y = false} else {x = true, z = true} ?*



# The Algorithmic Conditional Rule

More generally, we can use subsumption to give an expression

if  $t_1$  then  $t_2$  else  $t_3$

any type that is a possible type of both  $t_2$  and  $t_3$ .

So the *minimal type* of the *conditional* is the

*least common supertype* (or *join*) of

the minimal type of  $t_2$  and the minimal type of  $t_3$

$$\frac{\Gamma \vdash t_1 : \text{Bool} \quad \Gamma \vdash t_2 : T_2 \quad \Gamma \vdash t_3 : T_3}{\Gamma \vdash \text{if } t_1 \text{ then } t_2 \text{ else } t_3 : T_2 \vee T_3} \quad (\text{T-IF})$$

Q: Does such a type exist for every  $T_2$  and  $T_3$  ??





# Existence of Joins

---

**Theorem:** For every pair of types  $S$  and  $T$ , there is a type  $J$  such that

1.  $S <: J$
2.  $T <: J$
3. If  $K$  is a type such that  $S <: K$  and  $T <: K$ , then  $J <: K$ .

i.e.,  $J$  is the *smallest type* that is a supertype of both  $S$  and  $T$ .

How to prove it?

# Calculating Joins



$$S \vee T = \begin{cases} \text{Bool} & \text{if } S = T = \text{Bool} \\ M_1 \rightarrow J_2 & \text{if } S = S_1 \rightarrow S_2 \quad T = T_1 \rightarrow T_2 \\ & S_1 \wedge T_1 = M_1 \quad S_2 \vee T_2 = J_2 \\ \{j_l : J_l \mid l \in 1..q\} & \text{if } S = \{k_j : S_j \mid j \in 1..m\} \\ & T = \{l_i : T_i \mid i \in 1..n\} \\ & \{j_l \mid l \in 1..q\} = \{k_j \mid j \in 1..m\} \cap \{l_i \mid i \in 1..n\} \\ & S_j \vee T_i = J_l \quad \text{for each } j_l = k_j = l_i \\ \text{Top} & \text{otherwise} \end{cases}$$



# Examples

---

What are the joins of the following pairs of types?

1.  $\{x: \text{Bool}, y: \text{Bool}\}$  and  $\{y: \text{Bool}, z: \text{Bool}\}$ ?
2.  $\{x: \text{Bool}\}$  and  $\{y: \text{Bool}\}$ ?
3.  $\{x: \{a: \text{Bool}, b: \text{Bool}\}\}$  and  $\{x: \{b: \text{Bool}, c: \text{Bool}\}, y: \text{Bool}\}$ ?
4.  $\{\}$  and  $\text{Bool}$ ?
5.  $\{x: \{\}\}$  and  $\{x: \text{Bool}\}$ ?
6.  $\text{Top} \rightarrow \{x: \text{Bool}\}$  and  $\text{Top} \rightarrow \{y: \text{Bool}\}$ ?
7.  $\{x: \text{Bool}\} \rightarrow \text{Top}$  and  $\{y: \text{Bool}\} \rightarrow \text{Top}$ ?



# Meets

---

To calculate joins of arrow types, we also need to be able to calculate **meets** (greatest lower bounds)!

Unlike joins, meets *do not necessarily exist*.

E.g.,  $\text{Bool} \rightarrow \text{Bool}$  and  $\{\}$  have *no common subtypes*, so they certainly don't have a greatest one!



# Existence of Meets

**Theorem:** For every pair of types  $S$  and  $T$ , we say that a type  $M$  is a meet of  $S$  and  $T$ , written  $S \wedge T = M$  if

1.  $M <: S$
2.  $M <: T$
3. If  $O$  is a type such that  $O <: S$  and  $O <: T$ , then  $O <: M$ .

i.e.,  $M$  (when it exists) is the *largest type* that is a subtype of both  $S$  and  $T$ .

Jargon: In the simply typed lambda calculus with subtyping, records, and booleans ...

- The subtype relation *has joins*
- The subtype relation *has bounded meets*

# Calculating Meets



$S \wedge T =$

$$\left\{ \begin{array}{ll} S & \text{if } T = \text{Top} \\ T & \text{if } S = \text{Top} \\ \text{Bool} & \text{if } S = T = \text{Bool} \\ J_1 \rightarrow M_2 & \text{if } S = S_1 \rightarrow S_2 \quad T = T_1 \rightarrow T_2 \\ & \quad S_1 \vee T_1 = J_1 \quad S_2 \wedge T_2 = M_2 \\ \{m_l : M_l \mid l \in 1..q\} & \text{if } S = \{k_j : S_j \mid j \in 1..m\} \\ & \quad T = \{l_i : T_i \mid i \in 1..n\} \\ & \quad \{m_l \mid l \in 1..q\} = \{k_j \mid j \in 1..m\} \cup \{l_i \mid i \in 1..n\} \\ & \quad S_j \wedge T_i = M_l \quad \text{for each } m_l = k_j = l_i \\ & \quad M_l = S_j \quad \text{if } m_l = k_j \text{ occurs only in } S \\ & \quad M_l = T_i \quad \text{if } m_l = l_i \text{ occurs only in } T \\ \text{fail} & \text{otherwise} \end{array} \right.$$



# Examples

---

What are the meets of the following pairs of types?

1.  $\{x: \text{Bool}, y: \text{Bool}\}$  and  $\{y: \text{Bool}, z: \text{Bool}\}$ ?
2.  $\{x: \text{Bool}\}$  and  $\{y: \text{Bool}\}$ ?
3.  $\{x: \{a: \text{Bool}, b: \text{Bool}\}\}$  and  $\{x: \{b: \text{Bool}, c: \text{Bool}\}, y: \text{Bool}\}$ ?
4.  $\{\}$  and  $\text{Bool}$ ?
5.  $\{x: \{\}\}$  and  $\{x: \text{Bool}\}$ ?
6.  $\text{Top} \rightarrow \{x: \text{Bool}\}$  and  $\text{Top} \rightarrow \{y: \text{Bool}\}$ ?
7.  $\{x: \text{Bool}\} \rightarrow \text{Top}$  and  $\{y: \text{Bool}\} \rightarrow \text{Top}$ ?



# Homework😊

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- Read and digest chapter 16 & 17
  
- HW: 16.1.2; 16.2.5