



编程语言的设计原理

Design Principles of Programming Languages

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Part III

Chap 15: Subtyping

Subsumption

Subtype relation

Properties of subtyping and typing

Subtyping and other features

Intersection and union types



Subtyping

Recap for subtyping

→ {}

Extends λ_{\rightarrow} (9-1)

New syntactic forms

$t ::= \dots$ terms:
 $\{\lambda_i = t_i \mid i \in 1..n\}$ record
 $t.l$ projection

$v ::= \dots$ values:
 $\{\lambda_i = v_i \mid i \in 1..n\}$ record value

$T ::= \dots$ types:
 $\{\lambda_i : T_i \mid i \in 1..n\}$ type of records

New evaluation rules

$t \rightarrow t'$
 $\{\lambda_i = v_i \mid i \in 1..n\}.l_j \rightarrow v_j$ (E-PROJRCD)

$\frac{t_1 \rightarrow t'_1}{t_1.l \rightarrow t'_1.l}$ (E-PROJ)

$\frac{t_j \rightarrow t'_j}{\{\lambda_i = v_i \mid i \in 1..j-1, \lambda_j = t_j, \lambda_k = t_k \mid k \in j+1..n\} \rightarrow \{\lambda_i = v_i \mid i \in 1..j-1, \lambda_j = t'_j, \lambda_k = t_k \mid k \in j+1..n\}}$ (E-RCD)

New typing rules

$\boxed{\Gamma \vdash t : T}$

for each $i \quad \Gamma \vdash t_i : T_i$
 $\frac{}{\Gamma \vdash \{\lambda_i = t_i \mid i \in 1..n\} : \{\lambda_i : T_i \mid i \in 1..n\}}$ (T-RCD)

$\frac{\Gamma \vdash t_1 : \{\lambda_i : T_i \mid i \in 1..n\}}{\Gamma \vdash t_1.l_j : T_j}$ (T-PROJ)

→ {} <:

Extends $\lambda_{<:}$ (15-1) and simple record rules (15-2)

New subtyping rules

$\boxed{S <: T}$

$\{\lambda_i : T_i \mid i \in 1..n+k\} <: \{\lambda_i : T_i \mid i \in 1..n\}$ (S-RCDWIDTH)

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

$\{\lambda_j : S_j \mid j \in 1..n\}$ is a permutation of $\{\lambda_i : T_i \mid i \in 1..n\}$

$\{\lambda_j : S_j \mid j \in 1..n\} <: \{\lambda_i : T_i \mid i \in 1..n\}$

(S-RCDPERM)



Recap for subtyping

→ <: Top

Based on λ_{\leq} (9-1)

Syntax

$t ::=$

x

$\lambda x:T.t$

$t t$

$v ::=$

$\lambda x:T.t$

$T ::=$

Top

$T \rightarrow T$

$\Gamma ::=$

\emptyset

$\Gamma, x:T$

Evaluation

$$\frac{t_1 \rightarrow t'_1}{t_1 t_2 \rightarrow t'_1 t_2}$$

$$\frac{t_2 \rightarrow t'_2}{v_1 t_2 \rightarrow v_1 t'_2}$$

$$(\lambda x:T_{11}.t_{12}) v_2 \rightarrow [x \mapsto v_2]t_{12}$$

$$\boxed{t \rightarrow t'}$$

(E-APP1)

(E-APP2)

terms:

variable

abstraction

application

values:

abstraction value

types:

maximum type

type of functions

contexts:

empty context

term variable binding

Subtyping

$$\boxed{S <: T}$$

$$S <: S$$

(S-REFL)

$$\frac{S <: U \quad U <: T}{S <: T}$$

(S-TRANS)

$$S <: \text{Top}$$

(S-TOP)

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2}$$

(S-ARROW)

Typing

$$\boxed{\Gamma \vdash t : T}$$

$$\frac{x:T \in \Gamma}{\Gamma \vdash x : T}$$

(T-VAR)

$$\frac{\Gamma, x:T_1 \vdash t_2 : T_2}{\Gamma \vdash \lambda x:T_1.t_2 : T_1 \rightarrow T_2}$$

(T-ABS)

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

(T-APP)

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T}$$

(T-SUB)



Subtype Relation: General rules

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

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

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

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



Subtype Relation

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

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

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

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

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

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

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



Properties of Subtyping

Safety

Statements of **progress** and **preservation** theorems are ***unchanged*** from λ_{\rightarrow} .

However, Proofs become a bit ***more involved***, because the typing relation is no longer ***syntax directed***.

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

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



Aside: Syntax-directed rules

When we say a set of rules is *syntax-directed* we mean two things:

1. There is *exactly one rule* in the set that applies to each syntactic form. (We can tell by the syntax of a term which rule to use.)
 - e.g., In order to derive a type for $t_1 t_2$, we must use **T-App**.
2. We don't have to “*guess*” an input (or output) for any rule.
 - e.g., To derive a type for $t_1 t_2$, we need to derive a type for t_1 and a type for t_2 .



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 has the form of $U_1 \rightarrow U_2$, 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

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

Proof: By induction on *typing derivations*.

Which cases are likely to be *hard* ?



Preservation - Subsumption case

Case T-Sub: $t : S \quad S <: T$

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

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

Not hard!



Preservation - Application case

Case T-App :

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

By the inversion lemma for evaluation, there are

three rules

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

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

Proceed by cases



Preservation - Application case

Case T-App :

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

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

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

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

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



Preservation - Application case

Case T-App :

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

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

Similar.

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

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



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 that in the simply typed lambda-calculus



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

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

`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

`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

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

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

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

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

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

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

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

- e.g., `Bool <: Nat`
- `Bool` , `0/1`



Intersection and Union Types



Intersection Types

The inhabitants of $T_1 \wedge T_2$ are terms belonging to *both* T_1 and T_2 — 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*.

$$+ : (\text{Nat} \rightarrow \text{Nat} \rightarrow \text{Nat}) \wedge (\text{Float} \rightarrow \text{Float} \rightarrow \text{Float})$$

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* (a term is typable iff its evaluation terminates)

type reconstruction problem is undecidable (cf. ch22)

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

Union types are also useful.

$T_1 \vee T_2$ is an **untagged** (non-disjoint) union of T_1 and 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

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



HW for Chap15

- 15.2.2
- 15.3.2
- 15.5.2