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#### 1 INTRODUCTION

## 1.1 The expression problem, in full

1.1.1 Seeking solutions sans encodings.

#### 1.2 Recursion and rows

- 1.2.1 Row type systems with term- or type-level  $\mu$ . There are none.
- 1.2.2 Structural typing of objects in recursive record calculi.

## 1.3 Challenges to practical extensibility

- 1.3.1 Polymorphic variants in OCaml.
- 1.3.2 Inheritance is not subtyping.

## 2 ROME: A ROW THEORETIC FOUNDATION FOR (CO)INDUCTIVE DATA TYPES

#### 3 Rω-HIGHER ORDERED ROWS

Recursive types have a well known semantics as the least fixed-points of type-level operators.  $R\omega$  is the only row calculus (to our knowledge) to include an (explicit) type-level  $\lambda$  operator. Like with  $F\omega$ , this necessarily sacrifices desirable metatheoretic properties, such as principality of types; hence, like  $F\omega$ ,  $R\omega$  may serve as a highly expressive intermediate or target language. Correspondingly, we perceive the addition of recursive terms and types to  $R\omega$  to aid the adoption of recursion in surface languages.

We review the relevant syntax and typing of R $\omega$  now.

(Todo). It will be a challenge to trim this down, as [Hubers and Morris 2023] does with [Morris and McKinna 2019].

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# 3.1 Syntax

The syntax of  $R\omega(\mathcal{T})$  is given in Figure 6.

Term variables xType variables  $\alpha$ Labels ℓ Directions  $d \in \{L, R\}$ Kinds  $\kappa ::= \star | L | R^{\kappa} | \kappa \to \kappa$  $\pi, \psi \ ::= \ \rho \lesssim_d \rho \mid \rho \odot \rho \sim \rho$ Predicates  $\phi, \tau, v, \rho, \xi ::= \alpha \mid (\rightarrow) \mid \pi \Rightarrow \tau \mid \forall \alpha : \kappa.\tau \mid \lambda \alpha : \kappa.\tau \mid \tau \tau$ Types  $|\ell| \lfloor \xi \rfloor |\xi \triangleright \tau| \{\tau_1, \ldots, \tau_n\} | \Pi \rho | \Sigma \rho$  $H, M, N, P ::= x \mid \lambda x : \tau . M \mid M N \mid \Lambda \alpha : \kappa . M \mid M [\tau]$ Terms  $| \ell | M \triangleright M | M/M | \operatorname{prj}_d M | M + M | \operatorname{inj}_d M | M \triangledown M$  $| \operatorname{syn}_{\phi} M | \operatorname{ana}_{\phi} M | \operatorname{fold} M M M M$  $\Gamma ::= \varepsilon \mid \Gamma, \alpha : \kappa \mid \Gamma, x : \tau \mid \Gamma, \pi$ Environments

Fig. 1. Syntax

## 3.2 Types and Kinds

Figure 2 gives rules for context formation ( $\vdash \Gamma$ ), kinding ( $\Gamma \vdash \tau : \kappa$ ), and predicate formation ( $\Gamma \vdash \pi$ ), parameterized by row theory  $\mathcal{T}$ .

$$(C-EMP) \frac{\vdash \Gamma}{\vdash \varepsilon} \qquad (C-TVAR) \frac{\vdash \Gamma}{\vdash \Gamma, \alpha : \kappa} \qquad (C-VAR) \frac{\vdash \Gamma}{\vdash \Gamma, \alpha : \kappa} \qquad (C-PRED) \frac{\vdash \Gamma \qquad \Gamma \vdash \pi}{\vdash \Gamma, \pi}$$

$$(K-VAR) \frac{\vdash \Gamma \qquad \alpha : \kappa \in \Gamma}{\Gamma \vdash \alpha : \kappa} \qquad (K-(-)) \frac{\vdash \Gamma \qquad \Gamma \vdash \pi}{\Gamma \vdash (-) : \star \rightarrow \star \rightarrow \star} \qquad (K-\Rightarrow) \frac{\Gamma \vdash \pi \qquad \Gamma, \pi \vdash \tau : \star}{\Gamma \vdash \pi \Rightarrow \tau : \star}$$

$$(K-V) \frac{\Gamma, \alpha : \kappa \vdash \tau : \star}{\Gamma \vdash \forall \alpha : \kappa, \tau : \star} \qquad (K-\Rightarrow I) \frac{\Gamma, \alpha : \kappa_1 \vdash \tau : \kappa_2}{\Gamma \vdash \lambda \alpha : \kappa_1 \cdot \tau : \kappa_1 \rightarrow \kappa_2} \qquad (K-\Rightarrow E) \frac{\Gamma \vdash \tau_1 : \kappa_1 \rightarrow \kappa_2 \qquad \Gamma \vdash \tau_2 : \kappa_1}{\Gamma \vdash \tau_1 \tau_2 : \kappa_2}$$

$$(K-LAB) \frac{\vdash \Gamma}{\Gamma \vdash \ell : L} \qquad (K-SING) \frac{\Gamma \vdash \xi : L}{\Gamma \vdash \lfloor \xi \rfloor : \star} \qquad (K-LTY) \frac{\Gamma \vdash \xi : L}{\Gamma \vdash \xi \triangleright \tau : \kappa} \qquad (K-ROW) \frac{\Gamma \vdash \tau}{\Gamma \vdash \{\xi \triangleright \tau\} : R^\kappa}$$

$$(K-II) \frac{\Gamma \vdash \rho : R^\kappa}{\Gamma \vdash \Pi \rho : \kappa} \qquad (K-\Sigma) \frac{\Gamma \vdash \rho : R^\kappa}{\Gamma \vdash \Sigma \rho : \kappa} \qquad (K-LIFT_1) \frac{\Gamma \vdash \rho : R^{\kappa_1 \rightarrow \kappa_2} \qquad \Gamma \vdash \tau : \kappa_1}{\Gamma \vdash \rho : R^{\kappa_1 \rightarrow \kappa_2} \qquad \Gamma \vdash \tau : \kappa_1}$$

$$(K-LIFT_2) \frac{\Gamma \vdash \phi : \kappa_1 \rightarrow \kappa_2 \qquad \Gamma \vdash \rho : R^{\kappa_1}}{\Gamma \vdash \phi \rho : R^{\kappa_2}} \qquad (K-\lesssim_d) \frac{\Gamma \vdash \rho_1 : R^\kappa}{\Gamma \vdash \rho_1 \lesssim_d \rho_2} \qquad (K-\circlearrowleft) \frac{\Gamma \vdash \rho_1 : R^\kappa}{\Gamma \vdash \rho_1 \lesssim_d \rho_2} \qquad (K-\circlearrowleft) \frac{\Gamma \vdash \rho_1 : R^\kappa}{\Gamma \vdash \rho_1 \lesssim_d \rho_2}$$

Fig. 2. Contexts and kinding.

$$(\text{E-REFL}) \frac{\tau \equiv \tau}{\tau \equiv \tau} \qquad (\text{E-SYM}) \frac{\tau_1 \equiv \tau_2}{\tau_2 \equiv \tau_1} \qquad (\text{E-TRANS}) \frac{\tau_1 \equiv \tau_2}{\tau_1 \equiv \tau_3} \qquad (\text{E-}\beta) \frac{\tau_1 \equiv \tau_2}{(\lambda \alpha : \kappa. \tau) \ \upsilon \equiv \tau [\upsilon / \alpha]}$$

$$(\text{E-}\xi \Rightarrow) \frac{\pi_1 \equiv \pi_2 \quad \tau_1 \equiv \tau_2}{\pi_1 \Rightarrow \tau_1 \equiv \pi_2 \Rightarrow \tau_2} \qquad (\text{E-}\xi \forall) \frac{\tau [\gamma / \alpha] \equiv \upsilon [\gamma / \beta]}{\forall \alpha : \kappa. \tau \equiv \forall \beta : \kappa. \upsilon} (\gamma \notin f \upsilon (\tau, \upsilon)) \qquad (\text{E-}\xi_{\text{APP}}) \frac{\tau_i \equiv \upsilon_i}{\tau_1 \tau_2 \equiv \upsilon_1 \upsilon_2}$$

$$(\text{E-}\xi \Rightarrow) \frac{\xi_1 \equiv \xi_2 \quad \tau_1 \equiv \tau_2}{\xi_1 \triangleright \tau_1 \equiv \xi_2 \triangleright \tau_2} \qquad (\text{E-ROW}) \frac{\{\xi_i \triangleright \tau_i\} \equiv \tau \{\xi_j' \triangleright \tau_j'\}}{\{\xi_i \triangleright \tau_i\} \equiv \{\xi_j' \triangleright \tau_j'\}} \qquad (\text{E-}\xi \downarrow \downarrow) \frac{\xi_1 \equiv \xi_2}{\lfloor \xi_1 \rfloor \equiv \lfloor \xi_2 \rfloor}$$

$$(\text{E-LIFT_1}) \frac{\xi_1 \equiv \xi_2}{\{\xi \triangleright \phi \} \tau \equiv \{\xi \triangleright \phi \tau\}} \qquad (\text{E-LIFT_2}) \frac{\varphi \{\xi \triangleright \tau\} \equiv \{\xi \triangleright \phi \tau\}}{\varphi \{\xi \triangleright \tau\} \equiv \{\xi \triangleright \phi \tau\}} \qquad (K \in \{\Pi, \Sigma\})$$

$$(\text{E-}\xi \downarrow \downarrow) \frac{\tau_1 \equiv \upsilon_1}{\tau_1 \equiv \kappa_2} \qquad (E \vdash \xi \downarrow \downarrow) \frac{\tau_1 \equiv \upsilon_1}{\tau_1 \leq \tau_2 \leq \upsilon_1 \leq \tau} \qquad (K \in \{\Pi, \Sigma\})$$

Fig. 3. Type and predicate equivalence

### 3.3 Terms

$$\begin{array}{c} \boxed{\Gamma \vdash M : \tau} \\ \\ (\text{T-VAR}) \frac{\vdash \Gamma \quad x : \tau \in \Gamma}{\Gamma \vdash x : \tau} \qquad (\text{T} \rightarrow I) \frac{\Gamma \vdash \tau_1 : \star \quad \Gamma, x : \tau_1 \vdash M : \tau_2}{\Gamma \vdash \lambda x : \tau_1 M : \tau_1 \rightarrow \tau_2} \qquad (\text{T} \rightarrow E) \frac{\Gamma \vdash M_1 : \tau_1 \rightarrow \tau_2 \quad \Gamma \vdash M_2 : \tau_1}{\Gamma \vdash M_1 M_2 : \tau_2} \\ \\ (\text{T-} \Rightarrow) \frac{\Gamma \vdash M : \tau \quad \tau \equiv v}{\Gamma \vdash M : v} \qquad (\text{T-} \Rightarrow) I) \frac{\Gamma \vdash \pi \quad \Gamma, \pi \vdash M : \tau}{\Gamma \vdash M : \pi \Rightarrow \tau} \qquad (\text{T-} \Rightarrow) E) \frac{\Gamma \vdash M : \pi \Rightarrow \tau \quad \Gamma \Vdash \tau \pi}{\Gamma \vdash M : \tau} \\ \\ (\text{T-} \forall I) \frac{\Gamma, \alpha : \kappa \vdash M : \tau}{\Gamma \vdash \Lambda \alpha : \kappa M : \forall \alpha : \kappa \pi} \qquad (\text{T-} \forall E) \frac{\Gamma \vdash M : \forall \alpha : \kappa \pi \quad \Gamma \vdash v : \kappa}{\Gamma \vdash M [v] : \tau [v / \alpha]} \\ \\ (\text{T-} \text{SING}) \frac{\vdash \Gamma}{\Gamma \vdash \ell : \lfloor \ell \rfloor} \qquad (\text{T-} \land) I) \frac{\Gamma \vdash M_1 : \lfloor \ell \rfloor \quad \Gamma \vdash M_2 : \tau}{\Gamma \vdash M_1 \vdash M_2 : \tau} \qquad (\text{T-} \lor E) \frac{\Gamma \vdash M_1 : \ell \vdash \tau \quad \Gamma \vdash M_2 : \lfloor \ell \rfloor}{\Gamma \vdash M_1 / M_2 : \tau} \\ \\ (\text{T-} \sqcap E) \frac{\Gamma \vdash M : \sqcap \Gamma_1 \quad \Gamma \vdash \tau \quad \rho_2 \leq_d \rho_1}{\Gamma \vdash \rho_1 M : \sqcap \rho_2} \qquad (\text{T-} \sqcap II) \frac{\Gamma \vdash M_1 : \sqcap \rho_1 \quad \Gamma \vdash M_2 : \sqcap \rho_2}{\Gamma \vdash M_1 : M_2 : \Pi \rho_2} \qquad \Gamma \vdash \tau \quad \rho_1 \odot \rho_2 \sim \rho_3} \\ \\ (\text{T-} \vdash \Sigma) \frac{\Gamma \vdash M : \vdash \Gamma \quad \rho_1 \leq \rho_2}{\Gamma \vdash \rho_1 M : \vdash \rho_2 \leq_d \rho_1} \qquad (\text{T-} \vdash \Sigma) \frac{\Gamma \vdash M_1 : \vdash \Gamma \rho_1 \quad \Gamma \vdash M_2 : \vdash \Gamma \rho_2 \cap \rho_2 \sim \rho_3}{\Gamma \vdash M_1 : \vdash M_2 : \vdash \Gamma \rho_3 : \kappa} \rightarrow \tau \\ \\ (\text{T-} \neg ana}) \frac{\Gamma \vdash M : \forall I : \vdash L, u : \kappa, y_1, z, y_2 : R^\kappa \cdot (y_1 \odot \{l \vdash u\} \sim z, z \odot y_2 \sim \rho) \Rightarrow \lfloor l \rfloor \rightarrow \phi \ u \rightarrow \tau}{\Gamma \vdash \text{syn}_{\phi} M : \sqcap (\phi \rho)} \\ \\ \frac{\Gamma \vdash M : \forall I : \vdash L, u : \kappa, y_1, z, y_2 : R^\kappa \cdot (y_1 \odot \{l \vdash u\} \sim z, z \odot y_2 \sim \rho) \Rightarrow \lfloor l \rfloor \rightarrow \phi \ u}{\Gamma \vdash \text{syn}_{\phi} M : \Pi(\phi \rho)} \\ \\ \frac{M_1 : \forall I : \vdash L, t : \star, y_1, z, y_2 : R^\kappa \cdot (y_1 \odot \{l \vdash u\} \sim z, z \odot y_2 \sim \rho) \Rightarrow \lfloor l \rfloor \rightarrow t \rightarrow v}{\Gamma \vdash M_3 : v \vdash V : \Pi \rho} \\ \\ \frac{\Gamma \vdash \text{fold} M_1 M_2 M_3 N : v}{\Gamma \vdash \text{fold} M_1 M_2 M_3 N : v}$$

Fig. 4. Typing

Minimal Rows

Figure 5 gives the minimal row theory  $\mathcal{M}$ .

$$\left( \mathsf{K-MROW} \right) \frac{\Gamma \vdash \xi : \mathsf{L} \quad \Gamma \vdash \tau : \kappa}{\Gamma \vdash_{\mathsf{m}} \{\xi \triangleright \tau\} : \mathsf{R}^{K}} \qquad \left( \mathsf{E-MROW} \right) \frac{\xi \equiv \xi' \quad \tau \equiv \tau'}{\{\xi \triangleright \tau\} \equiv_{\mathsf{m}} \{\xi' \triangleright \tau'\}}$$
 
$$\left( \mathsf{N-AX} \right) \frac{\pi \in \Gamma}{\Gamma \vdash_{\mathsf{m}} \pi} \qquad \left( \mathsf{N-REFL} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho \leq_{d} \rho}{\Gamma \vdash_{\mathsf{m}} \rho \leq_{d} \rho} \qquad \left( \mathsf{N-TRANS} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \leq_{d} \rho_{2}}{\Gamma \vdash_{\mathsf{m}} \rho_{1} \leq_{d} \rho_{3}}$$
 
$$\left( \mathsf{N-} \equiv \right) \frac{\Gamma \vdash_{\mathsf{m}} \pi_{1} \quad \pi_{1} \equiv \pi_{2}}{\Gamma \vdash_{\mathsf{m}} \pi_{2}} \qquad \left( \mathsf{N-} \leq_{\mathsf{LIFT} 1} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \leq_{d} \rho_{2}}{\Gamma \vdash_{\mathsf{m}} \phi \rho_{1} \leq_{d} \phi \rho_{2}} \qquad \left( \mathsf{N-} \leq_{\mathsf{LIFT} 2} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \leq_{d} \rho_{2}}{\Gamma \vdash_{\mathsf{m}} \rho_{1} \tau \leq_{d} \rho_{2} \tau}$$
 
$$\left( \mathsf{N-} \ominus \mathsf{LIFT}_{1} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \vdash_{\mathsf{m}} \rho_{1} \tau \odot \rho_{2} \tau \sim \rho_{3} \tau} \qquad \left( \mathsf{N-} \ominus \mathsf{LIFT}_{2} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \vdash_{\mathsf{m}} \phi \rho_{1} \odot \phi \rho_{2} \sim \phi \rho_{3}}$$
 
$$\left( \mathsf{N-} \ominus \mathsf{LIFT}_{2} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \vdash_{\mathsf{m}} \phi_{1} \odot \rho_{2} \sim \rho_{3} \tau} \qquad \left( \mathsf{N-} \ominus \mathsf{LIFT}_{2} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \vdash_{\mathsf{m}} \phi \rho_{1} \odot \phi \rho_{2} \sim \phi \rho_{3}}$$
 
$$\left( \mathsf{N-} \ominus \mathsf{LIFT}_{2} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \vdash_{\mathsf{m}} \phi_{1} \odot \rho_{2} \sim \rho_{3}} \qquad \left( \mathsf{N-} \ominus \mathsf{LIFT}_{2} \right) \frac{\Gamma \vdash_{\mathsf{m}} \rho_{1} \odot \rho_{2} \sim \rho_{3}}{\Gamma \vdash_{\mathsf{m}} \phi_{1} \odot \rho_{2} \sim \rho_{3}}$$

Fig. 5. Minimal row theory  $\mathcal{M} = \langle \vdash_m, \equiv_m, \vdash_m \rangle$ 

## 4 IX: THE INDEX CALCULUS

#### 4.1 Syntax

#### 

Term variables  $x \alpha$ 

Fig. 6. Syntax

## 4.2 Typing

Fig. 7. Context formation and typing rules for Ix terms

$$\Gamma \vdash M = N : \sigma$$

Fig. 8. Definitional equality of Ix terms

## 5 TRANSLATION FROM $R\omega$

# 5.1 Untyped Translation

We follow the approach of [Morris and McKinna 2019] and give both typed and untyped translations of  $R\omega$  types. Figure 9 describe the untyped translation, which is used to show translational soundness of the typed translation.

$$(\kappa)^{\bullet}$$

$$(\star)^{\bullet} = \star$$

$$(L)^{\bullet} = \top$$

$$(\kappa_{1} \to \kappa_{2})^{\bullet} = \Pi(\alpha : (\kappa_{1})^{\bullet}).(\kappa_{2})^{\bullet}$$

$$(R^{\kappa})^{\bullet} = \Sigma(n : \text{Nat}).\Pi(j : \text{Ix } n).(\kappa)^{\bullet}$$

$$(\alpha)^{\bullet} = \alpha$$

$$(\tau_1 \to \tau_2)^{\bullet} = \Pi(\alpha : (\tau_1)^{\bullet}).(\tau_2)^{\bullet}$$

$$(\forall \alpha : \kappa.\tau)^{\bullet} = \Pi(\alpha : (\kappa)^{\bullet}).(\tau)^{\bullet}$$

$$(\lambda \alpha : \kappa.\tau)^{\bullet} = \Pi(\alpha : (\kappa)^{\bullet}).(\tau)^{\bullet}$$



Fig. 9. A compositional translation of  $R\omega$  judgments to (untyped) Ix terms

## 5.2 Typed translation

$$\begin{array}{c} \Gamma \vdash \tau \leadsto v : \kappa \\ \\ \text{(c-foo)} \frac{A}{B} \\ \hline \Gamma \vdash M \leadsto N : \tau \\ \\ \hline \Gamma \vdash \pi \leadsto N \\ \hline \Gamma \vdash \pi \leadsto N \\ \hline \\ \hline \Gamma \vdash \sigma \leadsto P \\ \hline \\ \hline (\text{c-foo)} \frac{A}{B} \\ \hline \\ \hline \tau \equiv v \leadsto P \\ \hline \end{array}$$

Fig. 10. Translation of  $R\omega$  derivations to Ix derivations

# 5.3 Properties of Translation

Theorem 1 (Translational Soundness (Types)). *if*  $\Gamma \vdash \tau : \kappa$  *such that*  $\Gamma \vdash \tau \leadsto v : \kappa$  *then*  $(\Gamma)^{\bullet} \vdash v : (\kappa)^{\bullet}$ .

The following is bullshit w.r.t. definitional equality.

THEOREM 2 (TRANSLATIONAL SOUNDNESS (TYPE EQUIVALENCE)). *if*  $\Gamma \vdash \tau_1 \leadsto v_1 : \kappa_1$  *and*  $\Gamma \vdash \tau_2 \leadsto v_2 : \kappa_2$  *such that*  $\tau_1 \equiv \tau_2$  *is derivable in*  $R\omega$ , *then*  $(\Gamma)^{\bullet} \vdash v_1 \equiv v_2$ .

The next theorems presume an  $R\omega$  instantiation of the simple row theory.

Theorem 3 (Translational Soundness (Row combination)). if  $\Gamma \Vdash \rho_1 \cdot \rho_2 \sim \rho_3 \rightsquigarrow N$  then  $(\Gamma)^{\bullet} \vdash N : foobar$ .

Theorem 4 (Translational Soundness (Row containment)). if  $\Gamma \Vdash \rho_1 \lesssim \rho_2 \rightsquigarrow N$  then  $(\Gamma)^{\bullet} \vdash N : foobar$ .

Finally,

Theorem 5 (Translational Soundness). *if*  $\Gamma \vdash M : \tau$  *such that*  $\Gamma \vdash M \leadsto N : \tau$  *then*  $(\Gamma)^{\bullet} \vdash M : (\tau)^{\bullet}$ .

## 6 OPERATIONAL SEMANTICS OF IX

## 7 RECURSION

This section will later be incorporated into earlier sections.

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## 7.1 Rome, or, $\mathbf{R}\omega$ with $\mu$

 $\frac{\text{todo}}{\text{(C-FOO)}} \frac{A}{B}$ 

Fig. 11. Additional R $\omega$  judgments for recursion

# 7.2 Mix, the recursive index calculus



Fig. 12. Additional Ix judgments for recursion

# 7.3 Translation and properties of translation REFERENCES

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