



Elaboration on $\text{HM}(X)$: Type Inference with Constraint Types

Marius Weidner

Chair of Programming Languages, University of Freiburg
`weidner@cs.uni-freiburg.de`

Abstract. We explore $\text{HM}(X)^{[2]}$, a family of type systems designed to combine polymorphism, full type inference and constraint types. $\text{HM}(X)$ extends the Hindley-Milner type system $(\text{HM})^{[1]}$, which already limits System F, to ensure decidability and unambiguity of full type inference. The constraint system X utilized in $\text{HM}(X)$ remains abstract, allowing instantiating X with arbitrary constraint systems that meet specific criteria. This abstraction allows $\text{HM}(X)$ to serve as a model for analyzing various constraint-related type features commonly encountered in practice. Notable examples include subtyping, substructural types and type classes. $\text{HM}(X)$ is presented along a sound and complete type inference algorithm that remains independent of the actual constraint system X . As a result, the work for proving theoretical properties and designing inference algorithms for novel constraint-based type systems within an HM context is notably simplified.

Table of Contents

1	Introduction.....	3
1.1	Polymorphism and Full Type Inference in HM	3
1.2	Introducing Constraints on Types	4
2	HM(X)	5
2.1	Introduction	5
2.2	Syntax	5
2.3	Typing.....	6
2.4	Type Inference	7
3	Instantiating HM(X)	7
3.1	HM(\mathcal{X}): Instantiation with Polymorphic Records	7
4	Metatheory	8
4.1	Soundness	8
4.2	Type Inference	8
5	Related Work & Conclusion	8
5.1	Related Work	8
5.2	Conclusion	8

1 Introduction

1.1 Polymorphism and Full Type Inference in HM

The HM type system represents a well known and understood typing discipline that refines System F by establishing constraints that allow type inference to be decidable. HM serves as the foundation for numerous real-world functional programming languages, including Haskell and Rust.

In System F, we can introduce variables for both expressions and types. The type $\forall\alpha. T$, where α binds a new type in T , indicates that an expression of this type is polymorphic over some arbitrary type α . Unfortunately it is undecidable for arbitrary programs to determine when to introduce and eliminate \forall -types and in consequence type inference in System F is undecidable^[7].

Thus, System F is equipped with explicit type abstraction $(\Lambda\alpha. e)$ and type application $(e T)$ on the syntax level.

The HM type system imposes several restrictions that make type inference decidable in a polymorphic context. Moreover, HM ensures that the most general type (the *principal type*) of a any given program is inferred. Consequently, there's no need for extra syntax to introduce or eliminate type variables. Instead, HM adds let bindings **let** $x = e_2$ **in** e_1 to the language, where e_2 is the only expression that is allowed to have a polymorphic type. Other constructs, such as application or variables bound by a lambda abstractions, cannot inherit polymorphic types. This constraint is commonly referred to as 'let polymorphism'.

In the future, we will label polymorphic types as σ , where a \forall -type exists within σ , and we will refer to them as 'poly types'. On the contrary, all other types, including base types, functions and type variables, will be referred to as 'mono types' and denoted as τ .

Poly types are further constrained to exclusively permit \forall -binders at the top level. Therefore, a type like $(\forall\alpha.\alpha) \rightarrow (\forall\alpha.\alpha)$ would not be a valid poly type. Consequently, we establish that poly types always adhere to the structure $\forall\bar{\alpha}. \tau$, where $\bar{\alpha} = \alpha_1, \dots, \alpha_n$ for some $n \in \mathbb{N}$. By upholding these two restrictions, that is let polymorphism and the exclusion of higher-order polymorphism, type inference remains decidable and yields a principal type.

Example 1 (Concatination of Lists).

```
concat :  $\forall\alpha. [\alpha] \rightarrow [\alpha] \rightarrow [\alpha]$ 
concat =  $\lambda[]. \lambda\mathbf{ys}. \mathbf{ys}$ 
          $\lambda[\mathbf{x}:\mathbf{xs}]. \lambda\mathbf{ys}. \mathbf{x} : (\text{concat } \mathbf{xs} \ \mathbf{ys})$ 
```

Examples assume the extension with various language features such as lists and pattern matching. For convenience, type annotations are given for inferred function types.

In this example, HM would be capable of deducing the type $\forall\alpha. [\alpha] \rightarrow [\alpha] \rightarrow [\alpha]$ for the function 'concat'. This type is in fact the most general type for 'concat'.

1.2 Introducing Constraints on Types

Although parametric polymorphism is already a powerful abstraction, there are instances where we desire to constrain type variables solely to instantiations of types that satisfy certain constraints. We refer to such types as *constraint types*. Constraints can exhibit various different forms depending on the type features present in the actual language. As an illustration, consider $\text{HM}_{\mathcal{R}}$, that is HM extended with polymorphic records^[4]. In this scenario, it becomes valuable to have the capability to specify that a type variable α should only be instantiated as a record type containing a specific fields.

Example 2 (Alternative to Selector Syntax on Records for Field ‘key’).

```
key :  $\forall \alpha, \beta. (\alpha \leq \{\text{key} : \beta\}) \Rightarrow \alpha \rightarrow \beta$ 
key =  $\lambda \{\text{key} : \beta, \dots\}. \text{key}$ 
```

This example simulates the extraction of a particular field from a record, conventionally represented as $e.l$ where l denotes a field label. We simulate the extraction of the field ‘key’. Instead of the notation $e.\text{key}$, the alternative syntax $\text{key } e$ could then be employed.¹ We introduce two type variables, namely α and β . While β exhibits parametric polymorphism, α functions as a constraint type. The constraint imposed on α , denoted as $\alpha \leq \{\text{key} : \beta\}$, expresses that α is exclusively permitted to take on a type that corresponds to a record featuring a ‘key’ field of type β . For introducing constraint a C on type variables $\bar{\alpha}$, we will adopt the notation $\forall \bar{\alpha}. C \Rightarrow \tau$. Multiple constraints will be combined to a single constraint using conjunction. If the constraint C is the trivial constraint \top we may also write $\forall \bar{\alpha}. \tau$.

Naturally, we can envision entirely different constraints as well. Consider a language with overloading and overloading constraints $\text{HM}_{\mathcal{O}}^{[3]}$. In $\text{HM}_{\mathcal{O}}$, constraints have the form $x : \alpha \rightarrow \tau$, wherein an instance for the overloaded identifier x with type $\alpha \rightarrow \tau$ is expected to be present.

Example 3 (Overloading the Equality Operator for Lists).

```
eq : nat  $\rightarrow$  nat  $\rightarrow$  bool
eq =  $\lambda 0. \quad \quad \lambda 0. \quad \quad = \top$ 
      $\lambda \text{suc } n. \lambda \text{suc } m. = \text{eq } n \ m$ 
      $\lambda \_ . \quad \quad \lambda \_ . \quad \quad = \perp$ 
eq :  $\forall \alpha. (\text{eq} : \alpha \rightarrow \alpha \rightarrow \text{bool}) \Rightarrow [\alpha] \rightarrow [\alpha] \rightarrow \text{bool}$ 
eq =  $\lambda [] . \quad \quad \lambda [] . \quad \quad = \top$ 
      $\lambda [x : \text{xs}] . \lambda [y : \text{ys}] . = \text{eq } x \ y \wedge \text{eq } \text{xs } \text{ys}$ 
      $\lambda \_ . \quad \quad \lambda \_ . \quad \quad = \perp$ 
```

This example considers the overloaded ‘eq’ function. Initially, ‘eq’ is instantiated for the base type ‘nat’. Subsequently, the instantiation for lists requires us to

¹ Simulating label syntax in this way is a component of a possible translation process from $\text{HM}_{\mathcal{R}}$ to $\text{HM}_{\mathcal{O}}$.

$e := x$	$C := \top$	$\tau := \alpha$
$ \lambda x. e$	$ C \wedge C$	$ \tau \rightarrow \tau$
$ e e$	$ \tau = \tau$	
$ \text{let } x = e \text{ in } e$	$ \exists \alpha. C$	$\sigma := \tau$
		$ \forall \vec{\alpha}. C \Rightarrow \tau$
		$\Gamma := \emptyset$
		$ \Gamma, x : \sigma$

Fig. 1: Syntax

express that list equality is feasible only when the elements of the list can be compared, that is, there exists a instance $\alpha \rightarrow \alpha \rightarrow \text{bool}$.

Instead of focusing exclusively on these individual systems, our exploration will center on HM(X), a HM-based system that remains detached from the actual constraint domain X . Subsequently, we will proceed to instantiate X to a constraint system \mathcal{R} that supports polymorphic records, similar to HM $_{\mathcal{R}}$.

2 HM(X)

2.1 Introduction

In this segment, our discussion of HM(X) will adopt a slightly informal approach. We will skip over some specifics and formalities to ensure clarity and concentrate on grasping the underlying concepts of the system, rather than deriving a full formal definition.

2.2 Syntax

The syntax of HM(X) is closely related to that of HM.

Expressions e include the constructs found in the simply typed lambda calculus, more specifically variables x , abstractions $\lambda x. e$, and applications $e e$. Additionally, let bindings are present to constrain the language to let polymorphism.

We maintain the distinction between mono types τ and poly types σ . However, we are now able to introduce constraints C in \forall -types.

The constraint syntax described here forms the *minimal* essential components necessary for the syntax of constraint domain X . The underlying notion is that the constraint syntax is later extended when instantiating HM(X), and consequently also the syntax for expressions and types, to incorporate those new constraints.

$$\begin{array}{c}
\frac{C, x : \sigma \in \Gamma}{C, \Gamma \vdash x : \sigma} \text{ (Var)} \qquad \frac{C, (\Gamma, x : \tau') \vdash e : \tau}{C, \Gamma \vdash \lambda x. e : \tau} \text{ (Abs)} \\
\\
\frac{C, \Gamma \vdash e_1 : \tau \rightarrow \tau' \quad C, \Gamma \vdash e_2 : \tau'}{C, \Gamma \vdash e_1 e_2 : \tau'} \text{ (App)} \quad \frac{C, \Gamma \vdash e : \sigma \quad C, (\Gamma, x : \sigma) \vdash e' : \tau'}{C, \Gamma \vdash \text{let } x = e \text{ in } e' : \tau'} \text{ (Let)} \\
\\
\frac{C \wedge D, \Gamma \vdash e : \tau \quad \vec{\alpha} \notin \text{free}(C, \Gamma)}{C \wedge \exists \vec{\alpha}. D, \Gamma \vdash e : \forall \vec{\alpha}. D \Rightarrow \tau} \text{ (\forall I)} \quad \frac{C, \Gamma \vdash e : \forall \vec{\alpha}. D \Rightarrow \tau \quad C \vdash [\vec{\tau}/\vec{\alpha}] D}{C, \Gamma \vdash e : [\vec{\tau}/\vec{\alpha}] \tau} \text{ (\forall E)}
\end{array}$$

Fig. 2: Logical Type System ($C, \Gamma \vdash e : \sigma$)

A constraint C is either \top (true), a conjunction of two constraints $C \wedge C$, an equality between mono types $\tau = \tau$, or a projection $\exists \alpha. C$. The projection operator introduces a new type variable α to constraint C . Through projection, it becomes possible to express the existence of a type without the necessity of actually introducing a new type variable at the type level. This mechanism proves advantageous within both the non-algorithmic typing rules and type inference algorithms. Moreover, it actually extends the expressive capacity beyond that of solely introducing all type variables present in constraints using the \forall -operator.

Typing contexts Γ are either the empty context \emptyset or an extension of another context with the type τ of a variable x , denoted as $\Gamma, x : \sigma$.

2.3 Typing

Our current emphasis will be on the logical type system. The typing relation $(C, \Gamma \vdash e : \sigma)$ in $\text{HM}(X)$ extends the standard typing relation $(\Gamma \vdash e : T)$ by integrating the propagation of a constraint C across the typing rules. The constraint C must be in a solved form. Informally, this means that C should be a satisfiable constraint and it should not contain equality predicates. Equality constraints should be resolved through some form of unification.

Unlike the inference algorithm, which is also provided for $\text{HM}(X)$, the logical type system does not represent a determinable process for typing a provided expression. This is due to the $(\forall E)$ and $(\forall I)$ rules lacking syntax direction and being applicable at various points in the typing derivation.

Both (Abs) and (App) are the familiar standards found in the simply typed lambda calculus and operate on mono types, thus enforcing let polymorphism. On the other hand, the (Var) rule allows us to retrieve a variable with a poly type, potentially introduced through a let binding. The (Let) rule likewise enforces let polymorphism by permitting the expression bound by x to have a poly type, even though the resulting overall type remains monomorphic.

The $(\forall I)$ and $(\forall E)$ rules are particularly interesting as they enable the introduction and elimination of type variable bindings and constraints. Through the use of the $(\forall I)$ rule, we can assign an arbitrary expression e , with current type τ , a poly type $\forall \vec{\alpha}. D \Rightarrow \tau$, introducing new type variables $\vec{\alpha}$ and the constraint D . Hence, we check that expression e has type τ under the assumption of $C \wedge D$. Additionally, we add the constraint $\exists \vec{\alpha}. D$ in the conclusion of the rule using

conjunction. This addition is not strictly necessary but expresses that D should be, at the very least, satisfiable, thereby enabling the detection of a type error arising from an unsatisfiable constraint at an earlier stage. The $(\forall E)$ rule allows us to eliminate a \forall -type by substituting all type variables $\bar{\alpha}$ with mono types $\bar{\tau}$ in τ . This substitution of all bound variables with mono types results in a mono type again. More importantly we need to verify that the constraint D introduced by the \forall -type is satisfied when we substitute all $\bar{\alpha}$ by $\bar{\tau}$ in D , all while assuming the propagated constraint C .² We use the notation $C \vdash D$ to indicate that we are verifying that some constraint C implies another constraint D .

2.4 Type Inference

Type inference in HM(X) consists of two sequential steps. Initially, a typing problem is transformed into a constraint D within the constraint system X . Subsequently, constraint D undergoes normalization, a process involving the computation of a substitution σ and a constraint C in solved form.

Normalization guarantees that σC (where σC is the application of substitution σ to constraint C) implies D and that σC is a constraint in solved form. To ensure that a typing problem has the principal type property, it's necessary that constraints within X exhibit the most general normalizers. Analogous to types, we require that X must have the *principal constraint* property. This property ensures that the most general constraint results from normalization. Informally, this means for every constraint $D \in X$ we can compute a normalized constraint in solved form σC where σ is the minimal substitution necessary to transform D into a solved form constraint σC and C implies D .

In the event that the constraint domain is the trivial constraint domain \top , the normalization procedure corresponds to the computation of the most general unifier within the Algorithm W employed in HM.

The actual inference algorithm takes four inputs: σ , C , Γ , and e . Initially, the first three are empty, while e represents the expression for which we are deducing the type. Within the algorithm, we perform a case split on expressions, all the while ensuring that recursive calls maintain the invariant that σC remains a principal constraint by normalization.

3 Instantiating HM(X)

3.1 HM(\mathcal{R}): Instantiation with Polymorphic Records

We will now instantiate X to \mathcal{R} , thus extending HM with polymorphic records and related constraints. Our focus will be only on the additions to the syntax, typing rules and minimal constraint language provided by HM(X).

² The action of substitution on constraints can again be encoded as *constraint*. We have $[\bar{\tau}/\bar{\alpha}](\bigwedge_{i \in \mathbb{N}} C_i) \equiv \bigwedge_{i \in \mathbb{N}} ([\bar{\tau}/\bar{\alpha}]C_i) \equiv \bigwedge_{i \in \mathbb{N}} (\exists \bar{\alpha}. C_i \wedge \bigwedge_j (\tau_j = \alpha_j))$.

$$\begin{array}{lll}
e := \dots & C := \dots & \tau := \dots \\
| \{l_i = e_i\} \text{ for } i \in \mathbb{N} & | \tau \leq \{l : \tau\} & | \{l_i : \tau_i\} \text{ for } i \in \mathbb{N} \\
| e.l & &
\end{array}$$

Fig. 3: Syntax Extensions

Fig. 4: Typing Extensions

4 Metatheory

4.1 Soundness

4.2 Type Inference

5 Related Work & Conclusion

5.1 Related Work

5.2 Conclusion

References

- [1] Robin Milner. “A theory of type polymorphism in programming”. In: *Journal of Computer and System Sciences* 17.3 (1978), pp. 348–375. ISSN: 0022-0000. DOI: [https://doi.org/10.1016/0022-0000\(78\)90014-4](https://doi.org/10.1016/0022-0000(78)90014-4). URL: <https://www.sciencedirect.com/science/article/pii/0022000078900144>.
- [2] Martin Odersky, Martin Sulzmann, and Martin Wehr. “Type Inference with Constrained Types”. In: *TAPoS* 5 (Jan. 1999), pp. 35–55. DOI: 10.1002/(SICI)1096-9942(199901/03)5:1<35::AID-TAP04>3.0.CO;2-4.
- [3] Martin Odersky, Philip Wadler, and Martin Wehr. “A Second Look at Overloading”. In: *Proceedings of the Seventh International Conference on Functional Programming Languages and Computer Architecture*. FPCA ’95. La Jolla, California, USA: Association for Computing Machinery, 1995, pp. 135–146. ISBN: 0897917197. DOI: 10.1145/224164.224195. URL: <https://doi.org/10.1145/224164.224195>.
- [4] Atsushi Ohori. “A Polymorphic Record Calculus and Its Compilation”. In: *ACM Trans. Program. Lang. Syst.* 17.6 (Nov. 1995), pp. 844–895. ISSN: 0164-0925. DOI: 10.1145/218570.218572. URL: <https://doi.org/10.1145/218570.218572>.
- [5] Benjamin C. Pierce. *Advanced Topics in Types and Programming Languages*. The MIT Press, 2004. ISBN: 0262162288.
- [6] Christian Skalka and François Pottier. “Syntactic Type Soundness for HM(X)”. In: *Electronic Notes in Theoretical Computer Science* 75 (2003). TIP’02, International Workshop in Types in Programming, pp. 61–74. ISSN: 1571-0661. DOI: [https://doi.org/10.1016/S1571-0661\(04\)80779-5](https://doi.org/10.1016/S1571-0661(04)80779-5). URL: <https://www.sciencedirect.com/science/article/pii/S1571066104807795>.

- [7] B. Wells J. *Typability and type checking in the second-order Λ -calculus are equivalent and undecidable (Preliminary Draft)*. 1993. URL: <https://open.bu.edu/handle/2144/1474>.