

# Type-Directed Operational Semantics for Gradual Typing

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## Abstract

The semantics of gradually typed languages is typically given indirectly via an elaboration into a cast calculus. This contrasts with more conventional formulations of programming language semantics, where the semantics of a language is given directly using, for instance, an operational semantics.

This paper presents a new approach to give the semantics of gradually typed languages directly. We use a recently proposed variant of small-step operational semantics called *type-directed operational semantics* (TDOS). In TDOS type annotations become operationally relevant and can affect the result of a program. In the context of a gradually typed language, such type annotations are used to trigger type-based conversions on values. We illustrate how to employ TDOS on gradually typed languages using two calculi. The first calculus, called  $\lambda B^g$ , is inspired by the semantics of the blame calculus, but it has implicit type conversions, enabling it to be used as a gradually typed language. The second calculus, called  $\lambda B^r$ , explores a different design space in the semantics of gradually typed languages. It uses a so-called *blame recovery semantics*, which enables eliminating some false positives where blame is raised but normal computation could succeed. For both calculi type safety is proved. Furthermore we show that the semantics of  $\lambda B^g$  is sound with respect to the semantics of the blame calculus, and that  $\lambda B^r$  comes with a *gradual guarantee*. All the results have been mechanically formalized in the Coq theorem prover.

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## 1 Introduction

Gradual typing aims to provide a smooth integration between the static and dynamic typing disciplines. In gradual typing a program with no type annotations behaves as a dynamically typed program, whereas a fully annotated program behaves as a statically typed program. The interesting aspect of gradual typing is that programs can be partially typed in a spectrum ranging from fully dynamically typed into fully statically typed. Several mainstream languages, including TypeScript [5], Flow [9] or Dart [7] enable forms of gradual typing to various degrees. Much research on gradual typing has focused on the pursuit of sound gradual typing, where certain type safety properties, and other properties about the transition between dynamic and static typing, are preserved.

The semantics of gradually typed languages is typically given indirectly via an elaboration into a cast calculus. For instance the *blame calculus* [36, 49], the *threesome calculus* [39] or other cast calculi [13, 18, 20, 34, 36, 46] are often used to give the semantics of gradually typed languages. Since a gradual type system can accept programs with distinct types, runtime checks are necessary to ensure type safety. Thus the job of the (type-directed) elaboration is to insert casts between the distinct types. Then the semantics of a cast calculus can be given in a conventional manner.

While elaboration is the most common approach to give the semantics for gradually typed languages, it is also possible to have a direct semantics. In fact, a direct semantics is more conventionally used to provide the meaning to more traditional forms of calculi or programming languages. A direct semantics avoids the extra indirection of a target language and can simplify the understanding of the language. Garcia et al. [15], as part of their *Abstracting Gradual Typing* (AGT) approach, advocated and proposed an approach for giving a direct semantics to gradually typed languages. They showed that the cast insertion step provided by elaboration, which was until then seen as essential to gradual



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46 typing, could be omitted. Instead, in their approach, they develop the dynamic semantics as proof  
 47 reductions over source language typing derivations.

48 This paper presents a different approach to give the semantics of gradually typed languages  
 49 directly. We use a recently proposed variant of small-step operational semantics [51] called *type-*  
 50 *directed operational semantics* (TDOS) [22]. For the most part developing a TDOS is similar to  
 51 developing a standard small step-semantics as advocated by Wright and Felleisen. However, in TDOS  
 52 type annotations become operationally relevant and can affect the result of a program. The distinctive  
 53 feature of TDOS is a so-called *typed reduction* relation that further reduces values based on their types.  
 54 While typically values are the final result of a program, in TDOS typed reduction can further transform  
 55 them based on their run-time type. Thus typed reduction provides an operational interpretation to  
 56 type conversions in the language, similarly to coercions in coercion-based calculi [20].

57 We illustrate how to employ TDOS on gradually typed languages using two calculi. The first  
 58 calculus, called  $\lambda B^g$ , is inspired by the semantics of a variant of the blame calculus [49] by Siek et  
 59 al. [36]. However, unlike the blame calculus,  $\lambda B^g$  allows implicit type conversions, enabling it to be  
 60 used as a gradually typed language. Gradually typed languages can be built on top of  $\lambda B$  using an  
 61 elaboration from a source language into  $\lambda B$ . In contrast  $\lambda B^g$  can already act as a gradual language,  
 62 without the need for an elaboration process.

63 The second calculus, called  $\lambda B^r$ , explores a different design space in the semantics of gradually  
 64 typed languages. It uses a so-called *blame recovery semantics*, which enables eliminating some false  
 65 positives where blame is raised but normal computation could succeed. In the  $\lambda B$  calculus, a lambda  
 66 expression annotated with a chain of types is taken as a value. This means that it accumulates the  
 67 type annotations, and checks if there are errors only when the function is applied to a value. This has  
 68 some drawbacks. Perhaps most notably, and widely discussed in the literature [14, 21, 34, 35, 39], is  
 69 that the accumulation of annotations affects space efficiency. Moreover, sometimes blame is raised  
 70 quite conservatively, when a program could successfully return a value. Of course, the blame calculus  
 71 semantics is justified by its origins on contracts and traditional casts (such as those commonly used in  
 72 mainstream languages like Java). In such settings all casts/contracts must be valid, and any violations  
 73 should raise blame.

74 In the  $\lambda B^r$  calculus, the design choice that we make is to only raise blame if the initial source  
 75 type of the value and final target types are not consistent. Otherwise, even if intermediate annotations  
 76 trigger type conversions which would not be consistent, the final result can still be a value provided  
 77 that the initial source and final target types are themselves consistent. This semantics differs from  
 78 the blame calculus where intermediate types can cause blame. Technically speaking we introduce a  
 79 new *saved expression/value*, that is used as an intermediate result during reduction. A saved value  
 80 is generated whenever a conversion between two inconsistent types is triggered. However, if later  
 81 another type conversion is applied to the value, then a saved value can recover from the brink of  
 82 blame and be restored as a conventional value, provided that the new target type is consistent with  
 83 the type of the saved value. A nice aspect of this semantics is that it avoids the accumulation of type  
 84 annotations, being more space efficient. We believe that this design strikes a compromise between the  
 85 more pragmatic approaches to gradual typing used in industry and the approaches that aim at sound  
 86 gradual typing in the research literature. In languages like TypeScript or Flow static types have no  
 87 operational relevance and the dynamic type can be seen as just “turning off” the type system. Our  
 88 interpretation of the dynamic type can also be understood as turning off the (static) type system, but  
 89 static types are still operationally relevant (via type annotations) and are used to prevent violations of  
 90 type-safety.

91 For both calculi type safety is proved. Furthermore we show that the semantics of  $\lambda B^g$  is sound  
 92 with respect to the semantics of the blame calculus, and that  $\lambda B^r$  comes with a *gradual guarantee* [38].  
 93 All the results have been mechanically formalized in the Coq theorem prover.

In summary, the contributions of this work are:

- **TDOS for gradual typing:** We show that TDOS can be employed in gradually typed languages. This enables simple, and concise specifications of the semantics of gradually typed languages, without resorting to an intermediate cast calculus. A nice aspect of TDOS is that it remains close to the simple and familiar small-step semantics approach by Wright and Felleisen.
- **The  $\lambda B^g$  calculus** provides a first concrete illustration of TDOS for gradual typing. It follows closely the semantics of the blame calculus, but it allows implicit type conversions. We show type-safety, determinism, as well as a soundness theorem that relates the semantics of  $\lambda B^g$  to that of the blame calculus (ignoring blame labels).
- **The  $\lambda B^r$  calculus and blame recovery semantics.**  $\lambda B^r$  explores the design space of the semantics of gradual typing by using a blame recovery semantics. The key idea is to only raise blame if the initial source type of the value and final target types are not consistent. Furthermore,  $\lambda B^r$  comes with a gradual guarantee [38].
- **Coq Formalization:** Both  $\lambda B^g$  and  $\lambda B^r$ , and all associated lemmas and theorems, have been formalized in the Coq theorem prover. The Coq formalization can be found in the supplementary materials of this submission.

## 2 Overview

This section provides background on gradual typing and the blame calculus, and then illustrates the key ideas of our work and the  $\lambda B^g$  and  $\lambda B^r$  calculi.

### 2.1 Background: Gradual Typing and the $\lambda B$ calculus

Traditionally, programming languages can be divided into statically typed languages and dynamically typed languages. For a statically typed language, the type of every term must be known. The language may support type inference, but it usually requires some type annotations by the programmer, which bears some extra work for a programmer. However, the benefit of static typing is that type-unsafe programs are rejected before they are executed. On the other hand, in dynamically typed languages terms do not have static types and no type annotations are needed. This waives the burden of type annotations, at the cost of type-safety.

Gradual typing [40] is like a bridge connecting the two styles. Gradual typing extends the type system of static languages by allowing terms to have a *dynamic type*  $\star$ , which stands for the possibility of being any type. A term with the unknown type  $\star$  is not rejected in any context by the type checker. Therefore, it can be viewed as in a dynamically typed language. In a gradually typed language, programs can be completely statically typed, or completely dynamically typed, or anything in between.

To cooperate with the very flexible  $\star$  type, the common practice in gradual type systems is to define a binary relation called type *consistency*. A term of type  $A$  can be assigned type  $B$  if  $A$  and  $B$  are consistent ( $A \sim B$ ). With  $\star$  defined to be consistent with any other type, dynamic snippets can be embedded into the whole program without breaking the type soundness property. Of course, the type soundness theorem is relaxed and tolerates some kinds of run-time type errors. Besides type soundness, there are some other criteria for gradual typing systems. One well-recognized standard is the gradual guarantee proposed by Siek et al. [38].

**The  $\lambda B$  calculus** Figure 1 shows the definition of the blame calculus [36, 49]. Here we base ourselves in a variant of the blame calculus by Siek et al. [36], but ignoring blame labels. The blame calculus is the simply-typed lambda calculus but extended with the dynamic type ( $\star$ ) and the cast

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### Syntax

<i>Types</i>	$A, B ::= \text{Int} \mid \star \mid A \rightarrow B$
<i>Ground types</i>	$G, H ::= \text{Int} \mid \star \rightarrow \star$
<i>constant</i>	$c ::= i \mid \dots$
<i>Terms</i>	$t ::= c \mid x \mid t : A \Rightarrow B \mid t_1 \ t_2 \mid \lambda x : A. t$
<i>Result</i>	$r ::= t \mid \text{blame}$
<i>Values</i>	$V, W ::= c \mid V : A \rightarrow B \Rightarrow A' \rightarrow B' \mid \lambda x. t : A \mid V : G \Rightarrow \star$
<i>Context</i>	$\Gamma ::= \cdot \mid \Gamma, x : A$
<i>Frame</i>	$F ::= [] \ t \mid V \ [] \mid [] : A \Rightarrow B$

### $\Gamma \vdash t : A$

(Additional Typing Rules)

$$\frac{\text{BTYP-CAST} \quad \Gamma \vdash t : A \quad A \sim B}{\Gamma \vdash t : A \Rightarrow B : B}$$

### $A \sim B$

(Consistency of types)

$$\begin{array}{ccc} \text{S-I} & \text{S-ARR} & \text{S-DYNL} \quad \text{S-DYNR} \\ \frac{}{\text{Int} \sim \text{Int}} & \frac{A \sim C \quad B \sim D}{A \rightarrow B \sim C \rightarrow D} & \frac{}{\star \sim A} \quad \frac{}{A \sim \star} \end{array}$$

### $t \mapsto r$

(Reduction for the  $\lambda B$  Calculus)

$$\begin{array}{ccc} \text{BSTEPP-EVAL} & \text{BSTEPP-BLAME} & \text{BSTEPP-BETA} \\ \frac{t \mapsto t'}{F.t \mapsto F.t'} & \frac{t \mapsto \text{blame}}{F.t \mapsto \text{blame}} & \frac{}{(\lambda x : A. t) V \mapsto t[x \mapsto V]} \\ \\ \text{BSTEPP-VANY} & & \text{BSTEPP-DD} \\ \frac{}{(V : G \Rightarrow \star) : \star \Rightarrow G \mapsto V} & & \frac{}{V : \star \Rightarrow \star \mapsto V} \\ \\ \text{BSTEPP-DYNA} & & \text{BSTEPP-BLAMEP} \\ \frac{ug(A, \star \rightarrow \star)}{V : \star \Rightarrow A \mapsto (V : \star \Rightarrow \star \rightarrow \star) : \star \rightarrow \star \Rightarrow A} & & \frac{}{(V : G \Rightarrow \star) : \star \Rightarrow H \mapsto \text{blame}} \\ \\ \text{BSTEPP-ABETA} & & \text{BSTEPP-LIT} \\ \frac{}{(V : A \rightarrow B \Rightarrow A' \rightarrow B') W \mapsto (V(W : A' \Rightarrow A)) : B \Rightarrow B'} & & \frac{}{i : \text{Int} \Rightarrow \text{Int} \mapsto i} \\ \\ \text{BSTEPP-ANYD} & & \\ \frac{ug(A, \star \rightarrow \star)}{V : A \Rightarrow \star \mapsto (V : A \Rightarrow \star \rightarrow \star) : \star \rightarrow \star \Rightarrow \star} & & \end{array}$$

■ **Figure 1** The  $\lambda B$  Calculus (selected rules).

expression  $(t : A \Rightarrow B)$ . Meta-variables  $G$  and  $H$  range over ground types, which include  $Int$  and  $\star \rightarrow \star$ . The definition of values in the blame calculus contains some interesting forms. In particular, casts  $(V : A \rightarrow B \Rightarrow A' \rightarrow B')$  and  $V : G \Rightarrow \star$  are included. Runtime type errors are denoted as *blame*. Besides the standard typing rules of the simply typed lambda calculus, there is an additional typing rule for casts: if term  $t$  has type  $A$  and  $A$  is consistent with  $B$ , a cast on  $t$  from  $A$  to  $B$  has type  $B$ . The consistency relation for types states that every type is consistent with itself,  $\star$  is consistent with all types, and function types are consistent only when input types and output types are consistent with each other.

The bottom of Figure 1 shows the reduction rules that we use in this paper. The dynamic semantics of the  $\lambda B$  calculus is standard for most rules. The semantics of casts include the noteworthy parts. For the first-order values, reduction is straightforward: a cast either succeeds or it fails and raises blame. For example:

$$\begin{aligned} 1 : Int \Rightarrow \star : \star \Rightarrow Int &\mapsto^* 1 \\ 1 : Int \Rightarrow \star : \star \Rightarrow Bool &\mapsto^* blame \end{aligned}$$

For higher-order values such as functions, the semantics is more complex, since the casted result cannot be immediately obtained. For example, if we cast from  $\star \rightarrow \star$  to  $Int \rightarrow Int$ , we cannot judge the cast result immediately. So the checking process is deferred until the function is applied to an argument. Rule *BSTEPP-ABETA* shows that process: a function with the cast is a value which does not reduce until it has been applied to a value.

## 2.2 $\lambda B^g$ : A Gradually Typed Lambda Calculus

Since  $\lambda B$  requires explicit casts whenever a term's type is converted, it cannot be considered a gradually typed calculus. For comparison, the application rule for typing in the *Gradually Typed Lambda Calculus* (GTLC) [35, 38, 40]

$$\frac{\Gamma \vdash e_1 : T_1 \rightarrow T_2 \quad \Gamma \vdash e_2 : T_3 \quad T_1 \sim T_3}{\Gamma \vdash e_1 e_2 : T_2} \text{GTLC-APP}$$

does not force the input term to have the same type as what the function expects. It just checks the compatibility of the two terms' types and can do implicit type conversions (casts) automatically. In a cast calculus, similar flexibility only exists when the term is wrapped with a cast, since the application rule strictly requires the argument type to be of the same type of the input of the function type. In  $\lambda B$ , for instance, the application rule is the same as in the Simply Typed Lambda Calculus, requiring the argument type to be of the same type of the input of the function type.

**Bi-directional type-checking for  $\lambda B^g$**  As a first step to adapt a  $\lambda B$ -like calculus into a source language for gradual typing, we turn to the bidirectional type checking [30]. Unlike in GTLC or  $\lambda B$ , a bidirectional typing judgement may be in one of the two modes: inference or checking. In the former, a type is synthesized from the term. In the later, both the type and the term are given as input, and the typing derivation examines whether the term can be used under that type safely. In a typical bidirectional type system with subtyping, the subsumption rule is only employed in the checking mode, allowing a term to be checked by a supertype of its inferred type. That is to say, the checking mode is more relaxed than the inference mode, which typically infers a unique type. With bidirectional type-checking the application rule in such a system is not as strict as in the  $\lambda B$  calculus, as the input term is typed with a checking mode.

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**Implicit type conversion in function applications** By using bidirectional type checking, we can type-check programs such as:

176	$(\lambda x.x) 1$	Accepted!
177	$(\lambda x.\text{not } x) 1$	Accepted!
178	$(\lambda x.\text{not } x : \star \rightarrow \text{Bool}) 1$	Accepted!
179 180	$(\lambda x.x + 1 : \text{Int} \rightarrow \text{Int}) 1$	Accepted!

181 and also reject ill-typed programs:

182 183	$(\lambda x.\text{not } x : \text{Bool} \rightarrow \text{Bool}) 1$	Rejected!
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**Explicit type conversion** Besides the implicit conversion, programmers are able to trigger type conversions in a explicit fashion by wrapping the term with a type annotation  $e : A$ , where  $A$  denotes the target type. For instance, the two simple examples in  $\lambda B$  in Section 2.1 can be encoded in  $\lambda B^g$  as:

187	$1 : \text{Int} : \star : \text{Int} \mapsto^* 1$
188	$1 : \text{Int} : \star : \text{Bool} \mapsto^* \text{blame}$
189 190	

191 with similar results to the same programs in the  $\lambda B$  calculus.

**Functions** One interesting change in the type system is that we handle lambdas by inference mode rather than checking mode. Our rule for lambdas is:

$$\frac{\Gamma, x : A \vdash e \Leftarrow B}{\Gamma \vdash \lambda x. e : A \rightarrow B \Rightarrow A \rightarrow B} \text{TYP-ABS}$$

192 If the programmer wants to have their function statically type checked, they can write down the full  
193 annotations. Otherwise, the function can left with no annotation, which will be desugared into a  
194 lambda with type  $\star \rightarrow \star$ , similarly to what happens in the GTLC for dynamically typed lambdas.

### 195 2.3 Designing a TDOS for $\lambda B^g$

196 The most interesting aspect of  $\lambda B^g$  is its dynamic semantics. We discuss the key ideas next.

**Background: Type-Directed Operational Semantics** A type-directed operational semantics is helpful for language features whose semantics is type dependent. TDOS was originally proposed for languages that have intersection types and a merge operator [22]. To enable expressive forms of the merge operator the dynamic semantics has to account for the types, just like the semantics of gradually typed language. In many traditional operational semantics type annotations are often ignored. In TDOS that is not the case, and the type annotations are used at runtime to determine the result of reduction. A TDOS has two parts. One part is similar to the traditional reduction rules, modulo some changes on type-related rules, like beta reduction for application, and annotation elimination for values. The second component of TDOS the typed reduction relation  $v \mapsto_A r$ . Typed reduction has a value and a type as input and produces a value (when no run-time error is possible) as result. The resulting value is transformed from the input value.

**Typed Reduction for  $\lambda B^g$**  Due to consistency, run-time checking is needed in gradual typing. The typed reduction relation  $v \mapsto_A r$  is used when run-time checks are needed. Typed reduction compares the principal type of the input value with the target type. When the type of the input value ( $v$ ) is not consistent to the target type ( $A$ ), blame is raised. Otherwise, typed reduction adapts the value to suit the target type. Eventually, terms becomes more and more precise. Two easy examples to show how typed reduction work are shown next:

$1 \mapsto_{Int} 1$   
 $1 : \star \mapsto_{Bool} blame$

If we have an integer value 1 and we want to transform it with type *Int*, we simply return the original value. In contrast, attempting to transform the value  $1 : \star$  under type *Bool* will result in blame.

Typed reduction takes place in other reduction rules such as the beta reduction rule and the annotation elimination rule for values:

$\text{STEP-BETA}$ $\frac{v \mapsto_A v'}{(\lambda x. e : A \rightarrow B) v \mapsto e[x \mapsto v'] : B}$	$\text{STEP-ANNOV}$ $\frac{v \mapsto_A r}{v : A \mapsto r}$
--	---

Take another example to illustrate the behavior of typed reduction in beta reduction:

$(\lambda x. x : Bool \rightarrow Bool) (1 : \star)$

If we would perform substitution directly, as conventionally done in beta-reduction, we would not check if there are run-time errors, for which blame should be raised. Since the typing rule for the argument of application is in checking mode, we need to check if the type of the argument is consistent with the target type. Therefore the argument must be further reduced with typed reduction under the expected type of the function input. When we check that the type *Int* is not consistent with *Bool*, blame is raised. However, if we take the example:

$(\lambda x. x + 1 : Int \rightarrow Int) (1 : \star)$

then the value 1 is substituted in the function body and the result is 2. The details of reduction and typed reduction in  $\lambda B^g$  will be discussed in Section 3.

## 2.4 $\lambda B^r$ : Gradual Typing with a Blame Recovery Semantics

**An alternative semantics for Gradual Typing.** In  $\lambda B^r$  we explore an alternative semantics for gradual typing that we call *blame recovery semantics*. The main idea is to only raise blame when the initial (source) type and the final target types in a chain of type annotations are inconsistent. Intermediate inconsistent types will not lead to blame. Thus the blame recovery semantics can be viewed as being more liberal with respect to raising blame. We illustrate the difference next, with 4

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239 programs that raise blame in  $\lambda B^g$ , but would successfully compute a value in  $\lambda B^r$ :

240  $1 : \text{Int} : \star : \text{Bool} : \star \mapsto \text{blame}$  {Examples in  $\lambda B^g$  }

241  $1 : \star : \text{Bool} : \star : \text{Int} \mapsto \text{blame}$

242  $(\lambda x.x : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} : \star \rightarrow \star) 1 \mapsto^* \text{blame}$

243  $(\lambda x.x : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} : \star \rightarrow \star : \text{Int} \rightarrow \text{Int}) 1 \mapsto^* \text{blame}$

244

245  $1 : \text{Int} : \star : \text{Bool} : \star \mapsto^* 1 : \star$  {Same examples in  $\lambda B^r$  }

246  $1 : \star : \text{Bool} : \star : \text{Int} \mapsto^* 1 : \text{Int}$

247  $(\lambda x.x : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} : \star \rightarrow \star) 1 \mapsto^* 1 : \text{Int}$

248  $(\lambda x.2 : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} : \star \rightarrow \star : \text{Int} \rightarrow \text{Int}) 1 \mapsto^* 2 : \text{Int}$

249

250 For the first example,  $\text{Int}$  is not consistent with  $\text{Bool}$ , which is one of the intermediate annotations,  
 251 and blame will be raised in  $\lambda B^g$ . In  $\lambda B^r$ , the initial source type  $\text{Int}$  is consistent with the final target  
 252 type  $\star$ , so blame is not raised. For the second example, once again  $\text{Int}$  is not consistent with  $\text{Bool}$ ,  
 253 so blame is raised in  $\lambda B^g$ . In  $\lambda B^r$ , the initial source type  $\star$  is consistent with the final target type  
 254  $\text{Int}$ , thus reduction results in  $1 : \text{Int}$ . For the third and fourth examples, the function being applied  
 255 is wrapped on a chain of annotations that contain the inconsistent types  $\text{Int} \rightarrow \text{Int}$  and  $\text{Bool} \rightarrow \text{Bool}$ .  
 256 Therefore, in  $\lambda B^g$  blame is raised in both cases. However, in  $\lambda B^r$ , because  $\star \rightarrow \star$  is consistent  
 257 with  $\text{Int} \rightarrow \text{Int}$ , the annotation chain of functions is eliminated, then beta reduction applies, and it  
 258 successfully reduces to an integer value.

259 **Space Efficiency** Besides the different semantics with respect to the  $\lambda B^g$  and  $\lambda B$  calculi, an  
 260 interesting aspect of this alternative semantics is better space efficiency. Unlike the blame calculus or  
 261  $\lambda B^g$ , where functions with an arbitrary number of annotations are values, that is not the case in  $\lambda B^r$ .  
 262 Because of the blame recovery semantics it is possible to discard intermediate types when reducing  
 263 expressions with chains of annotations. Instead of wrappers for higher-order casts, function values  
 264 have just 2 annotations. Some concrete examples for higher-order casts (functions) are:

265  $(\lambda x.x : \text{Int} \rightarrow \text{Int}) : \star \rightarrow \star : \text{Int} \rightarrow \text{Int} \mapsto^* (\lambda x.x : \text{Int} \rightarrow \text{Int}) : \text{Int} \rightarrow \text{Int}$

266  $(\lambda x.x : \text{Int} \rightarrow \text{Int}) : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} \mapsto^* [\lambda x.x : \text{Int} \rightarrow \text{Int}]_{\text{Bool} \rightarrow \text{Bool}}$

267  $(\lambda x.x : \text{Int} \rightarrow \text{Int}) : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} : \star \rightarrow \star \mapsto^* \lambda x.x : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star$

268

269 For the first example, because the source type  $\text{Int} \rightarrow \text{Int}$  is consistent with the target type  $\text{Int} \rightarrow \text{Int}$ ,  
 270 the intermediate types are ignored and the resulting value is  $(\lambda x.x : \text{Int} \rightarrow \text{Int}) : \text{Int} \rightarrow \text{Int}$ . For the  
 271 second example, because the source type  $\text{Int} \rightarrow \text{Int}$  is not consistent with the target type  $\text{Bool} \rightarrow \text{Bool}$ ,  
 272 instead of raising blame immediately, the source type will be stored in a saved value:  $[\lambda x.x : \text{Int} \rightarrow$   
 273  $\text{Int}]_{\text{Bool} \rightarrow \text{Bool}}$ . Later, if the saved value is applied to an argument, blame will be raised, since a saved  
 274 value is denoting that the function has inconsistent source and target types. The third example, is  
 275 similar to the second example except that there is an extra final target type  $\star \rightarrow \star$ . Thus, since  
 276 the initial source type  $\text{Int} \rightarrow \text{Int}$  is consistent with the final target type  $\star \rightarrow \star$  the final value is  
 277  $(\lambda x.x : \text{Int} \rightarrow \text{Int}) : \star \rightarrow \star$ . The above examples illustrate that at most there will be 2 type annotations  
 278 in values. In contrast, for the blame calculus, the three examples are values where all the annotations  
 279 are accumulated.

280 **Saved Expressions** To realize the blame recovery semantics we introduce *saved expressions/values*,  
 281 which are used to signal *potential blame*. A saved value is generated whenever some target type



## Syntax

<i>Types</i>	$A, B ::= Int \mid \star \mid A \rightarrow B$
<i>Ground types</i>	$G ::= Int \mid \star \rightarrow \star$
<i>Constants</i>	$c ::= i \mid \dots$
<i>Terms</i>	$e ::= c \mid x \mid e : A \mid e_1 e_2 \mid \lambda x. e : A \rightarrow B$
<i>Result</i>	$r ::= e \mid blame$
<i>Values</i>	$v ::= c \mid v : A \rightarrow B \mid \lambda x. e : A \rightarrow B \mid v : \star$
<i>Context</i>	$\Gamma ::= \cdot \mid \Gamma, x : A$
<i>Frame</i>	$F ::= [] e \mid v [] \mid [] : A$
<i>Typing modes</i>	$\Leftrightarrow ::= \Rightarrow \mid \Leftarrow$
<i>Syntactic sugar</i>	$\lambda x. e \equiv \lambda x. e : \star \rightarrow \star$

value  $e$ (Well-formed values for  $\lambda B^g$  calculus)

VALUE-C	VALUE-ANNO	VALUE-FANNO	VALUE-DYN
$\frac{}{value\ c}$	$\frac{}{value\ \lambda x. e : A \rightarrow B}$	$\frac{\llbracket v \rrbracket = C \rightarrow D}{value\ v : A \rightarrow B}$	$\frac{Ground\ \llbracket v \rrbracket}{value\ v : \star}$

■ **Figure 2** Syntax and well-formed values for the  $\lambda B^g$  calculus.

arizing from an annotation is inconsistent with the current value. If further annotations are processed after a saved value is generated, recovery from blame is possible. Take the third example above again. The full reduction steps for that example are:

$(\lambda x. x : Int \rightarrow Int) : \star \rightarrow \star : Bool \rightarrow Bool : \star \rightarrow \star$   
 $\mapsto [\lambda x. x : Int \rightarrow Int]_{Bool \rightarrow Bool} : \star \rightarrow \star$   
 $\mapsto \lambda x. x : Int \rightarrow Int : \star \rightarrow \star$

An intermediate saved value is generated, but because there is still one more consistent annotation ( $\star \rightarrow \star$ ), the value is recovered from the saved expression, revoking the potential reason to raise blame.

### 3 The $\lambda B^g$ Calculus: Syntax, Typing and Semantics

In this section, we will introduce the gradually typed  $\lambda B^g$  calculus. The semantics of the  $\lambda B^g$  calculus follows closely the semantics of the  $\lambda B$  cast calculus, and it employs a type-directed operational semantics [22] to have a direct operational semantics.  $\lambda B^g$  uses bidirectional type-checking [30]. We prove a soundness result between the semantics of the  $\lambda B^g$  and  $\lambda B$  calculi (ignoring blame labels), as well as the usual type soundness property.

#### 3.1 Syntax

The syntax of  $\lambda B^g$  calculus is shown in Figure 2.

**Types and Ground types.** Meta-variables  $A$  and  $B$  range over types. There is a basic type: the integer type  $Int$ . The calculus also has function types  $A \rightarrow B$ , and dynamic types  $\star$ . The type  $\star$  is

used to denote the dynamic type which is unknown. Just like in  $\lambda B$  calculus, ground types include  $Int$  and  $\star \rightarrow \star$ .

**Constants, Expressions and Results.** Meta-variable  $c$  ranges over constants. Each constant is assigned a unique principal type. The constants include integers ( $i$ ) of type  $Int$ . Expressions range over by the meta-variable  $e$ . There are some standard constructs which include: constants ( $c$ ); variables ( $x$ ); annotated expressions ( $e : A$ ); application expressions ( $e_1 e_2$ ) and lambda abstractions ( $\lambda x. e : A \rightarrow B$ ). Note that lambda abstractions have the function type annotation  $A \rightarrow B$ , meaning that the input type is  $A$  and the output type is  $B$ . Similarly to GTLC, lambdas without type annotations are just sugar for a lambda with the annotation  $\star \rightarrow \star$ . Results ( $r$ ) include all expressions and blame, which is used to denote cast-errors at run-time. Finally, note that in our Coq formalization, constants such as addition of integers are implemented, but omitted here for simplicity of presentation.

**Value and Contexts.** The meta-variable  $v$  ranges over values. Values include constants ( $c$ ); lambda abstractions ( $\lambda x. e : A \rightarrow B$ ) and a special value with the syntax  $v : A \rightarrow B$ . Note that, similarly to  $\lambda B$ , not all syntactic values are well-formed values. The *value* predicate, at the bottom of Figure 2, defines well-formed values. Values  $v$  annotated with a function type are values if the principal type of  $v$  is also a function type. The expression of  $v : \star$  is a value only when the type of  $v$  is a ground type. Constants are also values. Typing contexts are standard.  $\Gamma$  is used to track the bound variables  $x$  with their type  $A$ .

**Frame and Typing modes.** The meta-variable  $F$  ranges over frames [36] which is a form of evaluation contexts [28]. The frame is mostly standard, though it is perhaps noteworthy that it includes annotated expressions.  $\Leftrightarrow$  is used to represent the two modes of the bidirectional typing judgment. The  $\Rightarrow$  mode is the synthesis (inference) mode and  $\Leftarrow$  mode is the checking mode.

### 3.2 Typing

We use bidirectional typing for our typing rules. The typing judgment is represented as  $\Gamma \vdash e \Leftrightarrow A$ , which means that the expression  $e$  could be inferred or checked by the type  $A$  under the typing environment  $\Gamma$ . We ignore the highlighted parts, and explain them later in Section 3.4.

**Principal Types.** The principal type is the most specific type of a value among all the other types.  $\lceil v \rceil$  denotes the type of  $v$  and is defined as follows:

330

► **Definition 1** (Principal types).  $\lceil v \rceil$  denotes the principal type of the value  $v$ .

$$\begin{aligned} \lceil i \rceil &= Int \\ \lceil \lambda x. e : A \rightarrow B \rceil &= A \rightarrow B \\ \lceil v : A \rceil &= A \end{aligned}$$

335  
336

**Typing Relation** The typing relation of the  $\lambda B^g$  calculus is shown in Figure 3. The gray parts can be ignored for the moment. Most of the rules in inference mode follow the  $\lambda B$  calculus's type system. The typing for constants (rule TYP-c) recovers the type of the constants using the definition of principal types. The rule TYP-var for variables is standard. For lambda expressions, the  $\lambda B^g$  calculus

$$\boxed{\Gamma \vdash e \Leftarrow A \rightsquigarrow t} \quad (\text{Typing})$$

$$\begin{array}{c}
\text{BTYP-C} \\
\hline
\Gamma \vdash c \Rightarrow \lfloor c \rfloor \rightsquigarrow c
\end{array}
\quad
\begin{array}{c}
\text{BTYP-VAR} \\
x : A \in \Gamma \\
\hline
\Gamma \vdash x \Rightarrow A \rightsquigarrow x
\end{array}
\quad
\begin{array}{c}
\text{BTYP-ABS} \\
\hline
\Gamma, x : A \vdash e \Leftarrow B \rightsquigarrow t \\
\hline
\Gamma \vdash \lambda x. e : A \rightarrow B \Rightarrow A \rightarrow B \rightsquigarrow \lambda x:A. t
\end{array}$$

$$\begin{array}{c}
\text{BTYP-APP} \\
\Gamma \vdash e_1 \Rightarrow A \rightarrow B \rightsquigarrow t_1 \\
\Gamma \vdash e_2 \Leftarrow A \rightsquigarrow t_2 \\
\hline
\Gamma \vdash e_1 e_2 \Rightarrow B \rightsquigarrow t_1 t_2
\end{array}
\quad
\begin{array}{c}
\text{BTYP-ANNO} \\
\hline
\Gamma \vdash e \Leftarrow A \rightsquigarrow t \\
\hline
\Gamma \vdash e : A \Rightarrow A \rightsquigarrow t
\end{array}
\quad
\begin{array}{c}
\text{BTYP-SIM} \\
\Gamma \vdash e \Rightarrow A \rightsquigarrow t \quad A \sim B \\
\hline
\Gamma \vdash e \Leftarrow B \rightsquigarrow t : A \Rightarrow B
\end{array}$$

■ **Figure 3** Type system of  $\lambda B^g$  calculus

is different from  $\lambda B$  calculus: in the  $\lambda B^g$  calculus the type of a lambda expression is given. Thus the body of the lambda expression is checked with a target type that should be consistent to the type of the lambda body. For applications  $e_1 e_2$ , the rule is standard for bi-directional type-checking: the type of  $e_1$  is inferred, and the type of  $e_2$  is checked against the domain type of  $e_1$ . The rule for annotations (rule TYP-ANNO) is also standard, inferring the annotated type, while checking the expression in the against the annotated type. All the consistency checks happen in the subsumption rule (rule TYP-SIM). However, it is important to notice that since the subsumption rule is in checking mode, all consistency checks can only happen when typing is invoked in the checking mode.

Two important properties of the typing relation is that it has principal types for the inference mode, and if an expression  $e$  can be checked with type  $A$ , then  $e$  can be inferred with some type  $B$ :

► **Lemma 2** (Principal Types). *For any value  $v$ , if  $v$  is well-typed and  $\cdot \vdash v \Rightarrow A$  then  $\lfloor v \rfloor = A$ .*

► **Lemma 3** (Typing chk mode to inf mode). *If  $\Gamma \vdash e \Leftarrow A$  then  $\exists B, \Gamma \vdash e \Rightarrow B$ .*

**Consistency.** Consistency plays an important role in a gradually type lambda calculus. Consistency acts as a relaxed equality relation. The consistency relation is the same as  $\lambda B$ , and is already shown in Figure 1. In consistency, the reflexivity and symmetry properties hold. However, it is well-known that consistency is not a transitive relation. If consistency were transitive then every type would be consistent with any other type [40].

### 3.3 Dynamic Semantics

The dynamic semantics of  $\lambda B^g$  employs a type-directed operational semantics (TDOS) [22]. In TDOS, besides the usual reduction relation, there is a special *typed reduction* relation for values that is used to further reduce values based on the type of the value. Typed reduction is used by the TDOS reduction relation. In a gradually typed calculus with TDOS the typed reduction relation plays a role analogous to various cast-related reduction rules in a cast calculus. We first introduce typed reduction and then move on to the definition of reduction.

**Typed Reduction.** We reduce a value under a certain type using the typed reduction relation. The form of the typed reduction relation is  $v \mapsto_A r$ , which means that a value  $v$  annotated with  $A$  reduces under type  $A$  to a result  $r$ . Note that  $r$  can either be a value or *blame*. Blame is raised during typed reduction if we try to reduce the value under a type that is not consistent with the type of the value. For instance trying to type reduce the value  $1 : \star$  under the type *Bool* will raise blame. Thus, it should

$v \mapsto_A r$

(Typed Reducction for  $\lambda B^g$  calculus)

$\frac{\text{TREDUCE-ABS} \quad \lceil v \rceil \sim A \rightarrow B}{v \mapsto_{A \rightarrow B} v : A \rightarrow B}$	$\frac{\text{TREDUCE-V} \quad \text{Ground } \lceil v \rceil}{v \mapsto_{\star} v : \star}$	$\frac{\text{TREDUCE-LIT}}{i \mapsto_{\text{Int}} i}$	$\frac{\text{TREDUCE-DD}}{v : \star \mapsto_{\star} v : \star}$
$\frac{\text{TREDUCE-ANYD} \quad \text{FLike } \lceil v \rceil}{v \mapsto_{\star} v : \star \rightarrow \star : \star}$	$\frac{\text{TREDUCE-DYNA} \quad \text{FLike } A \quad \lceil v \rceil \sim A}{v : \star \mapsto_A v : A}$	$\frac{\text{TREDUCE-VANY}}{v : \star \mapsto_{\lceil v \rceil} v}$	$\frac{\text{TREDUCE-BLAME} \quad \lceil v \rceil \not\sim A}{v : \star \mapsto_A \text{blame}}$

■ **Figure 4** Typed Reducction for the  $\lambda B^g$  calculus.

be clear that typed reduction mimics the behavior of casts in cast calculi like the  $\lambda B$  calculus. In the  $\lambda B$  calculus, in a cast  $t : A \Rightarrow B$ ,  $t$  should be a cast from a source type  $A$  to a target type  $B$ . Using typed reduction, the type  $A$  is the target type, whereas the principal type of  $v$  is the source type.

Figure 4 shows the rules of typed reduction. Rule TREDUCE-ABS and rule TREDUCE-V just accumulate the types since the principal type of  $v$  is a function type. Thus  $v$  annotated with  $A \rightarrow B$  is a value and  $v : \star$  is also a value when the principal type of  $v$  is a ground type. Rule TREDUCE-LIT is for integer values: an integer  $i$  being reduced under the integer type results on the same integer  $i$ . A value  $v : \star$  type reduced under  $\star$  returns the original value as well (rule TREDUCE-DD). In rule TREDUCE-ANYD, the premise is that the principal type of  $v$  should be a function-like type (*FLike*). The definition of *FLike*, which plays a role analogous to  $ug(A, \star \rightarrow \star)$  in  $\lambda B$ , is:

$$\text{FLike } A ::= A \neq \star \wedge A \neq \star \rightarrow \star \wedge A \sim \star \rightarrow \star$$

If a type  $A$  is *FLike* then it is not the type  $\star$  and the type  $\star \rightarrow \star$ , but should be consistent with  $\star \rightarrow \star$ . In other words, the premise in rule TREDUCE-ANYD means that the principal type of  $v$  should be any function type  $A \rightarrow B$  except for  $\star \rightarrow \star$ . In the end  $v$  is type reduced under type  $\star$  and returns the value  $v : \star \rightarrow \star : \star$ . In rule TREDUCE-VANY,  $v : \star$  is type reduced under the principal type of  $v$ , returning  $v$  and dropping the annotation  $\star$ . In rule TREDUCE-BLAME, if the principal type of  $v$  is not consistent to the type  $A$  that we are type reducing, then blame is raised.

Finally, in rule TREDUCE-DYNA, a value  $v : \star$  being type reduced under type  $A$  (where  $A$  is function-like and the principal type of  $v$  is consistent with  $A$ ) results in  $v : A$ . That is the annotation  $\star$  gets replaced by the function type  $A$ .

**Properties of Typed Reduction** Some typed reduction properties of  $\lambda B^g$  calculus are shown next:

- **Lemma 4** (Typed Reduction Preserves Values). *If value  $v$  and  $v \mapsto_A v'$  then value  $v'$ .*
- **Lemma 5** (Preservation of Typed Reduction). *If  $\cdot \vdash v \Leftarrow B$  and  $v \mapsto_A v'$  then  $\cdot \vdash v' \Rightarrow A$ .*
- **Lemma 6** (Progress of Typed Reduction). *If  $\cdot \vdash v \Leftarrow A$  then  $\exists v', v \mapsto_A v'$  or  $v \mapsto_A \text{blame}$ .*
- **Lemma 7** (Determinism of Typed Reduction). *If  $\cdot \vdash v \Leftarrow B$ ,  $v \mapsto_A r_1$  and  $v \mapsto_A r_2$  then  $r_1 = r_2$ .*
- **Lemma 8** (Typed Reduction Respects Consistency). *If  $v \mapsto_A v'$  then  $\lceil v \rceil \sim A$ .*

$$\boxed{e \mapsto r} \quad (Small\text{-}step\ Semantics)$$

$$\begin{array}{c}
\text{STEP-EVAL} \\
\frac{e \mapsto e'}{F.e \mapsto F.e'} \\
\\
\text{STEP-BLAME} \\
\frac{e \mapsto \text{blame}}{F.e \mapsto \text{blame}} \\
\\
\text{STEP-BETA} \\
\frac{v \mapsto_A v'}{(\lambda x. e : A \rightarrow B) v \mapsto e[x \mapsto v'] : B} \\
\\
\text{STEP-BETAP} \\
\frac{v \mapsto_A \text{blame}}{(\lambda x. e : A \rightarrow B) v \mapsto \text{blame}} \\
\\
\text{STEP-ANNOV} \\
\frac{v \mapsto_A r}{v : A \mapsto r} \\
\\
\text{STEP-ABETA} \\
\frac{\text{value } (v_1 : A \rightarrow B) \quad v_2 \mapsto_A v'_2}{(v_1 : A \rightarrow B) v_2 \mapsto (v_1 v'_2) : B} \\
\\
\text{STEP-ABETAP} \\
\frac{\text{value } (v_1 : A \rightarrow B) \quad v_2 \mapsto_A \text{blame}}{(v_1 : A \rightarrow B) v_2 \mapsto \text{blame}}
\end{array}$$

■ **Figure 5** Semantics of  $\lambda B^g$

398 According to Lemma 4, if the result of a value type reduced under a type  $A$  is not blame, then  
 399 it should be a value. Lemma 5 shows that the target type  $A$  is preserved after typed reduction: if a  
 400 value  $v$  is type reduced by  $A$ , the result type of  $v'$  is type  $A$ . Note that this lemma (and some others)  
 401 have a premise that ensures that the value under typed reduction must be well-typed under some type  
 402  $B$ . That is, the lemma only holds for well-typed values (which are the only ones that we care about).  
 403 Lemma 6 shows that if a value  $v$  is well-typed with  $A$ , then type reducing the value will either return  
 404 a value or blame. The typed reduction relation is deterministic for well-typed values (Lemma 7): if a  
 405 well-typed value  $v$  is type reduced by type  $A$ , the result will be unique. Finally, if  $v$  is typed reduced  
 406 by  $A$ , the principal type of  $v$  should be consistent with type  $A$  (Lemma 8). Most of these lemmas are  
 407 proved by induction on typed reduction relation.

408 **Reduction.** The reduction rules are shown in Figure 5. Frames are used to avoid duplicated work,  
 409 similarly to existing blame calculi [49]. If frames are not used, at least two more reduction rules,  
 410 which reduce  $e_1$  and  $e_2$ , will be needed. To make matters worse, some expressions will reduce  
 411 to blame which means that the number of rules needs to roughly double, to consider the different  
 412 possibilities of reductions resulting in blame or other expressions.

413 Rule STEP-EVAL and rule STEP-BLAME are standard evaluation context reduction rules. Rule STEP-  
 414 BETA is the beta reduction rule. Importantly, note that typed reduction under type  $A$  is needed for  
 415  $v$ : that is we type reduce value  $v$  to  $v'$  and replace the bound variable  $x$  in  $e$  by  $v'$ . Rule STEP-BETAP  
 416 applies if  $v$  typed reduced under type  $A$  raises blame. Rule STEP-ANNOV says that  $v$  type reduces under  
 417 type  $A$  to return  $r$ . Rule STEP-ABETA says  $v_2$  type reduces by type  $A$  to get  $v'_2$  and  $v_1$  will erase the  
 418 annotation. The expression  $v_1 v'_2$  in the result is annotated with type  $B$ . Rule STEP-BETAP covers the  
 419 case where if  $v_2$  type reduced under type  $A$  raises blame.

420 **Determinism.** The operational semantics of  $\lambda B^g$  is *deterministic*: a well-typed expression reduces  
 421 to a unique result. Theorem 9 is proved using Lemma 7.

422 ► **Theorem 9** (Determinism of  $\lambda B^g$  calculus). *If  $\cdot \vdash e \Leftarrow A$ ,  $e \mapsto r_1$  and  $e \mapsto r_2$  then  $r_1 = r_2$ .*

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**Type Safety.** The  $\lambda B^g$  calculus is type safe. Theorem 10 says that if an expression is well-typed with type  $A$ , the type will be preserved after the reduction. The safety of progress is given by Theorem 11. A well-typed expression  $e$  is either a value or there exists an expression  $e'$  which  $e$  could reduce to, or  $e$  reduces to blame.

► **Theorem 10** (Type Preservation of  $\lambda B^g$  Calculus). *If  $\cdot \vdash e \Leftrightarrow A$  and  $e \mapsto e'$  then  $\cdot \vdash e' \Leftrightarrow A$ .*

► **Theorem 11** (Progress of  $\lambda B^g$  Calculus). *If  $\cdot \vdash e \Leftrightarrow A$  then  $e$  is a value or  $\exists e', e \mapsto e'$  or  $e \mapsto \text{blame}$ .*

### 3.4 Soundness to $\lambda B$

The judgment  $\Gamma \vdash e \Leftrightarrow A \rightsquigarrow t$ , shown in Figure 3 has an elaboration step from  $\lambda B^g$  expressions to  $\lambda B$  expressions in the gray portion of the judgement. This elaboration step is used to prove a soundness result between the semantics of  $\lambda B^g$  and  $\lambda B$ . A first property, given by Theorem 12, is that the elaboration is type-safe. Theorem 13 and theorem 14 shows the soundness property between the dynamic semantics of  $\lambda B^g$  and  $\lambda B$ . The soundness result is proved using the auxiliary lemmas 15 and 16.

► **Theorem 12** (Type-Safety of Elaboration). *If  $\Gamma \vdash e \Leftrightarrow A \rightsquigarrow t$  then  $\Gamma \vdash t : A$ .*

► **Theorem 13** (Soundness of  $\lambda B^g$  calculus semantics with respect to  $\lambda B$  calculus semantics). *If  $\cdot \vdash e \Leftrightarrow A \rightsquigarrow t$  and  $e \mapsto e'$  then  $\exists t', t \mapsto^* t'$  and  $\cdot \vdash e' \Leftrightarrow A \rightsquigarrow t'$ .*

► **Theorem 14** (Soundness of  $\lambda B^g$  calculus semantics with respect to  $\lambda B$  calculus semantics). *If  $\cdot \vdash e \Leftrightarrow A \rightsquigarrow t$  and  $e \mapsto \text{blame}$  then  $t \mapsto^* \text{blame}$ .*

► **Lemma 15** (Soundness of Typed Reduction  $\lambda B^g$  calculus with respect to  $\lambda B$  calculus semantics). *If  $\cdot \vdash v : A \Rightarrow A \rightsquigarrow t$  and  $v \mapsto_A v'$  then  $\exists t', t \mapsto^* t'$  and  $\cdot \vdash v' \Rightarrow A \rightsquigarrow t'$ .*

► **Lemma 16** (Soundness of Typed Reduction  $\lambda B^g$  calculus with respect to  $\lambda B$  calculus semantics). *If  $\cdot \vdash v : A \Rightarrow A \rightsquigarrow t$  and  $v \mapsto_A \text{blame}$  then  $\exists t', t \mapsto^* \text{blame}$ .*

## 4 The $\lambda B^r$ Calculus and the Blame Recovery Semantics

In this section, we will introduce a gradually typed calculus with blame recovery semantics. The idea of the blame recovery semantics is essentially to ignore intermediate inconsistent types in annotations. Thus, if blame arises from intermediate type annotations, but later the final source type is found to be consistent to the final target type then blame is not raised. A nice aspect of the blame recovery semantics is that it avoids accumulating type annotations, leading to a more space-efficient representation of values. The details of syntax, typing and semantics of  $\lambda B^r$  calculus are shown below.

### 4.1 Syntax

The syntax of the  $\lambda B^r$  calculus is shown in Figure 6.

**Types.** Meta-variables  $A, B$  and  $C$  range over types. A type is either a integer type  $Int$ , a function type  $A \rightarrow B$  or a dynamic type  $\star$ .

<i>Types</i>	$A, B, C ::= \text{Int} \mid A \rightarrow B \mid \star$
<i>Saved Forms</i>	$s ::= i \mid \lambda x. u : A \rightarrow B$
<i>Expressions</i>	$u ::= x \mid i \mid \lambda x. u : A \rightarrow B \mid u : A \mid [s]_A \mid u_1 u_2$
<i>Results</i>	$\beta ::= u \mid \text{blame}$
<i>VValue</i>	$m ::= s : A$
<i>Value</i>	$w ::= m \mid [s]_A$
<i>Contexts</i>	$\Gamma ::= \cdot \mid \Gamma, x : A$
<i>Frame</i>	$F ::= m \mid [] \mid [] u$
<i>Typing modes</i>	$\Leftrightarrow ::= \Rightarrow \mid \Leftarrow$
<i>Syntactic sugar</i>	$\lambda x. u \equiv \lambda x. u : \star \rightarrow \star$

■ **Figure 6** Syntax of the  $\lambda B^r$  calculus.

**Expressions and Results.** Meta-variables  $u$  range over expressions. Standard forms of expressions include variables  $x$ , integers  $i$ , applications  $u_1 u_2$  and lambda expressions  $\lambda x. u : A \rightarrow B$ . The novel expression in the calculus is the *saved expression/value*  $[s]_A$ . Saved expressions ( $[s]_A$ ) store a lambda expression or an integer ( $i$ ) and a type  $A$  which is not consistent with the type of the expression. The later two kinds of expressions are denoted as  $s$ . In our Coq formalization, addition is also implemented and omitted here for simplicity of presentation.

Meta-variables  $\beta$  range over results. A result is either an expression  $u$  or *blame*.

**Values.** We use a shorthand  $m$  for values, which are saved forms  $s$  annotated with a type. Thus  $i : A$  and  $\lambda x. e : A \rightarrow B : C$  are examples of such expressions. Meta-variables  $w$  range over values. Notably, in contrast with  $\lambda B^g$ ,  $\lambda B^r$  notion of (well-formed) values is purely syntactic: no additional constraints (besides) syntax are needed. Moreover, it should be noted that in  $\lambda B^r$  values have a bounded number of annotations (up-to 2 for lambda and saved values), unlike the  $\lambda B^g$  calculus.

**Contexts, Frame and Typing modes.** Meta-variable  $\Gamma$  ranges over typing environments, which are standard.  $F$  ranges over frames, which are similar to the  $\lambda B^g$  calculus. There is no annotation context. This change is because in the  $\lambda B^g$  calculus we accumulate the annotations but in the  $\lambda B^r$  calculus we employ a blame recovery semantics. If annotated expressions are formulated in the frame, we cannot formulate a rule that recovers a saved value. For applications, the frame will process the right part of applications only when the left part reduces to some value  $m$ , without saved expressions. This is because the saved expression should be regarded as blame, which could be recovered by a later annotation. As in the  $\lambda B^g$  calculus,  $\Leftrightarrow$  are typing modes:  $\Rightarrow$  is the synthesis mode and  $\Leftarrow$  is the checking mode.

## 4.2 Typing

The consistency relation of the  $\lambda B^r$  calculus is the same as the  $\lambda B$  calculus in Figure 1. As the  $\lambda B^g$  calculus, bidirectional typing is used. Most of the rules are standard and similar to those used by the  $\lambda B^g$  calculus. A novel rule is rule ETYP-SAVE, which says that saved forms  $s$  should be well-typed with type  $B$  and the type  $A$  in the saved expression  $[s]_A$  is not consistent with type  $B$ . The context is empty because we only use saved expressions as intermediate results during reduction and such results must be closed.

$$\boxed{\Gamma \vdash u \Leftarrow A} \quad (\text{Typing})$$

$$\begin{array}{c}
\text{ETYP-LIT} \\
\hline
\Gamma \vdash i \Rightarrow \text{Int}
\end{array}
\quad
\begin{array}{c}
\text{ETYP-SIM} \\
\frac{\Gamma \vdash u \Rightarrow A \quad A \sim B}{\Gamma \vdash u \Leftarrow B}
\end{array}
\quad
\begin{array}{c}
\text{ETYP-ABS} \\
\frac{\Gamma, x : A \vdash u \Leftarrow B}{\Gamma \vdash \lambda x. u : A \rightarrow B \Rightarrow A \rightarrow B}
\end{array}$$

$$\begin{array}{c}
\text{ETYP-APP} \\
\frac{\Gamma \vdash u_1 \Rightarrow A \rightarrow B \quad \Gamma \vdash u_2 \Leftarrow A}{\Gamma \vdash u_1 u_2 \Rightarrow B}
\end{array}
\quad
\begin{array}{c}
\text{ETYP-ANNO} \\
\frac{\Gamma \vdash u \Leftarrow A}{\Gamma \vdash u : A \Rightarrow A}
\end{array}
\quad
\begin{array}{c}
\text{ETYP-SAVE} \\
\frac{A \not\sim B \quad \cdot \vdash s \Rightarrow B}{\Gamma \vdash [s]_A \Rightarrow A}
\end{array}
\quad
\begin{array}{c}
\text{ETYP-VAR} \\
\frac{x : A \in \Gamma}{\Gamma \vdash x \Rightarrow A}
\end{array}$$

■ **Figure 7** Type system of  $\lambda B^r$  calculus

$$\boxed{w \mapsto_A \beta} \quad (\text{Typed Reduction for } \lambda B^r.)$$

$$\begin{array}{c}
\text{TREDUCEV-SIM} \\
\frac{\lceil s \rceil \sim B}{s : A \mapsto_B s : B}
\end{array}
\quad
\begin{array}{c}
\text{TREDUCEV-SIMP} \\
\frac{\lceil s \rceil \not\sim B}{s : A \mapsto_B [s]_B}
\end{array}
\quad
\begin{array}{c}
\text{TREDUCEV-SAVE} \\
\frac{\lceil s \rceil \not\sim B}{[s]_A \mapsto_B [s]_B}
\end{array}
\quad
\begin{array}{c}
\text{TREDUCEV-SAVEP} \\
\frac{\lceil s \rceil \sim B}{[s]_A \mapsto_B s : B}
\end{array}$$

■ **Figure 8** Typed Reduce for  $\lambda B^r$  Calculus

**Principal Types for the  $\lambda B^r$  calculus.** As in the  $\lambda B^s$  calculus, principal types play an important role in the calculus.  $\lceil w \rceil$  denotes the principal type of  $w$ , and  $\lceil s \rceil$  denotes the type of  $s$ . We need both principal types for values and saved forms  $s$ , and we can define principal types easily as follows:

► **Definition 17** (Principal types of  $\lambda B^r$  calculus).  $\lceil w \rceil$  returns the principal type of the value  $w$ .  $\lceil s \rceil$  returns the principal type of the saved forms  $s$ .

$$\begin{aligned}
\lceil i \rceil &= \text{Int} \\
\lceil \lambda x. e : A \rightarrow B \rceil &= A \rightarrow B \\
\lceil s : A \rceil &= A \\
\lceil [s]_A \rceil &= A
\end{aligned}$$

Two lemmas about principal types and a typing lemma about checking mode are:

► **Lemma 18** (Principal Types of Values). If  $\cdot \vdash w \Rightarrow A$  then  $\lceil w \rceil = A$ .

► **Lemma 19** (Principal Types of Saved Forms). If  $\cdot \vdash s \Rightarrow A$  then  $\lceil s \rceil = A$ .

► **Lemma 20** (Checked expressions can be inferred). If  $\Gamma \vdash u \Leftarrow A$  then  $\exists B, \Gamma \vdash u \Rightarrow B$ .

### 4.3 Dynamic Semantics

As in the  $\lambda B^s$  calculus, typed reduction is used in the semantics to get a direct operational semantics. Notably, however,  $\lambda B^r$  has a surprisingly simple definition for typed reduction, while reduction becomes more interesting due to saved expressions.



**Typed Reduction.** The typed reduction rules are shown in Figure 8. Rule  $\text{TREDUCEV-SIM}$  and rule  $\text{TREDUCEV-SIMP}$  correspond to the case in which the principal type of  $s$  is consistent with  $B$  or not. If the principal type of  $s$  is consistent with  $B$ , then a value  $s : A$  is reduced to  $s : B$  under type  $B$ . In effect this means that the type  $A$  is eliminated, instead of accumulating the type annotations as in the  $\lambda B^g$  calculus. However, if the principal type of  $s$  is not consistent with  $B$ ,  $s : A$  type reduces to a saved value  $[s]_B$  under type  $B$ . Rule  $\text{TREDUCEV-SAVEP}$  says that if the principal type of a saved form in  $[s]_A$  is consistent with  $B$ ,  $[s]_A$  typed reducing it recovers  $s$  and returns  $s : B$ . Otherwise, if the principal type of the saved form  $s$  is also not consistent with  $B$ , then  $[s]_A$  type reduces to another saved value  $[s]_B$  as shown by rule  $\text{TREDUCEV-SAVE}$ .

**An Example.** Lets take an example to explain behavior of typed reduction with blame recovery semantics. Suppose that we take a chain of annotations  $1 : \star : \text{Int} \rightarrow \text{Int} : \star : \text{Int}$ . Firstly, the principal type of  $1$  is not consistent with type  $\text{Int} \rightarrow \text{Int}$ . While reducing such an expression, an intermediate saved expression  $[1]_{\text{Int} \rightarrow \text{Int}}$  is generated. However, the saved expression would later be recovered because the final type annotation  $\text{Int}$  is consistent with the principal type of the value. The typed reduction (and reduction) steps to reduce such an expression are shown next:

$$\begin{array}{lll}
 1 : \star : \text{Int} \rightarrow \text{Int} : \star : \text{Int} & & \\
 \mapsto [1]_{\text{Int} \rightarrow \text{Int}} : \star : \text{Int} & \{\text{by STEP-ANNOV and typed reduction under } \text{Int} \rightarrow \text{Int}\} & \\
 \mapsto 1 : \star : \text{Int} & \{\text{by STEP-ANNOV and typed reduction under } \star\} & \\
 \mapsto 1 : \text{Int} & \{\text{by STEP-ANNOV and typed reduction under } \text{Int} \rightarrow \text{Int}\} &
 \end{array}$$

**Typed Reduction Properties** There are some properties of typed reduction of  $\lambda B^r$  calculus. The most interesting property is transitivity of typed reduction, which may come as a surprise since the consistency relation is not transitive, and typed reduction for  $\lambda B^g$  is not transitive either. The transitivity lemma (Lemma 21) says that typed reduction is the same no matter whether it is typed reduced directly or indirectly via some intermediate type.

► **Lemma 21** (Transitivity of typed reduction). *If  $w \mapsto_A w_1$ , and  $w_1 \mapsto_B w_2$  then  $w \mapsto_B w_2$ .*

Lets take an example, firstly using the typed reduction of  $\lambda B^g$ :

$$\begin{array}{ll}
 1) \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} \mapsto_{\star \rightarrow \star} \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star & \\
 2) \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star & \\
 \mapsto_{\text{Bool} \rightarrow \text{Bool}} \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} & \\
 3) \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} \not\mapsto_{\text{Bool} \rightarrow \text{Bool}} \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} &
 \end{array}$$

The three typed reductions correspond to the two premises and the conclusion in the transitivity lemma. The last typed reduction does not hold, and is a counter-example to transitivity of typed reduction in  $\lambda B^r$ . Although  $\text{Int} \rightarrow \text{Int}$  is consistent with  $\star \rightarrow \star$  and  $\star \rightarrow \star$  is consistent with  $\text{Bool} \rightarrow \text{Bool}$ ,  $\text{Int} \rightarrow \text{Int}$  is not consistent with  $\text{Bool} \rightarrow \text{Bool}$ . Since transitivity does not hold in type consistency and the annotations are accumulated in  $\lambda B^g$ , the transitivity of typed reduction does not hold in  $\lambda B^g$ . However in  $\lambda B^r$ , the annotations are not accumulated and saved expressions are used to save the source type, so the transitivity of typed reduction holds. The following three typed reductions illustrate what happens for the above example in  $\lambda B^r$ :

$$\begin{array}{ll}
 1) \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} \mapsto_{\star \rightarrow \star} \lambda x. x : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star & \\
 2) \lambda x. x : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star \mapsto_{\text{Bool} \rightarrow \text{Bool}} [\lambda x. x : \text{Int} \rightarrow \text{Int}]_{\text{Bool} \rightarrow \text{Bool}} & \\
 3) \lambda x. x : \text{Int} \rightarrow \text{Int} : \text{Int} \rightarrow \text{Int} \mapsto_{\text{Bool} \rightarrow \text{Bool}} [\lambda x. x : \text{Int} \rightarrow \text{Int}]_{\text{Bool} \rightarrow \text{Bool}} &
 \end{array}$$

$u \mapsto \beta$

(Small-step Semantics for  $\lambda B^r$  calculus)

$\frac{\text{VSTEP-EVAL} \quad u \mapsto u'}{F.u \mapsto F.u'}$	$\frac{\text{VSTEP-BLAME} \quad u \mapsto \text{blame}}{F.u \mapsto \text{blame}}$	$\frac{\text{VSTEP-ANNOP} \quad u \mapsto \text{blame}}{u : A \mapsto \text{blame}}$	$\frac{\text{VSTEP-SAVE}}{F.[s]_A \mapsto \text{blame}}$
$\frac{\text{VSTEP-ABS}}{\lambda x. u : A \rightarrow B \mapsto (\lambda x. u : A \rightarrow B) : A \rightarrow B}$		$\frac{\text{VSTEP-I}}{i \mapsto i : \text{Int}}$	
$\frac{\text{VSTEP-BETA}}{((\lambda x. u : A_1 \rightarrow B_1) : A_2 \rightarrow B_2) m \mapsto e[x \mapsto m : A_2 : A_1] : B_1 : B_2}$		$\frac{\text{VSTEP-ANNO} \quad u \mapsto u'}{u : A \mapsto u' : A}$	
$\frac{\text{VSTEP-ANNOV} \quad w \mapsto_A w'}{w : A \mapsto w'}$			

■ **Figure 9** Semantics of  $\lambda B^r$  Calculus

548 Additionally, typed reduction has several of the other properties for typed reduction shown in  
 549 Section 3:

550 ► **Lemma 22** (Preservation of Typed Reduction). *If  $\cdot \vdash w \Leftarrow B$  and  $w \mapsto_A w'$  then  $\cdot \vdash w' \Rightarrow A$ .*

551 ► **Lemma 23** (Progress of Typed Reduction). *If  $\cdot \vdash w \Leftarrow A$  then  $\exists w', w \mapsto_A w'$ .*

552 ► **Lemma 24** (Determinism of Typed Reduction). *If  $\cdot \vdash w \Leftarrow B$ ,  $w \mapsto_A \beta_1$  and  $w \mapsto_A \beta_2$  then*  
 553  *$\beta_1 = \beta_2$ .*

554 **Reduction.** Figure 9 shows the reduction rules of the  $\lambda B^r$  calculus. Rule **VSTEP-EVAL** and rule **VSTEP-**  
 555 **BLAME** are standard rules. Annotation expressions are not in the frame because we aim at having a  
 556 blame recovery semantics. Rule **VSTEP-ANNOV** and Rule **VSTEP-ANNO** are standard rules. If an expression  
 557 ultimately reduces to a saved expression then it will result in blame. Rule **VSTEP-SAVE** says that  
 558 no matter which part of application expression reduces to a saved expression, the result is blame.  
 559 Rule **VSTEP-ABS** and rule **VSTEP-I** say that a lambda expression  $\lambda x. u : A \rightarrow B$  reduces to an annotation  
 560 expression  $(\lambda x. u : A \rightarrow B) : A \rightarrow B$  and integer  $i$  reduces to a value  $i : \text{Int}$ . Rule **VSTEP-ANNOV** says  
 561 that if  $w$  type reduces to  $w'$  under type  $A$  then  $w : A$  reduces to  $w'$ . Rule **VSTEP-BETA** says a lambda  
 562 expression annotated with a function type  $(\lambda x. u : A_1 \rightarrow B_1) : A_2 \rightarrow B_2$  applied to some  $m$ , reduces  
 563 by replacing the bound variable  $x$  by  $m : A_2 : A_1$ . For the  $m : A_2 : A_1$  expression, further typed  
 564 reduction will be needed later. One important property is that the reduction relation is deterministic:

565 ► **Theorem 25** (Determinism of  $\lambda B^r$  calculus). *If  $\cdot \vdash u \Leftarrow A$ ,  $u \mapsto \beta_1$  and  $u \mapsto \beta_2$  then  $\beta_1 = \beta_2$ .*

$$\boxed{A \sqsubseteq B} \quad ( \text{Precise Relationship for types} )$$

$\text{TP-I} \quad \frac{}{\text{Int} \sqsubseteq \text{Int}}$	$\text{TP-DYN} \quad \frac{}{A \sqsubseteq \star}$	$\text{TP-ABS} \quad \frac{A_1 \sqsubseteq A_2 \quad B_1 \sqsubseteq B_2}{(A_1 \rightarrow B_1) \sqsubseteq (A_2 \rightarrow B_2)}$
--	--	---

■ **Figure 10** Precision relation for types.

**Example.** A larger example to demonstrate how reduction in  $\lambda B^r$  works is:

$(\lambda x.2 : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star : \text{Bool} \rightarrow \text{Bool} : \star \rightarrow \star) 1$   
 $\mapsto \{\text{by STEP-ANNOV and typed reduction under } \text{Bool} \rightarrow \text{Bool}\}$   
 $([\lambda x.2 : \text{Int} \rightarrow \text{Int}]_{\text{Bool} \rightarrow \text{Bool}} : \star \rightarrow \star) 1$   
 $\mapsto \{\text{by STEP-ANNOV and typed reduction under } \star \rightarrow \star\}$   
 $(\lambda x.2 : \text{Int} \rightarrow \text{Int} : \star \rightarrow \star) 1$   
 $\mapsto \{\text{by STEP-BETA}\}$   
 $2 : \text{Int} : \star$   
 $\mapsto \{\text{by STEP-ANNOV and typed reduction of 2 under } \star\}$   
 $2 : \star$

**Type Safety.** Another important property is that the  $\lambda B^r$  calculus is type safe. Theorem 26 says that if an expression is well-typed with type  $A$ , the type will be preserved after the reduction. Progress is shown by Theorem 27. A well-typed expression  $u$  will be a value or there exists an expression  $u'$  which  $u$  could reduce to  $u'$  or  $u$  could raise blame.

► **Theorem 26** (Type Preservation of  $\lambda B^r$  Calculus). *If  $\cdot \vdash u \Leftrightarrow A$  and  $u \mapsto u'$  then  $\cdot \vdash u' \Leftrightarrow A$ .*

► **Theorem 27** (Progress of  $\lambda B^r$  Calculus). *If  $\cdot \vdash u \Leftrightarrow A$  then  $u$  is a value or  $\exists u', u \mapsto u'$  or  $u \mapsto \text{blame}$ .*

## 4.4 Gradual Guarantee

Siek et al. [38] suggested that a calculus for gradual typing should also enjoy the gradual guarantee, which ensures that programs can smoothly move from being more/less dynamically typed into more/less statically typed.

**Precision** Figure 10 shows the precision relation on types.  $A \sqsubseteq B$  means  $A$  is more precise than  $B$ . Every type is more precise than type  $\star$ . A function type  $A_1 \rightarrow B_1$  is more precise than  $A_2 \rightarrow B_2$  if type  $A_1$  is more precise than  $A_2$  and type  $B_1$  is more precise than  $B_2$ . Figure 11 shows the precision relation of expressions.  $u_1 \sqsubseteq u_2$  means that  $u_1$  is more precise than  $u_2$ . The precision relation of expressions is derived from the precision relation of types. Every expression has a precision relation with itself.  $\lambda x. u_1 : A_1 \rightarrow B_1$  is more precise than  $\lambda x. u_2 : A_2 \rightarrow B_2$  if  $u_1$  is more precise than  $u_2$  and the types are in the precision relation. For application expressions, precision holds if  $u_1 \sqsubseteq u_2$  holds and  $u'_1 \sqsubseteq u'_2$  holds. For annotated expressions  $u_1 : A$  is more precise than  $u_2 : B$  if  $u_1$  is more precise than  $u_2$  and  $A$  is more precise than  $B$ . For saved expressions, the precision relation is similar to annotation expressions.

$$\boxed{u_1 \sqsubseteq u_2} \quad ( \text{Precise Relationship for expressions} )$$

$$\begin{array}{c}
\text{EP-REFL} \\
\hline
u \sqsubseteq u
\end{array}
\quad
\begin{array}{c}
\text{EP-ABS} \\
\frac{u_1 \sqsubseteq u_2 \quad A_1 \sqsubseteq A_2 \quad B_1 \sqsubseteq B_2}{\lambda x. u_1 : A_1 \rightarrow B_1 \sqsubseteq \lambda x. u_2 : A_2 \rightarrow B_2}
\end{array}
\quad
\begin{array}{c}
\text{EP-APP} \\
\frac{u_1 \sqsubseteq u'_1 \quad u_2 \sqsubseteq u'_2}{(u_1 u_2) \sqsubseteq (u'_1 u'_2)}
\end{array}$$

$$\begin{array}{c}
\text{EP-ANNO} \\
\frac{A \sqsubseteq B \quad u_1 \sqsubseteq u_2}{u_1 : A \sqsubseteq u_2 : B}
\end{array}
\quad
\begin{array}{c}
\text{EP-SAVE} \\
\frac{A \sqsubseteq B \quad u_1 \sqsubseteq u_2}{[u_1]_A \sqsubseteq [u_2]_B}
\end{array}$$

■ **Figure 11** Precision relation for expressions.

**Static Gradual Guarantee** Theorem 28 shows the static criteria of the gradual guarantee holds for the  $\lambda B^r$  calculus. It says that if  $u$  is more precise than  $u'$ ,  $u$  has type  $A$  and  $u'$  has type  $B$ , then type  $A$  is more precise than  $B$ .

► **Theorem 28** (Static Gradual Guarantee of  $\lambda B^r$  Calculus). *If  $u \sqsubseteq u'$ ,  $\cdot \vdash u \Rightarrow A$  and  $\cdot \vdash u' \Rightarrow B$  then  $A \sqsubseteq B$ .*

**Dynamic Gradual Guarantee** The  $\lambda B^r$  calculus has a dynamic gradual guarantee. Here we formulate a theorem for the dynamic gradual guarantee. Theorem 30 shows that if  $u_1$  is more precise than  $u_2$ ,  $u_1$  and  $u_2$  are well-typed and if  $u_1$  finally reduces to an value  $m_1$  then  $u_2$  reduces to value  $m_2$ . Note that  $u'_1$  is guaranteed to be more precise than  $u'_2$ . The auxiliary Lemma 29, which shows the property of dynamic gradual guarantee for typed reduction, is helpful to prove Theorem 30.

► **Lemma 29** (Dynamic Gradual Guarantee for Typed Reduction). *If  $w_1 \sqsubseteq w_2$ ,  $\cdot \vdash w_1 \Leftarrow A$ ,  $\cdot \vdash w_2 \Leftarrow B$ ,  $A \sqsubseteq B$  and  $w_1 \mapsto_A m_1$  then  $\exists m_2, w_2 \mapsto_A m_2$  and  $m_1 \sqsubseteq m_2$ .*

► **Theorem 30** (Dynamic Gradual Guarantee). *If  $u_1 \sqsubseteq u_2$ ,  $\cdot \vdash u_1 \Leftarrow A$ ,  $\cdot \vdash u_2 \Leftarrow B$  and  $u_1 \mapsto^* m_1$  then  $\exists m_2, u_2 \mapsto^* m_2$  and  $m_1 \sqsubseteq m_2$ .*

## 5 Related Work

This section discusses related work. We focus on gradual typing criteria, cast calculi, gradually typed calculi, the AGT approach and typed operational semantics.

**Gradual Typing Languages and Criteria** There is a growing number of research work focusing on combining static and dynamic typing [2, 6, 19, 26, 27, 31, 42, 43, 45, 50]. Many mainstream programming languages have some form of integration between static and dynamic typing. These include TypeScript [5], Dart [7], Hack [48], Cecil [8], Bigloo [32], Visual Basic.NET [27], ProfessorJ [18], Lisp [41], Dylan [33] and Typed Racket [47].

Much work in the research literature of gradual typing focuses on the pursuit of sound gradual typing. In sound gradual typing the idea is that some form of type-safety should still be preserved. This often requires some dynamic checks that arise from static type information. Furthermore, gradually typed languages should provide a smooth integration between dynamic and static typing. For instance, one of the criteria for gradual typing is that a program that has static types should behave equivalently to a standard statically typed program [40]. Siek et al. [38], proposed the *gradual*

*guarantee* to clarify the kinds of guarantees expected in gradually typed languages. The principle of the gradual guarantee is that static and dynamic behavior changes by changing type annotations. For the static (gradual) guarantee, the type of a more precise term should be more precise than the type of a less precise term. For the dynamic (gradual) guarantee, any program that runs without errors should continue to do so with less precise types.

**Cast calculi.** Due to the unknown type and consistency of the gradual typing, more programs are accepted by a gradual type system compared to their analogous static type system. Therefore, some runtime checks are required at run-time to ensure type-safety. The most common approach to give the semantics to a gradually typed language is by translating to a cast calculus, which has a standard dynamic semantics. The process of the translation to cast calculi involves inserting casts whenever type consistency holds.

There are several varieties of cast calculi. Findler and Felleisen [13] introduced assertion-based contracts for higher-order functions. Based on mirrors and contracts, Gray et al. [18] shown a new model to implement Java and Scheme. Henglein's dynamically typed  $\lambda$ -calculus [20] is an extension of the statically typed  $\lambda$ -calculus with a dynamic type and explicit dynamic type coercions. Tobin-Hochstadt and Felleisen [46] presented a framework of interlanguage migration, which ensures type-safety.

Wadler and Findler [49] introduced the blame calculus. The blame comes from Findler and Felleisen's contracts and tracks the locations where cast errors happen using blame labels. Siek et al. [34] explored the design space of higher-order casts. For first-order casts (casts on base types), the semantics is straightforward. But there are issues for higher-order casts (functions): a higher-order cast is not checked immediately. For higher-order casts, checking is deferred until the function is applied to an argument. After application, the cast is checked against the argument and return value. A cast is used as a wrapper and splitted until the wrapped function is applied to an argument. Wrappers for higher-order casts can lead to unbounded space consumption [21].

There are some different designs for the dynamic semantics for casts calculi in the literature. Herman et al. [21] and Wadler et al. [49] use a lazy error detection strategy. With this strategy run-time type checking is not performed when a higher-order cast is applied to a value. Instead, lazy error detection coerces the arguments of a function to the target type, and checking is only done when the argument is applied. Siek et al. [40] use a different strategy where checking higher-order casts is performed immediately when the source type is the dynamic type ( $\star$ ). Otherwise the later strategy is the same as lazy error detection. In the  $\lambda B^r$  calculus, we introduce the blame recovery semantics, which is essentially to ignore intermediate type annotations in a chain of type annotations. The idea is to only raise blame if the initial source type of the value and final target types are not consistent. Otherwise, even if intermediate annotations trigger type conversions, which would not be consistent, the final result can still be a value provided that the initial source and final target types are themselves consistent. This alternative approach has a bounded number of annotations, which avoids the accumulation of type annotations (up-to 2 for higher-order values).

Siek and Wadler [39] introduced threesomes, where a cast consists of three types instead of two types (twosomes) of the blame calculus. The threesome calculus is proved to be equivalent to blame calculus and a coercion-based calculus without blame labels but with space efficiency. The three types in a threesome contain the source, intermediate and target types. The intermediate type is computed by the greatest lower bound of all the intermediate types. For example, in a chain of casts:

$$1 : Int \Rightarrow \star : \star \Rightarrow Int : Int \Rightarrow Int$$

the source type and target are both  $Int$  and the intermediate type is computed to be the greatest lower bound of  $\star$  and  $Int$ , resulting in  $Int$ . Compared to our  $\lambda B^r$  calculus, function values are twosomes

(borrowing Siek and Wadler’s terminology). Instead of accumulating annotations, and computing the intermediate types, we simply discard them.

Finally various cast calculi have been extended with various of features of practical interest. For instance, Ahmed et al. [3] extended the blame calculus to incorporate polymorphism, based on the dynamic sealing proposed by Matthews et al. [25] and Neis et al. [29].

**Gradually Typed Calculi.** A gradually typed lambda calculus (GTLC) should support both fully static typed and fully dynamic typed, as well as partially typed ones. Siek and Taha [40] introduced gradual typing with the notion of unknown types  $\star$  and type consistency. To support object-oriented languages, Siek and Taha [35] extended the work of Abadi and Cardelli [1] and introduced gradual typing for objects. The semantics of both gradually typed calculi are indirectly defined by typed-directed translation to a intermediate language (a cast calculi). Cast calculi are independent from the GTLC, having their own type systems and operational semantics. The only tie between them is type-directed translation from the source gradually typed language to the cast calculus. In  $\lambda B^g$  and  $\lambda B'$ , by using TDOS, the semantics of a GTLC is given directly without translating to any other calculus.

Because runtime checking is needed by a gradually typed language, function types dynamically generate function proxies at runtime in most of gradually typed languages. Therefore the number of proxies is unbound. Herman et al. [21] implemented gradual typing based on coercions and combined adjacent coercions. Thus, space consumption has been limited and the type system was proved to be type-safe. Addressing the space consumption issues of gradual typing has been an ongoing research effort for gradual typing, with many works on the area [14, 21, 34, 39]. The blame recovery semantics circumvents some of the space consumption issues by employing a different semantics.

**Abstracting Gradual Typing (AGT).** Garcia et al. [15] introduce the abstracting gradual typing (AGT) approach, following an idea by Schwerter [4]. An externally justified cast calculus is not required in AGT. Instead the runtime checks are deduced by the evidence for the consistency judgement. For the static semantics, AGT uses techniques from abstract interpretation to lift terms of the static system to gradual terms. A concretization function is used to lift gradual types to static type sets. After that, a gradual type system can be derived according to the static type system. The gradual type system keeps type safety, and enjoys the criteria of Siek et al. [38]. For the dynamic semantics, the semantics is introduced by reasoning about consistency relations. Gradual typing derivations are represented as intrinsically typed terms [10], which correspond to typing derivations directly.

Similarly to the AGT approach, by using TDOS for the dynamic semantics and a bi-directional type system, we can design a gradually typed language with direct semantics. While related by the fact that both the AGT approach and TDOS provide means to obtain direct operational semantics for gradually typed languages, the two approaches have different and perhaps complementary goals. The goals of TDOS are more modest than those of AGT, which aims at deriving various definitions for gradually typed languages in a systematic manner. In contrast TDOS and our work have no such goals. Our main aim is to adapt the standard and well-known techniques from small-step semantics, into the design of gradually typed languages. We expect that the familiarity and simplicity of the TDOS approach would be a strength, whereas the AGT approach requires some more infrastructure, but the payoff is that many definitions can then be derived. For future work it would be interesting to see whether it is possible to combine ideas from both approaches. Perhaps having much of the AGT infrastructure, but with an alternative model for the dynamic semantics based on TDOS.

**Typed Operational Semantics.** In this paper, we use the type-directed operational semantics (TDOS) approach [22]. TDOS was originally used to describe the semantics of languages with

intersection types and a merge operator. Like gradual typing, such features require a type-dependent semantics. In TDOS type annotations become operationally relevant and can affect the result of a program. *Typed reduction* is the distinctive feature in TDOS. Typed reduction is used to provide an operational interpretation to type conversions in the language, similarly to coercions in coercion-based calculi [20]. Our work shows that TDOS enables a direct semantics for gradual typing. In this paper we explored two possible semantics for gradual typing: one following a semantics similar to the blame calculus, and another with a novel blame recovery semantics. One interesting aspect of the blame recovery semantics is that it avoids some space costs that arise in some cast calculi, while being relatively simple.

There are other variants of operational semantics that make use of type annotations. Types are used in Goguen’s typed operational semantics [16] reductions, similarly to TDOS. Typed operational semantics has been applied to various calculi, including simply typed lambda calculi [17], calculi with dependent types [12] and higher-order subtyping [11]. An extensive overview of related work on type-dependent semantics is given by Huang and Oliveira [22].

## 6 Conclusion

In this work we proposed an alternative approach to give a direct semantics to gradually typed languages without an intermediate cast calculus. Our approach is based on TDOS [22]. TDOS is a variant of small-step semantics where type annotations are operationally relevant and a special relation, called typed reduction, gives an interpretation to such type annotations at runtime. We believe that TDOS can be a valuable technique for language designers of gradually typed languages, giving them a simple and direct way to express the semantics of their language.

We presented two gradually typed lambda calculi:  $\lambda B^g$  and  $\lambda B^r$ . The  $\lambda B^g$  semantics is sound to the semantics of  $\lambda B$ . The  $\lambda B^r$  calculus explores the large design space in the semantics of gradually typed languages with a new semantics that we call *blame recovery semantics*. This new semantics is more liberal than the semantics of the blame calculus, while still ensuring type-safety and a form of the gradual guarantee.

There is much to be done for future work. Obviously, to prove that TDOS is a worthy alternative to existing cast calculi or other approaches for the semantics of gradually typed languages, many more features should be developed with TDOS. Cast calculi have been shown to support a wide range of features, including blame tracking [49], polymorphism [3], subtyping [35] and various other features [23, 37, 44]. We hope to explore this in the future. Another important line for future work is to see whether the blame recovery semantics provides relevant space efficiency benefits in practice. This would require a well-engineered compiler for gradual typing. Perhaps trying to modify the Grift compiler [24] would be a first step on this direction. Empirical validation and case studies would be necessary.

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