## Foundations of Software Fall 2022

#### Week 6

#### Plan

#### PREVIOUSLY:

- 1. type safety as progress and preservation
- 2. typed arithmetic expressions
- 3. simply typed lambda calculus (STLC)

#### TODAY:

- 1. Equivalence of lambda terms
- 2. Preservation for STLC
- 3. Extensions to STLC

NEXT: state, exceptions

NEXT: polymorphic (not so simple) typing

## Equivalence of Lambda Terms

#### Representing Numbers

We have seen how certain terms in the lambda-calculus can be used to represent natural numbers.

```
c_0 = \lambda s. \quad \lambda z. \quad z
c_1 = \lambda s. \quad \lambda z. \quad s \quad z
c_2 = \lambda s. \quad \lambda z. \quad s \quad (s \quad z)
c_3 = \lambda s. \quad \lambda z. \quad s \quad (s \quad (s \quad z))
```

Other lambda-terms represent common operations on numbers:

```
scc = \lambda n. \lambda s. \lambda z. s (n s z)
```

#### Representing Numbers

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c_2 = \lambda s. \quad \lambda z. \quad s \quad (s \quad z)
c_3 = \lambda s. \quad \lambda z. \quad s \quad (s \quad (s \quad z))
```

Other lambda-terms represent common operations on numbers:

```
scc = \lambda n. \lambda s. \lambda z. s (n s z)
```

In what sense can we say this representation is "correct"? In particular, on what basis can we argue that scc on church numerals corresponds to ordinary successor on numbers?

#### The naive approach

One possibility:

For each n, the term  $scc c_n$  evaluates to  $c_{n+1}$ .

#### The naive approach... doesn't work

One possibility:

```
For each n, the term scc\ c_n evaluates to c_{n+1}. Unfortunately, this is false.
```

E.g.:

#### A better approach

Recall the intuition behind the church numeral representation:

- a number n is represented as a term that "does something n times to something else"
- ightharpoonup scc takes a term that "does something n times to something else" and returns a term that "does something n+1 times to something else"

I.e., what we really care about is that scc  $c_2$  behaves the same as  $c_3$  when applied to two arguments.

#### A general question

We have argued that, although  $scc\ c_2$  and  $c_3$  do not evaluate to the same thing, they are nevertheless "behaviorally equivalent."

What, precisely, does behavioral equivalence mean?

#### Intuition

```
Roughly,
```

"terms s and t are behaviorally equivalent"

should mean:

"there is no 'test' that distinguishes s and t — i.e., no way to put them in the same context and observe different results."

#### Intuition

Roughly,

"terms s and t are behaviorally equivalent"

should mean:

"there is no 'test' that distinguishes s and t — i.e., no way to put them in the same context and observe different results."

To make this precise, we need to be clear what we mean by a *testing context* and how we are going to *observe* the results of a test.

#### **Examples**

```
tru = \lambdat. \lambdaf. t

tru' = \lambdat. \lambdaf. (\lambdax.x) t

fls = \lambdat. \lambdaf. f

omega = (\lambdax. x x) (\lambdax. x x)

poisonpill = \lambdax. omega

placebo = \lambdax. tru

Y_f = (\lambdax. f (x x)) (\lambdax. f (x x))
```

Which of these are behaviorally equivalent?

#### Observational equivalence

As a first step toward defining behavioral equivalence, we can use the notion of *normalizability* to define a simple notion of *test*.

Two terms s and t are said to be *observationally equivalent* if either both are normalizable (i.e., they reach a normal form after a finite number of evaluation steps) or both diverge.

I.e., we "observe" a term's behavior simply by running it and seeing if it halts.

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#### Aside:

Is observational equivalence a decidable property?

#### Observational equivalence

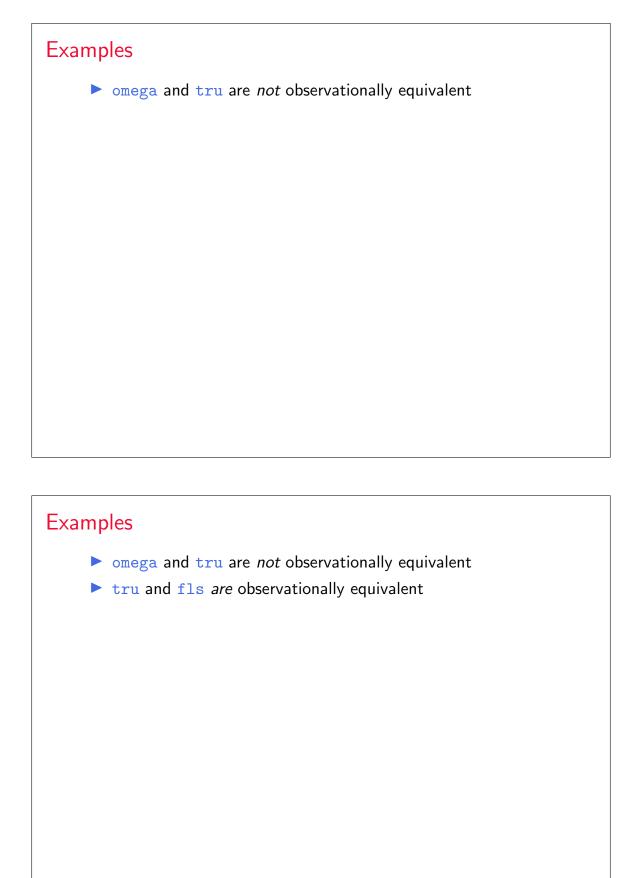
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I.e., we "observe" a term's behavior simply by running it and seeing if it halts.

#### Aside:

- Is observational equivalence a decidable property?
- Does this mean the definition is ill-formed?



#### Behavioral Equivalence

This primitive notion of observation now gives us a way of "testing" terms for behavioral equivalence

Terms s and t are said to be behaviorally equivalent if, for every finite sequence of values  $v_1, v_2, \ldots, v_n$ , the applications

```
s v_1 v_2 \dots v_n
```

and

$$t v_1 v_2 \dots v_n$$

are observationally equivalent.

#### **Examples**

These terms are behaviorally equivalent:

```
tru = \lambdat. \lambdaf. t
tru' = \lambdat. \lambdaf. (\lambdax.x) t
```

So are these:

```
omega = (\lambda x. x x) (\lambda x. x x)

Y_f = (\lambda x. f (x x)) (\lambda x. f (x x))
```

These are not behaviorally equivalent (to each other, or to any of the terms above):

```
fls = \lambdat. \lambdaf. f
poisonpill = \lambdax. omega
placebo = \lambdax. tru
```



Given terms s and t, how do we *prove* that they are (or are not) behaviorally equivalent?

#### Proving behavioral inequivalence

To prove that s and t are *not* behaviorally equivalent, it suffices to find a sequence of values  $v_1 \dots v_n$  such that one of

$$s v_1 v_2 \dots v_n$$

and

t 
$$v_1 v_2 \dots v_n$$

diverges, while the other reaches a normal form.

#### Proving behavioral inequivalence

#### Example:

► the single argument unit demonstrates that fls is not behaviorally equivalent to poisonpill:

```
	ext{fls unit}
= (\lambda t. \ \lambda f. \ f) \ 	ext{unit}
\longrightarrow^* \lambda f. \ f
	ext{poisonpill unit}
	ext{diverges}
```

#### Proving behavioral inequivalence

#### Example:

▶ the argument sequence  $(\lambda x. x)$  poisonpill  $(\lambda x. x)$  demonstrate that tru is not behaviorally equivalent to fls:

```
tru (\lambda x. x) poisonpill (\lambda x. x)

\longrightarrow^* (\lambda x. x)(\lambda x. x)

\longrightarrow^* \lambda x. x

fls (\lambda x. x) poisonpill (\lambda x. x)

\longrightarrow^* poisonpill (\lambda x. x), which diverges
```

#### Proving behavioral equivalence

To prove that s and t are behaviorally equivalent, we have to work harder: we must show that, for every sequence of values  $v_1 \dots v_n$ , either both

$$s v_1 v_2 \dots v_n$$

and

$$t v_1 v_2 \dots v_n$$

diverge, or else both reach a normal form.

How can we do this?

#### Proving behavioral equivalence

In general, such proofs require some additional machinery that we will not have time to get into in this course (so-called *applicative bisimulation*). But, in some cases, we can find simple proofs.

Theorem: These terms are behaviorally equivalent:

```
tru = \lambdat. \lambdaf. t
tru' = \lambdat. \lambdaf. (\lambdax.x) t
```

*Proof:* Consider an arbitrary sequence of values  $v_1 \dots v_n$ .

- For the case where the sequence has just one element (i.e., n = 1), note that both  $tru v_1$  and  $tru' v_1$  reach normal forms after one reduction step.
- For the case where the sequence has more than one element (i.e., n > 1), note that both tru v₁ v₂ v₃ ... vn and tru' v₁ v₂ v₃ ... vn reduce (in two steps) to v₁ v₃ ... vn. So either both normalize or both diverge.

#### Proving behavioral equivalence

Theorem: These terms are behaviorally equivalent:

omega = 
$$(\lambda x. x x) (\lambda x. x x)$$
  
 $Y_f = (\lambda x. f (x x)) (\lambda x. f (x x))$ 

Proof: Both

omega  $v_1 \dots v_n$ 

and

$$Y_f v_1 \dots v_n$$

diverge, for every sequence of arguments  $v_1 \dots v_n$ .

## Preservation for STLC

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

Proof: By induction

#### Preservation for STLC

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

*Proof:* By induction on typing derivations.

Which case is the hard one??

#### Preservation for STLC

```
Theorem: If \Gamma \vdash t : T and t \longrightarrow t', then \Gamma \vdash t' : T.
```

Proof: By induction on typing derivations.

```
\begin{array}{lll} \text{Case $T$-APP:} & \text{Given} & \textbf{t} = \textbf{t}_1 \ \textbf{t}_2 \\ & \Gamma \vdash \textbf{t}_1 : \textbf{T}_{11} {\rightarrow} \textbf{T}_{12} \\ & \Gamma \vdash \textbf{t}_2 : \textbf{T}_{11} \\ & \textbf{T} = \textbf{T}_{12} \\ & \text{Show} & \Gamma \vdash \textbf{t}' : \textbf{T}_{12} \end{array}
```

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```
Case T-APP: Given \begin{array}{ccc} t=t_1 & t_2 \\ & \Gamma \vdash t_1 : T_{11} {\rightarrow} T_{12} \\ & \Gamma \vdash t_2 : T_{11} \\ & T=T_{12} \\ & Show & \Gamma \vdash t' : T_{12} \end{array}
```

By the inversion lemma for evaluation, there are three subcases...

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By the inversion lemma for evaluation, there are three subcases...

```
Subcase: \mathbf{t}_1 = \lambda \mathbf{x} : T_{11}. \mathbf{t}_{12}
\mathbf{t}_2 a value \mathbf{v}_2
\mathbf{t}' = [\mathbf{x} \mapsto \mathbf{v}_2] \mathbf{t}_{12}
```

#### Preservation for STLC

```
Theorem: If \Gamma \vdash t : T and t \longrightarrow t', then \Gamma \vdash t' : T.
```

*Proof:* By induction on typing derivations.

```
Case T-APP: Given \begin{array}{ccc} t=t_1 & t_2 \\ & \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \\ & \Gamma \vdash t_2 : T_{11} \\ & T=T_{12} \\ & \text{Show} & \Gamma \vdash t' : T_{12} \end{array}
```

By the inversion lemma for evaluation, there are three subcases...

```
\label{eq:Subcase: t1 = lambda} \begin{array}{ll} \text{Subcase:} & \texttt{t}_1 = \lambda \texttt{x} \colon \texttt{T}_{11}. & \texttt{t}_{12} \\ & \texttt{t}_2 \text{ a value } \texttt{v}_2 \\ & \texttt{t}' = [\texttt{x} \mapsto \texttt{v}_2] \texttt{t}_{12} \\ \text{Uh oh.} \end{array}
```

Lemma: Types are preserved under substitition.

That is, if  $\Gamma, x:S \vdash t : T$  and  $\Gamma \vdash s : S$ , then  $\Gamma \vdash [x \mapsto s]t : T$ .

#### The "Substitution Lemma"

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Proof: ...

#### Weakening and Permutation

Two other lemmas will be useful.

Weakening tells us that we can *add assumptions* to the context without losing any true typing statements.

Lemma: If  $\Gamma \vdash t : T$  and  $x \notin dom(\Gamma)$ , then  $\Gamma, x : S \vdash t : T$ .

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```
Lemma: If \Gamma \vdash t : T and x \notin dom(\Gamma), then \Gamma, x:S \vdash t : T.
```

Permutation tells us that the order of assumptions in (the list)  $\Gamma$  does not matter.

Lemma: If  $\Gamma \vdash t : T$  and  $\Delta$  is a permutation of  $\Gamma$ , then  $\Delta \vdash t : T$ .

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Moreover, the latter derivation has the same depth as the former.

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```

Moreover, the latter derivation has the same depth as the former.

#### The "Substitution Lemma"

```
Lemma: If \Gamma, x:S \vdash t:T and \Gamma \vdash s:S, then \Gamma \vdash [x \mapsto s]t:T.
I.e., "Types are preserved under substitition."
```

Lemma: If  $\Gamma$ , x:S  $\vdash$  t : T and  $\Gamma$   $\vdash$  s : S, then  $\Gamma$   $\vdash$  [x  $\mapsto$  s]t : T.

*Proof:* By induction on the derivation of  $\Gamma$ ,  $x:S \vdash t:T$ . Proceed by cases on the final typing rule used in the derivation.

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```
Case T-APP: \begin{array}{ccc} \textbf{t} = \textbf{t}_1 & \textbf{t}_2 \\ & \Gamma, \textbf{x} : \textbf{S} \vdash \textbf{t}_1 : \textbf{T}_2 {\rightarrow} \textbf{T}_1 \\ & \Gamma, \textbf{x} : \textbf{S} \vdash \textbf{t}_2 : \textbf{T}_2 \\ & \textbf{T} = \textbf{T}_1 \end{array}
```

```
By the induction hypothesis, \Gamma \vdash [x \mapsto s]t_1 : T_2 \rightarrow T_1 and \Gamma \vdash [x \mapsto s]t_2 : T_2. By T-APP, \Gamma \vdash [x \mapsto s]t_1 : [x \mapsto s]t_2 : T, i.e., \Gamma \vdash [x \mapsto s](t_1 \ t_2) : T.
```

#### The "Substitution Lemma"

Lemma: If  $\Gamma$ , x:S  $\vdash$  t : T and  $\Gamma$   $\vdash$  s : S, then  $\Gamma$   $\vdash$  [x  $\mapsto$  s]t : T.

*Proof:* By induction on the derivation of  $\Gamma$ ,  $x:S \vdash t:T$ . Proceed by cases on the final typing rule used in the derivation.

```
Case T-VAR: t = z with z:T \in (\Gamma, x:S)
```

There are two sub-cases to consider, depending on whether z is x or another variable. If z=x, then  $[x\mapsto s]z=s$ . The required result is then  $\Gamma\vdash s:S$ , which is among the assumptions of the lemma. Otherwise,  $[x\mapsto s]z=z$ , and the desired result is immediate.

Lemma: If  $\Gamma$ , x:S  $\vdash$  t : T and  $\Gamma$   $\vdash$  s : S, then  $\Gamma$   $\vdash$  [x  $\mapsto$  s]t : T.

*Proof:* By induction on the derivation of  $\Gamma$ ,  $x:S \vdash t:T$ . Proceed by cases on the final typing rule used in the derivation.

```
Case T-ABS: t = \lambda y : T_2 . t_1 T = T_2 \rightarrow T_1
\Gamma, x : S, y : T_2 \vdash t_1 : T_1
```

By our conventions on choice of bound variable names, we may assume  $x \neq y$  and  $y \notin FV(s)$ . Using *permutation* on the given subderivation, we obtain  $\Gamma, y:T_2, x:S \vdash t_1:T_1$ . Using *weakening* on the other given derivation ( $\Gamma \vdash s:S$ ), we obtain  $\Gamma, y:T_2 \vdash s:S$ . Now, by the induction hypothesis,  $\Gamma, y:T_2 \vdash [x \mapsto s]t_1:T_1$ . By T-ABS,  $\Gamma \vdash \lambda y:T_2$ .  $[x \mapsto s]t_1:T_2 \to T_1$ , i.e. (by the definition of substitution),  $\Gamma \vdash [x \mapsto s]\lambda y:T_2$ .  $t_1:T_2 \to T_1$ .

#### Summary: Preservation

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

Lemmas to prove:

- Weakening
- Permutation
- Substitution preserves types
- Reduction preserves types (i.e., preservation)

# Review: Type Systems To define and verify a type system, you must: 1. Define types 2. Specify typing rules 3. Prove soundness: progress and preservation Two Typing Topics

#### **Erasure**

```
\begin{array}{lll} \textit{erase}(\texttt{x}) & = & \texttt{x} \\ \textit{erase}(\lambda \texttt{x} \colon \texttt{T}_1. \ \texttt{t}_2) & = & \lambda \texttt{x}. \ \textit{erase}(\texttt{t}_2) \\ \textit{erase}(\texttt{t}_1 \ \texttt{t}_2) & = & \textit{erase}(\texttt{t}_1) \ \textit{erase}(\texttt{t}_2) \end{array}
```

#### Intro vs. elim forms

An *introduction form* for a given type gives us a way of *constructing* elements of this type.

An *elimination form* for a type gives us a way of *using* elements of this type.

#### The Curry-Howard Correspondence

In constructive logics, a proof of P must provide evidence for P.

• "law of the excluded middle" —  $P \vee \neg P$  — not recognized.

A proof of  $P \wedge Q$  is a *pair* of evidence for P and evidence for Q.

A proof of  $P \supset Q$  is a *procedure* for transforming evidence for P into evidence for Q.

#### Propositions as Types

| Logic                       | Programming languages              |
|-----------------------------|------------------------------------|
| propositions                | types                              |
| proposition $P \supset Q$   | type P→Q                           |
| proposition $P \wedge Q$    | type $P \times Q$                  |
| proof of proposition $P$    | term t of type P                   |
| proposition $P$ is provable | type P is inhabited (by some term) |
|                             | evaluation                         |

### Propositions as Types

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| proof of proposition $P$    | term t of type P                   |
| proposition $P$ is provable | type P is inhabited (by some term) |
| proof simplification        | evaluation                         |
| (a.k.a. "cut elimination")  |                                    |

## Extensions to STLC

#### Base types

Up to now, we've formulated "base types" (e.g. Nat) by adding them to the syntax of types, extending the syntax of terms with associated constants (zero) and operators (succ, etc.) and adding appropriate typing and evaluation rules. We can do this for as many base types as we like.

For more theoretical discussions (as opposed to programming) we can often ignore the term-level inhabitants of base types, and just treat these types as uninterpreted constants.

E.g., suppose B and C are some base types. Then we can ask (without knowing anything more about B or C) whether there are any types S and T such that the term

```
(\lambda f:S. \lambda g:T. f g) (\lambda x:B. x)
```

is well typed.

```
The Unit type
```

```
t ::= ... terms
```

unit constant unit

v ::= ... values

unit constant unit

T ::= ... types

Unit unit type

New typing rules  $\Gamma \vdash t : T$ 

 $\Gamma \vdash \text{unit} : \text{Unit}$  (T-UNIT)

#### Sequencing

$$t ::= ...$$

$$t_1; t_2$$

#### Sequencing

$$t ::= ...$$
  $terms$   $t_1; t_2$ 

$$rac{ t_1 \longrightarrow t_1'}{ t_1; t_2 \longrightarrow t_1'; t_2}$$
 (E-Seq)

terms

$$\mathtt{unit}; \mathtt{t}_2 \longrightarrow \mathtt{t}_2$$
 (E-SEQNEXT)

$$\frac{\Gamma \vdash t_1 : \text{Unit} \qquad \Gamma \vdash t_2 : T_2}{\Gamma \vdash t_1; t_2 : T_2} \tag{T-SeQ}$$

#### Derived forms

- ► Syntatic sugar
- ▶ Internal language vs. external (surface) language

#### Sequencing as a derived form

```
t_1; t_2 \stackrel{\text{def}}{=} (\lambda x: \text{Unit.} t_2) t_1
where x \notin FV(t_2)
```

#### Equivalence of the two definitions

[board]

#### Ascription

New syntactic forms

New evaluation rules

$$v_1$$
 as  $T \longrightarrow v_1$  (E-ASCRIBE)

$$\frac{\mathtt{t}_1 \longrightarrow \mathtt{t}_1'}{\mathtt{t}_1 \text{ as } \mathtt{T} \longrightarrow \mathtt{t}_1' \text{ as } \mathtt{T}} \qquad \text{(E-Ascribe1)}$$

New typing rules

 $\mathsf{t} \longrightarrow \mathsf{t}'$ 

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

#### Ascription as a derived form

t as 
$$T \stackrel{\text{def}}{=} (\lambda x:T. x)$$
 t

#### Let-bindings

New syntactic forms

New evaluation rules

let 
$$x=v_1$$
 in  $t_2 \longrightarrow [x \mapsto v_1]t_2$  (E-LetV)

$$\frac{\texttt{t}_1 \longrightarrow \texttt{t}_1'}{\texttt{let} \ \texttt{x=t}_1 \ \texttt{in} \ \texttt{t}_2 \longrightarrow \texttt{let} \ \texttt{x=t}_1' \ \texttt{in} \ \texttt{t}_2} \qquad \textbf{(E-Let)}$$

New typing rules

$$\Gamma \vdash t : T$$

 $\mathsf{t} \longrightarrow \mathsf{t}'$ 

$$\frac{\Gamma \vdash \mathsf{t}_1 \,:\, \mathsf{T}_1 \qquad \Gamma,\, \mathsf{x} \colon \mathsf{T}_1 \vdash \mathsf{t}_2 \,:\, \mathsf{T}_2}{\Gamma \vdash \mathsf{let} \ \mathsf{x} = \mathsf{t}_1 \ \mathsf{in} \ \mathsf{t}_2 \,:\, \mathsf{T}_2} \tag{T-Let}$$

#### **Pairs**

#### Evaluation rules for pairs

$$\{v_1, v_2\}.1 \longrightarrow v_1$$
 (E-PAIRBETA1)

$$\{v_1, v_2\}.2 \longrightarrow v_2$$
 (E-PAIRBETA2)

$$\frac{\mathtt{t}_1 \longrightarrow \mathtt{t}_1'}{\mathtt{t}_1.1 \longrightarrow \mathtt{t}_1'.1} \tag{E-Proj1}$$

$$\frac{\mathtt{t}_1 \longrightarrow \mathtt{t}_1'}{\mathtt{t}_1.2 \longrightarrow \mathtt{t}_1'.2} \tag{E-Proj2}$$

$$\frac{\mathtt{t}_1 \longrightarrow \mathtt{t}_1'}{\{\mathtt{t}_1,\mathtt{t}_2\} \longrightarrow \{\mathtt{t}_1',\mathtt{t}_2\}} \tag{E-PAIR1}$$

$$\frac{\mathtt{t}_2 \longrightarrow \mathtt{t}_2'}{\{\mathtt{v}_1,\mathtt{t}_2\} \longrightarrow \{\mathtt{v}_1,\mathtt{t}_2'\}} \tag{E-PAIR2}$$

#### Typing rules for pairs

$$\frac{\Gamma \vdash \mathsf{t}_1 : \mathsf{T}_1 \qquad \Gamma \vdash \mathsf{t}_2 : \mathsf{T}_2}{\Gamma \vdash \{\mathsf{t}_1, \mathsf{t}_2\} : \mathsf{T}_1 \times \mathsf{T}_2} \tag{T-PAIR}$$

$$\frac{\Gamma \vdash \mathsf{t}_1 : \mathsf{T}_{11} \times \mathsf{T}_{12}}{\Gamma \vdash \mathsf{t}_1 . 1 : \mathsf{T}_{11}} \tag{T-Proj1}$$

$$\frac{\Gamma \vdash \mathsf{t}_1 : \mathsf{T}_{11} \times \mathsf{T}_{12}}{\Gamma \vdash \mathsf{t}_1 . 2 : \mathsf{T}_{12}} \tag{T-Proj2}$$

#### **Tuples**

#### Evaluation rules for tuples

$$\{v_i^{i\in 1..n}\}.j \longrightarrow v_j$$
 (E-PROJTUPLE)

$$\frac{\mathtt{t}_1 \longrightarrow \mathtt{t}_1'}{\mathtt{t}_1.\mathtt{i} \longrightarrow \mathtt{t}_1'.\mathtt{i}} \tag{E-Proj}$$

$$\frac{\mathtt{t}_{j} \longrightarrow \mathtt{t}_{j}'}{\{\mathtt{v}_{i}^{i \in 1..j-1}, \mathtt{t}_{j}, \mathtt{t}_{k}^{k \in j+1..n}\}}$$

$$\longrightarrow \{\mathtt{v}_{i}^{i \in 1..j-1}, \mathtt{t}_{j}', \mathtt{t}_{k}^{k \in j+1..n}\}$$
(E-Tuple)

#### Typing rules for tuples

$$\frac{\text{for each } i \quad \Gamma \vdash t_i : T_i}{\Gamma \vdash \{t_i^{i \in 1..n}\} : \{T_i^{i \in 1..n}\}}$$
 (T-Tuple)

$$\frac{\Gamma \vdash \mathsf{t}_1 : \{\mathsf{T}_i^{i \in 1..n}\}}{\Gamma \vdash \mathsf{t}_1.\,\mathsf{j} : \mathsf{T}_j} \tag{T-Proj}$$