

15-312 Assignment 1

Andrew Carnegie
(andrew)

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Type	$\tau ::=$		
	nat	nat	naturals
	unit	unit	unit
	bool	bool	boolean
	prod ($\tau_1; \tau_2$)	$\tau_1 \times \tau_2$	product
	arr ($\tau_1; \tau_2$)	$\tau_1 \rightarrow \tau_2$	function
	list (τ)	τ list	list
Exp	$e ::=$		
	x	x	variable
	nat [n]	\bar{n}	number
	unit	()	unit
	T	T	true
	F	F	false
	if ($x; e_1; e_2$)	if x then e_1 else e_2	if
	lam ($x : \tau.e$)	$\lambda x : \tau.e$	abstraction
	ap ($f; x$)	$f(x)$	application
	tpl ($x_1; x_2$)	$\langle x_1, x_2 \rangle$	pair
	case ($x_1, x_2.e_1$)	case $p \{ (x_1; x_2) \hookrightarrow e_1 \}$	match pair
	nil	\square	nil
	cons ($x_1; x_2$)	$x_1 :: x_2$	cons
	case { l }($e_1; x, xs.e_2$)	case $l \{ \mathbf{nil} \hookrightarrow e_1 \mid \mathbf{cons}(x; xs) \hookrightarrow e_2 \}$	match list
	let ($e_1; x : \tau.e_2$)	let $x = e_1$ in e_2	let
Val	$v ::=$		
	val (n)	n	numeric value
	val (T)	T	true value
	val (F)	F	false value
	val (Null)	Null	null value
	val (cl ($V; x.e$))	($V, x.e$)	function value
	val (l)	l	loc value
	val (pair ($v_1; v_2$))	$\langle v_1, v_2 \rangle$	pair value
State	$s ::=$		
	alive	alive	live value
	dead	dead	dead value
Loc	$l ::=$		
	loc (l)	l	location
Var	$l ::=$		
	var (x)	x	variable

1 Garbage collection semantics

Model dynamics using judgement of the form:

$$\boxed{V, H, R, F \vdash e \Downarrow v, H', F'}$$

Where $V : \text{Var} \rightarrow \text{Val} \times \text{State}$, $H : \text{Loc} \rightarrow \text{Val}$, and $R : \{\text{Loc}\}$. This can be read as: under stack V , heap H , roots R , freelist F , the expression e evaluates to v , and engenders a new heap H' and freelist F' .

Note that the stack maps each variable to a value v *and* a state s . If s is alive, then v can still be used, while **dead** indicates that v is already used and cannot be used again. We write $\bar{V} = \{x \in V \mid V(x) = (_, \text{alive})\}$ for the variables in V that are alive.

Roots represents the set of locations required to compute the continuation *excluding* the current expression. We can think of roots as the heap allocations necessary to compute the context with a hole that will be filled by the current expression.

Below defines the size of reachable values and space for roots:

$$\begin{aligned} reach_H((V, x.e)) &= \bigcup_{y \in FV(e) \setminus x} reach_H(V(y)) \\ reach_H(l) &= \{l\} \cup reach_H(H(l)) \\ reach_H(\langle v_1, v_2 \rangle) &= reach_H(v_1) \cup reach_H(v_2) \\ reach_H(-) &= \emptyset \end{aligned}$$

$$locs_{V,H}(e) = \bigcup_{x \in FV(e)} reach_H(V(x))$$

$$\begin{aligned} size(\langle v_1, v_2 \rangle) &= size(v_1) + size(v_2) \\ size(-) &= 1 \end{aligned}$$

$$\begin{aligned} copy(H, L, \langle v_1, v_2 \rangle) &= \\ &\text{let } L_1 \subseteq L \text{ with } |L_1| = size(v_1) \text{ in} \\ &\text{let } H_1, - = copy(H, L_1, v_1) \text{ in} \\ ©(H_1, L \setminus L_1, v_2) \\ copy(H, l, v) &= H[l \mapsto v], l \end{aligned}$$

$$\begin{array}{c}
\frac{x \in \text{dom}(V)}{V, H, R, F \vdash x \Downarrow V(x), H, F}^{(S_1)} \quad \frac{}{V, H, R, F \vdash \bar{n} \Downarrow \text{val}(n), H, F}^{(S_2)} \\
\\
\frac{}{V, H, R, F \vdash \mathbf{T} \Downarrow \text{val}(\mathbf{T}), H, F}^{(S_3)} \quad \frac{}{V, H, R, F \vdash \mathbf{F} \Downarrow \text{val}(\mathbf{F}), H, F}^{(S_4)} \\
\\
\frac{}{V, H, R, F \vdash () \Downarrow \text{val}(\mathbf{Null}), H, F}^{(S_5)} \\
\\
\frac{V(x) = \mathbf{T} \quad g = \{l \in H \mid l \notin F \cup R \cup \text{locs}_{V,H}(e_1)\} \quad V, H, R, F \cup g \vdash e_1 \Downarrow v, H', F'}{V, H, R, F \vdash \text{if}(x; e_1; e_2) \Downarrow v, H', F'}^{(S_6)} \\
\\
\frac{V(x) = \mathbf{F} \quad g = \{l \in H \mid l \notin F \cup R \cup \text{locs}_{V,H}(e_2)\} \quad V, H, R, F \cup g \vdash e_2 \Downarrow v, H', F'}{V, H, R, F \vdash \text{if}(x; e_1; e_2) \Downarrow v, H', F'}^{(S_7)} \\
\\
\frac{l \in F \quad F' = F \setminus \{l\} \quad H' = H[l \mapsto (V, x.e)]}{V, H, R, F \vdash \text{lam}(x : \tau.e) \Downarrow l, H', F'}^{(S_8)} \\
\\
\frac{V(f) = (V_1, x.e) \quad V(x) = v_1 \quad V_1[x \mapsto v_1], H, R \vdash e \Downarrow v, H', F'}{V, H, R, F \vdash f(x) \Downarrow v, H', F'}^{(S_9)} \\
\\
\frac{V(x_1) = v_1 \quad V(x_2) = v_2}{V, H, R, F \vdash \langle x_1, x_2 \rangle \Downarrow \langle v_1, v_2 \rangle, H, F}^{(S_{10})} \\
\\
\frac{g = \{l \in H \mid l \notin F \cup R \cup \text{locs}_{V,H}(e)\} \quad V(x) = \langle v_1, v_2 \rangle \quad V[x_1 \mapsto v_1, x_2 \mapsto v_2], H, R, F \cup g \vdash e \Downarrow v, H', F'}{V, H, R, F \vdash \text{case } x \{ (x_1; x_2) \hookrightarrow e \} \Downarrow v, H', F'}^{(S_{11})} \\
\\
\frac{}{V, H, R, F \vdash \text{nil} \Downarrow \text{val}(\mathbf{Null}), H, F}^{(S_{12})} \\
\\
\frac{v = \langle V(x_1), V(x_2) \rangle \quad L \subseteq F \quad |L| = \text{size}_H(v) \quad F' = F \setminus L \quad H', l = \text{copy}(H, L, v)}{V, H, R, F \vdash \text{cons}(x_1; x_2) \Downarrow l, H', F'}^{(S_{13})} \\
\\
\frac{V(x) = \mathbf{Null} \quad g = \{l \in H \mid l \notin F \cup R \cup \text{locs}_{V',H}(e_1)\} \quad V, H, R, F \cup g \vdash e_1 \Downarrow v, H', F'}{V, H, R, F \vdash \text{case } x \{ \text{nil} \hookrightarrow e_1 \mid \text{cons}(x_h; x_t) \hookrightarrow e_2 \} \Downarrow v, H', F'}^{(S_{14})} \\
\\
\frac{H(l) = \langle v_h, v_t \rangle \quad g = \{l \in H \mid l \notin F \cup R \cup \text{locs}_{V',H}(e_2)\} \quad V' = V\{x \mapsto (l, \text{dead})\} \quad V'' = V'[x_h \mapsto (v_h, \text{alive}), x_t \mapsto (v_t, \text{alive})] \quad V'', H, R, F \cup g \vdash e_2 \Downarrow v, H', F'}{V, H, R, F \vdash \text{case } x \{ \text{nil} \hookrightarrow e_1 \mid \text{cons}(x_h; x_t) \hookrightarrow e_2 \} \Downarrow v, H', F'}^{(S_{15})} \\
\\
\frac{R' = R \cup \text{locs}_{V,H}(\text{lam}(x : \tau.e_2)) \quad V, H, R', F \vdash e_1 \Downarrow v_1, H_1, F_1 \quad V' = V[x \mapsto v_1] \quad R'' = R \cup \text{locs}_{V',H_1}(e_2) \quad g = \{l \in H_1 \mid l \notin R'' \cup F_1\} \quad V', H_1, R, F_1 \cup g \vdash e_2 \Downarrow v_2, H_2, F_2}{V, H, R, F \vdash \text{let}(e_1; x : \tau.e_2) \Downarrow v_2, H_2, F_2}^{(S_{16})}
\end{array}$$

2 Type rules

The type system takes into account of garbaged collected cells by returning potential locally in a match construct. Since we are interested in the number of heap cells, all constants are assumed to be nonnegative.

$$\begin{array}{c}
\frac{n \in \mathbb{Z}}{\Sigma; \emptyset \mid_q n : \mathbf{nat}} (\text{L:ConstI}) \quad \frac{}{\Sigma; \emptyset \mid_q () : \mathbf{unit}} (\text{L:ConstU}) \quad \frac{}{\Sigma; \emptyset \mid_q \mathbf{T} : \mathbf{bool}} (\text{L:ConstT}) \\
\\
\frac{}{\Sigma; \emptyset \mid_q \mathbf{F} : \mathbf{bool}} (\text{L:ConstF}) \quad \frac{}{\Sigma; x : B \mid_q x : B} (\text{L:Var}) \\
\\
\frac{\Sigma; \Gamma \mid_{q'} e_t : B \quad \Sigma; \Gamma \mid_{q'} e_f : B}{\Sigma; \Gamma, x : \mathbf{bool} \mid_q \mathbf{if } x \mathbf{ then } e_t \mathbf{ else } e_f : B} (\text{L:Cond}) \\
\\
\frac{}{\Sigma; x_1 : A_1, x_2 : A_2 \mid_q \langle x_1, x_2 \rangle : A_1 \times A_2} (\text{L:Pair}) \\
\\
\frac{\Sigma; \Gamma, x_1 : A_1, x_2 : A_2 \mid_{q'} e : B}{\Sigma; \Gamma, x : (A_1, A_2) \mid_{q'} \mathbf{case } x \{ (x_1; x_2) \hookrightarrow e \} : B} (\text{L:MatP}) \quad \frac{}{\Sigma; \emptyset \mid_q \mathbf{nil} : L^p(A)} (\text{L:Nil}) \\
\\
\frac{}{\Sigma; \Gamma, x_h : A, x_t : L^p(A) \mid_{\frac{q+p+1}{q}} \mathbf{cons}(x_h; x_t) : L^p(A)} (\text{L:Cons}) \\
\\
\frac{\Sigma; \Gamma \mid_{q'} e_1 : B \quad \Sigma; \Gamma, x_h : A, x_t : L^p(A) \mid_{\frac{q+p+1}{q'}} e_2 : B}{\Sigma; \Gamma, x : L^p(A) \mid_{q'} \mathbf{case } x \{ \mathbf{nil} \hookrightarrow e_1 \mid \mathbf{cons}(x_h; x_t) \hookrightarrow e_2 \} : B} (\text{L:MatL}) \\
\\
\frac{\Sigma; \Gamma_1 \mid_{\frac{q}{p}} e_1 : A \quad \Sigma; \Gamma_2, x : A \mid_{\frac{p}{q'}} e_2 : B}{\Sigma; \Gamma_1, \Gamma_2 \mid_{\frac{q}{q'}} \mathbf{let}(e_1; x : \tau.e_2) : B} (\text{L:Let})
\end{array}$$

3 Paths and aliasing

In order prove soundness of the type system, we need some auxiliary judgements to defining properties of a heap. Below we define $root : Val \rightarrow \{\{Loc\}\}$ that maps stack values its the root *multiset*, the multiset of locations that's already on the stack.

$$\begin{aligned}
root(\langle v_1, v_2 \rangle) &= root(v_1) \uplus root(v_2) \\
root(l) &= \{l\} \\
root(-) &= \emptyset
\end{aligned}$$

For a multiset S , we write $\mu : S \rightarrow \mathbb{N}^+$ for the multiplicity function of S , which maps each element to the count of its occurrence. If $\forall s \in S. \mu(s) = 1$, then S is a property set, and we denote it by $\mathbf{set}(S)$.

Next, we define the judgements $\boxed{H \models p : l \rightsquigarrow l'}$ for path formation and $\boxed{H \models p = p' : l \rightsquigarrow l'}$ for path equality. A path can be thought of as a sequence of locations that is traversable by following pointers in the heap.

$$\boxed{H \models p : l \rightsquigarrow l'}$$

$$\frac{l \in H}{H \models id_l : l \rightsquigarrow l}(\text{Id}) \qquad \frac{H(l) = v \quad l' \in \text{root}(v)}{H \models (l, l') : l \rightsquigarrow l'}(\text{Edge})$$

$$\frac{H \models p : l \rightsquigarrow l' \quad H \models q : l' \rightsquigarrow l''}{H \models q \circ p : l \rightsquigarrow l''}(\text{Comp})$$

$$\boxed{H \models p = p' : l \rightsquigarrow l'}$$

$$\frac{H \models p : l \rightsquigarrow l'}{H \models p \circ id_l \equiv p : l \rightsquigarrow l'}(\text{LeftID}) \qquad \frac{H \models p : l \rightsquigarrow l'}{H \models id_{l'} \circ p \equiv p : l \rightsquigarrow l'}(\text{RightID})$$

$$\frac{H(l) = v \quad l' \in \text{root}(v) \quad H \models p \equiv q : l' \rightsquigarrow l''}{H \models p \circ (l, l') \equiv q \circ (l, l') : l \rightsquigarrow l''}(\text{Eq})$$

Note that it is *not* the case that $id_l \equiv (l, l) : l \rightsquigarrow l$, since the former is an actual identity, while the latter is an infinite loop in the heap: $H(l) = l$.

Next, we define the predicates linear_H and no_alias :

$\text{linear}_H(R_1, R_2)$: $\forall l_1 \in R_1, l_2 \in R_2$, if $H \models p : l_1 \rightsquigarrow l$ and $H \models q : l_2 \rightsquigarrow l$, then $H \models p \equiv q : l_1 \rightsquigarrow l$.

$\text{no_alias}(V, H)$: $\forall l \in H, \forall x, y \in \bar{V}$, let $r_x = \text{root}(\bar{V}(x))$, $r_y = \text{root}(\bar{V}(y))$. Then:

1. $\text{set}(\text{root}(H(l))), \text{set}(r_x), \text{set}(r_y)$
2. $r_x \cap r_y = \emptyset$
3. $\text{linear}_H(r_x, r_x)$, $\text{linear}_H(r_y, r_y)$, and $\text{linear}_H(r_x, r_y)$

4 Soundness for heap allocation

We simplify the soundness proof of the type system for the general metric to one with monotonic resource. (No function types for now)

Task 1.1 (Soundness). *let $H \models V : \Gamma$. If $\Sigma; \Gamma \Big|_{q'}^q e : B$ and $V, H, R, F \vdash e \Downarrow v, H', F'$, then*

1. *If $\text{no_alias}(V, H)$, $R \cap \text{locs}_{V, H}(e) = \emptyset$, and $F \cap \text{locs}_{V, H}(e) = \emptyset$, then $|F| - |F'| \leq \Phi_{V, H}(\Gamma) + q - (\Phi_{H'}(v : B) + q')$ and $\text{no_alias}(V, H')$.*

Proof. Induction on the evaluation judgement.

Case 1: E:Var

$$\begin{aligned}
V, H, R, F &\vdash x \Downarrow V(x), H, F && \text{(admissibility)} \\
\Sigma; x : B &\Big|_{\frac{q}{q'}} x : B && \text{(admissibility)} \\
|F| - |F'| &&& (1) \\
&= |F| - |F| && \text{(ad.)} \\
&= 0 && (2) \\
\Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q') &&& (3) \\
&= \Phi_{V,H}(x : B) + q - (\Phi_H(V(x) : B) + q) && \text{(ad.)} \\
&= \Phi_H(V(x) : B) + q - (\Phi_H(V(x) : B) + q) && \text{(def. of } \Phi_{V,H}) \\
&= 0 && (4) \\
|F| - |F'| &\leq \Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q') && ((3),(5))
\end{aligned}$$

Case 2: E:Const* Due to similarity, we show only for E:ConstI

$$\begin{aligned}
|F| - |F'| &= |F| - |F| && \text{(ad.)} \\
&= 0 \\
\Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q') &= \Phi_{V,H}(\emptyset) + q - (\Phi_H(v : \text{int}) + q) && \text{(ad.)} \\
&= 0 && \text{(def of } \Phi_{V,H}) \\
|F| - |F'| &\leq \Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q')
\end{aligned}$$

Case 4: E:App

Case 5: E:CondT

$$\begin{aligned}
\Gamma &= \Gamma', x : \text{bool} && \text{(ad.)} \\
H &\models V : \Gamma' && \text{(def of W.F.E)} \\
\Sigma; \Gamma' &\Big|_{\frac{q}{q'}} e_t : B && \text{(ad.)} \\
V, H, R, F \cup g &\vdash e_t \Downarrow v, H', F' && \text{(ad.)} \\
|F \cup g| - |F'| &\leq \Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q') && \text{(IH)} \\
|F| - |F'| &\leq \Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q')
\end{aligned}$$

Case 6: E:CondF Similar to E:CondT

Case 7: E:Let

$$\begin{aligned}
& V, H, R', F \vdash e_1 \Downarrow v_1, H_1, F_1 && (\text{ad.}) \\
& \Sigma; \Gamma_1 \mid_p^q e_1 : A && (\text{ad.}) \\
& H \models V : \Gamma_1 && (\Gamma_1 \subseteq \Gamma) \\
& |F| - |F_1| \leq \Phi_{V,H}(\Gamma_1) + q - (\Phi_{H_1}(v_1 : A) + p) && (\text{IH}) \\
& V', H_1, R, F_1 \cup g \vdash e_2 \Downarrow v_2, H_2, F_2 && (\text{ad.}) \\
& \Sigma; \Gamma_2, x : A \mid_{q'}^p e_2 : B && (\text{ad.}) \\
& H_1 \models v_1 : A \text{ and} && (\text{Theorem 3.3.4}) \\
& H_1 \models V : \Gamma_2 && (???) \\
& H_1 \models V' : \Gamma_2, x : A && (\text{def of } \models) \\
& |F_1 \cup g| - |F_2| \leq \Phi_{V',H_1}(\Gamma_2, x : A) + p - (\Phi_{H_2}(v_2 : B) + q') && (\text{IH}) \\
& |F_1| - |F_2| \leq \Phi_{V',H_1}(\Gamma_2, x : A) + p - (\Phi_{H_2}(v_2 : B) + q') \\
& \text{summing the inequalities:} \\
& |F| - |F_1| + |F_1| - |F_2| \leq \Phi_{V,H}(\Gamma_1) + q - (\Phi_{H_1}(v_1 : A) + p) + \Phi_{V',H_1}(\Gamma_2, x : A) + p - (\Phi_{H_2}(v_2 : B) + q') \\
& |F| - |F_2| \leq \Phi_{V,H}(\Gamma_1) + q - \Phi_{H_1}(v_1 : A) + \Phi_{V',H_1}(\Gamma_2, x : A) - (\Phi_{H_2}(v_2 : B) + q') \\
& \quad = \Phi_{V,H}(\Gamma_1) + \Phi_{V',H_1}(\Gamma_2) + q - \Phi_{H_1}(v_1 : A) + \Phi_{V',H_1}(x : A) - (\Phi_{H_2}(v_2 : B) + q') \\
& \quad \quad \quad (\text{def of } \Phi_{V,H}) \\
nn \quad & = \Phi_{V,H}(\Gamma_1) + \Phi_{V,H}(\Gamma_2) + q - \Phi_{H_1}(v_1 : A) + \Phi_{V',H_1}(x : A) - (\Phi_{H_2}(v_2 : B) + q') \\
& \quad \quad \quad (\text{Lemma 4.3.3}) \\
& = \Phi_{V,H}(\Gamma) + q - \Phi_{H_1}(v_1 : A) + \Phi_{H_1}(v_1 : A) - (\Phi_{H_2}(v_2 : B) + q') && (\text{def of } \Phi_{V,H}) \\
& = \Phi_{V,H}(\Gamma) + q - (\Phi_{H_2}(v_2 : B) + q')
\end{aligned}$$

Case 8: E:Pair Similar to E:Const*

Case 9: E:MatP Similar to E:MatCons

Case 10: E:Nil Similar to E:Const*

Case 11: E:Cons

$$\begin{aligned}
& |F| - |F'| \\
&= |F| - |F \setminus \{l\}| \tag{ad.} \\
&= 1 \\
&\Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q') \\
&= \Phi_{V,H}(x_h : A, x_t : L^p(A)) + q + p + 1 - (\Phi_{H'}(v : L^p(A)) + q) \tag{ad.} \\
&= \Phi_{V,H}(x_h : A, x_t : L^p(A)) + p + 1 - \Phi_{H'}(v : L^p(A)) \\
&= \Phi_H(V(x_h) : A) + \Phi_H(V(x_t) : L^p(A)) + p + 1 - \Phi_{H'}(v : L^p(A)) \tag{def of \(\Phi_{V,H}\)} \\
&= \Phi_H(v_h : A) + \Phi_H(v_t : L^p(A)) + p + 1 - \Phi_{H'}(v : L^p(A)) \tag{ad.} \\
&= \Phi_H(v_h : A) + \Phi_H(v_t : L^p(A)) + p + 1 - (p + \Phi_{H'}(v_h : A) + \Phi_{H'}(v_t : L^p(A))) \tag{Lemma 4.1.1} \\
&= \Phi_H(v_h : A) + \Phi_H(v_t : L^p(A)) + p + 1 - (p + \Phi_H(v_h : A) + \Phi_H(v_t : L^p(A))) \tag{Lemma 4.3.3} \\
&= 1
\end{aligned}$$

Hence,

$$|F| - |F'| \leq \Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q')$$

Case 12: E:MatNil Similar to E:Cond*

Case 13: E:MatCons

$$\begin{aligned}
& -F \cup g| - |F'| \leq \Phi_{V,H}(\Gamma', x_h : A, x_t : L^p(A)) + q + p + 1 - (\Phi_{H'}(v : B) + q') \\
&= \Phi_{V,H}(\Gamma') + \Phi_H(v_h : A) + \Phi_H(v_t : L^p(A)) + p + q + 1 - (\Phi_{H'}(v : B) + q') \\
&= \Phi_{V,H}(\Gamma') + \Phi_H(\langle v_h, v_t \rangle^L : L^p(A)) + q + 1 - (\Phi_{H'}(v : B) + q') \\
&= \Phi_{V,H}(\Gamma', z : L^p(A)) + q + 1 - (\Phi_{H'}(v : B) + q') \\
&= \Phi_{V,H}(\Gamma) + q + 1 - (\Phi_{H'}(v : B) + q') \\
&(l, n+1) \in F \cup g \text{ and } \nexists!(l', k) \in F \cup g.l' = l \wedge k \neq n+1 \\
&(l, n+1) \notin F \\
&(l, n+1) \in g \\
&|g| \geq 1 \\
&|F \cup g| - |F'| \\
&= |F| + |g| - |F'| \\
&\text{Hence,} \\
&|F| + |g| - |F'| \leq \Phi_{V,H}(\Gamma) + q + 1 - (\Phi_{H'}(v : B) + q') \\
&|F| - |F'| \leq \Phi_{V,H}(\Gamma) + q + 1 - |g| - (\Phi_{H'}(v : B) + q') \\
&\leq \Phi_{V,H}(\Gamma) + q - (\Phi_{H'}(v : B) + q')
\end{aligned}$$

□