SOFTWARE FOUNDATIONS

VOLUME 2: PROGRAMMING LANGUAGE FOUNDATIONS

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ROADMAP

RECORDSUB

SUBTYPING WITH RECORDS

In this chapter, we combine two significant extensions of the pure STLC — records (from chapter Records) and subtyping (from chapter Sub) — and explore their interactions. Most of the concepts have already been discussed in those chapters, so the presentation here is somewhat terse. We just comment where things are nonstandard.

```
Set Warnings "-notation-overridden,-parsing".
Require Import Maps.
Require Import Smallstep.
Require Import MoreStlc.
```

Core Definitions

Syntax

```
Inductive ty : Type :=
   (* proper types *)
   | TTop : ty
   | TBase : string > ty
   | TArrow : ty > ty > ty
   (* record types *)
   | TRNil : ty
   | TRCons : string > ty > ty > ty.
Inductive tm : Type :=
   (* proper terms *)
   | tvar : string > tm
   | tapp : tm > tm > tm
   | tabs : string > tm > tm
   | tproj : tm > string > tm
   (* record terms *)
```

```
| trnil : tm
| trcons : string → tm → tm → tm.
```

Well-Formedness

The syntax of terms and types is a bit too loose, in the sense that it admits things like a record type whose final "tail" is Top or some arrow type rather than Nil. To avoid such cases, it is useful to assume that all the record types and terms that we see will obey some simple well-formedness conditions.

An interesting technical question is whether the basic properties of the system — progress and preservation — remain true if we drop these conditions. I believe they do, and I would encourage motivated readers to try to check this by dropping the conditions from the definitions of typing and subtyping and adjusting the proofs in the rest of the chapter accordingly. This is not a trivial exercise (or I'd have done it!), but it should not involve changing the basic structure of the proofs. If someone does do it, please let me know. — BCP 5/16.

```
Inductive record_ty : ty → Prop :=
   RTnil:
          record ty TRNil
  | RTcons : \forall i T_1 T_2,
          record ty (TRCons i T_1 T_2).
Inductive record tm : tm → Prop :=
   rtnil:
          record tm trnil
   | rtcons : \forall i t<sub>1</sub> t<sub>2</sub>,
          record tm (trcons i t_1 t_2).
Inductive well formed ty : ty → Prop :=
   wfTTop:
          well_formed_ty TTop
    wfTBase : \forall i,
          well_formed_ty (TBase i)
   | wfTArrow : \forall T<sub>1</sub> T<sub>2</sub>,
          well formed ty T_1 \rightarrow
          well formed ty T_2 \rightarrow
          well_formed_ty (TArrow T_1 T_2)
    wfTRNil:
          well formed ty TRNil
    wfTRCons : \forall i T<sub>1</sub> T<sub>2</sub>,
          well formed ty T_1 \rightarrow
          well formed ty T_2 \rightarrow
          record ty T_2 \rightarrow
          well formed ty (TRCons i T_1 T_2).
Hint Constructors record ty record tm well formed ty.
```

Substitution

Substitution and reduction are as before.

```
Fixpoint subst (x:string) (s:tm) (t:tm) : tm := match t with  | \text{ tvar } y \Rightarrow \text{ if beq\_string } x \text{ y then s else t} \\ | \text{ tabs } y \text{ T } t_1 \Rightarrow \text{ tabs } y \text{ T (if beq\_string } x \text{ y then } t_1 \\ & \text{else (subst } x \text{ s } t_1)) \\ | \text{ tapp } t_1 \text{ } t_2 \Rightarrow \text{ tapp (subst } x \text{ s } t_1) \text{ (subst } x \text{ s } t_2) \\ | \text{ tproj } t_1 \text{ } i \Rightarrow \text{ tproj (subst } x \text{ s } t_1) \text{ } i \\ | \text{ trnil } \Rightarrow \text{ trnil} \\ | \text{ trcons i } t_1 \text{ } tr_2 \Rightarrow \text{ trcons i (subst } x \text{ s } t_1) \text{ (subst } x \text{ s } tr_2) \\ \text{ end.} \\ \\ \text{Notation } "'[' \text{ x ':=' s '}]' \text{ } t" := \text{ (subst } x \text{ s } t) \text{ (at level 20).} \\
```

Reduction

```
Inductive value : tm → Prop :=
  | v abs : \forall x T t,
       value (tabs x T t)
  v_rnil : value trnil
   | v rcons : ∀ i v vr,
       value v \rightarrow
       value vr →
       value (trcons i v vr).
Hint Constructors value.
Fixpoint Tlookup (i:string) (Tr:ty) : option ty :=
  match Tr with
  | TRCons i' T Tr' ⇒
      if beg string i i' then Some T else Tlookup i Tr'
  \mid  \rightarrow None
  end.
Fixpoint tlookup (i:string) (tr:tm) : option tm :=
  match tr with
  | trcons i' t tr' ⇒
      if beg string i i' then Some t else tlookup i tr'
  end.
Reserved Notation "t<sub>1</sub> '==>' t<sub>2</sub>" (at level 40).
Inductive step : tm → tm → Prop :=
  | ST AppAbs : \forall x T t<sub>12</sub> v<sub>2</sub>,
           value v_2 \rightarrow
           (tapp (tabs x T t_{12}) v_2) ==> [x:=v_2]t_{12}
  | ST App1 : \forall t<sub>1</sub> t<sub>1</sub>' t<sub>2</sub>,
           t_1 ==> t_1' \rightarrow
           (tapp t_1 t_2) ==> (tapp t_1' t_2)
  \mid ST_App2 : \forall v<sub>1</sub> t<sub>2</sub> t<sub>2</sub>',
```

```
value v_1 \rightarrow
            t<sub>2</sub> ==> t<sub>2</sub>' →
             (tapp v_1 t_2) ==> (tapp v_1 t_2')
   | ST_Proj1 : ∀ tr tr' i,
           tr ==> tr' →
           (tproj tr i) ==> (tproj tr' i)
   ST_ProjRcd : ∀ tr i vi,
           value tr →
           tlookup i tr = Some vi →
          (tproj tr i) ==> vi
   | ST_Rcd_Head : ∀ i t<sub>1</sub> t<sub>1</sub>' tr<sub>2</sub>,
           t_1 ==> t_1' \rightarrow
           (trcons i t_1 tr_2) ==> (trcons i t_1' tr_2)
   | ST_Rcd_Tail : \forall i v_1 tr<sub>2</sub> tr<sub>2</sub>',
           value v_1 \rightarrow
           tr_2 ==> tr_2' \rightarrow
           (trcons i v_1 tr<sub>2</sub>) ==> (trcons i v_1 tr<sub>2</sub>')
where "t_1 '==>' t_2" := (step t_1 t_2).
Hint Constructors step.
```

Subtyping

Now we come to the interesting part, where the features we've added start to interact. We begin by defining the subtyping relation and developing some of its important technical properties.

Definition

The definition of subtyping is essentially just what we sketched in the discussion of record subtyping in chapter Sub, but we need to add well-formedness side conditions to some of the rules. Also, we replace the "n-ary" width, depth, and permutation subtyping rules by binary rules that deal with just the first field.

```
Reserved Notation "T '<:' U" (at level 40).

Inductive subtype : ty → ty → Prop :=
    (* Subtyping between proper types *)
    | S_Refl : ∀ T,
        well_formed_ty T →
        T <: T
    | S_Trans : ∀ S U T,
        S <: U →
        U <: T →
        S <: T
    | S_Top : ∀ S,
        well_formed_ty S →
        S <: TTop
    | S_Arrow : ∀ S<sub>1</sub> S<sub>2</sub> T<sub>1</sub> T<sub>2</sub>,
```

```
T_1 <: S_1 \rightarrow
      S_2 <: T_2 \rightarrow
      TArrow S_1 S_2 <: TArrow T_1 T_2
   (* Subtyping between record types *)
    S_RcdWidth : \forall i T<sub>1</sub> T<sub>2</sub>,
      well_formed_ty (TRCons i T_1 T_2) \rightarrow
      TRCons i T_1 T_2 <: TRNil
    SRcdDepth: \forall i S<sub>1</sub> T<sub>1</sub> Sr<sub>2</sub> Tr<sub>2</sub>,
      S_1 <: T_1 \rightarrow
      Sr_2 <: Tr_2 \rightarrow
      record_ty Sr<sub>2</sub> →
      record_ty Tr<sub>2</sub> →
      TRCons i S_1 Sr_2 <: TRCons i T_1 Tr_2
    | S_RcdPerm : \forall i<sub>1</sub> i<sub>2</sub> T<sub>1</sub> T<sub>2</sub> Tr<sub>3</sub>,
      well_formed_ty (TRCons i_1 T_1 (TRCons i_2 T_2 Tr_3)) \rightarrow
      i_1 \neq i_2 \rightarrow
           TRCons i_1 T_1 (TRCons i_2 T_2 Tr_3)
      <: TRCons i<sub>2</sub> T<sub>2</sub> (TRCons i<sub>1</sub> T<sub>1</sub> Tr<sub>3</sub>)
where "T '<: ' U" := (subtype T U).
Hint Constructors subtype.
```

Examples

```
Module Examples.
Open Scope string scope.
Notation x := "x".
Notation y := "y".
Notation z := "z".
Notation j := "j".
Notation k := "k".
Notation i := "i".
Notation A := (TBase "A").
Notation B := (TBase "B").
Notation C := (TBase "C").
Definition TRcd j :=
  (TRCons j (TArrow B B) TRNil). (* {j:B->B} *)
Definition TRcd kj :=
  TRCons k (TArrow A A) TRcd j. (* \{k:C->C,j:B->B\} *)
Example subtyping_example_0 :
  subtype (TArrow C TRcd kj)
          (TArrow C TRNil).
(* C->\{k:A->A, j:B->B\} <: C->\{\} *)
Proof.
  apply S Arrow.
    apply S Refl. auto.
    unfold TRcd kj, TRcd j. apply S RcdWidth; auto.
Qed.
```

The following facts are mostly easy to prove in Coq. To get full benefit, make sure you also understand how to prove them on paper!

Exercise: 2 stars (subtyping example 1)

```
Example subtyping_example_1 :
    subtype TRcd_kj TRcd_j.
    (* {k:A->A,j:B->B} <: {j:B->B} *)
    Proof with eauto.
        (* FILL IN HERE *) Admitted.
```

Exercise: 1 star (subtyping example 2)

Exercise: 1 star (subtyping example 3)

Exercise: 2 stars (subtyping example 4)

```
Example subtyping_example_4 :
    subtype (TRCons x A (TRCons y B (TRCons z C TRNil)))
        (TRCons z C (TRCons y B (TRCons x A TRNil))).
    (* {x:A,y:B,z:C} <: {z:C,y:B,x:A} *)
    Proof with eauto.
        (* FILL IN HERE *) Admitted.</pre>
End Examples.
```

Properties of Subtyping

Well-Formedness

To get started proving things about subtyping, we need a couple of technical lemmas that intuitively (1) allow us to extract the well-formedness assumptions embedded in subtyping derivations and (2) record the fact that fields of well-formed record types are themselves well-formed types.

```
Lemma subtype__wf : ∀ S T, subtype S T →
```

```
well_formed_ty T \( \text{ well_formed_ty S.} \)

Lemma wf_rcd_lookup : \( \formatsize \text{i T Ti,} \)
    well_formed_ty T \( \text{ Tlookup i T = Some Ti } \)
    well_formed_ty Ti.
```

Field Lookup

The record matching lemmas get a little more complicated in the presence of subtyping, for two reasons. First, record types no longer necessarily describe the exact structure of the corresponding terms. And second, reasoning by induction on typing derivations becomes harder in general, because typing is no longer syntax directed.

```
Lemma rcd_types_match : ∀ S T i Ti,
  subtype S T →
  Tlookup i T = Some Ti →
  ∃ Si, Tlookup i S = Some Si ∧ subtype Si Ti.
```

Exercise: 3 stars (rcd types match informal)

Write a careful informal proof of the rcd types match lemma.

```
(* FILL IN HERE *) \Box
```

Inversion Lemmas

Exercise: 3 stars, optional (sub inversion arrow)

```
Lemma sub_inversion_arrow : \forall U V_1 V_2, subtype U (TArrow V_1 V_2) \Rightarrow
\exists U_1, \exists U_2,
(U=(TArrow U_1 U_2)) \land (subtype V_1 U_1) \land (subtype U_2 V_2).
```

Typing

```
| T_Abs : \forall Gamma x T<sub>11</sub> T<sub>12</sub> t<sub>12</sub>,
       well formed ty T_{11} \rightarrow
        update Gamma x T_{11} | - t_{12} \in T_{12} \rightarrow
       Gamma |- tabs x T_{11} t_{12} \in TArrow T_{11} T_{12}
   | T_App : \forall T<sub>1</sub> T<sub>2</sub> Gamma t<sub>1</sub> t<sub>2</sub>,
       Gamma |-t_1 \in TArrow T_1 T_2 \rightarrow
        Gamma |-t_2 \in T_1 \rightarrow
        Gamma \mid - tapp t_1 t_2 \in T_2
   | T Proj : ∀ Gamma i t T Ti,
        Gamma |-t ∈ T →
        Tlookup i T = Some Ti →
        Gamma |- tproj t i ∈ Ti
   (* Subsumption *)
   T_Sub: ∀ Gamma t S T,
        Gamma -t \in S \rightarrow
        subtype S T →
       Gamma |-t \in T
   (* Rules for record terms *)
   TRNil : \forall Gamma,
       Gamma |- trnil ∈ TRNil
   T_RCons : ∀ Gamma i t T tr Tr,
       Gamma |-t \in T \rightarrow
       Gamma |- tr ∈ Tr →
       record_ty Tr →
       record tm tr →
       Gamma | - trcons i t tr ∈ TRCons i T Tr
where "Gamma '|-| t '\in' T" := (has_type Gamma t T).
Hint Constructors has type.
```

Typing Examples

```
Module Examples2. Import Examples.
```

Exercise: 1 star (typing example 0)

Exercise: 2 stars (typing example 1)

Exercise: 2 stars, optional (typing example 2)

Properties of Typing

Well-Formedness

```
Lemma has_type__wf : ∀ Gamma t T,
   has_type Gamma t T → well_formed_ty T.

t

Lemma step_preserves_record_tm : ∀ tr tr',
   record_tm tr →
   tr ==> tr' →
   record_tm tr'.

t
```

Field Lookup

Progress

Exercise: 3 stars (canonical forms of arrow types)

```
Lemma canonical_forms_of_arrow_types : \forall Gamma s T_1 T_2, has_type Gamma s (TArrow T_1 T_2) \rightarrow value s \rightarrow \exists x, \exists S<sub>1</sub>, \exists S<sub>2</sub>, \vdots s = tabs x S<sub>1</sub> S<sub>2</sub>.

Theorem progress : \forall t T, has_type empty t T \rightarrow value t \forall \exists t', t ==> t'.
```

Theorem: For any term t and type T, if empty |-t:T| then t is a value or t==>t' for some term t'.

Proof: Let t and T be given such that empty |-t:T. We proceed by induction on the given typing derivation.

- The cases where the last step in the typing derivation is T_Abs or T_RNil are immediate because abstractions and {} are always values. The case for T_Var is vacuous because variables cannot be typed in the empty context.
- If the last step in the typing derivation is by T_App, then there are terms t₁ t₂ and types T₁ T₂ such that t = t₁ t₂, T = T₂, empty | t₁ : T₁ → T₂ and empty | t₂ : T₁.

The induction hypotheses for these typing derivations yield that t_1 is a value or steps, and that t_2 is a value or steps.

- Suppose $t_1 ==> t_1$ ' for some term t_1 '. Then $t_1 t_2 ==> t_1$ ' t_2 by ST App1.
- Otherwise t₁ is a value.
 - Suppose t₂ ==> t₂' for some term t₂'. Then t₁ t₂ ==> t₁ t₂' by rule ST_App2 because t₁ is a value.
 - Otherwise, t₂ is a value. By Lemma canonical_forms_for_arrow_types, t₁ = \x:S₁.s2 for some x, S₁, and s₂. But then (\x:S₁.s2) t₂ ==> [x:=t₂]s₂ by ST_AppAbs, since t₂ is a value.
- If the last step of the derivation is by T_Proj, then there are a term tr, a type
 Tr, and a label i such that t = tr.i, empty | tr: Tr, and Tlookup i Tr =
 Some T.

By the IH, either tr is a value or it steps. If tr ==> tr' for some term tr', then $tr \cdot i ==> tr' \cdot i$ by rule ST Proj1.

If tr is a value, then Lemma lookup_field_in_value yields that there is a term ti such that tlookup i tr = Some ti. It follows that tr.i ==> ti by rule ST_ProjRcd.

- If the final step of the derivation is by T_Sub, then there is a type S such that S
 T and empty | t: S. The desired result is exactly the induction hypothesis for the typing subderivation.
- If the final step of the derivation is by T_RCons, then there exist some terms t₁
 tr, types T₁ Tr and a label t such that t = {i=t₁, tr}, T = {i:T₁, Tr},
 record_ty tr, record_tm Tr, empty | t₁: T₁ and empty | tr: Tr.

The induction hypotheses for these typing derivations yield that t_1 is a value or steps, and that t_1 is a value or steps. We consider each case:

- Suppose t₁ ==> t₁' for some term t₁'. Then {i=t₁, tr} ==> {i=t₁', tr} by rule ST_Rcd_Head.
- ∘ Otherwise t₁ is a value.
 - Suppose tr ==> tr' for some term tr'. Then {i=t₁, tr} ==> {i=t₁, tr'} by rule ST_Rcd_Tail, since t₁ is a value.
 - Otherwise, tr is also a value. So, {i=t₁, tr} is a value by v_rcons.

Inversion Lemmas

```
Lemma typing_inversion_var : ∀ Gamma x T,
    has_type Gamma (tvar x) T →
    ∃ S,
    Gamma x = Some S ∧ subtype S T.

Lemma typing_inversion_app : ∀ Gamma t<sub>1</sub> t<sub>2</sub> T<sub>2</sub>,
    has_type Gamma (tapp t<sub>1</sub> t<sub>2</sub>) T<sub>2</sub> →
    ∃ T<sub>1</sub>,
    has_type Gamma t<sub>1</sub> (TArrow T<sub>1</sub> T<sub>2</sub>) ∧
    has_type Gamma t<sub>2</sub> T<sub>1</sub>.

Lemma typing_inversion_abs : ∀ Gamma x S<sub>1</sub> t<sub>2</sub> T,
    has_type Gamma (tabs x S<sub>1</sub> t<sub>2</sub>) T →
    (∃ S<sub>2</sub>, subtype (TArrow S<sub>1</sub> S<sub>2</sub>) T
    ∧ has_type (update Gamma x S<sub>1</sub>) t<sub>2</sub> S<sub>2</sub>).
```

```
Lemma typing_inversion_proj : ∀ Gamma i t₁ Ti,
has_type Gamma (tproj t₁ i) Ti →
∃ T, ∃ Si,
    Tlookup i T = Some Si ∧ subtype Si Ti ∧ has_type Gamma t₁ T.

Lemma typing_inversion_rcons : ∀ Gamma i ti tr T,
has_type Gamma (trcons i ti tr) T →
∃ Si, ∃ Sr,
    subtype (TRCons i Si Sr) T ∧ has_type Gamma ti Si ∧
    record_tm tr ∧ has_type Gamma tr Sr.

Lemma abs_arrow : ∀ x S₁ s₂ T₁ T₂,
has_type empty (tabs x S₁ s₂) (TArrow T₁ T₂) →
    subtype T₁ S₁
    ∧ has type (update empty x S₁) s₂ T₂.
```

Context Invariance

```
Inductive appears free in : string → tm → Prop :=
  | afi var : \forall x,
       appears_free_in x (tvar x)
   | afi app1 : \forall x t<sub>1</sub> t<sub>2</sub>,
        appears free in x t_1 \rightarrow appears free in x (tapp t_1 t_2)
  | afi app2 : \forall x t<sub>1</sub> t<sub>2</sub>,
        appears free in x t_2 \rightarrow appears free in x (tapp t_1 t_2)
   | afi abs : \forall x y T_{11} t_{12},
          y \neq x \rightarrow
          appears free in x t_{12} \rightarrow
          appears free in x (tabs y T_{11} t_{12})
   | afi proj : \forall x t i,
       appears free in x t \rightarrow
       appears_free_in x (tproj t i)
   | afi rhead : \forall x i t tr,
       appears free in x t \rightarrow
        appears_free_in x (trcons i t tr)
   | afi rtail : \forall x i t tr,
       appears free in x tr →
        appears_free_in x (trcons i t tr).
Hint Constructors appears free in.
Lemma context invariance : ∀ Gamma Gamma' t S,
      has type Gamma t S →
      (\forall x, appears free in x t \rightarrow Gamma x = Gamma' x) \rightarrow
      has_type Gamma' t S.
```

```
Lemma free_in_context : ∀ x t T Gamma,
    appears_free_in x t →
    has_type Gamma t T →
    ∃ T', Gamma x = Some T'.
```

Preservation

```
Lemma substitution_preserves_typing : ∀ Gamma x U v t S,
    has_type (update Gamma x U) t S →
    has_type empty v U →
    has_type Gamma ([x:=v]t) S.

*
Theorem preservation : ∀ t t' T,
    has_type empty t T →
    t ==> t' →
    has_type empty t' T.

*
```

Theorem: If t, t' are terms and T is a type such that empty |-t:T and t==>t', then empty |-t':T.

Proof: Let t and T be given such that empty |-t:T. We go by induction on the structure of this typing derivation, leaving t' general. Cases T_Abs and T_RNil are vacuous because abstractions and $\{\}$ don't step. Case T_Var is vacuous as well, since the context is empty.

If the final step of the derivation is by T_App, then there are terms t₁ t₂ and types T₁ T₂ such that t = t₁ t₂, T = T₂, empty | - t₁: T₁ → T₂ and empty | - t₂: T₁.

By inspection of the definition of the step relation, there are three ways $t_1 t_2$ can step. Cases ST_App1 and ST_App2 follow immediately by the induction hypotheses for the typing subderivations and a use of T App.

Suppose instead $t_1 t_2$ steps by ST_AppAbs. Then $t_1 = \x: S.t12$ for some type S and term t_{12} , and $t' = [x:=t_2]t_{12}$.

By Lemma abs_arrow, we have $\mathtt{T}_1 <: \mathtt{S} \text{ and } \mathtt{x} : \mathtt{S}_1 \mid -\mathtt{s}_2 : \mathtt{T}_2$. It then follows by lemma substitution_preserves_typing that empty $\mid - [\mathtt{x} := \mathtt{t}_2] \mathtt{t}_{12} : \mathtt{T}_2$ as desired.

If the final step of the derivation is by T_Proj, then there is a term tr, type Tr and label i such that t = tr.i, empty | - tr: Tr, and Tlookup i Tr = Some T.

The IH for the typing derivation gives us that, for any term tr', if tr ==> tr' then $empty \mid -tr'$ Tr. Inspection of the definition of the step relation reveals that there are two ways a projection can step. Case ST_Proj1 follows immediately by the IH.

Instead suppose tr.i steps by ST_ProjRcd. Then tr is a value and there is some term vi such that tlookup i tr = Some vi and t' = vi. But by lemma lookup_field_in_value, empty | - vi: Ti as desired.

- If the final step of the derivation is by T_Sub, then there is a type S such that S
 T and empty | t : S. The result is immediate by the induction hypothesis for the typing subderivation and an application of T Sub.
- If the final step of the derivation is by T_RCons, then there exist some terms t₁
 tr, types T₁ Tr and a label t such that t = {i=t₁, tr}, T = {i:T₁, Tr},
 record ty tr, record tm Tr, empty | -t₁: T₁ and empty | -tr: Tr.

By the definition of the step relation, t must have stepped by ST_Rcd_Head or ST_Rcd_Tail . In the first case, the result follows by the IH for t_1 's typing derivation and t_Rcons . In the second case, the result follows by the IH for tr's typing derivation, t_Rcons , and a use of the t_Rcons preserves_record_tm lemma.