



# Parametricity Goes Gradual<sup>1,2</sup>

by Artem Pelenitsyn  
Mar 20, 2019



<sup>1)</sup> Ahmed et al. Theorems for Free for Free: Parametricity, With and Without Types. ICFP 2017

<sup>2)</sup> Xie et al. Consistent Subtyping for All. ESOP 2018



# 1. Is It Even Possible?



# Sealing

```
(define (create-seal) (gensym))  
(define (seal v s1) ( $\lambda$  (s2) (if (eq? s1 s2) v (error))))  
(define (unseal sealed-v s) (sealed-v s))
```

# Syntax 1

*Conversion Labels*       $\phi$      $::=$      $+\alpha \mid -\alpha$

*Blame Labels*       $p, q$      $::=$      $+\ell \mid -\ell$

*Base Types*       $\iota$      $::=$      $\text{int} \mid \text{bool}$

*Types*       $A, B$      $::=$      $\iota \mid A \times B \mid A \rightarrow B \mid \forall X. A \mid X \mid \alpha \mid \star$

*Ground Types*       $G, H$      $::=$      $\iota \mid \star \times \star \mid \star \rightarrow \star \mid \alpha$

*Operations*       $\otimes$      $::=$      $+\mid -\mid *\mid \dots$

*Expressions*       $e$      $::=$      $n \mid \text{true} \mid \text{false} \mid \text{if } e \text{ then } e \text{ else } e \mid e \otimes e \mid x \mid$   
 $\lambda(x : A). e \mid e \ e \mid \Lambda X. v \mid e [B] \mid \langle e, e \rangle \mid \pi_1 e \mid$   
 $\pi_2 e \mid (e : A \xRightarrow{\phi} B) \mid (e : A \xRightarrow{p} B) \mid \text{blame } p$

# Syntax 2

*Values*

$$\begin{aligned} v \quad ::= \quad & n \mid \text{true} \mid \text{false} \mid \lambda(x:A).e \mid \Lambda X.v \mid \langle v, v \rangle \mid \\ & (v : A \rightarrow B \xRightarrow{\phi} A' \rightarrow B') \mid (v : \forall X. A \xRightarrow{\phi} \forall X. B) \mid \\ & (v : A \xRightarrow{-\alpha} \alpha) \mid (v : A \rightarrow B \xRightarrow{p} A' \rightarrow B') \mid \\ & \boxed{(v : A \xRightarrow{p} \forall X. B)} \mid (v : G \xRightarrow{p} \star) \end{aligned}$$

*Type-Name Stores*

$$\Sigma \quad ::= \quad \cdot \mid \Sigma, \alpha := A$$

*Type Environments*

$$\Delta \quad ::= \quad \cdot \mid \Delta, X$$

*Environments*

$$\Gamma \quad ::= \quad \cdot \mid \Gamma, x : A$$

*Evaluation Contexts*

$$\begin{aligned} E \quad ::= \quad & [\cdot] \mid E \circledast e \mid v \circledast E \mid \text{if } E \text{ then } e \text{ else } e \mid E \ e \mid v \ E \mid \\ & E \ [A] \mid \langle E, e \rangle \mid \langle v, E \rangle \mid (E : A \xRightarrow{\phi} B) \mid (E : A \xRightarrow{p} B) \end{aligned}$$

# Typeability

• • •

$$\frac{\Sigma; \Delta, X; \Gamma \vdash v : A \quad \Sigma; \Delta \vdash \Gamma}{\Sigma; \Delta; \Gamma \vdash \Lambda X. v : \forall X. A}$$

$$\frac{\Sigma; \Delta; \Gamma \vdash e : \forall X. A \quad \Sigma; \Delta \vdash B}{\Sigma; \Delta; \Gamma \vdash e [B] : A[B/X]}$$

$$\frac{\Sigma; \Delta; \Gamma \vdash e : A \quad \Sigma; \Delta \vdash A <^\phi B}{\Sigma; \Delta; \Gamma \vdash (e : A \xRightarrow{\phi} B) : B}$$

$$\frac{\Sigma; \Delta; \Gamma \vdash e : A \quad \Sigma; \Delta \vdash A < B}{\Sigma; \Delta; \Gamma \vdash (e : A \xRightarrow{p} B) : B}$$

$$\frac{\Sigma; \Delta \vdash \Gamma \quad \Sigma; \Delta \vdash A}{\Sigma; \Delta; \Gamma \vdash \text{blame } p : A}$$

# Convertability — Almost reflexive!

$$\begin{array}{c}
 \boxed{\Sigma; \Delta \vdash A <^\phi B} \text{ where } \Sigma; \Delta \vdash A, \Sigma; \Delta \vdash B, \text{ and } FTN(\phi) \in \Sigma \\
 \\
 \frac{\vdash \Sigma}{\Sigma; \Delta \vdash \iota <^\phi \iota} \quad \frac{\Sigma; \Delta \vdash A <^\phi A' \quad \Sigma; \Delta \vdash B <^\phi B'}{\Sigma; \Delta \vdash A \times B <^\phi A' \times B'} \quad \boxed{\frac{\Sigma; \Delta \vdash A' <^{-\phi} A \quad \Sigma; \Delta \vdash B <^\phi B'}{\Sigma; \Delta \vdash A \rightarrow B <^\phi A' \rightarrow B'}} \\
 \\
 \frac{\Sigma; \Delta, X \vdash A <^\phi B}{\Sigma; \Delta \vdash \forall X. A <^\phi \forall X. B} \quad \boxed{\frac{\vdash \Sigma \quad \alpha := A \in \Sigma}{\Sigma; \Delta \vdash \alpha <^{+\alpha} A} \quad \frac{\vdash \Sigma \quad \alpha := A \in \Sigma}{\Sigma; \Delta \vdash A <^{-\alpha} \alpha}} \\
 \\
 \frac{\vdash \Sigma \quad \alpha := A \in \Sigma \quad \alpha \notin \phi}{\Sigma; \Delta \vdash \alpha <^\phi \alpha} \quad \frac{\vdash \Sigma \quad X \in \Delta}{\Sigma; \Delta \vdash X <^\phi X} \quad \frac{\vdash \Sigma}{\Sigma; \Delta \vdash \star <^\phi \star}
 \end{array}$$

# Compatibility

$\boxed{\Sigma; \Delta \vdash A < B}$  where  $\Sigma; \Delta \vdash A$  and  $\Sigma; \Delta \vdash B$

$$\frac{\vdash \Sigma}{\Sigma; \Delta \vdash \iota < \iota}$$

$$\frac{\Sigma; \Delta \vdash A < A' \quad \Sigma; \Delta \vdash B < B'}{\Sigma; \Delta \vdash A \times B < A' \times B'}$$

$$\frac{\Sigma; \Delta \vdash A' < A \quad \Sigma; \Delta \vdash B < B'}{\Sigma; \Delta \vdash A \rightarrow B < A' \rightarrow B'}$$

$$\frac{\Sigma; \Delta, X \vdash A < B \quad X \notin A}{\Sigma; \Delta \vdash A < \forall X. B}$$

$$\frac{\Sigma; \Delta \vdash A[\star/X] < B}{\Sigma; \Delta \vdash \forall X. A < B}$$

$$\frac{\vdash \Sigma \quad \alpha \in \Sigma}{\Sigma; \Delta \vdash \alpha < \alpha}$$

$$\frac{\vdash \Sigma \quad X \in \Delta}{\Sigma; \Delta \vdash X < X}$$

$$\frac{\Sigma; \Delta \vdash A}{\Sigma; \Delta \vdash A < \star}$$

$$\frac{\Sigma; \Delta \vdash A}{\Sigma; \Delta \vdash \star < A}$$



# Reductions of conversion expressions

$$(v : \iota \xRightarrow{\phi} \iota) \longrightarrow v$$

$$(\langle v_1, v_2 \rangle : A \times B \xRightarrow{\phi} A' \times B') \longrightarrow \langle (v_1 : A \xRightarrow{\phi} B), (v_2 : A' \xRightarrow{\phi} B') \rangle$$

$$(v : A \rightarrow B \xRightarrow{\phi} A' \rightarrow B') v' \longrightarrow (v (v' : A' \xRightarrow{-\phi} A) : B \xRightarrow{\phi} B')$$

$$(v : \alpha \xRightarrow{\phi} \alpha) \longrightarrow v \quad \text{if } \alpha \notin \phi$$

$$((v : A \xRightarrow{-\alpha} \alpha) : \alpha \xRightarrow{+\alpha} A) \longrightarrow v$$

$$(v : \star \xRightarrow{\phi} \star) \longrightarrow v$$

# Reductions of cast expressions

$$(\langle v_1, v_2 \rangle : A \times B \xRightarrow{p} A' \times B') \longrightarrow \langle (v_1 : A \xRightarrow{p} B), (v_2 : A' \xRightarrow{p} B') \rangle$$

$$(v : A \rightarrow B \xRightarrow{p} A' \rightarrow B') v' \longrightarrow (v (v' : A' \xRightarrow{-p} A) : B \xRightarrow{p} B')$$

$$(v : \forall X. A \xRightarrow{p} B) \longrightarrow (v [\star] : A[\star/X] \xRightarrow{p} B) \quad \text{if } B \neq \forall Y. B' \text{ for any } Y, B'$$

$$(v : \alpha \xRightarrow{p} \alpha) \longrightarrow v$$

$$(v : \star \xRightarrow{p} \star) \longrightarrow v$$

$$((v : G \xRightarrow{p} \star) : \star \xRightarrow{q} G) \longrightarrow v$$

$$((v : G \xRightarrow{p} \star) : \star \xRightarrow{q} H) \longrightarrow \text{blame } q \quad \text{if } G \neq H$$

$$(v : A \xRightarrow{p} \star) \longrightarrow ((v : A \xRightarrow{p} G) : G \xRightarrow{p} \star) \quad \text{if } A \sim G, A \neq G, A \neq \star$$

$$(v : \star \xRightarrow{p} A) \longrightarrow ((v : \star \xRightarrow{p} G) : G \xRightarrow{p} A) \quad \text{if } A \sim G, A \neq G, A \neq \star$$

# Reductions of configurations

$$\Sigma \triangleright e \longmapsto \Sigma' \triangleright e'$$

$$\frac{e \longrightarrow e'}{\Sigma \triangleright E[e] \longmapsto \Sigma \triangleright E[e']}$$

$$\frac{\Sigma \triangleright e \longmapsto \Sigma' \triangleright e'}{\Sigma \triangleright E[e] \longmapsto \Sigma' \triangleright E[e']}$$

$$\frac{}{\Sigma \triangleright E[\text{blame } p] \longmapsto \Sigma \triangleright \text{blame } p}$$

$$\frac{\Sigma; (\cdot, X); \cdot \vdash v : A \quad \alpha \notin \text{dom}(\Sigma)}{\Sigma \triangleright (\wedge X. v) [B] \longmapsto \Sigma, \alpha := B \triangleright (v[\alpha/X] : A[\alpha/X] \xRightarrow{+\alpha} A[B/X])}$$

$$\frac{\alpha \notin \text{dom}(\Sigma)}{\Sigma \triangleright (v : A \xRightarrow{p} \forall X. A') [B] \longmapsto \Sigma, \alpha := B \triangleright ((v : A \xRightarrow{p} A'[\alpha/X]) : A'[\alpha/X] \xRightarrow{+\alpha} A'[B/X])}$$

$$\alpha \notin \text{dom}(\Sigma)$$

$$\Sigma \triangleright (v : \forall X. A \xRightarrow{\phi} \forall X. A') [B] \longmapsto \Sigma, \alpha := B \triangleright ((v [\alpha] : A[\alpha/X] \xRightarrow{\phi} A'[\alpha/X]) : A'[\alpha/X] \xRightarrow{+\alpha} A'[B/X])$$

# Contextual Approximation and Equivalence

$$\begin{aligned}
 \Sigma; \Delta; \Gamma \vdash e_1 \leq^{ctx} e_2 : A & \stackrel{\text{def}}{=} \boxed{\Sigma; \Delta; \Gamma \vdash e_1 : A \wedge \Sigma; \Delta; \Gamma \vdash e_2 : A} \wedge \\
 & \boxed{\forall C, \Sigma', B. \vdash C : (\Sigma; \Delta; \Gamma \vdash A) \rightsquigarrow (\Sigma'; \cdot; \cdot \vdash B)} \implies \\
 & \boxed{(\Sigma' \triangleright C[e_1] \Downarrow \implies \Sigma' \triangleright C[e_2] \Downarrow)} \wedge \\
 & \boxed{(\exists \Sigma_1. \Sigma' \triangleright C[e_1] \longmapsto^* \Sigma_1 \triangleright \text{blame } p \implies \\
 & \quad \exists \Sigma_2. \Sigma' \triangleright C[e_2] \longmapsto^* \Sigma_2 \triangleright \text{blame } p)} \\
 \Sigma; \Delta; \Gamma \vdash e_1 \approx^{ctx} e_2 : A & \stackrel{\text{def}}{=} \Sigma; \Delta; \Gamma \vdash e_1 \leq^{ctx} e_2 : A \wedge \Sigma; \Delta; \Gamma \vdash e_2 \leq^{ctx} e_1 : A
 \end{aligned}$$

# Theorems For Free Are Back!

THEOREM 5.1 (FREE THEOREM: K-COMBINATOR).

*If  $\Sigma \vdash v : \forall X. \forall Y. X \rightarrow Y \rightarrow X$ ,  $\Sigma \vdash v_1 : A$ , and  $\Sigma \vdash v_2 : B$ , then either*

(1)  $\Sigma \triangleright v [A] [B] v_1 v_2 \mapsto^* \Sigma' \triangleright v'_1$  and  $v'_1 \approx^{ctx} v_1$ , for some  $\Sigma', v'_1$ , or

(2)  $\Sigma \triangleright v [A] [B] v_1 v_2 \uparrow\uparrow$ , or

(3)  $\Sigma \triangleright v [A] [B] v_1 v_2 \mapsto^* \Sigma' \triangleright \text{blame } p$ , for some  $\Sigma', p$ .

# Kripke Logical Relations Track The State of the World

$$\text{World}_n = \{(j, \Sigma_1, \Sigma_2, \kappa) \in \text{Nat} \times \text{TNStore} \times \text{TNStore} \times (\text{TName} \xrightarrow{\text{fin}} \text{Rel}_j) \mid j < n \wedge \vdash \Sigma_1 \wedge \vdash \Sigma_2 \wedge \forall \alpha \in \text{dom}(\kappa). \kappa(\alpha) \in \text{Rel}_j [\Sigma_1(\alpha), \Sigma_2(\alpha)]\}$$

$$\mathcal{V} \llbracket \text{int} \rrbracket \rho = \{(W, n, n) \in \text{Atom}[\text{int}] \rho\}$$

$$\mathcal{V} \llbracket \text{bool} \rrbracket \rho = \{(W, b, b) \in \text{Atom}[\text{bool}] \rho\}$$

$$\text{Atom}[A] \rho = \bigcup_{n \geq 0} \{(W, e_1, e_2) \in \text{Atom}_n[\rho(A), \rho(A)]\}$$

$$\text{Atom}_n[A_1, A_2] = \{(W, e_1, e_2) \mid W.j < n \wedge W \in \text{World}_n \wedge W.\Sigma_1; \cdot; \cdot \vdash e_1 : A_1 \wedge W.\Sigma_2; \cdot; \cdot \vdash e_2 : A_2\}$$

KLR For Functions:

**In a future world**, related values go to related expressions

$$\begin{aligned} \mathcal{V} \llbracket A \rightarrow B \rrbracket \rho &= \{ (W, v_{f1}, v_{f2}) \in \text{Atom} \llbracket A \rightarrow B \rrbracket \rho \mid \\ &\quad \forall W' \sqsupseteq W. \forall v_1, v_2. (W', v_1, v_2) \in \mathcal{V} \llbracket A \rrbracket \rho \implies \\ &\quad (W', v_{f1} \ v_1, v_{f2} \ v_2) \in \mathcal{E} \llbracket B \rrbracket \rho \} \end{aligned}$$

$$\begin{aligned} W' \sqsupseteq W &\stackrel{\text{def}}{=} W'.j \leq W.j \ \wedge \ W'.\Sigma_1 \supseteq W.\Sigma_1 \ \wedge \ W'.\Sigma_2 \supseteq W.\Sigma_2 \ \wedge \\ &\quad W'.\kappa \sqsupseteq \lfloor W.\kappa \rfloor_{W'.j} \ \wedge \ W, W' \in \text{World} \end{aligned}$$

$$\kappa' \sqsupseteq \kappa \stackrel{\text{def}}{=} \forall \alpha \in \text{dom}(\kappa). \kappa'(\alpha) = \kappa(\alpha)$$

## The Problem With $<$

$$\frac{\Sigma; \Delta \vdash A[\star/X] < B}{\Sigma; \Delta \vdash \forall X. A < B} \Rightarrow \forall a. a \rightarrow a < \text{Int} \rightarrow \text{Bool}$$



# Consistency And Subtyping Decoupled

$$\boxed{A \sim B}$$

$$A \sim A$$

$$A \sim \star$$

$$\star \sim A$$

$$\frac{A_1 \sim B_1 \quad A_2 \sim B_2}{A_1 \rightarrow A_2 \sim B_1 \rightarrow B_2}$$

$$\frac{A \sim B}{\forall a. A \sim \forall a. B}$$

$$\boxed{\Psi \vdash A <: B}$$

$$\frac{\Psi, a \vdash A <: B}{\Psi \vdash A <: \forall a. B} \text{S-FORALLR}$$

$$\frac{\Psi \vdash \tau \quad \Psi \vdash A[a \mapsto \tau] <: B}{\Psi \vdash \forall a. A <: B} \text{S-FORALLL}$$

$$\frac{a \in \Psi}{\Psi \vdash a <: a} \text{S-TVAR}$$

$$\frac{}{\Psi \vdash \text{Int} <: \text{Int}} \text{S-INT}$$

$$\frac{\Psi \vdash B_1 <: A_1 \quad \Psi \vdash A_2 <: B_2}{\Psi \vdash A_1 \rightarrow A_2 <: B_1 \rightarrow B_2} \text{S-FUN}$$

$$\frac{}{\Psi \vdash \star <: \star} \text{S-UNKNOWN}$$

## An Option: No Subtyping, Stricter Consistency [Igarashi et al., 2017]

$$\frac{A \sim B}{\forall a. A \sim \forall a. B}$$

$$\frac{A \sim B \quad B \neq \forall a. B' \quad \star \in \text{Types}(B)}{\forall a. A \sim B}$$

Precludes both:

- $\forall a. a \rightarrow a \sim \text{Int} \rightarrow \text{Bool}$
- $\forall a. a \rightarrow a \sim \text{Int} \rightarrow \text{Int}$

Even:  $\forall a. \text{Int} \rightarrow \text{Int} \sim/\sim \text{Int} \rightarrow \text{Int}$

# The Road To Consistent Subtyping Through [2008]

**Proposition 2 (Properties of Consistent-Subtyping).** *The following are equivalent:*

1.  $\sigma \lesssim \tau$ ,
2.  $\sigma <: \sigma'$  and  $\sigma' \sim \tau$  for some  $\sigma'$ , and
3.  $\sigma \sim \sigma''$  and  $\sigma'' <: \tau$  for some  $\sigma''$ .

FAIL!

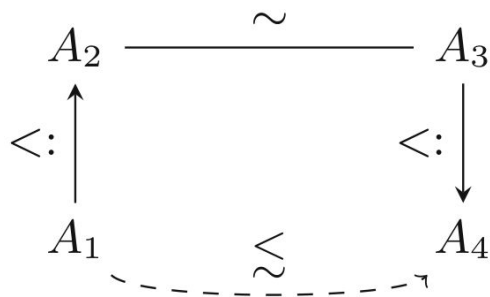
$$\begin{array}{ccc}
 \text{Int} \rightarrow \text{Int} & \xrightarrow{\sim} & \text{Int} \rightarrow \star \\
 \uparrow <: & & \uparrow <: \\
 \forall a.a & \xrightarrow{\sim} & \perp
 \end{array}$$

$$\begin{array}{ccc}
 \perp & \xrightarrow{\sim} & (((\star \rightarrow \text{Int}) \rightarrow \text{Int}) \rightarrow \text{Bool}) \rightarrow (\text{Int} \rightarrow \star)) \\
 \uparrow <: & & \uparrow <: \\
 (((\forall a.a \rightarrow \text{Int}) \rightarrow \text{Int}) \rightarrow \text{Bool}) \rightarrow (\forall a.a) & \xrightarrow{\sim} & \perp
 \end{array}$$

$(\star \rightarrow \text{Int}) \rightarrow \text{Int}$   
 $\uparrow <:$   
 $(\forall a.a \rightarrow \text{Int}) \rightarrow \text{Int} \xrightarrow{\sim} (\forall a.\star \rightarrow \text{Int}) \rightarrow \text{Int}$

# Reasonable Property To Fix What Failed

$$\frac{\Psi \vdash A <: C \quad C \sim D \quad \Psi \vdash D <: B}{\Psi \vdash A \lesssim B}$$



$$A_1 = (((\forall a.a \rightarrow \text{Int}) \rightarrow \text{Int}) \rightarrow \text{Bool}) \rightarrow (\forall a.a)$$

$$A_2 = (((\forall a.a \rightarrow \text{Int}) \rightarrow \text{Int}) \rightarrow \text{Bool}) \rightarrow (\text{Int} \rightarrow \text{Int})$$

$$A_3 = (((\forall a.\star \rightarrow \text{Int}) \rightarrow \text{Int}) \rightarrow \text{Bool}) \rightarrow (\text{Int} \rightarrow \star)$$

$$A_4 = (((\star \rightarrow \text{Int}) \rightarrow \text{Int}) \rightarrow \text{Bool}) \rightarrow (\text{Int} \rightarrow \star)$$

# Maybe Ahmed et al. [2017] Were Close Enough!

$$\boxed{\Psi \vdash A \lesssim B}$$

$$\frac{\Psi, a \vdash A \lesssim B}{\Psi \vdash A \lesssim \forall a. B} \text{CS-FORALLR}$$

$$\boxed{\frac{\Psi \vdash \tau \quad \Psi \vdash A[a \mapsto \tau] \lesssim B}{\Psi \vdash \forall a. A \lesssim B} \text{CS-FORALLL}}$$

$$\frac{\Psi \vdash B_1 \lesssim A_1 \quad \Psi \vdash A_2 \lesssim B_2}{\Psi \vdash A_1 \rightarrow A_2 \lesssim B_1 \rightarrow B_2} \text{CS-FUN}$$

$$\frac{a \in \Psi}{\Psi \vdash a \lesssim a} \text{CS-TVAR}$$

$$\frac{}{\Psi \vdash \text{Int} \lesssim \text{Int}} \text{CS-INT}$$

$$\frac{}{\Psi \vdash \star \lesssim A} \text{CS-UNKNOWNL}$$

$$\frac{}{\Psi \vdash A \lesssim \star} \text{CS-UNKNOWNR}$$

**Theorem 1.**  $\boxed{\Psi \vdash A \lesssim B} \Leftrightarrow \boxed{\Psi \vdash A <: C, C \sim D, \Psi \vdash D <: B}$  for some  $C, D$ .



# Discussion



# What is *good* and *bad* about global store of seals?

Even regular big-lambda reduction generates stuff!

$$\frac{\Sigma; (\cdot, X); \cdot \vdash v : A \quad \alpha \notin \text{dom}(\Sigma)}{\Sigma \triangleright (\Lambda X. v) [B] \longmapsto \Sigma, \alpha := B \triangleright (v[\alpha/X] : A[\alpha/X] \xRightarrow{+\alpha} A[B/X])}$$

Is  $\Lambda a. a \rightarrow a < \text{Int} \rightarrow \text{Bool}$  a road blocker?

► **Theorem 1** (Equivalence to the STLC for fully annotated terms).

*Suppose  $e$  is fully annotated and  $T$  is static.*

- 1.  $\vdash_S e : T$  if and only if  $\vdash e : T$ . (Siek and Taha [49]).*
- 2.  $e \Downarrow_S v$  if and only if  $e \Downarrow v$ .*



# What's With Graduality?



Fin

