

Type Refinements for the Working Class

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There are two conflicting views which bedevil any discussion of the nature of type theory. First, there is the notion of type theory as an extension or generalization of universal algebra to support interdependency of sorts and operations, possibly subject to an arbitrary equational theory [1, 3]; we will call this *formal type theory*. Typing, in such a setting, is a mere matter of grammar and is nearly always decidable. In hindsight, we may observe that this is the sort of type theory which Martin-Löf first proposed in 1972 [9], even if we will admit that this was not the intention at the time. A model for such a type theory is usually given by interpreting the types or sorts as presheaves or sheaves over contexts of hypotheses, and as such, a proof theoretic interpretation of the hypothetical judgment is inevitable.

Secondly, there is the view of type theory as semi-formal theory of constructions for the Brouwer-Heyting-Kolmogorov interpretation of intuitionistic mathematical language, which we will call *behavioral* or *semantic type theory*. The most widely known development of this program is Martin-Löf’s 1979 “extensional” type theory [8, 10], but we must give priority to Dana Scott for inventing this line of research in 1970 with his prophetic report, *Constructive Validity* [11]. More recently, behavioral type theory has been developed much further in the Nuprl family [2] of proof assistants, including MetaPRL [7] and JonPRL [12].

Martin-Löf’s key innovation was the commitment to pervasive functionality (extensionality) as part of the *definitions* of the judgments and the types, in contrast to the state of affairs in formal type theory where functionality is a metatheorem which may or may not hold depending on the particular equational theory which has been imposed. Furthermore, models for behavioral type theory interpret the types as partial equivalence relations on only closed terms, and the meaning of the hypothetical judgment is defined separately and uniformly in the logical relations style.

Our position is that these views of type theory are not in conflict, but rather merely describe two distinct layers in a single, harmonious system. From this perspective, formal type theories can do little more than negotiate matters of grammar, and therefore may serve as a syntactic (linguistic) framework for mathematical language, being responsible for the management of variable binding and substitution. On the other hand, the meaning of mathematical statements shall be specified *behaviorally* in the semantic type theory.

The types of the semantic theory can then be said to *refine* the types of the syntactic theory [5, 6, 4], both by placing restrictions on membership and by coarsening equivalence. Thus far, all developments of behavioral type theory have been built on a *untyped* syntactic framework, and so the relation to type refinements has been difficult to see. In this paper, we contribute a full

theory of behavioral refinements over multi-sorted abstract binding trees, a simple formal type theory [4, 13]; this hybrid system allows the deployment of a Nuprl-style type theory over any signature of sorts and operators.

1 Abstract Binding Trees and Symbols

See [13] for the development of abstract binding trees with symbols.

TODO: give a brief description of the framework, and present its rules.

2 Behavioral Refinements

Fixing a signature $\Sigma \equiv \langle \mathcal{S}, \mathcal{O} \rangle$ in the abt framework, we will define the notion of behavioral refinement by propounding several judgments and their semantical explanations. We will require two judgments, defined mutually: $\Phi \sqsubset^\star \Upsilon$, which means that Φ is a context which refines the symbol context Υ (presupposing $\Upsilon \text{ sctx}$), and $\Phi \parallel \phi \sqsubset \tau$, which shall presuppose $\Phi \sqsubset^\star \Upsilon$ and $\tau \text{ sort}$).

The first judgment we define inductively:

$$\frac{}{\cdot \sqsubset^\star \cdot} \sqsubset_{\text{nil}}^\star \quad \frac{\Phi \sqsubset^\star \Upsilon \quad \Phi \parallel \phi \sqsubset \tau}{\Phi, u : \phi \sqsubset^\star \Upsilon, u : \tau} \sqsubset_{\text{snoc}}^\star$$

The second judgment is defined coinductively via the following meaning explanation:

Definition 2.1 (Refinement). To know $\Phi \parallel \phi \sqsubset \tau$ (presupposing $\Phi \sqsubset^\star \Upsilon$ and $\tau \text{ sort}$) is to know, for any renaming $\varrho : \Upsilon \hookrightarrow \Upsilon'$, and for any M, N , what it means for M and N to be identified under ϕ , supposing $\cdot \triangleright \Upsilon' \parallel \cdot \vdash M : \tau$ and $\cdot \triangleright \Upsilon' \parallel \cdot \vdash N : \tau$, requiring that if $M \sim_\phi N$ then $N \sim_\phi M$, and if $M \sim_\phi N$ and $N \sim_\phi O$, then $M \sim_\phi O$.

In other words, to know $\Phi \parallel \phi \sqsubset \tau$ (presupposing $\Phi \sqsubset^\star \Upsilon$) is to know, for any renaming of Υ to Υ' , which partial equivalence relation on the closed Υ' -terms of τ that ϕ denotes. At this point, it should be remarked that this is very similar to the semantical explanation of typehood given in [8], except that we have generalized it to a multi-sorted setting, and that we have fibred the entire apparatus over collections Υ of symbols.

Theorem 2.2 (Weakening). *If $\Phi \parallel \phi \sqsubset \tau$, then $\Phi, u : \psi \parallel \phi \sqsubset \tau$ (supposing $u \notin |\Phi|$ and $\Phi \parallel \psi \sqsubset \sigma$).*

Proof. This follows trivially from the rule $\sqsubset_{\text{snoc}}^\star$ and the canonical renaming $\Upsilon \hookrightarrow \Upsilon, u : \sigma$. \square

When we have $\cdot \parallel \phi \sqsubset \tau$, we say that ϕ *globally* refines τ and may simply write $\phi \sqsubset \tau$. By weakening, if $\phi \sqsubset \tau$ then for all Φ , we have $\Phi \parallel \phi \sqsubset \tau$ supposing $\Phi \sqsubset^\star \Upsilon$.

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