



Part III

Chapter 15: Subtyping

Subsumption

Subtype relation

Properties of subtyping and typing

Subtyping and other features

Intersection and union types



Subtyping

Motivation

With the *usual typing rule* for applications

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

Is the term

$(\lambda r : \{x : \text{Nat}\}. r.x) \{x=0, y=1\}$

right?

It is *not* well typed.

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$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

the term

$(\lambda r : \{x : \text{Nat}\}. r.x) \{x=0, y=1\}$

is *not* well typed.

This is *silly*: what we're doing is passing the function *a better argument* than it needs.



Subsumption

More generally:

some types *are better* than others, in the sense that a value of one can always safely be used where a value of the other is expected.

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We can *formalize this intuition* by introducing:

1. a *subtyping relation* between types, written $S <: T$
2. a rule of *subsumption* stating that, if $S <: T$, then any value of type S can also be regarded as having type T , i.e.,

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$

Subsumption

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Principle of safe substitution

Subtyping



Intuitions: $S <: T$ means ...

“An element of S *may safely be used* wherever an element of T is expected.” (*Official*)



Subtyping

Intuitions: $S <: T$ means ...

“An element of S *may safely be used* wherever an element of T is expected.” (Official)

- S is “better than” T .
- S is a subset of T .
- S is more informative / richer than T .

Example

Back to the example, we will define subtyping between record types so that, for example

$$\{x: \text{Nat}, y: \text{Nat}\} <: \{x: \text{Nat}\}$$

by *subsumption*,

$$\vdash \{x = 0, y = 1\} : \{x: \text{Nat}\}$$



Example

We will define subtyping between record types so that, for example

$$\{x: Nat, y: Nat\} <: \{x: Nat\}$$

by subsumption,

$$\vdash \{x = 0, y = 1\} : \{x: Nat\}$$

and hence

$$(\lambda r: \{x: Nat\}. r.x) \{x=0, y=1\}$$

is *well* typed.

The Subtype Relation: Records



“*Width subtyping*” (forgetting fields on the right):

$$\{l_i: T_i^{i \in 1..n+k}\} <: \{l_i: T_i^{i \in 1..n}\} \quad (\text{S-RcdWidth})$$

Intuition:

$\{x: \text{Nat}\}$ is the type of all records with *at least* a numeric x field.

The Subtype Relation: Records



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Intuition:

$\{x: \text{Nat}\}$ is the type of all records with *at least* a numeric x field.

Note that the record type with *more* fields is a *subtype* of the record type with *fewer* fields.

Reason: the type with more fields places *stronger constraints* on values, so it describes *fewer values*.

The Subtype Relation: Records



“*Depth subtyping*” within fields:

$$\frac{\text{for each } i \quad S_i <: T_i}{\{l_j : S_j \mid i \in 1..n\} <: \{l_j : T_j \mid i \in 1..n\}} \quad (\text{S-RCDDEPTH})$$

The types of *individual fields* may change, *as long as* the type of each corresponding field in the two records are in the *subtype relation*.

Examples



$\{a:\text{Nat}, b:\text{Nat}\} <: \{a:\text{Nat}\}$ S-RcdWIDTH

$\{m:\text{Nat}\} <: \{\}$ S-RcdWIDTH

$\{x:\{a:\text{Nat}, b:\text{Nat}\}, y:\{m:\text{Nat}\}\} <: \{x:\{a:\text{Nat}\}, y:\{\}\}$ S-RcdDEPTH

Examples

We can also use **S-RcdDepth** to **refine the type** of *just a single record field* (instead of refining every field), by using **S-REFL** to obtain trivial subtyping derivations for other fields.

$$\frac{\frac{\overline{\{a: \text{Nat}, b: \text{Nat}\} <: \{a: \text{Nat}\}} \quad \text{S-RCDWIDTH} \quad \frac{\overline{\{m: \text{Nat}\} <: \{m: \text{Nat}\}} \quad \text{S-REFL}}{\overline{\{x: \{a: \text{Nat}, b: \text{Nat}\}, y: \{m: \text{Nat}\}\} <: \{x: \{a: \text{Nat}\}, y: \{m: \text{Nat}\}\}}} \quad \text{S-RcdDepth}}{\overline{\{x: \{a: \text{Nat}, b: \text{Nat}\}, y: \{m: \text{Nat}\}\} <: \{x: \{a: \text{Nat}\}, y: \{m: \text{Nat}\}\}}}$$



Order of fields in Records

The order of fields in a record does *not make any difference* to *how we can safely use it*, since the only thing that we can do with records (projecting their fields) is *insensitive* to the order of fields.

S-RcdPerm tells us that

$$\{c:Top, b: Bool, a: Nat\} <: \{a: Nat, b: Bool, c:Top\}$$

and

$$\{a: Nat, b: Bool, c:Top\} <: \{c:Top, b: Bool, a: Nat\}$$

The Subtype Relation: Records



Permutation of fields:

$$\frac{\{k_j : S_j \mid j \in 1..n\} \text{ is a permutation of } \{l_i : T_i \mid i \in 1..n\}}{\{k_j : S_j \mid j \in 1..n\} <: \{l_i : T_i \mid i \in 1..n\}} \quad (\text{S-RCDPERM})$$

By using **S-RcdPerm** together with **S-RcdWidth** and **S-Trans** allows us to *drop arbitrary fields* within records.



Variations

Real languages often choose *not to adopt all of these record subtyping rules*. For example, in Java,

- A subclass may not change the argument or result types of a method of its superclass (i.e., *no depth subtyping*)
- Each class has just one superclass (“*single inheritance*” of classes)

each class member (field or method) can be assigned a single index, adding new indices “on the right” as more members are added in subclasses (i.e., no permutation for classes)

- A class may implement multiple interfaces (“*multiple inheritance*” of interfaces)

i.e., *permutation* is allowed for interfaces.



The Subtype Relation: Arrow types

A high-order language, functions can be passed as arguments to other functions

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$



The Subtype Relation: Arrow types

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

Note the *order* of T_1 and S_1 in the first premise.

The subtype relation is *contravariant* in the left-hand sides of arrows and *covariant* in the right-hand sides.

The Subtype Relation: Arrow types

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

Note the *order* of T_1 and S_1 in the first premise.

The subtype relation is *contravariant* in the left-hand sides of arrows and *covariant* in the right-hand sides.

Intuition: if we have a function f of type $S_1 \rightarrow S_2$, then we know

1. f accepts elements of type S_1 ; clearly, f will also accept elements of any subtype T_1 of S_1 .
2. the type of f also tells us that it returns elements of type S_2 ; we can also view these results belonging to any supertype T_2 of S_2 .

i.e., any function f of type $S_1 \rightarrow S_2$ can also be viewed as having type $T_1 \rightarrow T_2$.



The Subtype Relation: Top

It is *convenient* to have a type that is a *supertype of every type*.

We introduce a new type constant **Top**, plus *a rule* that makes **Top** a *maximum element* of the subtype relation.

$S <: \text{Top}$

(S-Top)



The Subtype Relation: Top

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We introduce a new type constant **Top**, plus *a rule* that makes **Top** a *maximum element* of the subtype relation.

$S <: \text{Top}$

(S-TOP)

Cf. **Object** in Java.

Subtype Relation: General rules


$$S <: S$$

(S-REFL)

$$\frac{S <: U \quad U <: T}{S <: T}$$

(S-TRANS)

Subtype Relation: General rules



$$S <: S$$

(S-REFL)

$$\frac{S <: U \quad U <: T}{S <: T}$$

(S-TRANS)

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2}$$

(S-ARROW)

A subtyping is a binary relation between types that is closed under the rules:

Subtype Relation



$$S <: S \quad (\text{S-REFL})$$

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

$$\{l_i : T_i^{i \in 1..n+k}\} <: \{l_i : T_i^{i \in 1..n}\} \quad (\text{S-RCDWIDTH})$$

$$\frac{\text{for each } i \quad S_i <: T_i}{\{l_i : S_i^{i \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDDEPTH})$$

$$\frac{\{k_j : S_j^{j \in 1..n}\} \text{ is a permutation of } \{l_i : T_i^{i \in 1..n}\}}{\{k_j : S_j^{j \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDPERM})$$

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



Properties of Subtyping

Safety



Statements of **progress** and **preservation** theorems are unchanged from λ_{\rightarrow} .



Safety

Statements of **progress** and **preservation** theorems are unchanged from λ_{\rightarrow} .

However, Proofs become a bit *more involved*, because the typing relation is no longer *syntax directed*.

Given a derivation, *we don't always know what rule was used* in the last step.

e.g., the rule **T-SUB** could appear anywhere.

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$



Syntax-directed rules

When we say a set of rules is syntax-directed we mean two things:

1. There is *exactly one rule* in the set that applies to each syntactic form. (We can tell by the syntax of a term which rule to use.)
 - In order to derive a type for $t_1 t_2$, we must use **T-App**.
2. We don't have to “*guess*” an input (or output) for any rule.
 - To derive a type for $t_1 t_2$, we need to derive a type for t_1 and a type for t_2 .



Preservation

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

*Proof: By induction on **typing derivations**.*

*Which cases are likely to be **hard**?*



Subsumption case

Case T-Sub: $t : S \quad S <: T$

By the induction hypothesis, $\Gamma \vdash t' : S$. By T-Sub, $\Gamma \vdash t' : T$.

Not hard!

Application case

Case T-App :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

By the inversion lemma for evaluation, there are

three rules

by which $t \rightarrow t'$ can be derived:

E-App1, E-App2, and E-AppAbs .

Proceed by cases.

Application case

Case **T-App** :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

By the inversion lemma for evaluation, there are *three rules* by which $t \rightarrow t'$ can be derived:

E-App1, **E-App2**, and **E-AppAbs**.

Proceed by cases.

Subcase **E-App1**: $t_1 \rightarrow t'_1 \quad t' = t'_1 t_2$

The result follows from the induction hypothesis and **T-App**.

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

Application case

Case T-App:

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \longrightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase E-App2: $t_1 = v_1 \quad t_2 \longrightarrow t'_2 \quad t' = v_1 t'_2$

Similar.

$$\frac{\Gamma \vdash t_1 : T_{11} \longrightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

$$\frac{t_2 \longrightarrow t'_2}{v_1 t_2 \longrightarrow v_1 t'_2} \quad (\text{E-APP2})$$

Application case

Case **T-App**:

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase **E-AppAbs**:

$$t_1 = \lambda x : S_{11}. t_{12} \quad t_2 = v_2 \quad t' = [x \mapsto v_2] t_{12}$$

by the *inversion lemma* for the typing relation ...

$$T_{11} <: S_{11} \quad \text{and} \quad \Gamma, x : S_{11} \vdash t_{12} : T_{12} .$$

By using **T-Sub**, $\Gamma \vdash t_2 : S_{11}$.

by the *substitution lemma*, $\Gamma \vdash t' : T_{12}$.

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

$$(\lambda x : T_{11}. t_{12}) v_2 \longrightarrow [x \mapsto v_2] t_{12} \quad (\text{E-APPABS})$$



Inversion Lemma for Typing

Lemma: if $\Gamma \vdash \lambda x:S_1. s_2: T_1 \rightarrow T_2$, then $T_1 <: S_1$ and $\Gamma, x:S_1 \vdash s_2: T_2$.



Inversion Lemma for Typing

Lemma: if $\Gamma \vdash \lambda x:S_1. s_2: T_1 \rightarrow T_2$, then
 $T_1 <: S_1$ and $\Gamma, x:S_1 \vdash s_2: T_2$.

Proof: *Induction on typing derivations.*

Case T-Sub: $\lambda x:S_1. s_2: U$ $U: T_1 \rightarrow T_2$

We want to say “By the induction hypothesis...”, but the IH does not apply (since we do not know that U is an arrow type).

Need another lemma...

Lemma: If $U <: T_1 \rightarrow T_2$, then U has the form of $U_1 \rightarrow U_2$,
with $T_1 <: U_1$ and $U_2 <: T_2$.

(*Proof:* by *induction on subtyping derivations.*)



Inversion Lemma for Typing

By this lemma, we know

$$U = U_1 \longrightarrow U_2, \text{ with } T_1 <: U_1 \text{ and } U_2 <: T_2.$$

The IH now applies, yielding

$$U_1 <: S_1 \text{ and } \Gamma, x: S_1 \vdash s_2: U_2.$$

From $U_1 <: S_1$ and $T_1 <: U_1$, rule **S-Trans** gives

$$T_1 <: S_1.$$

From $\Gamma, x: S_1 \vdash s_2: U_2$ and $U_2 <: T_2$, rule **T-Sub** gives

$$\Gamma, x: S_1 \vdash s_2: T_2,$$

and we are done.



Subtyping with Other Features

Ascription and Casting



Ordinary ascription:

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

$$v_1 \text{ as } T \longrightarrow v_1 \quad (\text{E-ASCRIIBE})$$

Ascription and Casting

Ordinary ascription:

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

$$v_1 \text{ as } T \longrightarrow v_1 \quad (\text{E-ASCRIIBE})$$

Casting (cf. Java):

$$\frac{\Gamma \vdash t_1 : S}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-CAST})$$

$$\frac{\vdash v_1 : T}{v_1 \text{ as } T \longrightarrow v_1} \quad (\text{E-CAST})$$

Subtyping and Variants



$$\langle l_i : T_i^{i \in 1..n} \rangle <: \langle l_i : T_i^{i \in 1..n+k} \rangle \quad (\text{S-VARIANTWIDTH})$$

$$\frac{\text{for each } i \quad S_i <: T_i}{\langle l_i : S_i^{i \in 1..n} \rangle <: \langle l_i : T_i^{i \in 1..n} \rangle} \quad (\text{S-VARIANTDEPTH})$$

$$\frac{\langle k_j : S_j^{j \in 1..n} \rangle \text{ is a permutation of } \langle l_i : T_i^{i \in 1..n} \rangle}{\langle k_j : S_j^{j \in 1..n} \rangle <: \langle l_i : T_i^{i \in 1..n} \rangle} \quad (\text{S-VARIANTPERM})$$

$$\frac{\Gamma \vdash t_1 : T_1}{\Gamma \vdash \langle l_1 = t_1 \rangle : \langle l_1 : T_1 \rangle} \quad (\text{T-VARIANT})$$

Subtyping and Lists



$$\frac{S_1 <: T_1}{\text{List } S_1 <: \text{List } T_1} \quad (\text{S-LIST})$$

i.e., List is a *covariant type* constructor.

Subtyping and References



$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Ref } S_1 <: \text{Ref } T_1} \quad (\text{S-REF})$$

i.e., `Ref` is *not a covariant* (nor *a contravariant*) type constructor, but an *invariant*.

Subtyping and References



$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Ref } S_1 <: \text{Ref } T_1} \quad (\text{S-REF})$$

i.e., `Ref` is *not a covariant* (nor a *contravariant*) type constructor.

Why?

- When a reference is *read*, the context expects a T_1 , so if $S_1 <: T_1$ then an S_1 is ok.



Subtyping and References

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Ref } S_1 <: \text{Ref } T_1} \quad (\text{S-REF})$$

i.e., **Ref** is not a *covariant* (nor a *contravariant*) type constructor.

Why?

- When a reference is *read*, the context expects a T_1 , so if $S_1 <: T_1$ then an S_1 is ok.
- When a reference is *written*, the context provides a T_1 and if the actual type of the reference is $\text{Ref } S_1$, someone else may use the T_1 as an S_1 . So we need $T_1 <: S_1$.

Subtyping and Arrays

Similarly...

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Array } S_1 <: \text{Array } T_1} \quad (\text{S-ARRAY})$$

$$\frac{S_1 <: T_1}{\text{Array } S_1 <: \text{Array } T_1} \quad (\text{S-ARRAYJAVA})$$

This is regarded (even by the Java designers) **as a mistake** in the design.



References again

Observation: a value of type *Ref T* can be used in two different ways:

- as a *source* for values of type **T**, and
- as a *sink* for values of type **T**.



References again

Observation: a value of type *Ref T* can be used in two different ways:

- as a *source* for values of type **T**, and
- as a *sink* for values of type **T**.

Idea: Split *Ref T* into three parts:

- **Source T**: reference cell with “read capability”
- **Sink T**: reference cell with “write capability”
- **Ref T**: cell with both capabilities

Modified Typing Rules



$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Source } T_{11}}{\Gamma \mid \Sigma \vdash !t_1 : T_{11}} \quad (\text{T-DEREF})$$

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Sink } T_{11} \quad \Gamma \mid \Sigma \vdash t_2 : T_{11}}{\Gamma \mid \Sigma \vdash t_1 := t_2 : \text{Unit}} \quad (\text{T-ASSIGN})$$

Subtyping rules



$$\frac{S_1 <: T_1}{\text{Source } S_1 <: \text{Source } T_1} \quad (\text{S-SOURCE})$$

$$\frac{T_1 <: S_1}{\text{Sink } S_1 <: \text{Sink } T_1} \quad (\text{S-SINK})$$

$$\text{Ref } T_1 <: \text{Source } T_1 \quad (\text{S-REFSOURCE})$$

$$\text{Ref } T_1 <: \text{Sink } T_1 \quad (\text{S-REFSINK})$$

Capabilities



Other kinds of capabilities can be treated similarly, e.g.,

- *send* and *receive* capabilities on communication channels,
- *encrypt/decrypt* capabilities of cryptographic keys,
- ...



Intersection and Union Types

Intersection Types

The inhabitants of $T_1 \wedge T_2$ are terms belonging to *both* S and T — i.e., $T_1 \wedge T_2$ is an order-theoretic meet (*greatest lower bound*) of T_1 and T_2 .

$$T_1 \wedge T_2 \leq T_1 \quad (\text{S-INTER1})$$

$$T_1 \wedge T_2 \leq T_2 \quad (\text{S-INTER2})$$

$$\frac{S \leq T_1 \quad S \leq T_2}{S \leq T_1 \wedge T_2} \quad (\text{S-INTER3})$$

$$S \rightarrow T_1 \wedge S \rightarrow T_2 \leq S \rightarrow (T_1 \wedge T_2) \quad (\text{S-INTER4})$$



Intersection Types

Intersection types permit a very *flexible form* of *finitary overloading*.

$+ : (\text{Nat} \rightarrow \text{Nat} \rightarrow \text{Nat}) \wedge (\text{Float} \rightarrow \text{Float} \rightarrow \text{Float})$

This form of overloading is extremely powerful.

Every strongly *normalizing untyped lambda-term* can be typed in *the simply typed lambda-calculus with intersection types*.

type reconstruction problem is undecidable

Intersection types *have not been used much* in language designs (too powerful!), but are being *intensively investigated* as type systems for *intermediate languages* in highly optimizing compilers (cf. Church project).



Union types

Union types are also useful.

$T_1 \vee T_2$ is an **untagged** (non-disjoint) union of T_1 and T_2 .

No tags : no *case* construct. The only operations we can safely perform on elements of $T_1 \vee T_2$ are ones *that make sense for both* T_1 and T_2 .

N. B: untagged union types in C are a source of *type safety violations* precisely because they ignores this restriction, allowing any operation on an element of $T_1 \vee T_2$ that makes sense for *either* T_1 or T_2 .

Union types are being used recently in type systems for XML processing languages (cf. Xduce, Xtatic).



Varieties of Polymorphism

- Parametric polymorphism (ML-style)
- Subtype polymorphism (OO-style)
- Ad-hoc polymorphism (overloading)



HW for Chap15 & 16

- 15.2.5
- 15.3.2