

Encoding Featherweight Java with Assignment and Immutability using The Coq Proof Assistant

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ABSTRACT

We develop a mechanized proof of Featherweight Java with Assignment and Immutability in the Coq proof assistant. This is a step towards more machine-checked proofs of a non-trivial type system. We used object immutability close to that of IGJ [9]. We describe the challenges of the mechanisation and the encoding we used inside of Coq.

1. INTRODUCTION

Object immutability is a useful language property that allows for better reasoning and sharing of objects. Our immutability definition follows that of IGJ [9]: immutable objects can be declared transitively by utilising the mutability parameter, however immutability of fields can still be declared explicitly inside immutable objects. For simplicity we do not model readonly references present in IGJ [8].

An immutable object cannot be modified, and only pure (side-effect free with respect to the receiver) methods can be called on such an object. A mutable object can be modified and mutating methods can be called on that object. Our immutability is parametric and as a result we support transitively immutable objects. All fields of an immutable object are assigned in the constructor. Objects cannot be both immutable and mutable. Methods annotated with the `pure` keyword are only allowed to read fields and call other `pure` methods.

We provide a simple type system, based on Featherweight Java [3] with assignment and object immutability. The main contribution of this paper is a formalisation of the type system and a soundness proof in the Coq Proof Assistant. Our Coq development extends the Cast-Free Featherweight Java formalisation [2], which does not handle assignment. We introduce a store typing context to support assignment, which

to our knowledge has not been mechanized. We highlight the encodings we used, and explain the differences between a proof on paper and formalizing it inside a theorem prover. Our Coq sources are publically available¹.

Example. We define a parametrized class `Cell`, where the mutable instantiation can get and set the interned object, whereas the immutable instantiation can only get the interned object, provided initially in the constructor. We chose to use transitive mutability in this example.

```
class Cell<M> extends Object {
  Object<M> data;
  Cell<M> (Object<M> data) {
    this.data = data;
  }
  Object<M> getData pure () {
    return this.data;
  }
  void setData mutating (Object<M> data) {
    this.data = data;
  }
}
...
new Cell<immutable>(new Object<immutable>()).setData(...);
```

The call to a `Cell` object in the above line that calls a mutating method on an immutable object is not allowed by our language (encoded by FJ + AI, or Featherweight Java with Assignment and Immutability type system described next).

2. FJ + AI TYPE SYSTEM

The syntax is given in Figure 1. An expression may be `null`, an address location, a variable, an error, a field access, a field assignment, a method call, a `new` expression or a sequence of two expressions. A value can be either `null` or a location. A type is a class name (`N`) parameterized by a mutability parameter. A class declaration is a class name, a class mutability parameter, a super class name, a list of fields a constructor `K` and a list of methods. A constructor of a class calls the constructor of the super class, and then assigns values to the fields declared in the class (handled by evaluation of the `new` expression subsequently). A method

¹<http://www.ecs.vuw.ac.nz/~mackayjuli/FJAI.zip>

```

e ::= null |  $\iota$  | x | err |  $\iota.f$  |  $\iota.f = e$  | e.m( $\bar{e}$ ) | new T( $\bar{e}$ ) | e; e
v ::= null |  $\iota$ 
T ::= N <I>
C ::= class N <I> extends N{ $\bar{T}\bar{f}$ ; K  $\bar{M}$ }
K ::= T( $\bar{T}\bar{f}$ ){super( $\bar{f}$ ); this. $\bar{f}$ = $\bar{f}$ ;}
M ::= T m P( $\bar{T}\bar{x}$ ){return e;}
I ::= mutable | immutable | X
P ::= mutating | pure
Pr ::=  $\bar{C}$ ; e

```

Figure 1: FJ+AI Syntax

declaration has a return type, a method name, a `pure` or `mutating` annotation, a list of parameters and a body. Mutability (I) can be either a definite mutability parameter (`mutable` or `immutable`), or a mutability variable (X). Finally, a program Pr consists of a list of class declarations and an expression to be evaluated.

2.1 Subtyping and Functions

Subtyping is defined by three subtyping rules. S-REFL, S-TRANS and S-EXTEND. The reflexivity and transitivity rules are standard [3] and we omit them. The interesting rule shown below is for inheritance (S-EXTEND) that restricts the subtyping to types with the same mutability parameter. This splits the inheritance tree into one that is `mutable`, and another that is `immutable`. `Object <immutable>` roots the `immutable` tree, `Object <mutable>` roots the `mutable` one.

$$\frac{C<I> \text{ extends } D<I>}{C<I> <: D<I>} \quad (\text{S-EXTEND})$$

The inheritance hierarchy is given in Figure 2, and is split by the mutability parameter. The split inheritance hierarchy is elaborated on in Section 5.

The functions for field and method lookup are standard as found in FJ [3].

2.2 Typing

An expression can be well-typed according to seven typing rules as shown in Figure 3. There are also two typing rules for method typing (T-METH-PURE and T-METH-MUT), as well as one for class typing (T-CLASS). An expression has type T in the context of two partial functions, an environment Γ and a store typing Δ . Γ maps variables to types and Δ maps locations to types.

A variable has type T in the context of an environment Γ if there is a mapping to T in Γ (T-VAR). A location ι in a store \mathcal{H} has type T in a store typing Δ for \mathcal{H} if Δ maps ι to T (T-LOC). A field access $e.f$ has type T if e has type

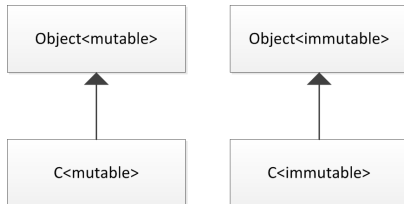


Figure 2: Inheritance hierarchy including mutability.

$$\Gamma; \Delta \vdash x : \Gamma(x) \quad (\text{T-VAR}) \quad \Gamma; \Delta \vdash \text{null} : T \quad (\text{T-NULL})$$

$$\Gamma; \Delta \vdash \iota : \Delta(\iota) \quad (\text{T-LOC})$$

$$\frac{\Gamma; \Delta \vdash e : C \quad \langle M \rangle \quad fType(f, C \langle M \rangle) = T}{\Gamma; \Delta \vdash e.f : T} \quad (\text{T-FIELD})$$

$$\frac{\Gamma; \Delta \vdash \bar{e} : T' \quad fields(C) = \bar{T}\bar{f} \quad \bar{T}' <: \bar{T}}{\Gamma; \Delta \vdash \text{new } C<I>(\bar{e}) : C<I>} \quad (\text{T-NEW})$$

$$\frac{\Gamma; \Delta \vdash e : C \langle \text{mutable} \rangle \quad \Gamma; \Delta \vdash e' : T' \quad fType(f, C \langle \text{mutable} \rangle) = T \quad T' <: T}{\Gamma; \Delta \vdash e.f = e' : T} \quad (\text{T-ASSIGN})$$

$$\frac{\Gamma; \Delta \vdash e : C \langle \text{mutable} \rangle \quad mType(m, C \langle \text{mutable} \rangle) = \bar{D} \rightarrow T \quad \Gamma; \Delta \vdash \bar{e} : \bar{E} \quad \bar{E} <: \bar{D}}{\Gamma; \Delta \vdash e.m(\bar{e}) : T} \quad (\text{T-INVK-MUT})$$

$$\frac{\Gamma; \Delta \vdash e : C \langle \text{immutable} \rangle \quad mType(m, C \langle \text{immutable} \rangle) = \bar{D} \rightarrow T \quad \Gamma; \Delta \vdash \bar{e} : \bar{E} \quad \bar{E} <: \bar{D} \quad m \text{ pure in } C}{\Gamma; \Delta \vdash e.m(\bar{e}) : T} \quad (\text{T-INVK-IMM})$$

$$\frac{\text{this} : C \langle \text{immutable} \rangle, \bar{C}\bar{x}; \emptyset \vdash e : T \quad \text{class } C \text{ extends } D \quad \text{if } mType(m, D \langle I \rangle) = \bar{D} \rightarrow T' \quad \text{then } \bar{C} = \bar{D} \text{ and } T <: T' \quad m \text{ pure in } D \text{ and } m \text{ pure in } C}{T \text{ m pure}(\bar{C}\bar{x})\{\text{return } e;\} \text{ OK IN } C \langle I \rangle} \quad (\text{T-METH-PURE})$$

$$\frac{\text{this} : C \langle \text{mutable} \rangle, \bar{C}\bar{x}; \emptyset \vdash e : T \quad I = \text{mutable} \vee I = X \quad \text{class } C \text{ extends } D \quad \text{if } mType(m, D \langle I \rangle) = \bar{D} \rightarrow T' \text{ then } \bar{C} = \bar{D} \text{ and } T <: T' \quad \text{if } m \text{ pure in } D \text{ then } m \text{ pure in } C \text{ else } \quad \text{if } m \text{ mutating in } D \text{ then } m \text{ mutating in } C}{T \text{ m mutating}(\bar{C}\bar{x})\{\text{return } e;\} \text{ OK IN } C \langle I \rangle} \quad (\text{T-METH-MUT})$$

$$\frac{\bar{T}_C \bar{f}_C \cap fields(D) = \emptyset \quad \forall M \in \bar{M}, M \text{ OK IN } C \langle I \rangle}{\text{class } C \langle I \rangle \text{ extends } D\{\bar{T}_C \bar{f}_C; K \bar{M}\} \text{ OK}} \quad (\text{T-CLASS})$$

Figure 3: FJ+AI Typing Rules

$C<I>$ and f has type T in class C (T-FIELD). An assignment $e.f = v$ has type T if e has type $C \langle \text{mutable} \rangle$, f has type T in class C and v has type T' , that is a subtype of T (T-ASSIGN). A `new` expression `new C<I>(\bar{e})` has type $C<I>$ if \bar{e} are well-typed with respect to the types of the fields of class C (T-NEW).

There are two typing rules for method invocations, one for method calls on mutable objects and another for immutable objects. T-INVK-MUT allows typing on method calls to mutable receivers. A method call $e.m(\bar{e})$ has type T if e has type $C \langle \text{mutable} \rangle$, m has type $\bar{D} \rightarrow T$ in class C and \bar{e} are well-typed with respect to \bar{D} . T-INVK-IMM is similar except the method m must be pure, since the receiver has type $C \langle \text{immutable} \rangle$.

A method m is well-typed for a type $C<I>$ in one of two cases. Firstly, if the method is `pure` (T-METH-PURE) then the body of the method must be well-typed with an `immutable` receiver and with respect to an empty store typing. Only the receiver is required to be `mutable`, and not and other method parameters. This means that the method is not strictly side-effect free, only side effect free with respect

$$\begin{array}{c}
\frac{\mathcal{H}(\iota) = \text{new } \mathbf{C} \langle \mathbf{M} \rangle (\bar{v}) \quad \text{fields}(\mathbf{C}) = \bar{c} \bar{f}}{\iota.f_i; \mathcal{H} \longrightarrow v_i; \mathcal{H}} \quad (\text{R-FIELD}) \\
\\
\frac{\mathcal{H}(\iota) = \text{new } \mathbf{C} \langle \mathbf{M} \rangle (\dots) \quad m\text{Body}(m, \mathbf{C} \langle \mathbf{M} \rangle) = (\bar{x}; e)}{\iota.m(\bar{v}); \mathcal{H} \longrightarrow [\iota/\text{this}, \bar{v}/\bar{x}]e; \mathcal{H}} \quad (\text{R-INVK}) \\
\\
\frac{\iota \notin \text{dom}(\mathcal{H}) \quad \mathcal{H}' = \mathcal{H}, \iota \mapsto \text{new } \mathbf{C} \langle \mathbf{M} \rangle (\bar{v})}{\text{new } \mathbf{C} \langle \mathbf{M} \rangle (\bar{v}); \mathcal{H} \longrightarrow \iota; \mathcal{H}'} \quad (\text{R-NEW}) \\
\\
\frac{\text{fields}(\mathbf{C}) = \bar{c} \bar{f} \quad \mathcal{H}(\iota) = \text{new } \mathbf{C} \langle \mathbf{M} \rangle (\bar{v}) \quad \mathcal{H}' = \mathcal{H}[\iota \mapsto \text{new } \mathbf{C} \langle \mathbf{M} \rangle (\dots, v_{i-1}, v, v_{i+1}, \dots)]}{\iota.f_i = v; \mathcal{H} \longrightarrow v; \mathcal{H}'} \quad (\text{R-ASSIGN}) \\
\\
\frac{}{v; e; \mathcal{H} \longrightarrow e; \mathcal{H}} \quad (\text{R-SEQ})
\end{array}$$

Figure 4: FJ+AI Reduction Rules

to the receiver. If the method overrides a method of the super class then the return type must be a subtype of the overridden method, and the parameter types must be the same. Secondly, a method m is well-typed for a type $\mathbf{C} \langle \mathbf{I} \rangle$ if m is **mutating** (T-METH-MUT) and the body is well-typed for a mutable receiver in the context of an empty store typing. The mutability of the type $\mathbf{C} \langle \mathbf{I} \rangle$ must be either **mutable** or a mutability variable. Again if the method overrides a method of the super class then the return type must subtype the return type of the overridden method, and the types of the parameters must be the same. For both T-METH-PURE and T-METH-MUT, the **pure**/**mutating** annotation must be the same for overridden methods.

A class declaration is well-typed (T-CLASS) if the fields declared in the class declaration do not duplicate any fields of the super class and all declared methods are well-typed.

2.3 Reduction

Expression reduction is described by a series of reduction rules shown in Figure 4. We omit the context reduction rules for brevity but they can be found in our technical report [5]. The reduction rules R-FIELD, R-NEW, R-ASSIGN and R-INVK show reduction for field accesses, allocation, field assignment and method invocation respectively. A field access returns the value of a field of a location in the store. **new** expression adds a new location to the store and returns the address of that location. A field assignment changes the store by replacing a value of a field of an existing location in the store and returns that value. A method invocation reduces to the body of the method substituted by the method parameters and the receiver for the **this** variable.

3. FJ + AI COQ ENCODING

The Coq encoding has two parts. Firstly a set of definitions corresponding to the syntax, reduction rules and typing rules was created, followed by proofs for type soundness of the encoded language.

3.1 Definitions

The definitions of the language can be broken down into three different types of definitions. Firstly the syntactic elements of the language such as the various expressions, classes, as well as structures such as stores, class tables and environments, form the basis of the encoding. These are followed by definitions for subtyping and then substitution. The

final two parts of the definitions deal directly with the typing and reduction rules of Sections 2.2 and 2.3.

3.1.1 Syntax Definitions

Classes in our encoding are defined inductively much like natural numbers are defined in Coq. A class can be created in one of two ways, as **Object** (analogous to 0 in the Coq definition of natural numbers), or by extending an existing class, \mathbf{C} **extends** \mathbf{D} (analogous to **Successor**). To avoid ambiguity between two direct subclasses of a class \mathbf{D} , this constructed class has to be identified by a unique **ClassName**. The subclass relationship (described later) becomes much like the “less than” relationship of natural numbers.

```

Inductive ClassName : Type := |Class : nat -> ClassName.
Inductive class : Type :=
| Object : class
| Extend : ClassName -> class -> class.
Notation "C 'extends' D" := (Extend C D) (at level 0).

```

Mutability and pure/mutating annotation for methods are defined as follows:²

```

Inductive mutability : Type :=
| mutable : mutability
| immutable : mutability
| variable : mutability.

Inductive meth_mut : Type :=
| pure : meth_mut
| mutating : meth_mut.

```

Types are encoded as a class followed by an mutability parameter. The notation $\mathbf{C} \langle \langle \mathbf{M} \rangle \rangle$ is used throughout the encoding to indicate a type of class \mathbf{C} followed by a mutability parameter \mathbf{M} .

```

Inductive ty : Type :=
| Ty : class -> mutability -> ty.
Notation "C '<<' M '>>'" := (Ty C M) (at level 0).

```

Method and Class declarations are inductively defined below. **meth** is a method name. **args** is a list of variable, type pairs. **flds** is a list of field, type pairs. **mths** is a list method declarations. A class table (**ClassTable**) as defined as a list of class declarations. Throughout the encoding, a single class table \mathbf{CT} is used³.

```

Inductive MethDecl : Type :=
| mDecl : meth -> ty -> meth_mut -> args -> exp -> MethDecl.

```

²In order to provide the method annotation **pure**, there had to be some alternate annotation **mutating**, as a default no annotation method could not be created. This is somewhat cumbersome, and is obviously not what would be used if not for the restrictions of Coq.

³Currently there is a single **Admitted** proof in the encoding: **CT_OK** (that a particular class table \mathbf{CT} is OK). \mathbf{CT} is the class table used in all instances where a specific class table is required, and is the one that is in the soundness proofs. Admitting this proof merely acts as a global assumption, instead of assuming it in every proof, or using a generic class table as a parameter in every function. While this is not ideal, it simplified the functions and proofs.

```

Inductive ClassDecl : Type :=
| cDecl : class -> mutability -> flds -> mths -> ClassDecl.
Notation ClassTable := (list ClassDecl).
Parameter CT : ClassTable.

```

The possible expressions are defined below, and are taken directly from the syntax shown in Figure 1. `var` is an identifier for variables. `meth` is a method name. `field` is a field name.

```

Inductive exp : Type :=
| e_null      : exp
| e_var       : var -> exp
| e_new       : class -> mutability -> list exp -> exp
| e_meth      : exp -> meth -> list exp -> exp
| e_field     : exp -> field -> exp
| e_loc       : nat -> exp
| e_assign    : exp -> field -> exp -> exp
| e_err       : exp
| e_seq       : exp -> exp -> exp.

```

Stores are represented as a list of pairs. Each pair consists of a type and a list of values corresponding to the object's fields. A location `e_loc n` points to the `n`th element of the store. Store typings are functions from the locations of a store to types. As with stores they are also represented by a list, this time of types. The `n`th element in a store maps to the `n`th element of the relevant store typing.

```

Definition store := list (ty * (list exp)).
Definition store_typing := list ty.

```

3.1.2 Subtyping

The encoded definition of the subclass relation is given below. A class `C0` is a subclass of another class `C1` in three cases, reflexivity (`S_Ref1`), transitivity (`S_Trans`) and extension (`S_Extends`).

```

Inductive subclass : class -> class -> Prop :=
| S_Ref1      : forall C, subclass C C
| S_Trans     : forall C D E, subclass C D ->
  subclass D E -> subclass C E
| S_Extends   : forall C D C0 mutC fs ms,
  C = C0 extends D ->
  In (cDecl C mutC fs ms) CT ->
  subclass C D.

```

Subtyping in the encoding is given as a predicate on types. A type `T0 = C0<<mut0>>` is considered a subtype of another type `T1 = C1<<mut1>>` if `C0` is a subclass of `C1`, and `mut0 = mut1`.

```

Definition subtype (T1 T2 : ty) : Prop :=
exists mut0, exists2 C, exists2 D,
  subclass C D & (T2 = D <<mut0>>) & (T1 = C <<mut0>>).

```

3.1.3 Substitution

When a method is called, the arguments are substituted into the body of the method. A recursive function is defined to substitute the parameters into the body of the method, and any subexpressions in the body. The function `subst` takes an expression (the body of the method) and a relation mapping variables to expressions as inputs. For all expressions except variables, `subst` simply applies itself to all subexpressions. In the case of variables, if the variable is in the

domain of the relation `E`, then it is replaced by its image, else nothing happens. `get x E` returns the mapping of `x` in `E`. Below is an abridged version of `subst`, showing only variable substitution, the full function can be found in Appendix A.

```

Fixpoint subst (E : SubstRel)
  (e : exp) : exp := match e with
| e_var x => match get x E with
| None => e_var x
| Some e0 => e0
end

```

Instances of objects with variable mutability need to have their instance mutability substituted into various parts of the class declaration. The following functions handle the substitution of mutability into mutability parameters (`subst_mut`), types (`subst_ty`), pairs (`subst_pair` : field / type and variable / type pairs) and expressions (`subst_mut_exp` : new expressions in method bodies that use the mutability of the class). All these functions take two inputs: a mutability parameter to be substituted and an object to be substituted into. These functions can be found in Appendix A.

3.1.4 Expression Typing

The `typing` predicate encodes the type rules of Section 2.2. It takes an environment (`Gamma`), a store typing (`Delta`), an expression (`e`) and a type (`T`) as inputs. `typing Gamma Delta e T` corresponds to `Gamma, Delta ⊢ e : T`. The following type rules are all part of the same predicate with the following header:

```

Inductive typing :
  env -> store_typing -> exp -> ty -> Prop :=

```

`T_Var` encodes typing for variables. The variable is represented by `e_var x`. `Gamma` is required to be valid (`env_ok`). This combined with requiring that `(x,T)` be in `Gamma` ensures that `T` is the correct type in the environment. The type `T` is also required to be valid (`ok_type`).

```

| T_Var : forall Gamma Delta x T, env_ok Gamma ->
  In (x,T) Gamma -> ok_type T CT ->
  typing Gamma Delta (e_var x) T

```

`T_Null` provides the type rule for null expressions. The rule is straight forward, and a null expression is well typed for all valid types.

```

| T_Null : forall Gamma Delta T,
  ok_type T CT ->
  typing Gamma Delta e_null T

```

`T_Loc` encodes typing for locations. The location is given by `e_loc i`. The `i`th position in the store typing is retrieved, and the returned type is the type of the location. As a requirement, `i < stLength Delta`, i.e. `i` is in the store typing. Again the type `T` must be OK.

```

| T_Loc : forall Gamma Delta i T,
  i < stLength Delta -> ok_type T CT ->
  store_typing_lookup i Delta = T ->
  typing Gamma Delta (e_loc i) T

```

`T_Field` encodes the type rule for field accesses. `validField CO fi Ti` is a function that simply requires that if `fields CO fs` (shown in Appendix B) holds for some `fs`, then `(fi, Ti)` must be in `fs`. Since `Ti` may use the mutability variable of `CO`, then we have to substitute `mutCO` into `Ti` (`T = subst_ty mutCO Ti`).

```
| T_Field : forall Gamma Delta e0 CO fi Ti mutCO T,
  typing Gamma Delta e0 CO <<mutCO>> ->
  validField CO fi Ti -> ok_type Ti CT ->
  T = subst_ty mutCO Ti ->
  typing Gamma Delta (e_field e0 fi) T
```

`T_Assign` encodes typing of field assignments. Again the field `fi` must be valid, as with `T_Field`. The receiver must be annotated as `mutable`, and the assigned expression must have a type `T` that is a subtype of `Ti` with mutable substituted into it, where `Ti` is the type of the field.

```
| T_Assign : forall Gamma Delta e0 CO fi Ti e T,
  typing Gamma Delta e0 CO <<mutable>> ->
  validField CO fi Ti ->
  subtype T (subst_ty mutable Ti) ->
  typing Gamma Delta e T ->
  typing Gamma Delta (e_assign e0 fi e) T
```

`T_Invk` encodes the type rule for method calls. To be well-typed, the method must be a valid method (`method in Appendix B`) for the class of the receiver (`CO`). If the receiver is not `mutable`, then the method must be annotated as `pure` (`mut0 <> mutable -> mutM = pure`). This restriction includes receivers with variable mutability to avoid type errors when substituting mutability parameters into method bodies. The method parameters must subtype the types of the parameters defined in the method declaration. The method call type must then have the mutability of the receiver substituted into it (`T = (subst_ty mut0 TO)`).

```
| T_Invk : forall Gamma Delta e0 CO es
  e TO T m As mut0 mutM,
  typing Gamma Delta e0 CO <<mut0>> ->
  method CO (mDecl m TO mutM As e) ->
  (mut0 <> mutable -> mutM = pure) ->
  subtypings Gamma Delta es
  (List.map (subst_ty mut0) (range As)) ->
  ok_types (range As) CT -> ok_type TO CT ->
  T = (subst_ty mut0 TO) ->
  typing Gamma Delta (e_meth e0 m es) T
```

`T_New` is the encoding of the typing rule of `new` expressions. The mutability of the initialized object (`mutC`) must not be a variable (`mutability_defined mutC`). The fields of `C` have to be fetched, and the parameters must have types that subtype their types. `C <<mutC>>` must be a valid type (`ok_type C <<mutC>> CT`).

```
| T_New : forall Gamma Delta C es fs Ts mutC,
  mutability_defined mutC ->
  fields C fs -> range fs = Ts ->
  subtypings Gamma Delta es Ts ->
  ok_type C <<mutC>> CT ->
  typing Gamma Delta
    (e_new C mutC es) C <<mutC>>
```

`T_Seq` encodes the type rule for sequences. The encoding is simple, and merely requires both expressions `e1` and `e2` to be well-typed.

```
| T_Seq : forall Gamma Delta e1 e2 T1 T2,
  typing Gamma Delta e1 T1 ->
  typing Gamma Delta e2 T2 ->
  typing Gamma Delta (e1 ;; e2) T2
```

Another two predicates used along with `typing` are `subtyping` and `subtypings`. `subtyping` is a combination of the `typing` and `subtype` predicates. The `subtypings` predicate simply maps the `subtyping` predicate to a list of expressions and a list types.

```
with subtyping : env -> store_typing ->
  exp -> ty -> Prop :=
| T_Sub : forall Gamma Delta e T T',
  typing Gamma Delta e T ->
  subtype T T' ->
  ok_type T' CT ->
  subtyping Gamma Delta e T'
```

```
with subtypings : env -> store_typing ->
  list exp -> list ty -> Prop :=
| T_Nil : forall Gamma Delta,
  subtypings Gamma Delta nil nil
| T_Subs : forall Gamma Delta e T es Ts,
  subtypings Gamma Delta es Ts ->
  subtyping Gamma Delta e T ->
  subtypings Gamma Delta (e::es) (T::Ts).
```

3.1.5 Method and Class Typing

Method typing is encoded in the definition below. Instead of splitting the method typing up, it was encoded as a single predicate. Different cases were captured using implications. The most important aspect of the method typing was the typing of the body. The body of all methods must be well-typed for a mutable receiver, and an immutable receiver if it is annotated as `pure`. (`mutC = immutable -> mutM = pure`) requires all methods for immutable types to be `pure`. Since `meth_ok` is only used during class typing in the encoding, this means all methods in a class with an mutability parameter of `immutable` must be `pure`. If the mutability parameter is defined (`mutability_defined mutC`), then the method body must be well-typed without any mutability substitution, or in other words, the body may not make use of any mutability parameters.

The second part of the method typing ensures that if the method overrides a method from the super class, then the method must conform to the typing requirements, i.e. the parameter types must be the same, and the return type must subtype the return type of the overridden method. The `pure` annotation must also be the same.

```
Definition meth_ok (decl : MethDecl) (T : ty): Prop :=
  forall C mutC TO m e0 mutM D As Cn,
  decl = mDecl m TO mutM As e0 -> T = C <<mutC>> ->
  subtyping ((this, C <<mutable>>)::
    (List.map (subst_pair mutable) As)) nil
    (subst_mut_exp mutable TO) /\
    (subst_ty mutable TO) /\
  (mutC = immutable -> mutM = pure) /\
  (mutM = pure ->
  subtyping ((this, C <<immutable>>)::
    (List.map (subst_pair immutable) As)) nil
    (subst_mut_exp immutable e0)
    (subst_ty immutable TO)) /\
  (mutability_defined mutC ->
  subtyping ((this, C <<mutC>>)::As) nil e0 TO) /\
  C = Cn extends D /\
```

```

(forall T0' mutM' Bs e0',
 method D (mDecl m T0' mutM' Bs e0') ->
  (range As = range Bs) /\
  (subtype T0 T0') /\ (mutM = mutM')).
Notation "decl 'OK_IN' C" := (meth_ok decl C) (at level 0).

```

The header for Class typing is as follows:

```

Definition class_ok (decl : ClassDecl): Prop := ...

```

and is a straightforward encoding of the T-CLASS rule from Section 2.2. A class declaration is well-formed if all the methods and all the fields are well formed. Methods are well-formed according to `meth_ok`, and fields are well-formed if the field types are well-formed, and there are no duplicate fields. The body of `class_ok` can be found in Appendix C.

Class tables must also be well-formed, and this is captured by the inductive predicate `CT_ok`, that holds for a given class table. Informally a class table is well-formed if there are no conflicts in class name, and all types are well-formed. A more formal description, along with the body of the predicate are provided in Appendix C.

```

Inductive CT_ok : ClassTable -> Prop

```

3.1.6 Reduction

The reduction predicate takes two expression / store pairs (e, H) and (e', H') as inputs. The predicate holds if (e, H) reduces to (e', H') . Reduction has the following header, and all reductions that follow are part of the same predicate.

```

Inductive reduction :
  exp * store -> exp * store -> Prop :=

```

`R_Field` is the encoding for field reductions. For a location `e_loc i`, the contents of the location are accessed with `store_lookup i H`. The fields of the class are then accessed using `fields C fs` (shown in Appendix B). In order to ensure that the correct field is retrieved, the fields must be valid (`ok_fields fs`), i.e. there must be no duplicates. The fields (`fs`) and field values `vs` are then zipped, and the value corresponding to `f` is returned (`In (f,v) fv`).

```

| R_Field : forall C i H fs vs fv f v mutC,
  store_lookup i H = (C <<mutC>>,vs) ->
  fields C fs -> ok_fields fs ->
  zipFlds fs vs fv -> In (f,v) fv ->
  (e_field (e_loc i) f) / H --> v / H

```

`R_Invk` encodes the reduction rule for method calls. As in `R_Field`, the contents of `e_loc i` are retrieved. The parameters of the method call must be values (`values vs`), and the method must be valid for the class of the receiver (`method` in Appendix B). The parameters and their corresponding types are zipped together to create a substitution relation `R`, and substituted into the body, which is then returned.

```

| R_Invk : forall H i C m xs vs e R es T0 mutC mutM,
  store_lookup i H = (C <<mutC>>,es) ->

```

```

values vs -> SubstRelZip xs vs R ->
method C (mDecl m T0 mutM xs e) ->
(e_meth (e_loc i) m vs) / H -->
(subst ((this,e_loc i)::R)
 (subst_mut_exp mutC e)) / H

```

`R_New` encodes the reduction of `new` expressions. Since the store is a list, indexing the positions of the store gives the first element at position 0 and the last at position `i - 1`, where `i` is the length of the store (`stLength H`). Thus if a new location is appended to the store, its address will be `i`. The new location is then appended to the end of the store, and `e_loc i` is returned.

```

| R_New : forall H H' i C vs mutC,
  stLength H = i -> values vs ->
  H' = stSnoc H (C <<mutC>>,vs) ->
  (e_new C mutC vs) / H --> (e_loc i) / H'

```

`R_Assign` encodes the reduction of a field assignment. As in `R_Field`, the contents of the location `e_loc i` are retrieved, along with the fields of the object, and the two are zipped together. The zipping is done in this case to ensure that the fields and the values are the same length. The index of the field `f` is identified by `lookup_index n fs = Some (f, T)`, and the `n`th position of `vs` is then replaced by the assigned variable `v` (`vs' = replace n v vs`). The new object with the new set of values then replaces the contents of the location (`H' = replace i (C <<mutC>>,vs') H`), and `v` is returned.

```

| R_Assign : forall H H' C i n fs vs vs' fv v f T mutC,
  store_lookup i H = (C <<mutC>>,vs) ->
  value v -> fields C fs ->
  ok_fields fs -> zipFlds fs vs fv ->
  lookup_index n fs = Some (f, T) ->
  vs' = replace n v vs ->
  H' = replace i (C <<mutC>>,vs') H ->
  e_assign (e_loc i) f v / H --> v / H'

```

`R_Seq` encodes the reduction for sequences. The reduction is straightforward, only requiring that the first expression in the sequence be a value (`value v`), and then returning the second expression.

```

| R_Seq : forall v e H, value v -> v ;; e / H --> e / H

```

3.2 Soundness Proofs

We state the theorems in English but refer the reader to Appendix D for the Coq translation.

3.2.1 Preservation

Proof of type preservation is standard in all cases except when dealing with method call reduction. During reduction of a method call there are two substitutions into the method body. First, parameters are substituted into the body and then the mutability of the receiver. Type preservation for substitution of parameters is proven in *Substitution Preserves Typing*[5]. In order for a method invocation to be well typed, a method annotated as `pure` cannot mutate the receiver, and all method calls to immutable objects must be pure. This must also hold for subexpressions of the method body. Since some objects may be initialized as either mutable or immutable, when the mutability is substituted into

the method body, the body must still be well-typed. This is proved by the theorem `method_implies_typing` [5]. The Coq statement for *Preservation* is split into two cases that are resolved using mutual induction; one case for reduction, and one for reduction on lists.

THEOREM 1. *If $\Gamma, \Delta, \vdash e : T, e; \mathcal{H} \longrightarrow e'; \mathcal{H}'$ where $e' \neq \text{err}$ and \mathcal{H} is well-typed with respect to Δ then $\exists \Delta', T'$ s.t. Δ' extends $\Delta, \Gamma, \Delta' \vdash e' : T'$ and $T' <: T$.*

3.2.2 Progress

In the same way that the statement for *Preservation* is split into cases for both single expressions and lists, *Progress* is solved using a mutual inductive scheme on typing for expressions, subtyping and subtyping on lists. The proof of *Progress* is straightforward.

THEOREM 2. *If $\Gamma, \Delta \vdash e : T$, then either*

- (a) *e is a value, or*
- (b) *$\forall \mathcal{H}$ s.t. \mathcal{H} is well-typed with respect to $\Delta, \exists e', \mathcal{H}'$ s.t. $e; \mathcal{H} \longrightarrow e'; \mathcal{H}'$*

3.2.3 Immutability Guarantee

The guarantee that immutable objects do not mutate after they have been constructed is given below. Informally the theorem states that the fields of immutable objects in locations in a store will not change for any reduction of any well-typed expression. Since the field values are either locations or `null` values, requiring that the fields of immutable objects do not change does not require that any possible fields of those fields will not change, i.e. transitivity is not required. The immutability guarantee is straightforward for all cases except assignment and `new` expressions, since these are the only expressions that change the store. `new` expressions do not modify any existing locations, and so is resolved easily. For assignment, the fact that the expression is well-typed requires that the receiver is mutable, resulting in a contradiction.

THEOREM 3. *If $e; \mathcal{H} \longrightarrow e'; \mathcal{H}', \Gamma, \Delta \vdash e : T, e \neq \text{err}$, and \mathcal{H} is well-typed with respect to Δ then $\forall \iota$ if $\Delta(\iota) = \mathcal{C} \langle \text{immutable} \rangle, \mathcal{H}(\iota) = (T, \bar{v})$ and $\mathcal{H}'(\iota) = (T', \bar{v}')$ then $\bar{v} = \bar{v}'$*

4. RELATED WORK

We relate our work to two different research areas - one being immutability, whereas the other is mechanisation of object-oriented type systems.

Immutability. Developers using off-the-shelf Java can annotate variables with the `final` keyword. A field declared `final` can only be assigned to once in the constructor, a variable declared `final` can also only be assigned once. Methods cannot be annotated at all. The `const` keyword in C++ can also be used to annotate method's arguments and receivers. However, neither annotation supports transitivity, only the annotated variable is protected, not the object it

refers to. Our object immutability supports transitivity for both the mutability parameter and method immutability annotations.

Different variants of immutability have been the subject of research recently [8, 9, 6, 10]. We follow mainly the *immutable object* [9] discipline, but in our formalisation the subtyping tree of mutable and immutable classes do not share a common root. Another variant are *read-only references* [8]. In this discipline each reference is either read-only or normal. A read-only reference is an immutable handle of the object, via which no modification can be done. The same object may be mutable if accessed via a normal reference, which may coexist.

Mechanisation. To our knowledge, there are no mechanized formalisations of type systems with immutability, they are proven on paper solely. The basic formalisation of Featherweight Java [2], on which we based our development, does not support assignment and immutability. Kim and Ryu [4] extended the FJ formalisation for a core Fortress type system. Their focus is multiple dispatch and multiple inheritance, they do not consider assignment. Strniška et al [7] provide a formalisation in Ott of Featherweight Java. Based on that Delaware et al [1] formalized FJ with composition features, and formalized a constraint-based typing.

5. DISCUSSION

As mentioned in Section 2.1, our type system uses a split inheritance hierarchy, separating `mutable` from `immutable` types. This is different to the subtyping rules of IGJ [9], which include the mutability parameter `readonly`. In this case `mutable` and `immutable` both extend `readonly`, and allow covariance with respect to the mutability parameter. This is done to allow more flexible generic subtyping. In the case of FJ + AI, the absence of generic types means that this hierarchy is not needed, and a reasonable alternative that excludes a `readonly` parameter may seem to be to allow `mutable` to extend `immutable`, but this would potentially violate the immutability guarantee, where an `immutable` reference points to a `mutable` object. Such a situation could not guarantee that the object does not mutate.

A central advantage to mechanized soundness proofs using tools such as Coq is a greater assurance that the proofs and the type system itself is correct. While Coq can provide a guarantee that for a given type system the soundness proofs are correct, it is always possible to encode a type system that claims to be correct, but contains inconsistencies with the intended type system.

An example of this occurred during the encoding of this type system especially when encoding the well-formedness rule for method declarations and method override (`meth_ok`). Initially the encoding, through negligence, required all method bodies to be well-typed for only a `mutable` receiver. This disallowed methods to be called on any `immutable` receiver, whether or not they were `pure`. An error like this can be hard to pick up, and can cause any soundness proofs made on such a type system invalid.

The use of Coq to prove soundness presents several similar-

	Defns	Facts	Lemmas	Properties	Total
FJ+A	575	852	306	528	2261
FJ+AI	675	990	376	759	2800

Table 1: A comparison of FJ+A and FJ+AI with respect to the number of lines of code.

	Facts	Lemmas	Properties	Total
FJ+A	51	14	6	71
FJ+AI	66	17	7	90

Table 2: A comparison of FJ+A and FJ+AI with respect to the number of theorems used.

ities and differences to a soundness proof on paper. Similarities between the two proofs are the proof techniques used (induction, contradiction, etc.), whereas the differences between the proofs are derived from the way the type system is encoded using Coq. An example of this would be the check found in R-NEW, $\iota \notin \text{dom}(\mathcal{H})$. This is not needed in the encoding since the new location is simply appended to the end of the store, and is identified by its position in the store. This difference comes from the difference in the way a store is conceptually represented, and how it is represented in Coq. A similar difference can be seen in the way different lists of values are zipped together throughout the encoding, this is usually done to match up various corresponding values, such as field names and field values, whereas on paper how values are linked to field names is not explicitly stated. These methods all attempt to emulate the different mechanisms of the type system that are not directly translatable in Coq.

An obvious, but effort consuming aspect Coq proofs require are the additional proofs related to metatheory that are generally taken implicitly when performing paper proofs. Much of the proofs done in the formalism are proofs regarding seemingly obvious conclusions, such as

THEOREM 4. $\text{Object}\langle I \rangle <: C\langle I \rangle \Rightarrow C = \text{Object}$

This also accounts for much of the increase in complexity when adding a new feature such as immutability to an encoding.

Table 1 and Table 2 give a comparison of the complexity of the two encodings; Featherweight Java with Assignment (FJ + A) and Featherweight Java with Assignment and Immutability (FJ + AI). Table 1 compares the two encodings by the number of lines of code, and Table 2 compares them by the number of theorems used. As can be seen there is a 24% increase in the total number of lines used in FJ + AI over that of FJ + I, while the total number of theorems used increased by 27%. This gives an idea of the increase in complexity the addition of immutability to the type system creates.

6. CONCLUSION AND FUTURE WORK

We have presented a mechanized formalisation of transitive object immutability for Featherweight Java with assignment. The Coq development consists of roughly 3000 lines

of proof script; a moderate size. The trusted code base of the proof is Coq itself, which is a widely used proof assistant based on the Calculus of Inductive Construction (CiC).

In the future we plan to modularly extend our formalisation with other immutability variants and incorporate an ownership discipline. We chose object immutability as opposed to class immutability or readonly references since it is closer to our next encoding target of ownership, due to the parameterisation of class declarations. Our formalisation has presented some interesting results, and is a good stepping stone to a formalisation combining both immutability and ownership.

7. REFERENCES

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APPENDIX

A. SUBSTITUTION

```

Fixpoint subst (E : SubstRel)
  (e : exp) : exp :=
  match e with
  | e_var x => match get x E with
    | None => e_var x
    | Some e0 => e0
  end
  | e_new C mut es => e_new C mut
    (List.map (subst E) es)
  | e_meth e0 m es => e_meth
    (subst E e0) m
    (List.map (subst E) es)
  | e_field e1 f => e_field
    (subst E e1) f
  | e_loc n => e
  | e_assign i f e0 => e_assign
    (subst E i) f (subst E e0)
  | e_null => e_null
  | e_err => e_err
  | e_seq e1 e2 => e_seq
    (subst E e1) (subst E e2)
end.

Definition subst_mut (mut0 : mutability)
  (M : mutability)
  : mutability :=
  match M with
  | mutable => M
  | immutable => M
  | variable => mut0
end.

Definition subst_ty (mut0 : mutability)
  (T : ty) : ty :=
  match T with
  | C <<mutC>> => C <<subst_mut mut0 mutC>>
end.

Definition subst_pair {A : Type}
  (mut0 : mutability)
  (X : A * ty) : A * ty :=
  match X with
  | (a, T) => (a, (subst_ty mut0 T))
end.

Fixpoint subst_mut_exp (mut0 : mutability)
  (e : exp) : exp :=
  match e with
  | e_new C variable es => e_new C mut0
    (List.map (subst_mut_exp mut0) es)
  | e_new C mutable es => e_new C mutable
    (List.map (subst_mut_exp mut0) es)
  | e_new C immutable es => e_new C immutable
    (List.map (subst_mut_exp mut0) es)
  | e_meth e0 m es => e_meth
    (subst_mut_exp mut0 e0) m
    (List.map (subst_mut_exp mut0) es)
  | e_field e0 f => e_field
    (subst_mut_exp mut0 e0) f
  | e_assign e0 f e1 => e_assign
    (subst_mut_exp mut0 e0) f
    (subst_mut_exp mut0 e1)
  | e_seq e1 e2 => e_seq
    (subst_mut_exp mut0 e1)
    (subst_mut_exp mut0 e2)
  | e_loc n => e
  | e_var n => e
  | e_null => e
  | e_err => e
end.

```

B. METHOD AND FIELD LOOKUP

Predicate `method C decl` is used to determine whether a method call with method declaration `decl` is a valid method call on an expression of class `C`. A method call on an expression of class `C` is valid in one of two cases. The first (`m_this`) is when the method declaration `decl` is defined in the list of methods (`ms`) for class `C` in the class table `CT`, and the second is when a method `m` is inherited from the superclass `D`. A method inherited from a class' super class requires that there be no method of the same name in the list of declared methods for that class.

```

Inductive method : class ->
  MethDecl -> Prop :=
  | m_this : forall decl T0 m As e0 C fs ms mutX mutM,
    decl = mDecl m T0 mutM As e0 ->
    In (cDecl C mutX fs ms) CT ->
    In decl ms ->
    method C decl
  | m_inherit : forall C D mutX fs ms Cn
    decl m T0 mutM As e0,
    decl = mDecl m T0 mutM As e0 ->
    In (cDecl C mutX fs ms) CT ->
    (forall T0' mutM' As' e0',
     ~ In (mDecl m T0' mutM' As' e0') ms) ->
    C = Cn extends D ->
    method D decl ->
    method C decl.

```

The `fields` predicate corresponds to the function of the same name in the FJ type system [3]. `fields C fs` holds for a class `C` and a list of fields `fs` if `fs` are the available fields for class `C`. This would hold in one of two cases, firstly if `C = Object`, and `fs = nil` (the empty list), or if `C ≠ Object`. In the second case, the fields `fs` are the fields defined in the class declaration of `C` in the class table `CT`, appended with the fields of `D` (where `C` extends `D`).

```

Inductive fields : class -> flds -> Prop :=
  | fields_obj : fields Object nil
  | fields_extends : forall C C0 Cf D Df mutX ms,
    C = C0 extends D ->
    fields D Df ->
    In (cDecl C mutX Cf ms) CT ->
    fields C (concat Cf Df).

```

C. CLASS TYPING

```

Definition class_ok
  (decl : ClassDecl) : Prop :=
  forall C ms fs mutC,
    decl = cDecl C mutC fs ms ->
    (ok_meths ms /\
     (forall fC, fields C fC -> ok_fields fC) /\
     (forall Ci muti fi, (In (fi, Ci <<muti>>) fs ->
      ok_type Ci <<muti>> CT) /\
      (muti = mutC \/ mutability_defined muti)) /\
     (forall m T0 As e0 mutM,
      (In (mDecl m T0 mutM As e0) ms ->
       (mDecl m T0 mutM As e0) OK_IN (C <<mutC>>)) /\
       forall C0 mut0, T0 = C0 <<mut0>> ->
       mut0 = mutC \/ mutability_defined mut0) /\
       (ok_type T0 CT) /\
       (forall xi Ci muti, In (xi, Ci <<muti>>) As ->
        (muti = mutC \/ mutability_defined muti) /\
        ok_type Ci <<muti>> CT)))

```

```

Notation "'CLASS' decl 'OK'" :=
  (class_ok decl) (at level 0).

```

For a class table to be well formed, one of two cases must hold. Firstly, all empty class tables are well formed (`nil`). Secondly, for a non-empty class table, each class in the class table must extend some other class (`C = CO extends D`), or in other words a well-formed class table may not contain a declaration for `Object`. The class must be unique in the class table, or there may not be any duplicates in the class table. Finally, the mutability parameter must conform to the mutability parameter of the super class, i.e. the type `D <<mutx>>` must be a valid type (`ok_type D <<mutx>> CTbl`).

```

Inductive CT_ok : ClassTable -> Prop :=
| ok_nil : CT_ok nil
| ok_head : forall C CO D fs ms CTbl mutx,
  CLASS (cDecl C mutx fs ms) OK ->
  C = CO extends D ->
  (forall mut0 mut1,
    ~subtype D <<mut0>> C <<mut1>>) ->
  (forall mutx' fs' ms',
    ~In (cDecl C mutx' fs' ms') CTbl) ->
  ok_type (D <<mutx>>) CTbl ->
  CT_ok CTbl ->
  CT_ok ((cDecl C mutx fs ms)::CTbl).

```

D. COQ THEOREM STATEMENTS

Theorem Preservation :

```

(forall p p', reduction p p' ->
  (forall Gamma Delta T e e' H H',
    (e,H) = p -> (e',H') = p' ->
    e' <> e_err ->
    store_well_typed Delta H ->
    env_ok Gamma ->
    typing Gamma Delta e T ->
    (exists Delta',
      ST_Extends Delta' Delta ->
      store_well_typed Delta' H' ->
      subtyping Gamma Delta' e' T))) /\
(forall p p', ListReduction p p' ->
  (forall Gamma Delta Ts es es' H H',
    (es,H) = p -> (es',H') = p' ->
    ~ In e_err es' ->
    store_well_typed Delta H ->
    env_ok Gamma ->
    subtypings Gamma Delta es Ts ->
    (exists Delta', ST_Extends Delta' Delta ->
      store_well_typed Delta' H' ->
      subtypings Gamma Delta' es' Ts))).

```

Theorem Progress :

```

(forall Gamma Delta e T,
  typing Gamma Delta e T ->
  Gamma = nil ->
  (value e \
    (forall H, store_well_typed Delta H ->
      exists e',
        exists H', e / H --> e' / H')))) /\
(forall Gamma Delta e T,
  subtyping Gamma Delta e T ->
  Gamma = nil ->
  (value e \
    (forall H, store_well_typed Delta H ->
      exists e',
        exists H', e / H --> e' / H')))) /\
(forall Gamma Delta es Ts,
  subtypings Gamma Delta es Ts ->
  Gamma = nil ->
  (values es \
    (forall H, store_well_typed Delta H ->
      exists es',
        exists H', ListReduction (es, H) (es', H')))).

```

Theorem Immutability_Guarantee :

```

(forall p p', reduction p p' ->
  (forall e H e' H' Delta Gamma T,
    (e, H) = p -> (e',H') = p' ->
    subtyping Gamma Delta e T ->
    e' <> e_err ->
    store_well_typed Delta H ->
    (forall i C T T' vs vs', i < stLength H ->
      store_typing_lookup i Delta = C <<immutable>> ->
      store_lookup i H = (T, vs) ->
      store_lookup i H' = (T', vs') ->
      vs = vs')))) /\
(forall p p', ListReduction p p' ->
  (forall es H es' H' Delta Gamma Ts,
    (es, H) = p -> (es', H') = p' ->
    subtypings Gamma Delta es Ts ->
    ~ In e_err es' ->
    store_well_typed Delta H ->
    (forall i C T T' vs vs', i < stLength H ->
      store_typing_lookup i Delta = C <<immutable>> ->
      store_lookup i H = (T, vs) ->
      store_lookup i H' = (T', vs') ->
      vs = vs')))).

```