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# Impredicativity, Cumulativity and Product **Covariance in the Logical Framework Dedukti**

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#### – Abstract -9

Proof assistants such as Coq implement a type theory featuring three important features: impredic-10 ativity, cumulativity and product covariance. This combination has proven difficult to be expressed 11 in the logical framework Dedukti, and previous attempts have failed in providing an encoding that 12 is proven confluent, sound and conservative. In this work we solve this longstanding open problem 13 by providing an encoding of these three features that we prove to be confluent, sound and to satisfy 14 a restricted (but, we argue, strong enough) form of conservativity. Our proof of confluence is a 15 contribution by itself, and combines classic and modern criteria from higher-order rewriting theory. 16 17 Our proof of soundness also contributes a new strategy in which the result is shown in terms of an inverse translation function, fixing a common flaw made in some previous encoding attempts. 18

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#### 1 Introduction 23

As the number of proof systems grow, it becomes increasingly important to understand the 24 relationship between their logics and to which extent they can be expressed in a unified 25 setting. The research project centered around the logical framework DEDUKTI [7, 17] has 26 precisely the intent of providing such a setting. By allowing for the encoding of popular 27 logics such as predicate logic [17], higher-order logic [32, 17], set theory [18] and pure type 28 systems [19, 23], it provides a common framework in which proofs coming from different 29 proof systems can rechecked, increasing the trust in their correctness. Moreover, DEDUKTI 30 can then also be used for sharing these proofs with other systems, which has already allowed 31 for exporting results to tools like Coq [16, 44], Agda [25] and HOL [44, 29]. 32

The correctness of the verification provided by DEDUKTI relies however on methatheoretic 33 results stating that the theorems that can be proven by a DEDUKTI encoding are exactly 34 the same ones of the encoded logic. In the particular case of the cumulative calculus 35 of constructions, a type theory combining impredicativity and cumulativity with product 36 covariance, giving an encoding satisfying these properties has remained to this day a challenge. 37 This issue is made especially relevant by the fact that this theory is quite popular, and is 38 most notably implemented by the proof assistant Coq. 39

The current situation regarding encodings of this theory is summarised in Table 1. All 40 encodings presented until now came with a proof of soundness, meaning that all facts that 41 can be proven by the encoded logic can also be proven in the encoding. However, the proofs 42 provided by Assaf, Assaf et al and Thiré have turned out to be incorrect, as they rely on 43 ill-defined translation functions—see Section 9 for a detailed explanation. The situation is 44



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# 23:2 Impredicativity, Cumulativity and Product Covariance in Dedukti

	Assaf $*$ [5]	Assaf et al $[8]$	Thiré $*$ [45]	$F\acute{e}rey^+$ [27]	This work
Confluence	×	✓‡	×	×	1
Soundness	<b>×</b> †	׆	׆	$\checkmark$	1
Conservativity	×	×	×	×	✓*

 $\dagger:$  The translation function is ill-defined (see the discussion in Section 9).

‡: Requires matching modulo ACU. \*: Only in a restricted form.
\*: Also handles other cumulative type systems. +: Also supports universe polymorphism.

**Table 1** Comparison with previous encodings

even more serious regarding *conservativity*, the property dual to soundness and which ensures
that the encoding cannot prove more theorems than the encoded system. Indeed, none of
the previous proposals have provided a proof of this fact, which is nevertheless essential to
ensure that a proof checked by DEDUKTI is indeed correct in the original system.

One of the challenges in proving conservativity is that all known proof methods rely on 49 confluence—which is moreover also essential to establish subject reduction. However, the 50 combination of impredicativity, cumulativity and product covariance has proven difficult to 51 be expressed in a confluent way in DEDUKTI. Indeed, almost all previous encodings have not 52 succeeded in proving this property. A notable exception is the impressive work of Assaf et 53 al [8], which however relies on matching modulo ACU (assocativity-cumutativity with unit) 54 a form of matching that is much less efficient and harder to implement than pure syntactical 55 matching. For instance, the addition of ACU matching to the DKCHECK implementation 56 doubled the size of the kernel [21] (see also the discussion by Blanqui [15]). 57

In this work we address this unsatisfying state of affairs by giving an encoding of the cumulative calculus of constructions, featuring cumulativity with product covariance, that we show to satisfy the necessary metaproperties to be used in practice.

Contrary to the previous proposals, our encoding does not require non-left-linear rewrite
rules, which not only are less efficient but also make confluence proofs much harder [33].
Our proof of confluence then relies on a sophisticated combination of classical results and
techniques [36, 39], and automated checkers developed by the rewriting community [30, 28, 38].

With the confluence of our encoding in hand, we proceed to show soundness. In order to fix the problem with the translation function made in previous attempts, we contribute an adaptation of the technique of Winterhalter et al [47] and Oury [40] in which the welltypedness of the translation is stated and proved in terms of an inverse translation function. The direct translation function can then be extracted from our constructive proof of soundness. We finish by showing that our encoding satisfies a restricted form of conservativity, namely only for so-called *object terms*. We argue that, in the encoding, these are the only terms that

<sup>72</sup> one writes in practice, and therefore that this restricted result is sufficient.

### 73 Outline of the paper

We start in Sections 2 and 3 by recalling the definitions of DEDUKTI and of the variant of the calculus of constructions we consider. We then proceed in Section 4 to present the theory used in our encoding, and in Section 5 by proving its desirable properties—in particular its confluence. We define the translation function we use in Section 6, and in Sections 7 and 8 we establish the soundness and conservativity of our encoding respectively. We finish by discussing related work in Section 9, before concluding in Section 10. The proofs not given in the main body of the text can be found in the technical appendix at the end of the paper.

## 81 Supplementary material

<sup>82</sup> We provide an artifact containing supplementary data used in some of our proofs [20].

$$\begin{array}{ccc} \underbrace{\mathrm{EMPTYCTx}}_{\overline{i} \vdash \overline{i}} & \underbrace{\frac{\mathrm{ExtCTx}}{\Gamma \vdash A: \mathbf{Type}}}_{\Gamma, x: A \vdash} & \operatorname{Var} & \underbrace{\Gamma \vdash}_{\overline{i} \vdash x: A} & c: A \in \Sigma \frac{\Gamma \vdash}{\Gamma \vdash c: A} \\ \end{array} \\ \begin{array}{c} \underbrace{\mathrm{Sorr}}_{\overline{i} \vdash \overline{i}} & \\ \frac{\Gamma \vdash}{\Gamma \vdash \mathbf{Type}: \mathbf{Kind}} & A \equiv B \frac{\operatorname{Conv}}{\Gamma \vdash t: A} & \Gamma \vdash B: s \\ \end{array} & \begin{array}{c} \underbrace{\mathrm{Pi}}_{\overline{i} \vdash A: \mathbf{Type}} & \Gamma, x: A \vdash B: s \\ \overline{\Gamma \vdash A: \mathbf{Type}} & \Gamma, x: A \vdash B: s \\ \end{array} & \begin{array}{c} \underbrace{\mathrm{Pi}}_{\overline{i} \vdash x: A} & \Gamma \vdash B: s \\ \overline{\Gamma \vdash i: B} & \end{array} & \begin{array}{c} \underbrace{\mathrm{Pi}}_{\overline{i} \vdash A: \mathbf{Type}} & \Gamma, x: A \vdash B: s \\ \overline{\Gamma \vdash i: A: A: i: (x: A) \to B} & \begin{array}{c} \underbrace{\mathrm{Pi}}_{\overline{i} \vdash i: A: \mathbf{Type}} & \Gamma, u: A \vdash B: s \\ \overline{\Gamma \vdash i: (x: A) \to B: s} \end{array} \\ \end{array} \end{array}$$

**Figure 1** Typing rules of DEDUKTI

# 33 2 Dedukti

We assume an underlying set  $c, d, ... \in C$  of constants,  $x, y, z... \in V$  of variables and A, B, t, u, ...  $\in \mathcal{M}$  of metavariables equipped with an arity (a natural number). The metaterms of DEDUKTI [27] are defined by the following grammar.

$$\hat{\Lambda}_{\mathsf{dk}} \ni t, u, A, B, \dots ::= x \mid c \mid \mathbf{Type} \mid \mathbf{Kind} \mid (x : A) \to B \mid \lambda x : A \cdot t \mid t \mid u \mid \mathsf{t}\{t_1, \dots, t_{\mathsf{arity}(\mathsf{t})}\}$$

A metavariable application is written  $t\{t_1, ..., t_k\}$  when  $\operatorname{arity}(t) = k$ , or just t when arity(t) = 0. The metaterms **Type** and **Kind** are called *sorts* and referred to by the letter s. We write  $(x : A) \to B$  for the dependent function type, and whenever x does not appear free in B we write  $A \to B$  instead. We define fv(t) as the set of free variables of t and mv(t) as the set of metavariables of t. When no ambiguity can arise, we allow ourselves to also write t, u, A, B for variables. We adopt the convention of writing constants names in blue font.

A substitution  $\theta$  is a finite set of pairs t/x or  $(x_1..x_k.t)/t$ , where  $k = \operatorname{arity}(t)$ . We 95 write  $t[\theta]$  for the application of a substitution  $\theta$  to a metaterm t. The main cases of its 96 definition are  $x[\theta] = t$  when  $t/x \in \theta$ , and  $t\{u_1, ..., u_k\}[\theta] = t[u_1[\theta]/x_1, ..., u_k[\theta]/x_k]$  when 97  $(x_1..x_k.t)/t \in \theta$ —see for instance Férey [27] for the complete definition. A rewrite system  $\mathcal{R}$ 98 is a set of *rewrite rules*, which are pairs of the form  $t \mapsto u$  where t is of the form  $c t_1 \dots t_k$ 99 and  $fv(t) = fv(u) = \emptyset$  and  $mv(u) \subseteq mv(t)$  and all occurrences of metavariables in t are of 100 the form  $t\{x_1, ..., x_k\}$  with  $x_1...x_k$  pairwise disjoint (known as the pattern condition [37]). 101 When convenient, a rule can be given a name  $\alpha$ , in which case we write  $t \stackrel{\alpha}{\longmapsto} u$ . 102

Metavariables are useful in order to define the notion of rewrite rules. However, apart from this they will have no use for us, and in particular typing will only be defined for metaterms without metavariables. Because of this, we define the set of DEDUKTI terms  $\Lambda_{dk}$ as the metaterms t satisfying  $mv(t) = \emptyset$ . Given that terms will be the main object of study, from now on we adopt the convention that the letters t, u, A, B, ... refer to terms, unless they explicitly appear inside of a rewrite rule—for instance, as in  $c t_1..t_k \rightarrow u$ .

We write  $\longrightarrow_{\mathcal{R}}$  for the closure under context and substitution of  $\mathcal{R}$ , and  $\longrightarrow_{\beta\mathcal{R}}$  for  $\longrightarrow_{\beta} \cup \longrightarrow_{\mathcal{R}}$  where  $\longrightarrow_{\beta}$  is the usual  $\beta$ -reduction. We then write  $\longrightarrow_{\beta\mathcal{R}}^{*}$  for its transitive closure, and  $\equiv_{\beta\mathcal{R}}$  for its reflexive-symmetric-transitive closure, usually called *conversion* or *definitional equality*. Most of the time  $\mathcal{R}$  is clear from the context, allowing us to write just  $\longrightarrow_{\beta\mathcal{R}}$  for  $\longrightarrow_{\beta\mathcal{R}}$  and  $\equiv$  for  $\equiv_{\beta\mathcal{R}}$ . We then say that the underlying rewrite system is confluent when, for all terms t, u, v, if  $u^* \longleftarrow t \longrightarrow^* v$  then  $u \longrightarrow^* w^* \longleftarrow v$  for some term w.

$$\begin{array}{cccc} & \underset{n \leq m}{S \cup B} & \underset{n \leq m}{E Q} & \underset{A \equiv B}{T \text{RANS}} & \underset{B \subseteq C}{P \text{RODCOV}} \\ & \underset{n \leq m}{A \subseteq B} & \underset{A \subseteq B}{A \subseteq B} & \underset{B \subseteq C}{A \subseteq C} & \underset{n \times : C.A \subseteq \Pi x : C.B}{A \subseteq B} \\ \hline \\ & \underset{r \leftarrow cc}{E \text{MPTYCTx}} & \underset{r \leftarrow cc}{E \text{XTCTx}} & \underset{r \leftarrow cc}{\Gamma \leftarrow cc} A : n \\ & \underset{r \leftarrow cc}{\Gamma \leftarrow cc} & \underset{r \times : A \leftarrow cc}{\Gamma \leftarrow cc} A : n \\ \hline \\ & \underset{r \leftarrow cc}{P \text{I}} & \underset{r \leftarrow cc}{\Gamma \leftarrow cc} A : n & \underset{r \times : A \leftarrow cc}{\Gamma \leftarrow cc} B : m \\ \hline \\ & \underset{r \leftarrow cc}{P \text{I}} & \underset{r \leftarrow cc}{\Gamma \leftarrow cc} H : A : B : \Re(n, m) \\ \hline \\ & \underset{r \leftarrow cc}{A : n & \Gamma, x : A \leftarrow cc} B : m \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : \Pi x : A.B & \underset{r \leftarrow cc}{\Gamma \leftarrow cc} u : A \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} t : B \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} \\ \hline \\ & \underset{r \leftarrow cc}{P \leftarrow cc} \\ \hline \\ &$$

**Figure 2** Typing rules for CC

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A context  $\Gamma$  is a finite sequence of entries of the form x : A. A signature  $\Sigma$  is a (possibly infinite) sequence of entries of the form c : A. One central notion in DEDUKTI is that of theory, which is a pair  $\mathbb{T} = (\Sigma_{\mathbb{T}}, \mathcal{R}_{\mathbb{T}})$  where  $\Sigma_{\mathbb{T}}$  is a signature and all constants appearing in  $\mathcal{R}_{\mathbb{T}}$  are declared in  $\Sigma_{\mathbb{T}}$ . Theories are used in DEDUKTI to define the object logics in which we work (for instance, predicate logic). Given a theory  $\mathbb{T}$ , the typing rules of DEDUKTI are given in Figure 1, where the signature  $\Sigma$  and the conversion relation  $\equiv$  are the ones defined by the theory  $\mathbb{T}$ . Whenever  $\mathbb{T}$  is not clear from the context, we write  $\mathbb{T} \triangleright \Gamma \vdash t : A$ .

A signature entry c: A is valid in  $\mathbb{T}$  when  $\mathbb{T} \triangleright \cdot \vdash A : s$  for some sort s. A theory  $\mathbb{T}$  is said to be *well typed* when each entry  $c: A \in \Sigma_{\mathbb{T}}$  is valid in  $(\Sigma', \mathcal{R}')$ , where  $\Sigma'$  is the prefix of  $\Sigma_{\mathbb{T}}$  preceding c: A, and  $\mathcal{R}'$  is the restriction of  $\mathcal{R}_{\mathbb{T}}$  to rules only containing constants in  $\Sigma'$ .

# <sup>125</sup> **3** The Cumulative Calculus of Constructions with Product Covariance

We recall the definition of the cumulative calculus of constructions with product covariance [35, 31]. It can be seen as the underlying *cumulative type system* [34, 10] of the Coq proof assistant [42], omitting the sorts Set and SProp. Its syntax is given by the following grammar.

$$\Lambda_{\mathsf{CC}} \ni \qquad t, u, A, B ::= x \mid n \mid \Pi x : A.B \mid \lambda x : A.t \mid t u$$

Here we have made the choice of representing universes directly by a natural number n. The universe that is commonly referred to as **Prop** then corresponds to 0, whereas  $\mathsf{Type}_n$ corresponds to n + 1, allowing us to manipulate them in a more uniform way. The typing rules are then given in Figure 2, and are parametrized by the following *axiom* and *rule* functions, as they are known in the *pure type system* literature [9].

137  $\mathfrak{A}(0) := 2$   $\mathfrak{R}(n,0) := 0$ 

$$\mathfrak{A}(1+n) := 2+n \qquad \qquad \mathfrak{R}(n,1+m) := \max\{n,1+m\}$$

Remark 1. We choose to follow the implementation of CoQ in placing 0 (Prop) in the universe 2 (Type<sub>1</sub>). Some presentations choose instead to place it in 1 (Type<sub>0</sub>) [35], a technical change that would have no impact in the strategy developed in this paper.

Compared with type systems that do not feature cumulativity, the conversion rule for CC does not only allow to exchange two types A and B when they are convertible, but also to coerce a term from type A to B when the latter is a subtype of the former. This subtyping relation, written  $A \subseteq B$ , is defined in the base case as  $A \subseteq B$  when  $A \equiv B$ , or  $n \subseteq m$  when  $n \leq m$ . The second rule allows us for instance to coerce a type  $\Gamma \vdash A : 0$  to  $\Gamma \vdash A : 1$ . Then, what one calls *product covariance* is the rule allowing to deduce  $\Pi x : C.A \subseteq \Pi x : C.B$  from  $A \subseteq B$ , which lets us for instance to coerce a function  $\Gamma \vdash_{cc} f : Nat \to 0$  to  $\Gamma \vdash_{cc} f : Nat \to 1$ .

# <sup>150</sup> **4** Introducing the theory $\mathbb{T}_{cc}$

<sup>151</sup> We now introduce the DEDUKTI theory  $\mathbb{T}_{cc}$  we will use in our encoding. We build it <sup>152</sup> incrementally in order to motivate as best as possible the choices we have made.

Our first step is declaring a type  $\mathfrak{S}$  along with constants 0 and S for zero and successor, allowing us to represent the CC sort n by the DEDUKTI term  $S^n$  0—which from now on we write  $\underline{n}$ . We then define many auxiliary constants that will be useful later, such as addition +, truncated predecessor P, and also constants  $\mathfrak{A}$  and  $\mathfrak{R}$  to represent the functions  $\mathfrak{A}$  and  $\mathfrak{R}$  from the definition of CC. We declare the associated rewrite rules so that they have the expected computational behavior, such as  $\underline{n} + \underline{m} \longrightarrow^* \underline{n + m}, \underline{n} \lor \underline{m} \longrightarrow^* \max\{n, m\}$ , etc.

Using  $\mathfrak{S}$  we can then encode the universes of CC. This is done by declaring a constant U, such that the inhabitants of U<sub>n</sub> can then be thought of as codes for the types of CC in n. The decoding function El then maps each such code to the DEDUKTI type of its elements.

 $U: (l:\mathfrak{S}) \to \mathbf{Type}$  (written  $U_l$ )  $El: (l:\mathfrak{S}) \to U_l \to \mathbf{Type}$  (written  $El_l$ )

<sup>162</sup> Next we add constants to represent the codes inhabiting such universes. Because in CC <sup>163</sup> each universe *n* inhabits  $\mathfrak{A}(n)$ , we add a constant **u** mapping each  $l : \mathfrak{S}$  to its code in  $U_{(\mathfrak{A} l)}$ . <sup>164</sup> An associated rewrite rule then ensures that  $\mathbf{u}_l$  decodes to the type  $\mathbf{U}_l$  as expected.

$$\mathbf{u}: (l:\mathfrak{S}) \to \mathbf{U}_{(\mathfrak{A}\ l)} \quad (\text{written } \mathbf{u}_l) \qquad \qquad \mathbf{El}_{(\_)}\ \mathbf{u}_1 \longmapsto \mathbf{U}_1$$

A similar story happens for the function type: we add a constant  $\pi$  mapping a code 165  $a: U_{l_a}$  and a family of codes  $b: El_{l_a} a \to U_{l_b}$  to a code in  $U_{(\mathfrak{R} l_a l_b)}$ , so that if a represents 166 A and b represents B, then the result represents the CC type  $\Pi x : A.B.$  However, for reasons 167 that will become clear later, our constant also allows us to decompose the sorts  $l_a$  and  $l_b$ 168 into a common factor  $l_0$  to which we apply offsets  $l_1$  and  $l_2$ . In order to equate different 169 decompositions of  $l_a$  and  $l_b$ , we also add a rewrite rule which removes two successors of  $l_1$ 170 and  $l_2$  and compensates it by adding one in  $l_0$ . Finally, we add a rewrite rule defining the 171 elements of  $\pi_{l_1,l_2}^{l_0} a \lambda x.b$  as the DEDUKTI functions from the elements of a to the ones of b. 172

#### 23:6 Impredicativity, Cumulativity and Product Covariance in Dedukti

$$\pi : (l_0 \ l_1 \ l_2 : \mathfrak{S}) \to (A : U_{(l_0 + l_1)}) \to (B : \operatorname{El}_{(l_0 + l_1)} A \to U_{(l_0 + l_2)}) \to U_{(\mathfrak{R} \ (l_0 + l_1)} \ (l_0 + l_2)) \qquad (\text{written } \pi_{l_1, l_2}^{l_0}) \pi_{(\mathfrak{S} \ l_1), (\mathfrak{S} \ l_2)}^{l_0} A B \xrightarrow{\pi_{\mathfrak{S}}} \pi_{l_1, l_2}^{(\mathfrak{S} \ l_0)} A B \operatorname{El}_{(-)} (\pi_{l_1, l_2}^{l_0} A \lambda x : \operatorname{CB}\{x\}) \longmapsto (x : \operatorname{El}_{(l_0 + l_1)} A) \to \operatorname{El}_{(l_0 + l_2)} B\{x\}$$

The theory given until this point is a representation of CC without cumulativity, and 173 straightforwardly applies well-known techniques from previous DEDUKTI encodings [19, 17]. 174 The interesting part is for the encoding of cumulativity. The main insight of our proposal 175 comes from the following simple result regarding the relation  $\subseteq$ . In the following, given a 176 context  $\Delta = x_1 : B_1 ... x_k : B_k$ , let us write  $\Delta \Rightarrow A$  for the CC term  $\Pi x_1 : B_1 ... x_k : B_k .A$ . 177

▶ Lemma 2 (Case analysis of ⊆). If  $A \subseteq B$  then either  $A \equiv B$  or  $A \longrightarrow^* \Delta \Rightarrow n$  and 178  $B \longrightarrow^* \Delta \Rightarrow m$  for some context  $\Delta$  and natural numbers n, m with  $n \leq m$ . 179

Therefore, in order to simulate CC's cumulativity it suffices to add a *lift*  $\uparrow$  allowing the 180 coercion of terms from a type  $\Delta \Rightarrow n$  to  $\Delta \Rightarrow n+1$ . However, to be able to state the type of 181  $\uparrow$  we first need to have an internal representation for types of the form  $\Delta \Rightarrow n$  in DEDUKTI. 182 We do this by first defining a type for *telescopes* whose canonical elements are either the 183 empty telescope  $\bullet$ , or the extension  $A_{l} \bullet \lambda x.D$  of a telescope D with a code A in universe  $U_{l}$ . 184 We can then define a function  $\Rightarrow$  that computes a DEDUKTI type corresponding to  $\Delta \Rightarrow n$ . 185

Tele : Type
$$\Rightarrow$$
 : Tele  $\rightarrow$   $\mathfrak{S} \rightarrow$  Type (infix)• : Tele $\bullet \Rightarrow 1_1 \stackrel{\Rightarrow}{\longmapsto} U_{1_1}$ • : (l : \mathfrak{S})  $\rightarrow$  (A : U<sub>l</sub>)  $\rightarrow$  (El<sub>l</sub> A  $\rightarrow$  Tele)(A  $_{1_2} \bullet \lambda x : \_.D\{x\}) \Rightarrow 1_1 \stackrel{\Rightarrow}{\longmapsto} (x : El_{1_2} A) \rightarrow D\{x\} \Rightarrow 1_1$  $\rightarrow$  Tele (infix, written  $_l \bullet$ )

With these definitions in place we can finally give the definition of  $\uparrow$ .<sup>1</sup> 186

$$\uparrow: (l:\mathfrak{S}) \to (D:\text{Tele}) \to (D \Rightarrow l) \to (D \Rightarrow (S \ l)) \quad (\text{written } \uparrow_l)$$

Because in CC the applications of cumulativity are silent, the main challenge in the 187 encoding is to ensure that different DEDUKTI representations of the same CC term are 188 convertible. The pioneering work of Assaf [4] first identified that, in a setting without 189 product covariance, it suffices to add the following full reflection equations—here and in the 190 rest of the article we write  $\uparrow_{\underline{n}}^{\underline{m}} D t$  as a notation for  $\uparrow_{m-1} D (...(\uparrow_{\underline{n}} D t)...)$  when  $n \leq m$ . 191

$$\pi^{\underline{0}}_{\underline{1+n},\underline{m}} (\uparrow_{\underline{n}} \bullet a) (\lambda x.b) \equiv \uparrow_{\underline{\mathfrak{R}}(n,\underline{m})}^{\underline{\mathfrak{R}}(1+n,\underline{m})} \bullet (\pi^{\underline{0}}_{\underline{n},\underline{m}} a (\lambda x.b))$$

$$\pi_{\underline{n},\underline{1+m}}^{0} = (\lambda x.\uparrow_{\underline{m}} \bullet b) \equiv \uparrow_{\underline{\mathfrak{R}}(n,\underline{m})}^{\underline{\mathfrak{R}}(n,1+m)} \bullet (\pi_{\underline{n},\underline{m}}^{0} a \ (\lambda x.b))$$

The main difficulty in implementing these as rewrite rules is that the multistep lift  $\uparrow_{\underline{n}}^{\underline{m}}$  is 195 just a notation which computes the correct number of lifts  $\uparrow$  to be inserted only for a given 196 concrete choice of n and m. For instance, if n > m > 0 in the second equation then no lifts 197 should be inserted in the right hand side, whereas if n > m = 0 then we must insert n-1 lifts. 198

Note that our lift is *single-step*, in contrast with some previous encodings [5, 45, 27] which employed a *multi-step* lift, taking a type  $A: U_{l_1}$  to  $\uparrow_{l_1}^{l_2} \bullet t: U_{l_2}$ . The avoidance of the multi-step lift is essential in order to prevent its associated non-left-linear rules, such as  $\uparrow_1^1 D t \longmapsto t$ .

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If only we could have more information about n and m when applying the rule, we would be able to calculate the correct amount of lifts. Thankfully, because the sorts of a and b can be decomposed with the rule  $\pi_{\rm S}$ , we know that for any  $\pi_{\underline{n_1},\underline{n_2}}^{n_0} a \lambda x.b$  in normal form we must have either  $n_1 = 0$  or  $n_2 = 0$ . We can then proceed with a disjunction of cases, where in each situation we have enough information to apply the right number of lifts.

$$\begin{aligned} \pi_{(S\ 1),0}^{0}\left(\uparrow\_ \bullet A\right) & \mathsf{B} \stackrel{\uparrow^{\pm}_{\pi}}{\longrightarrow} \pi_{1,0}^{0} \mathsf{A} \mathsf{B} & \uparrow: (l:\mathfrak{S}) \to (A:\mathbb{U}_{0}) \to \mathbb{U}_{l} \quad (\text{written } \Uparrow_{l}) \\ \pi_{0,12}^{(S\ 1_{1})}\left(\uparrow\_ \bullet A\right) & \mathsf{B} \stackrel{\uparrow^{\pi}_{\pi}}{\longrightarrow} \pi_{0,(S\ 1_{2})}^{1} \mathsf{A} \mathsf{B} & \uparrow: (l:\mathfrak{S}) \to (A:\mathbb{U}_{0}) \to \mathbb{U}_{l} \quad (\text{written } \Uparrow_{l}) \\ \pi_{(S\ 1_{2}),0}^{(S\ 1_{1})}\left(\uparrow\_ \bullet A\right) & \mathsf{B} \stackrel{\uparrow^{\pi}_{\pi}}{\longrightarrow} \pi_{0,(S\ 1_{2})}^{1} \mathsf{A} \mathsf{B} & \uparrow: (I:\mathfrak{S}) \to (A:\mathbb{U}_{0}) \to \mathbb{U}_{l} \quad (\text{written } \Uparrow_{l}) \\ \pi_{12,0}^{(S\ (S\ 1_{1}))} & \mathsf{A} \left(\lambda x: \mathsf{C}.\uparrow\_ \bullet \mathsf{B}\{x\}\right) \stackrel{\uparrow^{\pi}_{\pi}}{\longrightarrow} \pi_{(S\ 1_{2}),0}^{(S\ 1_{1})} \mathsf{A} \left(\lambda x: \mathsf{C}.\mathsf{B}\{x\}\right) \\ \pi_{0,(S\ 1_{2})}^{1} & \mathsf{A} \left(\lambda x: \mathsf{C}.\uparrow\_ \bullet \mathsf{B}\{x\}\right) \stackrel{\uparrow^{\pi}_{\pi}}{\longrightarrow} \uparrow_{(1\ 1\ +1_{2})} \bullet \left(\pi_{0,1_{2}}^{1_{1}} \mathsf{A} \left(\lambda x: \mathsf{C}.\mathsf{B}\{x\}\right)\right) \\ \pi_{1,0}^{(S\ 0)} & \mathsf{A} \left(\lambda x: \mathsf{C}.\uparrow\_ \bullet \mathsf{B}\{x\}\right) \stackrel{\uparrow^{\pi}_{\pi}}{\longrightarrow} \Uparrow_{(S\ 1)} \left(\pi_{(S\ 1),0}^{0} \mathsf{A} \left(\lambda x: \mathsf{C}.\mathsf{B}\{x\}\right)\right) \end{aligned}$$

Note that in order to state the last rule we also define an auxiliary constant  $\uparrow$  which given a sort l, lifts a type from  $U_0$  to  $U_l$ . The following proposition then ensures that we have correctly implemented Assaf's full reflection equations.

Proposition 3 (Simulation of Assaf's full reflection rules). We have the following conversions.

$$\pi_{\underline{1+n,\underline{m}}}^{\underline{0}} (\uparrow_l \bullet a) (\lambda x : C.b) \equiv \uparrow_{\underline{\mathfrak{R}(n,\underline{m})}}^{\underline{\mathfrak{R}(1+n,\underline{m})}} \bullet (\pi_{\underline{n},\underline{m}}^{\underline{0}} a (\lambda x : C.b))$$
(1)

$$\pi_{\underline{n},\underline{1+m}}^{0} a (\lambda x : C.\uparrow_{l} \bullet b) \equiv \uparrow_{\underline{\mathfrak{R}(n,m)}}^{\underline{\mathfrak{R}(n,1+m)}} \bullet (\pi_{\underline{n},\underline{m}}^{0} a (\lambda x : C.b))$$
(2)

Proof. By a disjunction of cases in which each case corresponds to one of the rules  $\int_{\pi}^{t}$ .

Remark 4. We note that these rules are also very similar to the ones identified by Assaf et
al [8]. However they also differ in a crucial way by avoiding the use of non-left-linearity and
matching modulo ACU, which render confluence proofs much harder and are less efficient.

The rules given until now would ensure the uniqueness of codes for a version of CC with "simple" cumulativity. However, in a setting with product covariance we also need to ensure that  $\uparrow$  properly commutes with abstraction and application. We therefore add the following two rules, which are variants of similar equations first identified by Thiré [45] and Férey [27].

$$\uparrow_1 (\_ (\_) \triangleleft \lambda x : \_.D\{x\}) \lambda x : A.t\{x\} \xrightarrow{\uparrow_\lambda} \lambda x : A.\uparrow_1 D\{x\} t\{x\}$$
$$\uparrow_1 (\_ (\_) \triangleleft \lambda x : \_.D\{x\}) t u \xrightarrow{\uparrow_{\textcircled{0}}} \uparrow_1 D\{u\} (t u)$$

We now have almost finished presenting the theory  $\mathbb{T}_{cc}$ . The final step is adding the 219 following rule explaining the relationship between the elements of  $\uparrow_l \bullet A$  and the ones of A, 220 which as expected should be the same. Here we have purposely avoided the expected rule 221  $El_{(S_1)}$  ( $\uparrow_{(-)} \bullet A$ )  $\mapsto El_1 A$  used in some previous proposals [5, 45]. This subtle difference is 222 essential in order to allow the critical pairs between  $\uparrow^i_{\pi}$  and  $El_{\pi}$  to close. We add a similar 223 rule for  $\uparrow$ , but once again we annotate El with  $l_2 - l_1$  instead of 0 in order to ensure that 224 critical pairs all close. Finally, we need a last rule similar to  $El_{\uparrow}$  ensuring the uniqueness of 225 telescope representations, which will be key when proving the injectivity of  $\Rightarrow$ . 226

$$\operatorname{El}_{1}\left(\uparrow_{\bullet} \bullet \mathsf{A}\right) \xrightarrow{\uparrow_{\operatorname{El}}} \operatorname{El}_{(P \ 1)} \mathsf{A} \qquad \operatorname{El}_{1_{2}}\left(\uparrow_{1_{1}} \mathsf{A}\right) \xrightarrow{\uparrow_{\operatorname{El}}} \operatorname{El}_{(1_{2} - 1_{1})} \mathsf{A} \qquad \left(\uparrow_{\bullet} \bullet \mathsf{A}\right)_{1} \bullet \mathsf{D} \xrightarrow{\uparrow_{\bullet}} \mathsf{A}_{(P \ 1)} \bullet \mathsf{D}$$

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# 227 **5** Basic properties of $\mathbb{T}_{cc}$

<sup>228</sup> With the definition of the theory  $\mathbb{T}_{cc}$  in place, we now show that it satisfies the basic properties <sup>229</sup> one expects, which will be essential for proving soundness and conservativity later. The first <sup>230</sup> of them is the fact the the theory  $\mathbb{T}_{cc}$  is well-typed, in the sense defined in Section 2.

Proposition 5 (Well-typedness of  $\mathbb{T}_{cc}$ ). The theory  $\mathbb{T}_{cc}$  is well typed.

<sup>232</sup> **Proof.** Checked automatically with LAMBDAPI—see the artifact [20] for more details.

# 233 5.1 Confluence

<sup>234</sup> Unlike all previous proposals, our theory  $\mathbb{T}_{cc}$  only makes use of left-linear rules. By preventing <sup>235</sup> the use of non-left-linearity, which interacts very badly with higher-order rewriting, we have <sup>236</sup> made a first step for proving confluence. Yet, confluence still does not come for free. In <sup>237</sup> order to show it, we split  $\beta \mathcal{R}_{cc}$  into subsystems  $\beta \mathcal{R}_1$  and  $\mathcal{R}_2$ , allowing us to apply different <sup>238</sup> techniques for showing their confluence. Note that the union  $\beta \mathcal{R}_1 \cup \mathcal{R}_2$  is not disjoint: the <sup>239</sup> rule  $\uparrow_{El}$ , needed for closing critical pairs in both subsystems, is shared between them.

$$\mathcal{R}_{241} \qquad \mathcal{R}_{1} := \{\uparrow_{\textcircled{0}}, \uparrow_{\lambda}, \uparrow_{\bullet}, \Rightarrow_{\bullet}, \Rightarrow_{\bullet}, \uparrow_{E1}\} \qquad \qquad \mathcal{R}_{2} := \mathcal{R}_{\mathsf{cc}} \setminus \{\uparrow_{\textcircled{0}}, \uparrow_{\lambda}, \uparrow_{\bullet}, \Rightarrow_{\bullet}, \Rightarrow_{\bullet}\}$$

The hardest part of our proof is showing the confluence of  $\beta \mathcal{R}_1$ , for two main reasons. 242 First, even though all critical pairs of  $\beta \mathcal{R}_1$  close (as shown in Figure 4), because the  $\beta$  rule 243 is non-normalizing on untyped terms, we cannot apply Newman's Lemma to reduce proving 244 confluence to local confluence. Second, because the critical pairs are neither trivial [39] 245 nor development closed [46], we cannot apply the classical criteria that avoid the use of 246 termination. Thankfully, it turns out that we can still employ the well-known technique of 247 showing that orthogonal rewriting with  $\beta \mathcal{R}_1$  satisfies the diamond property—the proof can 248 be found in the appendix. Confluence of  $\beta \mathcal{R}_1$  then follows from this as a simple corollary. 249

**Corollary 6.**  $\beta \mathcal{R}_1$  is confluent.

**Remark 7.** Alternatively, one can show the confluence of  $\beta \mathcal{R}_1$  by applying a recent criterion by Dowek, Férey, Jouannaud and Liu [22, Theorem 38]. However, the proof we give is more elementary as it relies neither on orthogonal critical pairs nor on decreasing diagrams, and therefore we believe that it is accessible to a wider audience.

We can then move to the proof of confluence of  $\mathcal{R}_2$ , which relies on termination.

### **Lemma 8.** $\mathcal{R}_2$ is strongly normalizing.

**Proof.** We translate from  $\mathcal{R}_2$  into the first-order rewrite system  $\hat{\mathcal{R}}_2$  obtained by forgetting about binders:  $\lambda x : A.t$  is translated into  $\hat{\lambda} A' t'$  and  $\Pi x : A.B$  is translated into  $\hat{\Pi} A' B'$ , where A', B', t' are the translations of A, B, t. For instance, the rule  $\uparrow_{\pi}^4$  is translated into the rule  $\pi_{1_2,0}^{(S \ (S \ 1_1))} \land (\hat{\lambda} C \ (\uparrow_{-} \bullet B)) \longmapsto \pi_{(S \ 1_2),0}^{(S \ 1_1)} \land (\hat{\lambda} C B)$ . We can easily show that this interpretation preserves reduction sequences, therefore we reduce SN of  $\mathcal{R}_2$  to the one of  $\hat{\mathcal{R}}_2$ . The latter can be shown with the use of the first-order termination checker AProVE [1, 28], and the proof can be verified by the formally certified tool CeTA [2, 43]—see the artifact [20].

## **Proposition 9.** $\mathcal{R}_2$ is confluent.

Proof. We use the tools CSI<sup>ho</sup> [3, 38] and SOL [30] to verify that all critical pairs of  $\mathcal{R}_2$  are joinable—see the artifact [20] for details—so by Mayr and Nipkow's critical pair criterion [36, Theorem 4.7] we conclude that  $\mathcal{R}_2$  is locally confluent. Together with Lemma 8, this gives the confluence of  $\mathcal{R}_2$  by applying Newman's Lemma.

Putting everything together, we obtain the confluence of  $\beta \mathcal{R}_{cc}$ .

**Theorem 10.**  $\beta \mathcal{R}_{cc}$  is confluent.

**Proof.** By Corollary 6 and Proposition 9 we have the confluence of  $\beta \mathcal{R}_1$  and  $\mathcal{R}_2$ , and moreover the rewrite systems are left-linear and there are no critical pairs between them. Therefore, we conclude the confluence of their union by applying Van Oostrom and Raamsdonk's orthogonal combinations criterion [39, Theorem 3.13].

We obtain the following useful corollary, which we implicitly use in the rest of the article.

**Corollary 11** (Injectivity of undefined symbols). If c is a constant that does not appear in the head of a rewrite rule, then  $c t_1...t_k \equiv c u_1...u_k$  implies  $t_i \equiv u_i$  for i = 1..k.

### 278 5.2 Subject reduction

We start with subject reduction for  $\beta$ . Because we have already shown confluence of  $\beta \mathcal{R}_{cc}$ , we obtain directly the injectivity of function types: if  $(x : A) \to B \equiv (x : A') \to B'$  then  $A \equiv A'$  and  $B \equiv B'$ . This is sufficient in order to ensure that  $\beta$  satisfies subject reduction.

**Proposition 12** (SR<sub> $\beta$ </sub>). If  $\Gamma \vdash t : A$  and  $t \longrightarrow_{\beta} t'$  then  $\Gamma \vdash t' : A$ .

<sup>283</sup> **Proof.** Follows from the injectivity of function types [13, Lemma 31].

Moving to subject reduction for  $\mathcal{R}_{cc}$ , the first point we realize is that this property does not hold unconditionally. For instance, the rule

$$_{^{286}} \qquad \pi^{(\mathrm{S}\ 1_1)}_{0,1_2} \ (\uparrow\_ \bullet \mathsf{A}) \ \mathsf{B} \longmapsto \pi^{1_1}_{0,(\mathrm{S}\ 1_2)} \ \mathsf{A}$$

only preserves typing if S  $(1_1[\theta] \vee (1_1[\theta] + 1_2[\theta])) \equiv 1_1[\theta] \vee S (1_1[\theta] + 1_2[\theta])$ , yet both sides are already in normal form. Nevertheless, this is actually not a problem because whenever  $1_1$ and  $1_2$  are substituted by terms of the form  $\underline{n}$  for some  $n \in \mathbb{N}$  then we see that the equation holds. Starting from this insight, we now show that subject reduction holds in a restricted form, which turns out to be sufficient for our needs.

We say that a term is *guarded* when all occurrences of  $\Uparrow$  are of the form  $\Uparrow_{\underline{n}}$  and all occurrences of  $\pi$  are of the form  $\pi_{\underline{n_1},\underline{n_2}}^{n_0}$  for some  $n, n_0, n_1, n_2 \in \mathbb{N}$ . The set of guarded terms satisfies the following basic stability properties.

Proposition 13 (Stability of guarded terms under substitution and reduction).

В

- <sup>296</sup> 1. If t, u are guarded then t[u/x] is guarded.
- 297 2. If t is guarded and  $t \longrightarrow t'$  then t' is guarded.

We can now show that  $\mathcal{R}_{cc}$  satisfies subject reduction for guarded terms.

Proposition 14 (SR<sub> $\mathcal{R}_{cc}$ </sub>). If t is guarded and  $\Gamma \vdash t : A$  and  $t \longrightarrow_{\mathcal{R}_{cc}} t'$  then  $\Gamma \vdash t' : A$ .

Proof. We use Lambdapi to automatically verify that the rules preserve typing (the correctness of this verification relies on the confluence of the rewrite system [41, 14], which we have by Theorem 10). The verification succeeds for all rules  $l \mapsto r \in \mathcal{R}_{cc}$ , except for those which do not preserve typing unconditionally. For these cases, Lambdapi reports conversion constraints on the substitution  $\theta$  under which  $\Gamma \vdash l[\theta] : A$  implies  $\Gamma \vdash r[\theta] : A$ .

1. Case  $\uparrow_{\text{El}}$ . Preserves typing if  $l_2[\theta] - l_2[\theta] \equiv 0$ . But by inversion of typing of the left-hand side we also get  $l_1[\theta] \equiv l_2[\theta]$ , so the rule preserves typing whenever  $l_1[\theta] - l_1[\theta] \equiv 0$ .

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- 2. Case  $\uparrow^2_{\pi}$ . Preserves typing if S  $(1_1[\theta] \lor (1_1[\theta] + 1_2[\theta])) \equiv 1_1[\theta] \lor S (1_1[\theta] + 1_2[\theta])$ .
- 308 **3.** Case  $\uparrow^3_{\pi}$ . Preserves typing if  $(l_1[\theta] + l_2[\theta]) \vee l_1[\theta] \equiv l_1[\theta] + l_2[\theta]$  and
- <sup>309</sup> S  $(1_1[\theta] + 1_2[\theta]) \vee 1_1[\theta] \equiv S (1_1[\theta] + 1_2[\theta]).$
- 4. Case  $\uparrow^4_{\pi}$ . Preserves typing if S  $(1_1[\theta] + 1_2[\theta]) \vee 1_1[\theta] \equiv S ((1_1[\theta] + 1_2[\theta]) \vee 1_1[\theta]).$
- <sup>311</sup> 5. Case  $\uparrow^5_{\pi}$ . Preserves typing if  $l_1[\theta] \vee S(l_1[\theta] + l_2[\theta]) \equiv S(l_1[\theta] + l_2[\theta])$  and
- 312  $\Re 1_1[\theta] (1_1[\theta] + 1_2[\theta]) \equiv 1_1[\theta] + 1_2[\theta].$

Because t is guarded, it follows that  $l_1[\theta]$  is a concrete sort in case 1, and both  $l_1[\theta]$ and  $l_2[\theta]$  are concrete sorts in the other cases, so the result follows from the fact that these equations all hold for natural numbers.

<sup>316</sup> ► Corollary 15 (SR<sub>βRcc</sub>). If t is guarded and  $\Gamma \vdash t : A$  and  $t \longrightarrow^* t'$  then  $\Gamma \vdash t' : A$ .

<sup>317</sup> • Remark 16. Corollary 15 guarantees that the usual type inference algorithm for Dedukti [41] <sup>318</sup> is sound when  $\Gamma$  and t are guarded. Indeed, by inspection on its definition, if the inputs  $\Gamma$ <sup>319</sup> and t are guarded then only guarded terms are ever reduced.

# **6** The translation function

Defining a DEDUKTI encoding usually requires specifying a *translation function* from the 321 syntax of the source system to the one of the framework. However, whereas cumulativity 322 is *implicit* in CC, in DEDUKTI it is made *explicit* by the use of a lift  $(\uparrow)$ . Therefore, when 323 translating a CC term, the translation function needs to figure out when to insert such lifts, 324 even though the initial term contains no information about cumulativity. To handle this, a 325 first idea could be to define this function only for well-typed CC terms and use typing to 326 retrieve the missing information. However, it is not clear how to define such a function in a 327 unique and well-founded way—see the discussion is Section 9 for a detailed discussion. 328

To solve this problem, we adapt the approach of Winterhalter et al [47] of relying instead on an *inverse translation function* |-|, defined from a subset of the syntax of the framework to the syntax of CC. Because the syntax of DEDUKTI is more explicit than the one of CC, this function can be straightforwardly defined by structural induction. Then, we can use it to state and prove soundness and conservativity. Finally, the *direct* translation function can then be recovered as the underlying algorithm of our constructive proof of soundness.

We start by carving out a subset of DEDUKTI's syntax over which we define |-|. These are the *object terms* and *object contexts*, defined by the following grammars, and where n, mranges over natural numbers and G ranges over arbitrary guarded terms.

$$\begin{array}{ccc} {}_{338} & \left[ \begin{array}{c} \Lambda_o \end{array} \right] \ni & t, u, A, B ::= x \mid \lambda x : \operatorname{El}_{\underline{n}} A.t \mid \underline{\mathbf{u}}_{\underline{n}} \mid \pi_{\underline{n},\underline{m}}^{\underline{0}} \mid A \mid \lambda x : G.B \mid \uparrow_{\underline{n}} G \mid t \mid u \\ \\ {}_{339} & \boxed{\operatorname{Ctx}_o} \ni & \Gamma ::= \cdot \mid \Gamma, x : \operatorname{El}_{\underline{n}} A \end{array}$$

The *inverse translation function* can then defined by structural induction over object terms and contexts, by the following clauses.

Crucially, object terms are all guarded, ensuring that whenever they are well typed then 351 their reducts also are. In addition, object terms are stable under substitution, which moreover 352 commutes with |-|, two basic properties that will be essential to our proofs. 353

• **Proposition 17** (Basic properties of  $\Lambda_o$  and |-|). 354

**1.** If  $t \in \Lambda_o$  then t is guarded. 355

**2.** If  $t, u \in \Lambda_o$  then  $t[u/x] \in \Lambda_o$  and |t|[|u|/x] = |t[u/x]|. 356

#### 7 Soundness 357

Our proof of soundness requires multiple intermediate steps. The first of them is showing the 358 injectivity modulo lifting of El (Proposition 34) and the injectivity of  $\Rightarrow$  (Proposition 35), 359 two technical results that will be essential for the subsequent parts. However, for space 360 reasons, we give these proofs in the appendix. 361

Then, we can move to the proof of *coherence*, the central auxiliary result needed for 362 soundness, ensuring that any two different DEDUKTI representations of the same CC term 363 must be convertible. The actual statement of the theorem is however a bit more intricate. 364

▶ Theorem 18 (Coherence). Let  $t_1, t_2 \in \Lambda_o$  with  $\Gamma \vdash t_1 : A_1$  and  $\Gamma \vdash t_2 : A_2$ . If  $|t_1| = |t_2|$ 365 then at least one of the following holds: 366

(1)  $t_1 \equiv t_2$ 367

(1)  $t_1 = t_2$ (2)  $\Gamma \vdash \uparrow_{\underline{n}}^{\underline{m}} D \ t_2 : D \Rightarrow \underline{m} \ and \ t_1 \equiv \uparrow_{\underline{n}}^{\underline{m}} D \ t_2 \ for \ some \ D \ guarded$ (3)  $\Gamma \vdash \uparrow_{\underline{n}}^{\underline{m}} D \ t_1 : D \Rightarrow \underline{m} \ and \ t_2 \equiv \uparrow_{\underline{n}}^{\underline{m}} D \ t_1 \ for \ some \ D \ guarded$ 368

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**Proof.** The proof is by induction on  $t_1$  and  $t_2$ , following the definition of |-|. We first treat 370 the cases in which  $t_1$  or  $t_2$  is of the form  $\uparrow_n D u$ . Then, for the other cases the definition of 371 |-| imposes that  $t_1$  and  $t_2$  have the same head structure, and therefore we only consider  $t_1$ 372 and  $t_2$  of the same form. 373

We illustrate the case where  $t_1 = u_1 v_1$  and  $t_2 = u_2 v_2$ . By inversion we have  $\Gamma \vdash u_i : (x : t_i) \in U_i$ 374  $A_i \rightarrow B_i$  and  $\Gamma \vdash v_i : A_i$ . By the i.h. applied to  $u_1$  and  $u_2$ , we have three cases to consider: 375

(a)  $u_1 \equiv u_2$ . We thus get  $A_1 \equiv A_2$  and  $B_1 \equiv B_2$ . Looking at the induction hypothesis on  $v_1$ 376 and  $v_2$ , in all cases we must have  $v_1 \equiv v_2$ . Indeed, if we are in cases (2) or (3) then we get 377  $A_1 \equiv D \Rightarrow \underline{p}$  and  $A_2 \equiv D \Rightarrow \underline{q}$ , but together with  $A_1 \equiv A_2$  this implies p = q, meaning 378 that no lifts are inserted between  $v_1$  and  $v_2$ . We thus conclude that  $t_1 \equiv t_2$ . 379

(b)  $\Gamma \vdash \uparrow \underline{\underline{m}} D \ u_2 : D \Rightarrow \underline{\underline{m}} \text{ and } u_1 \equiv \uparrow \underline{\underline{m}} D \ u_2.$  Now,  $(x : A_1) \rightarrow B_1 \equiv D \Rightarrow \underline{\underline{m}}$ , so by Lemma 36 we have  $D \longrightarrow^* a_l \triangleleft \lambda x : C.D'$  with  $\text{El}_l \ a \equiv A_1$  and  $B_1 \equiv D' \Rightarrow \underline{\underline{m}}$ . Moreover, 380 381 we also get that  $El_l a \equiv A_2$  and  $B_2 \equiv D' \Rightarrow \underline{n}$ . We are again in a situation where  $v_1$  and 382  $v_2$  share a type, so by the same arguments as in case (a) the i.h. gives  $v_1 \equiv v_2$ . Therefore, 383

$$t_1 = u_1 \ v_1 \equiv \left(\uparrow_{\underline{n}}^{\underline{m}} \left(a_l \bullet \lambda x : C.D'\right) \ u_2\right) \ v_2 \equiv \uparrow_{\underline{n}}^{\underline{m}} D'[v_2/x] \ (u_2 \ v_2) = \uparrow_{\underline{n}}^{\underline{m}} D'[v_2/x] \ t_2$$

For typing, we have  $\Gamma \vdash t_2 : B_2[v_2/x]$  so by conversion we have  $\Gamma \vdash t_2 : D'[v_2/x] \Rightarrow \underline{n}$ 386 and thus  $\Gamma \vdash \uparrow \underline{m} \ D'[v_2/x] \ t_2 : D'[v_2/x] \Rightarrow \underline{m}.$ (c)  $\Gamma \vdash \uparrow \underline{m} \ D \ u_1 : D \Rightarrow \underline{m}$  and  $u_2 \equiv \uparrow \underline{m} \ D \ u_1.$  Symmetric to case (b). 387

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With coherence in hand, we can show that the conversion relation of CC can be reflected 389 by the inverse translation function into the framework. As an intermediate lemma, we first 390 need to show that individual reduction steps of CC can be simulated in DEDUKTI. 391

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<sup>392</sup> ► Lemma 19 (Simulation of reduction steps). Let  $t \in \Lambda_o$  with  $\Gamma \vdash t : A$  and  $|t| \longrightarrow u$  for some <sup>393</sup>  $u \in \Lambda_{cc}$ . Then, there is some  $t' \in \Lambda_o$  such that |t'| = u and  $t \longrightarrow^* t'$ .

**Proof.** By induction on t, following the definition of  $\Lambda_o$ . Almost all cases are either impossible, 394 or follow by applying the i.h. to the subterm being reduced. The only interesting case is 395 when  $t = t_1 t_2$  and the reduction happens in the head. Then, the only possibility is that 396  $t_1 = \uparrow_{n_k} D_k (...(\uparrow_{n_1} D_1 v)...)$  with  $v = \lambda x : C.s$  and  $|t| = (\lambda x : |C|.|s|) |t_2| \longrightarrow |s|[|t_2|/x]$ . If 397 k = 0 then the result is immediate, as t is a  $\beta$  redex. Otherwise, by typing constraints and 398 Proposition 35 we can see that we have  $D_1 \equiv ... \equiv D_k$  and  $n_{i+1} = n_i + 1$  for i = 1..k - 1, 399 so by confluence we have some common reduct  $D_0$  of all of them so that  $t_1 \longrightarrow^* \uparrow_{n_1}^{n_k} D_0 v$ . 400 Then, by inversion of typing, v has both types  $D_0 \Rightarrow \underline{n_1}$  and  $(x: C) \rightarrow A'$  for some A', 401 hence by uniqueness of types we have  $D_0 \Rightarrow n_1 \equiv (x:C) \rightarrow A'$ , which by Lemma 36 implies 402  $D_0 \longrightarrow C'_l \triangleleft \lambda x : B.D'$  for some C', l, B, D'. Abbreviating  $C'_l \triangleleft \lambda x : B.D'$  as  $D'_0$ , 403

$$t \longrightarrow^* \uparrow_{\underline{n_1}}^{\underline{n_k}} D'_0(\lambda x : C.s) t_2 \longrightarrow^* (\lambda x : C.\uparrow_{\underline{n_1}}^{\underline{n_k}} D' s) t_2 \longrightarrow \uparrow_{\underline{n_1}}^{\underline{n_k}} D'[t_2/x] s[t_2/x]$$

and we indeed have  $\uparrow \underline{\underline{n_1}} D'[t_2/x] s[t_2/x] \in \Lambda_o$ , with  $|\uparrow \underline{\underline{n_1}} D'[t_2/x] s[t_2/x]| = |s|[|t_2|/x].$ 

<sup>406</sup> ▶ **Proposition 20** (Reflection of type conversion). Let  $A, B \in \Lambda_o$  with  $\Gamma \vdash A : U_{\underline{n}}$  and <sup>407</sup>  $\Gamma \vdash B : U_{\underline{m}}$ . If  $|A| \equiv |B|$  then  $El_{\underline{n}} A \equiv El_{\underline{m}} B$ .

**Proof.** Take  $k := \max\{n, m\}$ ; we have  $\Gamma \vdash \uparrow_{\underline{n}}^{\underline{k}} \bullet A : U_{\underline{k}}$  and  $\Gamma \vdash \uparrow_{\underline{m}}^{\underline{k}} \bullet B : U_{\underline{k}}$  and  $|\uparrow_{\underline{n}}^{\underline{k}} \bullet A| = |A| \equiv |B| = |\uparrow_{\underline{m}}^{\underline{k}} \bullet B|$ . By confluence we have  $|\uparrow_{\underline{n}}^{\underline{k}} \bullet A| \longrightarrow C^* \longleftarrow |\uparrow_{\underline{m}}^{\underline{k}} \bullet B|$ for some C. By iterating Lemma 19 with subject reduction, we get  $\uparrow_{\underline{n}}^{\underline{k}} \bullet A \longrightarrow A'$  and  $\uparrow_{\underline{m}}^{\underline{k}} \bullet B \longrightarrow B'$  and |A'| = C = |B'| for some A' and B'. We also have  $\Gamma \vdash A' : U_{\underline{k}}$  and  $\Gamma \vdash B' : U_{\underline{k}}$ , so by Theorem 18 we get  $A' \equiv B'$  — note that because A' and B' have the same type, there can be no lifts between them. Therefore, we have  $\uparrow_{\underline{n}}^{\underline{k}} \bullet A \equiv \uparrow_{\underline{m}}^{\underline{k}} \bullet B$  and thus we conclude  $El_{\underline{n}} A \equiv El_{\underline{k}} (\uparrow_{\underline{n}}^{\underline{k}} \bullet A) \equiv El_{\underline{k}} (\uparrow_{\underline{m}}^{\underline{k}} \bullet B) \equiv El_{\underline{m}} B$ .

We now have almost all auxiliary results needed for showing soundness. As a last step, we only need the following two easy lemmas.

<sup>417</sup> ► Lemma 21 (Computing the El of a translation). Let  $A \in \Lambda_o$  with El<sub>1</sub> A well typed.

418 **1.** If |A| = n then  $\operatorname{El}_l A \longrightarrow^* \operatorname{U}_n$ .

419 **2.** If  $|A| = \Pi x : A_1 A_2$  then  $\operatorname{El}_i \stackrel{\sim}{A} \longrightarrow^* (x : \operatorname{El}_{\underline{n_1}} A'_1) \rightarrow \operatorname{El}_{\underline{n_2}} A'_2$  with  $|A'_i| = A_i$ .

<sup>420</sup> **Proof.** By definition of |-| and typing constraints.

\*Lemma 22 (Telescope translation). Let  $A_1, A_2 \in \Lambda_o$  with  $\Gamma \vdash A_i : \bigcup_{n_i}$ . If  $|A_i| = \Delta \Rightarrow m_i$ for some  $m_1 \leq m_2$ , then we have  $\operatorname{El}_{\underline{n_i}} A_i \equiv D \Rightarrow \underline{m_i}$  for some guarded D with  $\Gamma \vdash D$ : Tele.

<sup>423</sup> **Proof.** By induction on  $\Delta$ .

\*Theorem 23 (Soundness). If  $\Gamma \vdash_{cc} t : A$  then we have  $\Gamma' \vdash t' : El_{\underline{n}} A'$  for some  $\Gamma' \in Ctx_o$ and  $t', A' \in \Lambda_o$  and  $n \in \mathbb{N}$  with  $\|\Gamma'\| = \Gamma$  and |t'| = t and |A'| = A.

<sup>426</sup> **Proof.** We instead show the following two points, which together imply the theorem.

- <sup>427</sup> If  $\Gamma \vdash_{\mathsf{cc}}$  then  $\Gamma' \vdash$  for some  $\Gamma' \in \mathsf{Ctx}_o$  with  $\|\Gamma'\| = \Gamma$ .
- <sup>428</sup> If  $\Gamma \vdash_{\mathsf{cc}} t : A$  and  $\Gamma' \vdash$  for some  $\Gamma' \in \mathsf{Ctx}_o$  with  $\|\Gamma'\| = \Gamma$  then  $\Gamma' \vdash t' : \mathrm{El}_{\underline{n}} A'$  for some <sup>429</sup>  $n \in \mathbb{N}$  and  $A', t' \in \Lambda_o$  with |A'| = A and |t'| = t.

We prove them by induction on the derivation of  $\Gamma \vdash_{cc} cr$   $\Gamma \vdash_{cc} t: A$ , and illustrate here 430 one of the interesting cases. 431

433

$$A \subseteq B \frac{\Gamma \vdash_{\mathsf{cc}} t : A \qquad \Gamma \vdash_{\mathsf{cc}} B : n}{\Gamma \vdash_{\mathsf{cc}} t : B}$$

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By induction hypothesis we have  $\Gamma' \vdash t' : \operatorname{El}_m A'$  and  $\Gamma' \vdash B' : \operatorname{U}_n$  with |t'| = t, |A'| = A434 and |B'| = B (using Lemma 21 for the second derivation). By inversion we obtain 435  $\Gamma' \vdash A' : U_m$ . We now use Lemma 2 to split  $A \subseteq B$  into two cases: 436

 $A \equiv B$ . We have  $|A'| \equiv |B'|$  so by Proposition 20 we conclude  $\operatorname{El}_{\underline{m}} A' \equiv \operatorname{El}_{\underline{n}} B'$ , and 437 thus  $\Gamma' \vdash t' : \mathbf{El}_n B'$ . 438

 $A \longrightarrow^* \Delta \Rightarrow p \text{ and } B \longrightarrow^* \Delta \Rightarrow q \text{ with } p \leq q.$  We apply Lemma 19 on A' to get some 439 A'' such that  $|A''| = \Delta \Rightarrow p$  and  $A' \longrightarrow^* A''$ . Similarly, we get B'' with  $|B''| = \Delta \Rightarrow q$ 440 and  $B' \longrightarrow^* B''$ . We can then apply Lemma 22 to obtain a guarded term D such that 441  $\Gamma' \vdash D$ : Tele and  $\operatorname{El}_{\underline{m}} A'' \equiv D \Rightarrow \underline{p}$  and  $\operatorname{El}_{\underline{n}} B'' \equiv D \Rightarrow \underline{q}$ . We can now conclude with 442  $\Gamma' \vdash \bigwedge_{p=1}^{q} D t : \operatorname{El}_{n} B'.$ 443

#### 8 Conservativity 444

Now that we have seen that our encoding is sound, we can move to the proof of conservativity. 445 The usual statement of conservativity (using direct translation functions  $[-]: \Lambda_{cc} \to \Lambda_{dk}$  and 446  $\llbracket - \rrbracket : \mathsf{Ctx}_{\mathsf{cc}} \to \mathsf{Ctx}_{\mathsf{dk}}$  would say that, given  $\Gamma, A$  satisfying  $\Gamma \vdash_{\mathsf{cc}} A : n$ , if  $\llbracket \Gamma \rrbracket \vdash t : \mathrm{El}_{\underline{n}} [A]$ 447 then we have  $\Gamma \vdash_{cc} t' : A$  for some t'. When rephrasing this statement with the inverse 448 translation function |-|, the full conservativity property would then assert that, for  $\Gamma \in \mathsf{Ctx}_o$ 449 and  $A \in \Lambda_o$  with  $\|\Gamma\| \vdash |A| : n$ , if  $\Gamma \vdash t : \operatorname{El}_n A$  then  $\|\Gamma\| \vdash_{\operatorname{cc}} t' : |A|$  for some t'. 450

In the following, we instead show *conservativity for object terms*, a restricted form of 451 conservativity in which the witness t of the typing judgment  $\Gamma \vdash t : El_n A$  is required to be an 452 object term. We argue that this is enough because in practice the object terms are the only 453 ones a user of the encoding (or an automatic translator) would write. Nevertheless, it should 454 be possible to strengthen our result to obtain full conservativity, as discussed in the conclusion. 455 The first step in our proof is showing that |-| preserves definitional equality. This is 456 however not immediate, because |-| does not preserve reduction steps. Fortunately, we can 457

define an auxiliary function  $|-|^{\bullet}$  extending |-| that satisfies this property. We start by 458 defining the extended object terms  $\Lambda_o^{\bullet}$  which will be used as the domain of  $|-|^{\bullet}$ . Here we 459 write G, G' for any guarded terms, and  $n, n_0, n_1, n_2$  for any natural numbers. 460

$$\begin{array}{ccc} {}_{461} & & & \Lambda_o^{\bullet} \end{array} \ni & & t, u, A, B ::= x \mid (x:A) \to B \mid \lambda x : A.t \mid \mathbf{U}_{\underline{n}} \mid \mathbf{El}_G \mid A \mid \mathbf{u}_{\underline{n}} \\ & & & & & \\ {}_{462}^{462} & & & & & \\ \end{array} \\ \end{array}$$

The function  $|-|^{\bullet}$  is then defined by the following clauses. 464

 $|(x:A) \rightarrow B|^{\bullet} := \Pi x : |A|^{\bullet} . |B|^{\bullet}$  $|-|^{\bullet}: \Lambda_{o}^{\bullet} \to \Lambda_{cc}$ 465 466 467 468

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We can show that  $|-|^{\bullet}$  satisfies many desirable properties, among them being the preservation of reduction steps and thus also of definitional equality by  $|-|^{\bullet}$ .

- Figure 472  $\blacktriangleright$  Lemma 24 (Basic properties of  $\Lambda_o^{\bullet}$  and  $|-|^{\bullet}$ ).
- 473 1.  $\Lambda_o^{\bullet}$  is a superset of  $\Lambda_o$ , and  $|-|^{\bullet}$  restricts to |-| in  $\Lambda_o$ .
- 474 **2.** If  $t \in \Lambda_o^{\bullet}$  then t is guarded.
- 475 **3.** If  $t, u \in \Lambda_o^{\bullet}$  then  $t[u/x] \in \Lambda_o^{\bullet}$  and  $|t|^{\bullet}[|u|^{\bullet}/x] = |t[u/x]|^{\bullet}$ .
- 476 **4.** If  $t \in \Lambda_o^{\bullet}$  and  $t \longrightarrow^* u$  then  $u \in \Lambda_o^{\bullet}$  and  $|t|^{\bullet} \longrightarrow^* |u|^{\bullet}$ .
- 477 **5.** If  $t, u \in \Lambda_o^{\bullet}$  and  $t \equiv u$  then  $|t|^{\bullet} \equiv |u|^{\bullet}$ .

<sup>478</sup> Using these basic properties, we can now show conservativity.

\*Theorem 25 (Conservativity for object terms). Let  $\Gamma \in Ctx_o$  and  $A \in \Lambda_o$  with  $\|\Gamma\| \vdash_{cc} |A| : n$ for some n. If  $\Gamma \vdash t : El_n A$  with t an object term, then we have  $\|\Gamma\| \vdash_{cc} |t| : |A|$ .

<sup>481</sup> **Proof.** We instead show the following claim.

<sup>482</sup>  $\succ$  Claim 26. Let  $\Gamma \vdash t : A$  with  $\Gamma \in \mathsf{Ctx}_o$  and  $\|\Gamma\| \vdash_{\mathsf{cc}}$ . If t is an object term, then there <sup>483</sup> exists  $A' \in \Lambda_o^{\bullet}$  with  $A \equiv A'$  and  $\|\Gamma\| \vdash_{\mathsf{cc}} |t| : |A'|^{\bullet}$ .

First note that this implies the statement of the theorem. Indeed, by the claim we have  $\|\Gamma\| \vdash_{\mathsf{cc}} |t| : |B|^{\bullet} \text{ for some } B \in \Lambda_o^{\bullet} \text{ with } B \equiv \mathrm{El}_{\underline{n}} A. \text{ Therefore } |B|^{\bullet} \equiv |A|^{\bullet} = |A|, \text{ so we}$   $\|\Gamma\| \vdash_{\mathsf{cc}} |t| : |A| \text{ by the conversion rule.}$ 

We proceed with the proof of the claim, by induction on t, following the definition of  $\Lambda_o$ . We illustrate the interesting case of  $\lambda$ -abstraction:  $t = \lambda x : \text{El}_{\underline{n}} A_1.u$ . By inversion we have  $\Gamma \vdash A_1 : U_{\underline{n}}$  and  $\Gamma, x : \text{El}_{\underline{n}} A_1 \vdash u : A_2$  for some  $A_2$  with  $A \equiv (x : \text{El}_{\underline{n}} A_1) \to A_2$ . By i.h. we thus have  $\|\Gamma\| \vdash_{\mathsf{cc}} |A_1| : |B_1|^{\bullet}$  with  $B_1 \equiv U_{\underline{n}}$ . Therefore, we have  $|B_1|^{\bullet} \equiv n$ , so by conversion we can derive  $\|\Gamma\| \vdash_{\mathsf{cc}} |A_1| : n$ , and so  $\|\Gamma\|, x : |A_1| \vdash_{\mathsf{cc}}$ . By i.h. once more, we have  $\|\Gamma\|, x : |A_1| \vdash_{\mathsf{cc}} |u| : |B_2|^{\bullet}$  for some  $B_2$  with  $B_2 \equiv A_2$ . We can thus derive  $\|\Gamma\| \vdash_{\mathsf{cc}} \lambda x : |A_1|.|u| : |(x : \text{El}_{\underline{n}} A_1) \to B_2|^{\bullet}$  and  $A \equiv (x : \text{El}_{\underline{n}} A_1) \to B_2$ .

# 494 9 Related work

The first attempt to encode CC in DEDUKTI dates back to the work of Assaf. He first identified the full-reflection equations (discussed in Section 4) in earlier work studying a variant of the calculus of constructions with explicit cumulativity [4]. There, cumulativity is made explicit by a family of lifts  $\uparrow_i: U_i \to U_{i+1}$ , which are sufficient in his setting because the theory considered lacks product covariance.

These ideas were then employed in encoding a class of cumulative type systems (CTSs) in DEDUKTI [5], containing in particular the type system CC. In order to handle product covariance, he proposed the use of  $\eta$ -expansion at translation time: for instance, a variable  $f: Nat \rightarrow 0$  would be translated at type Nat  $\rightarrow 1$  as  $\lambda x \uparrow_{\underline{0}} (f x)$ . This however turned out to invalidate conservativity, as observed by Thiré [45, Example 6.6].

Moreover, as mentioned in the introduction, the translation functions used by Assaf for 505 stating and proving soundness turn out to be ill-defined. He mutually defines functions 506  $[-]_{\Gamma}$  and  $[-]_{\Gamma \vdash C}$  and [-], and among their defining clauses he states  $[t]_{\Gamma \vdash C} := \lambda x$ : 507  $[A] [t x]_{\Gamma,x:A \vdash B}$  if  $C \equiv \Pi x : A.B$  and t has a principal type convertible to  $\Pi x : A.B'$  with 508  $B' \subsetneq B$ . However, the term A is only determined up to conversion, yet the function is defined 509 over unquontiented terms, and the preservation of conversion is only shown at a later stage. 510 Worse, because A is recovered using typing information, it might not be structurally smaller 511 than t, and no well-founded order is given to justify the recursive call of [-] on A. 512

Regarding confluence, Assaf actually relies in his presentation on an axiomatization of the 513 conversion relation required for the encoding. Because in DEDUKTI the conversion must be 514 implemented by rewrite rules, each instantiation of his encoding then also needs to provide a 515 rewrite system correctly implementing these equational axioms. In the particular case of CC, 516 Assaf provides rules for implementing them, yet they are not confluent since some critical 517 pairs are not joinable. This problem was later fixed in his joint work with Dowek, Jouannaud 518 and Liu [8], though it required the use of rewriting modulo ACU, which is less efficient 519 and harder to implement than pure syntactic matching. The problems with soundness and 520 conservativity remained unaddressed. 521

Some years after the work of Assaf, the problem regained attention and new encodings 522 were proposed by Thiré [45], also supporting a class of CTSs, and Férey [27], also supporting 523 universe polymorphism. Starting from Thiré's observation that  $\eta$ -expanding at translation 524 time breaks conservativity, they decided to instead rely on a generalized cast operator 525 mapping a term  $t: \operatorname{El}_{l_a} a$  to  $\underset{l_a}{\overset{l_b}{\uparrow}} \stackrel{\uparrow b}{\underset{a}{\uparrow}} e t: \operatorname{El}_{l_b} b$ , where e is a term witnessing the inclusion of a 526 in b. Unfortunately, the use of a multi-step lift then required non-left-linear rules to ensure 527 that two consecutive casts can be composed or that identity casts can be removed. Despite 528 the impressive work of Férey on confluence criteria for non-left-linear systems [26], they were 529 unable to show the confluence of their encodings. 530

The translation function employed by Thiré unfortunately inherited the issue of Assaf's function, as it also makes recursive calls on terms obtained through typing information without giving a decreasing measure. The proposal of Férey uses however a different technique, and instead defines the translation function over typing derivations. Finally, conservativity is only stated as a conjecture for both of the encodings.

# 536 **10** Conclusion

In this work we have given an encoding of CC in DEDUKTI satisfying the necessary properties for being used in practice, solving a longstanding open problem. Our proof of confluence combines many confluence criteria and heavily uses the automated tools developed by the community. Yet, at the present moment, none of the available tools are able to fully show our result by themselves. Proving the confluence of our system automatically can thus be an interesting challenge for the next generation of today's confluence checkers.

<sup>543</sup> Our work has also identified a problem with the definition of the translation function <sup>544</sup> in some previous attempts at encoding CC in DEDUKTI. To solve this issue, we have then <sup>545</sup> contributed an adaptation of the technique of Winterhalter et al [47] in which soundness is <sup>546</sup> instead stated and proved using an inverse translation function.

Regarding conservativity, we have proven a restricted form concerning only object terms. 547 Even though we believe that for practical needs our result is sufficient, we conjecture 548 that full conservativity can be obtained by adapting the logical relations technique of 549 Assaf [6]. Alternatively, we could modify our encoding and employ the technique described 550 by Felicissimo [23], which allows for easy conservativity proofs at the cost of increasing the 551 amount of type annotations in the syntax. There is already ongoing work on removing 552 these annotations by incorporating bidirectional typing into DEDUKTI [24], yet the encoding 553 presented here would not be covered by the presently available framework. 554

Finally, we believe that our work can be a starting point for incorporating CoQ's universepolymorphism. Among previous work, only Férey considers the combination of CC with universe polymorphism. Combining his ideas with ours is a promising direction to explore.

# 23:16 Impredicativity, Cumulativity and Product Covariance in Dedukti

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# <sup>699</sup> A Basic metaproperties of Dedukti

In the following, let us write  $\Gamma \subseteq \Gamma'$  when  $\Gamma$  is a subsequence of  $\Gamma'$ . We recall the following basic metaproperties of DEDUKTI.

- **Proposition 27** (Basic metaproperties of DEDUKTI).
- <sup>703</sup> Weakening If  $\Gamma \subseteq \Gamma'$  and  $\Gamma' \vdash$  and  $\Gamma \vdash t : A$  then  $\Gamma' \vdash t : A$ .
- <sup>704</sup> Substitution If  $\Gamma, x : B, \Gamma' \vdash t : A$  and  $\Gamma \vdash u : B$  then  $\Gamma, \Gamma'[u/x] \vdash t[u/x] : A[u/x]$ .

<sup>705</sup> For all the following points, suppose that the underlying theory is well typed.

 $-: \mathfrak{S} \to \mathfrak{S} \to \mathfrak{S}$  (infix) S: Type  $\mathfrak{A}:\mathfrak{S}\to\mathfrak{S}$  $P:\mathfrak{S}\to\mathfrak{S}$  $\mathfrak{A} \to \mathfrak{S} (\mathfrak{S} \to \mathfrak{O})$  $P \ 0 \longmapsto 0$  $1_1 - 0 \longmapsto 1_1$  $0:\mathfrak{S}$  $S: \mathfrak{S} \to \mathfrak{S} \qquad \mathfrak{A} (S 1) \longmapsto S (S 1)$  $P (S 1) \mapsto 1$  $1_1 - (S \ 1_2) \longmapsto (P \ 1_1) - 1_2$  $+:\mathfrak{S}\to\mathfrak{S}\to\mathfrak{S}$  (infix)  $\vee:\mathfrak{S}\to\mathfrak{S}\to\mathfrak{S}$  (infix)  $\mathfrak{R}:\mathfrak{S}\to\mathfrak{S}\to\mathfrak{S}$  $0 + 1_2 \longmapsto 1_2$  $0 \lor 1_2 \longmapsto 1_2$  $\mathfrak{R} 1_1 0 \longmapsto 0$  $l_1 \lor 0 \longmapsto l_1$  $l_1 + 0 \longmapsto l_1$  $\mathfrak{R} \mathfrak{l}_1 (\mathfrak{S} \mathfrak{l}_2) \longmapsto \mathfrak{l}_1 \vee (\mathfrak{S} \mathfrak{l}_2)$  $(S 1_1) + 1_2 \longmapsto S (1_1 + 1_2) \qquad (S 1_1) \lor (S 1_2) \longmapsto S (1_1 \lor 1_2)$  $1_1 + (S \ 1_2) \longrightarrow S \ (1_1 + 1_2)$  $U: (l:\mathfrak{S}) \to \mathbf{Type} \quad (written U_l)$  $\mathbf{u}: (l:\mathfrak{S}) \to \mathbf{U}_{(\mathfrak{A}\ l)} \quad (\text{written } \mathbf{u}_l)$  $\mathrm{El}: (l:\mathfrak{S}) \to \mathrm{U}_l \to \mathbf{Type} \quad (\mathrm{written} \ \mathrm{El}_l)$  $El_{()} u_1 \mapsto U_1$  $\pi: (l_0 \ l_1 \ l_2:\mathfrak{S}) \to (A: \mathrm{U}_{(l_0+l_1)})$  $\to (B: \mathrm{El}_{(l_0+l_1)} A \to \mathrm{U}_{(l_0+l_2)}) \to \mathrm{U}_{(\mathfrak{R} (l_0+l_1) (l_0+l_2))}$ (written  $\pi_{l_1,l_2}^{l_0}$ )  $El_{()} (\pi_{1_1}^{1_0} \land \lambda x : C.B\{x\}) \xrightarrow{\pi_S} (x : El_{(1_0+1_1)} \land) \to El_{(1_0+1_2)} B\{x\}$  $\pi^{1_0}_{(S \ 1_1),(S \ 1_2)} \land \mathsf{B} \longmapsto \pi^{(S \ 1_0)}_{1_1,1_2} \land \mathsf{B}$  $\Rightarrow$ : Tele  $\rightarrow \mathfrak{S} \rightarrow \mathbf{Type}$  (infix) Tele: Type $\bullet \Rightarrow 1_1 \stackrel{\Rightarrow}{\longmapsto} U_{1_1}$ • : Tele  $\bullet: (l:\mathfrak{S}) \to (A:\mathcal{U}_l) \to (\mathrm{El}_l \ A \to \mathrm{Tele})$  $(\mathsf{A}_{1_2} \triangleleft \lambda x: \_.\mathsf{D}\{x\}) \Rightarrow \mathbf{1}_1 \stackrel{\Rightarrow}{\longmapsto} (x: \mathrm{El}_{1_2} \land A) \rightarrow \mathsf{D}\{x\} \Rightarrow \mathbf{1}_1$  $\rightarrow$  Tele (infix, written  $l^{\triangleleft}$ )  $\uparrow : (l:\mathfrak{S}) \to (D:\text{Tele}) \to (D \Rightarrow l) \to (D \Rightarrow (S \ l)) \quad (\text{written } \uparrow_l)$  $El_1 (\uparrow \bullet A) \xrightarrow{\uparrow_{El}} El_{(P \ 1)} A$  $(\uparrow \bullet A)_1 \bullet D \xrightarrow{\uparrow_\bullet} A_{(P_1)} \bullet D$  $\uparrow_1(\_) \triangleleft \lambda x : \_.\mathsf{D}\{x\}) \ \lambda x : \mathsf{A}.\mathsf{t}\{x\} \xrightarrow{\uparrow_{\lambda}} \lambda x : \mathsf{A}.\uparrow_1 \mathsf{D}\{x\} \mathsf{t}\{x\}$  $\uparrow_1$  (\_\_\_\_ ∧*x* : \_\_.D{*x*}) t u  $\stackrel{\uparrow @}{\longmapsto}$   $\uparrow_1$  D{u} (t u)  $\pi^{0}_{(S \ 1),0} (\uparrow_{-} \bullet A) \to \stackrel{\uparrow^{1}_{\pi}}{\longrightarrow} \pi^{0}_{1,0} A \to$  $\Uparrow : (l:\mathfrak{S}) \to (A:\mathbf{U}_0) \to \mathbf{U}_l \quad (\text{written } \Uparrow_l)$  $\uparrow _{0} A \longmapsto A$  $\pi_{0,12}^{(S \ 1_1)}$  ( $\uparrow$   $\bullet$  A) B  $\stackrel{\uparrow^2_{\pi}}{\longmapsto} \pi_{0,(S \ 1_2)}^{1_1}$  A B  $\uparrow_{(S 1)} A \longmapsto \uparrow_1 \bullet (\uparrow_1 A)$  $\pi_{(S\ l_2),0}^{(S\ l_1)}\left(\uparrow\_ \bullet \mathsf{A}\right)\mathsf{B} \xrightarrow{\uparrow^3_{\pi}} \uparrow_{(S\ (l_1+l_2))} \bullet \left(\pi_{l_2,0}^{(S\ l_1)} \mathsf{A} \mathsf{B}\right) \qquad \text{El}_{l_2}\left(\Uparrow_{l_1} \mathsf{A}\right) \xrightarrow{\Uparrow_{\text{El}}} \text{El}_{(l_2-l_1)}\mathsf{A}$  $\pi_{1_{2},0}^{(\mathrm{S}\ (\mathrm{S}\ 1_{1}))} \land (\lambda x : \mathrm{C}.\uparrow_{-} \bullet \mathsf{B}\{x\}) \xrightarrow{\uparrow_{\pi}^{4}} \pi_{(\mathrm{S}\ 1_{2}),0}^{(\mathrm{S}\ 1_{1})} \land (\lambda x : \mathrm{C}.\mathsf{B}\{x\})$  $\pi_{0.(S-1_2)}^{1_1} \land (\lambda x : \mathsf{C}.\uparrow\_ \bullet \mathsf{B}\{x\}) \stackrel{\uparrow_{\pi}^5}{\longmapsto} \uparrow_{(1_1+1_2)} \bullet (\pi_{0.1_2}^{1_1} \land (\lambda x : \mathsf{C}.\mathsf{B}\{x\}))$  $\pi_{1,0}^{(S=0)} \land (\lambda x : \mathsf{C}.\uparrow \bullet \mathsf{B}\{x\}) \xrightarrow{\uparrow_{m}^{6}} \Uparrow_{(S=1)} (\pi_{(S=1),0}^{0} \land (\lambda x : \mathsf{C}.\mathsf{B}\{x\}))$ **Figure 3** Definition of the theory  $\mathbb{T}_{cc} = (\Sigma_{cc}, \mathcal{R}_{cc})$ 

**Figure 4** Critical pairs of  $\mathcal{R}_1$ 

- Validity If  $\Gamma \vdash t : A$  then either A =Kind or  $\Gamma \vdash A : s$  for some sort s
- For all the following points, suppose furthermore that  $\beta \mathcal{R}$  is confluent.
- <sup>708</sup> Subject reduction for  $\beta$  If  $\Gamma \vdash t : A$  and  $t \longrightarrow_{\beta} t'$  then  $\Gamma \vdash t' : A$ .
- <sup>709</sup> Uniqueness of types If  $\Gamma \vdash t : A$  and  $\Gamma \vdash t : B$  then  $A \equiv B$
- <sup>710</sup> Inversion of constant applications If  $c : (x_1 : A_1) \to ... \to (x_k : A_k) \to B \in \Sigma$  and  $\Gamma \vdash c \ u_1...u_k : B'$  then we have  $\Gamma \vdash u_i : A_i[u_j/x_j]_{j=1..i-1}$  for i = 1..k and  $B' \equiv B[u_j/x_j]_{j=1..k}$

Proof. We refer to the literature [13, 27, 41] for detailed proofs—even if there the definition
of the typing system is not exactly the same, the proofs for the variant used here are
straightforward adaptions of their proofs.

- 715 **B** Basic metaproperties of CC
- <sup>716</sup> We recall the following basic properties of CC.
- **Proposition 28** (Basic properties of CC).
- <sup>718</sup> **Church-Rosser** If  $t \equiv u$  then  $t \longrightarrow^* v \stackrel{*}{\longleftarrow} u$  for some v
- <sup>719</sup> Weakening If  $\Gamma \sqsubseteq \Gamma'$  and  $\Gamma' \vdash$  and  $\Gamma \vdash t : A$  then  $\Gamma' \vdash t : A$
- <sup>720</sup> Substitution If  $\Gamma \vdash t : A$  and  $\Gamma, x : A, \Gamma' \vdash u : B$  then  $\Gamma, \Gamma'[t/x] \vdash u[t/x] : B[t/x]$
- <sup>721</sup> Validity If  $\Gamma \vdash t : A$  then  $\Gamma \vdash A : s$  for some sort s
- <sup>722</sup> Subject Reduction If  $\Gamma \vdash t : A \text{ and } t \longrightarrow t' \text{ then } \Gamma \vdash t' : A$
- <sup>723</sup> **Proof.** See for instance [5], [11] or [34].

# 724 C Omitted proofs of Section 4

▶ Lemma 2 (Case analysis of ⊆). If  $A \subseteq B$  then either  $A \equiv B$  or  $A \longrightarrow^* \Delta \Rightarrow n$  and  $B \longrightarrow^* \Delta \Rightarrow m$  for some context  $\Delta$  and natural numbers n, m with  $n \leq m$ .

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- **Proof.** By induction on the definition of  $\subseteq$ . 727
- Cases SUB and Eq : Trivial. 728
- Case TRANS : By i.h. we consider four cases : 729
- Subcase  $A \equiv B$  and  $B \equiv C$ : Then  $A \equiv C$ . 730
- Subcase  $A \equiv B$  and  $B \longrightarrow^* \Delta \Rightarrow n$  and  $C \longrightarrow^* \Delta \Rightarrow m$  with  $n \leq m$ : By confluence 731 we have  $A \longrightarrow P^* \longleftarrow \Delta \Rightarrow n$ . It is easy to see that P must be of the form  $\Delta' \Rightarrow n$ 732 for some reduct  $\Delta'$  of  $\Delta$ . Therefore, we also have  $C \longrightarrow^* \Delta' \Rightarrow m$ . 733
- Subcase  $A \longrightarrow^* \Delta \Rightarrow n$  and  $B \longrightarrow^* \Delta \Rightarrow m$  with  $n \leq m$  and  $B \equiv C$ : Symmetric to 734 the previous one. 735
- Subcase  $A \longrightarrow^* \Delta \Rightarrow n$  and  $B \longrightarrow^* \Delta \Rightarrow m$  with  $n \leq m$ , and  $B \longrightarrow^* \Delta' \Rightarrow n'$  and 736  $C \longrightarrow^* \Delta' \Rightarrow m'$  with  $n' \leq m'$ : By confluence, we have  $\Delta \Rightarrow m \longrightarrow^* P^* \longleftarrow \Delta' \Rightarrow n'$ . 737 It is easy to see that P is of the form  $\Delta'' \Rightarrow m$  for some reduct  $\Delta''$  of  $\Delta$  and  $\Delta'$ , and that 738 m = n'. Hence we get  $A \longrightarrow^* \Delta'' \Rightarrow n$  and  $C \longrightarrow^* \Delta'' \Rightarrow m'$  with  $n \leq m = n' \leq m'$ . 739
- Case PRODCOV : By i.h. we consider two subcases 740
- Subcase  $A \equiv B$ : Then we also have  $\Pi x : C A \equiv \Pi x : C B$ 741

<sup>742</sup> = Subcase 
$$A \longrightarrow^* \Delta \Rightarrow n$$
 and  $B \longrightarrow^* \Delta \Rightarrow m$  with  $n \leq m$ : Then by taking  $\Delta' := x$ :

$$_{^{743}} C, \Delta \text{ we have } \Pi x : C.A \longrightarrow^* \Delta' \Rightarrow m \text{ and } \Pi x : C.B \longrightarrow^* \Delta' \Rightarrow m \text{ with } n \leqslant m. \quad \P$$

▶ **Proposition 3** (Simulation of Assaf's full reflection rules). We have the following conversions. 744

$$\pi_{\underline{1+n,\underline{m}}}^{\underline{0}} (\uparrow_l \bullet a) \ (\lambda x : C.b) \equiv \uparrow_{\underline{\mathfrak{R}(n,\underline{m})}}^{\underline{\mathfrak{R}(1+n,\underline{m})}} \bullet \ (\pi_{\underline{n},\underline{m}}^{\underline{0}} \ a \ (\lambda x : C.b))$$
(1)

$$\pi_{\frac{746}{747}}^{746} \qquad \pi_{\underline{n},\underline{1+m}}^{0} \ a \ (\lambda x : C.\uparrow_{l} \bullet b) \equiv \uparrow_{\underline{\mathfrak{R}(n,m)}}^{\underline{\mathfrak{R}(n,1+m)}} \bullet \ (\pi_{\underline{n},\underline{m}}^{0} \ a \ (\lambda x : C.b))$$
(2)

**Proof.** Each statement is shown separately, by a disjunction of cases in which each case 748 corresponds to one of the rules involving  $\uparrow$  and  $\pi$ . 749

1. m = 0: Then the identity follows directly from the rule  $\uparrow_{\pi}^{1}$ . 750  $= 1 + n \leq m$  (which implies  $m \neq 0$ ): Then we have m = k + 1 + n for some  $k \in \mathbb{N}$  and 751

$$\pi_{\underline{1}+n,\underline{k+1+n}}^{0} (\uparrow_{l} \bullet a) (\lambda x : C.b) \equiv \pi_{\underline{0},\underline{k}}^{\underline{1+n}} (\uparrow_{l} \bullet a) (\lambda x : C.b)$$

$$\equiv \pi_{\underline{0},\underline{1+k}}^{\underline{n}} a (\lambda x : C.b) \qquad (by \uparrow_{\pi}^{2})$$

$$\equiv \pi_{\underline{n},\underline{m}}^{\underline{n}} a (\lambda x : C.b)$$

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= 1 + n > m > 0: Then we have  $n \ge m$  and thus n = k + m for some  $k \in \mathbb{N}$  and 756

$$\pi_{\underline{1+k+m},\underline{m}}^{0}(\uparrow_{l} \bullet a) (\lambda x : C.b) \equiv \pi_{\underline{1+k},\underline{0}}^{\underline{m}}(\uparrow_{l} \bullet a) (\lambda x : C.b)$$

$$\equiv \uparrow_{\underline{k+m}} \bullet (\pi_{\underline{k},\underline{0}}^{\underline{m}} a (\lambda x : C.b)) \qquad (by \uparrow_{\pi}^{3})$$

$$\equiv \uparrow_{\underline{n}} \bullet (\pi_{\underline{n},\underline{m}}^{\underline{n}} a (\lambda x : C.b))$$

**2.**  $m \ge n$ : Then we have m = k + n for some  $k \in \mathbb{N}$  and 761

$$\pi_{\underline{n},\underline{1+m}}^{0} a (\lambda x : C.\uparrow_{l} \bullet b) = \pi_{\underline{n},\underline{1+k+n}}^{0} a (\lambda x : C.\uparrow_{l} \bullet b)$$
$$\equiv \pi_{\underline{0},\underline{1+k}}^{n} a (\lambda x : C.\uparrow_{l} \bullet b)$$

$$\equiv \uparrow_{\underline{n+k}} \bullet (\pi_{\underline{0,k}}^{\underline{n}} a \ (\lambda x : C.b)) \qquad (by \uparrow_{\pi}^{5})$$

$$\equiv \uparrow_{\underline{m}} \bullet (\pi_{\underline{n},\underline{m}}^{\underline{0}} a \ (\lambda x : C.b))$$

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m < n with m = 0: Then we have n = 1 + k for some  $k \in \mathbb{N}$  and 767

$$\pi_{0}^{0} \qquad \pi_{\underline{n},\underline{1}}^{0} \ a \ (\lambda x : C.\uparrow_{l} \bullet b) = \pi_{\underline{1}+k,\underline{1}}^{0} \ a \ (\lambda x : C.\uparrow_{l} \bullet b)$$

$$\equiv \pi_{\underline{k},\underline{0}}^{1} \ a \ (\lambda x : C.\uparrow_{l} \bullet b)$$

$$\equiv \widehat{\pi}_{\underline{1}+k}^{0} \ (\pi_{\underline{1}+k,\underline{0}}^{0} \ a \ (\lambda x : C.b)) \qquad (by \uparrow_{\pi}^{6})$$

$$\equiv \Uparrow_{\underline{n}} \left( \pi_{\underline{n},\underline{0}}^{\underline{0}} \ a \ (\lambda x : C.b) \right)$$

$$\equiv \uparrow_{\underline{0}}^{\underline{n}} \bullet (\pi_{\underline{n},\underline{0}}^{\underline{0}} \ a \ (\lambda x : C.b))$$

m < n with m > 0: Then we have m = 1 + k for some  $k \in \mathbb{N}$  and n = m + 1 + k' for 774 some  $k' \in \mathbb{N}$  and 775

$$\pi_{1}^{0} \qquad \pi_{\underline{n},\underline{1+m}}^{0} a \ (\lambda x : C.\uparrow_{l} \bullet b) = \pi_{\underline{2+k+k'},\underline{2+k}}^{0} a \ (\lambda x : C.\uparrow_{l} \bullet b)$$

$$\equiv \pi_{\underline{k'},\underline{0}}^{2+k} a \ (\lambda x : C.\uparrow_{l} \bullet b) \qquad (by \uparrow_{\pi}^{4})$$

$$\equiv \pi_{\underline{1+k'},\underline{0}}^{1+k} a \ (\lambda x : C.b)$$

$$\equiv \pi_{\underline{n},m}^{0} a \ (\lambda x : C.b)$$

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#### D **Omitted proofs of Section 5** 781

#### **Confluence of** $\beta \mathcal{R}_1$ **D**.1 782

Given a rewrite system  $\mathcal{R}$ , the orthogonal rewriting relation  $\Longrightarrow_{\beta \mathcal{R}}$  [22, 27] (also known 783 as developments or multi-step reduction [12]) is defined over metaterms by the following 784 inference rules, where we write  $\theta \Longrightarrow \theta'$  as an abbreviation for dom $(\theta) = dom(\theta')$  and for all 785  $\vec{x}.t/t \in \theta$  and  $\vec{x}.t'/t \in \theta'$  we have  $t \Longrightarrow t'$ . 786

$$\begin{array}{cccc} & \operatorname{VaR} & & \operatorname{Const} & & \operatorname{Sort} & & \operatorname{META} \\ & & \overline{x \Longrightarrow x} & & \overline{c \Longrightarrow c} & & \overline{s \Longrightarrow s} & & \frac{t_i \Longrightarrow t'_i & \text{for all } i}{\mathsf{t}\{t_1..t_k\} \Longrightarrow \mathsf{t}\{t'_1..t'_k\}} \\ \\ & \xrightarrow{\operatorname{App}} & & \xrightarrow{\operatorname{ABS}} & & & \xrightarrow{\operatorname{Lim}} & t_i & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & t_i & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & t_i & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & t_i & \xrightarrow{\operatorname{Lim}} & \xrightarrow{Lim}} & \xrightarrow{Lim} & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & \xrightarrow{\operatorname{Lim}} & \xrightarrow$$

Orthogonal rewriting satisfies the following well-known properties—see [27, Lemma 3.1.2] 787 and [27, Lemma 3.1.6] for the proofs. 788

▶ **Proposition 29.** We have  $\longrightarrow_{\beta \mathcal{R}_1} \subseteq \Longrightarrow_{\beta \mathcal{R}_1} \subseteq \longrightarrow_{\beta \mathcal{R}_1}^*$ , hence  $\longrightarrow_{\beta \mathcal{R}_1}^*$  and  $\Longrightarrow_{\beta \mathcal{R}_1}^*$  are equal. 789 ▶ **Proposition 30.** If  $t \Longrightarrow_{\beta \mathcal{R}} t'$  and  $\theta \Longrightarrow_{\beta \mathcal{R}} \theta'$  then  $t[\theta] \Longrightarrow_{\beta \mathcal{R}} t'[\theta']$ . 790

In the following, recall that a rule  $l \mapsto r$  overlaps  $l' \mapsto r'$  when some non-metavariable 791 subterm of l unifies with l'. 792

• **Proposition 31.**  $\Longrightarrow_{\beta \mathcal{R}_1}$  satisfies the diamond property. 793

**Proof.** Given t, u, v with  $u \iff t \implies v$  we show that there is w with  $u \implies w \iff v$ . The 794 proof is by induction on  $t \longrightarrow u$  and  $t \longrightarrow v$ . The only interesting cases is when  $t \longrightarrow u$ 795 (or dually,  $t \Longrightarrow v$ ) is derived with rule  $\text{RED}_{\mathcal{R}}$ , in which case we have  $t = l[\theta]$  for some 796  $l \mapsto r \in \mathcal{R}_1$  and  $u = r[\theta']$  with  $\theta \Longrightarrow \theta'$ . There are then three possibilities regarding  $t \Longrightarrow v$ . 797

If all applications of RED in  $t \Longrightarrow v$  occur inside the substitution  $\theta$ , then because l is 798 linear we have  $v = l[\theta'']$  with  $\theta \Longrightarrow \theta''$ . By i.h. we have  $\theta' \Longrightarrow \theta''' \longleftrightarrow \theta''$  for some  $\theta'''$ , 799 and thus  $u = r[\theta'] \Longrightarrow r[\theta'''] \longleftrightarrow l[\theta''] = v$ . 800

If  $t \implies v$  starts with an application of  $\text{ReD}_{\mathcal{R}}$  using the same rule as the one applied in 801  $t \Longrightarrow u$ , then we have  $v = r[\theta'']$  with  $\theta \Longrightarrow \theta''$ . By i.h. we have  $\theta' \Longrightarrow \theta''' \longleftarrow \theta''$  for some 802  $\theta'''$ , and thus  $u = r[\theta'] \Longrightarrow r[\theta'''] \longleftarrow r[\theta'''] = v$ . 803

If RED is applied in  $t \Longrightarrow v$  with a rule  $l' \longmapsto r'$  overlapped by  $l \longmapsto r$ , we consider all 804 such possible cases (which correspond to the critical pairs in Figure 4). 805

= Case  $\uparrow_{\textcircled{0}}$  overlaps  $\uparrow_{\lambda}$ . 806

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$$= \operatorname{Case} \uparrow_{\lambda} \operatorname{overlaps} \uparrow_{\blacktriangleleft}$$

 $= Case \uparrow_{\textcircled{0}} overlaps \uparrow_{\checkmark}.$ 810

811

$$\downarrow \qquad X'' \dashrightarrow \lambda x: C''.D'') t'' u'' \dashrightarrow \lambda x: \lambda x: C''.D'') t'' u'' \dashrightarrow \lambda x: \lambda x: C''.D''' u'' \dashrightarrow \lambda x: C''.D''' u'' \cdots$$

 $\blacksquare$  Case  $\Rightarrow_{\triangleleft}$  overlaps  $\uparrow_{\triangleleft}$ . 812

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### 23:24 Impredicativity, Cumulativity and Product Covariance in Dedukti

▶ Remark 32. In a first read, one can have the impression that the above proof always applies when all critical pairs close in at most one step. This is not the case, and it crucially relies on the fact that all *orthogonal critical pairs* are simple, ensuring two facts. First, at most one rule in  $t \implies v$  can be overlapped by  $l \longmapsto r$  in  $t \implies u$ . Second, if a rule  $l \longmapsto r$  in  $t \implies u$ overlaps an a rule  $l' \longmapsto r'$  in  $t \implies v$ , then no rule in  $t \implies u$  is overlapped by  $l' \longmapsto r'$ .

**S20 •** Corollary 6.  $\beta \mathcal{R}_1$  is confluent.

# **E** Omitted proofs of Section 7

# 822 E.1 Injectivity

We start with the following generalization of Assaf's full reflection equations, used in the proof of the injectivity of El modulo lifting. From now on, let us write  $(\uparrow D)^k t$  for  $l_1 D (...(\uparrow_{l_k} D t)...)$  where the  $l_1, ..., l_k$  can be any terms.

**Lemma 33** (Generalized full reflection). For all  $k_1, k_2, n_1, n_2 \in \mathbb{N}$  we have

$$\pi^{0}_{\underline{k_{1}+n_{1},k_{2}+n_{2}}} ((\uparrow \bullet)^{k_{1}} A) (\lambda x : C.(\uparrow \bullet)^{k_{2}} B) \equiv \uparrow^{\mathfrak{R}(n_{1}+k_{1},n_{2}+k_{2})}_{\mathfrak{R}(n_{1},n_{2})} \bullet (\pi^{0}_{\underline{n_{1},n_{2}}} A (\lambda x : C.B))$$

Proof. By induction on  $k_1 + k_2$ , using Proposition 3.

In the following, we use the greek letter  $\rho$  to refer to rewrite sequences  $t \longrightarrow^* u$ . Given a rewrite sequence  $\rho$ , we write  $\hbar\rho$  for the first rewrite rule applied in the head in  $\rho$  or  $\hbar\rho = \perp$ if no step takes place at the head, and we write  $\#\rho$  for the total number of rewrite steps in  $\rho$ . For instance, if  $\rho$  denotes the sequence

 $\operatorname{El}_{l} ((\lambda x.\uparrow_{l'} \bullet x) \ u_{\underline{0}}) \longrightarrow \operatorname{El}_{l} (\uparrow_{l'} \bullet u_{\underline{0}}) \longrightarrow \operatorname{El}_{(\mathrm{P}\ l)} \ u_{\underline{0}} \longrightarrow \operatorname{U}_{\underline{0}}$ 

then we have  $\#\rho = 3$  and  $\hbar\rho = \text{El}_{\uparrow}$ , which is the rule applied in the middle.

We can now show that the constant El is injective modulo the insertion of some lifts.

**Proposition 34** (Injectivity of El modulo lifting). If  $\text{El}_{l_1} A_1 \equiv \text{El}_{l_2} A_2$ , where both sides are guarded and well typed, then there are natural numbers  $k_1, k_2$  such that

- <sup>838</sup> (1)  $A_1 \equiv (\uparrow \bullet)^{k_1} A_0$  and  $A_2 \equiv (\uparrow \bullet)^{k_2} A_0$  for some term  $A_0$ .
- <sup>839</sup> (2)  $S^{k_1} l_0 \equiv l_1$  and  $S^{k_2} l_0 \equiv l_2$  for some term  $l_0$ .

**Proof.** First note that, under the hypotheses of the lemma, (1) implies (2). Indeed, by applying confluence multiple times we obtain a term A' with  $A_1 \longrightarrow^* (\uparrow_{-} \bullet)^{k_1} A'$  and  $A_2 \longrightarrow^* (\uparrow_{-} \bullet)^{k_2} A'$ , and by subject reduction and inversion of typing we get  $\Gamma \vdash A' : U_{l'_1}$ with  $S^{k_1} l'_1 \equiv l_1$ , and  $\Gamma \vdash A' : U_{l'_2}$  with  $S^{k_2} l'_2 \equiv l_2$ . Therefore, by uniqueness of typing and injectivity of U we have  $l'_1 \equiv l'_2$ , and so  $l_1 \equiv S^{k_1} l'_1$  and  $l_2 \equiv S^{k_2} l'_1$ .

We now proceed to show that the hypotheses imply (1), however when applying the i.h. we also obtain (2) for free. By confluence we have  $\operatorname{El}_{l_1} A_1 \longrightarrow^* B * \longleftarrow \operatorname{El}_{l_2} A_2$  for some B. Let us to refer to the reduction sequence  $\operatorname{El}_{l_1} A_1 \longrightarrow^* B$  by  $\rho_1$  and to  $\operatorname{El}_{l_2} A_2 \longrightarrow^* B$  by  $\rho_2$ . We show the result by induction on  $\#\rho_1 + \#\rho_2$ , and by case analysis on  $\hbar\rho_1$  and  $\hbar\rho_2$ .

<sup>849</sup> Case  $\hbar \rho_1 = \text{El}_{\uparrow}$ . Then  $\rho_1$  is of the form

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$$\operatorname{El}_{l_1} A_1 \longrightarrow^* \operatorname{El}_{l'_1} (\uparrow_{l''_1} \bullet A'_1) \longrightarrow \operatorname{El}_{(\operatorname{P} l'_1)} A'_1 \stackrel{\rho_1}{\longrightarrow} B$$

Note that we have  $\#\rho'_1 + \#\rho_2 < \#\rho_1 + \#\rho_2$ , therefore we can apply the i.h. to deduce that for some term  $A_0$  and natural numbers  $k_1, k_2$  we have  $A'_1 \equiv (\uparrow_{-} \bullet)^{k_1} A_0$  and  $A_2 \equiv (\uparrow_{-} \bullet)^{k_2} A_0$ . We therefore have  $A_1 \equiv (\uparrow_{-} \bullet)^{(k_1+1)} A_0$  as required.

• Case  $\hbar \rho_1 = \text{El}_{\uparrow}$ . Then  $\rho_1$  is of the form

$$\operatorname{El}_{l_1} A_1 \longrightarrow^* \operatorname{El}_{l'_1} \left( \Uparrow_{\underline{n}} A'_1 \right) \longrightarrow \operatorname{El}_{(l'_1 - \underline{n})} A'_1 \longrightarrow^{\rho'_1} B$$

where the first argument  $\uparrow$  must be a concrete sort, because it is a reduct of a guarded term. Note that we have  $\#\rho'_1 + \#\rho_2 < \#\rho_1 + \#\rho_2$ , therefore we can apply the i.h. to deduce that for some term  $A_0$  and natural numbers  $k_1, k_2$  we have  $A'_1 \equiv (\uparrow_{-} \bullet)^{k_1} A_0$  and  $A_2 \equiv (\uparrow_{-} \bullet)^{k_2} A_0$ . Because *n* is concrete, we have  $\uparrow_{\underline{n}} A'_1 \longrightarrow^* (\uparrow_{-} \bullet)^n A'_1$ . Therefore, we have  $A_1 \equiv (\uparrow_{-} \bullet)^{k'_1} A_0$  by taking  $k'_1 = k_1 + n$ .

The cases  $\hbar\rho_2 = \text{El}_{\uparrow}$  and  $\hbar\rho_2 = \text{El}_{\uparrow}$  are symmetric to the above. Note that if  $\hbar\rho_1$  and  $\hbar\rho_2$ are both different from  $\text{El}_{\uparrow}$  and  $\text{El}_{\uparrow}$ , then we must have  $\hbar\rho_1 = \hbar\rho_2$ . Therefore, to conclude the proof it suffices to consider the following three cases:

Case 
$$\hbar \rho_1 = \hbar \rho_2 = \bot$$
. Immediate.  
Case  $\hbar \rho_1 = \hbar \rho_2 = \text{El}_u$ . For  $i = 1, 2$  we can decompose  $\rho_i$  as

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$$\operatorname{El}_{l_i} A_i \longrightarrow^* \operatorname{El}_{l'_i} \operatorname{u}_{l''_i} \longrightarrow \operatorname{U}_{l''_i} \longrightarrow^* B$$

By injectivity of U we have  $l''_1 \equiv l''_2$ , so by taking  $A_0 = \mathbf{u}_{l'_1}$  and  $k_1 = k_2 = 0$  we conclude. Case  $\hbar \rho_1 = \hbar \rho_2 = \mathrm{El}_{\pi}$ . For i = 1, 2 we can decompose  $\rho_i$  as

$$\operatorname{El}_{l_i} A_i \longrightarrow^* \operatorname{El}_{l'_i} \left( \pi \frac{m_i}{\underline{n}^a_i, \underline{n}^b_i} A^a_i \lambda x : C_i \cdot A^b_i \right) \longrightarrow \left( x : \operatorname{El}_{(\underline{m}_i + \underline{n}^a_i)} A^a_i \right) \to \operatorname{El}_{(\underline{m}_i + \underline{n}^b_i)} A^b_i \xrightarrow{\rho_i} B_i$$

where the first arguments of  $\pi$  must be concrete sorts because these are reducts of guarded terms. In the following, we write  $\delta$  for either a or b. Then it must be the case that B is of the form  $(x : B^a) \to B^b$  and that we can decompose  $\rho'_1$  and  $\rho'_2$  into  $\rho_1^a, \rho_1^b, \rho_2^a, \rho_2^b$  given by

<sup>873</sup> 
$$\operatorname{El}_{(\underline{m_1} + \underline{n_1^{\delta}})} A_1^{\delta} \xrightarrow{\rho_1^{\delta}} B^{\delta} \stackrel{\rho_2^{\delta}}{\longleftarrow} \operatorname{El}_{(\underline{m_2} + \underline{n_2^{\delta}})} A_2^{\delta}$$

We have  $\#\rho_1^{\delta} + \#\rho_2^{\delta} < \#\rho_1 + \#\rho_2$ , therefore by i.h. we deduce that for some terms  $A_0^{\delta}, l_0^{\delta}$ and natural numbers  $k_1^{\delta}, k_2^{\delta}$  we have

 $\text{are} \quad (a) \quad A_1^{\delta} \equiv (\uparrow \ \bullet)^{k_1^{\delta}} A_0^{\delta} \text{ and } A_2^{\delta} \equiv (\uparrow \ \bullet)^{k_2^{\delta}} A_0^{\delta}$ 

<sup>877</sup> (b) 
$$\underline{m_1} + \underline{n_1^{\delta}} \equiv \mathbf{S}^{k_1^{\circ}} \ l_0^{\delta} \text{ and } \underline{m_2} + \underline{n_2^{\delta}} \equiv \mathbf{S}^{k_2^{\circ}} \ l_0^{\delta}$$

Because  $\underline{m_1} + \underline{n_1^{\delta}} \longrightarrow m_1 + \underline{n_1^{\delta}}$ , by confluence it follows that  $l_0^{\delta}$  also reduces to a concrete sort  $p^{\delta} \in \mathbb{N}$ . We therefore have  $m_1 + n_1^{\delta} = k_1^{\delta} + p^{\delta}$  and  $m_2 + n_2^{\delta} = k_2^{\delta} + p^{\delta}$ . Together with the equations from (a), this allows us to show the following for i = 1, 2.

$$A_{i} \equiv \pi \frac{m_{i}}{\underline{n_{i}^{a}}, \underline{n_{i}^{b}}} A_{i}^{a} \lambda x : C_{i}.A_{i}^{b} \equiv \pi \frac{0}{\underline{m_{i} + n_{i}^{a}}, \underline{m_{i} + n_{i}^{b}}} A_{i}^{a} \lambda x : C_{i}.A_{i}^{b}$$

$$\equiv \pi \frac{0}{\underline{k_{i}^{a} + p^{a}}, \underline{k_{i}^{b} + p^{b}}} \left( \left( \uparrow_{-} \bullet \right)^{k_{i}^{a}} A_{0}^{a} \right) \left( \lambda x : C_{i}.\left( \uparrow_{-} \bullet \right)^{k_{i}^{b}} A_{0}^{b} \right)$$

$$\equiv \uparrow_{\mathfrak{R}(p^a,p^b)}^{\mathfrak{R}(p^a+k_i^a,p^b+k_i^b)} \bullet (\pi_{p^a,p^b}^0 A_0^a (\lambda x : C_i.A_0^b))$$

where the last equation follows from Lemma 33. It suffices now to show that  $C_1 \equiv C_2$ . To see this, note that by typing constraints we must have  $C_i \equiv \text{El}_{m_i+n_i^a} A_i^a$  and thus

$$C_i \equiv \mathrm{El}_{\underline{k}_i^a + p^a} \left( \left(\uparrow_{-} \bullet\right)^{k_i^a} A_0^a \right) \equiv \mathrm{El}_{\underline{p}^a} A_0^a$$

where the right-hand side does not depend on i.

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The injectivity of El modulo lifting is then used to establish the injectivity of  $\Rightarrow$ .

▶ Proposition 35 (Injectivity of  $\Rightarrow$ ). If  $D_1 \Rightarrow l_1 \equiv D_2 \Rightarrow l_2$  and both sides are well typed and guarded, then  $D_1 \equiv D_2$  and  $l_1 \equiv l_2$ .

Proof. By confluence there is some term B such that  $D_1 \Rightarrow l_1 \longrightarrow B^* \longleftarrow D_2 \Rightarrow l_2$ . Let us refer to the reduction  $D_1 \Rightarrow l_1 \longrightarrow B^* B$  by  $\rho_1$  and to the reduction  $D_2 \Rightarrow l_2 \longrightarrow B^* B$  by  $\rho_2$ . We show the result by induction on  $\#\rho_1$ . We proceed with a case analysis on  $\hbar\rho_1$ , which by inspection must be equal to  $\hbar\rho_2$ .

- <sup>896</sup> Case  $\hbar \rho_1 = \hbar \rho_2 = \bot$ . It follows that  $B = D_0 \Rightarrow l_0$  for some  $D_0, l_0$  with  $D_1 \longrightarrow D_0^* \longleftarrow D_2$  and  $l_1 \longrightarrow l_0^* \longleftarrow D_2$ .
- <sup>898</sup> Case  $\hbar \rho_1 = \hbar \rho_2 = \Rightarrow_{\bullet}$ . For i = 1, 2, we can decompose  $\rho_i$  as

$$D_i \Rightarrow l_i \longrightarrow^* \bullet \Rightarrow l'_i \longrightarrow U_{l'} \longrightarrow^* B$$

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So we have  $D_1 \equiv \bullet \equiv D_2$ , and from  $U_{l'_1} \equiv U_{l'_2}$  we deduce  $l'_1 \equiv l'_2$  and thus  $l_1 \equiv l'_1 \equiv l'_2 \equiv l_2$ . Case  $\hbar \rho_1 = \hbar \rho_2 = \Rightarrow_{\bullet}$ . For i = 1, 2 we can decompose  $\rho_i$  as

$$D_i \Rightarrow l_i \longrightarrow^* (A_i \mid_{i}'' \triangleleft \lambda x : C_i . D'_i) \Rightarrow l'_i \longrightarrow (x : \operatorname{El}_{l''_i} A_i) \to D'_i \Rightarrow l'_i \longrightarrow^* B$$

In the last reduction sequence there can be no other steps in the head, so we must have B of the form  $(x:P) \to Q$  with  $\operatorname{El}_{l''_1} A_1 \longrightarrow^* P^* \longleftarrow \operatorname{El}_{l''_2} A_2$  and

$$D'_1 \Rightarrow l'_1 \stackrel{\rho'_1}{\longrightarrow} Q^* \longleftarrow D'_2 \Rightarrow l'_2$$

where  $\#\rho'_1 < \#\rho_1$ . Therefore, by i.h. we deduce  $D'_1 \equiv D'_2$  and  $l'_1 \equiv l'_2$ . Moreover, by inversion of typing in  $A_i l''_i \bullet \lambda x : C_i . D'_i$  we get  $C_i \equiv \operatorname{El}_{l''_i} A_i$  and thus  $C_1 \equiv C_2$ . Finally, by applying Proposition 34 with  $\operatorname{El}_{l''_1} A_1 \equiv \operatorname{El}_{l''_2} A_2$  we get  $A_1 \equiv (\uparrow_{-} \bullet)^{k_1} A_0$ and  $A_2 \equiv (\uparrow_{-} \bullet)^{k_2} A_0$  and  $l''_1 \equiv \operatorname{S}^{k_1} l_0$  and  $l''_2 \equiv \operatorname{S}^{k_2} l_0$  for some terms  $A_0, l_0$  and natural numbers  $k_1, k_2$ . Therefore, we conclude

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$$D_{1} \equiv A_{1 l_{1}''} (\lambda x : C_{1}.D_{1}') \equiv ((\uparrow_{-} \bullet)^{k_{1}} A_{0})_{(S^{k_{1}} l_{0})} (\lambda x : C_{2}.D_{2}')$$
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$$\equiv A_{0 l_{0}} (\lambda x : C_{2}.D_{2}')$$
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$$\equiv ((\uparrow_{-} \bullet)^{k_{2}} A_{0})_{(S^{k_{2}} l_{0})} (\lambda x : C_{2}.D_{2}')$$

$$\equiv A_2 l_2'' \bullet (\lambda x : C_2 . D_2') \equiv D_2$$

# 916 E.2 Coherence

<sup>917</sup> We first need the following technical lemma, allowing to decompose a telescope D when <sup>918</sup>  $D \Rightarrow l$  is convertible to a function type.

▶ **Lemma 36** (Telescope decomposition). If  $D \Rightarrow l \equiv (x : P) \rightarrow Q$  then  $D \longrightarrow A_{l'} \lambda x : C.D'$ for some A, l', C, D' with  $P \equiv El_{l'} A$  and  $Q \equiv D' \Rightarrow l$ .

**Proof.** By confluence, we have  $D \Rightarrow l \longrightarrow B^* \leftarrow (x:P) \to Q$ . We must have B of the form  $(x:P') \to Q'$  with  $P' \equiv P$  and  $Q' \equiv Q$ , and we can decompose  $D \Rightarrow l \longrightarrow B$  as

$$D \Rightarrow l \longrightarrow^{*} (A_{l'} \land \lambda x : C.D') \Rightarrow l'' \longrightarrow (x : \operatorname{El}_{l'} A) \to D' \Rightarrow l'' \longrightarrow^{*} (x : P') \to Q'$$

We thus have  $D \longrightarrow^* A_{l'} \land \lambda x : C.D'$  and  $\operatorname{El}_{l'} A \equiv P' \equiv P$  and  $D' \Rightarrow l \equiv Q' \equiv Q$ .

**Theorem 18** (Coherence). Let  $t_1, t_2 \in \Lambda_o$  with  $\Gamma \vdash t_1 : A_1$  and  $\Gamma \vdash t_2 : A_2$ . If  $|t_1| = |t_2|$ then at least one of the following holds:

927 (1)  $t_1 \equiv t_2$ 

- 928 (2)  $\Gamma \vdash \uparrow \frac{m}{\underline{n}} D \ t_2 : D \Rightarrow \underline{m} \ and \ t_1 \equiv \uparrow \frac{m}{\underline{n}} D \ t_2 \ for \ some \ D \ guarded$
- <sup>929</sup> (3)  $\Gamma \vdash \uparrow_n^m D t_1 : D \Rightarrow \underline{m} \text{ and } t_2 \equiv \uparrow_n^m D t_1 \text{ for some } D \text{ guarded}$

**Proof.** The proof is by induction on  $t_1$  and  $t_2$ , following the definition of |-|.

<sup>931</sup> Case  $t_1 = \uparrow_{\underline{n}} D u$ . By inversion of typing, uniqueness of type and injectivity of function <sup>932</sup> types, we have  $\Gamma \vdash D$ : Tele and  $\Gamma \vdash u : D \Rightarrow \underline{n}$ . By i.h. on u and  $t_2$ , we have three cases <sup>933</sup> to consider.

- (a)  $u \equiv t_2$ . By confluence, u and  $t_2$  have a common reduct w. Using subject reduction we know w has both types  $D \Rightarrow \underline{n}$  and  $A_2$  so by uniqueness of type, we know  $D \Rightarrow \underline{n} \equiv A_2$ so we can conclude that  $\Gamma \vdash t_2 : D \Rightarrow \underline{n}$  and thus that  $\Gamma \vdash \uparrow_{\underline{n}} D \ t_2 : D \Rightarrow (\underline{S} \ \underline{n})$ . Knowing that  $t_1 \equiv \uparrow_{\underline{n}} D \ t_2$  by congruence, we conclude.
- (b)  $\Gamma \vdash \uparrow \frac{m'}{n'} D' t_2 : D' \Rightarrow \underline{m'}$  and  $u \equiv \uparrow \frac{m'}{n'} D' t_2$ . Similarly to above, we can show  $D \Rightarrow \underline{n} \equiv D' \Rightarrow \underline{m'}$  by confluence, subject reduction and uniqueness of type. By injectivity of  $\Rightarrow$  (Proposition 35) we get  $D \equiv D'$  and  $\underline{n} \equiv \underline{m'}$  which means n = m'given that they are concrete. So  $t_1 = \uparrow_{\underline{n}} D \ u \equiv \uparrow_{\underline{n}} D \ (\uparrow_{\underline{n'}}^n D \ t_2) = \uparrow_{\underline{n''}}^{\underline{1+n}} D \ t_2$  by folding notations. Finally, we have  $\Gamma \vdash t_2 : D' \Rightarrow \underline{n'}$ , so by conversion we get  $\Gamma \vdash t_2 : D \Rightarrow \underline{n'}$ and thus  $\Gamma \vdash \uparrow_{\underline{n'}}^{\underline{1+n}} D \ t_2 : D \Rightarrow \underline{1+n}$ .
- (c)  $\Gamma \vdash \uparrow \frac{m'}{n'} D' u : D' \Rightarrow \underline{m'}$  and  $t_2 \equiv \uparrow \frac{m'}{n'} D' u$ . This gives us in particular that  $\Gamma \vdash u : D' \Rightarrow \underline{n'}$  so by uniqueness of type we get  $D \Rightarrow \underline{n} \equiv D' \Rightarrow \underline{n'}$  and thus  $D \equiv D'$ and n = n'. If m' = n then we have  $t_2 \equiv u$  so we proceed as in case (a), otherwise  $m' \ge 1 + n$  so we can conclude with  $t_2 \equiv \uparrow \frac{m'}{\underline{n}} D u = \uparrow \frac{m'}{\underline{1+n}} D (\uparrow \underline{n} D u) = \uparrow \frac{m'}{\underline{1+n}} D t_1$ and  $\Gamma \vdash \uparrow \frac{m'}{\underline{1+n}} D t_1 : D \Rightarrow \underline{m'}$ .

<sup>949</sup> The case  $t_2 = \uparrow_{\underline{n}} D v$  is symmetric to the one above, therefore, in the following, we consider <sup>950</sup>  $t_1$  and  $t_2$  not headed by  $\uparrow$ , in which case the definition of |-| impose that they have the <sup>951</sup> same head structure. Moreover, when applying the induction hypothesis, the proofs for the <sup>952</sup> cases (b) and (c) are almost always symmetric, so we only give the proofs for case (c) when <sup>953</sup> they are not symmetric.

954 Case  $t_1 = x = t_2$ . Trivial.

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955 Case  $t_1 = \mathbf{u}_{\underline{n}} = t_2$ . Trivial.

<sup>956</sup> Case  $t_1 = \pi_{\underline{n_1},\underline{m_1}}^0 A_1 (\lambda x : C_1.B_1), t_2 = \pi_{\underline{n_2},\underline{m_2}}^0 A_2 (\lambda x : C_2.B_2)$ . By inversion we know that  $A_1$  and  $A_2$  are well typed, of type  $U_{\underline{n_1}}$  and  $U_{\underline{n_2}}$  respectively. We also know that  $B_1$  and  $B_2$  are well typed—of type  $U_{\underline{m_1}}$  and  $U_{\underline{m_2}}$  respectively—but in *a priori* different contexts:  $\Gamma, x : El_{\underline{n_1}} A_1$  and  $\Gamma, x : El_{\underline{n_2}} A_2$  (we exploited here inversion and injectivity to conclude that  $C_i \equiv El_{n_i} A_i$ ). We thus first apply induction hypothesis on  $A_1$  and  $A_2$ :

(a)  $A_1 \equiv A_2$ . We can thus deduce that  $U_{\underline{n_1}} \equiv U_{\underline{n_2}}$  and thus that  $n_1 = n_2$ , which also implies  $C_1 \equiv \underline{\text{El}}_{\underline{n_1}} A_1 \equiv \underline{\text{El}}_{\underline{n_2}} A_2 \equiv C_2$ . Using context conversion, we type both  $B_1$ and  $B_2$  in context  $\Gamma, x : \underline{\text{El}}_{n_1} A_1$  and thus apply induction hypothesis on them:

(a) 
$$B_1 \equiv B_2$$
. We deduce  $m_1 = m_2$  and we can thus conclude  $\pi \frac{0}{\underline{n}_1, \underline{m}_1} A_1 (\lambda x : C_1.B_1) \equiv \pi \frac{0}{\underline{n}_2, \underline{m}_2} A_2 (\lambda x : C_2.B_2).$ 

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(b) 
$$\Gamma, x: \operatorname{El}_{\underline{n_1}} A_1 \vdash \left\{\frac{p'}{q'} D' B_2: D' \Rightarrow \underline{p'} \text{ and } B_1 = \left\{\frac{p'}{q'} D' B_2. \operatorname{Since } \Gamma, x: \operatorname{El}_{\underline{n_1}} A_1 \vdash B_2: U_{\underline{n_2}} \text{ we get } D' \Rightarrow \underline{q'} = U_{\underline{m_2}} \text{ which by confluence means that } D' = \bullet \text{ and } q' = m_2.$$
  
We thus have  $\Gamma, x: \operatorname{El}_{\underline{n_1}} A_1 \vdash \left\{\frac{p'}{q'} D' B_2: U_{\underline{p'}} \text{ and } \Gamma, x: \operatorname{El}_{\underline{n_1}} A_1 \vdash B_1: U_{\underline{m_1}} \text{ so} p' = m_1. \text{ Therefore, we get } B_1 = \left\{\frac{m_1}{2} \bullet B_2. \text{ Together with } C_1 = C_2 \text{ and } A_1 = A_2 \text{ and } Lemma 33, we can show  $t_1 = \left\{\frac{\Re(n_1,m_1)}{\Re(n_1,m_2)} \bullet t_2: \operatorname{Finally, it is easy to see that} \Gamma \vdash \left\{\frac{\Re(n_1,m_1)}{\Re(n_1,m_2)} \bullet t_2: \bullet \Rightarrow \Re(n_1,m_1). \right\}$   
(b)  $\Gamma \vdash \left\{\frac{p}{2} D A_2: D \Rightarrow p \text{ and } A_1 = \left\{\frac{p}{2} D A_2. \operatorname{Since } \Gamma \vdash A_1: U_{\underline{n_2}} \text{ we deduce } U_{\underline{n_1}} = D \Rightarrow p \text{ which means that } D = \bullet \text{ and } p = n_1. \operatorname{Since } \Gamma \vdash A_2: U_{\underline{n_2}} \text{ we also get that } q = n_2.$   
Hence we have  $A_1 = \left\{\frac{m_1}{12} \bullet A_2 \text{ and thus } \mathrm{El}_{\underline{n_1}} A_1 = B_{\underline{n_1}} \left(\left\{\frac{m_2}{12} \bullet A_2\right\} + A_2 \text{ and} \right\}$   
(a)  $B_1 = B_2. \text{ We obtain } m_1 = m_2, \text{ thus by combining } C_1 = C_2 \text{ and } A_1 = \left\{\frac{m_1}{\underline{m_2}} \bullet A_2 \text{ and} \right\}$   
Use that  $\Gamma \vdash \left\{\frac{\Re(n_1,m_1)}{\Re(n_2,m_1)} \bullet t_2: \bullet \Rightarrow \Re(n_1,m_1).$   
(b)  $\Gamma \vdash \left\{\frac{p'}{2'} D' B_2: D' \Rightarrow p' \text{ and } B_1 = \left\{\frac{p'}{2'} D' B_2. \text{ As before, we obtain } B_1 = \left\{\frac{m_1}{\underline{m_2}} \bullet B_2, \right\}$   
so by combining  $C_1 = C_2 \text{ and } A_1 = \left\{\frac{m_1}{\Re(n_2,m_2)} \bullet t_2: \bullet \Rightarrow \Re(n_1,m_1).$   
(c)  $\Gamma \vdash \left\{\frac{p'}{2'} D' B_1: D' \Rightarrow p' \text{ and } B_2 = \left\{\frac{p'}{2'} D' B_1. \text{ As before, we obtain } B_2 = \left\{\frac{m_2}{\underline{m_2}} \bullet B_1, \right\}$   
so by combining  $C_1 = C_2 \text{ and } A_1 = \left\{\frac{m_1}{\Re(n_2,m_2)} \bullet t_2: \bullet \Rightarrow \Re(n_1,m_1).$   
(c)  $\Gamma \vdash \left\{\frac{p'}{2'} D' B_1: D' \Rightarrow p' \text{ and } B_2 = \left\{\frac{p'}{2'} D' B_1. \text{ As before, we obtain } B_2 = \left\{\frac{m_2}{\underline{m_2}} \bullet B_1, \right\}$   
so by combining  $C_1 = C_2 \text{ and } A_1 = \left\{\frac{m_1}{\Re(n_2,m_2)} \bullet t_2: \bullet \Rightarrow \Re(n_1,m_1).$   
(f)  $\Pi(n_2,m_2) \to \Re(n_1,m_1) \text{ then it follows that  $t_1 = t_2. \text{ Otherwise, suppose wlog} \text{ that } \Re(n_2,m_2) > \Re(n_1,m_1).$   
(g)  $\Gamma \vdash \left\{\frac{M(n_2,m_2)}{\Re(n_2,m_2)} \bullet$$$ 

<sup>993</sup> meaning that no lifts are inserted between  $v_1$  and  $v_2$ . We thus conclude that  $t_1 \equiv t_2$ . <sup>994</sup> (b)  $\Gamma \vdash \uparrow_{\underline{n}}^{\underline{m}} D \ u_2 : D \Rightarrow \underline{m}$  and  $u_1 \equiv \uparrow_{\underline{n}}^{\underline{m}} D \ u_2$ . Now,  $(x : A_1) \rightarrow B_1 \equiv D \Rightarrow \underline{m}$ , so <sup>995</sup> by Lemma 36 we have  $D \longrightarrow^* a_{l} \checkmark \lambda x : C.D'$  with  $\operatorname{El}_l a \equiv A_1$  and  $B_1 \equiv D' \Rightarrow \underline{m}$ . <sup>996</sup> Moreover, we also get that  $\operatorname{El}_l a \equiv A_2$  and  $B_2 \equiv D' \Rightarrow \underline{n}$ . We are again in a situation <sup>997</sup> where  $v_1$  and  $v_2$  share a type, so by the same arguments as in case (a) the i.h. gives <sup>998</sup>  $v_1 \equiv v_2$ . Therefore, we have

$$t_1 = u_1 \ v_1 \equiv \left(\uparrow_{\underline{n}}^{\underline{m}} \left(a_l \cdot \lambda x : C.D'\right) u_2\right) \ v_2 \equiv \uparrow_{\underline{n}}^{\underline{m}} D'[v_2/x] \ (u_2 \ v_2) = \uparrow_{\underline{n}}^{\underline{m}} D'[v_2/x] \ t_2$$

For typing, we have  $\Gamma \vdash t_2 : B_2[v_2/x]$  so by conversion we have  $\Gamma \vdash t_2 : D'[v_2/x] \Rightarrow \underline{n}$ and thus  $\Gamma \vdash \uparrow \underline{\underline{n}} D'[v_2/x] t_2 : D'[v_2/x] \Rightarrow \underline{\underline{m}}.$ 

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Case  $t_1 = \lambda x : \operatorname{El}_{\underline{n_1}} A_1.u_1$  and  $t_2 = \lambda x : \operatorname{El}_{\underline{n_2}} A_2.u_2$ . By inversion we have  $\Gamma \vdash A_i : U_{\underline{n_i}}$ and  $\Gamma, x : \operatorname{El}_{\underline{n_i}} A_i \vdash u_i : B_i$ . We first show  $\operatorname{El}_{\underline{n_1}} A_1 \equiv \operatorname{El}_{\underline{n_2}} A_2$  by applying induction hypothesis on  $A_1$  and  $A_2$ :

1006 (a)  $A_1 \equiv A_2$ . Immediate.

(b)  $\Gamma \vdash \uparrow_{\underline{q}}^{\underline{p}} D A_2 : D \Rightarrow \underline{p} \text{ and } A_1 \equiv \uparrow_{\underline{q}}^{\underline{p}} D A_2.$  Since  $\Gamma \vdash A_1 : U_{\underline{n_1}}$  we get  $U_{\underline{n_1}} \equiv D \Rightarrow \underline{p}$  which entails  $D \equiv \bullet$  and  $p = n_1$ . Similarly,  $q = n_2$ . Therefore,  $\mathrm{El}_{\underline{n_1}} \overline{A_1} \equiv \mathrm{El}_{n_1} (\uparrow_{\underline{n_2}}^{\underline{n_1}} \bullet A_2) \equiv \mathrm{El}_{n_2} A_2$  which is the wanted result.

We now have  $\Gamma, x : El_{n_1} A_1 \vdash u_i : B_i$  and can thus apply the i.h. on  $u_1$  and  $u_2$ :

1011 (a)  $u_1 \equiv u_2$ . We conclude  $t_1 \equiv t_2$ .

<sup>1012</sup> (b)  $\Gamma, x : \operatorname{El}_{\underline{n_1}} A_1 \vdash \uparrow_{\underline{q}}^{\underline{p}} D \ u_2 : D \Rightarrow \underline{p} \text{ and } u_1 \equiv \uparrow_{\underline{q}}^{\underline{p}} D \ u_2.$  Let us define  $D' := A_2 \underline{n_2} \blacktriangleleft (\lambda x : \operatorname{El}_{\underline{n_2}} A_2 . D)$ . We have

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$$t_1 = \lambda x : \operatorname{El}_{\underline{n_1}} A_1.u_1 \equiv \lambda x : \operatorname{El}_{\underline{n_2}} A_2.\uparrow_{\underline{q}}^{\underline{p}} D u_2$$
$$\equiv \uparrow_{\underline{q}}^{\underline{p}} (A_2 \underline{n_2} \blacktriangleleft (\lambda x : \operatorname{El}_{\underline{n_2}} A_2.D)) \lambda x : \operatorname{El}_{\underline{n_2}} A_2.u_2$$
$$= \uparrow_{\underline{q}}^{\underline{p}} D' t_2$$

As for the typing, we have  $\Gamma, x : \text{El}_{\underline{n_2}} A_2 \vdash u_2 : D \Rightarrow \underline{q} \text{ so } \Gamma \vdash t_2 : (x : \text{El}_{\underline{n_2}} A_2) \rightarrow D \Rightarrow q \text{ so by conversion } \Gamma \vdash t_2 : D' \Rightarrow q \text{ hence we conclude } \Gamma \vdash \uparrow_{\overline{q}}^p D' t_2 : D' \Rightarrow p. \quad \blacktriangleleft$ 

## 1020 E.3 Soundness

Lemma 21 (Computing the El of a translation). Let  $A \in \Lambda_o$  with  $El_l A$  well typed.

- 1022 **1.** If |A| = n then  $\operatorname{El}_l A \longrightarrow^* \operatorname{U}_{\underline{n}}$ .
- 1023 **2.** If  $|A| = \Pi x : A_1 \cdot A_2$  then  $\operatorname{El}_l A \longrightarrow^* (x : \operatorname{El}_{n_1} A'_1) \rightarrow \operatorname{El}_{n_2} A'_2$  with  $|A'_i| = A_i$ .

**Proof.** For the first part, note that by definition of |-|, if |A| = n then A is of the form  $\uparrow_{\underline{n_1}} D_1 (...(\uparrow_{\underline{n_k}} D_k \mathbf{u}_{\underline{n}})...)$  for some k. By typing constraints we can then deduce  $D_i \equiv \bullet$  for all i, which by confluence gives  $D_i \longrightarrow^* \bullet$ . We conclude  $\operatorname{El}_l A \longrightarrow^* \operatorname{El}_l ((\uparrow_{\underline{\phantom{a}}} \bullet)^k \mathbf{u}_{\underline{n}}) \longrightarrow^* \mathbf{U}_{\underline{n}}$ . For the second part, by definition of |-|, if  $|A| = \Pi x : A_1.A_2$  then we must have A of the form  $\uparrow_{n_1} D_1 (...(\uparrow_{n_k} D_k (\pi_{\underline{n_1},\underline{n_2}}^0 A'_1 \lambda x : P.A'_2))...)$  with  $|A'_i| = A_i$ . By inversion of typing, we must have  $D_i \equiv \bullet$  for all i, which by confluence gives  $D_i \longrightarrow^* \bullet$ . We then conclude  $\operatorname{El}_l A \longrightarrow^* \operatorname{El}_l ((\uparrow_{\underline{\phantom{a}}} \bullet)^k (\pi_{\underline{n_1},\underline{n_2}}^0 A'_1 \lambda x : P.A'_2)) \longrightarrow^* (x : \operatorname{El}_{\underline{n_1}} A'_1) \to \operatorname{El}_{\underline{n_2}} A'_2$ .

Lemma 22 (Telescope translation). Let  $A_1, A_2 \in \Lambda_o$  with  $\Gamma \vdash A_i : U_{\underline{n_i}}$ . If  $|A_i| = \Delta \Rightarrow m_i$ for some  $m_1 \leq m_2$ , then we have El<sub>ni</sub>  $A_i \equiv D \Rightarrow \underline{m_i}$  for some guarded  $\overline{D}$  with  $\Gamma \vdash D$ : Tele.

<sup>1033</sup> **Proof.** We prove this by induction on  $\Delta$ .

1034  $\Delta = \cdot$ . In this case  $|A_i| = m_i$ , so by Lemma 21 we get  $\operatorname{El}_{n_i} A_i \equiv \operatorname{U}_{m_i} \equiv \bullet \Rightarrow \underline{m_i}$ .

 $\begin{array}{ll} & \Delta = x: B, \Delta'. \text{ We have } |A_i| = \Pi x: B, \Delta' \Rightarrow m_i \text{, so by Lemma 21 we get } \mathrm{El}_{\underline{n_i}} A_i \longrightarrow^* (x: \\ & \mathrm{El}_{\underline{p_i}} B_i) \rightarrow \mathrm{El}_{\underline{q_i}} A_i' \text{ with } |B_i| = B \text{ and } |A_i'| = \Delta' \Rightarrow m_i. \text{ By inversion of typing we have } \\ & \Gamma \vdash B_i: \mathrm{U}_{\underline{p_i}} \text{ and because } |B_1| = |B_2| \text{ then Proposition 20 gives } \mathrm{El}_{\underline{p_1}} B_1 \equiv \mathrm{El}_{\underline{p_2}} B_2. \text{ By inversion of typing once more and conversion in context, we get } \Gamma, x: \mathrm{El}_{\underline{p_1}} B_1 \vdash A_i': \mathrm{U}_{\underline{q_i}}. \\ & \mathrm{Now we \ can \ apply \ the \ i.h. \ to \ obtain \ a \ guarded \ D \ satisfying \ \Gamma, x: \mathrm{El}_{\underline{p_1}} B_1 \vdash D: \mathrm{Tele} \\ & \mathrm{and \ El}_{\underline{q_i}} A_i' \equiv D \Rightarrow m_i. \text{ By taking } D' := B_1 \underline{p_1} A_x: \mathrm{El}_{\underline{p_1}} B_1.D \text{ we \ can \ now \ show } \\ & \Gamma \vdash D': \mathrm{Tele \ and \ El}_{n_i} A_i \equiv (x: \mathrm{El}_{p_1} B_1) \rightarrow D \Rightarrow m_i \equiv D' \Rightarrow m_i \text{ as required.} \end{array}$ 

<sup>1042</sup> ► **Theorem 23** (Soundness). If Γ ⊢<sub>cc</sub> t : A then we have Γ' ⊢ t' : El<sub>n</sub> A' for some Γ' ∈ Ctx<sub>o</sub> <sup>1043</sup> and t', A' ∈ Λ<sub>o</sub> and n ∈ N with  $||\Gamma'|| = \Gamma$  and |t'| = t and |A'| = A.

<sup>1044</sup> **Proof.** We instead show the following two points, which together imply the theorem.

1045 If  $\Gamma \vdash_{\mathsf{cc}}$  then  $\Gamma' \vdash$  for some  $\Gamma' \in \mathsf{Ctx}_o$  with  $\|\Gamma'\| = \Gamma$ .

<sup>1046</sup> If  $\Gamma \vdash_{\mathsf{cc}} t : A$  and  $\Gamma' \vdash$  for some  $\Gamma' \in \mathsf{Ctx}_o$  with  $\|\Gamma'\| = \Gamma$  then  $\Gamma' \vdash t' : \mathrm{El}_{\underline{n}} A'$  for some <sup>1047</sup>  $n \in \mathbb{N}$  and  $A', t' \in \Lambda_o$  with |A'| = A and |t'| = t.

<sup>1048</sup> We prove them by induction on the derivation of  $\Gamma \vdash_{cc} cr \Gamma \vdash_{cc} t : A$ .

1049 Case

EmptyCtx

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 $\cdot \vdash_{\mathsf{cc}}$ 

<sup>1051</sup> The empty context in the target works.

1052 Case

$$\frac{\Gamma \vdash_{\mathsf{cc}} \Gamma \vdash_{\mathsf{cc}} \Gamma \vdash_{\mathsf{cc}} A: n}{\Gamma, x: A \vdash_{\mathsf{cc}}}$$

By induction hypothesis we get  $\Gamma'$  with  $|\Gamma'| = \Gamma$  and  $\Gamma' \vdash$ . Then by i.h. again we have  $\Gamma' \vdash A' : \operatorname{El}_{\underline{m}} B$  with |A'| = A and |B| = n, so by Lemma 21 we get  $\Gamma' \vdash A' : U_{\underline{n}}$ . Thus  $\Gamma' \vdash \operatorname{El}_{\underline{n}} A' : \operatorname{Type}$  and we can conclude  $\Gamma', x : \operatorname{El}_{\underline{n}} A' \vdash$ . Case

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$$(x:A) \in \Gamma \frac{\Gamma \vdash_{cc}}{\Gamma \vdash_{cc} x:A}$$

Assuming  $\Gamma' \vdash$  and  $\|\Gamma'\| = \Gamma$ , we know that  $(x : A) \in \|\Gamma'\|$  meaning there exists some A'and n such that  $(x : El_{\underline{n}} A') \in \Gamma'$  and |A'| = A. We thus conclude with  $\Gamma' \vdash x : El_{\underline{n}} A'$ . Case

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$$\frac{\Gamma \vdash_{\mathsf{cc}}}{\Gamma \vdash_{\mathsf{cc}} n : \mathfrak{A}(n)}$$

Follows because we have  $\Gamma' \vdash \underline{\mathbf{u}}_{\underline{n}} : \underline{\mathrm{El}}_{\underline{\mathfrak{A}}^2(n)} \underline{\mathbf{u}}_{\underline{\mathfrak{A}}(n)}$  with  $|\underline{\mathbf{u}}_{\underline{n}}| = n$  and  $|\underline{\mathbf{u}}_{\underline{\mathfrak{A}}(n)}| = \mathfrak{A}(n)$ . Case

 $\frac{\Gamma \vdash_{\mathsf{cc}} A: n \qquad \Gamma, x: A \vdash_{\mathsf{cc}} B: m}{\Gamma \vdash_{\mathsf{cc}} \Pi x: A.B: \mathfrak{R}(n, m)}$ 

By i.h. and Lemma 21 we have  $\Gamma' \vdash A' : U_{\underline{n}}$  and |A'| = A. Therefore we have  $\Gamma', x : \underline{\operatorname{El}}_{\underline{n}} A' \vdash$ , so by i.h. and Lemma 21 again we obtain  $\Gamma', x : \underline{\operatorname{El}}_{\underline{n}} A' \vdash B' : U_{\underline{m}}$  with |B'| = B. We then derive  $\Gamma' \vdash \pi_{\underline{n},\underline{m}}^{\underline{0}} A' (\lambda x : \underline{\operatorname{El}}_{\underline{n}} A' \cdot B') : \underline{\operatorname{El}}_{\mathfrak{A}(\mathfrak{R}(n,m))} \mathfrak{u}_{\mathfrak{R}(n,m)}$  to conclude. 1069 Case

$$\frac{\Gamma \vdash_{\mathsf{cc}} A: n \qquad \Gamma, x: A \vdash_{\mathsf{cc}} t: E}{\Gamma \vdash_{\mathsf{cc}} \lambda x: A.t: \Pi x: A.B}$$

By i.h. and Lemma 21 we have  $\Gamma' \vdash A' : U_{\underline{n}}$  and |A'| = A. Therefore we have  $\Gamma', x : El_{\underline{n}} A' \vdash$ , so by i.h. we get  $\Gamma', x : El_{\underline{n}} A' \vdash t' : El_{\underline{m}} B'$  for some m and with |t'| = tand |B'| = B. By inversion, we then deduce  $\Gamma', x : El_{\underline{n}} A' \vdash B' : U_{\underline{m}}$ . We can now show  $\Gamma' \vdash \lambda x : El_{\underline{n}} A'.t' : (x : El_{\underline{n}} A') \to El_{\underline{m}} B'$  and because its type is convertible to  $El_{\mathfrak{R}(n,m)} (\pi_{\underline{n},\underline{m}}^{0} A' (\lambda x : El_{\underline{n}} A'.B'))$ , which is well typed, we conclude by applying the conversion rule.

1077 Case

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$$\frac{\Gamma \vdash_{\mathsf{cc}} t : \Pi x : A.B \qquad \Gamma \vdash_{\mathsf{cc}} u : A}{\Gamma \vdash_{\mathsf{cc}} t \ u : B[u/x]}$$

By induction hypothesis we have  $\Gamma' \vdash t' : \operatorname{El}_p C'$  and  $\Gamma' \vdash u' : \operatorname{El}_q A'$  for some t', C', u', A'1079 with |t'| = t and  $|C'| = \Pi x : A.B$  and |u'| = u and |A'| = A. By Lemma 21 we get 1080  $\Gamma' \vdash t' : (x : \operatorname{El}_{\underline{n}} A'') \to \operatorname{El}_{\underline{m}} B'$  for some A'', B' with |A''| = A and |B'| = B, and 1081 inversion of typing gives  $\Gamma' \vdash A'' : U_{\underline{n}}$  and  $\Gamma', x : El_{\underline{n}} A'' \vdash B' : U_{\underline{m}}$ . We also have 1082  $\Gamma' \vdash A' : U_q$ , so because |A'| = |A''| we can apply Proposition 20 to get  $\operatorname{El}_n A'' \equiv \operatorname{El}_q A'$ . 1083 So we have  $\overline{\Gamma'} \vdash u' : \operatorname{El}_n A''$ , and therefore  $\Gamma' \vdash t' u' : (\operatorname{El}_m B')[u'/x]$ . Since m is concrete, 1084 this type is in fact  $\operatorname{El}_m B'[u'/x]$ , and Proposition 17 ensures that |B'[u'/x]| = B[u/x]. 1085 Case 1086

$$A \subseteq B \frac{\Gamma \vdash_{\mathsf{cc}} t : A \qquad \Gamma \vdash_{\mathsf{cc}} B : n}{\Gamma \vdash_{\mathsf{cc}} t : B}$$

CONV

By induction hypothesis we have  $\Gamma' \vdash t' : \operatorname{El}_{\underline{m}} A'$  and  $\Gamma' \vdash B' : U_{\underline{n}}$  with |t'| = t, |A'| = Aand |B'| = B (using Lemma 21 for the second derivation). By inversion we obtain  $\Gamma' \vdash A' : U_{\underline{m}}$ . We now use Lemma 2 to split  $A \subseteq B$  into two cases:

<sup>1091</sup> =  $A \equiv B$ . We have  $|A'| \equiv |B'|$  so by Proposition 20 we conclude  $\operatorname{El}_{\underline{m}} A' \equiv \operatorname{El}_{\underline{n}} B'$ , and <sup>1092</sup> thus  $\Gamma' \vdash t' : \operatorname{El}_{n} B'$ .

 $\begin{array}{ll} {}_{1093} & = A \longrightarrow^* \Delta \Rightarrow p \text{ and } B \longrightarrow^* \Delta \Rightarrow q \text{ with } p \leqslant q. \text{ We apply Lemma 19 on } A' \text{ to get some} \\ {}_{094} & A'' \text{ such that } |A''| = \Delta \Rightarrow p \text{ and } A' \longrightarrow^* A''. \text{ Similarly, we get } B'' \text{ with } |B''| = \Delta \Rightarrow q \\ {}_{1095} & \text{and } B' \longrightarrow^* B''. \text{ We can then apply Lemma 22 to obtain a guarded term } D \text{ such that} \\ {}_{1096} & \Gamma' \vdash D: \text{Tele and } \text{El}_{\underline{m}} A'' \equiv D \Rightarrow \underline{p} \text{ and } \text{El}_{\underline{n}} B'' \equiv D \Rightarrow \underline{q}. \text{ We can now conclude with} \\ {}_{1097} & \Gamma' \vdash \uparrow_{\underline{p}}^{\underline{q}} D t: \text{El}_{n} B'. \end{array}$ 

# **F** Omitted proofs of Section 8

▶ **Theorem 25** (Conservativity for object terms). Let  $\Gamma \in Ctx_o$  and  $A \in \Lambda_o$  with  $\|\Gamma\| \vdash_{cc} |A| : n$ for some n. If  $\Gamma \vdash t : El_n A$  with t an object term, then we have  $\|\Gamma\| \vdash_{cc} |t| : |A|$ .

<sup>1101</sup> **Proof.** We instead show the following claim.

<sup>1102</sup>  $\succ$  Claim 37. Let  $\Gamma \vdash t : A$  with  $\Gamma \in \mathsf{Ctx}_o$  and  $\|\Gamma\| \vdash_{\mathsf{cc}}$ . If t is an object term, then there <sup>1103</sup> exists  $A' \in \Lambda_o^{\bullet}$  with  $A \equiv A'$  and  $\|\Gamma\| \vdash_{\mathsf{cc}} |t| : |A'|^{\bullet}$ .

First note that this implies the statement of the theorem. Indeed, by the claim we have  $\|\Gamma\| \vdash_{cc} |t| : |B|^{\bullet}$  for some  $B \in \Lambda_o^{\bullet}$  with  $B \equiv \operatorname{El}_{\underline{n}} A$ . Therefore  $|B|^{\bullet} \equiv |A|^{\bullet} = |A|$ , so we conclude  $\|\Gamma\| \vdash_{cc} |t| : |A|$  by the conversion rule.

<sup>1107</sup> We proceed with the proof of the claim, by induction on t, following the definition of  $\Lambda_o$ .

### 23:32 Impredicativity, Cumulativity and Product Covariance in Dedukti

 $\begin{aligned} & \text{Case } t = \lambda x : \text{El}_{\underline{n}} A_1.u. \text{ By inversion we have } \Gamma \vdash A_1 : \text{U}_{\underline{n}} \text{ and } \Gamma, x : \text{El}_{\underline{n}} A_1 \vdash u : A_2 \\ & \text{for some } A_2 \text{ with } A \equiv (x : \text{El}_{\underline{n}} A_1) \to A_2. \text{ By i.h. we thus have } \|\Gamma\| \vdash_{\text{cc}} |A_1| : |B_1|^{\bullet} \text{ with} \\ & B_1 \equiv \text{U}_{\underline{n}}. \text{ Therefore, we have } |B_1|^{\bullet} \equiv n, \text{ so by conversion we can derive } \|\Gamma\| \vdash_{\text{cc}} |A_1| : |B_1|^{\bullet} \text{ with} \\ & \text{and so } \|\Gamma\|, x : |A_1| \vdash_{\text{cc}}. \text{ By i.h. once more, we have } \|\Gamma\|, x : |A_1| \vdash_{\text{cc}} |u| : |B_2|^{\bullet} \text{ for some} \\ & B_2 \text{ with } B_2 \equiv A_2. \text{ We can thus derive } \|\Gamma\| \vdash_{\text{cc}} \lambda x : |A_1|.|u| : |(x : \text{El}_{\underline{n}} A_1) \to B_2|^{\bullet} \text{ and} \\ & A \equiv (x : \text{El}_{\underline{n}} A_1) \to B_2. \end{aligned}$ 

 $\begin{array}{ll} \text{ Case } t = u \ v. \ \text{By inversion of typing we have } \Gamma \vdash u : (x : A_1) \to A_2 \ \text{and } \Gamma \vdash v : A_1 \\ \text{and } A \equiv A_2[v/x]. \ \text{By i.h. we thus have } \|\Gamma\| \vdash_{\mathsf{cc}} |u| : |B|^{\bullet} \ \text{with } B \equiv (x : A_1) \to A_2, \\ \text{and } \|\Gamma\| \vdash_{\mathsf{cc}} |v| : |C|^{\bullet} \ \text{with } C \equiv A_1. \ \text{Using confluence multiple times, it follows that} \\ B \longrightarrow^* (x : A_1') \to A_2' \ \text{and } C \longrightarrow^* A_1' \ \text{for some } A_1' \equiv A_1 \ \text{and } A_2' \equiv A_2. \ \text{Therefore} \\ \|\Gamma\| \vdash_{\mathsf{cc}} |u| : |\Pi x : |A_1'|^{\bullet}.|A_2'|^{\bullet} \ \text{and } \|\Gamma\| \vdash_{\mathsf{cc}} |v| : |A_1'|^{\bullet}, \ \text{allowing us to deduce } \|\Gamma\| \vdash_{\mathsf{cc}} |v| : \\ |A_2'[v/x]|^{\bullet} \ \text{and such that } A \equiv A_2[v/x] \equiv A_2'[v/x]. \end{array}$ 

<sup>1124</sup> ■ Case  $t = \uparrow_{\underline{m}} D u$ . By inversion we have  $\Gamma \vdash u : D \Rightarrow \underline{m}$  and  $A \equiv D \Rightarrow \underline{m} + 1$ . By i.h. we <sup>1125</sup> get  $\|\Gamma\| \vdash_{cc} |u| : |B|^{\bullet}$  with  $B \equiv D \Rightarrow \underline{m}$ . By confluence we have  $B \longrightarrow P^{*} \longleftarrow D \Rightarrow \underline{m}$ , <sup>1126</sup> and because B is in the domain of  $|-|^{\bullet}$  then so is P, and because it is also a reduct of <sup>1127</sup>  $D \Rightarrow \underline{m}$  it follows that it must be of the form

$$(x_1:A_1) \to \dots \to (x_k:A_k) \to \mathbf{U}_m$$

Therefore we have  $|B|^{\bullet} \longrightarrow^{*} \Pi x_{1} : |A_{1}|^{\bullet}..x_{k} : |A_{k}|^{\bullet}.m$  and thus  $\|\Gamma\| \vdash_{cc} |u| : \Pi x_{1} : |A_{1}|^{\bullet}..x_{k} : |A_{k}|^{\bullet}.m$ . Because this type is well typed, it is easy to see that  $\Pi x_{1} : |A_{1}|^{\bullet}..x_{k} : |A_{k}|^{\bullet}.m + 1$  also is, and thus by rule Cumul we get  $\|\Gamma\| \vdash_{cc} |u| : \Pi x_{1} : |A_{1}|^{\bullet}..x_{k} : |A_{k}|^{\bullet}.m + 1$ . Now we conclude by noticing that if  $D \Rightarrow \underline{m} \longrightarrow^{*} (x_{1} : A_{1}) \rightarrow .. \rightarrow (x_{k} : A_{k}) \rightarrow U_{\underline{m}}$ , then it must be the case that  $D \Rightarrow \underline{m} + 1 \longrightarrow^{*} (x_{1} : A_{1}) \rightarrow .. \rightarrow (x_{k} : A_{k}) \rightarrow U_{\underline{m}+1}$ .

 $= \operatorname{Case} t = \pi_{\underline{p},\underline{q}}^{0} A_{1} (\lambda x : C.A_{2}).$  By inversion we have  $\Gamma \vdash A_{1} : \bigcup_{p} \operatorname{and} \Gamma, x : \operatorname{El}_{\underline{p}} A_{1} \vdash A_{2} : \bigcup_{q} \operatorname{with} A \equiv \bigcup_{\underline{\mathfrak{R}}(p,q)}.$  So by i.h. we have  $\|\Gamma\| \vdash_{\operatorname{cc}} |A_{1}| : |A_{1}^{\top}|^{\bullet}$  with  $A_{1}^{\prime} \equiv \bigcup_{p}$ , so  $|A_{1}^{\prime}|^{\bullet} \equiv p$  and by the conversion rule we get  $\|\Gamma\| \vdash_{\operatorname{cc}} |A_{1}| : p$  and so  $\|\Gamma\|, x : |A_{1}| \vdash_{\operatorname{cc}}.$ By the i.h. once more, we also have  $\|\Gamma\|, x : |A_{1}| \vdash_{\operatorname{cc}} |A_{2}| : |A_{2}^{\prime}|^{\bullet}$  with  $A_{2}^{\prime} \equiv \bigcup_{q},$  thus  $|A_{2}^{\prime}|^{\bullet} \equiv q$  and by the conversion rule we have  $\|\Gamma\|, x : |A_{1}| \vdash_{\operatorname{cc}} |A_{2}| : q$ . Therefore, we can derive  $\|\Gamma\| \vdash_{\operatorname{II}} |A_{1}| : |A_{2}| : |U_{\mathfrak{R}(p,q)}|^{\bullet}$  and we indeed have  $A \equiv \bigcup_{\mathfrak{R}(p,q)}.$