

Abstract Effects and Proof- Relevant Logical Relations

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Current draft at : <http://research.microsoft.com/~nick/setoids.pdf>

Effect Systems

- Static analyses refining conventional types with upper bounds on possible side effects of expressions
- Gifford, Jouvelot, Lucassen, Sheldon. FX'87
- Dozens (hundreds?) since, including static memory management in ML-Kit and monadic effects in MLj and SML.NET for optimization

$$\overline{\Theta \vdash n : \text{int}}$$

$$\overline{\Theta \vdash b : \text{bool}}$$

$$\overline{\Theta \vdash () : \text{unit}}$$

$$\overline{\Theta, x : X \vdash x : X}$$

$$\frac{\Theta \vdash V_1 : \text{int} \quad \Theta \vdash V_2 : \text{int}}{\Theta \vdash V_1 + V_2 : \text{int}}$$

$$\frac{\Theta \vdash V_1 : \text{int} \quad \Theta \vdash V_2 : \text{int}}{\Theta \vdash V_1 > V_2 : \text{bool}}$$

$$\frac{\Theta \vdash V_1 : X \quad \Theta \vdash V_2 : Y}{\Theta \vdash (V_1, V_2) : X \times Y}$$

$$\frac{\Theta \vdash V : X_1 \times X_2}{\Theta \vdash \pi_i V : X_i}$$

$$\frac{\Theta, x : X \vdash M : T_\varepsilon Y}{\Theta \vdash \lambda x : U(X).M : X \rightarrow T_\varepsilon Y}$$

$$\frac{\Theta \vdash V_1 : X \rightarrow T_\varepsilon Y \quad \Theta \vdash V_2 : X}{\Theta \vdash V_1 V_2 : T_\varepsilon Y}$$

$$\frac{\Theta \vdash V : X}{\Theta \vdash \text{val } V : T_\emptyset X}$$

$$\frac{\Theta \vdash M : T_\varepsilon X \quad \Theta, x : X \vdash N : T_{\varepsilon'} Y}{\Theta \vdash \text{let } x \leftarrow M \text{ in } N : T_{\varepsilon \cup \varepsilon'} Y}$$

$$\frac{\Theta \vdash V : \text{bool} \quad \Theta \vdash M : T_\varepsilon X \quad \Theta \vdash N : T_\varepsilon X}{\Theta \vdash \text{if } V \text{ then } M \text{ else } N : T_\varepsilon X}$$

$$\overline{\Theta \vdash \text{read}(\ell) : T_{\{\text{r}_\ell\}}(\text{int})}$$

$$\frac{\Theta \vdash V : \text{int}}{\Theta \vdash \text{write}(\ell, V) : T_{\{\text{w}_\ell\}}(\text{unit})}$$

$$\frac{\Theta \vdash V : X \quad X \leq X'}{\Theta \vdash V : X'}$$

$$\frac{\Theta \vdash M : T_\varepsilon X \quad T_\varepsilon X \leq T_{\varepsilon'} X'}{\Theta \vdash M : T_{\varepsilon'} X'}$$

Semantics?

- Want to justify effect-dependent transformations as contextual equivalences, not just soundness of analysis
- Don't want something tied to syntactic rules of particular inference system – should be in terms of the observable behaviour of unrefined terms
- Amongst other things that lets us soundly combine refinements obtained by different analyses, including manual proof

Relations over denotational model

$$\begin{aligned} \llbracket X \rrbracket &\subseteq \llbracket U(X) \rrbracket \times \llbracket U(X) \rrbracket \\ \llbracket \text{int} \rrbracket &= \Delta_{\mathbb{Z}} \quad \llbracket \text{bool} \rrbracket = \Delta_{\mathbb{B}} \quad \llbracket \text{unit} \rrbracket = \Delta_1 \\ \llbracket X \times Y \rrbracket &= \llbracket X \rrbracket \times \llbracket Y \rrbracket \\ \llbracket X \rightarrow T_\varepsilon Y \rrbracket &= \llbracket X \rrbracket \rightarrow \llbracket T_\varepsilon Y \rrbracket \\ \llbracket T_\varepsilon X \rrbracket &= \bigcap_{R \in \mathcal{R}_\varepsilon} R \rightarrow R \times \llbracket X \rrbracket \end{aligned}$$

where $\mathcal{R}_\varepsilon \subseteq \mathbb{P}(S \times S)$ is given by $\mathcal{R}_\varepsilon = \bigcap_{e \in \varepsilon} \mathcal{R}_e$ and for atomic effects e , $\mathcal{R}_e \subseteq \mathbb{P}(S \times S)$ is given by

$$\begin{aligned} \mathcal{R}_{\text{r}\ell} &= \{R \mid (s, s') \in R \implies s\ell = s'\ell\} \\ \mathcal{R}_{\text{w}\ell} &= \{R \mid (s, s') \in R \implies \forall n \in \mathbb{Z}. (s[\ell \mapsto n], s'[\ell \mapsto n]) \in R\} \end{aligned}$$

Dead Computation:

$$\frac{\Theta \vdash M : T_\varepsilon X \quad \Theta \vdash N : T_{\varepsilon'} Y}{\Theta \vdash \text{let } x \leftarrow M \text{ in } N = N : T_{\varepsilon'} Y} \quad x \notin \Theta, \text{wrs}(\varepsilon) = \emptyset$$

Duplicated Computation:

$$\frac{\Theta \vdash M : T_\varepsilon X \quad \Theta, x : X, y : X \vdash N : T_{\varepsilon'} Y}{\Theta \vdash \begin{array}{l} \text{let } x \leftarrow M \text{ in let } y \leftarrow M \text{ in } N \\ = \text{let } x \leftarrow M \text{ in } N[x/y] \end{array} : T_{\varepsilon \cup \varepsilon'} Y} \quad \text{rds}(\varepsilon) \cap \text{wrs}(\varepsilon) = \emptyset$$

Commuting Computations:

$$\frac{\Theta \vdash M_1 : T_{\varepsilon_1} X_1 \quad \Theta \vdash M_2 : T_{\varepsilon_2} X_2 \quad \Theta, x_1 : X_1, x_2 : X_2 \vdash N : T_{\varepsilon'} Y}{\Theta \vdash \begin{array}{l} \text{let } x_1 \leftarrow M_1 \text{ in let } x_2 \leftarrow M_2 \text{ in } N \\ = \text{let } x_2 \leftarrow M_2 \text{ in let } x_1 \leftarrow M_1 \text{ in } N \end{array} : T_{\varepsilon_1 \cup \varepsilon_2 \cup \varepsilon'} Y} \quad \begin{array}{l} \text{rds}(\varepsilon_1) \cap \text{wrs}(\varepsilon_2) = \emptyset \\ \text{wrs}(\varepsilon_1) \cap \text{rds}(\varepsilon_2) = \emptyset \\ \text{wrs}(\varepsilon_1) \cap \text{wrs}(\varepsilon_2) = \emptyset \end{array}$$

Pure Lambda Hoist:

$$\frac{\Theta \vdash M : T_{\{\}} Z \quad \Theta, x : X, y : Z \vdash N : T_\varepsilon Y}{\Theta \vdash \begin{array}{l} \text{val } (\lambda x : U(X). \text{let } y \leftarrow M \text{ in } N) \\ = \text{let } y \leftarrow M \text{ in val } (\lambda x : U(X). N) \end{array} : T_{\{\}}(X \rightarrow T_\varepsilon Y)}$$

A language with dynamic allocation

- Axiomatic (abstract) treatment of state equipped with dom, lookup, update and new
- Set of *regions* Regs, refined types include ref_r
- $\epsilon \subseteq \{rd_r, wr_r, al_r \mid r \in \text{Regs}\}$

$$\frac{\Gamma(x) = \text{int}}{\Gamma \vdash \text{ref}(x) : \text{ref}_r : \{al_r\}} \quad \frac{\Gamma(x) = \text{ref}_r \quad \Gamma(y) = \text{int}}{\Gamma \vdash x := y : \text{unit}, \{wr_r\}}$$

$$\frac{\Gamma \vdash e : A, \epsilon \quad r \text{ does not occur in } \Gamma \text{ or } A}{\Gamma \vdash e : A, \epsilon \setminus \{wr_r, rd_r, al_r\}}$$

Parametric Logical Relation

- A parameter φ assigns every $r \in \text{Regs} \cup \{\tau\}$ a finite partial bijection on \mathbb{L} (all disjoint)
- State relation on $L, L' \subseteq \mathbb{L}$ is $R \subseteq S \times S$ st. $sRs', s \sim_L s_1, s' \sim_{L'}, s_1' \Rightarrow s_1Rs_1'$
- If R state relation on $\text{dom}(\varphi), \text{dom}'(\varphi)$ then
 - R respects $\{rd_r\}$ at φ if $sRs' \Rightarrow s.l = s'.l' \forall (l, l') \in \varphi(r)$
 - R respects $\{wr_r\}$ at φ if $sRs', (l, l') \in \varphi(r), v \in \mathbb{Z} \Rightarrow s[l \mapsto v]Rs[l' \mapsto v]$
 - R respects $\{al_r\}$ always
- $\mathcal{R}_\epsilon(\varphi) = \{R \in \text{StRel}(\text{dom}(\varphi), \text{dom}'(\varphi)) \text{ st. } \forall e \in \epsilon, R \text{ resp. } e \text{ at } \varphi\}$
- $\llbracket A \rrbracket_\varphi$ will be a QPER on $\llbracket |A| \rrbracket$
 - Relation R such that $R;R^{-1};R = R$

$$\llbracket A \rrbracket_\varphi \equiv \{(v, v) \mid v \in \llbracket A \rrbracket\} \text{ when } A \in \{\text{int}, \text{bool}, \text{unit}\}$$

$$\llbracket \text{ref}_r \rrbracket_\varphi \equiv \varphi(r)$$

$$\llbracket A \times B \rrbracket_\varphi \equiv \llbracket A \rrbracket_\varphi \times \llbracket B \rrbracket_\varphi$$

$$\llbracket A \xrightarrow{\varepsilon} B \rrbracket_\varphi \equiv \{(f, f') \mid \forall \varphi' \geq \varphi. \forall (x, x') \in \llbracket A \rrbracket_{\varphi'}.$$

$$(f(x), f'(x')) \in (T_\varepsilon \llbracket B \rrbracket)_{\varphi'}\}$$

$$(T_\varepsilon Q)_\varphi \equiv QPER(\{(f, f') \mid s, s' \models \varphi \Rightarrow$$

$$\forall R \in \mathcal{R}_\varepsilon(\varphi). s R s' \Rightarrow s_1 R s'_1 \wedge$$

$$\exists \psi. (\psi(r) \neq \emptyset \Rightarrow r \in \text{als}(\varepsilon)) \wedge s_1, s'_1 \models \varphi \otimes \psi \wedge$$

$$s_1 \sim_\psi s'_1 \wedge (v, v') \in Q_{\varphi \otimes \psi}$$

$$\text{where } (s_1, v) = f \ s \text{ and } (s'_1, v') = f' \ s'\})$$

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- Monotonicity: $\varphi' \geq \varphi \Rightarrow \llbracket A \rrbracket_{\varphi'} \supseteq \llbracket A \rrbracket_{\varphi}$
- Masking: If r not in A , $\llbracket A \rrbracket_{\varphi} = \llbracket A \rrbracket_{\varphi - r}$ where $\varphi - r$ moves $\varphi(r)$ into the silent region τ
- Fundamental theorem
- Semantic equality, quantifying over parameters, is PER and yields same equations except duplicated computations requires no allocations as well as disjoint reads and writes

Abstract Effects and Locations

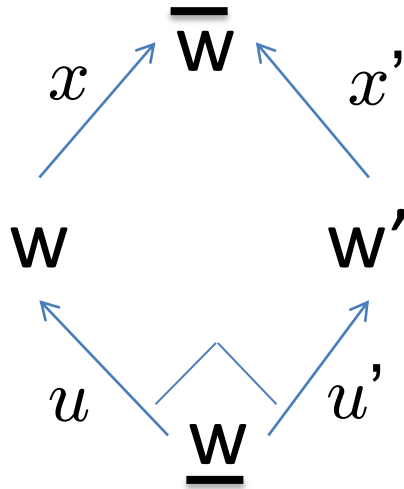
- Effectfulness often partially abstract
 - Masking deals with some completely non-observable uses of private state
- Consider a set ADT represented using balanced trees
 - Should be able to assign read-only effect to lookup operation even though internal rebalancing involves mutation
- Similarly, view of regions as disjoint sets heap locations is over-concrete
 - From the outside should be able to assign distinct regions to structures whose implementations physically overlap
 - E.g. two references encoded in one

Setoids

- Predomain $|A|$ & for $x, y \in |A|$, set $A(x, y)$ of 'proofs' that $x \sim y$
- $\{(x, y, p) \mid p : x \sim y\}$ a predom with cts projections
- $r_A : \prod x \in |A|. A(x, x)$, also s_A, t_A
- Morphisms $f = (f_0 : |A| \rightarrow |B|, f_1 : \prod x, y. A(x, y) \rightarrow B(f_0(x), f_0(y)))$
- Set of morphisms forms a setoid $p : f \sim g$ is $p : \prod x \in |A|. B(f_0(x), g_0(x))$

Worlds

- W category with pullbacks, spans can be completed to minimal pullbacks, all morphisms mono



Setoid-valued functors

- Setoid Aw for $w \in W$
- Setoid morph $Au:Aw \rightarrow Aw'$ for $u:w \rightarrow w'$
 - Write $u.a$ for $Au(a)$

A is *pullback-preserving* (p.p.f.) if for every pullback square $w \underset{u}{\overset{x}{\diamond}} \underset{u'}{x'} w'$ with apex \bar{w} and low point \underline{w} there is a continuous function of type

$$\begin{aligned} \Pi a \in Aw. \Pi a' \in Aw'. A\bar{w}(x.a, x'.a') \rightarrow \\ \Sigma \underline{a} \in A\underline{w}. AW(u.\underline{a}, a) \times AW'(u'.\underline{a}, a') \end{aligned}$$

So if values equal in apex, must have come from common value in intersection world

- Form category with morphisms given by pairs of functions, 2nd explicitly witnessing naturality up to \sim
- For computation types actually use generalization called fibred setoids

Instantiations

- Axiomatised untyped model of stateful computation (soln of rec dom eqn) $\mathbb{L}, \mathbb{H}, \mathbb{V}, \mathbb{C}$
- Instantiation comprises
 - Category of worlds
 - Lfluf subcategory I of inclusions
 - Contravariant pushout preserving ζ from W to setoids
 - Set of effects \mathcal{E} and for each ϵ , set $\mathcal{R}(\epsilon)$ of relations on ζ
- A relation on ζ is admissible $Rw \subseteq \zeta w \times \zeta w$ st $(\sigma, \sigma') \in Rw$ and $u: w_0 \rightarrow w$ implies $(\sigma.u, \sigma'.u) \in Rw_0$ and closed under \sim

Abstract Locations

An *abstract location* l consists of:

- a nonempty, admissible PER l^R on \mathbb{H} modelling the “semantic equality” on the bits of the store that l uses (a “rely-condition”);
- a reflexive, transitive relation l^G modelling what bits of the store “writes to l ” leave intact (a “guarantee condition”);
- an accessibility map $l^F : \Pi h \in \mathbb{H}. \mathcal{P}(\text{dom}(h))$ describing the “footprint” of the abstract location.

subject to some accessibility conditions...

Two abstract locations l_1, l_2 are independent if

- for $i = 1, 2$ one has $l_i^R; l_{3-i}^G \subseteq l_i^R$ and if $l_i^G(h, h_1)$ and $l \in \text{dom}(h) \setminus l_{3-i}^F(h)$ then $l \notin l_{3-i}^F(h_1)$;
- If $(h_1, h_1) \in l_1$ and $(h_2, h_2) \in l_2$ there exists h such that $(h, h_1) \in l_1$ and $(h, h_2) \in l_2$.

If l_1, l_2 are independent, we form a joint location $l_1 \otimes l_2$ by $(l_1 \otimes l_2)^R = l_1^R \cap l_2^R$ and $(l_1 \otimes l_2)^G = (l_1^G \cup l_2^G)^*$ and $(l_1 \otimes l_2)^F(h) = l_1^F(h) \cup l_2^F(h)$.

Instantiation: Heap PERs

- World w is set of mutually independent abstract locations, tagged with regions

$$\mathfrak{S}w = \{h \in \mathbb{H} \mid \forall I \in w. (h, h) \in I^R\}$$

$$\mathfrak{S}w(\sigma, \sigma') = \{\star\} \iff \forall I \in w. (\sigma, \sigma') \in I^R, \quad \mathfrak{S}w(\sigma, \sigma') = \emptyset \text{ otherwise}$$

Morphism is injective $u_0: \text{dom } w \rightarrow \text{dom } w'$ plus pair of cts fns $\mathbb{H} \rightarrow \mathbb{H}$ that map the heaps between the two worlds in accordance with u_0 and play nice with relies & guarantees

Relations

$$\begin{aligned}
 R \in \mathcal{R}(rd_r) & \iff (\sigma, \sigma') \in RW \Rightarrow \forall l \in w(r). (\sigma, \sigma') \in I^R \\
 R \in \mathcal{R}(wr_r) & \iff (\sigma, \sigma') \in RW \Rightarrow \forall l \in w(r). \forall (\sigma_1, \sigma'_1) \in I^R \\
 & (\sigma, \sigma_1) \in I^G \wedge (\sigma', \sigma'_1) \in I^G \wedge \Rightarrow \\
 & \quad (\sigma_1, \sigma'_1) \in RW \\
 R \in \mathcal{R}(al_r) & \iff (\sigma, \sigma') \in RW \Rightarrow \forall w_1. \forall u \in \mathcal{I}(w, w_1). \\
 & (w_1 \setminus w \subseteq w_1(r)) \Rightarrow \forall \sigma_1, \sigma'_1 \in \mathfrak{S}w_1. \\
 & (\sigma_1.u \sim \sigma \wedge \sigma'_1.u \sim \sigma' \wedge \\
 & (\sigma_1, \sigma'_1) \in \bigcap_{l \in w_1 \setminus w} I^R) \Rightarrow (\sigma_1, \sigma'_1) \in RW_1
 \end{aligned}$$

Proof-Relevant Logical Relations

A *semantic type* is a pair (A, \Vdash^A) where A is a p.p.f. (on \mathbf{W}) and \Vdash^A is an admissible subset of $\mathbb{V} \times Aw$ for each $w \in \mathbf{W}$ such that for every inclusion $u : w \rightarrow w'$ one has that $v \Vdash^A v$ implies $v \Vdash^A u.v$. A *semantic computation* is a pair (T, \Vdash^T) where T is a fibred setoid over \mathbf{W} and \Vdash^T is an admissible subset of $\mathbb{C} \times Tw$ for each w .

Let A be a semantic type and ε an effect. A semantic computation $T_\varepsilon A$ is defined as follows:

- (Objects) Elements of $(T_\varepsilon A)w$ are pairs (c_0, c_1) of partial continuous functions where

$$c_0 : \mathfrak{S}w \rightarrow \Sigma w_1. \mathcal{I}(w, w_1) \times \mathfrak{S}w_1 \times Aw_1$$

and c_1 satisfies if $R \in \mathcal{R}(\varepsilon)$ and $(\sigma, \sigma') \in Rw$ and $c_0(\sigma) = (w_1, u, \sigma_1, a)$ and $c_0(\sigma') = (w'_1, u', \sigma'_1, a')$ then $c_1(R, \sigma, \sigma')$ returns a pair $(\underset{v}{x} \diamond \underset{v'}{x'}, p)$ where $w_1 \underset{v}{x} \diamond \underset{v'}{x'} w'_1$ such that $xu = x'u'$. Furthermore, $p \in A\bar{w}(x.a, x'.a')$ and, finally, $(\sigma_1.u, \sigma'_1.u') \in R\underline{w}$ where \underline{w} and \bar{w} are low point and apex of $\underset{v}{x} \diamond \underset{v'}{x'}$.

- (Proofs) ...

- (Realization) If $c \in \mathbb{C}$, define $c \Vdash^T_{\mathbf{W}} (c_0, c_1)$ to mean whenever $h \Vdash_w \sigma$ then $c(h)$ is defined iff $c_0(\sigma)$ is defined and if $c(h) = (h_1, v)$ and $c_0(\sigma) = (w_1, u, \sigma_1, v)$ then $h_1 \Vdash_{w_1} \sigma_1$ and $v \Vdash^A_{w_1} v$.

Fundamental Theorem

To a typing derivation $\Gamma \vdash t : \tau \& \mathcal{E}$ we associate a morphism

$$\llbracket \Gamma \vdash t : \tau \& \mathcal{E} \rrbracket : S(\llbracket \Gamma \rrbracket) \rightarrow T_{\mathcal{E}} \llbracket \tau \rrbracket$$

such that $\llbracket t \rrbracket \Vdash^{\llbracket \Gamma \rrbracket \rightarrow T_{\mathcal{E}} \tau} \llbracket \Gamma \vdash t : \tau \& \mathcal{E} \rrbracket$.

To an equality derivation $\Gamma \vdash t = t' : \tau \& \mathcal{E}$ we associate a proof

$$\llbracket \Gamma \vdash t = t' : \tau \& \mathcal{E} \rrbracket : \llbracket \Gamma \vdash t : \tau \& \mathcal{E} \rrbracket \sim \llbracket \Gamma \vdash t' : \tau \& \mathcal{E} \rrbracket$$

Theorem. If (A, \Vdash^A) is a semantic type and $\nu \Vdash_{w_0}^A e$ and $\nu' \Vdash_{w_0}^A e'$ with $e \sim e'$ in A_{w_0} then ν and ν' are observationally equivalent at type A .

Payoff

- Usual equational theory holds in generic setting
- Some nu-calc examples in effect-refined versions
- All the effect-dependent equivalences we had before work in heap PERs instantiation, including masking
- Heap PERs can cope with multiplexed locations, giving read only effect to privately mutating set lookup, giving “pure function to pure function” type to memo functional, etc.
- Also some hard equivalences from the literature on models of local store