

A Sound and Complete Logic for Algebraic Effects

Cristina Matache (joint work with Sam Staton)

University of Oxford

Question

Programming Language

- ▶ Higher-order functions
- ▶ Algebraic effects
[Plotkin & Power]
- ▶ Recursive functions
- ▶ Continuation passing (CPS)

program

Logic

$M \vDash \phi$

formula

program $\stackrel{=}{\text{property}}$

Contextual
Equivalence

Main
Theorem
 \equiv

Logical Equivalence

$\forall \phi. M \vDash \phi \iff N \vDash \phi.$

[Matache & Staton, FoSSaCS'19]

Motivation: [Simpson & Voorneveld, ESOP'18].

Question

program

Logic

$M \models \phi$

formula

program property =

Example

ϕ could be a Hoare logic assertion:

$$[S[l_0 := n]](-)[S[l_0 := n, l_1 := n + 1]]$$

But we have higher-order functions so instead

$$\phi = \left(() \mapsto [S[l_0 := n, l_1 := n + 1]\downarrow] \right) \mapsto [S[l_0 := n]\downarrow]$$

Outline

- 1 Introduction: Program Equivalence and CPS
- 2 Programming Calculus
- 3 Logic
- 4 Main Theorem

Program equivalence

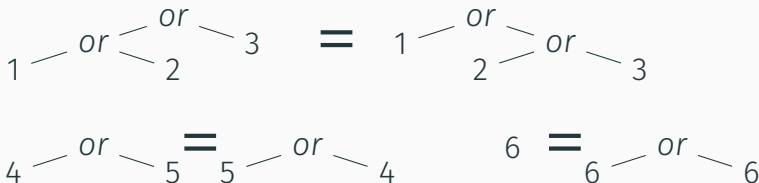
Establishes when two programs have the same behaviour.

- ! Higher-order functions make it hard.
- Effects make it hard.

Example

$or(x, y)$ = nondeterministically choose x or y

Want:



Contextual equivalence

$M \equiv_{\text{ctx}} N$ iff M and N are *observably* the same

Let: \mathfrak{P} = set of observations

$M \equiv_{\text{ctx}} N$ iff $\forall C. \forall P \in \mathfrak{P}. C[M] \in P \iff C[N] \in P$

Example

For untyped λ -calculus P = termination

and with nondeterminism: \diamond = may terminate,

\square = must terminate

Behavioural Logic

program

Logic

$$M \models \phi$$

formula

program =
property

\models describes the behaviour of programs

Example

$or(or(1, 2), 3) \models \diamond\{3\}$ may return 3

$\models \square\{1, 2, 3\}$

always returns one of $\{1, 2, 3\}$

Behavioural Logic

program

Logic

$M \models \phi$

formula

program $\stackrel{=}{\equiv}$ property

\models describes the behaviour of programs

Logical Equivalence

$$M \equiv_{\log} N \quad \text{iff} \quad \forall \phi. M \models \phi \iff N \models \phi.$$

Want: $(\equiv_{\log}) = (\equiv_{\text{ctx}})$

Continuation-Passing Style (CPS)

Type $A \rightarrow B$ becomes $A \rightarrow (B \rightarrow R) \rightarrow R$

R = fixed return type

Example

$\text{add-cps} = \lambda(n:\text{nat}, m:\text{nat}, k:\text{nat} \rightarrow R). k (n + m)$
: $(\text{nat}, \text{nat}, \text{nat} \rightarrow R) \rightarrow R$



Outline

- 1 Introduction: Program Equivalence and CPS
- 2 Programming Calculus**
- 3 Logic
- 4 Main Theorem

- ▶ Types: $A, A_i := (A_1, \dots, A_n) \rightarrow R \mid \text{nat} \quad (n \geq 0)$
- ▶ Values vs. computations

$$\frac{\Gamma, \vec{x} : \vec{A} \vdash^c t : R}{\Gamma \vdash^v \lambda(\vec{x} : \vec{A}).t : (\vec{A}) \rightarrow R} \quad \frac{\Gamma \vdash^v v : (\vec{A}) \rightarrow R \quad (\Gamma \vdash^v w_i : A_i)_i}{\Gamma \vdash^c v(\vec{w}) : R}$$

ECPS Calculus

► Types: $A, A_i := (A_1, \dots, A_n) \rightarrow R \mid \text{nat} \quad (n \geq 0)$

► Values vs. computations

$$\frac{\Gamma, \vec{x} : \vec{A} \vdash^c t : R}{\Gamma \vdash^v \lambda(\vec{x} : \vec{A}).t : (\vec{A}) \rightarrow R} \quad \frac{\Gamma \vdash^v v : (\vec{A}) \rightarrow R \quad (\Gamma \vdash^v w_i : A_i)_i}{\Gamma \vdash^c v(\vec{w}) : R}$$

► Effect operations.

$$\frac{\sigma \in \Sigma \quad (\Gamma \vdash_{\Sigma}^v v_i : \text{nat})_i \quad (\Gamma \vdash_{\Sigma}^v k_j : (\text{nat}, \dots, \text{nat}) \rightarrow R)_j}{\Gamma \vdash_{\Sigma}^c \sigma(\vec{v}_i, \vec{k}_j) : R}$$

ECPS Calculus

► Types: $A, A_i := (A_1, \dots, A_n) \rightarrow R \mid \text{nat} \quad (n \geq 0)$

► Values vs. computations

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► Effect operations.

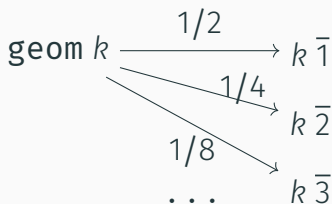
$$\frac{\sigma \in \Sigma \quad (\Gamma \vdash_{\Sigma}^v v_i : \text{nat})_i \quad (\Gamma \vdash_{\Sigma}^v k_j : (\text{nat}, \dots, \text{nat}) \rightarrow R)_j}{\Gamma \vdash_{\Sigma}^c \sigma(\vec{v}_i, \vec{k}_j) : R}$$

► Recursion

Examples of Effect Signatures

Probability: $p\text{-or} : (() \rightarrow \mathbb{R}, () \rightarrow \mathbb{R}) \rightarrow \mathbb{R}$

like $\oplus : \mathbb{R} \times \mathbb{R} \rightarrow \mathbb{R}$



- **geom** computes the geometric distribution: it passes \bar{n} to the continuation k with probability $\frac{1}{2^n}$.

$\text{geom} = \lambda k:\text{nat} \rightarrow \mathbb{R}.$

$(\text{rec } f. \lambda(n:\text{nat}, k':\text{nat} \rightarrow \mathbb{R}).$

$p\text{-or}(\lambda().k' n, \lambda().f(\text{succ}(n), k'))$

$) (\bar{1}, k).$

Examples of Effect Signatures

Success: $\Sigma = \{\downarrow : () \rightarrow R\}$

Abstract syntax tree

```
test_zero =  $\lambda y:\text{nat}$   
           |  
           case y of  
           /  \  
         zero succ(x)  
           |  |  
            $\downarrow$  () loop
```

Computation tree

$\llbracket - \rrbracket : (\vdash_{\Sigma} R) \longrightarrow \text{Trees}_{\Sigma}$

[Plotkin and Power, FoSSaCS'01]

[Johann et al. LICS'10]

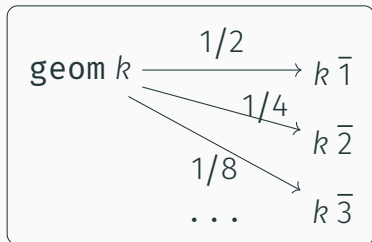
$\llbracket \text{test_zero } \bar{0} \rrbracket = \downarrow$

$\llbracket \text{test_zero } \bar{1} \rrbracket = \perp$

► **test_zero**: continuation that succeeds only on input $\bar{0}$.

Examples of Effect Signatures

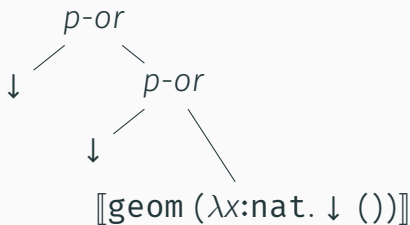
Probability: $\Sigma = \{p\text{-or} : (()) \rightarrow \mathbb{R}, (()) \rightarrow \mathbb{R}\} \rightarrow \mathbb{R}, \downarrow : (()) \rightarrow \mathbb{R}\}$



geometric distribution

Computation tree

$\llbracket \text{geom } (\lambda x:\text{nat. } \downarrow ()) \rrbracket =$

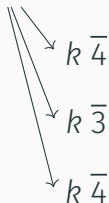


Examples of Effect Signatures

Nondeterminism: $\Sigma = \{or : (()) \rightarrow R, () \rightarrow R\} \rightarrow R, \downarrow : () \rightarrow R\}$

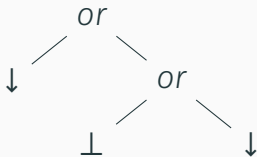
Abstract syntax tree

`three_or_four k`



Computation tree

$\llbracket \text{three_or_four } (\lambda x:\text{nat. if } x = 4 \text{ then } \downarrow \text{ else } \textit{loop}) \rrbracket =$



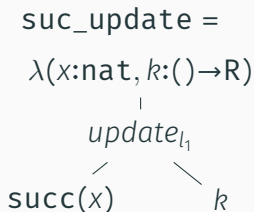
► `three_or_four` returns either $\bar{3}$ or $\bar{4}$ to continuation.

Examples of Effect Signatures

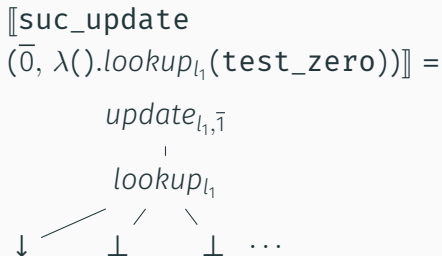
Global Store:

$$\Sigma = \{lookup_l : (\text{nat} \rightarrow \mathbb{R}) \rightarrow \mathbb{R}, update_l : (\text{nat}, () \rightarrow \mathbb{R}) \rightarrow \mathbb{R} \mid l \in \mathbb{L}\} \\ \cup \{\downarrow : () \rightarrow \mathbb{R}\}$$

Abstract syntax tree



Computation tree



► `suc_update`: write successor of the input to location l_1 .

Other examples: I/O.

Observations

Observation $P =$ Set of trees

- ▶ $\Sigma =$ Success: $\Downarrow = \{\downarrow\}$
- ▶ $\Sigma =$ Probability: for $q \in \mathbb{Q}$, $0 \leq q < 1$
 $P_{>q} = \{\text{trees that succeed with probability } > q\}$
- ▶ $\Sigma =$ Nondeterminism:
 - $\diamond = \{\text{trees with at least one } \downarrow \text{ leaf}\}$
 - $\square = \{\text{trees of finite height with only } \downarrow \text{ leaves}\}$
- ▶ $\Sigma =$ Global store: $S \in \mathbb{L} \longrightarrow \mathbb{N}$
 $[S\downarrow] = \{\text{trees that succeed when started in state } S\}$

Observations

Observation $P =$ Set of trees

► $\Sigma =$ Success: $\Downarrow = \{\downarrow\}$

$\llbracket \text{test_zero } \bar{0} \rrbracket = \downarrow \in \Downarrow$

Observations

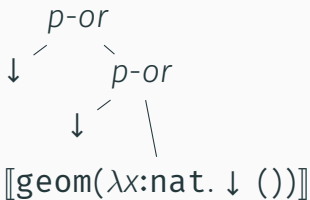
Observation $P =$ Set of trees

► $\Sigma =$ Probability:

$P_{>q} = \{\text{trees that succeed with probability } > q\},$

$q \in \mathbb{Q}, 0 \leq q < 1$

$\llbracket \text{geom}(\lambda x:\text{nat}. \downarrow ()) \rrbracket =$



$\in P_{>0.9}$

Observations

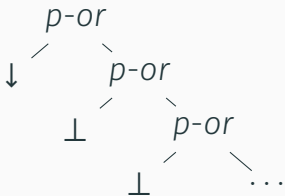
Observation $P =$ Set of trees

► $\Sigma =$ Probability:

$P_{>q} = \{\text{trees that succeed with probability } > q\},$

$q \in \mathbb{Q}, 0 \leq q < 1$

$\llbracket \text{geom } (\lambda x:\text{nat. if } x = 1$
 $\text{then } \downarrow () \text{ else loop}) \rrbracket =$



$\notin P_{>0.5}$

Observations

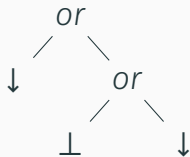
Observation $P =$ Set of trees

► $\Sigma =$ Nondeterminism:

$\diamond =$ {trees with at least one \downarrow leaf}

$\square =$ {trees of finite height with only \downarrow leaves}

`[[three_or_four ($\lambda x:\text{nat}.$
if $x = 4$ then \downarrow else loop)]] =`



\in \diamond

\notin \square

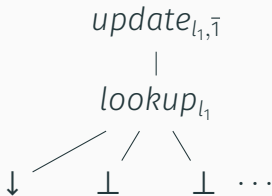
Observations

Observation $P =$ Set of trees

► $\Sigma =$ Global store: $S \in \mathbb{L} \rightarrow \mathbb{N}$

$[S \downarrow] =$ {trees that succeed when started in state S }

$\llbracket \text{succ_update}(\bar{0}, \lambda().\text{lookup}_{l_1}(\text{test_zero})) \rrbracket =$



$\notin [S\{l_1 := 0\} \downarrow]$

2 Programming Calculus

- Σ = signature of effect operations
- P = an observation = a set of trees
- \mathfrak{P} = set of observations = set of sets of trees

Outline

- 1 Introduction: Program Equivalence and CPS
- 2 Programming Calculus
- 3 Logic**
- 4 Main Theorem

Logic

- ▶ Parametrized by Σ and \mathfrak{P} (set of observations).
- ▶ Value formulas

$$\phi := \{n\} \mid (\phi_1, \dots, \phi_n) \mapsto P \mid \phi_1 \vee \phi_2 \mid \phi_1 \wedge \phi_2 \mid \neg\phi$$

Each value formula has a type:

$$\frac{}{\{n\} : \text{nat}} n \in \mathbb{N} \quad \frac{\phi_1 : A_1 \dots \phi_n : A_n \quad P \in \mathfrak{P}}{(\phi_1, \dots, \phi_n) \mapsto P : (A_1, \dots, A_n) \rightarrow \mathbb{R}}$$

- ▶ Computation formulas = Observations from \mathfrak{P}

- ▶ Value formulas:

$$\frac{}{\{n\} : \text{nat}} \quad n \in \mathbb{N} \quad \frac{\phi_1 : A_1 \dots \phi_n : A_n \quad P \in \mathfrak{P}}{(\phi_1, \dots, \phi_n) \mapsto P : (A_1, \dots, A_n) \rightarrow \mathbb{R}} \quad \vee, \wedge, \neg$$

- ▶ Computation formulas: $P \in \mathfrak{P}$

Examples of formulas

$$\phi_1 = (\{1\} \vee \{2\} \vee \{3\}) \mapsto \square \quad : \text{nat} \rightarrow \mathbb{R}$$

$$\phi_2 = \neg((\{1\}) \mapsto \diamond) \wedge \neg((\{2\}) \mapsto \square) \quad : \text{nat} \rightarrow \mathbb{R}$$

$$\phi_3 = \left(() \mapsto [S[l_0 := n, l_1 := n + 1] \downarrow] \right) \mapsto [S[l_0 := n] \downarrow] \\ : ((\rightarrow \mathbb{R}) \rightarrow \mathbb{R})$$

Logic

- ▶ Value formulas:

$$\frac{}{\{n\} : \text{nat}} \quad n \in \mathbb{N} \quad \frac{\phi_1 : A_1 \dots \phi_n : A_n \quad P \in \mathfrak{P}}{(\phi_1, \dots, \phi_n) \mapsto P : (A_1, \dots, A_n) \rightarrow \mathbb{R}} \quad \vee, \wedge, \neg$$

- ▶ Computation formulas: $P \in \mathfrak{P}$

- ▶ Satisfaction:

$$\begin{aligned} v \vDash \{n\} &\iff v = \bar{n} \\ v \vDash (\phi_1, \dots, \phi_n) \mapsto P &\iff \text{for all } w_1, \dots, w_n \text{ such that} \\ &\quad \forall i. w_i \vDash \phi_i \text{ then } v(w_1, \dots, w_n) \vDash P \\ v \vDash \neg \phi &\iff \text{it is false that } v \vDash \phi \\ t \vDash P &\iff \llbracket t \rrbracket \in P. \\ &\dots \end{aligned}$$

Examples of Logical Satisfaction

given input $\bar{0}$, the
function succeeds


$\text{test_zero} \models \overbrace{\{0\} \mapsto \Downarrow}$
: $\text{nat} \rightarrow \mathbb{R}$

$\Downarrow = \{\downarrow\}$

continuation that tests whether the input is $\bar{0}$

Examples of Logical Satisfaction

geometric distribution


$$\text{geom} \models \left(\left(\forall_{n \neq 1} \{n\} \right) \mapsto P_{>q} \right) \mapsto P_{>q/2}$$
$$: (\text{nat} \rightarrow \mathbb{R}) \rightarrow \mathbb{R}$$

- ▶ given a continuation that succeeds with probability $> q$ for all inputs $n > 1$, the function succeeds with probability $> \frac{q}{2}$.

Examples of Logical Satisfaction

← chooses nondeterministically between $\bar{3}$ or $\bar{4}$

`three_or_four` \models

$$\left((\{3\} \mapsto \diamond) \mapsto \diamond \right) \wedge \left((\{4\} \mapsto \diamond) \mapsto \diamond \right) \wedge$$

$$\left((\{3\} \mapsto \square \wedge \{4\} \mapsto \square) \mapsto \square \right)$$

$$: (\text{nat} \rightarrow \mathbb{R}) \rightarrow \mathbb{R}$$

- ▶ Function may pass to the continuation only $\bar{3}$ or $\bar{4}$.

Examples of Logical Satisfaction

writes $n + 1$ to location l_1

$\text{succ_update} \models$

$\bigwedge_{S \in \text{State}} \bigwedge_{n \in \mathbb{N}}$

$(\{n\}, \quad () \mapsto [S\{l_0 := n, l_1 := n + 1\} \downarrow])$

$\mapsto [S\{l_0 := n\} \downarrow]$

$: (\text{nat}, () \rightarrow \mathbb{R}) \rightarrow \mathbb{R}$

- ▶ Given argument \bar{n} and a continuation that succeeds when started in state $[S\{l_0 := n, l_1 := n + 1\} \downarrow]$, the function succeeds when started in state $[S\{l_0 := n\} \downarrow]$.

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- 1 Introduction: Program Equivalence and CPS
- 2 Programming Calculus
- 3 Logic
- 4 Main Theorem**

Main Theorem

\mathfrak{P} = set of sets of trees

Logical Equivalence

$$\forall \phi. M \vDash \phi \iff N \vDash \phi.$$

Contextual Equivalence

$$\forall C. \forall P \in \mathfrak{P}. \llbracket C[M] \rrbracket \in P \iff \llbracket C[N] \rrbracket \in P.$$

Main Theorem

\mathfrak{P} consistent
 \mathfrak{P} decomposable
 $P \in \mathfrak{P}$ Scott-open



Logical Equivalence
=
Contextual Equivalence

Decomposability

\mathfrak{P} is decomposable if for any $P \in \mathfrak{P}$, and for any $tr \in P$:

$$\forall \sigma \in \Sigma. (tr = \sigma_{\vec{v}}(\vec{tr}') \implies$$

$$\exists P' \in \mathfrak{P} \cup \{Trees_{\Sigma}\}.$$

$$\vec{tr}' \in P' \text{ and } \forall \vec{p}' \in P'. \sigma_{\vec{v}}(\vec{p}') \in P).$$



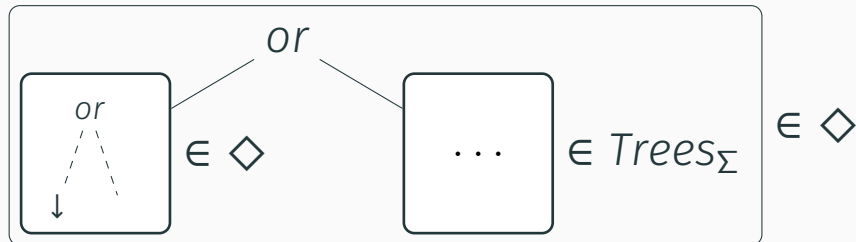
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Proof Sketch

- 1) Applicative bisimilarity compatible
by Howe's method [Howe, Inf. Comput.'96],
using Scott-openness and decomposability

Logical Equivalence $\stackrel{2)}{=}$ Applicative Bisimilarity $\stackrel{3)}{=}$ Contextual Equivalence

Applicative Bisimilarity

Applicative simulation

A collection of relations $\mathcal{R}_A^v \subseteq (\vdash_{\Sigma} A)^2$ for each type A and $\mathcal{R}^c \subseteq (\vdash_{\Sigma} R)^2$ is an applicative \mathfrak{P} -simulation if:

- $v \mathcal{R}_{\text{nat}}^v w \implies v = w.$
- $s \mathcal{R}^c t \implies \forall P \in \mathfrak{P}. (\llbracket s \rrbracket \in P \implies \llbracket t \rrbracket \in P).$
- $v \mathcal{R}_{(\vec{A}) \rightarrow R}^v u \implies \forall (\vdash_{\Sigma} w_i : A_i)_i. v(\vec{w}_i) \mathcal{R}^c u(\vec{w}_i).$

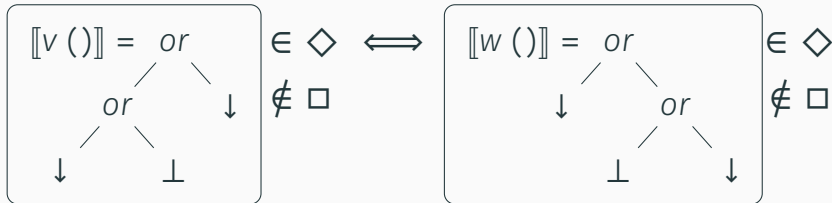
Applicative Bisimilarity

Is the *greatest* symmetric \mathfrak{P} -simulation.

Applicative Bisimilarity – Example

$$v = \lambda(). \text{or}(\text{or}(\lambda(). \downarrow, \text{loop}), \lambda(). \downarrow) \quad : () \rightarrow R$$
$$w = \lambda(). \text{or}(\lambda(). \downarrow, \text{or}(\text{loop}, \lambda(). \downarrow))$$

Prove: v bisimilar to w



- Choose $\mathcal{R}_{() \rightarrow R}^v = \{(v, w), (w, v)\}$ and $\mathcal{R}^c = \{(v(), w()), (w(), v())\}$.
 \mathcal{R} is a bisimulation $\implies \mathcal{R}$ included in bisimilarity.

Proof Sketch

- 1) Applicative bisimilarity compatible
by Howe's method [Howe, Inf. Comput.'96],
using Scott-openness and decomposability

Logical Equivalence $\stackrel{\text{2)}}{=}$ Applicative Bisimilarity $\stackrel{\text{3)}}{=}$ Contextual Equivalence

via a simpler
equi-expressive logic,
using 1)

$$\frac{\vdash_{\Sigma} w_1 : A_1 \dots \vdash_{\Sigma} w_n : A_n \quad P \in \mathfrak{P}}{(w_1, \dots, w_n) \mapsto P : (A_1, \dots, A_n) \rightarrow \mathbf{R}}$$

[Simpson and Voorneveld, ESOP'18]

Proof Sketch

- 1) Applicative bisimilarity compatible
by Howe's method [Howe, Inf. Comput.'96],
using Scott-openness and decomposability

Logical Equivalence $\stackrel{\text{2)}}{=}$ Applicative Bisimilarity $\stackrel{\text{3)}}{=}$ Contextual Equivalence

using consistency,
Scott-openness and 1)
N.B. \supseteq interesting

Proof Sketch

Applicative simulation

A collection of relations $\mathcal{R}_A^b \subseteq (\vdash_{\Sigma} A)^2$ for each type A and $\mathcal{R}^c \subseteq (\vdash_{\Sigma} R)^2$ is an applicative \mathfrak{P} -simulation if:

- ...
- $s \mathcal{R}^c t \implies \forall P \in \mathfrak{P}. (\llbracket s \rrbracket \in P \implies \llbracket t \rrbracket \in P).$
- ...

Logical Equivalence $\stackrel{2)}{=}$ Applicative Bisimilarity $\stackrel{3)}{=}$ Contextual Equivalence

Comparison with Previous Work

In [Simpson & Voorneveld, ESOP'18]:

Logical Equivalence = Applicative Bisimilarity \subset Contextual Equivalence

Example (in direct style)

$[[?nat]] =$

```
graph TD
  A[or] --- B[0]
  A --- C[or]
  C --- D[1]
  C --- E[or]
  E --- F[2]
  E --- G[...]
```

$M = \text{return } \lambda().?nat$

$N = \text{let } y \Rightarrow ?nat \text{ in } (\text{return } \lambda().\text{min}(?nat, y))$

Comparison with Previous Work

In [Simpson & Voorneveld, ESOP'18]:

Logical Equivalence = Applicative Bisimilarity \subset Contextual Equivalence

Example (in direct style)

$M = \text{return } \lambda().?nat$

$N = \text{let } y \Rightarrow ?nat \text{ in } (\text{return } \lambda().\text{min}(?nat, y))$

$M \models \Phi = \diamond((\) \mapsto \bigwedge_{n \in \mathbb{N}} \diamond \{n\})$ but $N \not\models \Phi$

$M \not\equiv_{log} N$ but $M \equiv_{ctx} N$

$[M]^{cps} \equiv_{log/ctx}^{cps} [N]^{cps}$

Summary

- ▶ ECPS calculus with
 - algebraic effects
 - recursive functions
- ▶ Effects: probability, global store, I/O, nondeterminism

Main Theorem [Matache & Staton, FoSSaCS'19]

\mathfrak{P} consistent
 \mathfrak{P} decomposable
 $P \in \mathfrak{P}$ Scott-open



Logical Equivalence
=
Contextual Equivalence

See also [Dal Lago et al. ICTCS/CILC'17]

Summary

- ▶ Haven't done yet:
 - local state
 - combining effects
 - game characterization of logical satisfaction

Main Theorem [Matache & Staton, FoSSaCS'19]

\mathfrak{P} consistent
 \mathfrak{P} decomposable
 $P \in \mathfrak{P}$ Scott-open



Logical Equivalence
=
Contextual Equivalence