

Answer Refinement Modification

Refinement Type System for Algebraic Effects and Handlers

POPL 2024

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Algebraic Effects and Handlers

- A mechanism to structure programs with effects in a modular way
- Can represent many kinds of effects
 - exception, state, I/O, nondeterminism, concurrency, etc.

```
handle
  Set 1; let a1 = Get () in
  Set 2; let a2 = Get () in
  a1 + a2
with
  | return x    -> λs. x
  | Set v, k    -> λs. k () v
  | Get (), k   -> λs. k s s
```

```
handle
  if Decide () then 1 else 2
with
  | return x    -> x
  | Decide (), k -> k true + k false
```

handler

operation

- Have been adopted in OCaml 5

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()

with h handle (Tick (); Tock ())
```

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

```
with h handle (Tick (); Tock ())
```

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

```
with h handle (Tick (); Tock ())
```

```
→ 1 :: with h handle (( ); Tock ())
```

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (Tick (); Tock ())

→ 1 :: with h handle ((); Tock ())

→ 1 :: with h handle (Tock ())

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (Tick (); Tock ())

→ 1 :: with h handle ((); Tock ())

→ 1 :: with h handle (Tock ())

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (Tick (); Tock ())

→ 1 :: with h handle ((); Tock ())

→ 1 :: with h handle (Tock ())

→ 1 :: 0 :: with h handle ()

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (Tick (); Tock ())

→ 1 :: with h handle ((); Tock ())

→ 1 :: with h handle (Tock ())

→ 1 :: 0 :: with h handle ()

Algebraic Effects and Handlers

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (Tick (); Tock ())

→ 1 :: with h handle (()); Tock ()

→ 1 :: with h handle (Tock ())

→ 1 :: 0 :: with h handle ()

→ 1 :: 0 :: []

= [1; 0]

Algebraic Effects and Handlers

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

int list

int list

int list

unit → **int list**

⊢ with h handle (Tick();Tock()) : **int list**

Algebraic Effects and Handlers

value types $T ::= B \mid T \rightarrow C$

computation types $C ::= \Sigma \triangleright T$

signatures $\Sigma ::= \{\text{Op}_i: T_{ai} \twoheadrightarrow T_{bi}\}_i$

$$\Gamma \vdash e : \{\text{Op}_i: T_{ai} \twoheadrightarrow T_{bi}\}_i \triangleright T_0$$
$$\Gamma, x: T_0 \vdash e_r : \mathbf{C} \quad (\Gamma, x: T_{ai}, k: T_{bi} \twoheadrightarrow \mathbf{C} \vdash e_i : \mathbf{C})_i$$

$$\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : \mathbf{C}$$
$$\frac{\Sigma \ni \text{Op}: T_a \twoheadrightarrow T_b \quad \Gamma \vdash v : T_a}{\Gamma \vdash \text{Op } v : \Sigma \triangleright T_b}$$

$\Gamma \vdash e : C$

Refinement Types

Refinement Types

$$\{x : B \mid \phi\}$$

Formula

Base Type (int, bool etc.)

- Types endowed with predicates
- E.g. $1 + 2 : \{x : \text{int} \mid x = 3\}$
 $1 + 2 : \{x : \text{int} \mid x > 0\}$
- Can represent more specific properties
 - A tool of program verification

Refinement type system for algebraic effect handlers

\vdash with h handle (Tick (); Tock ()) : {z:int list | z = [1; 0]}

- Enables precise verification of algebraic effect handlers
- Can be built on top of existing languages
 - Our implementation for OCaml 5 programs

Challenge

```
let h = handler
| return x -> x
| Tick (), k -> 1 :: k ()
| Tock (), k -> 0 :: k ()
```

The precise types depend on the **order** of the operations

```
with h handle
  (Tick (); Tock ())
(* ==> [1; 0] *)
```

: {z: int list | z = [1; 0]}

```
with h handle
  (Tock (); Tick ())
(* ==> [0; 1] *)
```

: {z: int list | z = [0; 1]}

Challenge

```
let h = handler
| return x -> x
| Decide (), k -> k true - k false
```

```
with h handle
  (if Decide () then n1 else n2) : {z: int | z = n1 - n2}
(* ==> n1 - n2 *)
```

The precise type depends on
which branch returns **what value**

Challenge

??

$\Gamma \vdash$ **with h handle e :** ??

Challenge

Need to be aware of the **structure** of e
to obtain precise types

??

$\Gamma \vdash$ **with h handle e :** ??

Challenge

Need to be aware of the **structure** of e
to obtain precise types

??

$\Gamma \vdash \text{with } h \text{ handle } e : ??$



We adopt

Answer Type Modification

[Danvy+90; Materzok+11]

Answer Types

- Types of **contexts**
 - = return types of **continuations**
 - = types of **the closest outer handling constructs (delimiters)**

$\mathcal{E} [\text{with } h \text{ handle } \mathcal{F} [e]]$

evaluation context

handler-free
evaluation context

Answer type of e = type of **with h handle $\mathcal{F} [\]$**

$\mathcal{F} ::= [] \mid \text{let } x = \mathcal{F} \text{ in } e$

$\mathcal{E} ::= [] \mid \text{let } x = \mathcal{E} \text{ in } e \mid \text{with } h \text{ handle } \mathcal{E}$

Answer Types in Ordinary Type Systems

value types $T ::= B \mid T \rightarrow C$

computation types $C ::= \Sigma \triangleright T$

signatures $\Sigma ::= \{\text{Op}_i: T_{ai} \twoheadrightarrow T_{bi}\}_i$

answer type

$$\frac{\Gamma \vdash e : \{\text{Op}_i: T_{ai} \twoheadrightarrow T_{bi}\}_i \triangleright T_0 \quad \Gamma, x: T_0 \vdash e_r : \mathbf{C} \quad (\Gamma, x: T_{ai}, k: T_{bi} \twoheadrightarrow \mathbf{C} \vdash e_i : \mathbf{C})_i}{\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : \mathbf{C}}$$

$$\frac{\Sigma \ni \text{Op}: T_a \twoheadrightarrow T_b \quad \Gamma \vdash v : T_a}{\Gamma \vdash \text{Op } v : \Sigma \triangleright T_b}$$

$\Gamma \vdash e : C$

Answer Type Modification

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

```
with h handle (Tick ()); Tock ())
```

Answer Type Modification

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

unit → {z: int list | z = []}

with h handle () returns []

```
with h handle (Tick (); Tock ())
→ 1 :: with h handle (()); Tock ()
→ 1 :: with h handle (Tock ())
→ 1 :: 0 :: with h handle ( )
→ 1 :: 0 :: []
```

Answer Type Modification

```
let h = handler
| return x -> []
| Tick (), k -> 1 :: k ()
| Tock (), k -> 0 :: k ()
```

unit → {z: int list | z = []}

{z: int list | z = [0]}



with h handle () returns []
1 :: [] takes [0]

```
with h handle (Tick (); Tock ())
→ 1 :: with h handle ((); Tock ())
→ 1 :: with h handle (Tock ())
→ 1 :: 0 :: with h handle ( )
→ 1 :: 0 :: []
```


Answer Type Modification

```
let h = handler
| return x -> []
| Tick (), k -> 1 :: k ()
| Tock (), k -> 0 :: k ()
```

Initial answer type

Final answer type

unit → {z: int list | z = []}

{z: int list | z = [0]}

Answer type modification (ATM)

Answer refinement modification (ARM)

```
with h handle (Tick (); Tock ())
→ 1 :: with h handle (()); Tock ()
→ 1 :: with h handle (Tock ())
→ 1 :: 0 :: with h handle ()
→ 1 :: 0 :: []
```

Answer Type Modification

```
let h = handler
| return x -> []
| Tick (), k -> 1 :: k ()
| Tock (), k -> 0 :: k ()
```

unit → {z: int list | z = [0]}

with h handle (Tick (); Tock ())

→ 1 :: with h handle ((); Tock ())

→ 1 :: with h handle (Tock ())

→ 1 :: 0 :: with h handle ()

→ 1 :: 0 :: []

Answer Type Modification

```
let h = handler
| return x -> []
| Tick (), k -> 1 :: k ()
| Tock (), k -> 0 :: k ()
```

unit → {z: int list | z = [0]}

{z: int list | z = [1; 0]}

```
with h handle (Tick (); Tock ())
```

```
→ 1 :: with h handle ((); Tock ())
```

```
→ 1 :: with h handle (Tock ())
```

```
→ 1 :: 0 :: with h handle ()
```

```
→ 1 :: 0 :: []
```

Type Syntax

value types	$T ::= \{x: B \mid \phi\} \mid T \rightarrow C$
computation types	$C ::= \Sigma \triangleright T / \mathcal{S}$
signatures	$\Sigma ::= \{\text{Op}_i: T_{ai} \twoheadrightarrow T_{bi} / \mathcal{C}_{1i} \Rightarrow \mathcal{C}_{2i}\}_i$
control effects	$\mathcal{S} ::= \square \mid \mathcal{C}_1 \Rightarrow \mathcal{C}_2$

Typing Rules

- **Example** $\Sigma = \{ \text{Tick: unit} \rightarrow \text{unit} / \{z: \text{int list} \mid z = [0]\} \Rightarrow \{z: \text{int list} \mid z = [1; 0]\},$
 $\text{Tock: unit} \rightarrow \text{unit} / \{z: \text{int list} \mid z = []\} \Rightarrow \{z: \text{int list} \mid z = [0]\} \}$

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (

Tick (); : $\Sigma \triangleright \text{unit} / \{z: \text{int list} \mid z = [0]\} \Rightarrow \{z: \text{int list} \mid z = [1; 0]\}$

Tock () : $\Sigma \triangleright \text{unit} / \{z: \text{int list} \mid z = []\} \Rightarrow \{z: \text{int list} \mid z = [0]\}$

)

Typing Rules

- **Example** $\Sigma = \{ \text{Tick: unit} \rightarrow \text{unit} / \{z: \text{int list} \mid z = [0]\} \Rightarrow \{z: \text{int list} \mid z = [1; 0]\},$
 $\text{Tock: unit} \rightarrow \text{unit} / \{z: \text{int list} \mid z = []\} \Rightarrow \{z: \text{int list} \mid z = [0]\} \}$

let h = handler

```
| return x -> []  
| Tick (), k -> 1 :: k ()  
| Tock (), k -> 0 :: k ()
```

with h handle (

$$\left(\begin{array}{l} \text{Tick } (); \\ \text{Tock } () \end{array} \right) : \Sigma \triangleright \text{unit} / \{z: \text{int list} \mid z = []\} \Rightarrow \{z: \text{int list} \mid z = [1; 0]\}$$

)

Typing Rules

- **Example** $\Sigma = \{ \text{Tick: unit} \rightarrow \text{unit} / \{z: \text{int list} \mid z = [0]\} \Rightarrow \{z: \text{int list} \mid z = [1; 0]\},$
 $\text{Tock: unit} \rightarrow \text{unit} / \{z: \text{int list} \mid z = []\} \Rightarrow \{z: \text{int list} \mid z = [0]\} \}$

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

```
( with h handle (
  Tick ();
  Tock ()
) : {z: int list | z = [1; 0]}
```

Typing Rules

$$\frac{\Gamma \vdash e : \{\text{Op}_i: T_{ai} \rightarrow T_{bi} / \mathcal{C}_{1i} \Rightarrow \mathcal{C}_{2i}\}_i \triangleright T_0 / \mathcal{C}_1 \Rightarrow \mathcal{C}_2 \quad \Gamma, x: T_0 \vdash e_r : \mathcal{C}_1 \quad (\Gamma, x: T_{ai}, k: T_{bi} \rightarrow \mathcal{C}_{1i} \vdash e_i : \mathcal{C}_{2i})_i}{\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : \mathcal{C}_2}$$

$$\frac{\Sigma \ni \text{Op}: T_a \rightarrow T_b / \mathcal{C}_1 \Rightarrow \mathcal{C}_2 \quad \Gamma \vdash v : T_a}{\Gamma \vdash \text{Op } v : \Sigma \triangleright T_b / \mathcal{C}_1 \Rightarrow \mathcal{C}_2}$$

$\Gamma \vdash e : \mathcal{C}$

Typing Rules

$$\frac{\Gamma \vdash e : \{\text{Op}_i: T_{ai} \rightarrow T_{bi} / C_{1i} \Rightarrow C_{2i}\}_i \triangleright T_0 / C_1 \Rightarrow C_2 \quad \Gamma, x: T_0 \vdash e_r : C_1 \quad (\Gamma, x: T_{ai}, k: T_{bi} \rightarrow C_{1i} \vdash e_i : C_{2i})_i}{\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : C_2}$$

$$\frac{\Sigma \ni \text{Op}: T_a \rightarrow T_b / C_1 \Rightarrow C_2 \quad \Gamma \vdash v : T_a}{\Gamma \vdash \text{Op } v : \Sigma \triangleright T_b / C_1 \Rightarrow C_2}$$

$\Gamma \vdash e : C$

Typing Rules

$$\frac{\Gamma \vdash e : \{\text{Op}_i: T_{ai} \rightarrow T_{bi} / C_{1i} \Rightarrow C_{2i}\}_i \triangleright T_0 / C_1 \Rightarrow C_2 \quad \Gamma, x: T_0 \vdash e_r : C_1 \quad (\Gamma, x: T_{ai}, k: T_{bi} \rightarrow C_{1i} \vdash e_i : C_{2i})_i}{\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : C_2}$$

$$\frac{\Sigma \ni \text{Op}: T_a \rightarrow T_b / C_1 \Rightarrow C_2 \quad \Gamma \vdash v : T_a}{\Gamma \vdash \text{Op } v : \Sigma \triangleright T_b / C_1 \Rightarrow C_2}$$

$$\boxed{\Gamma \vdash e : C}$$

In the Paper

- A more sophisticated type system and the proof of the type safety
 - $\Sigma ::= \{Op_i: \forall X: \bar{B}. x: T_{ai} \rightarrow T_{bi} / y. C_{1i} \Rightarrow C_{2i}\}_i$
 - Predicate polymorphism
 - Argument-dependent continuation types
- Implementation
 - On top of OCaml 5.0
 - Experiments on 50+ examples
- Another way of verification via CPS transformation
 - Removal of handlers + verification with existing refinement type systems
 - Bidirectionally type-preserving CPS transformation
 - Needs type annotations on source programs



<https://github.com/hiroshi-unno/coar>

Appendix

Extension 1: Dependent Types for Continuations

value types $T ::= B \mid T \rightarrow C$

computation types $C ::= \Sigma \triangleright T / S$

signatures $\Sigma ::= \{\text{Op}_i: T_{ai} \rightarrow T_{bi} / \mathbf{y}. C_{1i} \Rightarrow C_{2i}\}_i$

control effects $S ::= \square \mid \mathbf{y}. C_1 \Rightarrow C_2$

$$\Gamma \vdash e : \{\text{Op}_i: T_{ai} \rightarrow T_{bi} / \mathbf{y}. C_{1i} \Rightarrow C_{2i}\}_i \triangleright T_0 / C_1 \Rightarrow C_2$$
$$\Gamma, x: T_0 \vdash e_r : C_1 \quad (\Gamma, x: T_{ai}, k: (\mathbf{y}: T_{bi}) \rightarrow C_{1i} \vdash e_i : C_{2i})_i$$

$$\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : C_2$$
$$\Sigma \ni \text{Op}: T_a \rightarrow T_b / \mathbf{y}. C_1 \Rightarrow C_2 \quad \Gamma \vdash v : T_a$$

$$\Gamma \vdash \text{Op } v : \Sigma \triangleright (T_b / \mathbf{y}. C_1 \Rightarrow C_2)$$

$\Gamma \vdash e : C$

Extension 1: Dependent Types for Continuations

- **Example**

```
let h = handler
| return x -> x
| Decide (), k -> k true - k false
```

$b: \text{bool} \rightarrow \{z: \text{int} \mid b \Rightarrow z = n_1 \wedge \neg b \Rightarrow z = n_2\}$ $b \Rightarrow z = n_1 \wedge \neg b \Rightarrow z = n_2$
 $\Rightarrow \{z: \text{int} \mid z = n_1 - n_2\}$

with h handle (

```
let b = Decide () in
```

```
if b then n1 else n2
```

$\{z: \text{int} \mid z = n_1 - n_2\}$

$\{z: \text{int} \mid b \Rightarrow z = n_1 \wedge \neg b \Rightarrow z = n_2\}$

)

Extension 2: Predicate Polymorphism

value types $T ::= B \mid T \rightarrow C$

computation types $C ::= \Sigma \triangleright T / S$

signatures $\Sigma ::= \{\text{Op}_i: \forall X: \bar{B}. T_{ai} \rightarrow T_{bi} / C_{1i} \Rightarrow C_{2i}\}_i$

control effects $S ::= \square \mid C_1 \Rightarrow C_2$

$$\Gamma \vdash e : \{\text{Op}_i: \forall X: \bar{B}. T_{ai} \rightarrow T_{bi} / C_{1i} \Rightarrow C_{2i}\}_i \triangleright T_0 / C_1 \Rightarrow C_2$$
$$\Gamma, x: T_0 \vdash e_r : C_1 \quad (\Gamma, X: \bar{B}, x: T_{ai}, k: T_{bi} \rightarrow C_{1i} \vdash e_i : C_{2i})_i$$

$$\Gamma \vdash \mathbf{with} \{x \mapsto e_r, (\text{Op}_i x, k \mapsto e_i)_i\} \mathbf{handle} e : C_2$$
$$\Sigma \ni \text{Op}: \forall X: \bar{B}. T_a \rightarrow T_b / C_1 \Rightarrow C_2 \quad \Gamma \vdash v : T_a \quad \Gamma \vdash A : \bar{B}$$

$$\Gamma \vdash \text{Op } v : \Sigma \triangleright (T_b / C_1 \Rightarrow C_2)[A/X]$$

$\Gamma \vdash e : C$

Extension 2: Predicate Polymorphism

● Example

```
let h = handler
  | return x -> []
  | Tick (), k -> 1 :: k ()
  | Tock (), k -> 0 :: k ()
```

with h handle (

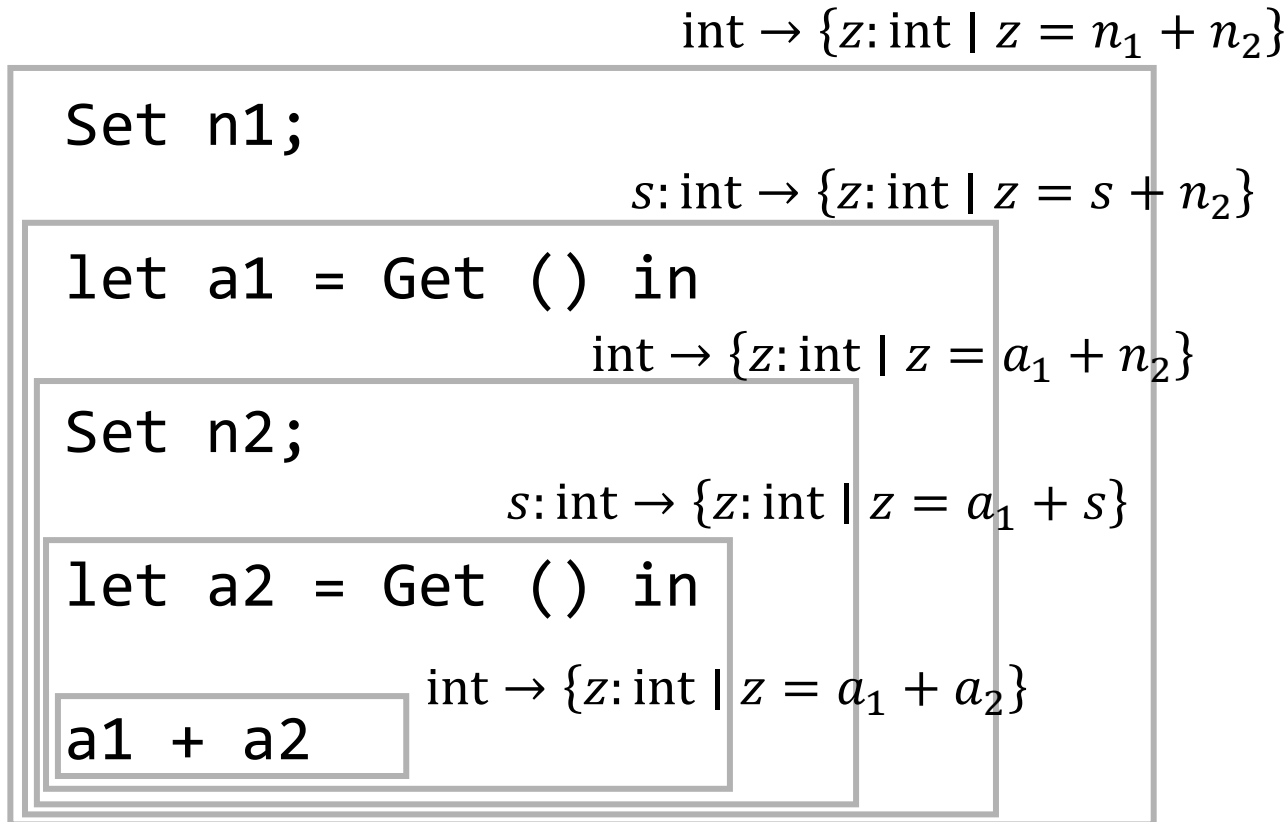
Tick ();	$\{z: \text{int list} \mid z = [1; 0; 1; 0]\}$	$X \mapsto \lambda z. z = [0; 1; 0]$
Tock ();	$\{z: \text{int list} \mid z = [0; 1; 0]\}$	$Y \mapsto \lambda z. z = [1; 0]$
Tick ();	$\{z: \text{int list} \mid z = [1; 0]\}$	$X \mapsto \lambda z. z = [0]$
Tock ();	$\{z: \text{int list} \mid z = [0]\}$	$Y \mapsto \lambda z. z = []$
)	$\{z: \text{int list} \mid z = []\}$	

$$\Sigma = \left\{ \begin{array}{l} \text{Tick: } \forall X(\text{int list}). \text{unit} \rightarrow \text{unit} / \\ \{z: \text{int list} \mid X(z)\} \Rightarrow \{z: \text{int list} \mid \forall l. X(l) \Rightarrow z = 1 :: l\}, \\ \text{Tock: } \forall Y(\text{int list}). \text{unit} \rightarrow \text{unit} / \\ \{z: \text{int list} \mid Y(z)\} \Rightarrow \{z: \text{int list} \mid \forall l. Y(l) \Rightarrow z = 0 :: l\} \end{array} \right\}$$

Extension 2: Predicate Polymorphism

● Example

with h handle



```
let h = handler
| return x  -> λs. x
| Set  v, k -> λs. k () v
| Get  (), k -> λs. k s s
```

$$\Sigma = \{\text{Set}: \forall X: (\text{int}, \text{int}). x: \text{int} \Rightarrow \text{unit} /$$
$$s: \text{int} \rightarrow \{z: \text{int} \mid X(z, s)\}$$
$$\Rightarrow \text{int} \rightarrow \{z: \text{int} \mid X(z, x)\},$$
$$\text{Get}: \forall Y: (\text{int}, \text{int}, \text{int}). \text{unit} \Rightarrow \text{int} /$$
$$y. s: \text{int} \rightarrow \{z: \text{int} \mid Y(z, s, y)\}$$
$$\Rightarrow s': \text{int} \rightarrow \{z: \text{int} \mid Y(z, s', s')\}\}$$