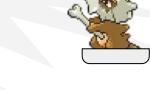
## LaPRaS@Imperial

# Effect Handlers: A Logical Perspective











#### Overview

In this talk, I am going to give a high-level but yet extensive introduction to Hazel, a separation logic for effect handlers.

#### Part 1. Programming

Introduction to effect handlers

- Live Programming
   Shallow vs deep handlers
   Simple examples
   Advanced example: invert
- Formal Semantics

#### Part 2. Logic

Introduction to Hazel

- Specification Language
- Reasoning Rules
- Case Study
  Verification of invert

**Part 1.** Introduction to Effect Handlers

## Effect Handlers

Effect handlers generalize exception handlers:

whereas *raising* an exception *discards* the computation, *performing* an effect *suspends* the computation, which is reified as a *continuation*.

```
exception Division_by_zero
let ( / ) x y =
  if y = 0 then raise Division_by_zero
  else Int.div x y
let _ =
  match 1 + (1 / 0) with
  | exception Division_by_zero -> 0
  | y -> y
```

```
type _ Effect.t += Division_by_zero: int t
let ( / ) x y =
  if y = 0 then perform Division_by_zero
  else Int.div x y
let _ =
  match 1 + (1 / 0) with
  | effect Division_by_zero k ->
     continue k 0
  | y -> y
```

```
-: int = 0
```

```
-: int = 1
```

### Shallow VS Deep

#### Effect handlers come in two flavors:

- **shallow handlers**, which handle the first effect; and
- *deep handlers*, which handle all the effects.

```
type _ Effect.t += E : unit t
let f () = perform E

let _ =
    shallow%match f(); f() with
    | effect E k -> continue k ()
    | y -> y
```

```
type _ Effect.t += E : unit t
let f () = perform E

let _ =
  match f(); f() with
  | effect E k -> continue k ()
  | y -> y
```

```
Exception: Unhandled
```

```
-: int = ()
```



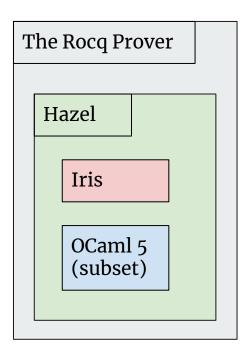
Demo!

Part 2. Introduction to Hazel

Specification Language

### Overview of the Rocq mechanization

Hazel is an extension of *Iris*.



```
Iris is a modern Separation Logic:
    standard logical connectives (∀, ∃, ⇒, ∧, ∨),
    separating conjunction (*),
    magic wand (→*),
    later modality (▷, for guarded recursion),
    persistently modality (□, to describe duplicable resources),
    update modality (▷, to support ghost state,
        a verification technique used to verify invert).
```

Formalization of the operational semantics of a subset of *OCaml 5* containing

- (1) dynamically allocated mutable state,
- (2) effect handlers (both shallow and deep),
- (3) global effect names (encoded using binary sums), and
- (4) one-shot continuations.

#### **Protocols**

In traditional Separation Logic, a specification includes a *precondition P* and a *postcondition Q*:

$$P \rightarrow wp e \{y.Q\}$$

The *key idea* of Hazel is to generalize specifications with a *protocol*  $\Psi$ , a description of the *effects* that a program might perform.

$$P \longrightarrow \text{ewp e } \langle \Psi \rangle \{y.Q\}$$

"If the precondition P holds, then e can be safely executed.

This program either

- (1) diverges, or
- (2) terminates in a state where the postcondition Q holds, or
- (3) performs an effect according to the protocol  $\Psi$ ."

$$\Psi ::= \bot \mid !x \ (v) \ \{P\}. \ ?y \ (w) \ \{Q\} \mid \Psi + \Psi$$

- Empty protocol ⊥
- *Send/recv protocol* !x (v) {*P*}. ?y (w) {*Q*}
- **Protocol sum**  $\Psi_1 + \Psi_2$

```
\Psi ::= \bot \mid !x (v) \{P\}. ?y (w) \{Q\} \mid \Psi + \Psi
```

Empty protocol ⊥
 describes the absence of effects.

#### Examples.

```
ewp (ref 0) \langle \bot \rangle {r. r \rightarrow 0}
ewp (let r = ref 1 in !r + !r) \langle \bot \rangle {y. y = 2}
```

$$\Psi ::= \bot \mid !x \mid (v) \mid \{P\}\}$$
. ?y (w)  $\{Q\} \mid \Psi + \Psi$ 

Send/recv protocol !x (v) {P}. ?y (w) {Q}
 attaches a precondition P and a postcondition Q to performing an effect, suggesting to think of performing an effect as calling a function.

"A program is allowed to perform the effect u if there exists x such that u = v and P holds. For any y, the computation can be resumed with return value w, provided that Q holds."

```
\Psi ::= \bot \mid !x (v) \{P\}. ?y (w) \{Q\} \mid \Psi + \Psi
```

• Send/recv protocol  $!x (v) \{P\}$ .  $?y (w) \{Q\}$ 

#### Examples.

```
effect Abort : unit -> 'a

ABORT = !_ (Abort ()) {True}. ?y (y) {False}

True _* ewp (perform (Abort ())) \( ABORT \) {_. False}
```

```
\Psi ::= \bot \mid !x (v) \{P\}. ?y (w) \{Q\} \mid \Psi + \Psi
```

• Send/recv protocol  $!x (v) \{P\}$ .  $?y (w) \{Q\}$ 

#### Examples.

$$\Psi ::= \bot \mid !x \mid (v) \mid P$$
. ? $y \mid (w) \mid Q$  \|  $\Psi + \Psi$ 

• **Protocol sum**  $\Psi_1 + \Psi_2$  describes effects that abide by *either*  $\Psi_1$  *or*  $\Psi_2$ .

$$\Psi ::= \bot \mid !x (v) \{P\}. ?y (w) \{Q\} \mid \Psi + \Psi$$

• Protocol sum  $\Psi_1 + \Psi_2$ 

#### Examples.

Reasoning Rules

```
(Sum)
(Empty)
                                                                               ewp (perform u) \langle \Psi_1 \rangle {Q} \vee
                                                                               ewp (perform u) \langle \Psi_2 \rangle {Q}
                      False
      ewp (perform u) \langle \perp \rangle \{ 0 \}
                                                                               ewp (perform u) \langle \Psi_1 + \Psi_2 \rangle \{Q\}
                   (Send/recv)
                                       \exists x. \ \mathsf{u} = \mathsf{v} \star P \star (\forall y. \ Q \longrightarrow R(\mathsf{w}))
                               ewp (perform u) \langle !x (v) \{P\} . ?y (w) \{Q\} \rangle \{R\}
```

```
(Sum)
(Empty)
                                                                                ewp (perform u) \langle \Psi_1 \rangle {Q} \vee
                                                                                ewp (perform u) \langle \Psi_2 \rangle {Q}
                       False
      ewp (perform u) \langle \perp \rangle {Q}
                                                                                ewp (perform u) \langle \Psi_1 + \Psi_2 \rangle {Q}
                   (Send/recv)
                                       \exists x. \ \mathsf{u} = \mathsf{v} * P * (\forall \mathsf{v}. \ \mathsf{O} \longrightarrow R(\mathsf{w}))
                               ewp (perform u) \langle !x (v) \{P\}. ?y (w) \{Q\} \rangle \{R\}
```

```
(Sum)
(Empty)
                                                                                ewp (perform u) \langle \Psi_1 \rangle {Q} \vee
                                                                                ewp (perform u) \langle \Psi_2 \rangle {Q}
                      False
                                                                                ewp (perform u) \langle \Psi_1 + \Psi_2 \rangle {Q}
      ewp (perform u) \langle \bot \rangle {Q}
                   (Send/recv)
                                       \exists x. \ \mathsf{u} = \mathsf{v} * P * (\forall \mathsf{v}. \ \mathsf{O} \longrightarrow R(\mathsf{w}))
                               ewp (perform u) \langle !x (v) \{P\}. ?y (w) \{Q\} \rangle \{R\}
```

```
(Sum)
(Empty)
                                                                              ewp (perform u) \langle \Psi_1 \rangle {Q} \vee
                                                                              ewp (perform u) \langle \Psi_2 \rangle {Q}
                      False
                                                                              ewp (perform u) \langle \Psi_1 + \Psi_2 \rangle {0}
     ewp (perform u) \langle \perp \rangle {Q}
                   (Send/recv)
                                      \exists x. \ \mathsf{u} = \mathsf{v} \star P \star (\forall y. \ Q \longrightarrow R(\mathsf{w}))
                              ewp (perform u) \langle !x (v) \{P\} . ?y (w) \{Q\} \rangle \{R\}
```

```
(Sum)
(Empty)
                                                                            ewp (perform u) \langle \Psi_1 \rangle {Q} \vee
                                                                            ewp (perform u) \langle \Psi_2 \rangle {Q}
                     False
     ewp (perform u) \langle \bot \rangle {Q}
                                                                            ewp (perform u) \langle \Psi_1 + \Psi_2 \rangle {0}
                                                                                                 "... is allowed to perform ... u
                                                                                                if there exists x such that u = v
                  (Send/recv)
                                                                                                 and [the precondition] P holds ..."
                                     \exists x. \ \mathsf{u} = \mathsf{v} \star P \star (\forall y. \ \mathsf{Q} \twoheadrightarrow R(\mathsf{w}))
                             ewp (perform u) \langle !x (v) \{P\} . ?y (w) \{Q\} \rangle \{R\}
```

```
(Sum)
(Empty)
                                                                         ewp (perform u) \langle \Psi_1 \rangle {Q} \vee
                                                                         ewp (perform u) \langle \Psi_2 \rangle {Q}
                    False
     ewp (perform u) \langle \bot \rangle {Q}
                                                                         ewp (perform u) \langle \Psi_1 + \Psi_2 \rangle {0}
                                                                                             "... for any y, the computation
                                                                                             can be resumed with... w, provided
                 (Send/recv)
                                                                                             that [the postcondition] Q holds."
                                    \exists x. \ \mathsf{u} = \mathsf{v} * P * (\forall y. \ \mathsf{Q} \longrightarrow R(\mathsf{w}))
                            ewp (perform u) \langle !x (v) \{P\} . ?y (w) \{Q\} \rangle \{R\}
```

### Local Reasoning: State

(Frame Rule)
$$P \longrightarrow \text{ewp e } \langle \Psi \rangle \{Q\}$$

$$(P * R) \longrightarrow \text{ewp e } \langle \Psi \rangle \{y \cdot Q(y) * R\}$$

This is a crucial rule from *Separation Logic*.

It allows programs to be studied *separately* if they do not alter the same data structures.

Hazel preserves the frame rule thanks to the restriction to one-shot continuations.

### Local Reasoning: Context

A neutral context contains no handlers.

This rule allows a program to be studied *in isolation* from the context under which it is evaluated.

ewp e  $\langle \Psi_1 \rangle$   $\{Q_1\}$ 

```
(Shallow Handler)
```

```
ewp (shallow%match e with effect v k -> h v k | y -> r y) \langle \Psi_2 \rangle {Q<sub>2</sub>}
```

is Shallow Handler  $\langle \Psi_1 \rangle$   $\{Q_1\}$   $(h \mid r) \langle \Psi_2 \rangle$   $\{Q_2\}$ 

This rule allows the *handlee* e to be studied *in isolation* from the *handler* that monitors its execution.

Intuitively, the protocol  $\Psi_1$  is an abstraction boundary between handlee and handler: performing effects is akin to sending requests to a server, whose interface  $\Psi_1$  the handler must implement.

The shallow-handler judgment is ShallowHandler comprises the specifications of the return branch and the effect branch:

```
is Shallow Handler \langle \Psi_1 \rangle \{Q_1\} (h \mid r) \langle \Psi_2 \rangle \{Q_2\} \triangleq
       (\forall y. Q_1(y) \rightarrow \text{ewp} (r y) \langle \Psi_2 \rangle \{Q_2\})
                                                                                                      (Return branch)
       (∀v k.
                                                                                                      (Effect branch)
             ewp (perform v) \langle \Psi_1 \rangle {w.
                 ewp (continue k w) \langle \Psi_1 \rangle \{Q_1\}
             } -*
             ewp (h v k) \langle \Psi_2 \rangle {Q_2})
```

The shallow-handler judgment is ShallowHandler comprises the specifications of the return branch and the effect branch:

```
is Shallow Handler \langle \Psi_1 \rangle {Q<sub>1</sub>} (h | r) \langle \Psi_2 \rangle {Q<sub>2</sub>} \triangleq
          \forall y. Q_1(y) \rightarrow \text{ewp} (r y) \langle \Psi_2 \rangle \{Q_2\}
        (\forall \vee k.
               ewp (perform v) \langle \Psi_1 \rangle {w.
                   ewp (continue k w) \langle \Psi_1 \rangle {Q_1}
               } -*
               ewp (h \vee k) \langle \Psi_2 \rangle {Q_2})
```

The return branch can assume that y satisfies the handlee's postcondition Q1.

The shallow-handler judgment is ShallowHandler comprises the specifications of the return branch and the effect branch:

```
is Shallow Handler \langle \Psi_1 \rangle {Q<sub>1</sub>} (h | r) \langle \Psi_2 \rangle {Q<sub>2</sub>} \triangleq
        (\forall y. Q_1(y) \rightarrow \text{ewp} (r y) \langle \Psi_2 \rangle \{Q_2\})
          ∀v k.
              ewp (perform v) \langle \Psi_1 \rangle {w.
                   ewp (continue k w) \langle \Psi_1 \rangle \{Q_1\}
               } -*
              ewp (h v k) \langle \Psi_2 \rangle {Q_2}
```

The *effect branch* can assume that  $\vee$  was performed under a context k according to the *protocol*  $\Psi_1$ .

The shallow-handler judgment is ShallowHandler comprises the specifications of the return branch and the effect branch:

```
is Shallow Handler \langle \Psi_1 \rangle {Q<sub>1</sub>} (h | r) \langle \Psi_2 \rangle {Q<sub>2</sub>} \triangleq
        (\forall y. Q_1(y) \rightarrow \text{ewp} (r y) \langle \Psi_2 \rangle \{Q_2\})
          VV k.
              ewp (perform v) \langle \Psi_1 \rangle {w.
                   ewp (continue k w) \langle \Psi_1 \rangle {Q_1}
               } -*
              ewp (h \vee k) \langle \Psi_2 \rangle {Q_2}
```

We identify the *permission* to resume the continuation.

The continuation k can be resumed with a return value w, if w is allowed by  $\Psi_1$ .

One is then allowed to assume that the expression continue k w performs effects according to  $\Psi_1$  and may terminate according to  $Q_1$ .

```
(Deep Handler)  \text{ewp e } \langle \Psi_1 \rangle \; \{Q_1\} \qquad \qquad \text{isDeep Handler } \langle \Psi_1 \rangle \; \{Q_1\} \; ( \textbf{\textit{h}} \; | \; \textbf{\textit{r}} ) \; \langle \Psi_2 \rangle \; \{Q_2\}   \text{ewp (match e with effect v k -> \textbf{\textit{h}} \; \text{v k} \; | \; \text{v} \; -> \textbf{\textit{r}} \; \text{v}) \; \langle \Psi_2 \rangle \; \{Q_2\}
```

The reasoning rule for *deep handlers* is similar to the rule for *shallow handlers*, the difference is hidden in the definition of the *deep-handler judgment isDeepHandler*.

The *deep-handler judgment* is *DeepHandler* is recursively defined, thus reflecting the recursive behavior of deep handlers.

```
isDeepHandler \langle \Psi_1 \rangle \{Q_1\} (h \mid r) \langle \Psi_2 \rangle \{Q_2\} \triangleq
        (\forall y. Q_1(y) \rightarrow \text{ewp} (r y) \langle \Psi_2 \rangle \{Q_2\})
        (∀v k.
              ewp (perform v) \langle \Psi_1 \rangle {w. \forall \Psi' \circ Q'.
                   \triangleright isDeepHandler \langle \Psi_1 \rangle {Q_1} (h \mid r) \langle \Psi' \rangle {Q'} \longrightarrow*
                   ewp (continue k w) \langle \Psi' \rangle \{Q'\}
               } -*
              ewp (h v k) \langle \Psi_2 \rangle {Q_2})
```

The deep-handler judgment is DeepHandler is recursively defined, thus reflecting the recursive behavior of deep handlers.

```
isDeepHandler \langle \Psi_1 \rangle {Q<sub>1</sub>} (h | r) \langle \Psi_2 \rangle {Q<sub>2</sub>} \triangleq
         (\forall y. Q_1(y) \rightarrow \text{ewp} (r y) \langle \Psi_2 \rangle \{Q_2\})
         (\forall \vee k.
               ewp (perform v) \langle \Psi_1 \rangle {w. \forall \Psi' \circ Q'.
                    \triangleright isDeepHandler \langle \Psi_1 \rangle {Q_1} (h \mid r) \langle \Psi' \rangle {Q'} \longrightarrow*
                    ewp (continue k w) \langle \Psi' \rangle \{ O' \}
                } -*
               ewp (h \vee k) \langle \Psi_2 \rangle \{0_2\}
```

To reason about the call to the continuation, one must *reestablish* the handler judgment, because the handler is *reinstalled*.

This new handler instance may abide by a different protocol  $\Psi'$  and by a different postcondition Q'.

Case Study: Verification of invert

## Specification of invert

```
type iter = (int -> unit) -> unit

type sequence = unit -> head
and head = Nil | Cons of int * sequence

val invert : iter -> sequence
```

We wish to prove that invert meets the following specification:

```
\forall iter \ xs. \\ is Iter (iter, xs) \longrightarrow \{ewp \ (invert \ iter) \ \langle \bot \rangle \ \{k. \ is Seq(k, xs)\}
```

## Definition of isIter

```
type iter = (int -> unit) -> unit
```

```
*
```

```
isIter(iter, xs) ≜

Vf I.

□ (∀us u vs. us ++ u :: vs = xs

I(us) →* wp (f u) {_. I(us ++ [u])})

I([]) →* wp (iter f) {_. I(xs)}
**
```

The abstract predicate *I* is the loop invariant:

"If f can take one step, then iter can take xs steps."

## Definition of isIter

```
type iter = (int -> unit) -> unit
```



```
isIter(iter, xs) \triangleq

Vf I \Psi.

\square (\forall us \ u \ vs. \ us \ ++ \ u :: \ vs = \ xs

I(us) \longrightarrow \exp (f \ u) \langle \Psi \rangle \{\_. \ I(us \ ++ \ [u])\})

I([]) \longrightarrow \exp (iter \ f) \langle \Psi \rangle \{\_. \ I(xs)\}
```

The abstract predicate *I* is the loop invariant.

The abstract protocol  $\Psi$  means that iter is effect-polymorphic:

- (1) iter does not perform effects, and
- (2) iter does not intercept the effects that f may throw.

### Definition of isSeq

```
type sequence = unit -> head
and head = Nil | Cons of int * sequence

isSeq'(k, us, xs) \( \text{\text{$=}} \) ewp k() \( \perp \) \( \text{$=} \) \( \t
```

The protocol  $\perp$  indicates that a sequence *does not perform effects*.

 $isSeg(k, xs) \triangleq isSeg'(k, [], xs)$ 

Because the definition of isSeq' does not include a persistently modality, the sequence k is not duplicable; it can be used at most once.

## Key Ideas

We covered the definitions, now we study the *key ideas* of the proof:

- 1. The introduction of a piece of *ghost state* to keep track of the elements already *seen*.
- 2. The introduction of the protocol describing the effect Yield.

#### **Ghost State**

```
let yield x = perform (Yield x)

let invert iter = fun () ->
  let ghost seen = ref [] in
  match iter yield with
  | effect (Yield x), k ->
      seen := !seen @ [x];
      Seq.Cons (x, continue k)
  | () ->
      Seq.Empty
```

The memory cell seen is part of the *ghost state*, which can be seen as a *fictional extension of the heap*.

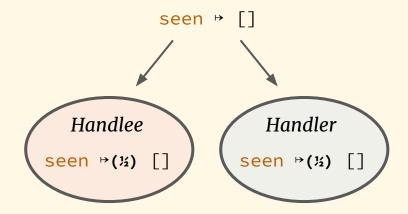
Ghost state is a standard verification technique, usually presented as history variables.

#### **Ghost State**

```
let yield x = perform (Yield x)

let invert iter = fun () ->
    let ghost seen = ref [] in
    match iter yield with
    | effect (Yield x), k ->
        seen := !seen @ [x];
        Seq.Cons (x, continue k)
    | () ->
        Seq.Empty
```

The ownership of the ghost location seen is split between handlee and handler:



To update seen, *full ownership* is required, which can be recovered from the *two halves*:

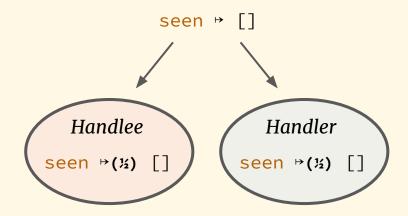
```
seen \Rightarrow (%) us \rightarrow seen \Rightarrow (%) vs \rightarrow seen \Rightarrow (us ++ [u]) * us = vs
```

#### **Ghost State**

```
let yield x = perform (Yield x)

let invert iter = fun () ->
   let ghost seen = ref [] in
   match iter yield with
   | effect (Yield x), k ->
        seen := !seen @ [x];
        Seq.Cons (x, continue k)
   | () ->
        Seq.Empty
```

The ownership of the ghost location seen is split between handlee and handler:



"In the eyes of the handlee, the effect Yield u updates seen with u."

```
YIELD = !us u vs (Yield u) { seen \Rightarrow (½) us * us ++ u :: vs = xs }.

?_ (()) { seen \Rightarrow (½) (us ++ [u]) }
```

### Verification of invert

After the allocation of seen, there comes the main reasoning step: the application of Rule Deep Handler.

### Verification of invert

#### First proof obligation

```
seen \Rightarrow(%) [] \rightarrow* ewp (iter yield) \langle YIELD \rangle {_. seen \Rightarrow(%) xs}
```

The first proof obligation follows from the hypothesis <code>isIter</code>(iter, <code>xs</code>).

Indeed, it suffices

- (1) to instantiate the loop invariant I(us) with seen  $\Rightarrow$  (%) us,
- (2) to instantiate the abstract protocol  $\Psi$  with YIELD, and
- (2) to prove that the function yield "advances the invariant by one step".

```
seen \Rightarrow(%) us \longrightarrow ewp (yield u) \langle YIELD \rangle {_. seen \Rightarrow(%) (us ++ [u])}
```

### Verification of invert

#### Second proof obligation

```
isDeepHandler \langle YIELD \rangle {_. seen \mapsto(%) xs} seen \mapsto(%) [] \longrightarrow \langle \bot \rangle {y. isHead(y,[],xs)}
```

First, we generalize the assertion to reason about an arbitrary state of seen:

```
isDeepHandler \langle YIELD \rangle {_. seen \Rightarrow (%) xs} H \triangleq \forall us. seen \Rightarrow (%) us \longrightarrow * (h \mid r) \langle \bot \rangle {y. isHead(y,us,xs)}
```

The proof then follows by Löb induction (because a deep handler is recursively defined):

$$\triangleright H \longrightarrow H$$



Demo!