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**Bachelor Thesis**

**Implementing a Library for Scoped Algebraic Effects in Agda**

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### Abstract

Computational effects are a central concept in functional programming as well as formal verification. Different representations for computational effects exist, notably monads and algebraic effects. To allow development of modular programs and local reasoning in formal verification, the composability of representations is important. Algebraic effects and handlers are generally a more modular approach than traditional monad transformers. Furthermore, algebraic effects are convenient representation of computational effects in constructive type theory. For example, [11, 10] used them to explicitly represent ambient effect, such as Haskell’s partiality, in proof assistants like Coq.

In the traditional approach, operations with scope can only be implemented as an effect handler. Wu et al. [31] noted a lack of modularity, when multiple effect with scoping operations are used. This is an important limitation, because most commonly used effects have associated operations with scopes. To fix this problem Wu et al. [31] introduced scoped effects. Furthermore, to simulate sharing of potentially effectful programs, we need operations with scopes.

In this thesis we explore how well three different Haskell implementations of scoped effects by Wu et al. [31] and Piróg et al. [21] translate in the dependently typed, functional programming language Agda. We implement a library for scoped effects, that allows the implementation of effectful program as well as formal reasoning using Agda’s theorem proving capabilities. To test the applicability of our implementations, we implement effects related to simulating Curry’s [14] ambient nondeterminism. Our main example for a scoped effect is sharing as described by Bunkenburg [9], which was developed for simulating Curry’s call-time choice semantics. To simulate ambient effects in data structures, our implementation also supports deep effects.

### Zusammenfassung

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# Chapter 1

## Introduction

Computational effects such as state, nondeterminism and partiality are a central concepts in functional programming and program verification. A formal representation for computational effects is essential to allow reasoning about programs using them.

Algebraic effects were first introduced by Plotkin and Power [22] as an alternative representation for computational effects. They represent a large class of effects using a set of operations and an algebraic theory relating them. Furthermore, they provide ways of constructing, reasoning and combining effects [25]. Although, they can represent a large set of effects, not all operations from the corresponding monad for the effect fit in the algebraic effect framework. More precisely, they cannot represent non-algebraic operations, for example operations with scopes, such as `catch` [22].

Effect handlers were introduced by Plotkin and Pretnar [24] as a generalization of exception handlers. They allow modelling of non-algebraic operations and are used in conjunction with algebraic effects [25]. Algebraic effects and handlers have a wide field of applications. In functional programming they are used as a less boiler plate intensive alternative to monad transformers. They can be used as a theoretical foundation for reasoning about computational effects. Furthermore, they can be used to model semantics of programming languages. Most functional programming languages allow a limited set of side effects, which are not represented in the type system of the language. These effects are usually called *ambient effects*. For example, to allow easier development, Haskell programs can contain traces and functions are allowed to be partial. Dylus et al. [11] and Christiansen et al. [10] presented a modelling of ambient effect using free monads in Coq. They showed that forms of algebraic effects and handlers are a convenient basis for implementing effects in languages with dependent types and allow reasoning about Haskell programs taking ambient effects into account.

Wu et al. [31] noticed a lack of modularity when combining multiple effects with scoping operations, because handlers delimit scopes as well as define semantics. They introduce two different solutions for the problem. They fix the problem by introducing new operations to mark scopes and by generalizing syntax to model scopes directly. Scoped effects are usually used to implement effect systems in Haskell, because they provide a similar interface to normal monad transformers. Furthermore, they are needed to simulate more complex semantics of programming languages, such as sharing.

### 1.1 Goals

The goal of this thesis is the implementation of an effect library based on the work by Wu et al. [31] and Piróg et al. [21] in the dependently typed, functional programming language Agda [20]. Due to its stronger type system, Agda can be not only be used as a programming language, but also as a proof assistant. Therefore, Agda does not only allow writing programs with more expressive types, but also allows verifying their properties. To allow use as a proof assistant, Agda programs are subject to constraints not present in other functional languages, such as Haskell. All Agda programs have to be total (and therefore terminate), all data types have to be strictly positive and all universe levels have to be consistent. These restrictions prevent a direct translation of Haskell code to Agda and therefore complicate porting of Haskell code to Agda.

This thesis explores multiple Haskell implementations of scoped effects and studies how well these translate to Agda. Furthermore we presents a set of standard solutions for common problems,

arising during the implementation of the Haskell approaches in Agda.

Agda’s builtin theorem proving capabilities allow direct, machine checked correctness proofs for the implemented library. Alongside the implementation of scoped effects, the library contains proofs for common properties of these effects. Furthermore, the library itself can be used to simulate semantics of other programming languages such as Curry’s [14] call-time choice and allow verification of equivalent programs written in these languages in Agda. To model ambient effects in data structures correctly, the library has to be able to represent deep effects i.e. data structures with effectful components.

## 1.2 Structure

Chapter 2 contains short introductions to Agda and dependent types, Curry and its call-time choice semantics (which are a central example for a scoped effect throughout the thesis) and algebraic effects.

Chapter 3 and 4 explore the two approaches based on “Effect handlers in scope” by Wu et al. [31]. The former of the two approaches was already partially explored by Bunkenburg [9] in Coq and can also be implemented easily in Agda. The latter of the two approaches tries to fix some inherent problems of the first one, but sadly cannot fully be implemented in Agda due to some other problems with universe consistency.

Chapter 5 describes an implementation of a novel representation for scoped effects by Piróg et al. [21] which also fixes the problems of the first approach, while avoiding the universe inconsistencies of the second one. Furthermore, the implementation explores some ideas to modularize the exemplary Haskell implementation by Piróg et al.

Chapter 6 summaries and compares the three approaches. Furthermore, it gives an overview over related and possible future work.

## Chapter 2

# Preliminaries

## 2.1 Agda

Agda<sup>1</sup> is a dependently typed functional programming language. The current version (2.6.1.1 as of Nov 2020) was originally developed by Ulf Norell under the name Agda2 [20]. Due to its type system Agda can be used as a programming language and as a proof assistant.

This section contains a short introduction to Agda, dependent types and the idea of “Propositions as types” under which Agda can be used for theorem proving.

### 2.1.1 Basic Syntax

Agda’s syntax is similar to Haskell’s [15]. Data types are declared with syntax similar to Haskell’s GADTs. Functions declarations and definitions are also similar to Haskell, except that Agda uses a single colon for the typing relation. In the following definition of `N`, `Set` is the type of all (small) types.

```
data N : Set where
  zero : N
  suc  : N → N
```

Ordinary function definitions are syntactically similar to Haskell. Agda allows the definition of mixfix operators. A mixfix operator is a nearly arbitrary list of symbols (builtin symbols like colons are not allowed as part of operators). An arbitrary number of underscores in the operator name are placeholders for future parameters. A mixfix operator can be applied partially by writing underscores for the omitted parameters.

In the following definition of addition for natural numbers `+` is a binary operator and therefore contains two underscores.

```
_+_ : N → N → N
zero + m = m
suc n + m = suc (n + m)
```

### 2.1.2 Dependent Types

The following type theoretic definitions are taken from the book “*Homotopy Type Theory: Univalent Foundations of Mathematics*” [28]. In type theory a type of types is called a universe. Universes are usually denoted  $\mathcal{U}$ . A function whose codomain is a universe is called a type family or a dependent type.

$$F : A \rightarrow \mathcal{U} \quad \text{where} \quad F(a) : \mathcal{U} \quad \text{for} \quad a : A$$

To avoid Russell’s paradox, a hierarchy of universes  $\mathcal{U}_1 : \mathcal{U}_2 : \dots$  is introduced. In Agda the universes are named `Setn`, where `Set0` can be abbreviated as `Set`. Usually, the universes are cumulative i.e. if  $\tau : \mathcal{U}_n$  then  $\tau : \mathcal{U}_k$  for  $k > n$ . By default this is not the case in Agda. Each type is member of a unique universe, but it is possible to lift a type to a higher universe manually. Since Agda 2.6.1 an experimental `--cumulativity` flag exists.

---

<sup>1</sup><https://github.com/agda/agda>

**Dependent Function Types ( $\Pi$ -Types)** are a generalization of function types. The codomain of a  $\Pi$ -type is not fixed, but values with the argument the function is applied to. The codomain is defined using a type family of the domain, which specifies the type of the result for each given argument.

$$\prod_{a:A} B(a) \quad \text{with} \quad B : A \rightarrow \mathcal{U}$$

An element of the above type is a function which maps every  $a : A$  to a  $b : B(a)$ . In Agda the builtin function type  $\rightarrow$  is a  $\Pi$ -type. An argument can be named by replacing the type  $\tau$  with  $x : \tau$ , allowing us to use the value as part of later types.

**Dependent Sum Types ( $\Sigma$ -Types)** are a generalization of product types. The type of the second component is not fixed, but varies with the value of the first.

$$\sum_{a:A} B(a) \quad \text{with} \quad B : A \rightarrow \mathcal{U}$$

An element of the above type is a pair consisting of an  $a : A$  and a  $b : B(a)$ . In Agda **records** represent  $n$ -ary  $\Sigma$ -types. Each field can be used in the type of the following fields. The Agda standard library provides a data type called  **$\Sigma$** , that represents normal dependent product types with two elements. Furthermore, it provides a more convenient syntax for writing  $\Sigma$ -types. The type above can be written as  **$\Sigma[ a \in A ] (B a)$** .

**Programming with Dependent Types** Next we introduce some common patterns for programming with dependent types. The example of fixed length vectors and indexing using bounded subsets of natural numbers is one of the examples presented by Norell [19].

The data type **Vec** depends on a type **A** and a value of type  **$\mathbb{N}$** .

```
data Vec (A : Set) :  $\mathbb{N}$   $\rightarrow$  Set where
  _::_ : {n :  $\mathbb{N}$ }  $\rightarrow$  A  $\rightarrow$  Vec A n  $\rightarrow$  Vec A (suc n)
  []   : Vec A 0
```

Arguments on the left-hand side of the colon are called parameters and are the same for all constructors. Arguments on the right-hand side of the colon are called indices and can differ for each constructor. Therefore, **Vec A** is a family of types indexed by  **$\mathbb{N}$** .

The **[]** constructor allows us to create an empty vector of any type, but forces the index to be zero. The **\_::\_** constructor appends an element to the front of a vector of the same element type and increases the index by 1. Only these two constructors can be used to construct vectors. Therefore, the index is always equal to the amount of elements stored in the vector.

By encoding more information about data in its type we can add extra constraints to functions working with it. The following definition of **head** avoids error handling or partiality by excluding the empty vector as a valid argument.

```
head :  $\forall \{A : \text{Set}\} \rightarrow \text{Vec } A \text{ (suc } n) \rightarrow A$ 
head (x :: _) = x
```

When pattern matching on the argument of **head** there is no case for **[]**. The argument has type **Vec A (suc n)** and **[]** has type **Vec A 0**. Those two types cannot be unified, because **suc** and **zero** are different constructors of  **$\mathbb{N}$** . Therefore, the **[]** case does not apply. By constraining the type of the function we were able to avoid the case, which usually requires error handling or introduces partiality.

We can extend this idea to type safe indexing. A vector of length  $n$  is indexed by the first  $n$  natural numbers. The type **Fin n** represents the subset of natural numbers smaller than  $n$ .

```
data Fin :  $\mathbb{N}$   $\rightarrow$  Set where
  zero : {n :  $\mathbb{N}$ }  $\rightarrow$  Fin (suc n)
  suc   : {n :  $\mathbb{N}$ }  $\rightarrow$  Fin n  $\rightarrow$  Fin (suc n)
```

Because 0 is smaller than every positive natural number, **zero** can only be used to construct an element of **Fin (suc n)** i.e. for every type except **Fin 0**.



If any number is smaller than  $n$ , then its successor is smaller than  $n + 1$ . Therefore, if any number is an element of `Fin`  $n$  then its successor is an element of `Fin` (`suc`  $n$ ).

We can construct a  $k < n$  of type `Fin`  $n$  by starting with `zero` of type `Fin` ( $n - k$ ) and applying `suc`  $k$  times. Using this definition of the bounded subsets of natural numbers we can define a non partial version of `!_` for vectors.

$$\begin{aligned} \_!_ &: \forall \{A\ n\} \rightarrow \text{Vec } A\ n \rightarrow \text{Fin } n \rightarrow A \\ (x :: \_) ! \text{zero} &= x \\ (\_ :: xs) ! \text{suc } i &= xs ! i \end{aligned}$$

Notice that similar to `head` there is no case for `[]`.  $n$  is used as index for `Vec`  $A$  and `Fin`. The constructors for `Fin` only use `suc`. Therefore, the type `Fin zero` is not inhabited and the cases for `[]` do not apply.

By case splitting on the vector first we could have obtained the term `[] ! i`. By case splitting on  $i$  we notice that no constructor for `Fin zero` exists. Therefore, this case cannot occur, because the type of the argument is uninhabited. It's impossible to call the function, because we cannot construct an argument of the correct type. In this example we can either omit the case or explicitly state that the argument is impossible to construct, by replacing it with `()`, allowing us to omit the definition of the right-hand side of the equation.

```
[] ! () -- no right-hand side, because it's impossible to reach this case
```

The other two cases are straightforward. For index `zero` we return the head of the vector. For index `suc i` we call `!_` recursively with the smaller index and the tail of the vector. Notice that the types for the recursive call change. The tail of the vector  $xs$  and the smaller index  $i$  are indexed over the predecessor of  $n$ .

The above, quite simple examples can also be implemented in Haskell, for example using type level natural numbers. One of the advantages of Agda is the seamless and complete implementation of dependent types. For example, in contrast to a Haskell implementation we could simply reuse the normal type of natural numbers to index other types. Furthermore, we will later see more complex uses of dependent types, which cannot be translated as easily to Haskell.

### 2.1.3 Propositions as Types

The idea of propositions as types, also known as Curry-Howard correspondence, relates type theory to logic and is the basis for theorem proving in dependently typed languages, like Agda. In this section we give a short overview over the idea. A more in depth explanation and an overview over the history of the idea can be found in Wadler's paper of the same name [30].

As described by Wadler, the idea of propositions as types is a deep correspondence, relating *propositions to types*, *proofs to programs* and *simplification of proofs to evaluation of programs*. We will first consider the connection between the simple typed lambda calculus (with product and sum types) and *intuitionistic* propositional logic. The intuitionistic version of propositional logic uses weaker axioms than classical propositional logic. For example, the law of the excluded middle and double negation elimination do not hold in general. Intuitively speaking, in intuitionistic logic every proof has to be witnessed. When proving a disjunction one has to state which of the alternatives holds i.e. one cannot just prove existence. With this view point in mind it should be clear why intuitionists refute the law of the excluded middle, if  $A \vee \neg A$  were true in general one would already have to know which alternative holds.

A proposition corresponds to a type, while the elements of the type correspond to the proofs of the proposition. A proposition is true iff the type representing it is inhabited. Constructing a proof for a proposition means constructing a value of its type. Unit and bottom type correspond to true and false, because one can always deduce true (construct a value of the unit type  $\top$ ) and there exist no proof of falsity i.e.  $\perp$  the type representing false is not inhabited. Under the above interpretation the usual logical connectives like  $\wedge$ ,  $\vee$  and  $\rightarrow$  correspond product, sum and function types.

For example, by the introduction rule for conjunctions, to construct a proof of  $A \wedge B$  one has to construct a proof of  $A$  and a proof of  $B$ . This corresponds to the construction of an element of the product type, because to construct an element of  $A \times B$  one has to provide an element of  $A$  and  $B$ . The elimination rules for conjunction, i.e. one can deduce a proof of  $A$  and a proof of  $B$

FOL	MLTT	Agda
$\forall x \in A : P(x)$	$\Pi_{x:A} P(x)$	$(x : A) \rightarrow P\ x$
$\exists x \in A : P(x)$	$\Sigma_{x:A} P(x)$	$\Sigma[ x \in A ] P\ x$
$\neg A$	$A \rightarrow 0$	$A \rightarrow \perp$
$P \wedge Q$	$P \times Q$	$A \times B$
$P \vee Q$	$P + Q$	$A \uplus B$
$P \rightarrow Q$	$P \rightarrow Q$	$A \rightarrow B$
<b>t</b>	$\mathbb{1}$	$\top$
<b>f</b>	$0$	$\perp$

Table 2.1: Correspondence between first order logic and types in mathematical and Agda notation

from the conjunction  $A \wedge B$ , corresponds to the projection functions for products  $\pi_1$  and  $\pi_2$ . The argumentation for disjunction and sum/coproduct types is dual.

Functions from  $A$  to  $B$  map element of  $A$  to elements of  $B$  i.e. they construct proofs of  $B$  from proofs of  $A$ . They correspond to implications. Lambda abstracting of a value of type  $A$  corresponds to assuming a proof of  $A$  i.e. implication introduction, while function application corresponds to implication elimination.

As explained in Section 2.1.2, Agda's type system has dependent types. With dependent types the construction of a type (and therefore whether the type is inhabited) can change based on a value. Dependent types therefore correspond to predicates.  $\Sigma$  and  $\Pi$  types correspond to existential and universal quantification. To prove an existential one has to provide a value and a proof that the proposition holds for this value. These two correspond to the two elements of a the  $\Sigma$  type. The type of the second element depends on the first one i.e. it's a proof for a predicate on the first value. To prove a universal quantified proposition one has to prove that it holds for every possible value. A  $\Pi$  type is a function whose return type depends on the given value i.e. given any value it returns a proof for the predicate on its argument.

Extending the type system with dependent types corresponds to extending intuitionistic propositional logic to intuitionistic predicate logic. Using the above corresponds Agda can be used to state and prove theorems in predicate logic. An overview over the correspondences between certain types and connectives, as well as the corresponding syntax in Agda can be found in Table 2.1.3.

### 2.1.4 Notions of Equality and Equality Types

In the last section we saw how we can encode propositions from propositional and predicate logic as types. One of the most important proposition is equality i.e. the proposition that given two terms  $a, b : A$  that  $a$  and  $b$  are equal. When using Agda for theorem proving we have to express propositions like  $a + b = b + a$  and  $2 = 1$ , which could be true or false, to be able to prove or disprove them. In type theory and therefore in Agda we have to consider different notions of equality.

When defining a program rule like `truth = 42` we are making an *equality judgement*. The symbol `truth` is *definitionally equal* to `42`. A judgment is always true. We define one term to be equal to another one i.e. we allow Agda to reduce the left-hand side of the equality to the right-hand side.

The next notion of equality is *computational equality*. Two terms  $t_1$  and  $t_2$  are computationally equal if they reduce to the same term. For example, given the above definition of  $+$  the terms  $0 + (0 + n)$  and  $n$  are computationally equal, because using the first rule in the definition of plus  $0 + (0 + n)$   $\beta$ -reduces to  $n$ . On the other hand  $n + 0$  and  $n$  are not computational equal, because for a free variable  $n$  none of the program rules for  $+$  can be used to reduce the term further.

To talk about the equality of two terms we have to use *propositional equality* i.e. we have to define a proposition representing the fact that two terms of type  $A$  are equal. This proposition is usually encapsulated in an *equality type* of  $A$  [28, 19, 16].

```
data _≡_ {A : Set} (x : A) : A → Set where
  refl : x ≡ x
```

The type  $x \equiv y$  represents the proposition that  $x$  and  $y$  are equal. The only way to construct evidence for the proposition is using the `refl` constructor i.e. if  $x$  and  $y$  are actually the same.

This notion of equality has the usually expected properties like transitivity, symmetry and congruence. The definition of `cong` shows the typical way of working with equality proofs.

```

cong :  $\forall \{A B x y\} \rightarrow (f : A \rightarrow B) \rightarrow x \equiv y \rightarrow f x \equiv f y$ 
cong f refl = refl

```

We expect that  $\equiv$  is a congruence relation i.e. if  $x$  and  $y$  are equal then  $fx$  and  $fy$  should also be equal. We cannot produce a value of type  $fx \equiv fy$  because the two are not equal. By pattern matching in the argument of type  $x \equiv y$  i.e. by inspecting the evidence that  $x$  and  $y$  are equal we obtain more information about the goal i.e. the return type of the function. Because *refl* can only be constructed if the two values are the same the two variables are unified. Therefore, we have to produce a proof that  $fx$  is equal to itself, which is given by reflexivity.

By pattern matching on variables used in the equality type we can obtain more information about the goal. Either because the constructors them-self restrict the use of the variables or because the terms used in the equality type can be reduced further. Consider the following example.

```

+identr :  $\forall n \rightarrow n + 0 \equiv n$ 
+identr 0 = refl
+identr (suc m) = cong suc (+identr m)

```

By pattern matching on the variable  $n$  we obtain two cases, one for each constructor (this is analogous to a proof by exhaustion). In both cases the term  $n$  0 can now be reduced further. In the 0 case we obtain  $0 + 0$  on the left-hand side, which can be reduced to 0. The return type simplifies to  $0 \equiv 0$  for which we can simply construct evidence using *refl*.

The second case is more complex. The left hand side still contains the free variable  $m$ , but reduces to *suc* ( $m + 0$ ) using the second rule for *+*. Using a recursive call we obtain evidence for  $m + 0 \equiv m$ . The recursive call to obtain evidence for a smaller case corresponds to the use of the induction hypothesis in an inductive proof. By applying *suc* on both sides of the equality we obtain a proof for the correct proposition.

We obtained a non-obvious equality by using just definitional and computational equality together with the analogs of proofs by exhaustion and induction. This proof can now be used to rewrite arbitrary terms containing terms corresponding to or containing the left- or right-hand of the equality.

The above definition of propositional equality defines so called *intentional* propositional equality. Intentional equality respects how objects are defined. Extensional equality just observes how objects behave. This distinction is important when comparing functions, as we will do in nearly all later proofs. Two functions which behave identical but are defined differently are extensional but not intentional equal. In Agda one can use extensional equality by arguing in another setoid (i.e. using a different equivalence relation, which assumes that extensionality holds) or by adding an axiom to modify the underlying theory. For simplicity we will do the later and postulate the axiom of extensionality.

```

postulate
extensionality :  $\forall \{A : \text{Set}\} \{B : A \rightarrow \text{Set}\}$ 
   $\{f g : (x : A) \rightarrow B\} \rightarrow (\forall (x : A) \rightarrow f x \equiv g x) \rightarrow f \equiv g$ 

```

The axiom simply states that the two functions  $f$  and  $g$  are considered equal if they are equal point-wise. It extends the intentional propositional equality to the extensional one, while preserving Agda's consistency.

### 2.1.5 Termination Checking

Under the idea of propositions as types, Non-terminating functions correspond to ill-formed, for example circular arguments. Therefore, allowing the definition of non-terminating functions entails logical inconsistency. When defining functions Agda allows general recursion, but only terminating functions are valid Agda programs. Due to the undecidability of the halting problem Agda uses a heuristic termination checker. The termination checker proves termination by observing structural recursion. Consider the following definitions of *List* and *map*.

```

data List (A : Set) : Set where
  _::_ : A  $\rightarrow$  List A  $\rightarrow$  List A
  []    : List A

```

```

map : {A B : Set} → (A → B) → (List A → List B)
map f (x :: xs) = f x :: map f xs
map f []       = []

```

The `[]` case does not contain a recursive call. In the `_::_` case the recursive call to `map` occurs on a structural smaller argument i.e. `xs` is a subterm of the argument `x :: xs`. Because elements of `List A` are finite the function `map` terminates for every argument.

### Sized Types

In more complex recursive functions the structural recursion can be obscured. For example, Agda does not inline functions containing pattern matches during termination checking. A common example are recursive calls in lambdas, which are passed to higher order functions like `map` and `≫`. Consider the following definition of `mapRose`. The recursive call is made by the higher-order function `map` for lists. An equivalent definition in Agda would not obviously terminate, because the structural recursion is obscured.

```

data Rose a = Branch a [Rose a]

mapRose :: (a -> b) -> Rose a -> Rose b
mapRose f (Branch x rs) = Branch (f x) (map (mapRose f) rs)

```

To still prove termination in such cases we can resort to type-based termination checking as described by Abel [2]. The fundamental idea is to represent the size of a recursive data structure in its type. Termination of recursive functions can be proven by observing a reduction in size on the type level. Abel noted as main advantages robustness with respect to small or local changes in code (which do not impact the type) as well as scaling to higher-order functions and polymorphism [2]. The latter will be essential in future chapters, since representations of computational effects involve complex constructs, which obscure recursion on the value level.

Type-based termination checking is available in Agda in the form of *sized types*. The special, builtin type `Size` can be used to annotate data types with a value which represents an upper bound on there term size. A set of builtin functions and types can be used to establish relations between different sizes. The elements of `Size` are well ordered. `↑_` is the successor operation on `Size` i.e.  $i < \uparrow i$ . `⊔s` is the supremum w.r.t. the relation. `∞` is the top element in `Size`. Given an  $i$  the type of all smaller sizes can be constructed using the `Size<_` family of type<sup>2</sup>. If the size decreases across all recursive calls of a function, termination follows from the well-ordering on `Size`.

A common idiom for data types is to mark all non-inductive constructors and recursive occurrences with an arbitrary size  $i$  and all inductive constructors with the next larger size  $\uparrow i$ . The size therefore corresponds to the height of the tree described by the term (+ the initial height for the lowest non-inductive constructor).

Let us again consider the rose tree example. The size index can be intuitively thought of as the height of the tree.

```

data Rose (A : Set) : Size → Set where
  rose : ∀ {i} → A → List (Rose A i) → Rose A (↑ i)

```

When `fmap` for rose trees is defined in terms of `map` the termination is obscured. The argument of the functions passed to `map` is not recognized as structurally smaller than the given rose tree. Using size annotations we can fix this problem.

```

map-rose : {A B : Set} {i : Size} → (A → B) → (Rose A i → Rose B i)
map-rose f (rose x xs) = rose (f x) (map (map-rose f) xs)

```

By pattern matching on the argument of type `Rose A` of size  $\uparrow i$  we obtain a `List` of trees of size  $i$ . The recursive calls via `map` therefore occur on smaller trees. Therefore the functions has to terminate.

In this case inlining the call of `map` would also solve the termination problem. When generalizing the definition of the tree from `List` to an arbitrary functor this would not be possible. In many cases inlining all helper functions is either not feasible or would lead to large and unreadable programs.

<sup>2</sup>We will not need this construction. It is usually used when working with *coinductive* data types.

### 2.1.6 Strict Positivity

In a type system with arbitrary recursive types, it is possible to implement a fixpoint combinator and therefore non terminating functions without explicit recursion. As explained in Section 2.1.5 this entails logical inconsistency. Agda allows only strictly positive data types. A data type  $D$  is strictly positive if all constructors are of the form

$$A_1 \rightarrow A_2 \rightarrow \dots \rightarrow A_n \rightarrow D$$

where each  $A_i$  is either not inductive (does not mention  $D$ ) or is of the form

$$B_1 \rightarrow B_2 \rightarrow \dots \rightarrow B_n \rightarrow D$$

where  $B_j$  is not inductive. By restricting recursive occurrences of a data type in its definition to strict positive positions strong normalization is preserved [29].

#### Container

Because of the strict positivity requirement it is not allowed to apply generic type constructors to inductive occurrences of a data type in its definition. The reason for this restriction is that a type constructor is not required to use its argument only in strictly positive positions. To still work generically with type constructors or more precise functors we need a more restrictive representation, which only uses its argument in a strictly positive position. One representation of such strictly positive functors are containers.

Containers are a generic representation of data type, that store values of an arbitrary type. They were introduced by Abbott et al. [1]. A container is defined by a type of shapes  $S$  and a type of positions for each of its shapes  $P : S \rightarrow \mathcal{U}$ . Usually containers are denoted  $S \triangleright P$ . A common example are lists. The shape of a list is defined by its length, therefore the shape type is  $\mathbb{N}$ . A list of length  $n$  has exactly  $n$  places or positions containing data. Therefore, the type of positions is  $\prod_{n:\mathbb{N}} \text{Fin } n$  where  $\text{Fin } n$  is the type of natural numbers smaller than  $n$ . The extension of a container is a functor  $\llbracket S \triangleright P \rrbracket$ , whose lifting of types is given by

$$\llbracket S \triangleright P \rrbracket X = \sum_{s:S} P s \rightarrow X.$$

A lifted type corresponds to the container storing elements of the given type e.g.  $\llbracket \mathbb{N} \triangleright \text{Fin} \rrbracket A \cong \text{List } A$ . The second element of the dependent pair sometimes called position function. It assigns each position a stored value. The functors action on functions is given by

$$\llbracket S \triangleright P \rrbracket f \langle s, pf \rangle = \langle s, f \circ pf \rangle.$$

We can translate these definition directly to Agda. Instead of a `data` declaration we can use `record` declarations. Similar to other languages `records` are pure product types. A `record` in Agda is an  $n$ -ary dependent product type i.e. the type of each field can contain all previous values.

```
record Container : Set1 where
  constructor _▷_
  field
    Shape : Set
    Pos : Shape → Set
open Container
```

As expected, a container consists of a type of shapes and a dependent type of positions. Notice that `Container` is an element of `Set1`, because it contains a type from `Set` and therefore has to be larger. Next we define the lifting of types i.e. the container extension, as a function between universes.

```
[_] : Container → Set → Set
[ S ▷ P ] A = Σ[ s ∈ S ] (P s → A)
```

Using this definition we can define `fmap` for containers.

```
fmap : ∀ {A B C} → (A → B) → ([ C ] A → [ C ] B)
fmap f (s , pf) = (s , f ∘ pf)
```

As mentioned in Section 2.1.5, Agda does not inline functions containing a pattern match, even if the `INLINE` pragma is used. Because container extensions are just `record` types, we can define `fmap` better to assist the termination checker. By using the projection functions to access the components of the  $\Sigma$ -type we can avoid the pattern match. By forcing Agda to inline the function using the pragma we define a version of `fmap`, which is transparent for the termination checker, to avoiding more complex solutions when using this small auxiliary function.

```
fmapl : ∀ {A B C} → (A → B) → ([ C ] A → [ C ] B)
fmapl f c =  $\pi_1$  c , f ∘  $\pi_2$  c
{-# INLINE fmapl #-}
```

## 2.2 Curry

Curry [14] is a functional logic programming language. It combines paradigms from functional programming languages like Haskell with those from logical languages like Prolog. Curry is based on Haskell i.e. its syntax and semantics not involving nondeterminism closely resemble Haskell. Curry integrates logical features, such as nondeterminism and free variables with a few additional concepts.

Like in Haskell, functions are defined using equations, but curry assigns different semantics to overlapping clauses. When calling a function all right-hand sides of matching left-hand sides are executed. This introduces nondeterminism. Nondeterminism is integrated as an *ambient effect* i.e. the effect is not represented at type level. The simplest example of a nondeterministic function is the choice operator `?`.

```
(?) :: A -> A -> A
x ? _ = x
_ ? y = y
```

Both equations always match. Therefore, both arguments are returned i.e. `?` introduces a nondeterministic choice between its two arguments. Using choice we can define a simple nondeterministic program.

```
coin :: Int
coin = 0 ? 1

twoCoins :: Int
twoCoins = coin + coin
```

`coin` chooses non-deterministically between 0 and 1. Executing `coin` therefore yields these two results. When executing `twoCoins` the two calls of `coin` are independent. Both choose between 0 and 1, therefore `twoCoins` yields the results 0, 1, 1 and 2.

### 2.2.1 Call-Time Choice

Next we will take a look at the interactions between nondeterminism and function calls.

```
double :: Int -> Int
double x = x + x

doubleCoin :: Int
doubleCoin = double coin
```

When calling `double` with a nondeterministic value two behaviors are conceivable. The first possibility is that the choice is moved into the function i.e. both `x` chose independent of each other yielding the results 0, 1, 1 and 2. The second possibility is choosing a value before calling the function and choosing between the results for each possible argument. In this case both `x` have the

same value, therefore the possible results are 0 and 2. The latter option is called call-time choice and it is the one implemented by Curry.

Similar to Haskell, Curry programs are evaluated lazily. The evaluation of an expression is delayed until its result is needed and each expression is evaluated at most once. The later is important when expressions are named and reused via `let` bindings or lambda abstraction. The named expression is evaluated the first time it is needed. If the result is needed again the old value is reused. This behavior is called sharing. Usually function application is defined using the `let` primitive [17]. Applying a non-variable expression to a function introduces a new intermediate result, which is bound using `let`.

$$(\lambda x. \sigma) \tau = \text{let } y = \tau \text{ in } \sigma[x \mapsto y]$$

We therefore expect a variable bound by a `let` to behave similar to one bound by a function. This naturally extends call-time choice to `let`-bindings in lazily evaluated languages.

```
sumCoin :: Int
sumCoin = let x = coin in x + x
```

As expected this function yields the results 0 and 2.

## 2.3 Algebraic Computational Effects

Computational effects are a wide concept and usually introduced by example. Examples include I/O, exceptions, nondeterminism, state and continuations [23, 6]. Algebraic effects are computational effects, which can be described using an algebraic theory. They were first presented Plotkin and Power [23] as an alternative to monads for describing computational effects and capture a wide class of computational effects. Due to their uniform representation they provide a general way of defining, combining and reasoning about computational effects [25].

Handlers for algebraic effects were first presented by Plotkin and Pretnar as a generalization of exception handlers [24]. They describe how to transform effectual computations and can be used to describe non-algebraic operations, that is operations which did not fit in the general theory of algebraic effects. Examples include operations with scopes such as `catch` and `once`.

Wu et al. [31] describe a problem with this approach when multiple handlers interact. The ordering of handlers induces a semantic for the program, but simultaneously handlers which implement scoping operations also delimit scopes. The correct ordering for scoping and semantics maybe not coincide. Wu et al. fix this problem by introducing new syntactic constructs to delimit scopes, removing the responsibility from the handler [31, 21].

In the following sections we give a short introduction to the classical notion of algebraic effects and handlers as described by Bauer [6] and used in Chapter 3 as well as scoped effects as described by Wu et al. [31].

### 2.3.1 Algebraic Theories

The following definition is similar<sup>3</sup> to the one given by Bauer [6]. Bauer uses abstract algebra not arbitrary categories. We use his work to define some basic concepts and terminology regarding algebraic effects.

An algebraic theory consists of a signature describing the syntax of the operations together with a set of equations. A signature is a set of operation symbols together with an arity set and an additional parameter. Operations of this form are usually denoted with a colon and  $\leadsto$  between the three sets, suggesting that they describe special functions.

$$\Sigma = \{\text{op}_i : P_i \leadsto A_i\}$$

Given a signature  $\Sigma$  we can build terms over a set of variables  $\mathbb{X}$ .

$$x \in \text{Term}_\Sigma(\mathbb{X}) \quad \text{for } x \in \mathbb{X} \quad \text{op}_i(p, \kappa) \in \text{Term}_\Sigma(\mathbb{X}) \quad \text{for } p \in P_i, \kappa : A_i \rightarrow \text{Term}_\Sigma(\mathbb{X})$$

---

<sup>3</sup>We use a slightly different notation for the assignment of variables when interpreting terms.



Terms can be used to form equations of the form  $x \mid l = r$ . Each equation consists of two terms  $l$  and  $r$  over a set of variables  $x$ . A signature  $\Sigma_T$  together with a set of equations  $\mathcal{E}_T$  forms an algebraic theory  $T$ .

$$T = (\Sigma_T, \mathcal{E}_T)$$

An interpretation  $I$  of a signature is given by a carrier set  $|I|$  and an interpretation for each operation, given by  $\llbracket \cdot \rrbracket_I$ . An interpretation of an operation  $\text{op}_i$  is given by a function to the carrier set  $|I|$ , that takes an additional parameter from  $P_i$  and  $|A_i|$  parameters as a function from the arity set to the carrier set  $|I|$ .

$$\llbracket \text{op}_i \rrbracket_I : P_i \times |I|^{A_i} \rightarrow |I|$$

Given a function  $\iota : \mathbb{X} \rightarrow |I|$ , assigning each variable a value, we can give an interpretation for terms  $\llbracket \cdot \rrbracket_{(I, \iota)}$ .

$$\begin{aligned} \llbracket x \rrbracket_{(I, \iota)} &= \iota(x) \\ \llbracket \text{op}_i(p, \kappa) \rrbracket_{(I, \iota)} &= \llbracket \text{op}_i \rrbracket_I(p, \lambda p. \llbracket \kappa(p) \rrbracket_{(I, \iota)}) \end{aligned}$$

An interpretation for  $T$  is called  $T$ -model if it validates all equations in  $\mathcal{E}_T$ .

### Free Model

For each algebraic theory  $T$  we can generate a so called free model  $\text{Free}_T(\mathbb{X})$ . The free model is the optimal model for the theory i.e. it validates just equations from  $\mathcal{E}_T$  and the ones directly following from them and no more.

The set  $\text{Tree}_T(\mathbb{X})$  contains term trees, built from the variables in  $\mathbb{X}$  and the operations of the signature  $\Sigma_T$ .

$$\text{pure } x \in \text{Tree}_T(\mathbb{X}) \quad \text{op}_i(p, \kappa) \in \text{Tree}_T(\mathbb{X}) \quad \text{for } p \in P_i \quad \kappa : A_i \rightarrow \text{Tree}_T(\mathbb{X})$$

The free model for  $T$  is given by

$$\text{Free}_T(\mathbb{X}) = \text{Tree}_T(\mathbb{X}) / \sim_T$$

where  $\sim_T$  is the least equivalence relation, such that for all equations  $x \mid l = r \in \mathcal{E}_T$ ,  $l \sim_T r$ . Furthermore  $\sim_T$  is required to be a congruence relation for the operations of the signature i.e.

$$\forall i \in \{1, \dots, n\}. x_i \sim_T y_i \Rightarrow \text{op}(x_1, \dots, x_n) \sim_T \text{op}(y_1, \dots, y_n)$$

**Example** Consider the theory for a monoid. The signature for a monoid contains two operations, the binary multiplication  $\cdot$  and the nullary operation defining the neutral element  $e$ . For a given set of values  $A$  the set  $\text{Tree}_{\text{Mon}}(A)$  describes term trees build using values from  $A$ , the constant  $e$  and the operation  $\cdot$ . The laws for a monoid state that the binary operations is associative, therefore the equivalence relation  $\sim_{\text{Mon}}$  equates all trees, which are equal up to rotation. The constant  $e$  is the left and right identity for  $\cdot$ , therefore  $\sim_{\text{Mon}}$  also equates (sub)trees describing the terms  $e \cdot t = t = t \cdot e$ .

Because trees can be rotated freely, the only important information is the order of elements. Because identities can be freely omitted, the only important term involving identity is  $e$ . It is easy to show that  $\text{Tree}_{\text{Mon}}(A) / \sim_{\text{Mon}} = \text{Free}_{\text{Mon}}(A) \cong A^*$  i.e. the free model for the theory of a monoid over a set of values  $A$  are words over  $A$ . The empty word  $\varepsilon$  corresponds to the identity element and  $\cdot$  corresponds to concatenation  $\circ$ . This is of course the usual definition of a free monoid over  $A$ .

### 2.3.2 Effect Handlers

Lastly we introduce the notion of an effect handler, again as described by Bauer [6]. Effect handlers were first presented by Plotkin and Pretner [24]. They are a generalization of exception handlers and can be used to model a wide range of non-algebraic effects. A handler

$$h : \text{Free}_T(V) \Rightarrow \text{Free}_{T'}(V')$$



is a map between free models for theories  $T$  and  $T'$  over value sets  $V$  and  $V'$ . A handler is given by an additional  $T$ -model on  $|\text{Free}_{T'}(V')|$  and a  $T$ -homomorphism from  $\text{Free}_T(V)$  to the additional model. Notice that the set  $|\text{Free}_{T'}(V')|$  is equipped with two models, the free  $T'$  model it was generated by, as well as an additional (not necessarily free)  $T$  model.

Because a handler is a homomorphism from a free model it is uniquely determined by a map  $f : V \rightarrow |\text{Free}_{T'}(V')|$  for the underlying values and the interpretations  $\llbracket op_i \rrbracket : P_i \times |\text{Free}_{T'}(V')|^{A_i} \rightarrow |\text{Free}_{T'}(V')|$  for each operation  $op_i$  in the target  $T$ -model. The handler is then given by the following two equations.

$$\begin{aligned} h([\text{pure } x]_{\sim_T}) &= f(x) \\ h([\text{op}_i(p, \kappa)]_{\sim_T}) &= h_i(p, h \circ \kappa) \end{aligned}$$

Usually when defining a handler the operations of the theory of the right-hand side are a subset of the ones from the left-hand side. The operations are interpreted by extending the structure on the values i.e. mapping the impure model, given by  $\text{Free}_T(V)$ , to a pure one. For example, a handler for exceptions could be given by

$$\begin{aligned} \text{handleExc} : \text{Free}_{\text{Exc } E}(A) &\Rightarrow \text{Free}_{\emptyset}(E \uplus A) \cong E \uplus A \\ \text{pure } x &\mapsto \text{pure } (\text{inj}_2 x) \\ \text{throw}(e, \kappa) &\mapsto \text{pure } (\text{inj}_1 e) \end{aligned}$$

where the source is a free model for the theory of exceptions  $E$  and the target is a free model for the empty theory. The model for the theory of exceptions on the right-hand side is given by the extended set of values, which corresponds to the usual monad modelling the effect.

If the source and target theory share operations it is possible to interpret an operations by itself i.e. not handling it. This allow us to handle more complex, combined theories using multiple modular handlers. It is also possible to interpret operations using other operations i.e. to simulate an effect in the source theory using effects in the target theory. For example, one could simulate a logging effect (in Haskell `Writer String a`) using a state effect (in Haskell `State String a`).

### 2.3.3 Free Monads

The syntax of an algebraic effect is described using the *free monad* [27]. Given any functor  $\mathbf{f}$  the data type `Free f a` is a monad. Furthermore, the natural transformations from any functor  $f$  to any monad  $m$  (in Haskell functions of type `forall a. f a -> m a`) are in bijective correspondence with monad homomorphisms from `Free f a` to  $m$ . Therefore, each monad can be described as the image of a monad homomorphisms from a free monad. The usual definition of the free monad in Haskell is given below.

```
data Free f a = Pure a | Impure (f (Free f a))

instance (Functor f) => Monad (Free f) where
  return = Pure

  Pure x    >>= k = k x
  Impure fa >>= k = Impure (fmap (>>= k) fa)
```

The free monad essential represents computation trees. Computations are either `pure` i.e. they yield a value without calling other operations or `impure`. An `impure` computation is given by a value of the free monad, which was lifted using the functor. The constructors for `f a` correspond to operations and arguments of type `a` correspond to subcomputations or arguments for the operation. For example the functor `data Mon a = Mul a a | E` corresponds to a signature with a binary operation and a constant. `Free Mon a` is the type of computation trees using variable of type `a`, the constant `E` and the binary operation `Mul`.

`return` lifts a value to a computation by creating a `Pure` computation which returns the value. The `>>=` operation for the free monad corresponds to variable substitution. When calling `>>=` on an `Impure` value, `>>=` is called recursively on all subcomputations using `fmap` for the functor. `Pure` leafs are substituted with the subtree, generated from there stored value.

The free monad corresponds to the free model for an algebraic theory  $T$  without equations i.e. the equivalence relation  $\sim_T$  is just the identity relation on  $\text{Tree}_T(\mathbb{X})$ . As a result, for theories

with equation some trees which should be equal are not. As we will see later, this is not a problem, because when interpreting the syntax using a handler different values can again be equated. Therefore, if syntax is interpreted by a correct handler the equations should hold again.

**Free Monad in Agda** When defining the free monad in Agda we cannot use an arbitrary functor as in Haskell, because it would violate the strict positivity requirement. Instead we will represent the functor as the extension of a container as described in Section 2.1.6. Replacing arbitrary functors with container extension, especially to implement the free monad, is a well known approach [11, 10, 18].

```
data Free (C : Container) (A : Set) : Set where
  pure   : A → Free C A
  impure : [ C ] (Free C A) → Free C A
```

Because we constrain the generator from arbitrary to strictly positive functors, we cannot model all free monads with this data type. Using `Free` we can model a class of free monads, which are accepted by Agda. The definition of `Containers` correspond closely to the one for signatures. The constructors for `Shape` correspond to the operation symbols  $\text{op}_i$  and the constructor arguments correspond to the parameter  $P_i$ . A constructor without extra arguments corresponds to the an operation with parameter set  $\mathbb{1}$ . The type of positions for a shape corresponds to the arity set  $A_i$ . The `Pos` type depends on a value of type `Shape` i.e. it assigns an arity to each operation. In the free model the parameters/child trees are given by the function  $\kappa$ , which maps from the arity set to the carrier set. This function corresponds to the position function in the `Container` extension, which maps from the type of positions to the stored values. In this case the stored values are exactly the subcomputations of type `Free C A`.

**Algebraicity** In there categorical formulation by Plotkin and Power [23] algebraic operations are required to have a certain natural condition. When described by the free monad, algebraic operations are those which commute with  $\gg$  i.e. for an  $n$ -ary algebraic operations the following holds.

$$\text{op}(x_1, \dots, x_n) \gg k = \text{op}(x_1 \gg k, \dots, x_n \gg k)$$

For common operations with scopes, such as `once`, `catch` or `fork` this does not hold. Dealing with this limitation leads to the general notion of scoped effects.

### 2.3.4 Scoped Effects

As shown by Plotkin and Power [23] many computational effects and therefore their associated monads can be described as algebraic theories, but not all operations know from these monads are algebraic. The most common example is `catch`, as it was noted early by Plotkin and Power [22]. `catch` takes two arguments, a computation `p` which maybe produces an exception and an handler `h`, which produces an alternate result for each exception. If `catch` were algebraic the following equation would hold.

$$\text{catch } p \ h \gg k = \text{catch } (p \gg k) (\lambda e. h \ e \gg k)$$

The equations obviously does not hold, because if it would hold, `catch` could not differentiate between an exception thrown inside or outside its scope. The same pattern can be observed with other operations which delimit scopes.

As noted in Section 2.3.2 non-algebraic and in particular operations with scopes can be implemented as a handler. Wu et al. [31] noted a general problem when working with multiple handlers describing scoped operations. The order of handlers determines the semantics of a program, but simultaneously the handlers are used to delimit scopes. Problems arise if the ordering for certain semantics and the forced positions for delimiting scopes do not coincide. It is either impossible to model certain semantics or one has to evaluate handlers multiple times, reinjecting intermediate results into the computation.

To fix this problem Wu et al. [31] introduced two solutions for syntactically delimiting scopes. Both can be used to add operations with scopes to an implementation of algebraic effects. In Chapter 3 and Chapter 4 we discuss how well these two approaches work in Agda.

## Chapter 3

# Implementing Scoped Effects in a First Order Setting

In this chapter we present our first implementation of algebraic effects in Agda. The implementation uses a traditional approach i.e. it represents effects as functors and uses the free monad, as described in section 2.3.3. We focus on implementation details specific to Agda, for example termination and positivity checks.

In section 3.1 we introduce our general infrastructure for modular effects, which provides a similar interface to the one by Wu et al. [31]. The basic idea of operating on lists of effects is similar to the Idris effect library by Brady [8]. In section 3.2 we implement some of the examples by Wu et al. [31] to explain the general construction of effects and handlers using this approach. In section 3.3 we implement scoped effects using explicit scoped delimiters as described by Wu et al. [31]. To define handlers for effects with and without scopes we use a general construction using sized types to prove termination. This allows us to conveniently implement handlers in Agda i.e. without changing the structure of handlers to prove termination. As a more complex example we implement the sharing handler by Bunkenburg [9], providing a way of simulating call-time choice semantics in Agda.

### 3.1 Functors à la carte

When modelling effects each functor represents the signature i.e. the operations for an effect. Theoretically, it is possible to represent each operation as a functor. Usually, operations which are handled together are implemented as a single functor. For containers each shape constructor corresponds to an operation symbol and the type of position for a shape corresponds to the arity set for the operation. The additional parameter of an operation is embedded in the shape. The free monad over a container describes a program using the effect's syntax i.e. it is the free model for the algebraic theory without the equations. To combine the syntax of multiple effects we can combine the underlying functors, because the free monad preserves coproducts<sup>1</sup>. This method of modularization of syntax was presented by Swierstra [27].

The approach for modularization functors described by Wu et al. [31] is based on “Data types à la carte” by Swierstra [27]. The functor coproduct is modelled as the data type `data (f :+: g) a = Inl (f a) | Inr (g a)`, which is again a `Functor` in `a`. In section 2.3.3 we defined the free monad over a strictly positive functor, which was represented by a `Container`. We could use a similar data type to combine the extensions of two containers, but we would lose the advantages of containers i.e. that container extension is a strictly positive functor. Containers are closed under multiple operations, coproducts being one of them [1]. Therefore, we can combine two container functors by combining the underlying containers. The coproduct of two containers  $F$  and  $G$  is the container whose `Shape` is the disjoint union of  $F$ 's and  $G$ 's shapes and whose position function `Pos` is given by the coproduct mediator<sup>2</sup> of  $F$ 's and  $G$ 's position functions.

<sup>1</sup>This follows from the facts that `Free` is the left half of a free-forgetful adjunction and that all left-adjoints preserve colimits.

<sup>2</sup>The function `[_,_]` corresponds to the Haskell function `either :: (a -> c) -> (b -> c) -> Either a b -> c`.

```

 $\_ \oplus \_ : \text{Container} \rightarrow \text{Container} \rightarrow \text{Container}$ 
 $(\text{Shape}_1 \triangleright \text{Pos}_1) \oplus (\text{Shape}_2 \triangleright \text{Pos}_2) = (\text{Shape}_1 \uplus \text{Shape}_2) \triangleright [\text{Pos}_1, \text{Pos}_2]$ 

```

The functor represented by the coproduct of two containers is isomorphic to the functor coproduct of their representations. The container without shapes is the neutral element for the coproduct of containers. This allows us to define  $n$ -ary coproducts for containers.

```

 $\text{sum} : \text{List Container} \rightarrow \text{Container}$ 
 $\text{sum} = \text{foldr } \_ \oplus \_ (\perp \triangleright \lambda())$ 

```

To generically work with arbitrary coproducts of functors we define two utility functions. Given a value  $x : A$  we want to be able to inject it into any coproduct mentioning  $A$ . Given any coproduct mentioning  $A$  we want to be able to project a value of type  $A$  from the coproduct, if the coproduct was constructed using a value of type  $A$ . Therefore, we produce a value of type `Maybe A` and return `nothing` in case the coproduct was constructed differently.

In the “Data types à la carte” [27] approach the type class `:<` is introduced. `:<` relates a functor to a coproduct of functors, marking it as an option in the coproduct. `:<`’s functions can be used to inject or potentially extract values from a coproduct. The two instances for `:<` mark  $F$  as an element of the coproduct if it is on the left-hand side of the coproduct (in the head) or if it is already in the right-hand side (in the tail). Usually one would add a third instances `f :<: f`, relating  $f$  to itself, but this instance is not needed if the last functor is always `Void`.

```

class (Syntax sub, Syntax sup) => sub :<: sup where
  inj :: sub m a -> sup m a
  prj :: sup m a -> Maybe (sub m a)

instance {-# OVERLAPPABLE #-} (Syntax f, Syntax g) => f :<: (f :+: g) where
  inj = Inl
  prj (Inl a) = Just a
  prj _      = Nothing

instance {-# OVERLAPPABLE #-} (Syntax h, f :<: g) => f :<: (h :+: g) where
  inj = Inr . inj
  prj (Inr ga) = prj ga
  prj _      = Nothing

```

The two instances overlap, resulting in possible slower instance resolution. Furthermore, `:+:` is assumed to be right associative and only to be used in a right associative way to avoid backtracking. Because in Agda the result of `_⊕_` is another container, not just a value of a simple data type, instance resolution using `_⊕_` is not as straight forward as in Haskell and in some cases extremely slow<sup>3</sup>.

We used an similar approach similar to the Idris effect library [8]. The free monad is not parameterised over a single container, but a list *ops* of containers. This has the benefit that we cannot associate coproducts to the left by accident. The elements of the list are combined later using `sum`. To track which functors are part of the coproduct we introduce the new type `_∈_`.

```

data _∈_ {ℓ : Level} {A : Set ℓ} (x : A) : List A → Set ℓ where
  instance
    here : ∀ {xs} → x ∈ x :: xs
    there : ∀ {y xs} → [ x ∈ xs ] → x ∈ y :: xs

```

The type  $x \in xs$  represents the proposition that  $x$  is an element of  $xs$ . The two constructors can be read as inference rules. One can always construct a proof that  $x$  is in a list with  $x$  in its head and given a proof that  $x \in xs$  one can construct a proof that  $x$  is also in the extended list  $y :: xs$ . The `instance` keyword marks the two constructors as possible solution for instance arguments. Instance arguments are special hidden arguments which are denoted using `[ ]` and `]`. Instances and instance arguments are resolved using a special instance resolution algorithm and can be used similar to Haskell’s type classes and type class constraints.

<sup>3</sup>We encountered cases where type checking of overlapping instances involving `_⊕_` did not seem to terminate.

The two instances still overlap resulting in a potentially exponential slowdown in instance resolution<sup>4</sup>. Using Agda’s internal instance resolution can be avoided by using a tactic to infer `_∈_` arguments. For simplicity the following code will still use instance arguments. This version can easily be adapted to one using macros, by replacing the instance arguments with hidden ones with `tactic` annotations. The repository contains an implementation using `tactics`, based on the work by Ulf Norell.

Using this proposition we can define functions for injection into and projection out of coproducts.

```

inject : ∀ {C ops ℓ} {A : Set ℓ} → C ∈ ops → [ C ] A → [ sum ops ] A
inject here      (s , pf) = (inj1 s) , pf
inject (there [ p ]) prog   with inject p prog
... | s , pf = (inj2 s) , pf

project : ∀ {C ops ℓ} {A : Set ℓ} → C ∈ ops → [ sum ops ] A → Maybe ([ C ] A)
project here      (inj1 s , pf) = just (s , pf)
project here      (inj2 _ , _ ) = nothing
project there      (inj1 _ , _ ) = nothing
project (there [ p ]) (inj2 s , pf) = project p (s , pf)

```

Both `inject` and `project` require a proof that specific effect is an element of the list used to construct the coproduct.

Let us consider `inject` first. By pattern matching on the evidence we acquire more information about the type `sum ops`. In case of `here` we know that `C` is in the head of the list of containers. Because the returntype is constructed using `sum` over the given list, we know that the given value `s , pf` has the same type as the left alternative in the returned coproduct. In case of `there` we obtain a proof that the container is in the tail of the list, which we use to make a recursive call. By pattern matching on and repackaging the result we obtain a value of the correct type.

`project` functions similarly. By pattern matching on the proof we either know that the value we found has the correct type or we obtain a proof for the tail of the list, allowing us to either make a recursive call or stop the search. Notice that in both cases we do not handle cases related to the empty list, because it is impossible to prove that the empty list has a member.

### 3.1.1 The Free Monad for Effect Handling

Using the coproduct machinery we can now define a version of the free monad, suitable for working with effects. In contrast to our first definition in section 2.3.3, this version is parameterized over a list of containers. In the `impure` constructor the containers are combined using `sum`. The parameterization over a list ensures that the containers are not combined prematurely. We could store a proof that some effect `E` is an element of `effs` directly. This would allow us to use `E` directly, allowing us to omit the `sum`, but also raise the universe level of `Free`.

```

data Free (ops : List Container) (A : Set) : {Size} → Set where
  pure   : ∀ {i} → A → Free ops A {i}
  impure : ∀ {i} → [ sum ops ] (Free ops A {i}) → Free ops A {↑ i}

```

The free monad is indexed over an argument of Type `Size`. We follow the pattern described in section 2.1.5, to annotate the data type. `pure` values have an arbitrary size. When constructing an `impure` value the new value is strictly larger than the ones produced by the container’s position function. Therefore, a calculation is larger than its continuations or a computation is finite. Using the annotation it is possible to prove that functions preserve or decrease the size of a computation and therefore that complex recursive functions terminate.

Next we define utility functions for working with the free monad. `inj` and `prj` provide the same functionality as the ones used by Wu et al. [31]. `inj` allows to inject syntax into a program whose signature allows the operation. `prj` allows to inspect the next operation of a program, restricted to the signature for a specific effect. Furthermore we add the functions `op` and `upcast`.

Writing operations with explicit continuations is unintuitive. Furthermore, `⋈` and `do`-notation provide a more convenient syntax for extending the continuation. `op` generates the *generic operation*

<sup>4</sup><https://agda.readthedocs.io/en/v2.6.1.1/language/instance-arguments.html#overlapping-instances>

for any operation symbol. The generic operation for  $\text{op} : P \leadsto A$  is the operation with **pure** as continuation. Therefore, it is a function of type  $P \rightarrow \text{Free}_T(A)$ , justifying the  $\leadsto$ -notation.

**upcast** transforms a program using any signature to one using a larger signature. Notice that **upcast** preserves the size of its input, because it just traverses the tree and repackages the contents. **prj** decreases the input of its argument by one, because it deconstructs the root of the given tree. These size preserving functions are essential when we later define handlers.

$$\begin{aligned}
\text{inj} &: \forall \{C \text{ ops } A\} \rightarrow \llbracket C \in \text{ops} \rrbracket \rightarrow \llbracket C \rrbracket (\text{Free ops } A) \rightarrow \text{Free ops } A \\
\text{inj } \llbracket p \rrbracket &= \text{impure} \circ \text{inject } p \\
\\
\text{prj} &: \forall \{C \text{ ops } A \ i\} \rightarrow \llbracket C \in \text{ops} \rrbracket \rightarrow \text{Free ops } A \ \{\uparrow i\} \rightarrow \text{Maybe } (\llbracket C \rrbracket (\text{Free ops } A \ \{i\})) \\
\text{prj } \llbracket p \rrbracket (\text{pure } x) &= \text{nothing} \\
\text{prj } \llbracket p \rrbracket (\text{impure } x) &= \text{project } p \ x \\
\\
\text{op} &: \forall \{C \text{ ops}\} \rightarrow \llbracket C \in \text{ops} \rrbracket \rightarrow (s : \text{Shape } C) \rightarrow \text{Free ops } (\text{Pos } C \ s) \\
\text{op } s &= \text{inj } (s, \text{pure}) \\
\\
\text{upcast} &: \forall \{C \text{ ops } A \ i\} \rightarrow \text{Free ops } A \ \{i\} \rightarrow \text{Free } (C :: \text{ops}) \ A \ \{i\} \\
\text{upcast } (\text{pure } x) &= \text{pure } x \\
\text{upcast } (\text{impure } (s, \kappa)) &= \text{impure } (\text{inj}_2 \ s, \text{upcast} \circ \kappa)
\end{aligned}$$

Next we define the basic monadic operations for the above monad. Usually  $\gg$  and **return** would be enough to define all the other functions, but  $\gg$  is not size preserving, while some other functions can be defined such that they are. For example, later we rely on the fact that  $\llbracket \_\rrbracket$  preserves the size of its argument. Consider the following definition of **fmap** for the free monad<sup>5</sup>.

$$\begin{aligned}
\text{fmap } \llbracket \_\rrbracket &: \{F : \text{List Container}\} \ \{i : \text{Size}\} \rightarrow (A \rightarrow B) \rightarrow \text{Free } F \ A \ \{i\} \rightarrow \text{Free } F \ B \ \{i\} \\
f \llbracket \_\rrbracket \text{pure } x &= \text{pure } (f \ x) \\
f \llbracket \_\rrbracket \text{impure } (s, pf) &= \text{impure } (s, (f \llbracket \_\rrbracket) \circ pf) \\
\\
\text{fmap} &= \llbracket \_\rrbracket
\end{aligned}$$

**fmap** applies the given function  $f$  to the values stored in the **pure** leaves. The height of the tree is left unchanged. This fact is witnessed by the same index  $i$  on the argument and return type.

In contrast to **fmap**,  $\gg$  does not preserve the size.  $\gg$  replaces every **pure** leaf with a subtree, which is generated from the stored value. The resulting tree is therefore at least as high as the given one. Because there is no addition for sized types the only correct size estimate for the returned value is unbounded ( $\infty$ ). This means that by using  $\gg$  on a value we lose our size estimate. This is a problem in recursive functions, because in terms of termination checking it renders the annotation useless. For later programs using effects this is not a problem, because they should not rely on the size annotation of the free monad, because they should not recurse on a value of type **Free**. The return type is not explicitly indexed, because the compiler correctly infers  $\infty$ .

$$\begin{aligned}
\llbracket \_\gg \_\rrbracket &: \forall \{\text{ops}\} \rightarrow \text{Free ops } A \ \{i\} \rightarrow (A \rightarrow \text{Free ops } B) \rightarrow \text{Free ops } B \\
\text{pure } x \gg k &= k \ x \\
\text{impure } (s, pf) \gg k &= \text{impure } (s, (\llbracket \_\gg \_\rrbracket k) \circ pf) \\
\\
\llbracket \_\gg \_\rrbracket &: \forall \{\text{ops}\} \rightarrow \text{Free ops } A \ \{i\} \rightarrow \text{Free ops } B \rightarrow \text{Free ops } B \\
ma \gg mb &= ma \gg \lambda \_ \rightarrow mb
\end{aligned}$$

To complete our basic set of monadic functions we also define **ap**.

$$\begin{aligned}
\llbracket \_\ast \_\rrbracket &: \forall \{\text{ops}\} \rightarrow \text{Free ops } (A \rightarrow B) \rightarrow \text{Free ops } A \rightarrow \text{Free ops } B \\
\text{pure } f \ast ma &= f \llbracket \_\rrbracket ma \\
\text{impure } (s, pf) \ast ma &= \text{impure } (s, (\llbracket \_\ast \_\rrbracket ma) \circ pf)
\end{aligned}$$

<sup>5</sup>in the following code  $A$ ,  $B$  and  $C$  are arbitrary types



### 3.1.2 Properties

The definition of the free monad from section 3.1.1 is a functor because it satisfies the two functor laws. The two laws state that the lifting of functions via `fmap` preserves the identity and the composition of functions.

Both properties are proven by structural induction over the free monad. Let us consider the first proof. It is written using chain reasoning operators [20] to display the general structure of the later proofs. The operators provide a convenient way of writing down transitive equalities. If the equality of two terms is not proven by `refl`, we use `≡⟨_⟩_`, which allows us to give a proof of their equality as second argument. In the definition of `<$>`, in the case for `pure` the given function is simply applied to the stored value. Therefore, the base case is proven by `refl`. In the induction step we reach a point where we have to show the equivalence of the two continuations. Using `cong` we reduce the equality on the whole terms to the equality on the continuations. Next we invoke `extensionality` to show point-wise equivalence. This equivalence is exactly the induction hypothesis, which we obtain using a recursive call.

Because all steps using `≡⟨_⟩_` are proven by `refl` they can be omitted. The other proofs follow the same pattern and therefore are written more concise.

$$\begin{aligned}
 \text{fmap-id} &: (p : \text{Free ops } A) \rightarrow \text{fmap id } p \equiv p \\
 \text{fmap-id } (\text{pure } x) &= \text{refl} \\
 \text{fmap-id } (\text{impure } (s, pf)) &= \text{begin} \\
 &\quad \text{fmap id } (\text{impure } (s, pf)) \quad \equiv\langle \rangle \text{ -- definition of fmap} \\
 &\quad \text{impure } (s, \text{fmap id } \circ pf) \quad \equiv\langle \rangle \text{ -- definition of } \circ \\
 &\quad \text{impure } (s, \lambda p \rightarrow \text{fmap id } (pf p)) \equiv\langle \text{cong } (\lambda t \rightarrow \text{impure } (s, t)) \\
 &\quad \quad (\text{extensionality } \lambda p \rightarrow \text{fmap-id } (pf p)) \rangle \\
 &\quad \text{impure } (s, \lambda p \rightarrow pf p) \quad \equiv\langle \rangle \text{ -- } \eta\text{-conversion} \\
 &\quad \text{impure } (s, pf) \quad \blacksquare
 \end{aligned} \tag{1}$$

$$\begin{aligned}
 \text{fmap-}\circ &: \forall (f : B \rightarrow C) (g : A \rightarrow B) (p : \text{Free ops } A) \rightarrow \\
 &\quad \text{fmap } (f \circ g) p \equiv (\text{fmap } f \circ \text{fmap } g) p \\
 \text{fmap-}\circ f g (\text{pure } x) &= \text{refl} \\
 \text{fmap-}\circ f g (\text{impure } (s, pf)) &= \text{cong } (\text{impure } \circ (s, \_)) (\text{extensionality } (\text{fmap-}\circ f g \circ pf))
 \end{aligned} \tag{2}$$

Later we will need the interchange law for applicative functors. The law essentially allows us to swap the arguments of `<*>` if one of the is `pure`. Because `<*>` is defined in terms of `<$>` it allows us to reduce calls to `<*>` to `<$>`.

$$\begin{aligned}
 \text{interchange} &: \forall a (f : \text{Free ops } (A \rightarrow B)) \rightarrow \\
 &\quad (f \text{ <*> pure } a) \equiv (\text{pure } (\_ \$ a) \text{ <*> } f) \\
 \text{interchange } a (\text{pure } f) &= \text{refl} \\
 \text{interchange } a (\text{impure } (s, \kappa)) &= \text{cong } (\text{impure } \circ (s, \_)) (\text{extensionality } (\text{interchange } a \circ \kappa))
 \end{aligned} \tag{3}$$

This definition of the free monad also satisfies the three monad laws. Written using the kleisli composition (`>>=`) they reduce to the laws for morphism composition in a category i.e. `pure` is the left and right identity for the associative composition. We are more interested in this formulation, because it is the one occurring more directly in programs.

$$\begin{aligned}
 \text{bind-ident}^l &: \forall \{ops\} (f : A \rightarrow \text{Free ops } B) (x : A) \rightarrow (\text{pure } x \gg= f) \equiv f x \\
 \text{bind-ident}^l f x &= \text{refl}
 \end{aligned} \tag{4}$$

$$\begin{aligned}
 \text{bind-ident}^r &: \forall \{ops\} (x : \text{Free ops } A) \rightarrow (x \gg= \text{pure}) \equiv x \\
 \text{bind-ident}^r (\text{pure } x) &= \text{refl} \\
 \text{bind-ident}^r (\text{impure } (s, pf)) &= \text{cong } (\text{impure } \circ (s, \_)) (\text{extensionality } (\text{bind-ident}^r \circ pf))
 \end{aligned} \tag{5}$$

$$\begin{aligned}
 \text{bind-assoc} &: \forall \{ops\} (f : A \rightarrow \text{Free ops } B) (g : B \rightarrow \text{Free ops } C) (p : \text{Free ops } A) \rightarrow \\
 &\quad ((p \gg= f) \gg= g) \equiv (p \gg= (\lambda x \rightarrow f x \gg= g)) \text{ -- inner parens can be omitted} \\
 \text{bind-assoc } f g (\text{pure } x) &= \text{refl} \\
 \text{bind-assoc } f g (\text{impure } (s, pf)) &= \text{cong } (\text{impure } \circ (s, \_)) (\text{extensionality } (\text{bind-assoc } f g \circ pf))
 \end{aligned} \tag{6}$$

## 3.2 Implementing Algebraic Effects and Handlers

In section 2.3.2 we introduced effect handlers more formally. In this section we implement algebraic effect and their handlers in Agda.

All handlers in the following sections will have the same basic structure. They will take a program i.e. a variable of type `Free C A`, where the head of  $C$  is the effect interpreted by the handler. Each handler produces a program without the interpreted syntax i.e. just the tail of  $C$  in its effect stack and potentially modify the type  $A$  to one modelling the result of the effect. They transform an impure computation partially to a pure one. Furthermore, by interpreting the syntax of an effect (mapping to a model for the theory) the handler defines the semantics for the effect. For example, a handler for exceptions would remove exception syntax and transform a program producing a value of type  $A$  to one producing a value of type  $E \uplus A$ , either an exception or a result. Internally the handler would map the `impure throw` operation to a `pure` computations, witch simply yields the exception inside an either monad. Some later handlers will also modify syntax of other effects. These handlers are usually called *non-orthogonal handlers*.

A simple but important handler is the one handling the empty effect stack and therefore the `Void` effect. A program containing just `Void` syntax contains no `impure` constructors, because `Void` has no operations i.e. its `Shape` type has no constructors. Pattern matching on the impure constructor yields `()`. Therefore, the program does not call impure operations and always yields a value of type  $A$ . The handler for `Void` is important, because it can be used to escape the `Free` context after all other effects have been handled.

```
run : Free [] A → A
run (pure x) = x
```

The following two sections describe the implementation of handlers for `State` and `Nondeterminism`. By means of examples, they explain the construction of handlers as well as lay ground work for more complex handlers.

### 3.2.1 Nondeterministic Choice

The nondeterminism effect has two operations `??` and `fail`. `??` introduces a nondeterministic choice between two execution paths and `fail` discards the current path. Nondeterministically choosing between two paths means that `??` nondeterministically produces a boolean or having two continuations. We therefore have a nullary and a binary operation, both without additional parameters.

$$\Sigma_{\text{Nondet}} = \{?? : \mathbf{1} \leadsto \mathbf{2}, \text{fail} : \mathbf{1} \leadsto \mathbf{0}\}$$

Expressed as a container, we have a shape with two constructors, one for each operation and both without parameters.

```
data Nondets : Set where ??s fails : Nondets
```

When constructing the container we assign the correct arities to each shape, by defining a  $\Pi$ -type which produces the correct type for each shape.

```
Nondet : Container
Nondet = Nondets ▷ λ where ??s → Bool ; fails → ⊥
```

We can now define smart constructors for each operation. These are not the generic operations, but helper functions based on them. The generic operations take no additional parameters and always use `pure` as continuation. These versions of the operations already process the continuations parameter. The generic `??` operation nondeterministically produces a boolean, but usually we want to use it analogous to Curry's `?` operator, therefore we implement this refined version. `op fails` produces a computation with result type  $\perp$  i.e. the operation has no continuations. To avoid continuing with `λ()` after every call of `fail` (to produce a computation of the correct type) we add the continuation to the smart constructor.

```
__??__ : ∀ {ops} → (Nondet ∈ ops) → Free ops A → Free ops A → Free ops A
p ?? q = op ??s >>= λ b → if b then p else q
```



```

fail : ∀ {ops} → (Nondet ∈ ops) → Free ops A
fail = op fails >> λ()

```

With the syntax in place we can now move on to semantics and define a handler for the effect. Wu et al. [31] use Haskell language extensions like pattern synonyms and view patterns to simplify their implementations. Agda also has **pattern** synonyms, which we use to simplify at least simple effect handlers i.e. those which do not rely on **prj**. Similar to Haskell, the left-hand side of a **pattern** defines an abbreviation for the right-hand side, which can be used on the left- and right-hand side of function rules. We introduce **patterns** for each operation from the signature as well as for other operations i.e. those who are not part of the currently handled signature.

```

pattern Other s κ = impure (inj2 s , κ)
pattern Fail κ    = impure (inj1 fails , κ)
pattern Choice κ  = impure (inj1 ??s , κ)

```

The handler interprets **Nondet** syntax and removes it from the program. Therefore **Nondet** is removed from the front of the effect stack. For the handler different semantics are conceivable. For example, a handler could implement backtracking i.e. search for the first result that is not **fail**. The result type of such a handler could be modelled using a **Maybe**. In our case, we will implement a handler which returns all results. Therefore, the result is wrapped in a **List**. The **List** contains the results of all successful execution paths.

```

runNondet : ∀ {ops} → Free (Nondet :: ops) A → Free ops (List A)

```

The **pure** constructor represents a program without effects. A singleton list is returned, because no nondeterminism is used in a **pure** calculation.

```

runNondet (pure x)    = pure (x :: [])

```

The **fail** constructor represents an unsuccessful calculation. No result is returned.

```

runNondet (Fail κ)    = pure []

```

In case of a **Choice** both paths can produce an arbitrary number of results. We execute both programs recursively using **runNondet** and collect the results in a single **List**. Note that we invoked the continuation of the operation with all possible arguments. A handler just searching for a single result would potentially discard one execution path.

(**|** and **|**) are *idiom brackets* and denote applicative functor style function application i.e. **pure**  $f \langle * \rangle \dots \langle * \rangle \dots \langle * \rangle \dots$ . In this case the function  $f$  is the infix operator **\_++\_** which can still be written in infix notation.

```

runNondet (Choice κ) = (| runNondet (κ true) ++ runNondet (κ false) |)

```

In case of syntax from another effect we just execute **runNondet** on every subtree by mapping the function over the container. Note that the newly constructed value has a different type. **Other** hides the **inj<sub>2</sub>** constructor, therefore the newly constructed **impure** value is of type **Free ops (List A)**. Furthermore, notice that this function rule corresponds to one of the equations for handlers, given in section 2.3.2.

```

runNondet (Other s κ) = impure (s , runNondet ∘ κ)

```

Even though, this handler is defined recursive the definition from section 2.3.2 can still be recognized. The case for **pure** corresponds to the function mapping values to computations. The cases for each operation correspond to the maps  $h_i$ , which process the parameter and the results of the continuation. The handler is not explicitly composed with the continuation before calling  $h_i$ , but in the cases above all results of  $\kappa$  are processed by **runNondet**.

## Properties

As explained in section 2.3.3, the free monad represents the free model for the theory without equations i.e. some terms should be equal but are not. The handler for an algebraic effect defines its semantics by removing and interpreting its syntax. The result of a handler should again be a

model for the effect i.e. the equations characterizing the effect should hold. We can proof that our handler produces a valid (but not necessarily free) model for our equations by verifying that after interpreting the terms the laws holds. The ability to rigorously prove properties of a program, such as these laws for our handler, the program is one of the main advantages of Agda.

We have four laws governing our **Nondet** effect. The first law states that **const fail** should be an absorbing element for the Kleisli composition. Writing the law using **bind** leaves us with the following equality.

$$\begin{aligned} \text{bind-fail} &: \{k : A \rightarrow \text{Free}(\text{Nondet} :: \text{ops}) B\} \rightarrow \\ &\quad \text{runNondet}(\text{fail} \gg k) \equiv \text{runNondet fail} \\ \text{bind-fail} &= \text{refl} \end{aligned} \tag{7}$$

The proof is trivial, because `fail` has no continuations. Simplifying both sides yields `fail`.

The other three laws state that `??` and `fail` form a monoid. The proofs for all three are similar. By using functor, applicative and monad laws one can reduce the proof to one for pure lists and simply use the corresponding equality from the standard library.

```

??-ident1 : (q : Free (Nondet :: ops) A) → runNondet (fail ?? q) ≡ runNondet q
??-ident1 q = begin
  runNondet (fail ?? q)                                     ≡⟨ -- definition of handler for ??
  _++_ ≡ $ runNondet fail <*> runNondet q ≡⟨ -- definition of handler for fail
  _++_ ≡ $ pure [] <*> runNondet q ≡⟨ -- definition of <$>
  pure ([] ++ _) <*> runNondet q ≡⟨ -- definition of <*> / ap-ident-left
  [] ++ _ <$> runNondet q ≡⟨ -- definition of ++ / ++-ident-left
  id <$> runNondet q ≡⟨ fmap-id (runNondet q) ⟩
  runNondet q
  ■

```

```

??-identr : (p : Free (Nondet :: ops) A) → runNondet (p ?? fail) ≡ runNondet p
??-identr p = begin
  runNondet (p ?? fail) ≡⟨ -- definition of handler
  _++_ ≡⟨ runNondet p ≡⟨ pure [] ≡⟨ interchange [] ( _++_ ≡⟨ runNondet p ) ⟩
  pure ( _$ [] ) ≡⟨ ( _++_ ≡⟨ runNondet p ) ≡⟨ -- definition of <*> / ap-ident-left
  ( _$ [] ) ≡⟨ ( _++_ ≡⟨ runNondet p ) ≡⟨ sym ( fmap ∘ ( _$ [] ) ++_ ( runNondet p ) ) ⟩
  ( _$ [] ) ∘ _++_ ≡⟨ runNondet p ≡⟨ -- definition of ∘ and $
  ( _++_ [] ) ≡⟨ runNondet p ≡⟨ cong ( _<$> runNondet p )
  (extensionality ++-identityr) ⟩
  id ≡⟨ runNondet p ≡⟨ fmap-id ( runNondet p ) ⟩
  runNondet p
  ■

```

This is a common pattern. Because `++` is recursive in its first argument, the left identity is given by definitional equality, while the right one is not, but follows from the definition. Notice that partially applying `++` with `[]` is only equal to `id` on the left without invoking `extensionality`.

Using the proofs from section 3.1.2 we can simplify the equations and reduce them to a problem for a normal List. The proof for associativity is longer, but follows the same patterns.

### 3.2.2 State

The state effect has two operations `get` and `put`. The whole effect is parameterized over the state type  $S$ .

`get` simply returns the current state. The operation takes no additional parameters and has  $S$  positions. This can either be interpreted as `get` being an  $S$ -ary operation (one argument for each possible state) or simply the parameter of the continuation being a value of type  $s$ .

`put` updates the current state. The operation takes an additional parameter, the new state. The operation itself is unary i.e. the continuation is called with `tt` to start the rest of the program.

$$\Sigma_{State} = \{\text{get} : \mathbf{1} \rightsquigarrow S, \text{put} : S \rightsquigarrow \mathbf{1}\}$$

As before we translate this definition in a corresponding container and define **patterns** to simplify the handler.

```
data States (S : Set) : Set where gets : States S ; puts : S → States S

State : Set → Container
State S = States S ▷ λ where gets → S ; (puts _) → T

pattern Get κ = impure (inj1 gets , κ)
pattern Put s κ = impure (inj1 (puts s) , κ)
```

To simplify working with the **State** effect we add smart constructors. These correspond to the generic operations, which we can implement using **op**.

```
get : ∀ {ops S} → [ State S ∈ ops ] → Free ops S
get = op gets

put : ∀ {ops S} → [ State S ∈ ops ] → S → Free ops T
put s = op (puts s)
```

Using these definitions for the syntax we can define the handler for **State**.

The effect handler for **State** takes an initial state together with a program containing the effect syntax. The final state is returned in addition to the result.

```
runState : ∀ {ops S} → S → Free (State S :: ops) A → Free ops (S × A)
```

A **pure** calculation does not change the current state. Therefore, the initial is also the final state and returned in addition to the result of the calculation.

```
runState s0 (pure x) = pure (s0 , x)
```

The continuation for **get** maps a state to the rest of the computations, which somehow processes the given state. By applying  $s_0$  to  $\kappa$  we obtain the rest of the computation for the current state, which we evaluate recursively. Notice that this operation technical has  $|S|$  continuations, but we only call a single one. In reality all continuations are of course implemented as a single function, which takes a parameter of type  $S$ .

```
runState s0 (Get κ) = runState s0 (κ s0)
```

**put** updates the current state, therefore we pass the new state  $s_1$  to the recursive call of **runState**.

```
runState _ (Put s1 κ) = runState s1 (κ tt)
```

Similar to the handler for **Nondet** we apply the handler to every subterm of non **State** operations. The current state is passed to the recursive calls of the handler for each continuation.

```
runState s0 (Other s κ) = impure (s , runState s0 ◦ κ)
```

Lastly we define the usual helper function **evalState**, which simply drops the final state.

```
evalState : ∀ {ops S} → S → Free (State S :: ops) A → Free ops A
evalState s0 p = proj2 <<$> runState s0 p
```

### Example

Here is a simple example for a function using the **State** effect. The function **tick** returns **tt** and as side effect increases the state.

```
tick : ∀ {ops} → [ State N ∈ ops ] → Free ops T
tick = do i ← get ; put (1 + i)
```

Using the **runState** handler we can evaluate programs, which use the **State** effect.

```
(run $ runState 0 $ tick >> tick) ≡ (2 , tt)
```

### Properties

To show that our implementation of **State** is correct i.e. that it is a model, we have to show that the equations characterizing the effect hold. Because some equations use just **get** and **put**, *ops* cannot be automatically inferred.

$$\begin{aligned} \text{go} &: \text{Free } (\text{State } S :: \text{ops}) A \rightarrow \text{Free } \text{ops } (S \times A) \\ \text{go} &= \text{runState } \{\_\} \{\text{ops}\} s_0 \end{aligned}$$

Given an arbitrary initial state  $s_0$  and rest effect stack *ops* the following equations have to hold.

$$\forall \{s_1 s_2 : S\} \rightarrow \text{go } (\text{put } s_1 \gg \text{put } s_2) \equiv \text{go } (\text{put } s_2)$$

$$\forall \{s : S\} \rightarrow \text{go } (\text{put } s \gg \text{get}) \equiv \text{go } (\text{put } s \gg \text{pure } s)$$

$$\begin{aligned} \forall \{k : S \rightarrow S \rightarrow \text{Free } (\text{State } S :: \text{ops}) A\} \rightarrow \\ \text{go } (\text{get} \gg \lambda s \rightarrow \text{get} \gg k s) \equiv \text{go } (\text{get} \gg \lambda s \rightarrow k s s) \end{aligned}$$

$$\text{go } (\text{get} \gg \text{put}) \equiv \text{go } (\text{pure } \text{tt})$$

All four equalities are proven trivially using **refl**. Our model for **State** is just the usual state monad. Plotkin and Power [23] showed that the four equalities above are enough to determine the state effect and that the free model is the usual state monad.

### 3.2.3 Handling Combined Effects

As described in section 3.1, signatures can be combined by combining the underlying functors. Handlers can be used to partially evaluate programs over a combined signature. Consider the following program using nondeterminism and state.

$$\begin{aligned} \text{chooseTick} &: \llbracket \text{Nondet} \in \text{ops} \rrbracket \rightarrow \llbracket \text{State } \mathbb{N} \in \text{ops} \rrbracket \rightarrow \text{Free } \text{ops } \mathbb{N} \\ \text{chooseTick} &= \text{tick} \gg ((\text{tick} \gg \text{get}) ?? (\text{tick} \gg \text{tick} \gg \text{get})) \end{aligned}$$

For the interaction of **State** and **Nondet** two semantics are conceivable.

**Local State** Each branch in the nondeterministic calculation has its own state. When **??** is used to choose between two results both branches continue with their own states with the same value.

**Global State** All branches share a single, global state. Based on the evaluation strategy for the nondeterminism (first result/all results; depth first search/breadth first search/fair search) an ordering for all operations in the tree is induced. The state operations are executed in this order and all act on the same state.

The handlers for the two effects define semantics for their operations. Operations of the other signature are just traversed. The interaction semantics are induced by the ordering of the handlers. We obtain two combined handlers, each corresponding to one of the two cases above.

$$\begin{aligned} \text{localState} &: S \rightarrow \text{Free } (\text{State } S :: \text{Nondet} :: []) A \rightarrow \text{List } (S \times A) \\ \text{localState } s_0 &= \text{run} \circ \text{runNondet} \circ \text{runState } s_0 \\ \text{globalState} &: S \rightarrow \text{Free } (\text{Nondet} :: \text{State } S :: []) A \rightarrow S \times \text{List } A \\ \text{globalState } s_0 &= \text{run} \circ \text{runState } s_0 \circ \text{runNondet} \end{aligned}$$

Let us consider the above example under both combined handlers with initial state 0.

**Local State** The first **tick** increases the state to 1. Both branches are executed independently with initial state 1. The first ticks once, therefore the **get** yields 2. The second ticks twice, therefore the **get** yields 3.

$$\text{localState } 0 \text{ chooseTick} \equiv (2, 2) :: (3, 3) :: []$$

**Global State** The nondet handler executes the branches from left to right. The final state of one branch is the initial one for the next branch. Therefore, the second branch continues with state 2 increasing it twice.

```
globalState 0 chooseTick ≡ (4 , 2 :: 4 :: [])
```

### 3.3 Effects with Scopes using Brackets

To correctly handle operations with local scopes Wu et al. introduced scoped effects [31]. They presented two syntactic approaches to explicitly declare how far an operations scopes over an arbitrary program. In the following section we implement the scoped effect **Cut** following Wu et al. [31] in Agda.

The central idea by Wu et al. [31] is to add new effect syntax, representing explicit scope delimiters. Whenever an opening delimiter is encountered the handler implementing the non-algebraic operation can be run again on the program in scope. This allows a flexible ordering of the handlers and the implementation of scoped operations as handlers. Furthermore, it allows calling all handlers for the program at once, similar to **runM** functions for monad transformers. A more in depth explanation, as well as an example were the handler orders for semantics and scoping do not coincide can be found in the original paper by Wu et al. [31] as well as the repository. Thanks to a closing delimiters the end of a scope can be found. Therefore, calling  $\gg$  on a scoped operation to extend the continuation is not a problem, because the continuation can be separated in the part inside and outside the scope. Separating the program into the parts inside and outside the scope requires a more complex recursive handler, because scopes could be nested. Using our size annotated free monad we are able to transfer the implementation by Wu et al. [31], without making large changes.

#### 3.3.1 Cut and Call

Following Wu et al. [31] the effect is implemented in two stages. First we implement the traditional effect **Cut**, which can be used to prune nondeterministic computations. The handler for the effect determines the scope of the pruning operation. Second we implement an effect which marks the scopes and when handled isolates the programs in scope and evaluates the handler for **Cut** on each of them. First we define the syntax for the actual effect and its delimiters.

```
data Cuts : Set where cutfails : Cuts
data Calls : Set where bcalls ecalls : Calls

pattern Cutfail = impure (inj1 cutfails , _)
pattern BCall κ = impure (inj1 bcalls , κ)
pattern ECall κ = impure (inj1 ecalls , κ)

Cut Call : Container
Cut = Cuts ▷ λ _ → ⊥
Call = Calls ▷ λ _ → ⊤
```

The **Cut** effect has just a single operation, **cutfail**. **cutfail** can only be used in a context with nondeterminism. When **cutfail** is called it prunes all unexplored branches and calls **fail**. The structure of the Agda implementation of the handlers is identical to the one by Wu et al. [31], but to prove termination we have to use the size annotations.

The handler itself calls the function **go**, which accumulates the unexplored alternatives in its second argument using **??**. **fail** is the neutral element for **??** and therefore the default argument. Since this handler is not orthogonal (i.e it interacts with another effect) **Nondet** is required to be in the effect stack, but its position is irrelevant. We require a proof that **Nondet** is in the effect stack. Using **prj** we can inspect **Nondet** syntax without explicitly knowing how the container coproduct was constructed.

To prove termination we mark the second argument with an arbitrary but fixed size *i*. The continuations for each operation return subterms indexed with a smaller size. Therefore, recursive calls to **go** with these terms as argument terminate.

```

call : { { Nondet ∈ ops } → Free (Cut :: ops) A → Free ops A
call = go fail
where
  go : { { Nondet ∈ ops } → Free ops A → Free (Cut :: ops) A {i} → Free ops A

```

In case of a **pure** value no **cutfail** happened. We therefore return a calculation choosing between the value and the earlier separated alternatives.

$$\text{go } q \text{ (pure } a) = (\text{pure } a) ?? q$$

In case of a **cutfail** we terminate the current computation by calling **fail** and prune the alternatives by discarding  $q$ .

$$\text{go } \_ \text{ Cutfail} = \text{fail}$$

To interact with **Nondet** syntax we have to find it. We have a proof that the **Nondet** effect is an element of the effect list. Whenever we find syntax from another effect we can therefore try to project the **Nondet** option from the coproduct. Notice that **prj** hides the structural recursion but decreases the **Size** index. We can therefore still prove that the function terminates.

$$\text{go } q \text{ p@(\text{Other } s \kappa) \text{ with prj } \{\text{Nondet}\} \text{ p}}$$

The case for **??** separates the main branch from the alternative. Using **go** the **Cut** syntax is removed from both alternatives, but the results are handled asymmetrically. The left option is directly passed to the recursive call of **go**. The handled right option is the new alternative for the left one and therefore could be pruned if left contains a **cutfail** call.

$$\dots \mid \text{just } (??^s, \kappa') = \text{go } (\text{go } q (\kappa' \text{ false})) (\kappa' \text{ true})$$

When encountering a **fail** we continue with the accumulated alternatives.

$$\dots \mid \text{just } (\text{fail}^s, \_) = q$$

Syntax from other effects is handled as usual.

$$\dots \mid \text{nothing} = \text{impure } (s, \text{go } q \circ \kappa)$$

With the handler for **Cut** in place we can define the handler for the scope delimiters. The implementation is again similar to the one presented by Wu et al. [31], but to prove termination we again have to add **Size** annotations to the functions.

The **bcall** and **ecall** handler removes the scope delimiter syntax from the program and run **call** (the handler for **cut**) at the beginning of each scope. Whenever a **BCall** is found the handler **ecall** is used to handle the rest of the program. **ecall** searches for the end of the scope and returns the program up to that point. The rest of the program is the result of the returned program.

A valid upper bound for the size of the rest of the program is  $i$ , the size of the program before separating the syntax after the closing delimiter. This fact is curcial to prove that the recursive calls to **bcall** and **ecall** using  $\gg$  terminate. Remember that **bind** discards the size of its argument. For handlers following this pattern this is not a problem, because the returned program (i.e. the inner **Prog** layer) is size annotated. Therefore, calling the handler recursively

Calling the handler on the extracted program guaranties that the handler does not interact with syntax outside the intended scope. Nested scopes are handled using recursive calls to **ecall** if **BCall** operations are encountered while searching a closing delimiter.

Since the delimiters could be placed freely it is possible to mismatch them. If we encounter a closing before and operening delimiter, we know that they are mismatched. Wu et al. [31] use Haskell's **error** function to terminate the program. In Agda we are not allowed to define partial functions, therefore we have to handle the error. We could either correct the error and just continue or short circuit the calculation using some form of exceptions, for example the **Maybe** monad. For simplicity we use the former approach. In a real application it would be advisable to inform the programmer about the error, either using exceptions or at least trace the error.

```

bcall : { { Nondet ∈ ops } → Free (Call :: Cut :: ops) A {i} → Free (Cut :: ops) A
ecall : { { Nondet ∈ ops } → Free (Call :: Cut :: ops) A {i}

```

```

→ Free (Cut :: ops) (Free (Call :: Cut :: ops) A {i})

bcall (pure x)      = pure x
bcall (BCall κ)     = upcast (call (ecall (κ tt))) >>= bcall
bcall (ECall κ)     = bcall (κ tt) -- Unexpected ECall! We just fix the error.
bcall (Other s κ)   = impure (s , bcall ∘ κ)

ecall (pure x)      = pure (pure x)
ecall (BCall κ)     = upcast (call (ecall (κ tt))) >>= ecall
ecall (ECall κ)     = pure (κ tt)
ecall (Other s κ)   = impure (s , ecall ∘ κ)
    
```

Using the handlers defined above we can define a handler for scoped **Cut** syntax, which removes **Cut** and **Call** syntax simultaneously. The delimiters and correctly scoped **Cut** syntax is removed using **bcall** and potential unscoped **Cut** syntax is removed with a last use of **call**. The function **call'** is a smart constructor for the scope delimiters.

```

runCut : { Nondet ∈ ops } → Free (Call :: Cut :: ops) A → Free ops A
runCut = call ∘ bcall

call' : { Call ∈ ops } → Free ops A → Free ops A
call' p = do op bcalls ; x ← p ; op ecalls ; pure x
    
```

## 3.4 Call-Time Choice as Effect

Bunkenburg presented an approach to model call-time choice as a stack of scoped algebraic effects [9]. In this section we extend the nondeterminism effect from section 3.2.1 to one modelling call-time choice.

As explained in section 2.2.1, call-time choice semantics describe the interaction between sharing and nondeterminism. The current implementation of **Nondet** does not support sharing i.e. it is not possible for two choice to be linked. Based on Bunkenburg's implementation we make two changes to the nondeterminism effect. Each choice is augmented with an optional identifier consisting of a triple of natural numbers, called *choice id*. The first two are used to identity the current scope and will be refereed to as *scope id*. The third number identifies the choice inside its scope. Furthermore, instead of producing a list the handler will now produce a tree of choices. This change allows to choose the evaluation strategy, e.g. depth first or breath first search, independent of the handler.

### 3.4.1 Deep Effects

In Haskell and Curry ambient effects, like partiality, tracing and nondeterminism, can occur in components of data structures. Each argument of a constructor could be an effectful computation. For example, in Curry the tail of a list could be a nondeterministic choice between two possible tails or in Haskell the list's tail could be **undefined**. Such effects are sometimes called *deep effects*.

We want to simulate this behavior with algebraic effects. The effects have to be modelled explicitly using the **Free** type. We lift data types using a standard construction, which is commonly used to simulate ambient deep effects [3, 11, 10]. The following example of an effectful **List** demonstrates the the general construction<sup>6</sup>.

```

data ListM (ops : List Container) (A : Set) : {Size} → Set where
  nil  : ListM ops A {i}
  cons : Free ops A → Free ops (ListM ops A {i}) → ListM ops A {↑ i}
    
```

**List<sup>M</sup> ops A** represents a **List** *A* in whose components effects from the given effect stack *ops* can occur. To easily construct and work with lifted values we introduce smart constructors in the form of pattern synonyms.

```

pattern []M          = pure nil
pattern _::M _ mx mxs = pure (cons mx mxs)
    
```

<sup>6</sup>In the following code effectful data structures and lifted versions of functions are marked with a suffix <sup>M</sup>



The size annotations on the lifted data structures are needed to prove structural recursive functions terminate. To pattern match on a lifted value we have to use  $\gg$ . Therefore, the structural recursion is obscured.

```

 $\_ ++^M \_ : \text{Free ops (List}^M \text{ ops A \{i\})} \rightarrow \text{Free ops (List}^M \text{ ops A)} \rightarrow \text{Free ops (List}^M \text{ ops A)}$ 
 $mx ++^M mys = mx \gg \lambda \text{ where}$ 
 $\text{nil} \rightarrow mys$ 
 $(\text{cons } mx \text{ } mxs') \rightarrow mx ::^M mxs' ++^M mys$ 

```

**Normalization of Effectful Data** Based on the code by Bunkenburg [9] we introduce a type class for normalizing effectful data structures i.e. moving interleaved **Free** layers to the outside using  $\gg$ .

```

record Normalform (ops : List Container) (A B : Set) : Set where
  field nf : A → Free ops B
  open Normalform {...} public

!_ : { Normalform ops A B } → Free ops A → Free ops B
! mx = mx >> nf

```

The type class allow to normalize elements of type  $A$  (intuitively containing effectful calculations) to computations producing of elements of type  $B$  (intuitively a version of  $A$  without the effects). Instead of  $A$  and  $B$  we could have parameterized the type class over a type family of an effect stack, with **nf** producing an element of the type family applied to an empty stack. This implementation would allow us to restrict the normalizable types, but prohibit us from producing elements of standard data types.

In contrast to Bunkenburg's implementation we do not expect a lifted argument. Simplifying the type and introducing the helper function **!\_** removes the need for auxiliary normalization lemmas for **pure** and **impure** values in proofs. The extra degree of freedom, introduced by a monadic argument, was not used in the original implementation.

```

instance
  N-normalform : Normalform ops ℕ ℕ
  Normalform.nf N-normalform = pure

ListM-Normalform : { Normalform ops A B } →
  Normalform ops (ListM ops A {i}) (List B)
Normalform.nf ListM-Normalform nil = pure []
Normalform.nf ListM-Normalform (cons mx mxs) = ( ! mx :: ! mxs )

```

The data stored in an effectful list could also be effectful and therefore has to be normalized. We simply require a **Normalform** instance for the stored type. To allow normalization of general types and effectful data structures containing them, we have to implement dummy instances for simple data types like natural numbers or booleans.

### 3.4.2 Sharing Handler

The idea of the following sharing handler is identical to the one presented by Bunkenburg [9]. Thanks to the more flexible infrastructure described in the earlier sections we are able to define a more modular handler and avoid some inlining, necessary to prove termination in Coq. Similar to **Cut** the sharing handler is not orthogonal to other effects, but interacts with existing **Nondet** syntax.

The scoping operation **share** takes an additional argument, the unique identifier for the created scope. Similar to **put** the parameter is part of the container shape.

```

data Shares : Set where bshares eshares : ℕ × ℕ → Shares
pattern BShare n κ = impure (inj1 (bshares n) , κ)
pattern EShare n κ = impure (inj1 (eshares n) , κ)

```



```

Share : Container
Share = Shares ▷ λ _ → T
    
```

The handler has the same structure as other handlers for scoped effects like `Cut`. The `bshare` handler searches for opening delimiters, which are subsequently handled by `eshare`. `eshare` handles the part of the program in scope and returns the unhandled continuations, which is again handled using `bshare`. Nested scopes are handled using recursive `eshare` calls. To implement sharing the handler modifies the program in scope. Using `prj`, `NonDet` syntax is extracted and reinjected. Choice nodes are modified to now include the unique choice id. The identifier is generated from the scope id of the current sharing scope and a counter, which is managed by the handler. When ever a choice is tagged with an id the counter is increased. The uniqueness of the scope identifiers is not managed by the handler, but the share operator.

Due to the size annotations, termination is proven on the type level. To implement the sharing handler it is not necessary to combine the two cases, as done by Bunkenburg [9] in his Coq implementation.

```

bshare : ( NonDet ∈ ops ) → Free (Share :: ops) A {i} → Free ops A
eshare : ( NonDet ∈ ops ) → N → N × N → Free (Share :: ops) A {i}
        → Free ops (Free (Share :: ops) A {i})

bshare (pure x)          = pure x
bshare (BShare sid κ)    = eshare 0 sid (κ tt) >>= bshare
bshare (EShare sid κ)    = bshare (κ tt) -- mismatched scopes, we just continue!
bshare (Other s κ)       = impure (s , bshare ∘ κ)

eshare next sid (pure x)      = pure (pure x)
eshare next sid (BShare sid' κ) = eshare 0 sid' (κ tt) >>= eshare next sid
eshare next sid (EShare sid' κ) = pure (κ tt) -- usually test that sid' = sid
eshare next sid p@(Other s κ) with prj {NonDet} p
... | just (??s _ , κ') = inj $ ??s (just $ sid , next) , eshare (1 + next) sid ∘ κ'
... | just (fails , κ') = inj $ fails , λ()
... | nothing          = impure (s , eshare next sid ∘ κ)
    
```

### 3.4.3 Share Operator

Next we define the `share` operator as described by Bunkenburg [9]. The operator generates new unique scope identifiers using a `State` effect. Furthermore, it shares all choices in the components of effectful data structures.

To map the operator over arbitrary structures the `Shareable` type class is introduced. The `shareArgs` function calls `share` recursively on the components of the shared data structure. Similar to `Normalform`, trivial instances for simple data types are introduced.

```

record Shareable (ops : List Container) (A : Set) : Set where
  field shareArgs : A → Free ops A
open Shareable { ... }

instance
  shareable-N : Shareable ops N
  Shareable.shareArgs shareable-N = pure
    
```

Using the instances for data we can implement Bunkenburg's version of the operator. The operator itself relies on a `State` effect to generate the identifiers. `State` is later executed as first effect in the stack, to generate concrete identifier values for the sharing handler. Given a computation producing values of type `A` the operator returns a computation of computations of type `A` i.e. the result has two `Free ops` layers. The outer layer is usually execute immediately (i.e. injected into the larger program at the current position) using `>>=`. The outer computation generates a new identifier. The inner computation actually evaluates the shared program and manages its sharing scope. The inner computation captures the identifier Therefore, binding the inner computation multiple times yields multiple scopes with the same id. An in depth explanation can be found in "Modeling Call-Time Choice as Effect using Scoped Free Monads".

```

share : { Shareable ops A } → { Share ∈ ops } → { State (N × N) ∈ ops } →
  Free ops A → Free ops (Free ops A)
share p = do (i, j) ← get
            put (1 + i, j)
            pure do op $ bshares (i, j)
                  put (i, 1 + j)
                  x ← p
                  x' ← shareArgs x
                  put (1 + i, j)
                  op $ eshares (i, j)
                  pure x'

```

Using `share` we can implement a `Shareable` instance for effectful lists. In the original Haskell implementation `shareArgs` is a higher order function, which takes the used sharing operator as an additional argument. For simplicity and to avoid termination problems this is not the case in the Agda implementation.

```

instance
  ListM-shareable : { Shareable ops A } → { Share ∈ ops } → { State (N × N) ∈ ops }
    → Shareable ops (ListM ops A {i})
  Shareable.shareArgs ListM-shareable nil = []M
  Shareable.shareArgs ListM-shareable (cons mx mxs) = cons <$> share mx <*> share mxs

```

### 3.4.4 Examples

Using the handler we can simulate call-time choice semantics using effects in Agda. Call-time choice can be simulated with the following effect stack

```

CTC : List Container
CTC = State (N × N) :: Share :: NonDet :: []

```

Before calling any handlers the data is normalized, so that not only surface, but also deep effects are evaluated. State is evaluated first to generate the identifiers for sharing. Sharing is evaluated next to tag all choices with their scopes identifiers. At last nondeterminism is evaluated to collect the results of all possible branches, taking the scope ids into account.

```

runCTC : { Normalform CTC A B } → Free CTC A → List B
runCTC p = dfs empty $ run $ runNonDet $ bshare $ evalState (0, 0) (! p)

```

Now we can implement the `doubleCoin` example from section 2.2.

```

coin : { NonDet ∈ ops } → Free ops N
coin = pure 0 ??' pure 1

doubleCoin : { Share ∈ ops } → { State (N × N) ∈ ops } → { NonDet ∈ ops } →
  Free ops N
doubleCoin = share coin >>= λ c → ( c + c )

```

By calling `share` the choice in `coin` is shared. By binding the result of `share` the computation tree generating the ids (i.e. the outer layer) is expanded. The argument of the continuation  $c$  is itself a program, it is the original coin function wrapped into a sharing scope, which captures the generated id of the outer scope. By binding  $c$  this computation is injected into the whole computation. Binding  $c$  multiple times yields the same scope, because the scope identifier is captured. Equal scope identifier yield equal decisions during the evaluation of `NonDet`.

```
runCTC doubleCoin ≡ 0 :: 2 :: []
```

Thanks to the `Shareable` type class it is also possible to share choices, which are embedded in data structures. The following simple example demonstrates this possibility.

$$\begin{array}{ll}
 \text{pure } x \gg k = k \ x & (\text{ident-left}) \\
 mx \gg \text{pure} = mx & (\text{ident-right}) \\
 mx \gg f \gg g = mx \gg \lambda x \rightarrow fx \gg g & (\text{assoc}) \\
 \\ 
 \text{fail} \gg k = \text{fail} & (\text{fail-absorb}) \\
 (p \text{ ?? } q) \gg k = (p \gg k) \text{ ?? } (q \gg k) & (\text{??-algebraic}) \\
 \\ 
 \text{share fail} = \text{pure fail} & (\text{share-fail}) \\
 \text{share } \perp = \text{pure } \perp & (\text{share-}\perp) \\
 \text{share } (p \text{ ?? } q) = \text{share } p \text{ ?? share } q & (\text{share-??}) \\
 \text{share } (c \ x_1 \dots x_n) = \text{share } x_1 \gg \lambda y_1 \dots \text{share } x_n \gg \lambda y_n \rightarrow \text{pure } (\text{pure } (c \ y_1 \dots y_n)) & (\text{HNF})
 \end{array}$$

Figure 3.1: Laws for a monad with sharing by Fischer et al. [12]

```

headM : { NonDet ∈ ops } → Free ops (ListM ops A) → Free ops A
headM mxs = mxs >> λ where
  nil → fail'
  (cons mx _) → mx

doubleHead : { Share ∈ ops } → { State (ℕ × ℕ) ∈ ops } → { NonDet ∈ ops } →
  Free ops ℕ
doubleHead = share (coin ::M []) >> λ mxs → ( headM mxs + headM mxs )
    
```

As expected, observing the value in the head twice yields the same value, because the choice was shared.

$$\text{runCTC doubleHead} \equiv 0 :: 2 :: []$$

Using the `Normalform` type class it is possible to embed effects deep into data structures. This allow to write programs operating on recursive data structures, which closely resemble their Curry version. Consider the example of nondeterministic insertion into a list.

```

insertND : { NonDet ∈ ops } →
  Free ops A → Free ops (ListM ops A {i}) → Free ops (ListM ops A {↑ i})
insertND mx mxs = mxs >> λ where
  nil → mx ::M []
  (cons my mxs) → (mx ::M my ::M mxs) ??' (my ::M insertND mx mxs)
    
```

When evaluating the result of `insertND` the `ListM` is normalized using the type class. As expected, insert `1` deterministically in the list with `2` and `3` yields three possible results.

$$\begin{aligned}
 \text{runCTC } (\text{insertND } (\text{pure } 1) (\text{pure } 2 ::^M \text{pure } 3 ::^M [])) &\equiv \\
 (1 :: 2 :: 3 :: []) :: (2 :: 1 :: 3 :: []) :: (2 :: 3 :: 1 :: []) :: []
 \end{aligned}$$

### 3.4.5 Laws of Sharing

Fischer et al. introduced a set of equations characterizing call-time choice semantics [12]. The equations can be found in figure 3.1. The first three laws are just the monad laws, which were proven in section 3.1.2. Section 3.2.1 contains a proof for the fourth law. The fifth law is the algebraicity of `??`, which follows for any operation directly from the definition of `>>`.

```

??-algebraic : { _ : Normalform CTC B C } → { _ : Shareable CTC B } →
  (p q : Free CTC A) (k : A → Free CTC B) →
    
```

$$\text{runCTC } ((p \text{ ??' } q) \gg k) \equiv \text{runCTC } ((p \gg k) \text{ ??' } (q \gg k))$$

$$\text{??-algebraic } p \ q \ k = \text{refl}$$

In addition to the monad laws and equations for `??` they introduced equations involving `share`.

$$\text{share-fail} : \{ \_ : \text{Normalform CTC } A \ B \} \rightarrow \{ \_ : \text{Shareable CTC } A \} \rightarrow$$

$$\text{runCTC } \{A\} \ \{B\} \ (\text{share fail' } \gg \text{id}) \equiv \text{runCTC } \{A\} \ \{B\} \ (\text{pure fail' } \gg \text{id})$$

$$\text{share-fail} = \text{refl}$$

The second law involving `share` does not apply to our effect stack, because we have no notion of `undefined`. Partiality can be implemented identical to `fail` with carrier `Maybe`. The effect would be placed last in the stack to allow canceling all running calculations. The law can be proven analogous to the one for `fail`.

The third law involving `share` states that `share` distributes over `??`. This law does not hold for this implementation, because there is no guarantee that `get` or `put` are not called outside the sharing operator. Developing another implementation satisfying the laws in all cases is outside the scope of this thesis.

The last law states that `share` distributes over the components of effectful data structures. Since our representation for effectful data is not uniform this law has to be proven on a case by case basis. One could try to automate this proves using tactics, find an equivalent formulation which does not refer to constructors directly or use a different representation for effectful data (e.g. fixed points of polynomial functors, since they can be made effectful generically).

## 3.5 Results

In this chapter we implemented usual notion of algebraic effects and handlers. Based on the work by Brady [8], we introduced our general infrastructure for working with modular effects in Agda. In addition to the implementation of effects and the handlers, we used Agda's theorem proving capabilities to reason about effectful programs. Furthermore, we used Wu et al. [31] method of explicit scope delimiters to provide modular versions of operations with scopes. Our sized annotated version of the free monad allowed us to implement the more complex, recursive handlers for scope delimiters, without changing the general structure of the implementation by Wu et al. [31]. Following Bunkenburg [9] we were able to implement a general infrastructure for deep effects as well as a handler for sharing, allowing us to simulate call-time choice semantics in Agda.

Because we simply implemented the Haskell version of this approach in Agda, the problems from the Haskell implementation also carry over. The problem noted by Wu et al. [31] is malformed syntax. Because the beginning and end of each scope were marked using different operations, the handler has to deal with potentially mismatched scope delimiters. This problem is amplified in Agda, because mismatched scope delimiters could potentially also be encountered in proofs. Furthermore, when handling operations with scopes the handlers has no direct access to the continuation of the operation. This prevents potentially optimizations, such as direct evaluation of the continuation with memorized result of a shared computation.

## Chapter 4

# Implementing Scoped Effects using Higher Order Syntax

To address problems of the first order approach, noted in Section 3.5, Wu et al. introduce a second approach using higher order abstract syntax [31] to directly represent scoping constructs. By changing the syntax, this approach moves away from the exact definition of algebraic effects, but the general concept of defining syntax and inducing semantics using a handler is still present. This approach is usually used in Haskell to implement scoped effects[polysemy, fused-effects]. Bunkenburg already tried to implement some scoped effects using this approach in Coq. His approach failed due to issues with Coq’s positivity checker [9]. Due to sizes issues, needed for the consistency of Agda, this approach ultimately failed again.

In Section 4.1 we introduce the concept of higher order syntax as described by Wu et al. [31]. We partially follows Bunkenburg’s approach, because the limitation of Coq described by him does not exist in Agda. In Section 4.1.1 we discuss different representation for higher order syntax in Agda. We explain a size issue with all of these representations, which generally prohibits us from implementing deep effects, without making excessive changes. In Section 4.1.3 we discuss some potential changes to the representation and their consequences. Because deep effects are an uncommon requirement, in Section 4.2 we still presents a limited implementation, to highlight some details specific to Agda.

### 4.1 Higher Order Syntax

In the first order approach effects only store their continuations. If the effect has a local scope, the continuations is expected to contain a closing scope delimiter. In the higher order approach by Wu et al. [31] scoped effects store possible continuations as well as the part of the program in their scope. In the following we explain the basic construction of higher order syntax in Haskell by Wu et al. [31], before we present results regarding an Agda implementation.

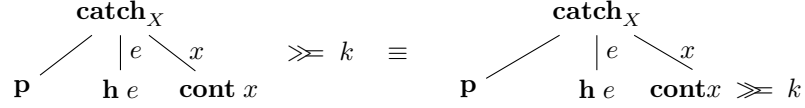
In the first order approach the functors, that describe the syntax, are applied to types of the form `Free F A` i.e. programs consisting of syntax described by `Free F`, which produce values of type `A`. In the higher order approach these functors are generalized to higher order functors, that is in Haskell data types of kind `(* -> *) -> (* -> *)`. These functors are applied to `Free F` and `A` separately.

Because the program type is separated in syntax and result type it is possible to store programs, that use the same signature but produce values of different types. Consider the following definition of the higher order exception syntax as given by Wu et al. [31].

```
data HExc e m a = Throw e | forall x. Catch (m x) (e -> m x) (x -> m a)
```

The `Catch` operation stores the computation in the scope of the catch block `m x`, the handler producing an alternate result in case of an error `e -> m x` as well as the rest of the program `x -> m a`, in the following called continuation. The three programs agree on an arbitrary but per `catch` fixed type `x` as well as a common signature, defined by `m`.

Calling `>>=` on a higher order term just extends the continuation i.e. just substitutes the variables in subterms of type `m a`. Figure 4.1 demonstrates the action of `>>=` an `catch`. The

Figure 4.1: Calling  $\gg=$  on an operation with a local scope

program in scope and the  $e$  indexed subprogram (the exception handler) both produce values of the captured type  $X$ , therefore  $\gg=$  does not affect them. Only the third computation is of type  $A$  and therefore affected by  $\gg=$ . Therefore these operations are not algebraic, but also capture the notation of scopes.

#### 4.1.1 Representing Strictly Positive Higher Order Functors

In Haskell the generalization to higher order syntax is straight forward. In Agda we again have to find an appropriate representation for functors to guaranty strict positivity, which leads to the idea of an indexed container as described by Altenkirch et al. [4]<sup>1</sup>. Indexed containers from the paper as well in the Agda standard library are defined as follows<sup>2</sup>.

```
record IndexedContainer (I O : Set1) : Set1 where
  field
    Shape : O → Set
    Pos : ∀ {o} → Shape o → Set
    Ctx : ∀ {o} → (s : Shape o) → Pos s → I

  [ ] : (I → Set) → (O → Set)
  [ ] F A = Σ [ s ∈ Shape A ] ((p : Pos s) → F (Ctx s p))
```

Allowing indices of arbitrary levels and instantiating  $I$  and  $O$  with  $\text{Set}$  gives rise to a container extension of the correct shape.

Bunkenburg [9] also tried using indexed container. The above definition is similar to his first definition of a container representation for a higher order functor. His definition is given below.

```
record HContainer : Set2 where
  field
    Shape : Set1
    Pos : Shape → Set
    Ctx : (s : Shape) → Pos s → Set → Set

  [ ] : (Set → Set1) → (Set → Set1)
  [ ] F A = Σ [ s ∈ Shape ] ((p : Pos s) → F (Ctx s p A))
```

In the second definition the  $\text{Shape}$  and  $\text{Pos}$  types cannot depend on the given index i.e. the argument for the returned functor. Otherwise, both definitions are quite similar. All stored elements are lifted by the given functor  $F$ .  $F$ 's argument is generated using  $\text{Ctx}$ .  $\text{Ctx}$  has access to the chosen shape, accessed position and the argument type  $A$ . Conceptually,  $\text{Ctx}$  is used to choose between the stored  $X$  and the argument type  $A$  i.e. programs inside or outside the operations scope.

Bunkenburg noted that it is not possible to define  $\gg=$  generically for the definition above [9]. Similar to the Haskell implementation by Wu et al. [31] we could define a type class to implement a  $\text{emap}$  for all valid higher-order functors, which would allow the definition  $\gg=$ . Both representations share another problem, the produced type constructor is not necessarily strictly positive. This is a necessary requirement to define recursive, effectful data structures.

There are multiple ways to fix this problem. Following the pattern from Chapter 3 we could replace the returned functor with normal  $\text{Container}$ . This option is the most expressive, but also

<sup>1</sup>Note that this is not the first publication related to indexed containers. Papers of the same name, by the same author(s) exist, as well as data types, known as “Interaction Structures” with essentially the same shape.

<sup>2</sup>The names of the fields are changed and level polymorphism is omitted to highlight differences between the definitions.

quite complex. Furthermore, for most effects this level of control over syntax is not needed. In most cases the argument  $A$  is only used directly i.e. the Haskell functor contains  $a$  only as  $m\ a$ .

Working under this assumption, it is possible to replace the returned functor with a value of type `Maybe Set` and replace `nothing` with  $A$  in the container extension. This also guaranties strict positivity for  $A$ . Furthermore, it allows a generic definition of  $\gg$ , because it is possible to pattern match on the result of `Ctx` and therefore differentiate between container extension which do or do not contain  $A^3$ .

Bunkenburg [9] fixed this problem by switching to version of a bi-container. A bi-container has two position types for each shape. Its extension is a bifunctor, that is strictly positive in both arguments. Bunkenburg extended the usual bi-functor to an indexed bi-functor by adding a context, similar to the above definition, to one of the positions. The definition of an indexed bi-container and its extension is given below.

```
record Effect : Set2 where
  constructor _◁_+_/_
  field
    Shape : Set1
    Pos : Shape → Set
    PosX : Shape → Set
    Ctx : ∀ s → PosX s → Set
open Effect

[ ] : Effect → (Set → Set1) → Set → Set1
[ S ◁ P + PX / C ] F A = Σ[ s ∈ S ] (((p : P s) → F A) × ((p : PX s) → F (C s p)))
```

An indexed bi-container has two sets of positions for each shape `Pos` and `PosX`. Its extension consists of a shape and two position functions, one for each set of positions. In the above definition, the second set of positions is augmented with a context function, identical to the second indexed container definition. In Agda this definition is recognized as strictly positive in  $A$ . The analogous definition in Bunkenburg's Coq implementation is not [9].

Ultimately the choice of representation for the functor does not matter, because all approaches based on storing a type directly encounter the problem described in Section 4.1.2. Going forward we will use Bunkenburg's indexed bi-container for examples, because it allows us to continue where he left of and it is the easiest to work with. As a side note, some operations with more complex syntax, like `pass :: m (a, w -> w) -> m a` and `listen :: m a -> m (a, w)` for the `Writer` monad cannot be implemented with this representation.

Using our choice of functor representation we can define the `Prog` monad for higher order syntax as described by Wu et al. [31]. It is similar to the free monad in the first order case, except that the functor has access to the type parameter and the type constructor, not just the combined type.

```
[ ]' : Effect → (Set1 → Set1) → Set1 → Set1
[ S ◁ P + PX / C ]' F A = Σ[ s ∈ S ]
  (((p : P s) → F A) × ((p : PX s) → F (Lift _ $ C s p)))

data ProgW (C : Effect) (A : Set1) : Set1 where
  pure : A → ProgW C A
  impure : [ C ]' (ProgW C) A → ProgW C A
```

Notice that due to the potentially captured type in the `Shape` is an element of `Set1`. Therefore, `ProgW` is also an element of `Set1`. Because `ProgW` is an element of `Set1` we can also increase the universe level for  $A$  to 1, which is needed to define effectful data structures. Unfortunately, because the universe level of the captured type is smaller than `ProgW`'s it is not possible to work with effectful data as in Haskell. Section 4.1.2 contains a detailed explanation of the problem.

### 4.1.2 Effectful Data and Existential Types

A central problem with this approach is that it cannot model deep effects without involving variable levels. Consider the the following definition of an effectful list. Although it is valid, in contrast to the Coq version, it cannot be used as expected with `ProgW`

<sup>3</sup>An example implementation can be found in the repository.



```

data ListM (E : Effect) (A : Set1) : Set1 where
  nil   : ListM E A
  cons  : ProgW E A → ProgW E (ListM E A) → ListM E A

```

$\text{List}^M C A$  is an element of  $\text{Set}_1$ , because it stores elements of type  $\text{Prog } C X$ , which is an element of  $\text{Set}_1$ .  $\text{Prog } C X$  is an element of  $\text{Set}_1$ , because it holds values of the container extension i.e. elements of the  $\text{Shape}$  type, which is an element  $\text{Set}_1$ , because it has to store the result type of the subcomputation  $X$ . Therefore,  $\text{List}^M C A$  is too large to be stored as result type of a subcomputation i.e. it is not possible to call a scoped operation (such as  $\text{share}$ ) on an effectful data structure.

More generally speaking, let us fix the universe level of the result type  $X$  of the subcomputation  $\ell_X = l$ . The type is stored in the  $\text{Shape}$ , therefore the universe level of the  $\text{Shape}$  type is given by  $\ell_S = l + 1$ . Because the  $\text{Prog}$  stores an element of the  $\text{Shape}$  its level is given by  $\ell_P = \ell_S$ . Effectful data structures live in the same universe as  $\text{Prog}$ , but are simultaneously required to be stored in the subcomputation. We obtain the contradictory requirements  $\ell_E = \ell_P = \ell_S = l + 1$  and  $\ell_E \leq l$ .

Holding on to the idea of storing types in the  $\text{Shape}$ , the only way to fix this problem is to let all levels vary as needed. Calling a scoped operation on an effectful data structure containing computations with level  $\ell$  produces a computation on level  $\ell + 1$ . This leads to different levels across the program, which are difficult to unify, because they require manual lifting of types. Furthermore, when mapping a scoped operation over a recursive data structure (e.g.  $\text{share}$ ) the increase in the universe level depends on the depth of the structure. Both of these phenomena are hard to deal with and lead in our implementations to an impractical library interface. We were not able to solve the problem of data dependent levels in recursive data structures.

### 4.1.3 Indexing and Integrating Data

To solve the problem from Section 4.1.2 we explored two approaches. For an effect system it seems reasonable to not let universe level vary or in the best case not increase it, that is either make  $\text{Prog}^W$  an element of  $\text{Set}$  or represent effectful data in  $\text{Set}$ . In this section we mention two ideas, one for each approach. Unfortunately, in our tests none of them lead to a concise solution.

**Indexing** One could try solving the problem of increasing universe levels by indexing the program over a typing context. The level of the index is independent from the level of the structure, therefore the chain of reasoning from Section 4.1.2 does not apply. The typing context needs to have the same structure as the program. This is possible by reusing the arbitrary branching mechanism, known from the free monad.

A central problem with this approach is that every call of  $\gg$  potentially grows the tree described by  $\text{Prog}$  and therefore the context. These changes now have to be reflected on the type level, because the context is embedded in the type of  $\text{Prog}$ . If  $\gg$  substitutes leaves differently based on their stored values, the changes to the context are not simple substitutions with value, but described by a function. As with increasing universe levels, these complications are increasingly hard to deal with and are hard to hide from the user of the library. For example, in our tests the changes to the context require the definition of helper function, that describe the modification.

**Integrating Data and Computations** All of the above modellings of the problem ignore a central fact. We cannot model deep effects, because effectful data structures are an element of  $\text{Set}_1$ , but data is required to be an element of  $\text{Set}$ . These special data structures are only too large, because they contain values of type  $\text{Prog}$ , not arbitrary values from  $\text{Set}_1$ . Conceptually these data structures continue the computation tree.

By representing an data structures using a small type and creating its actual structure, using a new  $\text{Prog}$  constructor, it is possible to avoid the size issues. We tried implementing this idea, but failed when trying to represent generic structures. Furthermore, working with data described this way is unintuitive.

## 4.2 Limited Implementation

Translating Wu et al. [31] approach without major changes to Agda makes working with deep effects difficult. However, it can still be used to implement scoped effects without deep effects. For



completeness the following section will show key points of a simplified implementation using this approach. To write concise code we will work with Bunkenburg’s indexed bi-containers, because they model effects with a simple continuation accurately. In a more complex implementation, where more control over the type of the continuation is needed, a container with a `Ctx` for  $A$  might be needed<sup>4</sup>.

First we port over the infrastructure for modular effects. The coproduct carries over seamlessly. We combine the position functions pairwise and handle the `Ctx` functions using the coproduct mediator.

$$\begin{aligned} \_ \oplus \_ &: \text{Effect} \rightarrow \text{Effect} \rightarrow \text{Effect} \\ (S_1 \triangleleft P_1 + PX_1 / C_1) \oplus (S_2 \triangleleft P_2 + PX_2 / C_2) &= \\ (S_1 \uplus S_2) \triangleleft [P_1, P_2] + [PX_1, PX_2] / [C_1, C_2] \end{aligned}$$

To easily work in the higher order setting we adapt the `Prog` data type similarly to `Free` monad from Chapter 3 i.e. we parameterize over a list of effects and add a `Size` parameter. To avoid excessive use of universe levels and to avoid the `--cumulativity` flag we work with a version of `Prog` which takes a type parameter from `Set`<sup>5</sup>. We try to avoid the flag in this exemplary implementation, because it weakens type inference, forcing us to write more implicit values explicitly.

```
data Prog (effs : List Effect) (A : Set) : {Size} → Set1 where
  pure   : A → Prog effs A {i}
  impure : [ sum effs ] (λ X → Prog effs X {i}) A → Prog effs A {↑ i}
```

To implement  $\gg$  we define the `emap` function. The function has the same signature as the one by Wu et al. [31]. In contrast to the implementation by Wu et al. [31] the function can be defined generically for all effects, because the Bi-Container representation is more restrictive than the their representation in Haskell. Switching to a Bi-Container with a `Ctx` for the first position function, which returns a `Container`, preserves this general definition.

```
emap : (F A → F B) → [ E ] F A → [ E ] F B
emap f p = π1 p , f ∘ π1 (π2 p) , π2 (π2 p)
{-# INLINE emap #-}

_ >> _ : Prog effs A → (A → Prog effs B) → Prog effs B
pure x   >> k = k x
impure x >> k = impure (emap {F = λ X → Prog _ X} (_ >> k) x)
```

The definition for  $\gg$  is identical to the one in Haskell. Using the `INLINE` pragma, as explained in Section 2.1.6, we can define `emap` separately without obscuring the termination.

The infrastructure from chapter carries over with minimal changes. We reuse the `_∈_` proposition from Chapter 3. The `inj` and `op` functions have to be modified slightly for the new program type.

```
inj : E ∈ effs → [ E ] F A → [ sum effs ] F A
inj here (s , κ) = inj1 s , κ
inj {F = F} (there [ p ]) prog with inj {F = F} p prog
... | s , κ = inj2 s , κ

op : [ E ∈ effs ] → [ E ] (λ X → Prog effs X) A → Prog effs A
op [ p ] = impure ∘ inj {F = λ X → Prog _ X} p
```

Usually, when an effect is handled the value type is lifted in a context, represented by a functor (e.g. `List` for `Nondet`).

Following the approach by Wu et al. we will define a type class `Syntax`, which, given a handler, allows evaluating a computation in a context to a new computation producing values in the context. To define such a type class we first have to define a context. The normal definition of a functor does not suffice, because it lifts all type to the same `Setn`. This is problematic, because scoped

<sup>4</sup>To guarantied strict positivity one of the solutions mentioned in Section 4.1.1 is needed.

<sup>5</sup>To be monad this parameter has to be an element of `Set1`. Such a structure is sometimes known as a *relative monad*, because we can still define a  $\gg$  for which the usual laws hold. Adapting this structure to a normal monad is possible, but involves more level annotations and it is easier in a universe polymorphic setting.

operations can only capture elements of `Set`, while computations are elements of `Set1`. Therefore values and computations in context have different universe levels, but during the evaluating we have to convert between the two. Even with `--cumulativity` this behavior is not handled automatically by Agda<sup>6</sup>.

To simulate the above behavior we define the `Context` type class. A context is essentially a functor which respects the universes structure. Given a type from `Setn` it lifts it to another type in the same `Setn`. Furthermore, given a function between two data types in different universes it lifts the function to a function between the lifted types i.e. between universes. An instances should satisfy the functors laws, even though they are not enforced here. Notice that `Context` works with arbitrary `Levels`  $\ell$  and therefore is an element of `Set $\omega$` .

```
record Context (F : ∀ {ℓ} → Set ℓ → Set ℓ) : Setω where
  field _<$ _ : ∀ {a b} {A : Set a} {B : Set b} → (A → B) → F A → F B
  _<$ _ : ∀ {a b} {A : Set a} {B : Set b} → A → F B → F A
  a <$ mb = const a <$ mb
open Context []
```

With the context in place we define the `Syntax` type class by Wu et al. By generalizing to higher order abstract syntax it is possible to represent computations in scope and continuations explicitly. The order in which they are evaluated and therefore how an evaluation context should be moved through the computation is a semantic question. The type class explains how an arbitrary handler can be thread through an effects syntax. The first argument is the initial context. Using `<$` it is possible to move an arbitrary value or computation into the context. The second argument is a handler as defined by Wu et al. The handler takes a computation in a context and evaluates it. The result computation has a different effect stack, usually it is the tail of the given stack. By partially evaluating the computation the context was moved through the computation. As a result the values are now lifted into the resulting context. Using the initial context and the handler, the type class explains how an arbitrary operation from its signature is evaluated.

Notice that the given operations contain computations of an arbitrary size. Furthermore, the given handler works on computations of the same size. This will be important in Section 4.2 when we define handlers, which pass them self to `handle`.

```
record Syntax (E : Effect) : Setω where
  field handle : [ Context C ] → C ⊤ →
    (∀ {X} → C (Prog effs' X {i}) → Prog effs'' (C X)) →
    [ E ] (λ X → Prog effs' X {i}) A → [ E ] (λ X → Prog effs'' X) (C A)
open Syntax []
```

To finish the basic infrastructure we define two `Syntax` instances. The instance for the empty signature `Void` is trivial, because the type of container extensions is empty. Combined signatures are handled by inspecting the value, calling the `handle` for one of the given signatures and injecting the result in the combined signature.

```
instance
  Void-Syntax : Syntax Void
  Syntax.handle Void-Syntax _ _ ()

  ⊕-syntax : [ Syntax E ] → [ Syntax E' ] → Syntax (E ⊕ E')
  Syntax.handle ⊕-syntax ctx hdl (inj1 s , κ , σ) with handle ctx hdl (s , κ , σ)
  ... | s' , κ' , σ' = (inj1 s') , κ' , σ'
  Syntax.handle ⊕-syntax ctx hdl (inj2 s , κ , σ) with handle ctx hdl (s , κ , σ)
  ... | s' , κ' , σ' = (inj2 s') , κ' , σ'
```

### 4.2.1 Exceptions

An an example for an effect in the higher order setting we define exceptions. Exceptions support two operations, the usual algebraic operation

<sup>6</sup><https://agda.readthedocs.io/en/v2.6.1.1/language/cumulativity.html#limitations>

**Syntax** The two operations are the equivalent of the Haskell definition from Section 4.1. `throw` as well as the scoped operation `catch`. `throw` takes the thrown exception as an additional parameter and has no continuations, because it terminates the computation. `catch`'s `Shape` stores the result type of the computations in scope.

```
data Excs (E : Set) : Set1 where
  throws : (e : E) → Excs E
  catchs : (X : Set) → Excs E
```

We use Bunkenburg's indexed Bi-Container. The extension of the container is equipped with two positions functions, one for computations resulting in `Prog effs A` and one for computations in scope i.e. such resulting in computations of type `Prog effs Y` where `Y` is defined by the context. Let us first consider the computations in scope.

```
data ExcCatchP (E X : Set) : Set where
  mainP : ExcCatchP E X
  handleP : (e : E) → ExcCatchP E X

ExcPx : ∀ E → Excs E → Set
ExcPx E (throws e) = ⊥
ExcPx E (catchs X) = ExcCatchP E X

Excc : ∀ E s → ExcPx E s → Set
Excc E (catchs X) mainP = X
Excc E (catchs X) (handleP e) = X
```

`throw` has no computations in scope and therefore no positions. `catch`'s positions are given by `ExcCatchP`. The operation has two kinds of continuations in scope. The first single continuation is given by `mainP`, the program in scope whose exceptions should be caught. `handleP` provides a continuation for each error i.e. corresponds to the exception handler. Both computations result in a value of type `X`, which is expressed using `Excc`.

Next we define the positions for the effects continuation i.e the computation producing values of type `A`.

```
ExcP : ∀ E → Excs E → Set
ExcP E (throws e) = ⊥
ExcP E (catchs X) = X
```

Again, `throw` has no continuations, because it produces no results. `catch` provides a continuation which processes the result of the computations in scope i.e. it provides a continuation for each value of `X`.

Using the above definitions we define the `Exc` effect. Furthermore, we introduce pattern synonyms to easily pattern match on values of the container extension in the handler.

```
Exc : Set → Effect
Exc E = Excs E <| ExcP E + ExcPx E / Excc E

pattern Throw e    = impure (inj1 (throws e) , _ , _)
pattern Catch κ σ  = impure (inj1 (catchs _) , κ , σ)
pattern Other s κ σ = impure (inj2 s , κ , σ)
```

Lastly we define smart constructors for the operations. `throw` has no continuations. `catch` captures the program as well as the exception handler in scope, therefore they are returned by `σ`. The effects continuation `κ` is initially given by pure. It is later extended using `≫` this is analogous to the generic operations in the first order approach.

```
throw : { Exc B ∈ effs } → (e : B) → Prog effs A
throw e = op (throws e , (λ()) , λ())

_<catch_> : { Exc B ∈ effs } → Prog effs A → (B → Prog effs A) → Prog effs A
p catch h = op $ catchs _ , pure , λ{ mainP → p ; (handleP e) → h e }
```

**Handler** Before we implement the handler we have to provide a **Context** instance for  $E \uplus \_$  to use **handle** to traverse **Other** operations. The instance is nearly identical to the functor instance, except that the newly constructed values may be element of another **Set**.

```
instance
  _ $\uplus$ -Context :  $\forall \{E : \text{Set}\} \rightarrow \text{Context } (E \uplus \_)$ 
  Context._ $\langle \$ \rangle$  _ $\uplus$ -Context  $f (\text{inj}_1 e) = \text{inj}_1 e$ 
  Context._ $\langle \$ \rangle$  _ $\uplus$ -Context  $f (\text{inj}_2 x) = \text{inj}_2 (f x)$ 
```

As explained above, the **Syntax** instance is needed to thread the handler through the syntax of other effects i.e. the instance for **Exc** is not needed for the **Exc** handler. We still define a **Syntax** instance for **Exc** now to explain the usual structure.

```
Exc-Syntax :  $\forall \{E\} \rightarrow \text{Syntax } (\text{Exc } E)$ 
Syntax.handle Exc-Syntax  $\_ \_ \_ (\text{throw}^s e, \_ , \_ ) = \text{throw}^s e, (\lambda ()), \lambda ()$ 
Syntax.handle Exc-Syntax  $\{C = C\} \text{ ctx hdl } (\text{catch}^s X, \kappa, \sigma) = \text{catch}^s (C X),$ 
   $(\lambda x \rightarrow \text{hdl } (\kappa \langle \$ \rangle x)) , \lambda \text{ where}$ 
   $\text{main}^P \rightarrow \text{hdl } (\sigma \text{ main}^P \langle \$ \rangle \text{ ctx})$ 
   $(\text{handle}^P e) \rightarrow \text{hdl } (\sigma (\text{handle}^P e) \langle \$ \rangle \text{ ctx})$ 
```

The case for  $\text{throw}^s$  is trivial, because the operation has no continuations, one which to evaluate the handler. The case for  $\text{catch}^s$  is more complex.

The idea behind the **Syntax** type class is to thread the handler through the computation i.e. evaluate it on every subtree. The given handler  $\text{hdl}$  is slightly different from the final handler in that it only accepts computations inside its context. This is needed to thread the handlers current state through the computation. The continuation for the effects final continuation (the one producing a value of the actual result type  $A$ ) takes an argument of type  $C X$ . By mapping  $\kappa$  over the given  $x$  the continuation is injected in the context of the argument  $x$ . This make sense, because the given value is either the result of the sucessfull captured computation or the handler. The rest of the computation should continue where these compuations left of. For example, in case of **Nondet**,  $\kappa$  would continue on each result of the program in scope, because  $\langle \$ \rangle$  applies the given function simply to each element of the list.

Next we will look at the computations in scope i.e. the computations stored by  $\sigma$ . As in Chapter 3 and explained in Section 2.3.4, the handler should be evaluated on the computation in scope in isolation i.e. not reuse the previous state. In the first order case this was accomplished by calling the handler again when finding an opening scope delimiter. To call the handler the computations, given by the functions  $\kappa$  and  $\sigma$ , have to be inject into a context. In case of  $\kappa$  we were given a context, now we have to use the given context. The given value  $\text{ctx}$  holds a value of type  $\top$  i.e. no information just handler state.  $\text{ctx}$  should be the initial handler context or state for the handler. Using  $\langle \$ \rangle$  we can inject any computation into it. Injecting a computation into  $\text{ctx}$  and calling  $\text{hdl}$  should be the same as calling the actual handler for the effect on the computation.

The cases for the three computations are identical to the ones presented by Wu et al. After evaluating the handler on the sub-trees, values are lifted into the context, therefore the captured intermediate result type changes. In Agda we have to manage the type explicitly. In contrast to the Haskell implementation by Wu et al. we have to explicitly change the captured type. Using the curly brackets we access the hidden type constructor  $C$  for the context and simply evaluate it on the given type.

Lastly we define the handler for **Exc**. Notice that the handler takes a computation of an arbitrary size  $i$ . This is needed to prove termination, because the handler itself is threaded through the **Other** operations using **handle**. To use **handle** we require a **Syntax** instance for the rest of the effect stack. The cases for **pure** and **Throw** are trivial.

```
runExc :  $\llbracket \text{Syntax } (\text{sum } \text{effs}) \rrbracket \rightarrow \text{Prog } (\text{Exc } B :: \text{effs}) A \{i\} \rightarrow \text{Prog } \text{effs } (B \uplus A)$ 
runExc (pure  $x$ ) = pure (inj2  $x$ )
runExc (Throw  $e$ ) = pure (inj1  $e$ )
```

To handle **Catch** we first evaluate the operation in scope by calling **runExc** on the computation in the **main<sup>P</sup>** position. Using  $\gg$  we can inspect the result and either call the rest of the computation  $\kappa$  with the result or the exception handler using **handle<sup>P</sup>**. In the latter case we again inspect the result and in case of a value also continue with  $\kappa$ .

```

runExc (Catch  $\kappa$   $\sigma$ ) = runExc ( $\sigma$  mainP)  $\gg$   $\lambda$  where
  (inj1 e)  $\rightarrow$  runExc ( $\sigma$  (handleP e))  $\gg$   $\lambda$  where
    (inj1 e)  $\rightarrow$  pure (inj1 e)
    (inj2 x)  $\rightarrow$  runExc ( $\kappa$  x)
  (inj2 x)  $\rightarrow$  runExc ( $\kappa$  x)

```

Lastly we handle **Other** operations. As in Chapter 3 we reconstruct the operation using **impure**. Moving the handler along now requires us to use **handle**. We call **handle** on the given value of the container extension, constructed using  $s$ ,  $\kappa$  and  $\sigma$ . Notice that **Other** hides the **inj<sub>2</sub>**, therefore the newly constructed container extension has a different type. It is an element of the signature without the exception syntax. **handle** requires two additional arguments, the initial context as well as the handler. The initial context is given by **inj<sub>2</sub> tt** i.e. a successful result of type  $\top$ . The handler has to evaluate **Exc** syntax for a computation in the context. We handle the two cases using **[\_,\_]\_**. If the argument is already an error we simply produce a **pure** calculation which produces the error. Otherwise it is a computation, which we can evaluate using **runExc**. Notice that the initial context always leads to the second case.

```

runExc (Other s  $\kappa$   $\sigma$ ) = impure (handle (inj2 tt) [ ( $\lambda$  x  $\rightarrow$  pure (inj1 x)) , runExc ] (s ,  $\kappa$  ,  $\sigma$ ))

```

Even though we pass **runExc** to **handle**, Agda accepts this definition as terminating. Agda can prove termination, because the argument is of an arbitrary size  $i$ , therefore the values produced by  $\kappa$  and  $\sigma$  have a smaller size. Note that in the definition of **handle** the size of the handler argument is the same as the size of the last argument i.e. the operation, which is handled. Therefore, the argument passed to the coproduct mediator, which calls **runExc**, is smaller than the currently handled value.

**Example** Using the **Exc** effect we can define simple programs, which **throw** and **catch** exceptions. The first function simply raises an exception.

```

testExc : { $\llbracket$  Exc String  $\in$  effs  $\rrbracket$ }  $\rightarrow$  Prog effs  $\mathbb{N}$ 
testExc = pure 1  $\gg$  throw "Foo"

```

As expected, evaluating it yields the error message.

```

run (runExc testExc)  $\equiv$  inj1 "Foo"

```

The second function calls the first one, but catches the exception, returning an alternative result.

```

catchTestExc : { $\llbracket$  Exc String  $\in$  effs  $\rrbracket$ }  $\rightarrow$  Prog effs  $\mathbb{N}$ 
catchTestExc = testExc catch  $\lambda$  _  $\rightarrow$  pure 42

```

Evaluating the second function yields the value returned by the exception handler.

```

run (runExc catchTestExc)  $\equiv$  inj2 42

```

## 4.2.2 Lifting First Order Syntax

Wu et al. [31] present a construction for lifting first order syntax to the higher order setting. A similar construction is possible with container representations. In this section we present the corresponding construction and use it to lift nondeterminism syntax into the higher order setting.

Given the two fields of a normal container we construct an indexed bi-container. The shapes and positions for  $A$  correspond exactly to the first two arguments for the indexed bi-container. The second position type and the context are precisely the generalization from the first-order to the higher-order setting. Therefore, we simply use  $\perp$  to ignore them.

We did not use the cumulativity flag to simplify this exemplary implementation. This simplified the earlier implementation, but forces us now to do some manual lifting. The **Lift** data type is element of an arbitrary universe and stores a value of an arbitrary type from a smaller universe. Using **Lift** we can pass the given shape type to the constructor. To apply the position function we unwrap the lifted shape.

```

 $\perp \triangleright \_$  : (Shape : Set)  $\rightarrow$  (Pos : Shape  $\rightarrow$  Set)  $\rightarrow$  Effect
 $S \triangleright P = \text{Lift } \_ S \triangleleft (\lambda (\text{lift } s) \rightarrow P s) + (\lambda \_ \rightarrow \perp) / \lambda \_ ()$ 

```

As shown by Wu et al. [31], we can define a general **Syntax** instance for lifted first order syntax. The second type of positions is empty, therefore we can omit the definition of  $\sigma$ . Notice that this definition applies to all effects constructed using  $\triangleright$ . Therefore, we avoid defining parts of the infrastructure for effects without scoping operations.

```
instance
  ▷-Syntax : ∀ {S P} → Syntax (S ▷ P)
  Syntax.handle ▷-Syntax ctx hdl (s , κ , σ) = s , (λ p → hdl (κ p ◁ ctx)) , λ()
```

**Example: Nondet** Using the above function and **instance** we can lift the nondeterminism syntax from Chapter 3 to the higher-order setting.

```
Nondet : Effect
Nondet = Nondets ▷ λ where fails → ⊥ ; ??s → Bool

pattern Fail      = impure (inj1 (lift fails) , _ , _)
pattern Choice κ = impure (inj1 (lift ??s) , κ , _)
```

We still have to define a **Context** instance and a custom handler for **Nondet**, because we have to define the interaction with other higher order syntax. Again, the **Context** instance corresponds to the normal functor instance.

```
instance
  List-Context : Context List
  Context.<$>_ List-Context f []      = []
  Context.<$>_ List-Context f (x :: xs) = f x :: (f ◁ xs)
```

The first three cases of the handler are identical to the implementation in Section 3.2.1. The interesting new case is the one for **Other** syntax. We must use **handle** to traverse the arbitrary operation. Analogous to exceptions we evaluate **handle** on the reconstructed, given operation. The initial context have to be singleton lists, because empty lists would stop the computation, while lists with two or more elements would duplicate parts of the program.

**hdl** has to map from a **List** of computations with **Nondet** syntax to a computation without **Nondet** syntax and a **List** as value type. Consider the **Syntax** instance for **Exc**, given in Section 4.2.1. The two computations in scope use the initial context i.e. the given list is a singleton. The continuation uses  $\triangleleft$  to apply the rest of the program to the given results of the computation in scope and evaluates them using **hdl**. Conceptually, the argument of **hdl** corresponds to the computations, which produce results for each result of some earlier computation. We therefore use the obvious (and usually given) implementation of the **hdl** function i.e. we sequence the computations from left to right and concat the results.

```
runNondet : { [ Syntax (sum effs) ] } → Prog (Nondet :: effs) A {i} → Prog effs (List A)
runNondet (pure x)      = pure (x :: [])
runNondet Fail          = pure []
runNondet (Choice κ)    = ( runNondet (κ true) ++ runNondet (κ false) )
runNondet (Other s κ σ) = impure (handle (tt :: []) hdl (s , κ , σ))
  where hdl : { [ Syntax (sum effs) ] } →
    List (Prog (Nondet :: effs) B {i}) → Prog effs (List B)
    hdl []      = pure []
    hdl (mx :: mxs) = ( runNondet mx ++ hdl mxs )
```

Notice that the argument of the handler as well as the **hdl** function are of size  $i$  to guaranty termination, following the pattern explained in Section 4.2.1.

```
_??_ : { [ Nondet ∈ effs ] } → Prog effs A → Prog effs A → Prog effs A
p ?? q = op (lift ??s , (if_then p else q) , λ())
```



**Ordering of Operations** It is important to note that the above handler induces unexpected semantics when combined with certain other effects. Interpreting `Nondet` syntax yields the results in depth first ordering.

If a part of a nondeterministic computation is captured in a scope the order of operations changes. The program in scope is evaluated, yielding its results in depth first ordering. Afterwards, using `hdl` the continuation is evaluated on each intermediate result and the final results are concatenated. The results are in the expected depth first order, but the operations not. The order of operations is introduced by `>>=`. A scoping operation is evaluated by first evaluating the part of the computation in scope and afterwards the continuations outside the scope. Therefore the unevaluated operations are now in the same order. The potential unexpected semantics of this implementation is that introducing a semantically irrelevant scoping operation (e.g. `local id`) influences the ordering of operations of other globally evaluated effects. This behavior is known, because it also occurs in some Haskell implementations of scoped effects<sup>7</sup>.

Encountering the above behavior is quite uncommon, because the program has to evaluate a scoping operation globally over a nondeterministic program, while simultaneously using global operations whose ordering can be observed. Most effects only provide one of the two. The most common examples are global state to collect results, global writer to log and global partiality to stop all branches, which do not encounter the above behavior. When catching global exceptions over a nondeterministic program the above behavior seems more reasonable. More complex semantics (e.g. leaving and reentering the scoped computation) are conceivable, but not captured by the standard representation of higher order syntax.

### 4.2.3 Modular Higher Order Effects

In the last two sections we presented effects in isolation. Similar to the combined semantics described in Section 3.2.3 we can induce different semantics by reordering the handlers. Consider the following program, which chooses between a `pure` value and an exception.

```
throwNondet : { Nondet ∈ effs } → { Exc T ∈ effs } → Prog effs N
throwNondet = pure 42 ?? throw tt
```

Evaluating `Exc` first runs it locally in each branch of the nondeterministic computation i.e. each branch either returns a result or an exception.

$$\text{run } (\text{runNondet } (\text{runExc } \text{throwNondet})) \equiv \text{inj}_2 42 :: \text{inj}_1 \text{ tt} :: []$$

Evaluating `Exc` last evaluates it globally. Therefore, throwing an exception stops the current, by the `Nondet` handler induced, ordered evaluation of nondeterministic branches and just returns the exception.

$$\text{run } (\text{runExc } (\text{runNondet } \text{throwNondet})) \equiv \text{inj}_1 \text{ tt}$$

## 4.3 Results

In this chapter, we tried to implement scoped effects a higher order syntax representation approach by Wu et al. [31]. We continued Bunkeburg’s [9] investigation of this approach and uncovered a deep seated problem while implementing it in Agda, which arises due to more restrictive requirements for programs compared to Haskell. The problem occurs because we have to work in a consistent hierarchy of universes to preserve Agda’s consistency. When using higher order syntax, computations potentially have to store the type of data they produce and therefore are larger than the data. This prevents scoping operations from capturing other computations, without switching to a larger type of computations. This specifically includes effectful data structures, which are needed for the implementation of deep effects. In case of deep sharing this leads to a dependence between universe levels and the depth of data structures. We discussed two general approaches to avoid increasing universe levels when working with effectful data. However, both of them require a more complex representation for either types or data, probably leading to a more complex implementations, which is harder to work with in real programs.

<sup>7</sup><https://github.com/polysemy-research/polysemy/issues/246>

Because deep effects are an uncommon requirement, we still presented key points of a limited implementation. Although, we removed deep effects as a requirement, we still had to work with different universe levels, while implementing the [Syntax](#) instances. This lead to manual lifting between universes and structures involving [Set \$\omega\$](#) , which should generally be avoided. A level polymorphic implementation, needed for increasing the size of the computation types, uses both constructs more frequently.



## Chapter 5

# Implementing Scoped Effects using Scoped Algebras

Due to the deep-rooted problem with the higher order approach from Chapter 4 it seemed reasonable to search for another formulation of scoped effects, which does not rely on existential types. Piróg et al. [21] present a novel formalization for scoped operations and their algebras, that fulfils this requirement. Their approach does not describe the combination of multiple effects, but due to the different structure the approach seemed worth exploring nonetheless.

This chapter transfers the basic implementation by Piróg et al. [21] to Agda. To implement scoped algebras in an obviously terminating way we derive a different implementation of the `fold` by Piróg et al. [21] based on the work by Fu and Selinger [13]. To test our implementation we implement the nondeterminism example by Piróg et al. [21], exceptions, state and sharing as defined by Bunkenburg [9]. Furthermore, we presents a new implementation for naive modularisation of handlers.

### 5.1 The Monad $E$

Piróg et al. [21] describe a monad, which is suited for modelling operations with scopes. The monad is the result of rewriting a slightly modified version of the monad from “Effect Handlers in Scope” i.e. the monad used in Chapter 4.

In the following we describe the original and the resulting monad in Agda. Piróg et al. [21] separate the signature into one describing effects with scopes  $\Gamma$  and one describing the algebraic effects  $\Sigma$ . Limiting our self to just strictly positive functors we can define the following data type in Agda.

```
data ProgE (Σ Γ : Container) (A : Set) : Set₁ where
  var : A                                     → ProgE Σ Γ A
  op  : [Σ] (ProgE Σ Γ A)                    → ProgE Σ Γ A
  scp : {X : Set} → [Γ] (ProgE Σ Γ X) → (X → ProgE Σ Γ A) → ProgE Σ Γ A
```

This data type looks appropriate considering our earlier definition in Chapter 4. An element of the monad is one of the following three. A value of type  $A$ , construed using `var`. An operation without scopes, that is the functor  $\Sigma$  applied to the monad itself. Notice that this case corresponds to the `impure` constructor in the free monad. Or Lastly, an operations with local scope, represented by the second signature  $\Gamma$ . An operation with a local scope always quantifies over some type  $X$ , which is the type for the intermediate result. Furthermore, they provided a continuation, which transforms values of the internal result type to the result type of the whole program. The operations with scopes from Chapter 4 followed exactly this pattern. The shape of the by bi-container stored the intermediate result type and the `Ctx` was used to provide computations returning the result type as well as the continuation of the operation.

Notice again that this definition requires  $X$  to be a smaller type than `ProgE`, i.e. it is not sufficient to model deep effects as explained in Chapter 4. Piróg et al. [21] also note size issues with this definition. Piróg et al. [21] rewrite this definition using a left Kan extension and derive the following equivalent monad without the existential type.

```

data ProgE' (Σ Γ : Container) (A : Set) : Set where
  var : A → ProgE' Σ Γ A
  op  : [ Σ ] (ProgE' Σ Γ A) → ProgE' Σ Γ A
  scp : [ Γ ] (ProgE' Σ Γ (ProgE' Σ Γ A)) → ProgE' Σ Γ A

```

An equivalent monad without the existential type is a promising candidate for modelling deep effects in Agda, because it avoids the size issues. Compared to the higher order approach, by using this monad we lose explicit control over the parts of the program, which is important for potential optimizations like memorization.

The monad models scopes using the double `ProgE'` layer. The outer layer corresponds to the part of program in scope. By evaluating it (i.e. the part of the program in scope) one obtains a computation, the rest of the program producing a result of type  $A$ . This resulting program corresponds to the continuation in the higher order approach, which was a function mapping from the result of the scoped program to the rest of the whole program. In their paper, Piróg et al. [21] develop a theory of *scoped algebras*. In Section 5.2 we define a more practical version of the monad and translate part their practical results from Haskell to Agda.

## 5.2 The Prog Monad

In this section we define the central monad for this approach. Because effects are split into signatures with and without scopes and most computational effect have both, we define effects as pairs of signatures and therefore `Containers`.

```

record Effect : Set1 where
  field
    Ops Scps : Container
  open Effect public

```

The functions `ops` and `scps` combine the corresponding signatures of a `List` of `Effects`. `mapL` corresponds to the Haskell function `map` for lists.

```

ops scps : List Effect → Container
ops = sum ∘ mapL Ops
scps = sum ∘ mapL Scps

```

Using these helper functions we define a modular version of the monad by Piróg et al. [21]. It is equivalent to the fixpoint and the Haskell definition from the paper (assuming that signatures are given by functors which can be represented as container).

```

data Prog (effs : List Effect) (A : Set) : Set where
  var : A → Prog effs A
  op  : [ ops effs ] (Prog effs A) → Prog effs A
  scp : [ scps effs ] (Prog effs (Prog effs A)) → Prog effs A

```

Piróg et al. [21] define a new kind of algebra for operations with scopes, i.e. a recursion scheme for the above monad. To implement their recursion scheme we have to define  $\langle \$ \rangle$  for `Prog effs A`. Notice that in the `scp` constructor the type variable  $A$  is instantiated with the type `Prog effs A` itself. Such a data type is called a truly nested or non-regular data type [7].

Defining recursive functions for these data types is more complicated. The “direct” implementations of  $\langle \$ \rangle$  and  $\gg$  for `Prog effs A` do not obviously terminate. Augmenting `Prog effs A` with size annotations leads to problems while proving the monad laws<sup>1</sup>. Instead we define a generic `fold`, which we reuse for all functions traversing values of type `Prog effs A`.

### 5.2.1 Folds for Nested Data Types

Defining recursion schemes for complex recursive data types is a common problem. Fu and Selinger [13] demonstrate a general construction for `fold`s for nested data types in Agda. Following their construction and adapting it to arbitrary branching trees leads to a sufficiently strong `fold` to define all important functions for `Prog effs A`.

<sup>1</sup>As in Chapter 4 the monad laws only hold for size  $\infty$ , but working with size  $\infty$  in proofs leads to termination problems. Repeated occurrences of the `scp` constructor can produce an arbitrary number of `Prog effs` layers. This forces us to use our induction hypothesis on not obviously smaller terms.

**Index Type** The first part of the construction by Fu and Selinger [13] is to define the correct index type for the data structure. The index type describes the recursive structure of the data type i.e. how the type variables at each level are instantiated. For complex mutual recursive data types the index type takes the form of a tree with potentially different branch and leaf constructors. For  $\text{Prog } \text{effs}$  the one type variable is either instantiated with the value type  $A$  (**pure**) or some number of  $\text{Prog } \text{effs}$  layers applied to the current type variable (**op**, **scp**). Our index type therefore just counts the number of  $\text{Prog } \text{effs}$  layers. Natural numbers are sufficient.

Afterwards, Fu and Selinger [13] define a type level function, that translates a value of the index type to the type it describes. For  $\text{Prog } \text{effs } A$  this function just applies  $\text{Prog } \text{effs } n$  times to  $A$ . The operator  $\hat{\_}$  applies a function  $n$ -times to a given argument  $x$  i.e. it represents  $n$ -fold function application, usually denoted  $f^n(x)$ .

$$\begin{aligned} \hat{\_} : \forall \{ \ell \} \{ C : \text{Set } \ell \} &\rightarrow (C \rightarrow C) \rightarrow \mathbb{N} \rightarrow C \rightarrow C \\ (f \hat{\_} 0) \quad x &= x \\ (f \hat{\_} \text{succ } n) \quad x &= f((f \hat{\_} n) x) \end{aligned}$$

**Recursion Scheme** Next we define **fold** for  $\text{Prog } \text{effs } A$ . The fold produces value of an arbitrary  $\mathbb{N}$  indexed type. The type family  $P$  determines the result type at each index. The **fold** produces a value of type  $P n$  for a given value of type  $(\text{Prog } \text{effs } \hat{\_} n) A$ . Furthermore, the **fold** takes functions for processing substructures. As usual, the arguments of these function correspond to those of the constructors they processes with recursive occurrences of the type itself already processed. In contrast to a normal recursion scheme, these recursive occurrences respect the index. For example, the function processing values constructed using **scp** takes an argument of type  $P(2 + n)$ , because the constructor takes a value of type  $\text{Prog } \text{effs } (\text{Prog } \text{effs } A)$ . The cases are obtained by pattern matching on the index type and the value of type  $(\text{Prog } \text{effs } \hat{\_} n) A$  i.e. the value of the type depending on the index.

$$\begin{aligned} \text{fold} : (P : \mathbb{N} \rightarrow \text{Set}) &\rightarrow \forall n \rightarrow \\ & (A \rightarrow P 0) \rightarrow \\ & (\forall \{ n \} \rightarrow P n \rightarrow P (\text{succ } n)) \rightarrow \\ & (\forall \{ n \} \rightarrow \llbracket \text{ops } \text{effs} \rrbracket (P (\text{succ } n)) \rightarrow P (\text{succ } n)) \rightarrow \\ & (\forall \{ n \} \rightarrow \llbracket \text{scps } \text{effs} \rrbracket (P (\text{succ } (\text{succ } n))) \rightarrow P (\text{succ } n)) \rightarrow \\ & (\text{Prog } \text{effs } \hat{\_} n) A \rightarrow P n \\ \text{fold } P 0 \quad a \text{ v o s } x &= a x \\ \text{fold } P (\text{succ } n) \quad a \text{ v o s } (\text{var } x) &= v ( \quad \text{fold } P n \quad a \text{ v o s } x ) \\ \text{fold } P (\text{succ } n) \quad a \text{ v o s } (\text{op } x) &= o (\text{map } ( \quad \text{fold } P (\text{succ } n) \quad a \text{ v o s } x ) \\ \text{fold } P (\text{succ } n) \quad a \text{ v o s } (\text{scp } x) &= s (\text{map } ( \quad \text{fold } P (\text{succ } (\text{succ } n)) \quad a \text{ v o s } x ) \end{aligned}$$

Notices that for the **op** and **scp** constructors the recursive occurrences and potential additional values are determined by the **Container**. Therefore, the functions processes arbitrary **Container** extensions, which contain solutions for the corresponding  $P n$ . When implementing those two cases we cannot apply **fold** directly to recursive occurrences, because those depend on the choice of **Container**. Because container extensions are functor we **map** over the given value.

The **fold**, based on the approach by Fu and Selinger [13], is similar to the one by Piróg et al. [21]. They derive their **fold** by constructing algebras for a second monad. In “Syntax and Semantics for Operations with Scopes” they show that the two monads are equivalent and transfer the **fold** from the second monad to the one used in their Haskell implementation. Following Fu and Selinger [13] we derived essentially the same **fold** and implemented it directly, without using  $\gg$ .

**Example** Using **fold** we can implement  $\gg$  for  $\text{Prog } \text{effs } A$ . The continuations  $k$  passed to  $\gg$  should just effect the inner most layer. Intuitively, when using **bind** on a value constructed with **scp** we traverse the outer layer and call **bind** on the inner one recursively. To implement  $\gg$  we fold over the given program. We could fix the arbitrary  $n$  to be 1, but defining a version generic in  $n$  is useful for later proofs. The  $\mathbb{N}$  indexed type **bind-P** defines the type for the intermediate result for each layer.

$$\begin{aligned} \text{bind-P} : \forall A B \text{ effs} &\rightarrow \mathbb{N} \rightarrow \text{Set} \\ \text{bind-P } A B \text{ effs } 0 &= A \\ \text{bind-P } A B \text{ effs } (\text{succ } n) &= \text{Prog } \text{effs } \hat{\_} (\text{succ } n) \$ B \end{aligned}$$

$\gg$  corresponds to variable substitution i.e. it replaces the **var** leafs with subtrees generated from their stored values. Calling  $k$  on a program with zero layers (a value of type  $A$ ) would produce a program with one layer. Therefore,  $\gg$  can only be called on programs with at least one layer. The lowest layer is extended with the result of  $k$ . For all numbers greater than zero we produce a program with the same structure but a different value type. For layer zero (i.e. values) we could either produce a value of type  $\text{Prog } \text{effs } B$  or leave the value of type  $A$  unchanged. In both cases we have to handle the lowest **var** constructors differently.

```

bind :  $\forall n \rightarrow (\text{Prog } \text{effs } \wedge \text{ suc } n) A \rightarrow (A \rightarrow \text{Prog } \text{effs } B) \rightarrow$ 
       $(\text{Prog } \text{effs } \wedge \text{ suc } n) B$ 
bind {effs} {A} {B} n ma k = fold (bind-P A B effs) (suc n) id ( $\lambda$  where
  {0}       $x \rightarrow k x$ 
  {suc n}  $x \rightarrow \text{var } x$ 
  ) op scp ma

```

We left the values unchanged, therefore the **var** constructors at layer zero have to produce value of type  $\text{Prog } \text{effs } B$  by calling  $k$ . In all other cases we replace each constructor with itself to leave these parts unchanged.

Using  $\gg$  for a program with one layer and **var** as **return** we can define a monad instance for  $\text{Prog } \text{effs}$ . In contrast to Haskell this automatically defines a functor and an applicative instances, because these can be defined in terms of  $\gg$  and **return**<sup>2</sup>.

```

instance
  Prog-RawMonad : RawMonad (Prog effs)
  Prog-RawMonad = record { return = var ;  $\_ \gg \_ = \text{bind } 0$  }

```

In contrast to Chapter 3 this is not a problem, because we do not have the meta problem of preserving sizes. The record is part of the Agda standard library. It is named **RawMonad**, because it does not enforce the monad laws. We prove the laws in Section 5.2.3 using a technique from Section 5.2.2.

### 5.2.2 Induction Schemes for Nested Data Types

Following the examples by Fu and Selinger [13] we generalize the **fold** from Section 5.2.1 to a dependently type version, an induction principle. In the induction principle the proposition  $P$  is generalized to a dependent type i.e. a relation on values of type  $\text{Prog } \text{effs } A$ . Therefore the induction principle allows for proofs of these predicates by induction without the use of explicit recursion.

The types for the four functions, corresponding to the three constructors and the base case, also have to be generalized.

```

ind :  $(P : (n : \mathbb{N}) \rightarrow (\text{Prog } \text{effs } \wedge n) A \rightarrow \text{Set}) \rightarrow \forall n \rightarrow$ 

```

In the base case the given value of type  $A$  is the handled value. We bind it to  $x$  and pass it to the proposition.

```

( (x : A)  $\rightarrow P \ 0 \ x$  )  $\rightarrow$ 

```

The **var** can be handled similar to the examples by Fu and Selinger [13]. We assume values for all constructor arguments, as well as proofs for the smaller cases. For **var** an additional, hidden argument  $x$  is introduced.  $x$  represents a recursive occurrence, therefore it is part of the type of the proof for the smaller case  $P n x$ .  $x$  is used to describe the currently handled value **var**  $x$ . **var**  $x$  therefore is part of the functions result type. Under the Curry Howard corresponds this function (ignoring the index type) can be read as the proposition  $\forall x. P(x) \rightarrow P(\text{var } x)$  i.e. the induction step for the constructor **var**.

```

( $\forall \{n x\} \rightarrow P n x \rightarrow P (\text{suc } n) (\text{var } x)$ )  $\rightarrow$ 

```

Similar to **fold** dealing with **op** and **scp** is more complicated, because they represent arbitrarily branching nodes. Remember that a container's position function maps from a type of positions,

<sup>2</sup>We automatically obtain the functions  $\ll$ ,  $\ll\gg$ , **pure** and  $\gg$ .

which depends on the values shape, to the contained values. Hence, assuming the containers values corresponds to assuming a position function. Analogues to the `fold` the result for the recursively handled value is a function from positions (for the assumed shape) to proofs for the proposition for the there contained values. The value for each position is obtained using the assumed position function  $\kappa$ . The currently handled value is constructed using  $s$  and  $\kappa$ .

$$\begin{aligned} & (\forall \{n\} s \{\kappa\} \rightarrow ((p : \text{Pos} (\text{ops } \text{effs}) s) \rightarrow P (1 + n) (\kappa p)) \rightarrow P (\text{suc } n) (\text{op } (s, \kappa)) ) \rightarrow \\ & (\forall \{n\} s \{\kappa\} \rightarrow ((p : \text{Pos} (\text{scps } \text{effs}) s) \rightarrow P (2 + n) (\kappa p)) \rightarrow P (\text{suc } n) (\text{scp } (s, \kappa)) ) \rightarrow \\ & (x : (\text{Prog } \text{effs} \wedge n) A) \rightarrow P n x \end{aligned}$$

The actual implementation of the induction principle is straight forward and similar to `fold`. The composition with the position function corresponds to the call to `map`.

$$\begin{aligned} \text{ind } P \text{ 0 } a \text{ v o s } x &= a x \\ \text{ind } P (\text{suc } n) a \text{ v o s } (\text{var } x) &= v \text{ (ind } P n a \text{ v o s } x) \\ \text{ind } P (\text{suc } n) a \text{ v o s } (\text{op } (c, \kappa)) &= o c \text{ (ind } P (\text{suc } n) a \text{ v o s } \circ \kappa) \\ \text{ind } P (\text{suc } n) a \text{ v o s } (\text{scp } (c, \kappa)) &= s c \text{ (ind } P (\text{suc } (\text{suc } n)) a \text{ v o s } \circ \kappa) \end{aligned}$$

### 5.2.3 Proving the Monad Laws

To demonstrate the use of the induction principle from Section 5.2.2 and to verify that `Prog effs A` is a monad we prove the monad laws.

**Left Identity** First we prove the left identity law. Because the value passed  $\gg$  is constructed using `return` i.e. `var`, both sides of the equality evaluate to  $k a$ .

$$\begin{aligned} \text{bind-ident}^l : \forall \{A : \text{Set}\} \{a\} \{k : A \rightarrow \text{Prog } \text{effs } B\} \rightarrow \\ (\text{return } a \gg k) &\equiv k a \\ \text{bind-ident}^l &= \text{refl} \end{aligned}$$

**Right Identity** Next we prove the right identity law. The value passed to  $\gg$  can be an arbitrarily complex program. Therefore, the proposition is not “obvious” as it was the case with `bind-ident`<sup>l</sup>.

$$\text{bind-ident}^r : \{A : \text{Set}\} (ma : \text{Prog } \text{effs } A) \rightarrow (ma \gg \text{return}) \equiv ma$$

$\gg$  is recursive in its first argument, therefore we prove the proposition by induction on  $ma$ . To use the induction principle we have to define a proposition for every layer. Since  $\gg$  does not change values we simply produce a value of type  $\top$  at layer zero. For all other we prove the proposition for the appropriate `bind` i.e. the one called by `fold` to handle a value for the given  $n$ .

$$\text{bind-ident}^r \{ \text{effs} \} \{ A \} = \text{ind } (\lambda \{ 0 \_ \rightarrow \top ; (\text{suc } n) p \rightarrow \text{bind } n p \text{ var} \equiv p \})$$

We call the induction principle with the given value with one layer, therefore the initial  $n$  is `1`. The “proof” for values can be inferred, because for each value it’s just a value of the unit type.

`1 _`

To prove that the proposition holds for values constructed using `var` we case split on the number of layers  $n$ . For `0` we prove that `var x` is equal to itself, because  $\gg$  leaves values unchanged. This proof forms the basis for our induction.

For the second case we are given a program  $x$  with `suc n` layers and an induction hypothesis  $IH$  that the proposition holds for a call to `bind n`. We have to prove that the proposition holds for `bind (suc n)` and the new program `var x`. By applying the  $\gg$  rule for `var` (for  $n$  greater than zero) we move `var` to the outside. The new proposition is `var (bind n)  $\equiv$  var x`. This proposition is equal to the induction hypothesis with `var` applied on both sides. Therefore we prove it using congruence.

$$(\lambda \{ \{ 0 \} (\text{tt}) \rightarrow \text{refl} ; \{ \text{suc } n \} IH \rightarrow \text{cong } \text{var } IH \})$$

The proofs for the **op** and **scp** are identical and similar to the **var** case. For each shape  $s$  we are given a proof for each position of the shape. We have to prove that the proposition holds for a new program constructed using either **op** or **scp**. For both constructors **bind**  $n$  calls itself recursively on the all contained values i.e. the results of the position function. Using congruence we can simplify the equality to the equality of the position functions. By invoking the axiom of **extensionality** we prove the equality point wise i.e. for each position. This equality is exactly the one given by the induction hypothesis.

$$\begin{aligned} & (\lambda s \text{ IH} \rightarrow \text{cong} (\text{op} \circ (s, \_)) (\text{extensionality IH})) \\ & (\lambda s \text{ IH} \rightarrow \text{cong} (\text{scp} \circ (s, \_)) (\text{extensionality IH})) \end{aligned}$$

**Associativity** The proof for associativity follows the same pattern as the one for the right identity.  $\gg$  is defined by recursion on its first argument. Therefore, we proof the proposition by induction on  $ma$ . In all cases the left-hand side reduces to the induction hypothesis in the same manner as before. Therefore, these cases look identical.

$$\begin{aligned} & \text{bind-assoc} : \forall \{A B C\} \\ & (f : A \rightarrow \text{Prog } \text{effs } B) (g : B \rightarrow \text{Prog } \text{effs } C) (ma : \text{Prog } \text{effs } A) \rightarrow \\ & (ma \gg f \gg g) \equiv (ma \gg \lambda a \rightarrow f a \gg g) \\ & \text{bind-assoc } f g = \text{ind} \\ & (\lambda \text{ where} \\ & \quad 0 \text{ } p \quad \rightarrow \top \\ & \quad (\text{suc } n) \text{ } p \rightarrow \text{bind } n (\text{bind } n p f) g \equiv \text{bind } n p \lambda a \rightarrow \text{bind } 0 (f a) g \\ & ) 1 \_ \\ & (\lambda \{ \{0\} \_ \rightarrow \text{refl} ; \{ \text{suc } n \} \text{ IH} \rightarrow \text{cong var IH} \}) \\ & (\lambda s \text{ IH} \rightarrow \text{cong} (\text{op} \circ (s, \_)) (\text{extensionality IH})) \\ & (\lambda s \text{ IH} \rightarrow \text{cong} (\text{scp} \circ (s, \_)) (\text{extensionality IH})) \end{aligned}$$

**Functor and Applicative Laws** The monad laws imply the functor and applicative laws. We can proof them without using explicit induction by rewriting equations involving  $\gg$  using the above laws. These proofs are simpler than the ones explicitly involving the definition of  $\gg$  using **fold**. We can write them using the chain reasoning operators as described by Norell [20].

We just prove a single law to demonstrate the general structure. By defining the monad instance the applicative and functor operators are defined in terms of  $\gg$ . Therefore, we replace  $\langle \$ \rangle$  with its definition. By simplifying the term we can apply the right identity law for monads, which yields the correct result.

$$\begin{aligned} & \text{fmap-id} : \forall \{ \text{effs} \} \{ A B : \text{Set} \} \rightarrow (ma : \text{Prog } \text{effs } A) \rightarrow (\text{id} \langle \$ \rangle ma) \equiv ma \\ & \text{fmap-id } ma = \text{begin} \\ & \quad (\text{id} \langle \$ \rangle ma) \quad \equiv \langle \rangle \text{ -- definition of } \langle \$ \rangle \\ & \quad (ma \gg \lambda a \rightarrow \text{var } (\text{id } a)) \equiv \langle \rangle \text{ -- definition of id and } \eta\text{-conversion} \\ & \quad (ma \gg \text{var}) \quad \equiv \langle \text{bind-ident}^r \text{ } ma \rangle \\ & \quad ma \quad \blacksquare \end{aligned}$$

Proofs for the other laws can be found in the repository. They are used to prove properties of effect handlers.

## 5.3 Combining Effects

Similar to Chapter 4 we reuse parts of the infrastructure from Chapter 3. Each **Effect** consists of a pair of **Containers**, one representing scoped and one representing algebraic effects. Therefore, an **Effect** stack now stores pairs of containers, not containers directly. The type  $\_ \in \_$  together with **inj** and **prj** can be reused to model effect constraints.

Due to the component wise combination of **Effects**, a proof that an **Effect** is an element of an effect stack implies that an operations from one of the two signatures is part of the corresponding signature of the combined effect.

```

opsInj : e ∈ effs → Ops e ∈ mapL Ops effs
opsInj (here refl) = here refl
opsInj (there p) = there (opsInj p)

scpsInj : e ∈ effs → Scps e ∈ mapL Scps effs
scpsInj (here refl) = here refl
scpsInj (there p) = there (scpsInj p)

```

Using the above proofs we can implement smart constructors for scoped and algebraic operations without requiring additional evidence.

```

Op : { e ∈ effs } → [ Ops e ] (Prog effs A) → Prog effs A
Op [ p ] = op ∘ inj (opsInj p)

Scp : { e ∈ effs } → [ Scps e ] (Prog effs (Prog effs A)) → Prog effs A
Scp [ p ] = scp ∘ inj (scpsInj p)

```

To escape the monad after interpreting all effects we again add the handler for the **Void** effect.

```

run : Prog [ ] A → A
run (var x) = x

```

## 5.4 Nondeterministic Choice

As first example we implement the nondeterminism effect. In Section 5.4.1 we implement the example by Piróg et al. [21] to demonstrate that the **fold** definition from Section 5.2.1 is sufficient. Section 5.4.2 presents an idea for modular effects and handlers.

### 5.4.1 Implementation as Scoped Algebra

The signature for the two algebraic operations is the same as before. Furthermore we define a signature for the scoped operation **once**.

```

data Choices : Set where ???s : (Maybe CID) → Choices ; fails : Choices
data Onces : Set where onces : Onces

```

**Nondet<sup>P</sup>** corresponds to the data type from the example by Piróg et al. [21, sec. 6]. The effect has the unary, scoped operation **once** and the nullary and binary, algebraic operations **??** and **fail**.

```

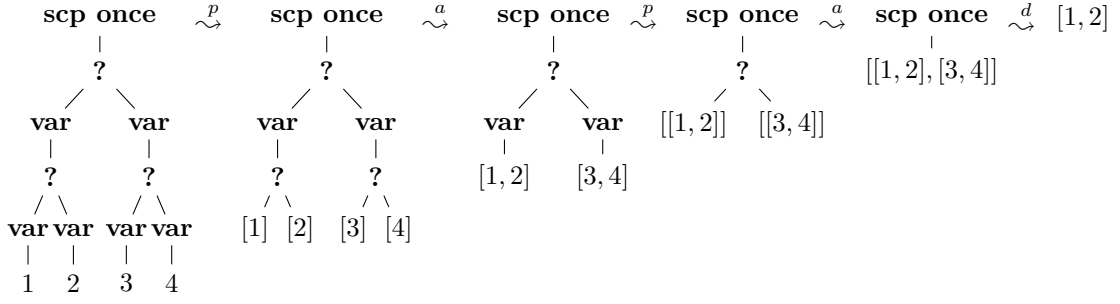
NondetP : Effect
Ops NondetP = Choices ▷ λ{ (??? _) → Bool ; fails → ⊥ }
Scps NondetP = Onces ∼→ ⊤

```

A scoped algebra for an  $\mathbb{N}$  indexed carrier type  $C$  consists of three operations. **a** the *algebra* for the algebraic operations. **p** for *promoting* the carrier type when entering a scope. **d** for *demoting* the carrier type when leaving a scope and interpreting the scoped operation. Figure 5.4.1 demonstrates how the handler interprets **Nondet** syntax using the scoped algebra. The carrier type are  $n$ -fold lists. The example is taken from Piróg et al. [21], but notated using **Prog effs A**. **var** nodes are handled using **p**. The value is promoted by lifting it into a singleton list. The algebraic operations **fail** and **?** are handled using **a**. Notice that in the definition of **fold** they are guaranteed an index  $n \geq 1$  i.e. at least one list layer. They implement identical to earlier versions of **Nondet**. **?** concatenates the left and right list. In the third step the lists are promoted again, because they enter the scope created by **once**. This is key, because for algebraic operations in the scope the multiple results from outside the scope appear as a single value. **once** is evaluated using **d**, removing the scope. **once** keeps just the first result inside the scope i.e. the list containing the results of the continuation applied to the result of **once** (**var** 1 ? **var** 3)  $\equiv$  [1].

The indices for **d** and **a** are offset by one compared to the definition by Piróg et al. We do not define our carrier data type in two stages as Piróg et al. but as an  $n$ -fold version of a simpler type. This change allows a simpler implementation using the **fold** from Section 5.2.1, but should be insignificantly enough to present the similarities between the two recursion schemes.



Figure 5.1: Interpretation of **once** (**var** 1 ? **var** 3)  $\gg \lambda x. \text{var } x ? \text{var } (x + 1)$ 

```

record ScopedAlgebra (E : Effect) (C : ℕ → Set) : Set where
  constructor <_,_,_>
  field
    p : ∀ {n} → C n → C (1 + n)
    d : ∀ {n} → [ Scps E ] (C (2 + n)) → C (1 + n)
    a : ∀ {n} → [ Ops E ] (C (1 + n)) → C (1 + n)
  open ScopedAlgebra

```

Given a **ScopedAlgebra** for an **Effect** we interpret its syntax. **fold<sup>P</sup>** corresponds to a slightly modified version of the fold by Piróg et al. [21]. Their function works for an arbitrary  $n$ , because it is defined recursively. In this implementation the recursion is abstracted in **fold**, therefore this is not needed. Furthermore, they have to inject values explicitly into the carrier type. This happens implicitly due to the handling of the 0-th layer. Notice that the functions from the **ScopedAlgebra** correspond exactly to the ones expected by the **fold** from Section 5.2.1. The values themselves are not preprocessed and just get promoted, hence **id** is passed as the first of the four arguments.

```

foldP : ∀ {C : Set → ℕ → Set} → ScopedAlgebra e (C A) →
  Prog (e :: []) (C A 0) → C A 1
foldP {C = C} <p, d, a> = fold (C _) 1 id p
  (λ{ (inj1 s, κ) → a (s, κ) }) λ{ (inj1 s, κ) → d (s, κ) }

```

Just porting the algebra for **Nondet** by Piróg et al. [21] yields a correct handler for the effect in isolation. The carrier type are iterated **Lists**. The implementation of the scoped algebra is straight forward. The algebraic operations are handled as before and the promotion operation corresponds to the earlier handling of values. The demotion operation i.e. the handler for **once** has to produce an  $n$ -fold list, given an  $n + 1$ -fold list. Before applying the handler, the programs in the **var** nodes are the results for all possible continuations for the program in scope. The elements of the given list are the results of these programs. By acting just on the given list of lists the handler can separate between the results of the different branches in the scoped program. **once** is implemented by taking the head of the list if possible i.e. the results of the continuation applied to the first result of the program in scope.

```

NondetAlg : ScopedAlgebra NondetP (λ i → List ^ i $ A)
p NondetAlg = _:: []
a NondetAlg (??s _, κ) = κ true ++ κ false
a NondetAlg (fails, κ) = []
d NondetAlg (onces, κ) = case κ tt of λ where
  [] → []
  (x :: _) → x

runNondetP : Prog (NondetP :: []) A → List A
runNondetP = foldP {C = λ A i → List ^ i $ A} NondetAlg

```

The carrier type can be thought of as the context for the computation. By having contexts of contexts it is possible to differentiate between the state of the computation in scope and the whole computation.



Lastly we define a smart constructor for the **once** operation. To capture the program  $p$  in scope, **pure** is mapped over it. The original program is now the outer **Prog**  $effs$  layer i.e. the first and second layers of the first term in Figure 5.4.1. The original **var**  $x$  nodes are now **var**(**var**  $x$ ) nodes. Since  $\gg$  just affects the lowest layer it won't change the captured program and just act on its results.

$$\begin{aligned} \text{once}^P &: \llbracket \text{Nondet}^P \in effs \rrbracket \rightarrow \text{Prog } effs A \rightarrow \text{Prog } effs A \\ \text{once}^P p &= \text{Scp} (\text{once}^S, \lambda \_ \rightarrow \text{pure} \langle \$ \rangle p) \end{aligned}$$

### 5.4.2 Implementation as Modular Handler

Piróg et al. [21] just present handlers for single effects and make some remarks regarding modularity in a theoretical context for their equivalent monad. We work in a more practical context, i.e. we are just concerned with a small number of possible effects and can therefore impose more restrictions on them. This section presents a naive idea for adapting the handlers from the paper to modular ones by following patterns from earlier chapters. As before, we will be working with the **Prog** monad, i.e. the one used by Piróg et al. [21] to implement effects, not the one used to define scoped algebras.

As in the earlier chapters, when working with modular effects, the general approach is to execute the handlers for each effect one after another [26]. Each handler interprets the syntax for its effect and leaves the rest in place (or in case of non-orthogonal effects manipulates syntax of certain other effects). The carrier type for these handlers consists of the usual carrier type for these handlers, which is post-composed with the type of the program without the interpreted syntax. For example, a handler for exceptions would produce values of type  $E \uplus A$ , therefore the modular handler produces value of type **Prog**  $effs (E \uplus A)$ .

In the context of scoped algebras, the  $\mathbb{N}$  indexed carrier type is usually the  $n$ -fold of some simpler type  $C$ . It seems reasonable to choose an  $n$ -fold of **Prog**  $effs \circ C$  as carrier type, because the structure of  $n$  layers of  $C$ s has to be preserved to reuse the non-modular handler. Simply lifting the  $n$ -fold carrier type in the monad is not sufficient. The interleaved monad layers are needed to preserve non-interpreted syntax.

Consider the following implementation of a modular handler for nondeterminism. This version of the nondeterminism effect does not support the **once** operation, because the semantics of the above definition is not the expected one when interacting with other effects. Similar to earlier chapters we introduce **patterns** to simplify the handler.

$$\begin{aligned} \text{Nondet} &: \text{Effect} \\ \text{Ops Nondet} &= \text{Choice}^S \triangleright \lambda \{ (??^S \_) \rightarrow \text{Bool} ; \text{fail}^S \rightarrow \perp \} \\ \text{Scps Nondet} &= \text{Void} \\ \text{pattern Other } s \kappa &= (\text{inj}_2 \ s, \kappa) \\ \text{pattern Choice } cid \kappa &= (\text{inj}_1 \ (??^S \ cid), \kappa) \\ \text{pattern Fail} &= (\text{inj}_1 \ \text{fail}^S, \_) \end{aligned}$$

The new handler has the expected signature and uses the carrier type described above.

$$\begin{aligned} \text{runNondet}' &: \text{Prog} (\text{Nondet} :: effs) A \rightarrow \text{Prog } effs (\text{Tree } A) \\ \text{runNondet}' \{ effs \} \{ A \} &= \text{fold} (\lambda i \rightarrow (\text{Prog } effs \circ \text{Tree}) \wedge i \$ A) \ 1 \ \text{id} \end{aligned}$$

First we have to handle the **var** case. Values are now not only injected into the context, but also into the monad.

$$(\text{pure} \circ \text{leaf})$$

The algebraic operations are interpreted as before, except that all results are lifted into the monad. When an operation from a foreign effect is encountered the syntax is just reconstructed. The outer container coproduct is removed by interpreting the **Nondet** syntax, therefore  $s$  already has the correct type (note that **Other** hides the  $\text{inj}_2$ ).  $\kappa$  produces the result for the positions of the given shape, because the recursion is handled by **fold**. Therefore the implementation is the same as in Chapter 3 except that the recursion is hidden.



The first part of the handler is the same as in the higher order setting. To interpret the scoped operation `catch` we first execute scoped program in the `mainP` position. It produces either an exception or the result for the rest of the program. In the later case we just return the result. Notice that the recursive call was taken care of by the `fold`. In the other case we obtain an exception  $e$  with which we can obtain the result of the continuation in the `handleP` position i.e. handle the exception. The result of the exception handler is again wrapped in `_⊔_`. We pass the result along by either unwrapping the program or re-injecting the exception in the program using `pure`. The same function is used to traverse foreign scopes. Again the function corresponds to the handler from Chapter 4, but without the recursive call.

```

runExc : Prog (Exc E :: effs) A → Prog effs (E ⊔ A)
runExc {E} {effs} {A} = fold (λ i → (Prog effs ∘ (E ⊔ _)) ^ i $ A) 1 id
  (pure ∘ inj2)
  ( λ where
    (Throw e) → pure (inj1 e)
    (Other s κ) → op (s , κ)
  ) λ where
    (Catch κ) → κ mainP >>= λ where
      (inj1 e) → κ (handleP e) >>= [ pure ∘ inj1 , id ]
      (inj2 x) → x
    (Other s κ) → scp (s , λ p → [ pure ∘ inj1 , id ] <> κ p)

```

The smart constructors for the operations follow the known pattern.

```

throw : { Exc E ∈ effs } → E → Prog effs A
throw e = Op (throws e , λ())

_catch_ : { Exc E ∈ effs } → Prog effs A → (E → Prog effs A) → Prog effs A
p catch h = Scp $ catchs , λ where
  mainP → pure <> p
  (handleP e) → pure <> h e

```

**Examples** Using the smart constructors, we can define programs using exceptions as well as nondeterminism. Because `Nondet` has no scoping operation, only one of the two cases for traversing foreign scopes is used, the one for `Nondet` in the example with global exceptions. More examples for interacting of different effects with scoping operations can be found in the repository.

```

interaction : { Nondet ∈ effs } → { Exc T ∈ effs } → Prog effs ℕ
interaction = (throw tt ?? pure 2) catch λ tt → pure 1

```

Running the handler for exceptions first results in local exceptions, i.e. each nondeterministic computation branch returns either an exception or a value and the `catch` interacts with each branch in isolation. Therefore, the `catch` provides the alternative result `1` on the first branch and does nothing on the second branch.

$$\text{run } (\text{runNondet } (\text{runExc interaction})) \equiv \text{inj}_2 \ 1 :: \text{inj}_2 \ 2 :: []$$

Because the program in scope of the `catch` encounters an exception, all results are discarded and replaced with the result of the handler. The handler for `Nondet` is run before the handler for exceptions and therefore has to traverse the scope of `catch`.

$$\text{run } (\text{runExc } (\text{runNondet interaction})) \equiv \text{inj}_2 \ (1 :: [])$$

## 5.6 State

To implement the sharing effect as described by Bunkenburg we also have to implement the `State` effect. The syntax is the same as before.

```
data States (S : Set) : Set where puts : (s : S) → States S ; gets : States S

State : Set → Effect
Ops (State S) = States S ▷ λ{ (puts s) → ⊤ ; gets → S }
Scps (State S) = Void

pattern Get κ = (inj1 gets , κ)
pattern Put s1 κ = (inj1 (puts s1) , κ)
```

In Chapter 3 the state handler was defined recursively and the current state was passed as an additional parameter to the handler. When implementing the handler as a fold this is not an option. Instead we choose the usual carrier for state (transformer) as carrier for our handler i.e. function from the current state to a (lifted) pair, consisting of the final state and the result. Handler with a function as carrier type are called *parameter passing handler* [24]. When implementing the handler as a fold, the function argument appears as an additional parameter along side the currently handled operation and as additional parameter to the continuation. Parameter passing handlers are a common pattern when implementing handler, because they allow threading a state through the handler.

When traversing a foreign scope we have to eliminate the intermediate context.  $\kappa$  produces a value of type `Prog effs (S × (S → Prog effs ...))`. The lifted pair consists of the final state of the program in scope and the function mapping an initial state to the result of the corresponding result of the continuation. To remove the inner context we simply pass the state along, by applying the function to the given state using `eval`.

```
runState : Prog (State S :: effs) A → S → Prog effs (S × A)
runState {S} {effs} {A} = fold (λ i → (λ X → S → Prog effs (S × X)) ^ i $ A) 1 id
  (λ x s0 → pure (s0 , x))
  (λ where
    (Put s1 κ) _ → κ tt s1
    (Get κ) s0 → κ s0 s0
    (Other s κ) s0 → op (s , λ p → κ p s0)
  ) λ where
    (Other s κ) s0 → scp (s , λ p → eval <$> κ p s0)
  where
    eval : ∀ {A B} → A × (A → B) → B
    eval (a , f) = f a

evalState : Prog (State S :: effs) A → S → Prog effs A
evalState s0 p = π2 <$> runState s0 p
```

The operations are just the usual generic operations for the effect.

```
get : { S : Set } → State S ∈ effs → Prog effs S
get = Op (gets , pure)

put : { S : Set } → State S ∈ effs → S → Prog effs ⊤
put s = Op (puts s , pure)
```

## 5.7 Share

Lastly we implement the sharing effect. The signature contains just the single unary, scoped operation, `share` which creates new sharing scope.

```
data Shares : Set where shares : SID → Shares
```

```

Share : Effect
Ops Share = Void
Scps Share = Shares ~ T

pattern ShareScp sid κ = (inj1 (shares sid) , κ)

```

The handler is implemented as a parameter passing handler. The carrier type is a function, which maps from the current choice id to the shared program. In contrast to **State**, where a function was the intuitive solution, **runShare'** follows the explanation by Plotkin and Pretnar [24] more closely. It simulates handler for **Share** which passes additional parameters around. **runShare** supplies initial parameters, hiding the parameters from the caller.

When handling a sharing scope the captured program is handled with the id stored in the shape of the scoping operation. The continuation is accessed via  $\gg$  and continuous with the outside i.e. the initial id. Scopes of foreign effects don't effect sharing. In contrast to **State**, the captured program does not influence the continuation, therefore both use the same, initial id.

```

runShare' : { Nondet ∈ effs } → Prog (Share :: effs) A → SID → ℕ → Prog effs A
runShare' { effs } { A } { p } = fold (λ i → ((λ X → SID → ℕ → Prog effs X) ^ i) A) 1 id
  (λ z _ _ → var z)
  (λ { (Other s pf) → case prj (opsInj p) (s , pf) of λ where
    nothing      sid n → op (s , λ p → pf p sid n)
    (just (fails , κ)) sid n → fail
    (just (??s _ , κ)) sid n → Op (??s (just (sid , n)) , λ p → κ p sid (suc n))
  }) λ where
    (ShareScp sid' κ) sid n → κ tt sid' 0 >> λ r → r sid n
    (Other s κ) sid n → scp (s , λ p → (λ k → k sid n) <⋄ κ p sid n)

runShare : { Nondet ∈ effs } → Prog (Share :: effs) A → Prog effs A
runShare p = runShare' p (0 , 0) 0

```

For simplicity the handler is initial invoked with choice id (0,0,0). This should not be a problem if the numbering of scopes starts with a higher ID, because after calling the **Share** handler no scopes are duplicated. If such a situation should arise the ID passed around by the handler can simply be made optional via **Maybe**, removing IDs from outside choices.

The **Shareable** and **Normalform** infrastructure from Chapter 3 can be reused to define the **share** operator. The program in the scope is again captured by mapping **pure** over it. The construction of scope ids follows again the implementation by Bunkenburg [9].

```

share(⟦_⟧) : { Share ∈ effs } → SID → Prog effs A → Prog effs A
share(⟦_⟧) { Scps } { Ops } sid p = Scp (shares sid , λ _ → pure <⋄ p)

share : { State SID ∈ effs } → { Share ∈ effs } → { Shareable effs A } →
  Prog effs A → Prog effs (Prog effs A)
share { Ops } { Scps } p = do
  (i , j) ← get
  put (i + 1 , j)
  let p' = do
    put (i , j + 1)
    x ← p
    x' ← shareArgs x
    put (i + 1 , j)
    pure x'
  pure $ share(⟦ i , j ⟧) p'

```

**Examples** Using **Nondet**, **State** and **Share** we can again simulate call-time choice semantics. We introduce the function **runCTC** to easily evaluate programmes using normaliazable data and call-time choice smenarics.

```

runCTC : { Normalform (State SID :: Share :: Nondet :: []) A B } →
  Prog (State SID :: Share :: Nondet :: []) A → List B

```

```

runCTC p = run $ runNondet $ runShare $ evalState (! p) (1, 1)

coin : { Nondet ∈ effs } → Prog effs ℕ
coin = pure 0 ?? pure 1

doubleCoin : { Nondet ∈ effs } → { Share ∈ effs } → { State SID ∈ effs } →
  Prog effs ℕ
doubleCoin = do c ← share coin
              ( c + c )

```

As expected, doubling a shared coin yields the results 0 and 2.

```
runCTC doubleCoin ≡ 0 :: 2 :: []
```

In contrast to Chapter 4 this approach can also model deep effects without involving universe levels. The definition of an effectful list as well as its type class instances from Chapter 3 are reused. The definition of `doubleHead` stays the same, while the new underlying representation for the effects eliminates the problem of potentially mismatched scope delimiters.

```

doubleHead : { Nondet ∈ effs } → { Share ∈ effs } → { State SID ∈ effs } →
  Prog effs ℕ
doubleHead = do mxs ← share (coin ::M []M)
              ( headM mxs + headM mxs )

```

Using the `Shareable` instance we can share choices inside data structures. As expected, sharing a coin inside a list, unwrapping and doubling it yields the results 0 and 2.

```
runCTC doubleHead ≡ 0 :: 2 :: []
```

## 5.8 Results

In this chapter we presented an implementation of scoped algebras [21] in Agda. To generally guaranty termination of recursive functions on values of `Prog`, we defined its recursion scheme based on the work by Fu and Selinger [13]. Our recursion scheme, based on Fu and Selinger [13]’s idea of introducing an index type, has essentially the same shape as the one needed for scoped algebras.

Using the recursion scheme we were able to define the nondeterminism example by Piróg et al. [21] in Agda, without resorting to sized types. Furthermore, using the corresponding induction scheme for `Prog` we were able to prove proposition by induction on `Prog`. With this approach we could easily implement deep effects, because the `Prog` monad does not increase the universe level. Based on the patterns from the earlier chapters i.e. the general idea of partially removing syntax [26], we implemented a naive modularization for handlers. In our current limited, practical setting the examples in the thesis as well as the ones in the repository seem promising. The cases for traversing foreign sharing scopes still bear resemblance to the functions passed to `handle` in Chapter 4. This is partially expected, because the monad in this chapter is derived from a monad similar to the one in Chapter 4. However, due to rewriting the monad, we again loose explicit control over the continuation. Using our modular approach we could again implement Bunkenburg’s [9] sharing handler.

## Chapter 6

# Conclusion

In this last chapter we summarise the work done in the thesis and discuss the results as well as possible future work.

### 6.1 Summary

The main goal was to implement a library for scoped algebraic effects by porting the two haskell implementations from “Effect handlers in scope” to Agda.

Of particular significance was to work under Agda’s constraints for consistency, which are needed for theorem proving. These included defining only function which Agda could prove terminate, defining only strictly positive recursive types and work with a consistent universe structure. As a running example we tried implementing effects related to simulating Curry’s call-time choice semantics, namely nondeterminism and the sharing effect by Bunkenburg [9]. In the chapters 3, 4 and 5 we discussed how three different approaches translate to Agda.

### 6.2 Results

In Chapter 3 we first implemented ordinary algebraic effects in Agda. The implementation only depends on the definition of the free monad, which we implemented using containers, a well known approach. To prove termination we used sized types, which proved effective, because they allowed the definition of Wu et al. [31] handlers for explicit scope delimiters as well as avoided excessive inlining. Furthermore, it was possible to implement the sharing handler by Bunkenburg [9] in Agda, making this approach a valid choice for simulating call-time choice semantics. A problem with this approach is that it inherently allows mismatched scope delimiters, that is malformed syntax, which potentially complicates proofs.

In Chapter 4 we tried implementing effects using higher order syntax, as described by Wu et al. [31]. This approach turned out to be problematic, because it relies on existential types to capture subcomputations. Holding onto the idea of storing types directly, we showed that it is not possible to implement deep effects in a setting with bounded universe levels. Furthermore, we discussed potential alternative approaches, although non of them seem promising. The repository for the library contains a sketch of an implementation with variable universe levels, which showcases the practical difficulties. Even though this approach cannot model deep effects and therefore is not expressive enough to model Curry’s ambient nondeterminism in data structures, we still presented the key points of a limited implementation of normal scoped effects using higher order syntax.

Due to the deep-seated problem of the approach from Chapter 4 we experimented with an novel representation by Piróg et al. [21], which allowed us to remove the existential type. The naive Agda implementation of the monad Piróg et al. [21] proved to be problematic in terms of theorem proving. We derived an alternative underlying implementation, based on the work by Fu and Selinger [13], which allowed the implementation of complex recursive functions and proofs without the use of sized types. The approach allows the implementation of deep effects and also can be used to simulate sharing. Furthermore, we experimented with a naive modularisation of scoped effects in this setting. The naive implementation seems promising in our limited, practical setting and shows parallels to the higher-order approach.

## 6.3 Related Work and future Directions

Different versions of effects and handlers are becoming more popular in the functional programming community. To still provide the usual structure and expressiveness of normal monad transformers, most Haskell implementations (e.g. [polysemy], [fused-effects]) internally use higher order syntax to implement scoped effects.

In dependently typed language much less work has been done. Brady [8] presented an implementation of resource dependent effects in Idris. Resource dependent effects are a version of algebraic effects in a dependently typed setting. An Agda version of the library by Norell exists. Baanen [5] also implement algebraic effects in Agda. His work focuses on program verification.

### 6.3.1 Future Work

For each of the three approach, the basic infrastructure as well as some exemplary effects were presented. Based on them, the corresponding library could be extended with more effects. In case of the approaches from Chapter 4 and Chapter 5 a simplified syntax was used. Some scoped operations, for example `pass` and `listen` for the `Writer` effect, have fundamentally different shape, which cannot be represented at the moment. Implementing these operations requires generalizing the syntax. For higher-order approach alternative container representations were mentioned. For scoped algebras Piróg et al. [21] also note a generalization for more expressive syntax.

The modularisation of effect in the Chapter 5 is quite experimental. Implementing more tests for the current set of handlers as well as adding more effects with scoping operations to test the modularization should be the next step. Because we only explored an practical implementation of modular effects, we should also examine the approach in a more formal setting.

Another area which could be explored further is reasoning about programs using effects. All proofs in the thesis either used a fixed effect stack or just hold if the handlers for the effect was called last. Most real program use multiple effects, which differ between functions. Properties of effects may not hold if a non-orthogonal handler is called first. Exploring this issue and defining structures for proving and using propositions about effects in a modular setting, could be a useful addition to the library.

The approaches in this thesis are based on the work by Wu et al. [31] and Piróg et al. [21]. Norell ported the Idris effect library by Brady [8] to Agda. The library does not allow scoped effects, but uses a fundamentally different structure. Extending this approach with scoped effects could provide an alternative to the approaches described implemented in thesis. Vice versa, one could try extending one of the approaches presented here with recourse dependent effects.



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