



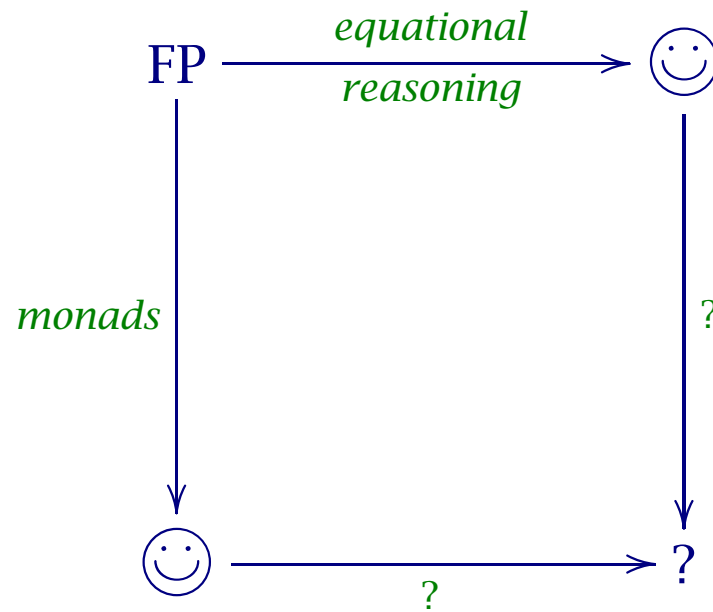
# Simple Monadic Equational Reasoning

*Jeremy Gibbons (joint work with Ralf Hinze)*

*University of Oxford*

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# 1. Reasoning with effects?



## 1.1. Seeing the wood through the trees

At TFP 2008, Hutton & Fulger discuss the ‘correctness’ of

*relabel* :: *Tree a* → *Tree Int*

as an effectful (stateful) functional program.

I think they miss two opportunities for abstraction:

- from the specific *effects* (they expand the *State* monad to state-transforming functions), and
- from the *pattern of computation* (they use explicit induction on trees).

This is an attempt to address the first question.

(The second is a story for another time.)

## 2. Monads

‘Ordinary’ monads, with the usual laws:

**class** *Monad* *m* **where**

*return* ::  $a \rightarrow m\ a$

$(\gg=)$  ::  $m\ a \rightarrow (a \rightarrow m\ b) \rightarrow m\ b$

Special cases:

*skip* :: *Monad* *m*  $\Rightarrow$   $m\ ()$

*skip* = *return* ()

$(\gg)$  :: *Monad* *m*  $\Rightarrow$   $m\ a \rightarrow m\ b \rightarrow m\ b$

$k \gg l = k \gg= \text{const } l$

## 2.1. Fallibility

Computations may fail:

```
class Monad m  $\Rightarrow$  MonadZero m where  
    mzero :: m a
```

such that

$$mzero \gg k = mzero$$

(I'm curious as to why it's not like this in Haskell 98...)

Often we just use

$$mzero = \perp$$

## 2.2. Guards

Define

$$\begin{aligned} \mathit{guard} &:: \mathit{MonadZero} \ m \Rightarrow \mathit{Bool} \rightarrow m \ () \\ \mathit{guard} \ b &= \mathbf{if} \ b \ \mathbf{then} \ \mathit{skip} \ \mathbf{else} \ \mathit{mzero} \end{aligned}$$

We'll write ' $b!$ ' for ' $\mathit{guard} \ b$ '.

Familiar properties:

$$\mathit{True}! = \mathit{skip}$$
$$\mathit{False}! = \mathit{mzero}$$
$$(b_1 \wedge b_2)! = b_1! \gg b_2!$$
$$b_1! \gg k \gg b_2! = b_1! \gg k \quad \iff \quad b_1 \Rightarrow b_2$$

## 2.3. Assertions

For  $k :: MonadZero ()$ , write ' $k \{b\}$ ' for

$$\mathbf{do} \{ k; b! \} = \mathbf{do} \{ k \} \quad (= k)$$

More generally, for  $k :: MonadZero a$ , define ' $k \{b\}$ ' to be:

$$\mathbf{do} \{ a \leftarrow k; b!; \mathit{return} \ a \} = \mathbf{do} \{ a \leftarrow k; \mathit{return} \ a \}$$

By abuse of notation, extend to assertions about multiple statements: suppose statements  $s_1; \dots; s_n$  contain generators binding variables  $v_1, \dots, v_m$ ; write ' $s_1; \dots; s_n \{b\}$ ' for

$$\mathbf{do} \{ s_1; \dots; s_n; b!; \mathit{return} \ (v_1, \dots, v_m) \} = \mathbf{do} \{ s_1; \dots; s_n; \mathit{return} \ (v_1, \dots, v_m) \}$$

(A similar construction is used by Erkök and Launchbury (2000).)

## 2.4. Queries

A special class of monadic operations, particularly amenable to manipulation.

A *query*  $q$  has no side-effects:

$$\mathbf{do} \{ a \leftarrow q; k \} = \mathbf{do} \{ k \} \quad \text{-- when } k \text{ doesn't depend on } a$$

and is consistent:

$$\mathbf{do} \{ a_1 \leftarrow q; a_2 \leftarrow q; k a_1 a_2 \} = \mathbf{do} \{ a \leftarrow q; k a a \}$$

(They're not just the pure operations, ie those of the form *return a*. Consider *get :: State s s* of the state monad.)



### 3. A counter example

A counting monad:

```
class Monad m  $\Rightarrow$  MonadCount m where  
  tick :: m ()  
  total :: m Int
```

where *total* is a query, and

```
n  $\leftarrow$  total; tick; n'  $\leftarrow$  total {n' = n + 1}
```

(exploiting our abuse of notation).

### 3.1. Towers of Hanoi—specification

Given this program:

$$\mathit{hanoi} :: \mathit{MonadCount} \ m \Rightarrow \mathit{Int} \rightarrow m \ ()$$
$$\mathit{hanoi} \ 0 \quad = \ \mathit{skip}$$
$$\mathit{hanoi} \ (n + 1) = \mathbf{do} \ \{ \mathit{hanoi} \ n; \mathit{tick}; \mathit{hanoi} \ n \}$$

we claim:

$$t \leftarrow \mathit{total}; \mathit{hanoi} \ n; u \leftarrow \mathit{total} \ \{ 2^n - 1 = u - t \}$$

Proof by induction on  $n$ . The base case is immediate. Inductive step...

## 3.2. Reasoning

$$\begin{aligned}
& \mathbf{do} \{ t \leftarrow total; hanoi (n + 1); u \leftarrow total; (2^{n+1} - 1 = u - t)! \} \\
= & \quad [[ \text{definition of } hanoi \quad ]] \\
& \mathbf{do} \{ t \leftarrow total; hanoi n; tick; hanoi n; u \leftarrow total; (2^{n+1} - 1 = u - t)! \} \\
= & \quad [[ \text{inserting some queries} \quad ]] \\
& \mathbf{do} \{ t \leftarrow total; hanoi n; u' \leftarrow total; tick; t' \leftarrow total; \\
& \quad hanoi n; u \leftarrow total; (2^{n+1} - 1 = u - t)! \} \\
= & \quad [[ \text{inductive hypothesis; tick} \quad ]] \\
& \mathbf{do} \{ t \leftarrow total; hanoi n; u' \leftarrow total; (2^n - 1 = u' - t)!; tick; t' \leftarrow total; \\
& \quad (t' = u' + 1)!; hanoi n; u \leftarrow total; (2^n - 1 = u - t')!; (2^{n+1} - 1 = u - t)! \} \\
= & \quad [[ \text{arithmetic: } 2^{n+1} - 1 = u - t \text{ follows from other guards} \quad ]] \\
& \mathbf{do} \{ t \leftarrow total; hanoi n; u' \leftarrow total; (2^n - 1 = u' - t)!; tick; t' \leftarrow total; \\
& \quad (t' = u' + 1)!; hanoi n; u \leftarrow total; (2^n - 1 = u - t')! \} \\
= & \quad [[ \text{redundant guards, definition of } hanoi \quad ]] \\
& \mathbf{do} \{ t \leftarrow total; hanoi (n + 1); u \leftarrow total \}
\end{aligned}$$

## 4. Tree relabelling

A monad for generating fresh symbols:

```
type Symbol = ...
```

```
instance Eq Symbol where ...
```

```
class Monad m  $\Rightarrow$  MonadGensym m where
```

```
  fresh :: m Symbol
```

```
  used :: m (Set Symbol)
```

such that *used* (only used in reasoning) is a query, and

```
 $x \leftarrow used; n \leftarrow fresh; y \leftarrow used \{x \subseteq y \wedge n \in y - x\}$ 
```

## 4.1. Specification

Tree relabelling:

**data**  $Tree\ a = Tip\ a \mid Bin\ (Tree\ a)\ (Tree\ a)$

$relabel :: MonadGensym\ m \Rightarrow Tree\ a \rightarrow m\ (Tree\ Symbol)$

$relabel\ (Leaf\ a) = \mathbf{do}\ \{n \leftarrow fresh; return\ (Leaf\ n)\}$

$relabel\ (Bin\ t\ u) = \mathbf{do}\ \{t' \leftarrow relabel\ t; u' \leftarrow relabel\ u; return\ (Bin\ t'\ u')\}$

(in fact, an idiomatic *traverse*), satisfies

$x \leftarrow used; t' \leftarrow relabel\ t; y \leftarrow used\ \{distinct\ t' \wedge labels\ t' \subseteq y - x\}$

where

$distinct :: Tree\ Symbol \rightarrow Bool$

$labels \quad :: Tree\ Symbol \rightarrow Set\ Symbol$

(written  $d$  and  $l$  below, for short).

## 4.2. Reasoning: base case

$$\begin{aligned}
 & \mathbf{do} \{ x \leftarrow \mathit{used}; v \leftarrow \mathit{relabel} (\mathit{Leaf} \ a); y \leftarrow \mathit{used}; (d \ v \wedge l \ v \subseteq y - x)! \} \\
 = & \quad \llbracket \text{definition of } \mathit{relabel} \quad \rrbracket \\
 & \mathbf{do} \{ x \leftarrow \mathit{used}; n \leftarrow \mathit{fresh}; \mathbf{let} \ v = \mathit{Leaf} \ n; y \leftarrow \mathit{used}; (d \ v \wedge l \ v \subseteq y - x)! \} \\
 = & \quad \llbracket \text{definition of } d, l \quad \rrbracket \\
 & \mathbf{do} \{ x \leftarrow \mathit{used}; n \leftarrow \mathit{fresh}; \mathbf{let} \ v = \mathit{Leaf} \ n; y \leftarrow \mathit{used}; (\mathit{True} \wedge \{n\} \subseteq y - x)! \} \\
 = & \quad \llbracket \text{axiom for } \mathit{fresh} \quad \rrbracket \\
 & \mathbf{do} \{ x \leftarrow \mathit{used}; n \leftarrow \mathit{fresh}; \mathbf{let} \ u = \mathit{Leaf} \ n; y \leftarrow \mathit{used} \} \\
 = & \quad \llbracket \text{folding definitions} \quad \rrbracket \\
 & \mathbf{do} \{ x \leftarrow \mathit{used}; v \leftarrow \mathit{relabel} (\mathit{Leaf} \ a); y \leftarrow \mathit{used} \}
 \end{aligned}$$

### 4.3. Reasoning: inductive step

$$\begin{aligned}
& \mathbf{do} \{ x \leftarrow \mathit{used}; v \leftarrow \mathit{relabel} (\mathit{Bin} \ t \ u); z \leftarrow \mathit{used}; (d \ v \wedge l \ v \subseteq z - x)! \} \\
= & \quad \llbracket \text{definition of } \mathit{relabel} \quad \rrbracket \\
& \mathbf{do} \{ x \leftarrow \mathit{used}; t' \leftarrow \mathit{relabel} \ t; u' \leftarrow \mathit{relabel} \ u; \mathbf{let} \ v = \mathit{Bin} \ t' \ u'; z \leftarrow \mathit{used}; \\
& \quad (d \ v \wedge l \ v \subseteq z - x)! \} \\
= & \quad \llbracket \text{definition of } d, l \quad \rrbracket \\
& \mathbf{do} \{ x \leftarrow \mathit{used}; t' \leftarrow \mathit{relabel} \ t; u' \leftarrow \mathit{relabel} \ u; \mathbf{let} \ v = \mathit{Bin} \ t' \ u'; z \leftarrow \mathit{used}; \\
& \quad (d \ t' \wedge d \ u' \wedge l \ t' \cap l \ u' = \emptyset \wedge l \ t' \cup l \ u' \subseteq z - x)! \} \\
= & \quad \llbracket \text{induction} \quad \rrbracket \\
& \mathbf{do} \{ x \leftarrow \mathit{used}; t' \leftarrow \mathit{relabel} \ t; y \leftarrow \mathit{used}; (d \ t' \wedge l \ t' \subseteq y - x)!; \\
& \quad u' \leftarrow \mathit{relabel} \ u; z \leftarrow \mathit{used}; (d \ u' \wedge l \ u' \subseteq z - y)!; \mathbf{let} \ v = \mathit{Bin} \ t' \ u'; \\
& \quad (d \ t' \wedge d \ u' \wedge l \ t' \cap l \ u' = \emptyset \wedge l \ t' \cup l \ u' \subseteq z - x)! \} \\
= & \quad \llbracket \text{queries, redundant guards, folding definitions} \quad \rrbracket \\
& \mathbf{do} \{ x \leftarrow \mathit{used}; v \leftarrow \mathit{relabel} (\mathit{Bin} \ t \ u); z \leftarrow \mathit{used} \}
\end{aligned}$$

## 5. Towers of Hanoi, more directly

Hoare-style reasoning is a bit painfully long-winded:  
repeat the program on every line, gradually discharging guards.

Sometimes a more direct approach works. In fact,

$$\mathit{hanoi} \ n = \mathit{rep} \ (2^n - 1) \ \mathit{tick}$$

where

$$\mathit{rep} :: \mathit{Monad} \ m \Rightarrow \mathit{Int} \rightarrow m () \rightarrow m ()$$

$$\mathit{rep} \ 0 \quad \mathit{ma} = \mathit{skip}$$

$$\mathit{rep} \ (n + 1) \ \mathit{ma} = \mathit{ma} \gg \mathit{rep} \ n \ \mathit{ma}$$

In particular, note that

$$\mathit{rep} \ (m + n) \ \mathit{ma} = \mathit{rep} \ m \ \mathit{ma} \gg \mathit{rep} \ n \ \mathit{ma}$$



## 5.1. More direct proof

...by induction on  $n$ . Base case is trivial. For inductive step,

$$\begin{aligned}
 & \mathit{hanoi} (n + 1) \\
 = & \quad [[ \text{definition of } \mathit{hanoi} \quad ]] \\
 & \mathit{hanoi} \ n \gg \mathit{tick} \gg \mathit{hanoi} \ n \\
 = & \quad [[ \text{inductive hypothesis} \quad ]] \\
 & \mathit{rep} (2^n - 1) \ \mathit{tick} \gg \mathit{tick} \gg \mathit{rep} (2^n - 1) \ \mathit{tick} \\
 = & \quad [[ \text{composition} \quad ]] \\
 & \mathit{rep} ((2^n - 1) + 1 + (2^n - 1)) \ \mathit{tick} \\
 = & \quad [[ \text{arithmetic} \quad ]] \\
 & \mathit{rep} (2^{n+1} - 1) \ \mathit{tick}
 \end{aligned}$$

But I don't see how to do tree relabelling in this more direct style...

## 6. Probabilistic computations

Probability distributions form a monad (Giry, Jones, Ramsey, Erwig...).

For simplicity, only finitely-supported distributions here:

```
class Monad m  $\Rightarrow$  MonadProb m where  
  choice :: Rational  $\rightarrow$  m a  $\rightarrow$  m a  $\rightarrow$  m a
```

where the rationals are constrained to the unit interval.

Following Hoare, let's write ' $mx \triangleleft p \triangleright my$ ' for ' $choice\ p\ mx\ my$ '.

## 6.1. Laws of choice

Unit, idempotence, commutativity:

$$mx \triangleleft 0 \triangleright my = my$$

$$mx \triangleleft 1 \triangleright my = mx$$

$$mx \triangleleft p \triangleright mx = mx$$

$$mx \triangleleft p \triangleright my = my \triangleleft 1 - p \triangleright mx$$

A kind of associativity:

$$mx \triangleleft p \triangleright (my \triangleleft q \triangleright mz) = (mx \triangleleft r \triangleright my) \triangleleft s \triangleright mz$$

$$\iff p = rs \wedge (1 - s) = (1 - p)(1 - q)$$

Bind distributes over choice, in both directions:

$$mx \gg= \lambda a \rightarrow (k_1 a) \triangleleft p \triangleright (k_2 a) = (mx \gg= k_1) \triangleleft p \triangleright (mx \gg= k_2)$$

$$mx \triangleleft p \triangleright my \gg= k = (mx \gg= k) \triangleleft p \triangleright (my \gg= k)$$

## 6.2. Normal form

Finite mappings from outcomes to probabilities (ignore order, disregard weightless entries, weights sum to one, amalgamate duplicates):

**newtype** *Distribution* *a* = *D*{ *unD* :: [ (*a*, *Rational*) ] }

All you need to interpret a distribution is *choice*:

*fromDist* :: *MonadProb* *m* ⇒ *Distribution* *a* → *m* *a*

*fromDist* *d* = *fst* (*foldr1* *combine* [ (*return* *a*, *p*) | (*a*, *p*) ← *unD* *d*, *p* > 0 ])

**where** *combine* (*mx*, *p*) (*my*, *q*) = (*mx* <<sup>*p*</sup>/<sub>*p+q*</sub>> *my*, *p* + *q*)

For example,

*uniform* :: *MonadProb* *m* ⇒ [ *a* ] → *m* *a*

*uniform* *x* = *fromDist* (*D* [ (*a*, *p*) | *a* ← *x* ]) **where** *p* = 1 / *length* *x*

## 6.3. Implementation

Moreover, *Distribution* itself is a fine instance of *MonadProb*:

**instance** *Monad Distribution* **where**

*return a = D [(a, 1)]*

*px >>= f = D [(b, p × q) | (a, p) ← unD px, (b, q) ← unD (f a)]*

**instance** *MonadProb Distribution* **where**

*ma <|p> mb = D (scale p (unD ma) ++ scale (1 - p) (unD mb))*

**where** *scale r pas = [(a, r × p) | (a, p) ← pas]*

(Kidd points out that *Distribution = WriterT Rational (ListT Identity)*, using the writer monad from the monoid of rationals with multiplication.)

## 6.4. Monty Hall

**data** *Door* = *A* | *B* | *C* **deriving** (*Eq*, *Show*)

*doors* = [*A*, *B*, *C*]

*hide* :: *MonadProb* *m* ⇒ *m Door*

*hide* = *uniform doors*

*pick* :: *MonadProb* *m* ⇒ *m Door*

*pick* = *uniform doors*

*tease* :: *MonadProb* *m* ⇒ *Door* → *Door* → *m Door*

*tease* *h p* = *uniform (doors \\ *[h, p]*)*

*switch* :: *MonadProb* *m* ⇒ *Door* → *Door* → *m Door*

*switch* *p t* = *return (head (doors \\ *[p, t]*))*

*stick* :: *MonadProb* *m* ⇒ *Door* → *Door* → *m Door*

*stick* *p t* = *return p*

## 6.5. The whole story

Monty's script:

*play* :: *MonadProb* *m* ⇒ (*Door* → *Door* → *m Door*) → *m Bool*

*play strategy* =

**do**

*h* ← *hide*            -- host hides the car behind door *h*

*p* ← *pick*            -- you pick door *p*

*t* ← *tease h p*        -- host teases you with door *t* (≠ *h, p*)

*s* ← *strategy p t*    -- you choose, based on *p* and *t* (but not *h*!)

*return (s == h)*      -- you win iff your choice *s* equals *h*

## 6.6. In support of Marilyn Vos Savant

It's a straightforward proof by equational reasoning that

*play switch* = *uniform* [ *True*, *True*, *False* ]

*play stick* = *uniform* [ *False*, *False*, *True* ]

The key is that separate uniform distributions are independent:

**do** { *a* ← *uniform* *x*; *b* ← *uniform* *y*; *return* (*a*, *b*) } = *uniform* (*cp* *x* *y*)

where

*cp* :: [ *a* ] → [ *b* ] → [ (*a*, *b*) ]

*cp* *x* *y* = [ (*a*, *b*) | *a* ← *x*, *b* ← *y* ]

(Ask me over a beer...)



## 7. Combining probability and nondeterminism

Nobody said that Monty has to play fair.

He has a free choice in hiding the car, and in teasing you.

To model this, we need to combine probabilism with nondeterminism:

```
class MonadZero m ⇒ MonadPlus m where  
  mplus :: m a → m a → m a
```

such that *mzero* and *mplus* form a monoid, and

$$(m \text{ 'mplus' } n) \gg= k = (m \gg= k) \text{ 'mplus' } (n \gg= k)$$

Happily, although monads do not compose in general, [*Distribution a*] is a monad. Moreover, it is a *MonadProb* and a *MonadPlus* too.

(So is *Distribution [a]*, but I think that doesn't help.)

(There's a nice tale in terms of monad transformers.)

## 7.1. A simple example: mixing choices

A fair coin:

```
coin :: MonadProb m => m Bool  
coin = (return True) <1/2> (return False)
```

An arbitrary choice:

```
arb :: MonadPlus m => m Bool  
arb = return True 'mplus' return False
```

Two combinations:

```
arbcoin, coinarb :: (MonadPlus m, MonadProb m) => m Bool  
arbcoin = do { a ← arb; c ← coin; return (a == c) }  
coinarb = do { c ← coin; a ← arb; return (a == c) }
```

What do you think they do?

## 7.2. ... as sets of distributions

Define

```
type NondetProb a = [ Distribution a ]
```

Then (with suitable *shows*):

```
*Main> arbcoin :: NondetProb Bool
```

```
[ [ ( True, 1/2 ), ( False, 1/2 ) ],  
  [ ( False, 1/2 ), ( True, 1/2 ) ] ]
```

```
*Main> coinarb :: NondetProb Bool
```

```
[ [ ( True, 1/2 ), ( False, 1/2 ) ],  
  [ ( True, 1/2 ), ( True, 1/2 ) ],  
  [ ( False, 1/2 ), ( False, 1/2 ) ],  
  [ ( False, 1/2 ), ( True, 1/2 ) ] ]
```

## 7.3. ... as expectations

```
class MonadProb m  $\Rightarrow$  MonadExpect m where
```

```
  expect :: (Ord n, Fractional n)  $\Rightarrow$  m a  $\rightarrow$  (a  $\rightarrow$  n)  $\rightarrow$  n
```

```
instance MonadExpect NondetProb where  -- morally
```

```
  expect px h = minimum (map (mean h  $\circ$  unD) px) where
```

```
    mean h aps = sum [p  $\times$  f a | (a, p)  $\leftarrow$  aps] / sum (map snd aps)
```

Your reward is 1 if the booleans agree, and 0 otherwise:

```
reward b = if b then 1 else 0
```

Then:

```
*Main> expect (arbcoin :: NondetProb Bool) reward
```

```
1/2
```

```
*Main> expect (coinarb :: NondetProb Bool) reward
```

```
0
```

## 7.4. Back to nondeterministic Monty...

We could define instead:

*hide* :: MonadPlus m ⇒ m Door

*hide* = arbitrary doors

*tease* :: MonadPlus m ⇒ Door → Door → m Door

*tease* h p = arbitrary (doors \\ [h, p])

where

*arbitrary* :: MonadPlus m ⇒ [a] → m a

*arbitrary* = foldr mplus mzero ◦ map return

I believe that the calculation carries through just as before: still

*play switch* = uniform [ True, True, False ]

*play stick* = uniform [ False, False, True ]

## 8. Summary

- axiomatic approach to reasoning with effects
- simple and generic
- smacks of ‘algebraic theories of effects’ (Plotkin & Power, Lawvere)  
(in particular, partiality and continuations do not arise from algebraic theories)
- IO is uninteresting?
- more examples wanted!