

# A Logical Relation for Monadic Encapsulation of State

Proving contextual equivalences in the presence of runST

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KU-Leuven

On the occasion of Ph.D. defence of Jesper Cockx

# ST Monad (Launchbury and Peyton Jones 1994)

The idea

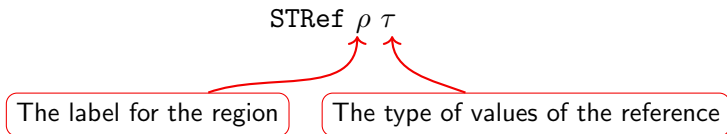
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Encapsulating the effect of using the **heap**

- ▶ The idea: label references with regions (also: state threads)

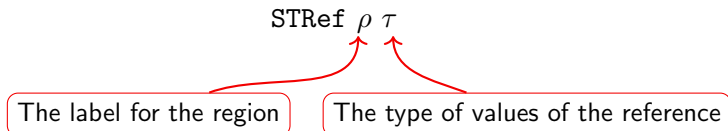


# ST Monad (Launchbury and Peyton Jones 1994)

## The idea

Encapsulating the effect of using the **heap**

- ▶ The idea: label references with regions (also: state threads)



- ▶ The function `runST` to *run* computations and produce a value

`runST` :  $(\forall \rho. \text{ST } \rho \tau) \rightarrow \tau$

Effectful computation polymorphic in region  $\rho$

- ▶ Because of polymorphism  $\rho$  cannot appear in  $\tau$
- ▶ Therefore, *effects (references) cannot escape computations*

Implemented in Haskell

# ST Monad (forming computations)

Functions to form (**not execute**) effectful computations:

**return** :  $\tau \rightarrow \text{ST } \rho \tau$  monadic return

**bind** :  $\text{ST } \rho \tau_1 \rightarrow (\tau_1 \rightarrow \text{ST } \rho \tau_2) \rightarrow \text{ST } \rho \tau_2$  monadic bind

**ref** :  $\tau \rightarrow \text{ST } \rho (\text{STRef } \rho \tau)$  allocation

**!** :  $\text{STRef } \rho \tau \rightarrow \text{ST } \rho \tau$  dereference

**(←)** :  $\text{STRef } \rho \tau \rightarrow \tau \rightarrow \text{ST } \rho \tau$  write

**Non-effectful** reference comparison function

**(==)** :  $\text{STRef } \rho \tau \rightarrow \text{STRef } \rho \tau \rightarrow \mathbb{B}$  reference comparison

## In this talk

Justifying ST properly encapsulates state by proving equations (contextual refinements/equivalences)

- ▶ that are expected to hold for pure programs
- ▶ but fail for effectful programs (e.g., ML programs)
- ▶ example : `let x = e in (x, x)`  $\approx_{\text{ctx}}$  `(e, e)` :  $\tau \times \tau$

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STLang: A CBV programming language featuring:

- ▶ impredicative polymorphism, recursive types
- ▶ *labeled* ML-style *higher-order* references and ST monad
- ▶ Semantics of STLang: effectful programs (manipulation of heap) performed on a **global heap**, closer to actual implementation

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By defining a binary logical relation model for STLang

In Iris: a state-of-the-art higher-order separation logic

- ▶ Designed for program verification and **constructing semantic models of programming languages**



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I assume no familiarity with Iris or program verification

programming languages

## Example of operational semantics

$\langle \emptyset, (\lambda x. \text{runST } \{x\}) (\text{bind ref}(2 + 1) \text{ in } (\lambda r. \text{bind}(r \leftarrow 7) \text{ in } (\lambda \_. \text{bind! } r \text{ in } (\lambda x. \text{return } x)))) \rangle$

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 $\rightarrow \langle [l \mapsto 7], 7 \rangle$

## Related work (E.g., Semmelroth and Sabry 1999; Moggi and Sabry 2001)

The challenge: different semantics

Consider the program

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runST {bind ref(2) in  $\lambda \ell$ . return runST {bind ref(3) in return ()}};  
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In previous work: a stack of stores was used for the semantics:

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In this work: a global heap for the semantics:

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 $\langle \emptyset, \text{runST } \{\text{bind ref}(2) \text{ in } \lambda \ell. \text{return runST } \{\text{bind ref}(3) \text{ in return } ()\}};$   
   $\text{runST } \{\text{bind ref}(4) \text{ in } \lambda \_ . \text{return } ()\} \rangle \rightarrow^*$   
 $\langle \{\ell \mapsto 2\}, \text{runST } \{\text{return runST } \{\text{bind ref}(3) \text{ in return } ()\}};$   
   $\text{runST } \{\text{bind ref}(4) \text{ in } \lambda \_ . \text{return } ()\} \rangle \rightarrow^*$   
 $\langle \{\ell' \mapsto 3, \ell \mapsto 2\}, \text{runST } \{\text{return runST } \{\text{return } ()\}};$   $\text{runST } \{\text{bind ref}(4) \text{ in } \lambda \_ . \text{return } ()\} \rangle$   
 $\rightarrow^* \langle \{\ell' \mapsto 3, \ell \mapsto 2\}, \text{runST } \{\text{return } ()\}; \text{runST } \{\text{bind ref}(4) \text{ in } \lambda \_ . \text{return } ()\} \rangle$   
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 $\rightarrow^* \langle \{\ell'' \mapsto 4, \ell' \mapsto 3, \ell \mapsto 2\}, \text{runST } \{\text{return } ()\} \rangle$   
 $\rightarrow^* \langle \{\ell'' \mapsto 4, \ell' \mapsto 3, \ell \mapsto 2\}, () \rangle$ 
```

## Related work

The challenge: different semantics

Consider the **ill-typed** program

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→* ⟨{ℓ ↦ 3}, ()⟩
```

## Related work

The challenge: proving equations

Previous work:

- ▶ Prove type safety
- ▶ Which is a strong result given that programs that violate encapsulation produce errors

(Moggi and Sabry 2001) in the conclusion part:

“On the other hand, substantially more work is needed to establish soundness of equational reasoning w.r.t. our dynamic semantics (even for something as unsurprising as  $\beta$ -equivalence).”

## Contextual refinement and equivalence

Contextual equivalence defined through contextual refinement:

$$\Xi \mid \Gamma \vDash e \approx_{\text{ctx}} e' : \tau \triangleq (\Xi \mid \Gamma \vDash e \preceq_{\text{ctx}} e' : \tau) \wedge (\Xi \mid \Gamma \vDash e' \preceq_{\text{ctx}} e : \tau)$$

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Contextual refinement (idea): Two programs are equal if no context can distinguish them

► Usually (for a programming language with heap):

$$\Xi \mid \Gamma \Vdash e \preceq_{\text{ctx}} e' : \tau \triangleq \Xi \mid \Gamma \vdash e : \tau \wedge \Xi \mid \Gamma \vdash e' : \tau \wedge \\ \forall C. C : (\Xi \mid \Gamma; \tau) \rightsquigarrow (\cdot \mid \cdot; 1) \wedge \langle \emptyset, C[e] \rangle \downarrow \Rightarrow \langle \emptyset, C[e'] \rangle \downarrow$$

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► Our definition:

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Programs are independent of heap!

- ▶ We prove that  $\preceq_{\text{ctx}}$  is reflexive which means
- ▶  $\cdot \mid \cdot \vdash e : 1$  implies  $(\exists h. \langle h, e \rangle \downarrow) \implies \forall h'. \langle h', e \rangle \downarrow$

## Proven Equations

$$\begin{array}{ll} e \preceq_{\text{ctx}} () : 1 & \text{(NEUTRALITY)} \\ \text{let } x = e_2 \text{ in } (e_1, x) \approx_{\text{ctx}} (e_1, e_2) : \tau_1 \times \tau_2 & \text{(COMMUTATIVITY)} \\ \text{let } x = e \text{ in } (x, x) \approx_{\text{ctx}} (e, e) : \tau \times \tau & \text{(IDEMPOTENCY)} \end{array}$$

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$$(\text{rec } f(x) = e_1) e_2 \preceq_{\text{ctx}} e_1[\text{rec } f(x) = e_1/x, f] : \tau \quad (\beta \text{ REDUCTION FOR REC})$$

$$(\Lambda e) \_ \preceq_{\text{ctx}} e : \tau' \quad (\beta \text{ REDUCTION FOR } \Lambda)$$

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To establish contextual refinement

**The idea:** Use a binary logical relation such that being related implies contextual refinement

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2. Prove *compatibility* lemmas for typing rules, e.g.:

$$\frac{\mathcal{E} \llbracket \tau_1 \rrbracket (e_1, e'_1) \quad \mathcal{E} \llbracket \tau \rrbracket (e_2, e'_2)}{\mathcal{E} \llbracket \tau_1 \times \tau_2 \rrbracket ((e_1, e_2), (e'_1, e'_2))}$$

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3. Corollary (*soundness*):

$$\Xi \mid \Gamma \Vdash e \preceq_{\log} e' : \tau \Rightarrow \Xi \mid \Gamma \vdash e \preceq_{\text{ctx}} e' : \tau$$

# Why use Iris?

We do not need to construct a model!

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*D. Dreyer et al.*

$$\begin{aligned}
 \text{HeapAtom}_n &\stackrel{\text{def}}{=} \{(W, h_1, h_2) \mid W \in \text{World}_n\} \\
 \text{HeapRel}_n &\stackrel{\text{def}}{=} \{\psi \subseteq \text{HeapAtom}_n \mid \forall (W, h_1, h_2) \in \psi. \forall W' \sqsupseteq W. (W', h_1, h_2) \in \psi\} \\
 \text{Island}_n &\stackrel{\text{def}}{=} \{t = (s, \delta, \varphi, \xi, H) \mid s \in \text{State} \wedge \delta \subseteq \text{State}^2 \wedge \varphi \subseteq \delta \wedge \delta, \varphi \text{ reflexive } \wedge \\
 &\quad \delta, \varphi \text{ transitive } \wedge \xi \subseteq \text{State} \wedge H \in \text{State} \rightarrow \text{HeapRel}_n\} \\
 \text{World}_n &\stackrel{\text{def}}{=} \{W = (k, \Sigma_1, \Sigma_2, \omega) \mid k < n \wedge \exists m. \omega \in \text{Island}_n^m\} \\
 \text{ContAtom}_n[\tau_1, \tau_2] &\stackrel{\text{def}}{=} \{(W, K_1, K_2) \mid W \in \text{World}_n \wedge W.\Sigma_1; \cdot \vdash K_1 \div \tau_1 \wedge W.\Sigma_2; \cdot \vdash K_2 \div \tau_2\} \\
 \text{TermAtom}_n[\tau_1, \tau_2] &\stackrel{\text{def}}{=} \{(W, e_1, e_2) \mid W \in \text{World}_n \wedge W.\Sigma_1; \cdot \vdash e_1 : \tau_1 \wedge W.\Sigma_2; \cdot \vdash e_2 : \tau_2\} \\
 \\ 
 \text{HeapAtom}[\tau_1, \tau_2] &\stackrel{\text{def}}{=} \bigcup_n \text{HeapAtom}_n[\tau_1, \tau_2] \\
 \text{World} &\stackrel{\text{def}}{=} \bigcup_n \text{World}_n \\
 \text{ContAtom}[\tau_1, \tau_2] &\stackrel{\text{def}}{=} \bigcup_n \text{ContAtom}_n[\tau_1, \tau_2] \\
 \text{TermAtom}[\tau_1, \tau_2] &\stackrel{\text{def}}{=} \bigcup_n \text{TermAtom}_n[\tau_1, \tau_2] \\
 \\ 
 \text{ValRel}[\tau_1, \tau_2] &\stackrel{\text{def}}{=} \{r \subseteq \text{TermAtom}^{\text{val}}[\tau_1, \tau_2] \mid \forall (W, v_1, v_2) \in r. \forall W' \sqsupseteq W. (W', v_1, v_2) \in r\} \\
 \text{SomeValRel} &\stackrel{\text{def}}{=} \{R = (\tau_1, \tau_2, r) \mid r \in \text{ValRel}[\tau_1, \tau_2]\} \\
 \\ 
 \llbracket (t_1, \dots, t_m) \rrbracket_k &\stackrel{\text{def}}{=} \llbracket (t_1)_k, \dots, (t_m)_k \rrbracket_k & \llbracket H \rrbracket_k &\stackrel{\text{def}}{=}} \lambda s. \llbracket H(s) \rrbracket_k \\
 \llbracket (s, \delta, \varphi, \xi, H) \rrbracket_k &\stackrel{\text{def}}{=} \llbracket (s, \delta, \varphi, \xi, \llbracket H \rrbracket_k) \rrbracket_k & \llbracket \psi \rrbracket_k &\stackrel{\text{def}}{=} \{(W, h_1, h_2) \in r \mid W.k < k\} \\
 \\ 
 \triangleright(k+1, \Sigma_1, \Sigma_2, \omega) &\stackrel{\text{def}}{=} (k, \Sigma_1, \Sigma_2, \llbracket \omega \rrbracket_k) \\
 \triangleright r &\stackrel{\text{def}}{=} \{(W, e_1, e_2) \mid W.k > 0 \Rightarrow (\triangleright W, e_1, e_2) \in r\} \\
 \\ 
 (k', \Sigma'_1, \Sigma'_2, \omega') \sqsupseteq (k, \Sigma_1, \Sigma_2, \omega) &\stackrel{\text{def}}{=} k' \leq k \wedge \Sigma'_1 \supseteq \Sigma_1 \wedge \Sigma'_2 \supseteq \Sigma_2 \wedge \omega' \supseteq \llbracket \omega \rrbracket_k \\
 (t'_1, \dots, t'_m) \sqsupseteq (t_1, \dots, t_m) &\stackrel{\text{def}}{=} m' \geq m \wedge \forall j \in \{1, \dots, m\}. t'_j \sqsupseteq t_j \\
 (s', \delta', \varphi', \xi', H') \sqsupseteq (s, \delta, \varphi, \xi, H) &\stackrel{\text{def}}{=} (\delta', \varphi', \xi', H') = (\delta, \varphi, \xi, H) \wedge (s, s') \in \delta \\
 (k', \Sigma'_1, \Sigma'_2, \omega') \supseteq^{\text{pub}} (k, \Sigma_1, \Sigma_2, \omega) &\stackrel{\text{def}}{=} k' \leq k \wedge \Sigma'_1 \supseteq \Sigma_1 \wedge \Sigma'_2 \supseteq \Sigma_2 \wedge \omega' \supseteq^{\text{pub}} \llbracket \omega \rrbracket_k \\
 (t'_1, \dots, t'_m) \supseteq^{\text{pub}} (t_1, \dots, t_m) &\stackrel{\text{def}}{=} m' \geq m \wedge \forall j \in \{1, \dots, m\}. t'_j \supseteq^{\text{pub}} t_j \wedge \\
 &\quad \forall j \in \{m+1, \dots, m'\}. \text{safe}(t'_j) \\
 (s', \delta', \varphi', \xi', H') \supseteq^{\text{pub}} (s, \delta, \varphi, \xi, H) &\stackrel{\text{def}}{=} (\delta', \varphi', \xi', H') = (\delta, \varphi, \xi, H) \wedge (s, s') \in \varphi \\
 \\ 
 \text{safe}(W) &\stackrel{\text{def}}{=} \forall t \in W.\omega. \text{safe}(t) & \text{safe}(t) &\stackrel{\text{def}}{=}} \forall s'. (t, s, s') \in t. \varphi \Rightarrow s' \notin t. \xi \\
 \\ 
 \text{consistent}(W) &\stackrel{\text{def}}{=}} \exists! t \in W.\omega. t.s \in t. \xi \\
 \\ 
 \psi \otimes \psi' &\stackrel{\text{def}}{=} \{(W, h_1 \uplus h'_1, h_2 \uplus h'_2) \mid (W, h_1, h_2) \in \psi \wedge (W, h'_1, h'_2) \in \psi'\} \\
 \\ 
 (h_1, h_2) : W &\stackrel{\text{def}}{=}} \vdash h_1 : W.\Sigma_1 \wedge \vdash h_2 : W.\Sigma_2 \wedge (W.k > 0 \Rightarrow (\triangleright W, h_1, h_2) \in \otimes\{t.H(t.s) \mid t \in W.\omega\})
 \end{aligned}$$

Fig. 5. Model and auxiliary definitions

# Using Iris to construct logical relation

Define in two steps

- ▶ Value relation for types  $\llbracket \tau \rrbracket_{\Delta} : Val \rightarrow Val \rightarrow iProp$
- ▶ Expression relation  $\mathcal{E} \llbracket \tau \rrbracket_{\Delta} : Val \rightarrow Val \rightarrow iProp$ 
  - ▶ based on  $\llbracket \tau \rrbracket_{\Delta}$
  - ▶ intuitively:  $\mathcal{E} \llbracket \tau \rrbracket_{\Delta}(e, e')$  if whenever  $(h, e) \rightarrow^* v$  then  $(h', e') \rightarrow^* v'$  such that  $\llbracket \tau \rrbracket_{\Delta}(v, v')$
- ▶  $\Delta : Tvar \rightarrow (((Val \times Val) \rightarrow iProp) \times \{\tau \in Types \mid FV(\tau) = \emptyset\})$

# Value interpretations

except ST and STRef

$$\llbracket X \rrbracket_{\Delta} \triangleq (\Delta(X)).1$$

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$$\llbracket \mathbb{B} \rrbracket_{\Delta}(v, v') \triangleq v = v' \in \{\text{true}, \text{false}\}$$

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$$\llbracket X \rrbracket_{\Delta} \triangleq (\Delta(X)).1$$

$$\llbracket \mathbb{B} \rrbracket_{\Delta}(v, v') \triangleq v = v' \in \{\mathbf{true}, \mathbf{false}\}$$

$$\begin{aligned} \llbracket \tau \times \tau \rrbracket_{\Delta}(v, v') \triangleq & \exists w_1, w_2, w'_1, w'_2. v = (w_1, w_2) \wedge v' = (w'_1, w'_2) \wedge \\ & \llbracket \tau \rrbracket_{\Delta}(w_1, w'_1) \wedge \llbracket \tau \rrbracket_{\Delta}(w_2, w'_2) \end{aligned}$$

# Value interpretations

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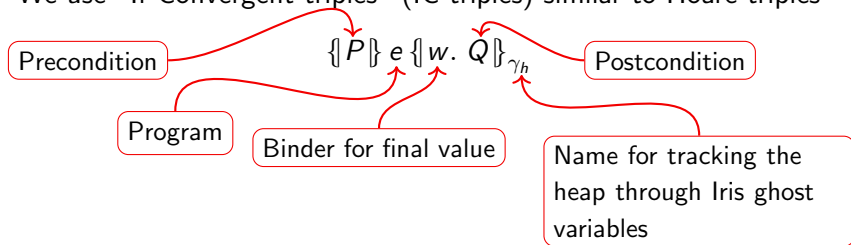
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$$\llbracket \mu X. \tau \rrbracket_{\Delta}(v, v') \triangleq \mu f. \exists w, w'. v = \mathbf{fold} \ w \wedge v' = \mathbf{fold} \ w' \wedge \\ \triangleright \llbracket \exists X. X \vdash \tau \rrbracket_{\Delta, X \mapsto (f, \text{close}(\Delta, \mu X. \tau))} (w, w')$$

# IC-triples

Used for defining the expression relation

We use “If Convergent triples” (IC-triples) similar to Hoare-triples

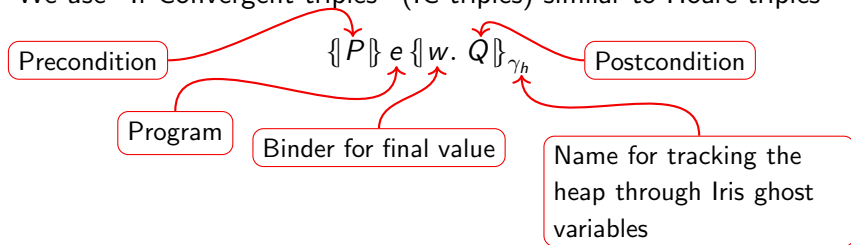


Intuitively: if  $P$  holds **and**  $e$  **converges** to a value  $w$  then  $Q$  holds.

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Intuitively: if  $P$  holds **and**  $e$  **converges** to a value  $w$  then  $Q$  holds.

Examples:

Iris ghost variable: evidence of the value stored in  $\ell$  in the heap tracked by  $\gamma_h$

$$\{\text{true}\} \text{runST} \{\text{ref}(v)\} \left\{ \ell. \boxed{\circ \ell \mapsto v}^{\gamma_h} \right\}_{\gamma_h}$$

$$\left\{ \boxed{\circ \ell \mapsto v}^{\gamma_h} \right\} \text{runST} \{\ell \leftarrow u\} \left\{ w. w = () * \boxed{\circ \ell \mapsto u}^{\gamma_h} \right\}_{\gamma_h}$$

## The expression relation

Iris ghost variable: the heap tracked by  $\gamma_h$

Lemma:  $\boxed{\bullet h}^{\gamma_h} * \boxed{\circ l \mapsto v}^{\gamma'_h} \vdash \exists h_2. h = h_2 \uplus \{(l, v)\}$

Lemma:  $\boxed{\circ l \mapsto v}^{\gamma_h} * \boxed{\circ l \mapsto v'}^{\gamma'_h} \vdash \text{false}$

$$\mathcal{E} \llbracket \tau \rrbracket_{\Delta}(e, e') \triangleq \forall \gamma_h, \gamma'_h, h'_1. \left\{ \boxed{\bullet h'_1}^{\gamma'_h} * \text{regions} \right\} e \left\{ w. (h'_1, e') \Downarrow_{\llbracket \tau \rrbracket_{\Delta}(w, \cdot)}^{\gamma'_h} \right\}_{\gamma_h}$$

Invariant keeping track of all regions

$$(h'_1, e') \Downarrow_{\llbracket \tau \rrbracket_{\Delta}(w, \cdot)}^{\gamma'_h} \triangleq \exists h'_2, v'. \langle h'_1, e' \rangle \rightarrow_d^* \langle h'_2, v' \rangle * \boxed{\bullet h'_2}^{\gamma'_h} * \llbracket \tau \rrbracket_{\Delta}(w, v')$$

The heap tracked by  $\gamma_h$ ,  $\boxed{\bullet h}^{\gamma_h}$ , appears in the definition of IC-triples

## Value relation for ST

We require, and guarantee at the end, the whole region corresponding to  $\rho$

$$\llbracket \text{ST } \rho \ \tau \rrbracket_{\Delta}(v, v') \triangleq \forall \gamma_h, \gamma'_h, h'_1.$$

$$\left\{ \left[ \bullet \text{excl}(h'_1) \right]^{\gamma'_h} * \text{regions} * \text{region}(\text{close}(\Delta, \rho), \gamma_h, \gamma'_h) \right\}$$

$$\text{runST } \{v\}$$

$$\left\{ w. (h'_1, \text{runST } \{v'\}) \Downarrow_{\llbracket \tau \rrbracket_{\Delta}(w, \cdot)}^{\gamma'_h} * \text{region}(\text{close}(\Delta, \rho), \gamma_h, \gamma'_h) \right\}_{\gamma_h}$$

## Value relation for STRef and regions

The name  $\text{close}(\Delta, \rho)$  associated with  $\mathcal{R}$

Lemma:  $\text{RegOf}(\text{close}(\Delta, \rho), \mathcal{R}) * \text{RegOf}(\text{close}(\Delta, \rho), \mathcal{R}') \vdash \mathcal{R} = \mathcal{R}'$

The region

$$\llbracket \text{STRef } \rho \ \tau \rrbracket_{\Delta}(\ell, \ell') \triangleq \exists \mathcal{R}. \text{RegOf}(\text{close}(\Delta, \rho), \mathcal{R}) \\ * (\ell, \ell') \in \mathcal{R}_{\text{Bij}} * \mathcal{R}_{\text{Rels}}(\ell, \ell') = \llbracket \tau \rrbracket_{\Delta}$$

The bijection on related locations

The relation that **should** relate  $\ell$  and  $\ell'$

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$$\text{region}(\rho, \gamma_h, \gamma'_h) \triangleq \exists \mathcal{R}. \text{RegOf}(\text{close}(\Delta, \rho), \mathcal{R}) * \\ * \left( \exists v, v'. \boxed{\circ \ell \mapsto v}^{\gamma_h} * \boxed{\circ \ell' \mapsto v'}^{\gamma'_h} * \right. \\ \left. \triangleright \mathcal{R}_{\text{Rels}}(\ell, \ell')(v, v') \right)$$

The regions predicate just keeps track of regions ( $\mathcal{R}_{\text{Bij}}$  and  $\mathcal{R}_{\text{Rels}}$ )



## An excerpt of the proof of compatibility lemma for runST

To prove  $(\mathcal{E} \llbracket \tau \rrbracket_{\Delta} (\text{runST } \{v\}, \text{runST } \{v'\}))$ :

$$\left\{ \left[ \bullet h'_1 \right]^{\gamma'_h} * \text{regions} \right\}$$

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Simply **allocate** (inside regions) a new region  $\mathcal{R}$  (empty  $\mathcal{R}_{\text{Bij}}$ ) and assign (a new a closed type  $\tau'$ ) to it to obtain  $\text{RegOf}(\tau', \mathcal{R})$  and  $\text{region}(\tau', \gamma_h, \gamma'_h)$ .

# In the draft and the technical appendix

## In the draft

- ▶ The exact definition of regions, region predicates
- ▶ Construction of regions in Iris:  $\mathcal{R}_{\text{Bij}}$  and  $\mathcal{R}_{\text{Rels}}$
- ▶ High level explanation of the proofs of all equations

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## In the technical appendix

- ▶ The exact proof of all the equations
- ▶ Discussion on why we can't use Hoare triples for expression relation as we usually do for logical relations in Iris
- ▶ Discussion on the relation between defining logical relations in Iris using IC-triples and the usual recursive world constructions