# Simple Ownership Types for Object Containment

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**Abstract.** Containment of objects is a natural concept that has been poorly supported in object-oriented programming languages. For a predefined set of ownership contexts, this paper presents a type system that enforces certain containment relationships for run-time objects. A fixed ordering relationship is presumed between the owners.

The formalisation of ownership types has developed from our work with flexible alias protection together with an investigation of structural properties of object graphs based on dominator trees. Our general ownership type system permits fresh ownership contexts to be created at run-time. Here we present a simplified system in which the ownership contexts are predefined. This is powerful enough to express and enforce constraints about a system's high-level structure.

Our formal system is presented in an imperative variant of the object calculus. We present type preservation and soundness results. Furthermore we highlight how these type theoretic results establish a containment invariant for objects, in which access to contained objects is only permitted via their owners. In effect, the predefined ownership ordering restricts the permissible inter-object reference structure.

Keywords: OO type systems; ownership types; object containment; flexible alias protection.

#### 1 Introduction

Object-oriented programs suffer from a lack of object-level encapsulation. This gives rise to problems with aliasing of objects, leading, in turn, to difficulties with maintaining correct and robust program behaviour To cope with difficulties related to complex control flow, structured programming imposes a single input, single output control-flow discipline. This makes it feasible to abstract the program logic using preconditions and postconditions. Structured programming discipline is so common-place nowadays that the benefits of the approach

are largely presumed. Unfortunately many of the benefits of the structured approach are lost in object-oriented programming: object aliasing leads to a loss of modularity in reasoning about programs.

We aim to encapsulate objects, imposing structure via object containment, yet retaining most of the flexibility and benefits of object-oriented programming. The key ideas have evolved from our work on flexible alias protection [34], the recognition of implicit structure in object systems [36], and the ability of type systems to impose this structure [15]. In comparison with flexible alias protection, we provide a formal notion of representation containment with accompanying properties. Our earlier ownership type system [15] was based on a Java-like language, but had a number of restrictions. In particular, the containment structure was defined by objects having a fixed and unique owner, thereby forming an ownership tree. An associated containment invariant directly captures the idea that the structure of object systems is reflected in the dominator tree for the underlying object-reference graph, as we describe elsewhere [36]. The structural constraints imposed by this earlier ownership type system are too rigid to permit them to be used together with some typical object-oriented programming idioms, such as iterators. Furthermore, we did not address subtyping. In this paper we redress some of these limitations.

We introduce an extra degree of freedom into the ownership type system, separating the notion of *contexts* from objects themselves. In practice, contexts may be associated with static entities such as classes, packages or modules, security domains or network locations. Every object is assigned an owner context, which together with the predefined containment ordering, determines which other objects may access it. Objects also have a representation context we call simply rep; an object's rep determines those objects it may access. To keep things simple, this paper assumes that there is a pre-defined containment ordering on contexts. In other words, we presume the existence of a partial order on a set of fixed contexts,  $(\mathcal{C}, \prec)$ . We describe a soundness result and sketch the proof of containment invariance for stored objects. We think of the owner context as providing a domain for the object's external interface, and the representation context as providing a domain for its implementation. We insist that the owner of an object accessible to another contains the other's representation context. Thus our containment invariant states that for a reference from an object with identity  $\iota$  to one with  $\iota'$  to exist, it is necessary that  $\operatorname{rep}(\iota) \prec : \operatorname{owner}(\iota')$ . This is our take on the no representation exposure property of flexible alias protection.

The separation of rep and owner context is the key contribution of this paper. Different arrangements of owner and representation contexts within a context ordering allows different configurations of objects, as we demonstrate in Section 3. The resulting type system can model a wide range of alias protection schemes:

- Using per class contexts we can model Sandwich types [18] and a part of the Universes proposal [31].
- Using per Java-style packages we can model Confined Types [8].

- Per object contexts (as evident in the companion to this paper [13]), restricted so that rep contexts are directly inside owner contexts, combined with genericity, allows us to model the containment features of Flexible Alias Protection [34], and so support collections of shared objects, but not iterators acting directly on the representation of those collections. This is effectively our earlier Ownership Types system [15], although the earlier work did not support subtyping or inheritance.
- Separating representations and owners by one or two contexts models the core of the Universes proposal [31], allowing several iterators to access the representation of another object. Universe in addition requires that the iterator has read only access to the other object's representation.
- Finally, further separation of representation and owner contexts allows objects' interfaces to be exported arbitrarily far from their representations in a controlled manner, so that an object's primary interface can belong to some deeply contained subobject. Unlike other systems, this flexibility allows us to model the use of iterators over internal collections as part of a larger abstraction's interface (common in programs using the C++ STL), and COM-style interface aggregation.

We extend the imperative object calculus of Abadi and Cardelli [1] with owner and rep contexts for objects. We chose this formalism to simplify the statement and proof of properties; however the essence of the ownership type system should be easy to translate to any object-oriented notation. The key novelty of our type system is its use of permissions (or capabilities), which are sets of contexts, to govern the well-formedness of expressions. Owners determine which contexts are needed in the permission, and rep determines which permissions are held. Thus the representation context determines which other objects an object can access.

# 2 Object Calculus with Contexts

In this section we introduce a syntactic variant of the object calculus which captures the essence of our ownership system. First we outline those aspects of the object calculus that are most relevant for our purposes. Next we motivate our key modifications: one deals with owner and rep decorations for objects; the other imposes a syntactic restriction on the form of method call to prevent object references leaking through method closures. Finally we present the syntax for our variant of the object calculus.

#### 2.1 The Object Calculus

The *Theory of Objects* [1] presents a variety of object calculi of increasing complexity. Here we chose an imperative, first-order typed calculus. Being imperative allows us to capture the containment invariant as a property of objects held in the store.

The two basic operations of the object calculus are method select and method update. We review these using the untyped functional object calculus, the simplest presented in [1]. It has the following syntax:

$$\begin{array}{lll} a,b ::= x & variable \\ & \mid \ [l_i = \varsigma(x_i)b_i{}^{i \in 1 \dots n}] & object \ formation \ (l_i \ distinct) \\ & \mid \ a.l & field \ select/method \ invocation \\ & \mid \ a.l \Leftarrow \varsigma(x)b & field \ update/method \ update \end{array}$$

An object is a collection of methods labelled  $l_1$  to  $l_n$ . Methods take the form  $\varsigma(x)b$ , where the parameter x refers to the target object, that is self, within the method body b. The operational semantics is given by the following reduction rules, where  $o \equiv [l_i = \varsigma(x_i)b_i{}^{i \in 1..n}]$ :

$$\begin{array}{ccc} o.l_j \leadsto b_j \{\!\!\{^{\!o}/\!\!x_j\!\!\}\!\!\} & (j \in 1..n) \\ o.l_j \Leftarrow \varsigma(x)b \leadsto [l_j = \varsigma(x)b, l_i = \varsigma(x_i){b_i}^{i \in (1..n) - \{j\}}] & (j \in 1..n) \end{array}$$

A method invocation  $o.l_j$  reduces to the result of substituting the target object o for the self parameter  $x_j$  in the body  $b_j$  of the method named  $l_j$ . A method update  $o.l_j \Leftarrow \varsigma(x)b$  reduces to a copy of the target object where the method in slot  $l_j$  is replaced by  $\varsigma(x)b$ . The definition of reduction is completed by allowing reduction to occur at any subexpression within an expression.

In an imperative object calculus, objects are held in a store which is a map from locations to objects. Evaluation of an object expression amounts to the allocation of that object in the store with a particular object identity denoting its location. Object aliasing arises through sharing of object ids. When a method is invoked, its location (or object id) is substituted for the self parameter. Method update changes the object in-place, rather than constructing a new object as for the functional variants of calculus.

Common object-oriented constructs can easily be captured. Fields are modelled as methods which are values that make no reference to the self parameter. Field update employs method update, again with values making no reference to the self parameter. Functions are modelled as objects where a field is used to store the argument to the function. Methods with arguments are modelled as methods which return a function.

#### 2.2 Extending the Calculus with Contexts

**Contexts** The extension of the object calculus presented here is concerned with controlling object access. Adopting the model discussed in the introduction, we modify objects to include both owner and representation contexts. Objects take the form  $[l_i = \dots^{i \in 1..n}]_p^p$ , where p is the owner and q is the representation context.

We assume that we are given a fixed collection of contexts which form a partial order  $(\mathcal{C}, \prec:)$ . The relation  $\prec:$  is called *inside*. The converse relation : $\succ$  is called *contains*.

Contexts might represent the collection of packages in a Java program. The inside relation  $\prec$ : can, for example, represent package nesting. Confined Types [8]

use packages as contexts: each package is associated with two contexts, one confined the other not; the confined version of a package is inside the corresponding unconfined version, but no further containment is presumed. A confined type is accessible only through its unconfined version; unconfined types do not restrict access other than via the normal visibility and typing rules for Java. Similarly, contexts could represent a collection of classes where  $\prec$ : captures inner class nesting and  $\epsilon$  corresponds to some ubiquitous system context. Universes take this approach [31]. Alternatively, contexts could represent some combination of these features, or be based on some other scheme, such as machine names on a network, with  $\prec$ : representing the subnet relationship.

Evaluation in Context In our system, certain objects may only be accessible within a particular context. Typically computation proceeds by successive method selection and update on a particular target object. Having access to an object means that access is granted to its representation, but only during the evaluation of a selected method. Unfortunately, the object calculus encodes methods with arguments as methods which return a function closure. The resulting closure can be applied, which is fine, or installed as a part of another object via method update, which is not acceptable from our perspective when the closure contains reference to representation. Thus we need to make a second change to the object calculus to distinguish evaluation which may only occur within a context from values which are accessible from without.

The approach we adopt here is simple. As is common in object-oriented programs we presume that all method calls are fully applied, and that no closures are used. So, unlike the object calculus, we actually use a method call syntax, rather than the syntactically simpler method select. A more complex system that associates evaluation contexts with closures is indeed possible, but we prefer to keep our calculus simple.

Thus we modify objects further so that methods take a pre-specified number of arguments:  $[l_i = \varsigma(x_i, \Gamma_i)b_i{}^{i\in 1..n}]_q^p$ , where  $\Gamma$  denotes the additional formal parameters. Method select now becomes  $o.l_j\langle\Delta\rangle$ , where  $\Delta$  is the actual parameter list. Method update is modified in the obvious manner.

# 2.3 Syntax for an Object Calculus with Ownership

We now present our variant of the object calculus incorporating ownership. Figure 1 gives the syntax for permissions, types, values, objects, expressions, parameters, stores, and configurations. Contexts were described above. We describe the remainder in turn.

Permissions Permissions denote collections of contexts. A context is only accessible in an expression when it appears in the permission used to type the expression. The permission  $\langle p \rangle$  corresponds to the singleton set  $\{p\}$ , and is the permission required to access objects with owner p. The permission  $\langle q \uparrow \rangle$  corresponds to the contexts which contain q, that is, all the context accessible to an object which can access q, for example, objects with representation context q.

```
= C
          p \in \text{Context}
         K \in \text{Permission} ::= \langle p \rangle
                                           |\langle p \uparrow \rangle
                                         := [l_i : A_i^{i \in 1..n}]_q^p
A, B, C \in \text{Type}
                                           A \rightarrow B
          x \in VAR
       u, v \in \text{Value}
                                         ::= x
                                         ::= [l_i = \varsigma(x_i : A_i, \Gamma_i)b_i^{i \in 1...n}]_q^p
           o \in Object
                                                                                                       (l_i \ distinct)
       a, b \in \text{Expression} ::= v
                                                                                  where \Delta ::= \emptyset \mid v, \Delta
                                                v.l\langle\Delta\rangle
                                               v.l \Leftarrow \varsigma(x:A,\Gamma)b
                                               \mathbf{let}\ x:A=a\ \mathbf{in}\ b
          \Gamma \in \operatorname{Param}
                                         := \emptyset \mid x : A, \Gamma
          \sigma \in \text{Store}
                                         ::=\emptyset
                                           \sigma, \iota \mapsto o
        s, t \in \text{Config}
                                         ::=(\sigma,a)
```

Fig. 1. The Syntax

Types Types include just object and method types.

The object type  $[l_i:A_i^{i\in 1..n}]_q^p$  lists the names and types of the methods of the object, as well as the owner context p (superscript) and the representation context q (subscript). Objects of this type can only be accessed in expressions possessing at least permission  $\langle p \rangle$ . We also use the type  $[l_i:A_i^{i\in 1..n}]^p$  as a shorthand for the type  $[l_i:A_i^{i\in 1..n}]_p^p$ . This can be considered to be the type of an external interface to an object, since it contains only the methods which are accessible to external objects which only have access to context p.

The type  $A_1 \to A_2 \to \ldots \to B$  is the type of a method which takes arguments of type  $A_1, A_2, \ldots$ , which must be object types, and returns a value of object type B. Although the form of method type suggests that partial application is permitted, in fact the rule for well-formed method call forces all arguments to be supplied, as discussed above.

Expressions Expressions are presented in a variant of the named form [37]. This amounts to the requirement that the result of (almost) every evaluation step be bound to a variable x which is subsequently used to refer to the result of this computation. While this form does not change the expressiveness of the calculus, it simplifies the statement of its semantics and the proof of its properties.

The language is imperative. Objects evaluate to locations,  $\iota$ , which are subsequently used to refer to the object in the store. Locations are the only possible

result of computation. They do not appear in the expressions a programmer writes

Objects are given by  $[l_i = \zeta(x_i:A_i,\Gamma_i)b_i{}^{i\in 1..n}]_q^p$ . The  $x_i$  are the self parameters used in method bodies  $b_i$  to refer to the current instance of the object. The type of self  $A_i$  is given. The  $\Gamma_i$  are the formal parameters to the method. These are a collection of term variables with their type. The owner context is p and q is the representation context.

Method call  $v.l\langle\Delta\rangle$ , takes a collection of actual parameters for the method labelled l. The parameters,  $\Delta$ , are a sequence of values.

Method update,  $v.l \Leftarrow \varsigma(x:A,\Gamma)b$ , replaces the method labelled l in the object v with that defined by b. Again x is the self parameter and  $\Gamma$  are the formal parameters to the method. As usual, a method can be treated as a field if  $x \notin FV(b)$ , b is a value, and additionally that  $\Gamma = \emptyset$ . Thus we do not distinguish between fields and methods.

Let expressions, let x : A = a in b, are used to define local declarations and to link computations together.

Stores and Configurations The store,  $\sigma$ , is a map from locations to objects for all locations created throughout the evaluation of an expression. A configuration represents a snapshot of the evaluation. It consists of an expression to be evaluated, a, and a store,  $\sigma$ .

# 3 Examples

The type system explored in this paper allows containment which is specified across an entire system. Objects can be partitioned and contained within contexts which are defined per package or per class or come from some other prespecified collection. We demonstrate a few example uses of such collections, observing that different partial orders allow for different kinds of restriction, including a partition of objects without any containment.

The first example illustrates the constraints underlying Confined Types [8].

Example 1 (Web Browsers and Applets). Assume there are two packages, Browser, abbreviated as B, and Applet, abbreviated as A. Let securityManager be the object which controls the web browser's security policy. This must be confined to the Browser package. The Applet package contains the implementation of applets. These interact with a browser object through which they obtain limited access to the outside world, governed by the securityManager. The browser object has access to the securityManager object to guide its interaction with the applets.

The ordering on contexts is:



We can represent this situation above with the following objects:

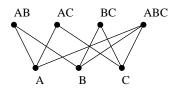
$$\begin{split} securityManager & \triangleq [.....]_B^B \\ browser & \triangleq [securityManager = securityManager, applet = applet, ...]_B^\top \\ applet & \triangleq [browser = browser, ...]_A^\top \end{split}$$

In addition, the *browser* can be presented to the *applet* using the interface type  $[applet:AppletType,...]^{\top}$ , rather than its actual type  $[securityManager:SecurityManagerType,applet=AppletType,...]_{B}^{\top}$ , since the former hides the part of *browser* which contained within the *Browser* package.

This example can be extended so that each *applet* object has its own protected *environment* object if dynamic context creation is added to the type system [13].

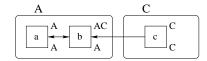
Example 2 (General Systems). A system can be partitioned into a collection of subsystems (perhaps using packages or modules). Some objects are not accessible outside a given subsystem, whereas others may belong to a given subsystem, but be accessible by one or more other subsystems. We model this as follows.

Let the set  $\mathcal{P} = \{A, B, ...\}$  denote the names of the subsystems. Let the collection of contexts be  $\mathcal{C} = \mathbb{P}(\mathcal{P}) - \{\emptyset\}$ , where  $\mathbb{P}(\mathcal{P})$  is the powerset of  $\mathcal{P}$ . We will write ABDF to represent the set  $\{A, B, D, F\}$ . The context ordering  $\prec$ : is the defined as follows: for each  $A \in \mathcal{P}$ , if  $A \in P$ , where  $P \in \mathbb{P}(\mathcal{P})$ , then  $A \prec$ : P, abusing notation slightly. For example,  $A \prec$ : ABC. Note that this means that the context ordering is a dag, as demonstrated in the following diagram for subsystems A, B, and C:



We set an object's representation context to the subsystem in which it resides — that is, A, B, or C — and its owner context to the collection of subsystems which can access it — any context in the diagram above.

Consider the following collection of subsystems, A and C, and objects a, b, and c. The arrows represent the only references allowed between these objects.

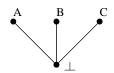


Both a and b come from subsystem A, so their representation context is A. a is contained within subsystem A, so its owner is A. b is also accessible to subsystem C, so its owner is AC. Finally c has both owner and representation context C. The containment invariant enforces that the references in the figure are the only ones allowed given these contexts and their ordering. Adding more structure, for example, by letting the ordering on contexts be the powerset ordering on sets of subsystem names, allows us to specify in addition the sharing of contained objects among subsystems.

This granularity of the restrictions in the above example resembles Eiffel's export policies, except that in the example the constraints are defined between objects, rather than for individual methods [29].

Example 3 (Class Names as a Partition). The Universes system uses class names as object owners [31]. These can be used to partition the collection of objects, using one partition per class, without providing any containment. All contexts are equally accessible, but objects owned by one class cannot be assigned to a field expecting an object with a different owner.

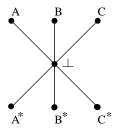
The contexts required to model this consist of a single context for each class plus the additional context which we denote  $\bot$ . The partial order on contexts is  $\bot \prec: C$ , for each class C. An object in partition C has owner C and representation context  $\bot$ . An example partial order is:



This tree, which is an upside down version of the context ordering used in a previous work [15], could have a top element for the owner of globally accessible objects.

Example 4 (Adding Contained Per Class Contexts).

We can enhance the previous example to allow each class to have objects which are accessible to each instance of the class, but are not accessible outside of the class. To do this we extend the above partial order with  $C^* \prec : \bot$  for each class C. The example above becomes:



Objects not accessible outside of class C have both owner and representation context  $C^*$ . Objects from class C in partition D have owner D and representation context  $C^*$ , not  $\bot$  as above, so that it can access the elements contained within class C.

# 4 Formal Presentation of Ownership Types

We begin our formal presentation with a description of how the containment invariant is enforced by the type system. This technique can be applied in more general setting [13]. Then follows the type system.

#### 4.1 Permissions and Containment

Expressions are typed against a given permission: either a point permission  $\langle p \rangle$  representing a singleton context  $\{p\}$ , or an upset permission  $\langle q \uparrow \rangle$  denoting all contexts containing q, that is  $\{p \mid q \prec: p\}$ .

The point permission  $\langle p \rangle$  allows access to objects with owner p. An object with rep q is granted the upset permission  $\langle q \uparrow \rangle$ , thereby giving it (more precisely, its methods) access to any object with owner in that set.

We write  $\iota \to \iota'$  to indicate that one stored object holds a reference to another. The containment invariant is a statement about the well-formedness of stores, in particular the underlying reference structure. It states that:

$$\iota \to \iota' \implies \operatorname{rep}(\iota) \prec : \operatorname{owner}(\iota').$$

Let  $\iota \mapsto [l_i = \varsigma(x_i:A)b_i{}^{i\in 1..n}]_q^p$  be a location-object binding in some store, so that  $\mathsf{owner}(\iota) = p$  and  $\mathsf{rep}(\iota) = q$ . The locations accessible to  $\iota$  are those appearing in the method bodies  $b_i$ . The containment invariant yields an upper bound on these:

$$\{\iota' \mid \mathsf{owner}(\iota') \in \langle q \uparrow \rangle\}.$$
 (1)

Now consider the object at location  $\iota'$  which has owner p'. Access to this object requires permission  $\langle p' \rangle$ , which corresponds to the singleton set  $\{p'\}$ . Thus  $\iota'$  is in the set (1) if

$$\langle p' \rangle \subset \langle q \uparrow \rangle. \tag{2}$$

This condition is enforced by our type system.

Consider the following simplified version of our object typing rule:

(Val Object-Simplified) (where 
$$A \equiv [l_i : C_i^{i \in 1...n}]_q^p$$
)
$$\frac{E, x_i : A; \langle q \uparrow \rangle \vdash b_i : C_i \quad \forall i \in 1...n}{E; \langle p \rangle \vdash [l_i = \varsigma(x_i : A)b_i^{i \in 1...n}]_q^p : A}$$

The conclusion states, among other things, that the permission required to access this object is  $\langle p \rangle$ , where p is the owner. The premises,  $i \in 1...n$ , each state that the permission governing access in the method bodies  $b_i$  is  $\langle q \uparrow \rangle$ , where q is the representation context. But this is exactly the condition (2). Therefore, the only locations accessible in a method body are those permitted by the containment invariant. This property is formally presented in this paper.

Apart from giving types to the appropriate constructs in the expected manner, the other rules in the type system merely propagate or preserve the constraints we require. Subtyping does not allow the owner information stored in a type to shrink, thus preventing the loss of crucial information. Subtyping was missing from our earlier ownership type system [15], and the keys to regaining it are preventing the loss of the owner and maintaining the ordering between contexts.

The type rules which follow are specified depending on a permission. For the calculus of this paper the minimal required permission can in fact be derived from the types involved, so does not actually need to be explicit. However we adopt the current presentation style, not only because it helps to clarify the role of permissions, but also to cater for extensions such as recursive types, where the permissions can not always be directly inferred [13].

Supplementary Notation The type of an expression depends on a typing environment, E, which maps program variables (and locations) to types. The typing environment is organised as a sequence of bindings, where  $\emptyset$  denotes the empty environment:

$$E ::= \emptyset \mid E, x : A \mid E, \iota : A$$

The syntax of method formal parameters,  $\Gamma$ , are just a subset of the syntax for environments, which allows them to be treated as environments in the type rules.

The domain of a typing environment dom(E) extracts the bound in the environment:

$$\begin{aligned} \operatorname{dom}(\emptyset) & \; \widehat{=} \; \emptyset \\ \operatorname{dom}(E, \iota : A) & \; \widehat{=} \; \operatorname{dom}(E) \cup \{\iota\} \\ \operatorname{dom}(E, x : A) & \; \widehat{=} \; \operatorname{dom}(E) \cup \{x\} \end{aligned}$$

This applies also to  $\Gamma$ .

#### 4.2 The Type System

We define the type system using nine judgements which are described in Figure 2. Judgements concerning constructs which contain no free variables do not require a typing environment in their specification. All judgements concerned with types and expressions are formulated with respect to a permission K.

$E \vdash \diamondsuit$	E is well-formed typing environment
$K\subseteq K'$	$K \ is \ a \ subpermission \ of \ K'$
$K \vdash A$	$A\ is\ a\ well-formed\ type\ given\ K$
$K \vdash A <: B$	$A\ is\ a\ subtype\ of\ B\ given\ K$
$E; K \vdash a : A$	$a\ is\ a\ well-typed\ expression\ of\ type\ A\ in\ E\ given\ K$
$E; K \vdash (A)(\Delta) \Rightarrow C$	The actual parameters $arDelta$ match method type $A$
	$with \ return \ type \ C \ in \ E \ given \ K$
$E \vdash \sigma$	$\sigma$ is a well-formed store in $E$
$E; K \vdash (\sigma, a) : A$	$(\sigma,a)$ is a well-typed configuration with type $A$
	in  E  given  K

Fig. 2. Judgements

To simplify the handling of environments, we employ the notation such as  $x:A\in E$  to extract assumptions from the typing environment. Well-formedness of the typing environment E is implicit with such assumptions; that is,  $E\vdash \diamondsuit$  is part of the assumption.

Well-formed Environments

$$\begin{array}{c|c} (\operatorname{Env}\,\emptyset) & (\operatorname{Env}\,x) & (\operatorname{Env}\operatorname{Location}) \\ \hline \emptyset \vdash \diamondsuit & E, x : A \vdash \diamondsuit & (Env\operatorname{Location}) \\ \hline \end{array}$$

Adding a variable to an environment requires that it not be already declared and that its type can be well-formed given some permission (Env x). The permission does not matter at this point, but it will return when x is used in an expression. (Env Location) specifies that locations have object type.

Well-formed Permission and Subpermissions

All permissions in Permission, that is  $\langle p \rangle$  and  $\langle p \uparrow \rangle$  for each  $p \in \mathcal{C}$ , are valid. The subpermission relation  $K \subseteq K'$  is defined in the obvious manner given the interpretation of permissions as sets of contexts.

Well-formed Types

$$\frac{\langle q \uparrow \rangle \vdash A_i \quad \forall i \in 1...n \quad q \prec: p}{\langle p \rangle \vdash [l_i : A_i^{i \in 1...n}]_p^q} \qquad \frac{(\text{Type Arrow})}{K \vdash A \quad K \vdash B} \qquad \frac{(\text{Type Allow})}{K \vdash A \quad K \vdash B} \qquad \frac{K \vdash A \quad K \subseteq K'}{K' \vdash A}$$

The well-formedness of types depends upon the permission required to access values of that type.

The justification for (Type Object) is similar to that for (Val Object) given in Section 4.1. The method types of an object type must be well-formed given permission  $\langle q \uparrow \rangle$ , where q is the representation context. The permission required to access this type is at least  $\langle p \rangle$ . The condition  $q \prec p$  implies that  $\langle p \rangle \subseteq \langle q \uparrow \rangle$  ensuring that an object can access itself.

Method types resemble function types, as given by (Type Arrow). Interestingly the permission required to form method types only depends on the argument and result types. It does not depend on the method body, which typically will require a larger permission. This is because the method body can access the object's representation, which in general is not externally accessible.

The rule (Type Allow) states that well-formedness of types is preserved with extended permissions.

Well-formed Subtyping

(Sub Object) (
$$l_i$$
 distinct)
$$\frac{\langle q \uparrow \rangle \vdash A_i \quad \forall i \in 1...n \quad \langle q' \uparrow \rangle \vdash A_i \quad \forall i \in n+1..n+m \quad q' \prec : q \prec : p}{\langle p \rangle \vdash [l_i : A_i^{i \in 1..n+m}]_{q'}^p < : [l_i : A_i^{i \in 1..n}]_q^p}$$

$$\frac{(\text{Sub Allow})}{K \vdash A <: B \quad K \subseteq K'}$$

$$\frac{K \vdash A <: B \quad K \subseteq K'}{K' \vdash A <: B}$$

The rule (Sub Object) allows methods to be forgotten through subtyping. The owner does not vary, but the representation context can. Firstly, the owner states which context an object resides in. If this information can vary in the type, then we lose the ability to state when two references are not aliases, since references to objects with different owner contexts cannot be aliases. Thus the owner is invariant. Varying the representation context only loses information about which contexts an object can access. These can be considered to be part of an object's implementation and can reasonably be ignored.

A consequence of varying the representation context is that methods which include the initial representation context q' in their type are removed in the supertype. When q=p the only methods present in the type are those accessible to objects which have access to context p. The type in this case will be an interface type  $[l_i:A_i^{i\in 1...n}]^p$ .

Subtypes which are valid given some permission are valid with a larger permission, though not necessarily vice-versa, according to rule (Sub Allow).

Well-typed Expressions

Expressions are typed against a typing environment and a permission. Variable typing is by assumption (Val x), though it requires sufficient permission to construct the type. Locations are similarly typed by assumption, where the permission required is at least the point permission for the owner in location's type (Val Location).

The (Val Object) rule requires an auxiliary function  $[\Gamma]_C$ , which converts the method arguments  $\Gamma$  and the return type C into a method type B:

In (Val Object), each method body  $b_i$  of method  $\varsigma(x_i:A,\Gamma_i)b_i$  is typed against an environment extended with the self parameter  $x_i$  with A, the type of the object being formed, and with the formal parameter list  $\Gamma_i$ . The return type of the method body  $C_i$  and the formal parameters are combined to make up the method type  $B_i$ . The permission  $\langle p \rangle$  is required to create an object with owner context p. The permission the method is typed against is  $\langle q \uparrow \rangle$ , where q is the representation context. Access to self  $x_i$  is permitted because  $q \prec: p$  can be inferred from the fact that the object's type A appears in environment  $E, x_i: A, \Gamma_i$ . This means that an objects rep and owner are in the containment relation, with the rep inside the owner.

$$\underbrace{E; K \vdash v : [l_i : A_i{}^{i \in 1..n}]_q^p \quad E; K \vdash (A_j)(\Delta) \Rightarrow C_j \quad j \in 1..n}_{E; K \vdash v.l_j\langle \Delta \rangle : C_j}$$

(Val Select) requires that the target have an object type with the appropriate method present. The clause  $E; K \vdash (A_j)(\Delta) \Rightarrow C_j$  checks that the arguments are well-typed, correct in number and that access is permitted, and states that the return type is  $C_j$ . This form of rule is described below.

(Val Update) requires that the target have an object type with the appropriate method present. Firstly, the formal parameter list  $\Gamma_j$  and return type  $C_j$  of the new method must be able to be converted to the method's type  $B_j$ , that is,  $\lfloor \Gamma_j \rfloor_{C_j} = B_j$ . The new method body is typed against a self x with the type of the object being updated, and  $\Gamma_j$ . The expression must have type  $C_j$ . The given permission K' is, in effect, at most the intersection between the contexts accessible inside the object,  $\langle q \uparrow \rangle$ , and the accessible contexts in the surrounding expression, K. This 'intersection' of permissions prevents any illegal locations from being added to object, while maintaining the constraints on the expression performing the method update.

The type rule (Val Let) is standard, except that it carries the same permission through to the expressions.

Finally, (Val Subsumption) allows an expression given one type to be given a supertype, as usual, and to be used with a larger permission.

Well-typed Actual Parameter Lists

$$\begin{array}{c} \text{(Arg Empty)} \\ \underline{E \vdash \diamondsuit \quad K \vdash C} \\ E; K \vdash (C)(\emptyset) \Rightarrow C \end{array} \qquad \begin{array}{c} \text{(Arg Val)} \\ \underline{E; K \vdash v : A \quad E; K \vdash (B)(\Delta) \Rightarrow C} \\ E; K \vdash (A \rightarrow B)(v, \Delta) \Rightarrow C \end{array}$$

The judgement  $E; K \vdash (B)(\Delta) \Rightarrow C$  guarantees that the actual parameters  $\Delta$  are correct in number and type, and that the return type is C, all with the same permission K.

Well-typed Stores and Configurations

$$\frac{E \vdash \sigma \quad E; K \vdash a : A \quad \mathsf{dom}(\sigma) = \mathsf{dom}(E)}{E; K \vdash (\sigma, a) : A}$$

The objects stored at a location must have the same type as the location. Configuration typing is performed in a typing environment whose domain consists of exactly the locations allocated in the store.

# 5 Dynamic Semantics and Properties

We now consider an operational semantics, and consequent properties, including type preservation and soundness.

## 5.1 An Operational Semantics

The operational semantics of the calculus are presented in a big-step, substitution-based style in Figure 3. Fundamentally it differs little from the object calculus semantics of Gordon et. al. [19], though the named form of expression allows some minor simplifications.

The semantics specify an evaluation relation between initial and final configurations,  $(\sigma, a) \Downarrow (\sigma', v)$ . Evaluating expression a with store  $\sigma$  results in a new store  $\sigma'$  and value v.

We use  $\sigma$ ,  $\iota \mapsto o$  to denote extending the store  $\sigma$  with a new location-object binding, where  $\iota \notin \mathsf{dom}(\sigma)$ .  $\sigma + \iota \mapsto o$  denotes updating the store  $\sigma$  so that  $\iota$  binds to the new object o, where  $\iota \in \mathsf{dom}(\sigma)$ . In (Subst Select),  $b \{\!\{ \Delta / \Gamma \}\!\}$ , denotes bindings of formal to actual parameters for a method defined as:

$$\{\!\!\{\emptyset/\emptyset\}\!\!\} \stackrel{\sim}{=} \epsilon$$
 
$$\{\!\!\{v, \Delta/x : A, \Gamma\}\!\!\} \stackrel{\sim}{=} \{\!\!\{^v/_x\}\!\!\} \{\!\!\{\Delta/\Gamma\}\!\!\}$$

where  $\epsilon$  is the empty substitution. Otherwise  $\{\Delta/\Gamma\}$  is undefined.

Note that only closed terms are evaluated. Evaluation begins with the configuration  $(\emptyset, a)$ , that is, some closed expression with an empty store. Variables in **let** expressions and method bodies are always substituted for before they are encountered in evaluation. Expressions either diverge, become stuck, signified by the special configuration WRONG<sup>1</sup>, or result in a value which must be a location.

<sup>&</sup>lt;sup>1</sup> These rules presented here only apply when all of the underlying assumptions are specified. Error cases which evaluate to WRONG are captured by the other evaluation

$$(Subst Value) \qquad (Subst Object) \quad \text{where } o \equiv [l_i = \varsigma(x_i:A_i,\Gamma_i)b_i^{i\in 1...n}]_q^p \\ \frac{\sigma_1 = \sigma_0, \ \iota \mapsto o \quad \iota \notin \text{dom}(\sigma_0)}{(\sigma_0, o) \Downarrow (\sigma_1, \iota)}$$

$$(Subst Select) \quad \text{where } j \in 1..n \\ \frac{\sigma_0(\iota) = [l_i = \varsigma(x_i:A_i,\Gamma_i)b_i^{i\in 1...n}]_q^p \quad \{\!\{\Delta/\Gamma_j\!\}\!\} \text{ is defined}}{(\sigma_0, b_j \{\!\{\ell'_{x_j}\!\}\!\} \{\!\{\Delta/\Gamma_j\!\}\!\}) \Downarrow (\sigma_1, v)}$$

$$(Subst Update) \quad \text{where } j \in 1..n \\ \sigma_0(\iota) = [l_i = \varsigma(x_i:A_i,\Gamma_i)b_i^{i\in 1...n}]_q^p \\ \frac{\sigma_1 = \sigma_0 + (\iota \mapsto [l_i = \varsigma(x_i:A_i,\Gamma_i)b_i^{i\in 1...j}-1,j+1...n}{(\sigma_0, \iota.l_j \in \varsigma(s:A_i,\Gamma_i)b) \Downarrow (\sigma_1, \iota)}$$

$$(Subst Let) \\ \frac{(Subst Let)}{(\sigma_0, a) \Downarrow (\sigma_1, v) \quad (\sigma_1, b \{\!\{\ell'_{x_j}\!\}\!\}) \Downarrow (\sigma_2, u)}{(\sigma_0, \mathbf{let} \ x: A = a \mathbf{in} b) \Downarrow (\sigma_2, u)}$$

Fig. 3. Big-step, substitution-based operational semantics

The semantics hold no surprises. Firstly, values require no evaluation (Subst Value). Objects evaluate to a new location, which maps to the original object in the new store (Subst Object). The resulting configuration includes the new store. The evaluation rule (Subst Select) binds the actual parameters  $\Delta$  to the formal parameters  $\Gamma$  within the body of the selected method, and the resulting expression evaluated. (Subst Update) replaces the method named l from the object at location l with the one supplied. (Subst Let) evaluates the first expression a, substitutes the result for x in b, which is then evaluated.

## 5.2 Key Properties

The type system is sound. The proofs have been omitted but generally require straightforward induction.

Soundness depends on the following fundamental lemma.

#### Lemma 1 (Permissibility).

```
1. If E; K \vdash v : A and K' \vdash A, then E; K' \vdash v : A, where v is a value.
```

rules which we omit. They account for the following errors: message-not-understood error, when the method is not present in the object; an incorrect number of arguments supplied to a method call; and the propogation of errors through subexpressions.

The first clause essentially states that the type contains enough information to determine the permission required to access a value. Values can be passed across object boundaries, for example, if the type is well-formed on both the object's inside and outside. This can happen even when the expression computing the value may not have been accessible in both places. This clause is essential for demonstrating type preservation for method select and update.

The second clause states in effect that all subtypes of a given type are accessible wherever the type is accessible. This is required for the validity of substitution and subsumption.

**Definition 1 (Extension).** Environment E' is an extension of E, written  $E' \gg E$ , if and only if E is a subsequence of E'.

The following type preservation result states that reduction preserves typing:

**Theorem 1 (Preservation).** If  $E; K \vdash (\sigma, a) : A \text{ and } (\sigma, a) \Downarrow (\sigma', v), \text{ then there exists an environment } E' \text{ such that } E' \gg E \text{ and } E'; K \vdash (\sigma', v) : A.$ 

Soundness states that well-typed expressions do not go wrong:

**Theorem 2 (Soundness).** If  $\emptyset$ ;  $K \vdash (\emptyset, a) : A$ , then  $(\emptyset, a) \not \Downarrow WRONG$ .

## 6 The Containment Invariant

The containment invariant is a statement about the well-formedness of stores, in particular the underlying reference structure. The containment invariant states that for well-typed stores the following holds:

$$\iota \to \iota' \Rightarrow \operatorname{rep}(\iota) \prec : \operatorname{owner}(\iota'),$$

where owner( $\iota$ ) and rep( $\iota$ ) give the owner and representation context of an object.

To prove this formally requires a little more work than suggested by the intuition at the start of Section 4.1. The key aspect to enforcing containment is the use of permissions to control object access to the owner contexts. We define a series of projection functions which collect owner contexts underlying permissions, types, and locations in expressions. In other words, these functions project permissions, types and expressions onto contexts.

The key results state that the owner context for a value is contained in the underlying contexts for its type, and the owner contexts underlying types and expressions are contained within those of any permission that gives access to the types and expressions. In particular, this means that the permission does really bound the owner contexts of locations in an expression. By applying this result to method bodies — more precisely, the locations a method refers to — we obtain the result we desire.

The projection functions are (where  $\mathbb{P}(\mathcal{C})$  is the powerset of  $\mathcal{C}$ ):

```
 \begin{split} &-\eta: \text{Location} \to \mathcal{C}. \\ &- \llbracket \bot \rrbracket: \text{Permission} \to \mathbb{P}(\mathcal{C}). \\ &- \llbracket \bot \rrbracket: \text{Type} \to \mathbb{P}(\mathcal{C}). \\ &- \llbracket \bot \rrbracket_{\eta}: \text{Expression} \to \mathbb{P}(\mathcal{C}). \end{split}
```

We use the notation  $\eta \models E$  to state that whenever  $\iota : [l_i : A_i^{i \in 1..n}]_q^p$  occurs in E, then  $\eta(\iota) = p$ . That is,  $\eta(\iota)$  is the same as  $\mathsf{owner}(\iota)$ . This serves to define  $\eta$ .

The second and third of these functions are defined as follows:

$$\llbracket [l_i : A_i^{i \in 1..n}]_q^p \rrbracket \stackrel{\widehat{=}}{=} \{p\}$$

The final projection (and later the *refers to* relation) depends on the locations present in an expression:

**Definition 2** (Locations in a Expression). The set of locations in an expression, locs(a), is defined as follows:

$$\begin{aligned} locs(x) & \; \widehat{=} \; \emptyset \\ locs(\iota) & \; \widehat{=} \; \{\iota\} \\ locs([l_i = \varsigma(x_i : A_i, \varGamma_i)b_i{}^{i \in 1..n}]_q^p) & \; \widehat{=} \; \emptyset \\ locs(v.l\langle \Delta \rangle) & \; \widehat{=} \; locs(v) \cup locs(\Delta) \\ locs(\emptyset) & \; \widehat{=} \; \emptyset \\ locs(v, \Delta) & \; \widehat{=} \; locs(v) \cup locs(\Delta) \\ locs(v.l \Leftarrow \varsigma(x : A, \varGamma)b) & \; \widehat{=} \; locs(v) \cup locs(b) \\ locs(let x : A = a \; ln \; b) & \; \widehat{=} \; locs(a) \cup locs(b) \end{aligned}$$

Notice this does not look inside objects, because objects define a boundary inside of which the permissions may be different.

The remaining projection is defined as follows:

$$\llbracket a \rrbracket \stackrel{\frown}{=} \{ \eta(\iota) \mid \iota \in \mathsf{locs}(a) \}$$

The following theorem can be proven by mutual deduction on the structure of typing derivations.

**Theorem 3.** We have the following, where in each relevant case  $\eta \models E$ ,

- 1. If  $K' \subseteq K$ , then  $\llbracket K' \rrbracket \subseteq \llbracket K \rrbracket$ ;
- 2. If  $K \vdash A$ , then  $[\![A]\!] \subseteq [\![K]\!]$ ;
- 3. If  $K \vdash A <: B$ , then  $\llbracket A \rrbracket \subseteq \llbracket B \rrbracket$ ;
- 4. If  $E; K \vdash a : A$ , then  $[a]_{\eta} \subseteq [K]$ ;
- 5. If  $E; K \vdash v : A$ , then  $\llbracket v \rrbracket_{\eta} \subseteq \llbracket A \rrbracket$ ; and

6. If 
$$E: K \vdash (\Theta)(\Delta) \Rightarrow C$$
, then  $[\![\Delta]\!]_n \subseteq [\![K]\!]$ .

It is illuminating to understand the difference between clauses 4 and 5. Clause 4 applies to all expressions including values, stating that permissions control access within expressions. Extending clause 5 to expressions is impossible because an expression may compute using locations which are not captured in the type, yet return a value of a type which only requires a smaller permission to access.

With the notion of a *well-contained store* we capture the containment invariant globally, that is for all stored objects.

### Definition 3 (Well-contained Store).

$$\begin{aligned} \textit{wf}_{\eta}(\sigma) & \mathrel{\widehat{=}} \bigwedge_{\iota \mapsto o \in \sigma} \textit{wf}_{\eta}(o) \\ \textit{wf}_{\eta}([l_i = \varsigma(x_i : A_i, \varGamma_i) b_i^{\ i \in 1..n}]_q^p) & \mathrel{\widehat{=}} \llbracket b_i \rrbracket_{\eta} \subseteq \llbracket \langle q \uparrow \rangle \rrbracket \end{aligned}$$

We can use Theorem 3 to easily prove that a well-typed store is well-contained:

# **Lemma 2.** If $E \vdash \sigma$ and $\eta \models E$ then $\mathbf{wf}_{\eta}(\sigma)$ .

We now convert this result to a local one, that is, one defined between pair of locations, thus demonstrating containment invariance. Firstly, we need the *refers to* relation, which collects the locations present in the bodies of all the methods of an object:

**Definition 4** (refers to). The refers to relation,  $\rightarrow_{\sigma}$ , for store  $\sigma$  is defined as:  $\iota \rightarrow_{\sigma} \iota'$  iff  $\iota \mapsto [l_i = \varsigma(x_i : A_i, \Gamma_i)b_i^{\ i \in 1...n}]_q^p \in \sigma \land \iota' \in locs(b_i)$ , for some  $i \in 1...n$ 

The functions which give the owner and representation context of an object are defined for a given location-object,  $\iota \mapsto [l_i = \varsigma(x_i : A_i, \Gamma_i)b_i{}^{i \in 1..n}]_q^p \in \sigma$ , as:  $\mathsf{owner}_{\sigma}(\iota) \triangleq p$  and  $\mathsf{rep}_{\sigma}(\iota) \triangleq q$ ,

The containment invariant is now straightforward:

## Theorem 4 (Containment Invariant).

If 
$$E \vdash \sigma$$
 then  $\iota \to_{\sigma} \iota' \Rightarrow rep_{\sigma}(\iota) \prec : owner_{\sigma}(\iota')$ .

#### Proof:

- 1. Assume:  $E \vdash \sigma$  and  $\iota \to_{\sigma} \iota'$ . In addition, select an  $\eta$  for which  $\eta \models E$ .
- 2. By Lemma 2,  $\mathbf{wf}_n(\sigma)$ .
- 3. So  $\iota \mapsto [l_i = \varsigma(x_i : A_i, \Gamma_i)b_i^{i \in 1..n}]_q^p \in \sigma$ , where  $\iota' \in \mathsf{locs}(b_i)$  for some i, and  $q = \mathsf{rep}_{\sigma}(\iota)$ .
- 4. By 2 and Definition 3, we get  $\llbracket b_i \rrbracket_{\eta} \subseteq \llbracket \langle q \uparrow \rangle \rrbracket$ , where  $\eta \models E$ .
- 5. From the definition of  $\llbracket a \rrbracket_{\eta}$  for expressions it is clear that  $\llbracket \iota' \rrbracket_{\eta} \subseteq \llbracket b_i \rrbracket_{\eta}$ .
- 6. But  $\llbracket \iota' \rrbracket_{\eta} = \{ \operatorname{owner}_{\sigma}(\iota') \}$ .
- 7. Therefore  $\mathsf{owner}_{\sigma}(\iota') \in [\![\langle q \uparrow \rangle]\!]$ , where  $q = \mathsf{rep}_{\sigma}(\iota)$ .
- 8. Unravelling the definition of  $[\![\langle q \uparrow \rangle]\!]$ , we get  $\mathsf{rep}_{\sigma}(\iota) \prec : \mathsf{owner}_{\sigma}(\iota')$ , as required.

This proof technique generalises to the type system of companion work [13]. This will appear in the first author's thesis [14].

# 7 Related Work

The pointer structures within object-oriented programs have received surprisingly little examination over the last decade — much less interest than has been lavished on the more tractable problem of inheritance relationships between classes. Good surveys of the problems caused (and advantages gained) by aliasing in object-oriented programming can be found elsewhere [24, 3, 34]. More general notions of references, aggregation, object containment, and ownership have been considered in detail, and are now part of accepted standards [12, 20, 26, 17, 36, 35].

Early work [24], beginning with Islands [23] generally took an informal approach to describing or restricting programs' topologies, based on very simple models of containment. Islands, for example, is based on statically checked mode annotations attached to an object's interface, while the more recent Balloons [3] depends upon sophisticated abstract interpretation to enforce the desired restrictions. Often, these kinds of systems mandate copying, swapping, temporary variables, or destructive reads (rather than standard assignments) to protect their invariants, [5, 10, 21, 28, 30, 9], so they are unable to express many common uses of aliasing in object-oriented programs.

Static alias analysis has similarly long been of interest to compiler writers, even since programming languages began to permit aliasing. Whole programs can be analysed directly to detect possible aliasing [27, 16, 25], or hints may be given to the compiler as to probable aliasing invariants [22]. Static analysis techniques have also been developed to optimise locking in concurrent languages, particularly Java [11, 6, 7, 2, 38]. This work is typically based around escape analysis and removes exclusion from objects that can be shown to be owned by a single thread, although Aldrich et.al.'s work also removes redundant synchronisation due to enclosing locks [2], implying a very simple notion of per-object ownership.

More recent work [33] has attempted to be more practically useful, combining annotations on objects with more flexible models of containment or ownership. Flexible Alias Protection [34] uses a number of annotations to provide nested per-object ownership, while permitting objects to refer to objects belonging to their (transitive) container as well as objects they own directly. A dynamically checked variant has also been proposed [32].

Guava [4] uses a system of annotations on variables and types similar to Flexible Alias Protection, but motivated towards controlling synchronisation in concurrent Java programs, rather than managing aliasing per se. Confined Types [8] use only one annotation to confine objects inside Java packages. This gives a much coarser granularity of ownership than many other proposals, so is advocated mostly for security reasons. Sandwich Types [18] are similar to Confined Types in that they restrict references from instance of one type to instances of another, however they are intended to improve locality by using a separate heap for each Sandwich. Universes [31] are in some way the most similar to the ownership types we have presented here. Their universes are like our representation contexts, and they do incorporate subtyping. However they do not have the clear separation of owner and rep context that we have presented here.

In a companion paper, we develop a more complex ownership type system incorporating dynamic creation of contexts, which allows every object to have its own context, as well as context parameters on methods, and existential quantification over contexts [13]. The simplified rule for object subtyping, (Sub Object), presented in this paper does not appear in the companion work. It would allow existential quantification to be eliminated, simplifying the underlying type system. The present work is simpler and closer to proposals such as Confined Types [8], which depend on a predefined containment model. We believe that this is appropriate particularly for security-sensitive applications.

## 8 Conclusion

In this paper, we have presented extensions to Abadi and Cardelli's object calculus to describe object ownership. Ownership and representation contexts were added to both objects and object types: the owner context controls which other objects can access an object, while the representation context controls which other objects an object can access. Combined, these form the basis for our containment invariant, which holds for the type system presented here.

The advantage these extensions confer onto the object calculus is simple: the extended calculus can now model containment in a natural and straightforward manner. Due to our static type system, system-level invariants based on containment can be described directly and enforced without any runtime overheads.

The simple type system presented in this paper is restricted in that ownership contexts are fixed: new contexts cannot be created at runtime. While this is sufficient to model systems such as Confined Types [8], we are continuing to develop more powerful (and therefore more complex) type systems that can model systems such as Flexible Alias Protection [34] and its even more flexible successors.

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