Capabilities: Effects for Free

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Abstract. Object capabilities are increasingly used to reason informally about the properties of secure systems. Can capabilities also aid in *formal* reasoning? To answer this question, we examine a calculus that uses effects to capture resource use and extend it with a rule that captures the essence of capability-based reasoning. We demonstrate that capabilities provide a way to reason for free about effects: we can bound the effects of an expression based on the capabilities to which it has access. This reasoning is "free" in that it relies only on type-checking (not effect-checking); does not require the programmer to add effect annotations within the expression; nor does it require the expression to be analysed for its effects. Our result sheds light on the essence of what capabilities provide and suggests ways of integrating lightweight capability-based reasoning into languages.

1 Introduction

Capabilities have been recently gaining new attention as a promising mechanism for controlling access to resources, particularly in object-oriented languages and systems [15, 6, 5, 4]. A *capability* is an unforgeable token that can be used by its bearer to perform some operation on a resource [3]. In a *capability-safe* language, all resources must be accessed through object capabilities, and a resource-access capability must be obtained from an object that already has it: "only connectivity begets connectivity" [15]. For example, a `logger` component that provides a logging service would need to be initialised with an object capability providing the ability to append to the log file.

Capability-safe languages thus prohibit the *ambient authority* [16] that is present in non-capability-safe languages. An implementation of a `logger` in Java, for example, does not need to be initialised with a log file capability; it can simply import the appropriate file-access library and open the log file for appending by itself. But critically, a malicious implementation could also delete the log, read from another file, or exfiltrate logging information over the network. Other mechanisms such as sandboxing can be used to limit the effects of such malicious components, but recent work has found that Java's sandbox (for example) is difficult to use and is therefore often misused [2, 12].

In practice, reasoning about resource use in capability-based systems is mostly done informally. But if capabilities are useful for *informal* reasoning, shouldn't they also aid in *formal* reasoning? Recent work by Drossopoulou et. al. sheds some light on this question by presenting a logic that formalizes capability-based reasoning about trust

between objects [6]. Two other trains of work, rather than formalise capability-based reasoning itself, reason about how capabilities may be used. Dimoulas et al. developed a formalism for reasoning about which components may use a capability and which may influence (perhaps indirectly) the use of a capability [5]. Devriese et al. formulate an effect parametricity theorem that limits the effects of an object based on the capabilities it possesses, and then use logical relations to reason about capability use in higher-order settings [4] . Overall, this prior work presents new formal systems for reasoning about capability use, or reasoning about new properties using capabilities.

We are interested in a different question: can capabilities be used to enhance formal reasoning that is currently done without relying on capabilities? In other words, what value do capabilities add to existing formal reasoning approaches?

To answer this question, we decided to pick a simple and practical formal reasoning system, and see if capability-based reasoning could help. A natural choice for our investigation is effect systems [17]. Effect systems are a relatively simple formal reasoning approach, and keeping things simple will help to highlight the difference made by capabilities. Effects also have an intuitive link to capabilities: in a system that uses capabilities to protect resources, an expression can only have an effect on a resource if it is given a capability to do so.

One challenge to the wider adoption of effect systems is their annotation overhead [18]. Java's checked exception system, which is a kind of effect system, is often criticised for being cumbersome [8]. While effect inference can be used to reduce the annotations required [10], understanding error messages that arise through effect inference requires a detailed understanding of the internal structure of the code, not just its interface. Capabilities are a promising alternative for reducing the overhead of effect annotations, as suggested by the following example:

```
1 import log : String -> Unit with effect File.write
2 e
```

The code above, like the rest in this paper, is written in a capability-safe language supporting first-class, object-like modules, similar to *Wyvern* [9]. It should be read as the expression `e` declaring what capabilities it needs to execute. In this case, `e` must be passed a function of type `String` $\rightarrow$ `Unit`, which incurs no more than the single `File.write` effect when invoked. This function is bound to the name `log` inside `e`, which is then evaluated.

If we were to evaluate `e`, what could we say about its effects on resources, such as the file system or network? Since we are in a capability-safe language, `e` has no ambient authority, so the only way it can have any effects is via the `log` function given to it. Since the `log` function is annotated as having no more than the `File.write` effect, this is an upper-bound on the effects of `e`. Note that we did not require anything of `e`, other than that it obeys the rules of a capability-safe language. In particular, we don't require it to have any effect annotations, and we don't need to analyse its structure, like an effect inference would have to do. Also note that `e` might be arbitrarily large, perhaps consisting of an entire program we have downloaded from a source we trust enough to write to a log, but not enough to access any other resources. Thus in this scenario, capabilities can be used to reason "for free" about the effects of a large body of code (`e`) based on a few annotations on the components it imports (`log`).

This example illustrates the central intuition of this paper: in a capability-safe setting, the effects of an unannotated expression can be bounded by the effects latent in the variables that are in scope. In the remainder of this paper, we formalise these ideas in a capability calculus (CC; section 2). Along the way we must generalise this intuition to handle higher-order programs: what if `log` takes a higher-order argument? If `e` evaluates not to `unit`, but to a function, what can we say about its effects?

Although the current resurgence of interest in capabilities is primarily focused on object-oriented languages, for simplicity our formal definitions build on a typed lambda calculus with a simple notion of capabilities and their operations. CC permits the nesting of unannotated code inside annotated code in a controlled, capability-safe manner using the `import` construct from above. This allows us to reason about unannotated code by inspecting what capabilities are passed into it from its annotated surroundings. We then show how CC can model practical situations, using it to encode a range of Wyvern-like programs. A more thorough discussion of how this is done is given in an accompanying technical report. [1].

2 Capability Calculus (CC)

Allowing a mix of annotated [with effects] and unannotated code helps reduce the cognitive overhead on developers, allowing them to rapidly prototype in the unannotated sublanguage and incrementally add annotations as they are needed. However, reasoning about unannotated code is difficult in general. Figure 1 demonstrates why: `someMethod` takes a function f as input and executes it, but the effects of f depend on its implementation. Without more information, there is no way to know what effects might be incurred by `someMethod`.

```
1 def someMethod(f: Unit → Unit):
2   f()
```

Fig. 1. What effects can `someMethod` incur?

Consider another scenario, where a developer must decide whether or not to use the `logger` functor defined in Figure 2. This functor takes two capabilities as input, `File` and `Socket`[3]. It instantiates an object-like module that has a single, unannotated `log` method with access to these capabilities. The type of this object-like module is `Logger`, which is assumed to be defined elsewhere.

```
1 module def logger(f:{File},s:{Socket}):Logger
2
3 def log(x: Unit): Unit
4   ...
```

Fig. 2. In a capability-safe setting, `logger` can only exercise authority over the `File` and `Socket` capabilities given to it.

What effects will be incurred if `Logger.log` is invoked? One approach is to manually[4] examine its source code, but this is tedious and error-prone. In many real-world

[3] Note that the resource literal is `File`, while the type of the resource literal is {`File`}.

[4] or automatically—but if the automation produces an unexpected result we must fall back to manual reasoning to understand why.

situations, the source code may be obfuscated or unavailable. A capability-based argument can do better, since a `Logger` can only exercise what authority it is explicitly given. In this case, the `logger` functor must be given `File` and `Socket`, so an upper bound on the effects of the `Logger` it instantiates will be the set of all operations on those resources, $\{\texttt{File}.*, \texttt{Socket}.*\}$. Knowing the `Logger` could perform arbitrary reads and writes to `File`, or arbitrary communication with `Socket`, the developer decides this implementation cannot be trusted and does not use it.

This reasoning only required us to examine what code was passed into the unannotated `log` function by its annotated surroundings. To model this situation in `CC`, we add a new `import` expression that selects what authority ε the unannotated code may exercise. In the above example, the expected least authority of `Logger` is $\{\texttt{File.append}\}$, so that is what the corresponding `import` would select. The type system can then check if the capabilities being passed into the unannotated code exceed its selected authority. If it accepts, then ε safely approximates the effects of the unannotated code. This is the key result: when unannotated code is nested inside annotated code, capability-safety enables us to make a safe inference about its effects by examining what capabilities are being passed in by the annotated code.

2.1 Grammar (`CC`)

The grammar of `CC` is split into rules for annotated code and analogous rules for unannotated code. To distinguish the two, we put a hat above annotated types, expressions, and contexts: $\hat{e}$, $\hat{\tau}$, and $\hat{\Gamma}$ are annotated, while e, τ, and Γ are unannotated. The rules for unannotated programs and their types are given in Figure 3. Unannotated types τ are built using $\rightarrow$ and sets of resources $\{\bar{r}\}$. An unannotated context Γ maps variables to unannotated types.

$$
\begin{array}{rlr}
e ::= & & exprs: \\
 & x & variable \\
 & v & value \\
 & e\ e & application \\
 & e.\pi & operation \\
 & & \\
v ::= & & values: \\
 & r & resource\ literal \\
 & \lambda x : \tau . e & abstraction
\end{array}
\qquad
\begin{array}{rlr}
\tau ::= & & types: \\
 & \{\bar{r}\} & \\
 & \tau \rightarrow \tau & \\
 & & \\
\Gamma ::= & & type\ ctx: \\
 & \varnothing & \\
 & \Gamma, x : \tau & \\
 & & \\
\varepsilon ::= & & effects: \\
 & \{\overline{r.\pi}\} & effect\ set
\end{array}
$$

Fig. 3. Unannotated programs and types in `CC`.

Rules for annotated programs and their types are in Figure 4. The first main difference is that the arrow type constructor now has a subscript ε, which is a set of effects that functions of that type may incur.

The other main difference is the new expression form, $\texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e$, which models the points at which capabilities are passed from annotated code into unannotated code. e is the unannotated code, while $\hat{e}$ is the capability being given to e; we call $\hat{e}$ an import. Note this definition allows an import to be any kind of expression, not just a resource literal. For simplicity, we assume only one capability is

$$
\begin{array}{lll}
\hat{e} ::= & & \textit{labeled exprs}: \\
\quad | & x & \\
\quad | & \hat{v} & \\
\quad | & \hat{e}\ \hat{e} & \\
\quad | & \hat{e}.\pi & \\
\quad | & \texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e & \textit{import} \\
\\
\hat{v} ::= & & \textit{labeled values}: \\
\quad | & r & \\
\quad | & \lambda x : \hat{\tau}.\hat{e} &
\end{array}
\qquad
\begin{array}{lll}
\hat{\tau} ::= & & \textit{annotated types}: \\
\quad | & \{\overline{r}\} & \\
\quad | & \hat{\tau} \rightarrow_{\varepsilon} \hat{\tau} & \\
\\
\hat{\Gamma} ::= & & \textit{annotated type ctx}: \\
\quad | & \varnothing & \\
\quad | & \hat{\Gamma}, x : \hat{\tau} & \\
\\
\varepsilon ::= & & \textit{effects}: \\
\quad | & \{\overline{r.\pi}\} & \textit{effect set}
\end{array}
$$

Fig. 4. Annotated programs and types in CC.

being passed into e. $\hat{e}$ is bound to the variable x inside e. ε_s is the maximum authority that e is allowed to exercise (its "selected authority"). As an example, suppose an unannotated `Logger`, which requires `File`, is expected to only `append` to a file, but has an implementation that writes. This would be modelled by the expression $\texttt{import}(\texttt{File.append})\ x = \texttt{File}\ \texttt{in}\ \lambda y : \texttt{Unit}.\ \texttt{x.write}$.

Observe that `import` is the only way to mix annotated and unannotated code, because it is the only situation in which we can say something interesting about the unannotated code. For the rest of our discussion on CC, we will only be interested in unannotated code when it is encapsulated by an `import` expression.

One of the requirements of capability safety is that there be no ambient authority. We meet this requirement by forbidding resource literals from being used directly inside an `import` statement (they can still be passed in as a capability via the `import`'s binding variable x). We could enforce this syntactically, by removing r from the language of unannotated expressions, but we choose to do it instead using the typing rule for `import`, given below.

2.2 Semantics (CC)

Reductions are defined on annotated expressions. The notation $\hat{e} \longrightarrow \hat{e}' \mid \varepsilon'$ means that $\hat{e}$ is being reduced to $\hat{e}'$ in a single step, incurring the set of effects ε'. The rules for CC are natural extensions of the simply-typed lambda calculus, so apart from the rules for `import`, we shall omit them for brevity.

If unannotated code e is wrapped inside annotated code $\texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e$, we transform it into annotated code by recursively annotating its parts with ε_s. In practice, it is meaningful to execute purely annotated code, but since we are only interested when that code is wrapped inside an `import` expression, we do not bother to give rules for it. There are two rules for reducing `import` expressions, given in Figure 5. E-IMPORT1 reduces the capability being imported. When it has been reduced to a value $\hat{v}$, E-IMPORT2 first annotates e with its selected authority ε — this is $\texttt{annot}(e, \varepsilon)$ — and then substitutes the import $\hat{v}$ for its name x in e — this is $[\hat{v}/x]\texttt{annot}(e, \varepsilon)$.

$\texttt{annot}(e, \varepsilon)$ produces the expression obtained by recursively annotating the parts of e with the set of effects ε. A definition is given in Figure 6. There are versions of `annot` defined for expressions and types. Later we shall need to annotate contexts, so

$\boxed{\hat{e} \longrightarrow \hat{e} \mid \varepsilon}$

$$\frac{\hat{e} \longrightarrow \hat{e}' \mid \varepsilon'}{\texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e \longrightarrow \texttt{import}(\varepsilon_s)\ x = \hat{e}'\ \texttt{in}\ e \mid \varepsilon'}\ \text{(E-IMPORT1)}$$

$$\frac{}{\texttt{import}(\varepsilon_s)\ x = \hat{v}\ \texttt{in}\ e \longrightarrow [\hat{v}/x]\texttt{annot}(e, \varepsilon_s) \mid \varnothing}\ \text{(E-IMPORT2)}$$

Fig. 5. New single-step reductions in CC.

the definition is given here. It is worth mentioning that annot operates on a purely syntatic level; nothing prevents us from annotating a program with something unsafe, so any use of annot must be justified.

$\texttt{annot} :: e \times \varepsilon \to \hat{e}$

$$\begin{aligned}
&\texttt{annot}(r, _) = r \\
&\texttt{annot}(\lambda x : \tau_1.e, \varepsilon) = \lambda x : \texttt{annot}(\tau_1, \varepsilon).\texttt{annot}(e, \varepsilon) \\
&\texttt{annot}(e_1\ e_2, \varepsilon) = \texttt{annot}(e_1, \varepsilon)\ \texttt{annot}(e_2, \varepsilon) \\
&\texttt{annot}(e_1.\pi, \varepsilon) = \texttt{annot}(e_1, \varepsilon).\pi
\end{aligned}$$

$\texttt{annot} :: \tau \times \varepsilon \to \hat{\tau}$

$$\begin{aligned}
&\texttt{annot}(\{\bar{r}\}, _) = \{\bar{r}\} \\
&\texttt{annot}(\tau_1 \to \tau_2, \varepsilon) = \texttt{annot}(\tau_1, \varepsilon) \to_\varepsilon \texttt{annot}(\tau_2, \varepsilon).
\end{aligned}$$

$\texttt{annot} :: \Gamma \times \varepsilon \to \hat{\Gamma}$

$$\begin{aligned}
&\texttt{annot}(\varnothing, _) = \varnothing \\
&\texttt{annot}(\Gamma, x : \tau, \varepsilon) = \texttt{annot}(\Gamma, \varepsilon), x : \texttt{annot}(\tau, \varepsilon)
\end{aligned}$$

Fig. 6. Definition of annot.

2.3 Static Rules (CC)

A term can be annotated or unannotated, so we need to be able to recognise when either is well-typed. We do not reason about the effects of unannotated code directly, so judgements involving them ascribe only a type to an expression, and have the form $\Gamma \vdash e : \tau$. Subtyping judgements have the form $\tau <: \tau$. A summary of these rules is given in Figure 7.

The annotated static rules are effectively the same, except judgements now ascribe a type $\hat{\tau}$ and a set of effects ε to an expression $\hat{e}$. The form for this is $\hat{\Gamma} \vdash \hat{e} : \hat{\tau}\ \texttt{with}\ \varepsilon$. The interesting rule is ε-IMPORT, given in Figure 16. This is the only way to reason about what effects might be incurred by some unannotated code. The rule is complicated, so to explain it we shall start with a simplified, but incorrect version, and spend the rest of the section building up to the final version.

To begin, typing $\texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e$ in a context $\hat{\Gamma}$ requires us to know that the import $\hat{e}$ is well-typed, so we add the premise $\hat{\Gamma} \vdash \hat{e} : \hat{\tau}\ \texttt{with}\ \varepsilon_1$. e is only allowed

$\boxed{\Gamma \vdash e : \tau}$

$$\frac{}{\Gamma, x : \tau \vdash x : \tau}\ \text{(T-VAR)} \qquad \frac{}{\Gamma, r : \{r\} \vdash r : \{r\}}\ \text{(T-RESOURCE)} \qquad \frac{\Gamma, x : \tau_1 \vdash e : \tau_2}{\Gamma \vdash \lambda x : \tau_1 . e : \tau_1 \to \tau_2}\ \text{(T-ABS)}$$

$$\frac{\Gamma \vdash e_1 : \tau_2 \to \tau_3 \quad \Gamma \vdash e_2 : \tau_2}{\Gamma \vdash e_1\ e_2 : \tau_3}\ \text{(T-APP)} \qquad \frac{\Gamma \vdash e : \{\bar{r}\}}{\Gamma \vdash e.\pi : \texttt{Unit}}\ \text{(T-OPERCALL)}$$

$\boxed{\tau <: \tau}$

$$\frac{\tau_1' <: \tau_1 \quad \tau_2 <: \tau_2'}{\tau_1 \to \tau_2 <: \tau_1' \to \tau_2'}\ \text{(S-ARROW)} \qquad \frac{\{\bar{r}_1\} \subseteq \{\bar{r}_2\}}{\{\bar{r}_1\} <: \{\bar{r}_2\}}\ \text{(S-RESOURCES)}$$

Fig. 7. (Sub)typing judgements for the unannotated sublanguage of `CC`

to use what authority has been explicitly given to it (i.e. the capability $\hat{e}$, bound to x). To ensure this, we require that e can be typechecked using only one binding, $x : \hat{\tau}$, which binds x to the type of the capability $\hat{e}$ being imported. Typing e in this restricted environment means it cannot use any other capabilities, thus prohibiting the exercise of ambient authority.

There is a problem though: e is unannotated, while $\hat{\tau}$ is annotated, and there is no rule for typechecking unannotated code in an annotated context. To get around this, we define a function `erase` in Figure 8, which removes the annotations from a type. We then add $x : \texttt{erase}(\hat{\tau}) \vdash e : \tau$ as a premise.

$\texttt{erase} :: \hat{\tau} \to \tau$

$$\begin{aligned} \texttt{erase}(\{\bar{r}\}) &= \{\bar{r}\} \\ \texttt{erase}(\hat{\tau}_1 \to_\varepsilon \hat{\tau}_2) &= \texttt{erase}(\hat{\tau}_1) \to \texttt{erase}(\hat{\tau}_2) \end{aligned}$$

Fig. 8. Definition of `erase`.

The first version of ε-IMPORT is given in Figure 9. Since $\texttt{import}(\varepsilon_s)\ x = \hat{v}\ \texttt{in}\ e$ reduces to $[\hat{v}/x]\texttt{annot}(e, \varepsilon_s)$ by E-IMPORT2, its ascribed type should be $\texttt{annot}(\tau, \varepsilon)$, which is the type of the unannotated code e, annotated with its selected authority ε_s. The effects of reducing the `import` are $\varepsilon_1 \cup \varepsilon_s$ — the former happens when the imported capability is reduced to a value, while the latter happens when the body of the `import` expression is annotated and executed.

$$\frac{\hat{\Gamma} \vdash \hat{e} : \hat{\tau}\ \texttt{with}\ \varepsilon_1 \quad x : \texttt{erase}(\hat{\tau}) \vdash e : \tau}{\hat{\Gamma} \vdash \texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e : \texttt{annot}(\tau, \varepsilon_s)\ \texttt{with}\ \varepsilon_s \cup \varepsilon_1}\ (\varepsilon\text{-IMPORT1-BAD})$$

Fig. 9. A first (incorrect) rule for type-and-effect checking `import` expressions.

This first rule permits any capability to be passed to the unannotated code e, regardless of what capabilities it is asking for (in its selected authority ε_s). To ensure that unannotated code cannot import any capabilities beyond what it declares, we define a function `effects`, which collects the set of effects that an annotated type captures. For example, `File` captures every operation on `File`, which is the set $\{\texttt{File}.*\}$. A

first (but not yet correct) definition is given in Figure 10. We then add the premise $\texttt{effects}(\hat{\tau}) \subseteq \varepsilon_s$, which restricts imported capabilities to only those which effects selected in ε_s. The updated rule is given in Figure 11.

$\texttt{effects} :: \hat{\tau} \to \varepsilon$

$$\texttt{effects}(\{\bar{r}\}) = \{r.\pi \mid r \in \bar{r}, \pi \in \Pi\}$$
$$\texttt{effects}(\hat{\tau}_1 \to_\varepsilon \hat{\tau}_2) = \texttt{effects}(\hat{\tau}_1) \cup \varepsilon \cup \texttt{effects}(\hat{\tau}_2)$$

Fig. 10. A first (incorrect) definition of `effects`.

$$\frac{\hat{\Gamma} \vdash \hat{e} : \hat{\tau}\ \texttt{with}\ \varepsilon_1 \quad x : \texttt{erase}(\hat{\tau}) \vdash e : \tau \quad \texttt{effects}(\hat{\tau}) \subseteq \varepsilon_s}{\hat{\Gamma} \vdash \texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e : \texttt{annot}(\tau, \varepsilon_s)\ \texttt{with}\ \varepsilon \cup \varepsilon_1}\ (\varepsilon\text{-IMPORT2-BAD})$$

Fig. 11. A second (still incorrect) rule for type-and-effect checking `import` expressions.

There are still issues with this second rule, as the annotations on one import can be broken by another import. To illustrate, consider Figure 12 where two[5] capabilities are imported. This program imports a function `go` which, when given a $\texttt{Unit} \to_\varnothing \texttt{Unit}$ function with no effects, will execute it. The other import is `File`. The unannotated code creates a $\texttt{Unit} \to \texttt{Unit}$ function which writes to `File` and passes it to `go`, which subsequently incurs `File.write`.

```
1 import({File.*})
2   go = λx: Unit →∅ Unit. x unit
3   f = File
4 in
5   go (λy: Unit. f.write)
```

Fig. 12. Permitting multiple imports will break ε-IMPORT2.

In the world of annotated code, it is not possible to pass a file-writing function to `go`, but because the judgement $x : \texttt{erase}(\hat{\tau}) \vdash e : \tau$ discards the annotations on `go`, and since the file-writing function has type $\texttt{unit} \to \texttt{unit}$, the unannotated world accepts it. Although the unannotated code is allowed to incur this effect—since its selected authority is $\{\texttt{File.}*\}$, which contains `File.write`—it is nonetheless violating the type signature of `go`. We want to prevent this.

If `go` had the type $\texttt{Unit} \to_{\{\texttt{File.write}\}} \texttt{Unit}$ the above example would be safe. However, a modified version of this example, where a file-reading function is passed to `go`, would have the same issue. `go` is only safe when it expects every effect that the unannotated code might pass to it. If `go` had the type $\texttt{Unit} \to_{\{\texttt{File.}*\}} \texttt{Unit}$, then the unannotated code cannot pass it a capability with an effect it isn't already expecting. To ensure this is the case, we shall require that imported capabilities have authority to incur all of

[5] Our formalisation only permits a single capability to be imported, but this discussion leads to a generalisation needed for the rules to be safe when multiple capabilities can be imported. In any case, importing multiple capabilities can be handled with an encoding of pairs.

the effects in ε_s. To achieve greater control in how we say this, we split the definition of `effects` into two separate functions called `effects` and `ho-effects`. The latter is for higher-order effects, which are those effects not captured within a function, but rather are possible because of what is passed to the function as an argument. If values of $\hat{\tau}$ possess a capability that can be used to incur the effect $r.\pi$, then $r.\pi \in \texttt{effects}(\hat{\tau})$. If values of $\hat{\tau}$ can incur a effect $r.\pi$, but need to be given the capability (as a function argument) by someone else in order to do it, then $r.\pi \in \texttt{ho-effects}(\hat{\tau})$. Definitions are given in Figure 13.

$\texttt{effects} :: \hat{\tau} \to \varepsilon$

$$\texttt{effects}(\{\bar{r}\}) = \{r.\pi \mid r \in \bar{r}, \pi \in \Pi\}$$
$$\texttt{effects}(\hat{\tau}_1 \to_\varepsilon \hat{\tau}_2) = \texttt{ho-effects}(\hat{\tau}_1) \cup \varepsilon \cup \texttt{effects}(\hat{\tau}_2)$$

$\texttt{ho-effects} :: \hat{\tau} \to \varepsilon$

$$\texttt{ho-effects}(\{\bar{r}\}) = \varnothing$$
$$\texttt{ho-effects}(\hat{\tau}_1 \to_\varepsilon \hat{\tau}_2) = \texttt{effects}(\hat{\tau}_1) \cup \texttt{ho-effects}(\hat{\tau}_2)$$

Fig. 13. Effect functions (corrected).

Both `effects` and `ho-effects` are mutually recursive, with base cases for resource types. Any effect can be directly incurred by a resource on itself, hence $\texttt{effects}(\{\bar{r}\}) = \{r.\pi \mid r \in \bar{r}, \pi \in \Pi\}$. A resource cannot be used to indirectly invoke some other effect, so $\texttt{ho-effects}(\{\bar{r}\}) = \varnothing$. The mutual recursion echoes the subtyping rule for functions. Recall that functions are contravariant in their input type and covariant in their output; likewise, both functions recurse on the input-type using the other function, and recurse on the output-type using the same function.

In light of these new definitions, we still require $\texttt{effects}(\hat{\tau}) \subseteq \varepsilon_s$ — unannotated code must select any effect its capabilities can incur — but we add a new premise $\varepsilon_s \subseteq \texttt{ho-effects}(\hat{\tau})$, stipulating that imported capabilities must know about every effect they could be given by the unannotated code (which is at most ε_s). The counterexample from Figure 12 is now rejected, because $\texttt{ho-effects}((\texttt{Unit} \to_\varnothing \texttt{Unit}) \to_\varnothing \texttt{Unit}) = \varnothing$, but $\texttt{effects}(\texttt{File}) = \{\texttt{File}.*\} \not\subseteq \varnothing$. However, this is *still* not sufficient! Consider $\varepsilon_s \subseteq \texttt{ho-effects}(\hat{\tau}_1 \to_{\varepsilon'} \hat{\tau}_2)$. We want *every* higher-order capability involved to be expecting ε_s. Expanding the definition of `ho-effects`, this is the same as $\varepsilon_s \subseteq \texttt{effects}(\hat{\tau}_1) \cup \texttt{ho-effects}(\hat{\tau}_2)$. Let $r.\pi \in \varepsilon_s$ and suppose $r.\pi \in \texttt{effects}(\hat{\tau}_1)$, but $r.\pi \notin \texttt{ho-effects}(\hat{\tau}_2)$. Then $\varepsilon_s \subseteq \texttt{effects}(\hat{\tau}_1) \cup \texttt{ho-effects}(\hat{\tau}_2)$ is still true, but $\hat{\tau}_2$ is not expecting $r.\pi$. Unannotated code could then violate the annotations on $\hat{\tau}_2$ by passing it a capability for $r.\pi$. The cause of this issue is that $\subseteq$ does not distribute over $\cup$. We want a relation like $\varepsilon_s \subseteq \texttt{effects}(\hat{\tau}_1) \cup \texttt{ho-effects}(\hat{\tau}_2)$, which also implies $\varepsilon_s \subseteq \texttt{effects}(\hat{\tau}_1)$ and $\varepsilon_s \subseteq \texttt{effects}(\hat{\tau}_2)$. Figure 14 defines this: `safe` is a distributive version of $\varepsilon_s \subseteq \texttt{effects}(\hat{\tau})$ and `ho-safe` is a distributive version of $\varepsilon_s \subseteq \texttt{ho-effects}(\hat{\tau})$.

An amended version of ε-IMPORT is given in Figure 15. It contains a new premise $\texttt{ho-safe}(\hat{\tau}, \varepsilon_s)$ which formalises the notion that every capability which could be given to a value of $\hat{\tau}$ — or any of its constituent parts — must be expecting the effects ε_s it might be given by the unannotated code. The premises so far restrict what authority

$\boxed{\texttt{safe}(\hat{\tau}, \varepsilon)}$

$$\frac{}{\texttt{safe}(\{\bar{r}\}, \varepsilon)}\ (\textsc{Safe-Resource}) \qquad \frac{\varepsilon \subseteq \varepsilon' \quad \texttt{ho-safe}(\hat{\tau}_1, \varepsilon) \quad \texttt{safe}(\hat{\tau}_2, \varepsilon)}{\texttt{safe}(\hat{\tau}_1 \to_{\varepsilon'} \hat{\tau}_2, \varepsilon)}\ (\textsc{Safe-Arrow})$$

$\boxed{\texttt{ho-safe}(\hat{\tau}, \varepsilon)}$

$$\frac{}{\texttt{ho-safe}(\{\bar{r}\}, \varepsilon)}\ (\textsc{HOSafe-Resource}) \qquad \frac{\texttt{safe}(\hat{\tau}_1, \varepsilon) \quad \texttt{ho-safe}(\hat{\tau}_2, \varepsilon)}{\texttt{ho-safe}(\hat{\tau}_1 \to_{\varepsilon'} \hat{\tau}_2, \varepsilon)}\ (\textsc{HOSafe-Arrow})$$

Fig. 14. Safety judgments in CC.

$$\frac{\hat{\Gamma} \vdash \hat{e} : \hat{\tau} \texttt{ with } \varepsilon_1 \qquad \texttt{ho-safe}(\hat{\tau}, \varepsilon_s) \qquad x : \texttt{erase}(\hat{\tau}) \vdash e : \tau}{\hat{\Gamma} \vdash \texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e : \texttt{annot}(\tau, \varepsilon_s)\ \texttt{with}\ \varepsilon \cup \varepsilon_1}\ (\varepsilon\text{-}\textsc{Import3-Bad})$$

Fig. 15. A third (still incorrect) rule for type-and-effect checking `import` expressions.

can be selected by unannotated code, but what about authority passed as a function argument? Consider the example $\hat{e} = \texttt{import}(\varnothing)\ x = \texttt{unit}\ \texttt{in}\ \lambda f : \texttt{File}.\ \texttt{f.write}$. The unannotated code selects no capabilities and returns a function which, when given `File`, incurs `File.write`. This satisfies the premises in ε-IMPORT3, but its annotated type is $\{\texttt{File}\} \to_{\varnothing} \texttt{Unit}$: not good!

Suppose the unannotated code defines a function f, which gets annotated with ε_s to produce $\texttt{annot}(f, \varepsilon_s)$. Suppose $\texttt{annot}(f, \varepsilon_s)$ is invoked at a later point in the annotated world and incurs the effect $r.\pi$. What is the source of $r.\pi$? If $r.\pi$ was selected by the `import` expression surrounding f, it is safe for $\texttt{annot}(f, \varepsilon_s)$ to incur this effect. Otherwise, $\texttt{annot}(f, \varepsilon_s)$ may have been passed an argument which can be used to incur $r.\pi$, in which case $r.\pi$ is a higher-order effect of $\texttt{annot}(f, \varepsilon_s)$. If the argument is a function, then $r.\pi \in \varepsilon_s$ by the soundness of our calculus (or it would not typecheck). If the argument is a resource r, then $\texttt{annot}(f, \varepsilon_s)$ could exercise $r.\pi$ without declaring it in ε_s — this is the case we do not yet account for.

We want ε_s to contain every effect captured by resources passed into $\texttt{annot}(f, \varepsilon_s)$ as arguments. We can do this by inspecting the (unannotated) type of f for resource types. For example, if the unannotated type is $\{\texttt{File}\} \to \texttt{Unit}$, then we need $\{\texttt{File}.*\}$ in ε_s. To do this, we add a new premise $\texttt{ho-effects}(\texttt{annot}(\tau, \varnothing)) \subseteq \varepsilon_s$. `ho-effects` is only defined on annotated types, so we first annotate τ with $\varnothing$. We are only inspecting the resources passed into f as arguments, so the exact set of effects with which we annotate is not relevant. We can now handle the example from before. The unannotated code types via the judgement $x : \texttt{Unit} \vdash \lambda f : \{\texttt{File}\}.\ \texttt{f.write} : \{\texttt{File}\} \to \texttt{Unit}$. Its higher-order effects are $\texttt{ho-effects}(\texttt{annot}(\{\texttt{File}\} \to \texttt{Unit}, \varnothing)) = \{\texttt{File}.*\}$, but $\{\texttt{File}.*\} \not\subseteq \varnothing$, so the example is safely rejected.

The final version of ε-IMPORT is given in Figure 16. With it, we can now model the example from the beginning of this section, where the `Logger` selects the `File` capability and exposes an unannotated function `log` with type $\texttt{Unit} \to \texttt{Unit}$ and implementation e. The expected least authority of `Logger` is $\{\texttt{File.append}\}$, so its corresponding

$$\frac{\begin{array}{c}\texttt{effects}(\hat{\tau}) \cup \texttt{ho-effects}(\texttt{annot}(\tau, \varnothing)) \subseteq \varepsilon_s \\ \hat{\Gamma} \vdash \hat{e} : \hat{\tau}\ \texttt{with}\ \varepsilon_1 \quad \texttt{ho-safe}(\hat{\tau}, \varepsilon_s) \quad x : \texttt{erase}(\hat{\tau}) \vdash e : \tau\end{array}}{\hat{\Gamma} \vdash \texttt{import}(\varepsilon_s)\ x = \hat{e}\ \texttt{in}\ e : \texttt{annot}(\tau, \varepsilon_s)\ \texttt{with}\ \varepsilon_s \cup \varepsilon_1}\ (\varepsilon\text{-IMPORT})$$

Fig. 16. The final rule for typing imports.

`import` expression would be $\texttt{import}(\texttt{File.append})\ f = \texttt{File}\ \texttt{in}\ \lambda x : \texttt{Unit}.\ e$. The imported capability is $f = \texttt{File}$, which has type $\{\texttt{File}\}$, and $\texttt{effects}(\{\texttt{File}\}) = \{\texttt{File}.*\} \not\subseteq \{\texttt{File.append}\}$, so this example is safely rejected: `Logger.log` has authority to do anything with `File`, and its implementation e might be violating its stipulated least authority $\{\texttt{File.append}\}$.

2.4 Soundness (CC)

Only annotated programs can be reduced and have their effects approximated, so the soundness theorem only applies to annotated judgements. Its statement is given below.

Theorem 1 (CC Single-step Soundness). *If $\hat{\Gamma} \vdash \hat{e}_A : \hat{\tau}_A\ \texttt{with}\ \varepsilon_A$ and $\hat{e}_A$ is not a value, then $\hat{e}_A \longrightarrow \hat{e}_B \mid \varepsilon$, where $\hat{\Gamma} \vdash \hat{e}_B : \hat{\tau}_B\ \texttt{with}\ \varepsilon_B$ and $\hat{\tau}_B <: \hat{\tau}_A$ and $\varepsilon_B \cup \varepsilon \subseteq \varepsilon_A$, for some $\hat{e}_B, \varepsilon, \hat{\tau}_B, \varepsilon_B$.*

Due to small page limit we refer the interested readers to the Technical Report with complete proofs including multi-step soundness for the system presented here [1].

3 Applications

In this section we show how the capability-based design of CC can assist in reasoning about the effects and behaviour of a program. We present several scenarios which demonstrate unsafe behaviour or a particular developer story. This takes the form of writing a Wyvern program, translating it to CC using the techniques of the previous section, and then explaining how the rules of CC apply. In discussing these, we hope to illustrate where the rules of CC may arise in practice, and convince the reader that they adequately capture the intuitive properties of capability-safe languages like Wyvern.

3.1 Unannotated Client

There is a single primitive capability `File`. A `logger` module possessing this capability exposes a function `log` which incurs `File.write` when executed. The `client` module, possessing the `logger` module, exposes a function `run` which invokes `logger.log`, incurring `File.write`. While `logger` has been annotated, `client` has not. If `client.run` is executed, what effects might it have? Code for this example is given below.

```
1 module def logger(f: {File}):Logger
2
3 def log(): Unit with {File.append} =
4    f.append(``message logged'')
```

```
1 module def client(logger: Logger)
2
3 def run(): Unit =
4   logger.log()
```

```
require File

instantiate logger(File)
instantiate client(logger)

client.run()
```

The translation is given below. It first creates two functions, `MakeLogger` and `MakeClient`, which instantiate the `logger` and `client` modules. Lines 1-3 define `MakeLogger`. When given a `File`, it returns a function representing `logger.log`. Lines 5-8 define `MakeClient`. When given a `Logger`, it returns a function representing `client.run`. Lines 10-15 define `MakeMain` which returns a function which, when executed, instantiates all other modules and invokes the code in the body of `Main`. Program execution begins on line 16, where `Main` is given the initial capabilities (just `File` in this case).

```
1  let MakeLogger =
2    (λf: File.
3      λx: Unit. f.append) in
4
5  let MakeClient =
6    (λlogger: Unit →{File.append} Unit.
7      import(File.append) l = logger in
8        λx: Unit. l unit) in
9
10 let MakeMain =
11   (λf: File.
12       let loggerModule = MakeLogger f in
13       let clientModule = MakeClient loggerModule in
14       clientModule unit) in
15
16 MakeMain File
```

The interesting part is on line 7 where the unannotated code selects {`File.append`} as its authority. This is exactly the effects of the logger, i.e. `effects`(`Unit` $\rightarrow_{\{\texttt{File.append}\}}$ `Unit`) = {`File.append`}. The code also satisfies the higher-order safety predicates, and the body of the `import` expression typechecks in the empty context. Therefore, the unannotated code typechecks by ε-IMPORT with approximate effects {`File.append`}.

3.2 Unannotated Library

The next example inverts the roles of the last scenario. Now, the annotated `client` wants to use the unannotated `logger`. `logger` captures `File` and exposes a single function `log` which incurs the `File.append` effect. `client` has a function `run` which executes `logger.log`, incurring its effects. `client.run` is annotated with $\varnothing$, so the implementation of `logger.log` violates its interface.

```
module def logger(f: {File}): Logger

def log(): Unit =
   f.append(``message logged'')
```

```
module def client(logger: Logger)

def run(): Unit with {File.append} =
  logger.log()
```

```
require File

instantiate logger(File)
instantiate client(logger)

client.run()
```

The translation is given below. On lines 3-4, the unannotated code is wrapped in an `import` expression selecting $\{$`File.append`$\}$ as its authority. The implementation of `logger` actually abides by this selected authority, but it has the authority to perform any operation on `File`, so it could, in general, invoke any of them. ε-IMPORT rejects this example because the imported capability has the type $\{$`File`$\}$ and `effects`$(\{$`File`$\}) = \{$`File.`$*\} \not\subseteq \{$`File.append`$\}$.

```
let MakeLogger =
  (λf: File.
    import(File.append) f = f in
      λx: Unit. f.append) in

let MakeClient =
  (λlogger: Logger.
    λx: Unit. logger unit) in

let MakeMain =
  (λf: File.
    let loggerModule = MakeLogger f in
    let clientModule = MakeClient loggerModule in
    clientModule unit) in

MakeMain File
```

The only way for this to typecheck would be to annotate `client.run` as having every effect on `File`. This demonstrates how the effect-system of CC approximates unannotated code: it simply considers it as having every effect which could be incurred on those resources in scope, which here is `File.`$*$.

3.3 Higher-Order Effects

Here, `Main` gains its functionality from a plugin. Plugins might be written by third-parties, in which case we may not be able to view their source code, but still want to reason about the authority they exercise. In this example, `plugin` has access to a `File` capability, but its interface does not permit it to perform any operations on `File`. It tries to subvert this by wrapping the capability inside a function and passing it to `malicious`, which invokes `File.read` in a higher-order manner in an unannotated context.

```
module malicious

```

```
3  def log(f: Unit → Unit): Unit
4    f()
```

```
1  module plugin
2  import malicious
3
4  def run(f: {File}): Unit with ∅
5    malicious.log(λx:Unit. f.read)
```

```
1  require File
2  import plugin
3
4  plugin.run(File)
```

This example shows how higher-order effects can obfuscate potential security risks. On line 3 of `malicious`, the argument to `log` has type `Unit` → `Unit`. The body of `log` types with the T-rules, which do not approximate effects. It is not clear from inspecting the unannotated code that a `File.read` will be incurred. To realise this requires one to examine the source code of both `plugin` and `malicious`.

A translation is given below. On lines 2-3, the `malicious` code selects its authority as ∅, to be consistent with the annotation on `plugin.run`. This example is rejected by ε-IMPORT. When the unannotated code is annotated with ∅, it has type $\{\texttt{File}\} \to_{\varnothing}$ `Unit`. The higher-order effects of this type are `File`.$*$, which is not contained in the selected authority ∅ — hence, ε-IMPORT safely rejects the program.

```
1  let malicious =
2    (import(∅) y=unit in
3      λf: Unit → Unit. f()) in
4
5  let plugin =
6    (λf: {File}.
7      malicious(λx:Unit. f.read)) in
8
9  let MakeMain =
10   (λf: {File}.
11     plugin f) in
12
13 MakeMain File
```

To get this example to typecheck, the `import` expression has to select $\{\texttt{File}.*\}$ as its authority, and `plugin.run` needs to be annotated with $\{\texttt{File}.*\}$. The program would have to be rewritten to explicitly say that plugins can exercise authority over `File`.

3.4 Resource Leak

This is another example which obfuscates an unsafe effect by invoking it in a higher-order manner. The setup is the same, except the function which `plugin` passes to `malicious` now returns `File` when invoked. `malicious` uses this function to obtain `File` and directly invokes `read` upon it, violating the supposed purity of `plugin`.

```
module malicious

def log(f: Unit → File):Unit
  f().read
```

```
module plugin
import malicious

def run(f: {File}): Unit with ∅
  malicious.log(λx:Unit. f)
```

```
require File

import plugin

plugin.run(File)
```

The translation is given below. The unannotated code in `malicious` is given on lines 5-6. The selected authority is $\varnothing$, to be consistent with the annotation on `plugin`. Nothing is being imported, so the `import` binds a name `y` to `unit`. This example is rejected by ε-IMPORT because the premise $\varepsilon = \texttt{effects}(\hat{\tau}) \cup \texttt{ho-effects}(\texttt{annot}(\tau, \varepsilon))$ is not satisfied. In this case, $\varepsilon = \varnothing$ and $\tau = (\texttt{Unit} \to \{\texttt{File}\}) \to \texttt{Unit}$. Then $\texttt{annot}(\tau, \varepsilon) = (\texttt{Unit} \to_{\varnothing} \{\texttt{File}\}) \to_{\varnothing} \texttt{Unit}$ and $\texttt{ho-effects}(\texttt{annot}(\tau, \varepsilon)) = \{\texttt{File}.*\}$. Thus, the premise cannot be satisfied and the example is safely rejected.

```
let malicious =
  (import(∅) y=unit in
    λf: Unit → {File}. f().read) in

let plugin =
  (λf: {File}.
    malicious(λx:Unit. f)) in

let MakeMain =
  (λf: {File}.
    plugin f) in

MakeMain File
```

4 Conclusions

We introduced CC, a lambda calculus with primitive capabilities and their effects, which allows unannotated code to be nested inside annotated code with a new `import` construct. The capability-safe design of CC allows us to safely infer the effects of unannotated code by inspecting what capabilities are passed into it by its annotated surroundings. Such an approach allows code to be incrementally annotated, giving developers a balance between safety and convenience and alleviating the verbosity that has discouraged widespread adoption of effect systems [18].

More broadly, our results demonstrate that the most basic form of capability-based reasoning—that you can infer what code can do based on what capabilities are passed to it—is not only useful for informal reasoning, but can improve formal reasoning about code by reducing the necessary annotation overhead.

4.1 Related Work

While much related work has already been discussed as part of the presentation, here we cover some additional strands related to capabilities and effects.

Capabilities were introduced by [3] to control which processes in an operating system had permission to access which operating system resources. These early ideas were adapted to the programming language setting as the object capability model, particularly in Mark Miller's work [16], which constrains how permissions may proliferate among objects in a distributed system. [14] formalised the notion of a capability-safe language and showed that a subset of Caja (a Javascript implementation) is capability-safe. Miller's object capability model has been applied to more heavyweight systems: [6] combined Hoare logic with capabilities to formalise the notion of trust. Capability-safety parallels have been explored in the operating systems literature, where similar restrictions on dynamic loading and resource access [7] enable static, lightweight analyses to enforce privilege separation [13].

The original effect system by [11] was used to determine what expressions could safely execute in parallel. Subsequent applications include determining what functions a program might invoke [20] and what regions in memory might be accessed or updated during execution [19]. In these systems, "effects" are performed upon "regions"; in ours, "operations" are performed upon "resources"'. `CC` also distinguishes between unannotated and annotated code: only the latter will type-and-effect-check. Another capability-based effect system is the one by [4], who use effect polymorphism and possible world semantics to express behavioural invariants on data structures. `CC` is not as expressive, since it only topographically inspects how capabilities can be passed around a program, but the resulting formalism and theory is much more lightweight.

4.2 Future Work

Our effects model only the use of capabilities which manipulate system resources. This definition could be generalised to track other sorts of effects, such as stateful updates. In our formalism, resources and operations are fixed throughout runtime, but a more practical formalism would allow them to be created and destroyed at runtime. Another generalistaion would be to incorporate polymorphic types and effects.

We hope to extend the ideas in this paper to the point where they might be used in capability-safe languages to help authority-safe design and development. Implementing these ideas in a general-purpose, capability-safe language such as *Wyvern* would do much towards that end. While we have captured the most obvious and basic form of capability-based reasoning about effects, the ideas here could potentially be useful in other kinds of formal reasoning systems.

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