

# Lightweight static capabilities

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# Goals

- ▶ Safety
  - ▶ no buffer overflow
  - ▶ modular arithmetic
- ▶ Performance (minimal runtime checking)
- ▶ Static assurance
- ▶ Available now
  - ▶ languages (Haskell, OCaml)
  - ▶ tools (compilers, debuggers)
  - ▶ features (IO, general recursion, mutation)
  - ▶ algorithms (Knuth-Morris-Pratt string search)

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```
bsearch cmp arr key = brand arr (\arr ->
  let rec loop i k = compare i k None (\i' k' ->
    let j = middle i' k' and x = get arr j in
    case cmp x key of LT -> loop (succ j) k
                    EQ -> Just (unbi j, x)
                    GT -> loop i (pred j))
  in loop)
```

# Static capabilities

## Continuum of correctness

- ▶ Assure safety properties, not full correctness
- ▶ Extend trust from small kernel to large sandbox

## System requirements

- ▶ Higher-rank polymorphism
- ▶ Phantom types instead of dependent types

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## System requirements

- ▶ Higher-rank polymorphism
- ▶ Phantom types instead of dependent types

A *capability* authorizes access to a protected object and certifies that a safety condition holds.

# Outline

## Trivial example: Empty-list checking

- List reverse

- Abstract data type to witness a runtime invariant

- Formalization: putting data constructors to work

## Main example: Array-bounds checking

- Binary search

- Higher-rank polymorphism for an infinite family of invariants

- Formalization: lightweight dependent typing

## List reverse

Starting point: ensure safety by *redundant* runtime checks.

```
rev l acc = if null l then acc
           else rev (tail l) (cons (head l) acc)
```

Idea: record the result of null check by wrapping the list type.

```
newtype List+ a = Nonempty (List a)
```

Runtime check supplies certifying witness to continuation.

```
indeed :: List a -> w -> (List+ a -> w)
head   :: List+ a -> a
tail   :: List+ a -> List a
```

Now head and tail need not check safety—

```
rev l acc = indeed l acc
           (\l -> rev (tail l) (cons (head l) acc))
```

—as long as Nonempty does not wrap an empty list.

## Abstract data type to witness a runtime invariant

Use Milner's idea in LCF/ML:

- ▶ Divide the program into a small *security kernel* and a large *client sandbox*.

```
module Kernel
(
  List, List+,
  nil, cons,
  indeed, head, tail
)
where ...
```

- ▶ Using a module or namespace system, ensure that only the security kernel may apply the data constructor `Nonempty`.

Formalize security as an invariant of an abstract data type.



# System F

## Metavariables

Term variables	$x, y, z$
Terms	$E$
Type variables	$s, t$
Types	$N, T, W$
Natural numbers	$m, n$

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$$\frac{T : \star \quad T' : \star}{T \rightarrow T' : \star} \quad \frac{\begin{array}{c} [t : \star] \\ \vdots \\ T' : \star \end{array}}{\forall t. T' : \star}$$
$$\frac{\begin{array}{c} [x : T] \\ \vdots \\ T : \star \quad E : T' \end{array}}{\lambda x. E : T \rightarrow T'} \quad \frac{E_1 : T \rightarrow T' \quad E_2 : T}{E_1 E_2 : T'} \quad \frac{\begin{array}{c} [t : \star] \\ \vdots \\ E : T' \end{array}}{\Lambda t. E : \forall t. T'} \quad \frac{E : \forall t. T' \quad T : \star}{ET : T' \{t \mapsto T\}}$$

## Putting data constructors to work

$$\frac{T : \star}{\text{List } T : \star} \quad \frac{T : \star}{\text{List}^+ T : \star} \quad \frac{}{\text{Int} : \star}$$
$$\frac{T : \star}{\text{nil} : \text{List } T} \quad \frac{E_1 : T \quad E_2 : \text{List } T}{E_1 :: E_2 : \text{List } T} \quad \frac{E_1 : T \quad E_2 : \text{List } T}{\text{nonempty}(E_1 :: E_2) : \text{List}^+ T} \quad \frac{}{n : \text{Int}}$$
$$\frac{E : \text{List } T \quad E_1 : W \quad E_2 : \text{List}^+ T \rightarrow W}{\text{indeed } E E_1 E_2 : W} \quad \frac{E : \text{List}^+ T}{\text{head } E : T} \quad \frac{E : \text{List}^+ T}{\text{tail } E : \text{List } T}$$

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## Small-step operational semantics

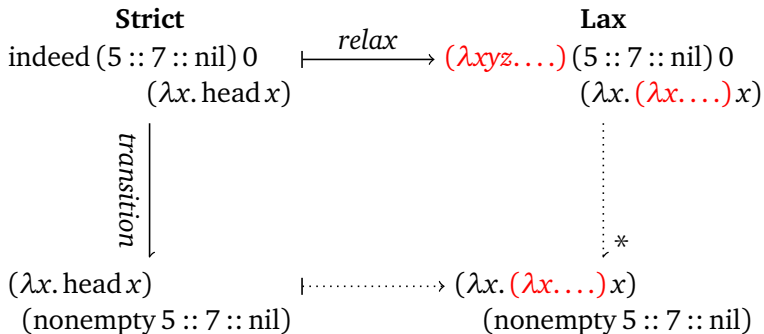
$$\frac{\begin{array}{c} \vdots \\ 5 :: 7 :: \text{nil} : \text{List Int} \end{array} \quad \frac{}{0 : \text{Int}} \quad \begin{array}{c} \vdots \\ \lambda x. \text{head } x : \text{List}^+ \text{Int} \rightarrow \text{Int} \end{array}}{\text{indeed } (5 :: 7 :: \text{nil}) 0 (\lambda x. \text{head } x) : \text{Int}}$$

$\left. \begin{array}{c} \text{transition} \\ \downarrow \end{array} \right\}$

$$\frac{\begin{array}{c} \vdots \\ \lambda x. \text{head } x : \text{List}^+ \text{Int} \rightarrow \text{Int} \end{array} \quad \frac{\frac{}{5 : \text{Int}} \quad \begin{array}{c} \vdots \\ 7 :: \text{nil} : \text{List Int} \end{array}}{\text{nonempty } (5 :: 7 :: \text{nil}) : \text{List}^+ \text{Int}}}{(\lambda x. \text{head } x)(\text{nonempty } (5 :: 7 :: \text{nil})) : \text{Int}}$$

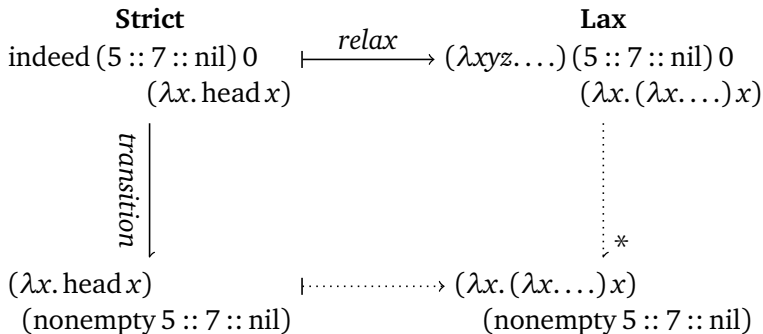
## Formalization

Small-step semantics ( $\Downarrow$ ) with syntax-directed translation ( $\mapsto$ )



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Small-step semantics ( $\Downarrow$ ) with syntax-directed translation ( $\mapsto$ )



Relaxation preserves typing, valuehood, and transitions\*. To prove:

- ▶ The kernel is implemented in Lax as specified in Strict.
- ▶ The sandbox constructs are identical in Lax and in Strict.

## Formalization

Small-step semantics ( $\Downarrow$ ) with syntax-directed translation ( $\mapsto$ )

$$\begin{array}{ccc} \textbf{Strict} & & \textbf{Lax} \\ \text{indeed } (5 :: 7 :: \text{nil})\ 0 & \xrightarrow{\text{relax}} & (\lambda xyz. \dots) (5 :: 7 :: \text{nil})\ 0 \\ (\lambda x. \text{head } x) & & (\lambda x. (\lambda x. \dots) x) \end{array}$$

We call a Lax program *sandboxed* if it uses kernel constructs only by inlining the kernel implementation.

### Extend trust from kernel to sandbox

- ▶ Relaxation preserves typing, valuehood, and transitions\*.
- ▶ Every (well-typed) sandboxed Lax program is the relaxation of some (well-typed) Strict program.
- ▶ Strict enjoys progress and preservation: well-typed Strict code does not go wrong.

Hence, well-typed sandboxed Lax code does not go wrong.



# Outline

## Trivial example: Empty-list checking

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- Formalization: putting data constructors to work

## Main example: Array-bounds checking

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- Higher-rank polymorphism for an infinite family of invariants

- Formalization: lightweight dependent typing

# Lightweight dependent typing

$$\begin{array}{c}
 \frac{}{\bar{n} : \star} \quad \frac{N : \star \quad T : \star}{\text{List}^N T : \star} \quad \frac{N : \star}{\text{Int}^N : \star} \quad \frac{N : \star}{\text{Int}_L^N : \star} \quad \frac{N : \star}{\text{Int}_H^N : \star} \\
 \\
 \frac{E_1 : T \quad \dots \quad E_n : T}{\text{array } E_1 :: \dots :: E_n :: \text{nil} : \text{List}^{\bar{n}} T} \quad \frac{1 \leq m \leq n}{m_1 : \text{Int}^{\bar{n}}} \quad \frac{1 \leq m}{m_L : \text{Int}_L^{\bar{n}}} \quad \frac{m \leq n}{m_H : \text{Int}_H^{\bar{n}}} \\
 \\
 \frac{E : \text{List } T \quad E' : \forall s. \text{List}^s T \rightarrow \text{Int}_L^s \rightarrow \text{Int}_H^s \rightarrow W}{\text{brand } E E' : W} \quad \frac{E_1 : \text{List}^N T \quad E_2 : \text{Int}^N}{\text{get } E_1 E_2 : T} \\
 \\
 \frac{E_L : \text{Int}_L^N \quad E_H : \text{Int}_H^N \quad E_1 : W \quad E_2 : \text{Int}^N \rightarrow \text{Int}^N \rightarrow W}{\text{compare } E_L E_H E_1 E_2 : W} \\
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 \end{array}$$

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 \frac{E : \text{List } T \quad E' : \forall s. \text{List}^s T \rightarrow \text{Int}_L^s \rightarrow \text{Int}_H^s \rightarrow W}{\text{brand } E E' : W} \quad \frac{E_1 : \text{List}^N T \quad E_2 : \text{Int}^N}{\text{get } E_1 E_2 : T} \\
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 \frac{E_L : \text{Int}_L^N \quad E_H : \text{Int}_H^N \quad E_1 : W \quad E_2 : \text{Int}^N \rightarrow \text{Int}^N \rightarrow W}{\text{compare } E_L E_H E_1 E_2 : W} \\
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## Small-step operational semantics

$$\frac{\begin{array}{c} \vdots \\ 5 :: 7 :: \text{nil} : \text{List Int} \end{array} \quad \begin{array}{c} \vdots \\ \Lambda s. \lambda xyz. \text{compare } y \ z \ 0 \ \lambda yz. \text{get } x \ (\text{middle } y \ z) \\ : \forall s. \text{List}^s \text{ Int} \rightarrow \text{Int}_L^s \rightarrow \text{Int}_H^s \rightarrow \text{Int} \end{array}}{\text{brand } (5 :: 7 :: \text{nil}) \ \Lambda s. \lambda xyz. \text{compare } y \ z \ 0 \ \lambda yz. \text{get } x \ (\text{middle } y \ z) : \text{Int}}$$

↓

$$(\Lambda s. \lambda xyz. \text{compare } y \ z \ 0 \ \lambda yz. \text{get } x \ (\text{middle } y \ z)) \bar{2} \ (\text{array } 5 :: 7 :: \text{nil}) \ 1_L \ 2_H$$

↓<sub>\*</sub>

$$\frac{\begin{array}{c} \vdots \\ \text{array } 5 :: 7 :: \text{nil} : \text{List}^{\bar{2}} \text{ Int} \end{array} \quad \frac{\overline{1 \leq 1 \leq 2}}{1_I : \text{Int}^{\bar{2}}}}{\text{get } (\text{array } 5 :: 7 :: \text{nil}) \ 1_I : \text{Int}}$$

# Lightweight dependent typing

$$\begin{array}{c}
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# Lightweight dependent typing

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dependent types (Martin-Löf, Dybjer, ...)

singleton types (Hayashi, Xi, Stone, ...)

phantom types (... , Fluet & Pucella, ...)

reflecting values through types (Thurston, Kiselyov & Shan, ...)

$\text{brand } EE' : W$

$\text{get } E_1 E_2 : T$

$$\frac{E_L : \text{Int}_L^N \quad E_H : \text{Int}_H^N \quad E_1 : W \quad E_2 : \text{Int}^N \rightarrow \text{Int}^N \rightarrow W}{\text{compare } E_L E_H E_1 E_2 : W}$$

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## Putting more data constructors to work

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Memory locations as term constants (Morrisett et al., Moggi & Sabry)

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# Nonces in security protocols

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 \end{array}$$

Ill-typed term:  $\text{brand } (5 :: 7 :: \text{nil}) \wedge s. \lambda xyz. \text{get } x \ 1_1$   
 (Can't open branded lock with unbranded key)

$$\frac{E_1 : \text{Int}^N \quad E_2 : \text{Int}^N}{\text{middle } E_1 E_2 : \text{Int}^N} \quad \frac{E : \text{Int}^N}{\text{succ } E : \text{Int}_L^N} \quad \frac{E : \text{Int}^N}{\text{pred } E : \text{Int}_H^N} \quad \frac{E : \text{Int}^N}{\text{unbi } E : \text{Int}}$$



## Rights amplification

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With rights amplification, the authority accessible from bringing two references together can exceed the sum of authorities provided by each individually. The classic example is the can and the can-opener—only by bringing the two together do we obtain the food in the can.

$$\frac{E_1 : \text{List}^N T \quad E_2 : \text{Int}^N}{\text{get } E_1 E_2 : T}$$

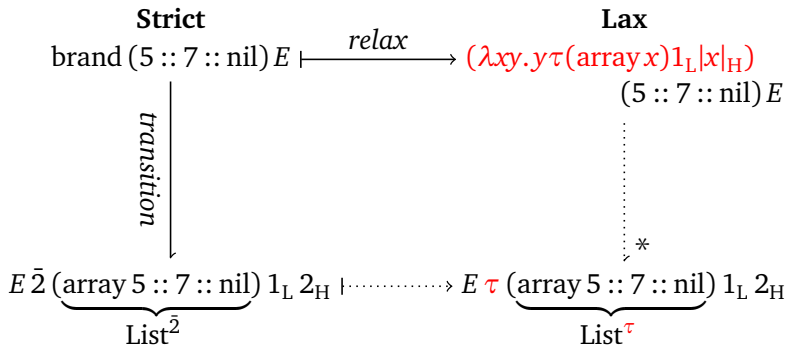
$$\frac{\text{it}^N \rightarrow \text{Int}^N \rightarrow W}{W}$$

—Miller et al.

$$\text{middle } E_1 E_2 : \text{Int}^{\bar{n}} \quad \text{succ } E : \text{Int}_L^{\bar{n}} \quad \text{pred } E : \text{Int}_H^{\bar{n}} \quad \frac{E : \text{Int}^N}{\text{unbi } E : \text{Int}}$$

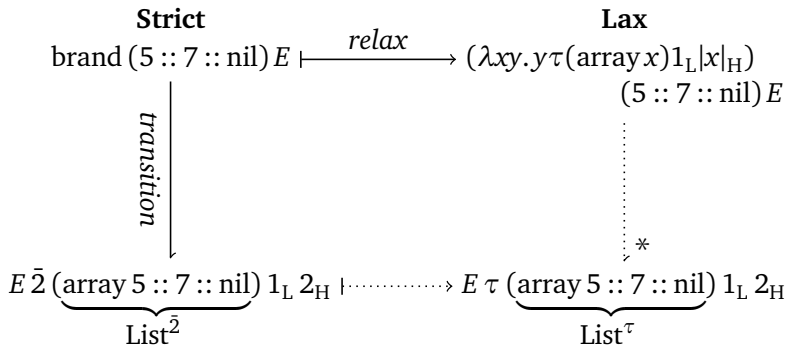
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Small-step semantics ( $\Downarrow$ ) with syntax-directed translation ( $\mapsto$ )



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- ▶ The kernel is implemented in Lax as specified in Strict.
- ▶ The sandbox constructs are identical in Lax and in Strict.

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Small-step semantics ( $\Downarrow$ ) with syntax-directed translation ( $\mapsto$ )

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We call a Lax program *sandboxed* if it uses kernel constructs only by inlining the kernel implementation.

### Extend trust from kernel to sandbox

- ▶ Relaxation preserves typing, valuehood, and transitions\*.
- ▶ Every (well-typed) sandboxed Lax program is the relaxation of some (well-typed) Strict program.
- ▶ Strict enjoys progress and preservation: well-typed Strict code does not go wrong.

Hence, well-typed sandboxed Lax code does not go wrong.

# Twelf mechanization

## Theorem (Progress)

*Every well-typed term either is a value or transitions to another term.*

## Proof.

By induction on evaluation contexts.



# Twelf mechanization

## Lemma

*A value never has any type of the form  $\text{Int}^{T \rightarrow T'}$ .*

## Proof.

There is only one case, the value nil. □

## Theorem (Progress)

*Every well-typed term either is a value or transitions to another term.*

## Proof.

By induction on evaluation contexts. □

## Twelf mechanization

### Lemma

*The expression nil never has any type of the form  $\text{Int}^T$ .*

### Proof.

There are no cases. □

### Lemma

*A value never has any type of the form  $\text{Int}^{T \rightarrow T'}$ .*

### Proof.

There is only one case, the value nil. □

### Theorem (Progress)

*Every well-typed term either is a value or transitions to another term.*

### Proof.

By induction on evaluation contexts. □

# Summary

A concrete, rigorous, practical framework for extending trust from a small kernel to a large program

Available now

- ▶ Type proxies for values, instead of dependent types
- ▶ Download all code online, with more substantial examples
  - ▶ Folding over multiple arrays of various sizes
  - ▶ Knuth-Morris-Pratt string search

Easy to verify small kernel

- ▶ Prove progress and preservation for specification
- ▶ Prove implementation corresponds to specification

Ongoing work

- ▶ More examples (any suggestions?)
- ▶ Characterize lightweight dependent typing