

*Permissions and concurrency: a breakthrough and a
Grand Challenge*

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- ▶ who could live without it? (well ok, low life).
- ▶ (**why** do the low life do without types? what can we do for them?)



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The world doesn't yet believe in type inference, and the inventor of C++ has never been put on trial.



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hd([]), anybody?



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Vivid analogy: *“An unfrocked priest is capable of celebrating marriage but forbidden to do so”*

(Marek Sergot, talk on logic of permission and belief; see also *Daily Telegraph*, 21/vi/93).



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(BTW, “Ownership types” and/or nulling disposed pointers don't touch this problem.)



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*“We have stipulated that processes should be connected **loosely**; by this we mean that apart from the (rare) moments of explicit **intercommunication**, the individual processes themselves are to be regarded as completely **independent** of each other.”*



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- ▶ $A \wedge (B \star \text{true})$ is all A , partly B .



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$$\begin{array}{lll} \{R_x^x\} & x := E & \{R\} \\ \{x \mapsto _ \} [x] := E & & \{x \mapsto E\} \\ \{E' \mapsto E\} & x := [E'] & \{E' \mapsto E \wedge x = E\} \quad (x \text{ not free in } E, E') \\ \{\mathbf{emp}\} & x := \text{new}(E) & \{x \mapsto E\} \\ \{E \mapsto _ \} & \text{dispose } E & \{\mathbf{emp}\} \end{array}$$



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$$\frac{\{Q_1\} C_1 \{R_1\} \cdots \{Q_n\} C_n \{R_n\}}{\{Q_1 \star \cdots \star Q_n\} \quad (C_1 \parallel \cdots \parallel C_n) \{R_1 \star \cdots \star R_n\}} \quad \text{(non-interference-of-variables)}$$



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- ▶ Both proved sound by Brookes.
- ▶ **A version of the CCR rule covers semaphores**, in which C is either $m := m + 1$ or $m := m - 1$.



The ownership trick (O'Hearn 2002)

resource-bundle r : Vars $full, b$; $full := false$;

<pre>$x := new();$ with r when $\neg full$ do $b := x$; $full := true$ od</pre>	<pre>with r when $full$ do $y := b$; $full := false$ od; dispose y</pre>
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- ▶ Passivity is a property of a program and a resource: the program doesn't change the contents of the resource.
- ▶ We want to specify passivity by specifying a read-only resource.
- ▶ We require that a program, given a read-only resource, **cannot** change its contents.



Splitting and sharing



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- ▶ Total permission $E \mapsto E'$, given by new, allows read/write/dispose.
- ▶ Concurrent read permissions must be (\star) separable, because of the concurrency rule.



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- ▶ To write or dispose we have to know when we have **all** the read permissions back.
- ▶ A program which doesn't keep account leaks resource.



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- ▶ Fractional permissions are specification-only (cf. types).
- ▶ In practice the arithmetic is very easy: fractions are **simpler to use** than (e.g.) sets of binary trees.
- ▶ The magnitude of non-integral fractions doesn't matter, except as a matter of accounting.



A fractional model (Calcagno, O'Hearn)



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- ▶ Heaps are partial maps from Nat to $(\text{int}, \text{fraction})$. (Previously Nat to int .)
- ▶ A simpler model – just read / total permissions – fails to account and doesn't have the frame property.



Proof theory



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$$E \xrightarrow{z+z'} E' \wedge z > 0 \wedge z' > 0 \iff E \xrightarrow{z} E' \star E \xrightarrow{z'} E'$$
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$\{R_E^x\}$	$x := E$	$\{R\}$
$\{E' \xrightarrow{1} -\}$	$[E'] := E$	$\{E' \xrightarrow{1} E\}$
$\{E' \xrightarrow{z} E\}$	$x := [E']$	$\{E' \xrightarrow{z} E \wedge x = E\}$ (x not free in E, E')
$\{\mathbf{emp}\}$	$x := \mathbf{new}(E)$	$\{x \xrightarrow{1} E\}$
$\{E \xrightarrow{1} -\}$	$\mathbf{dispose} E$	$\{\mathbf{emp}\}$



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$$E \xrightarrow{z} E' \Rightarrow 0 < z \leq 1$$
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- ▶ Not (yet) proved sound by Brookes. (But surely ...)



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$x := \text{new}();$

$[x] := 1;$

$\left(\begin{array}{c} y := [x] \\ \parallel \\ z := [x] + 1 \end{array} \right);$

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`[x] := 1;`

{x \mapsto 1} . {x $\xrightarrow{0.5}$ 1 * x $\xrightarrow{0.5}$ 1}

$\left(\begin{array}{c} \{x \xrightarrow{0.5} 1\} \\ y := [x] \end{array} \parallel \begin{array}{c} \{x \xrightarrow{0.5} 1\} \\ z := [x] + 1 \end{array} \right);$

`dispose x`

{emp \wedge y = 1 \wedge z = 2}



Proof

{emp}

`x := new();`

{x \mapsto -}

`[x] := 1;`

{x \mapsto 1} . {x $\xrightarrow{0.5}$ 1 \star x $\xrightarrow{0.5}$ 1}

$\left(\begin{array}{l} \{x \xrightarrow{0.5} 1\} \\ y := [x] \\ \{x \xrightarrow{0.5} 1 \wedge y = 1\} \end{array} \parallel \begin{array}{l} \{x \xrightarrow{0.5} 1\} \\ z := [x] + 1 \end{array} \right)$;

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$\left(\begin{array}{c|c} \{x \xrightarrow{0.5} 1\} & \{x \xrightarrow{0.5} 1\} \\ y := [x] & z := [x] + 1 \\ \{x \xrightarrow{0.5} 1 \wedge y = 1\} & \{x \xrightarrow{0.5} 1 \wedge z = 2\} \end{array} \right)$;

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{emp \wedge y = 1 \wedge z = 2}



Proof

{emp}

$x := \text{new}();$

$\{x \mapsto _ \}$

$[x] := 1;$

$\{x \mapsto 1\} \cdot \{x \xrightarrow{0.5} 1 \star x \xrightarrow{0.5} 1\}$

$\left(\begin{array}{c} \{x \xrightarrow{0.5} 1\} \\ y := [x] \\ \{x \xrightarrow{0.5} 1 \wedge y = 1\} \end{array} \parallel \begin{array}{c} \{x \xrightarrow{0.5} 1\} \\ z := [x] + 1 \\ \{x \xrightarrow{0.5} 1 \wedge z = 2\} \end{array} \right);$

$\{(x \xrightarrow{0.5} 1 \wedge y = 1) \star (x \xrightarrow{0.5} 1 \wedge z = 2)\}$

dispose x

{emp} $\wedge y = 1 \wedge z = 2$



Proof

{emp}

$x := \text{new}();$

$\{x \mapsto_{\perp} -\}$

$[x] := 1;$

$\{x \mapsto_{\perp} 1\} \cdot \{x \xrightarrow{0.5} 1 \star x \xrightarrow{0.5} 1\}$

$\left(\begin{array}{c} \{x \xrightarrow{0.5} 1\} \\ y := [x] \\ \{x \xrightarrow{0.5} 1 \wedge y = 1\} \end{array} \parallel \begin{array}{c} \{x \xrightarrow{0.5} 1\} \\ z := [x] + 1 \\ \{x \xrightarrow{0.5} 1 \wedge z = 2\} \end{array} \right);$

$\{(x \xrightarrow{0.5} 1 \wedge y = 1) \star (x \xrightarrow{0.5} 1 \wedge z = 2)\} \cdot \{x \mapsto_{\perp} 1 \wedge y = 1 \wedge z = 2\}$

dispose x

{emp} $\wedge y = 1 \wedge z = 2$ }



Proof

{emp}

$x := \text{new}();$

$\{x \vdash_1 -\}$

$[x] := 1;$

$\{x \vdash_1 1\} \cdot \{x \vdash_{0.5} 1 \star x \vdash_{0.5} 1\}$

$\left(\begin{array}{c} \{x \vdash_{0.5} 1\} \\ y := [x] \\ \{x \vdash_{0.5} 1 \wedge y = 1\} \end{array} \parallel \begin{array}{c} \{x \vdash_{0.5} 1\} \\ z := [x] + 1 \\ \{x \vdash_{0.5} 1 \wedge z = 2\} \end{array} \right);$

$\{(x \vdash_{0.5} 1 \wedge y = 1) \star (x \vdash_{0.5} 1 \wedge z = 2)\} \cdot \{x \vdash_1 1 \wedge y = 1 \wedge z = 2\}$

dispose x

{emp} $\wedge y = 1 \wedge z = 2$

- ▶ That is **exactly** how hard it is to use fractional permissions.



UnProof

{emp}

$x := \text{new}();$

$\{x \mapsto_{1} -\}$

$[x] := 1;$

$\{x \mapsto_{1} 1\} \cdot \{x \xrightarrow{0.5} 1 \star x \xrightarrow{0.5} 1\}$

$$\left(\begin{array}{l} \{x \xrightarrow{0.5} 1\} \\ y := [x]; \\ \text{dispose } x \end{array} \parallel \begin{array}{l} \{x \xrightarrow{0.5} 1\} \\ [x] := 2; \\ z := [x] + 1 \end{array} \right)$$

$[x] := y + z$



UnProof

{emp}

$x := \text{new}();$

$\{x \mapsto_{1} -\}$

$[x] := 1;$

$\{x \mapsto_{1} 1\} \cdot \{x \mapsto_{0.5} 1 \star x \mapsto_{0.5} 1\}$

$$\left(\begin{array}{l} \{x \mapsto_{0.5} 1\} \\ y := [x]; \\ \{x \mapsto_{0.5} 1 \wedge y = 1\} \\ \text{dispose } x \end{array} \parallel \begin{array}{l} \{x \mapsto_{0.5} 1\} \\ [x] := 2; \\ z := [x] + 1 \end{array} \right)$$

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{emp}

$x := \text{new}();$

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$$\left(\begin{array}{l} \{x \mapsto_{0.5} 1\} \\ y := [x]; \\ \{x \mapsto_{0.5} 1 \wedge y = 1\} \\ \text{dispose } x \\ \{??\} \end{array} \parallel \begin{array}{l} \{x \mapsto_{0.5} 1\} \\ [x] := 2; \\ z := [x] + 1 \end{array} \right)$$

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UnProof

{emp}

$x := \text{new}();$

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$\{x \mapsto_{1} 1\} \cdot \{x \mapsto_{0.5} 1 \star x \mapsto_{0.5} 1\}$

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UnProof

{emp}

$x := \text{new}();$

$\{x \mapsto_{1} -\}$

$[x] := 1;$

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---	---

$\{??\}$

$[x] := y + z$



Passivity and fractions

Termination Monotonicity: if C must terminate normally in h and $h \star h'$ is defined, then C must terminate normally in $h \star h'$.



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- ▶ Then (frame rule)

$$\frac{\begin{array}{c} \vdots \\ \{10 \xrightarrow{0.5} N\} C \{10 \xrightarrow{0.5} N + 1\} \end{array}}{\{10 \xrightarrow{0.5} N \star 10 \xrightarrow{0.5} N\} C \{10 \xrightarrow{0.5} N \star 10 \xrightarrow{0.5} N + 1\}}$$



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- ▶ – i.e. it won't terminate in $10 \xrightarrow{1.0} N$.



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- ▶ – i.e. it won't terminate in $10 \xrightarrow{1.0} N$.
- ▶ Therefore C isn't in our language.
- ▶ Thus **we have passivity!**



Permission counting



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- ▶ Some programs naturally weigh out permissions to their child threads: e.g. parallel tree-copy, parallel tree-rewriting (see proceedings).
- ▶ Some programs count permissions: e.g. pipeline multicasting, readers-and-writers.
- ▶ Permission counting is **not** specification-only.



Readers and Writers (Courtois et.al. 1972)

$P(\textit{read})$;
if $\textit{count} = 0$ then $P(\textit{write})$
 else skip fi;
 $\textit{count}+ := 1$;

$V(\textit{read})$;

... reading happens here ...

$P(\textit{read})$;
 $\textit{count}- := 1$;
if $\textit{count} = 0$ then $V(\textit{write})$
 else skip fi;

$V(\textit{read})$

$P(\textit{write})$;

... writing happens here ...

$V(\textit{write})$



Readers and writers (CCR version)



Readers and writers (CCR version)

```
with read when true do
  if count = 0 then P(write)
    else skip fi;
  count+ := 1
od;
```

... reading happens here ...

```
with read when count > 0 do
  count- := 1;
  if count = 0 then V(write)
    else skip fi
od
```

P(*write*);

... writing happens here ...

V(*write*)



Readers and writers (CCR version)

{emp}

with *read* when true do

 if *count* = 0 then $P(\textit{write})$

 else skip fi;

count + := 1

od;

{ $z \mapsto N$ }

... reading happens here ...

with *read* when *count* > 0 do

count - := 1;

 if *count* = 0 then $V(\textit{write})$

 else skip fi

od

$P(\textit{write});$

... writing happens here ...

$V(\textit{write})$



Readers and writers (CCR version)

```
{emp}
with read when true do
  if count = 0 then P(write)
    else skip fi;
  count+ := 1
od;
{z ↦ N}
  ... reading happens here ...
{z ↦ N}
with read when count > 0 do
  count- := 1;
  if count = 0 then V(write)
    else skip fi
od
{emp}
```

P(write);

... writing happens here ...

V(write)



Readers and writers (CCR version)

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with read when true do
  if count = 0 then P(write)
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od;
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  ... reading happens here ...
{z ↦ N}
with read when count > 0 do
  count- := 1;
  if count = 0 then V(write)
    else skip fi
od
{emp}
```

```
{emp}
P(write);
{z ↦0 M}
  ... writing happens here ...

V(write)
```



Readers and writers (CCR version)

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{emp}
with read when true do
  if count = 0 then P(write)
    else skip fi;
  count+ := 1
od;
{z ↦ N}
  ... reading happens here ...
{z ↦ N}
with read when count > 0 do
  count- := 1;
  if count = 0 then V(write)
    else skip fi
od
{emp}
```

```
{emp}
P(write);
{z ↦0 M}
  ... writing happens here ...
{z ↦0 M'}
V(write)
{emp}
```



A counting model (Calcagno, Parkinson)



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$$\text{▶ } E \xrightarrow{i} E' \star E \xrightarrow{j} E' = \begin{cases} \text{undefined} & i \geq 0 \wedge j \geq 0 \\ \text{undefined} & (i \geq 0 \vee j \geq 0) \wedge i + j < 0 \\ E \xrightarrow{i+j} E' & \text{otherwise} \end{cases}$$



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- ▶ $E \xrightarrow{i} E' \star E \xrightarrow{j} E' = \begin{cases} \text{undefined} & i \geq 0 \wedge j \geq 0 \\ \text{undefined} & (i \geq 0 \vee j \geq 0) \wedge i + j < 0 \\ E \xrightarrow{i+j} E' & \text{otherwise} \end{cases}$
- ▶ $E \rightsquigarrow E'$ is a notational convenience for $E \xrightarrow{-1} E'$.



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- ▶ 0 is total permission.
- ▶
$$E \xrightarrow{i} E' \star E \xrightarrow{j} E' = \begin{cases} \text{undefined} & i \geq 0 \wedge j \geq 0 \\ \text{undefined} & (i \geq 0 \vee j \geq 0) \wedge i + j < 0 \\ E \xrightarrow{i+j} E' & \text{otherwise} \end{cases}$$
- ▶ $E \rightsquigarrow E'$ is a notational convenience for $E \xrightarrow{-1} E'$.
- ▶ We have passivity (same proof as before).



Proof theory



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$$E \vdash^n E' \Rightarrow n \geq 0$$

$$E \vdash^n E' \iff E \vdash^{n+1} E' \star E \multimap E'$$



Proof theory

$$E \vdash^n E' \Rightarrow n \geq 0$$

$$E \vdash^n E' \iff E \vdash^{n+1} E' \star E \succrightarrow E'$$

$$\begin{array}{ll} \{R_E^x\} & x := E \quad \{R\} \\ \{E' \xrightarrow{0} _ \} & [x] := E \quad \{E' \xrightarrow{0} E\} \\ \{E' \succrightarrow E\} & x := [E'] \quad \{E' \succrightarrow E \wedge x = E\} \text{ (} x \text{ not free in } E, E') \\ \{\mathbf{emp}\} & x := \mathbf{new}(E) \quad \{x \xrightarrow{0} E\} \\ \{E \xrightarrow{0} _ \} & \mathbf{dispose } E \quad \{\mathbf{emp}\} \end{array}$$



Resource safety proof

write : if *write* = 0 then **emp** else $z \stackrel{0}{\mapsto} N$ fi

read : if *count* = 0 then **emp** else $z \stackrel{\text{count}}{\mapsto} N$ fi

{**emp**}

with *read* when true do

if *count* = 0 then

else

fi;

count + := 1

od

{ $z \mapsto N$ }

P(*write*)

skip



Resource safety proof

write : if *write* = 0 then **emp** else $z \vdash^0 N$ fi

read : if *count* = 0 then **emp** else $z \vdash^{count} N$ fi

{**emp**}

with *read* when true do

{if *count* = 0 then **emp** else $z \vdash^{count} N$ fi \star **emp**}

if *count* = 0 then $P(\textit{write})$

else skip

fi;

count + := 1

od

{ $z \rightsquigarrow N$ }



Resource safety proof

write : if *write* = 0 then **emp** else $z \vdash^0 N$ fi

read : if *count* = 0 then **emp** else $z \vdash^{count} N$ fi

{**emp**}

with *read* when true do

{if *count* = 0 then **emp** else $z \vdash^{count} N$ fi \star **emp**}

if *count* = 0 then {**emp**} P(*write*)

else { $z \vdash^{count} N$ } skip

fi;

count + := 1

od

{ $z \rightsquigarrow N$ }



Resource safety proof

write : if *write* = 0 then **emp** else $z \vdash^0 N$ fi

read : if *count* = 0 then **emp** else $z \vdash^{count} N$ fi

{**emp**}

with *read* when true do

{if *count* = 0 then **emp** else $z \vdash^{count} N$ fi \star **emp**}

if *count* = 0 then {**emp**} P(*write*) $\{z \vdash^0 N\}$

else $\{z \vdash^{count} N\}$ skip

fi;

count + := 1

od

$\{z \rightsquigarrow N\}$



Resource safety proof

write : if *write* = 0 then **emp** else $z \vdash^0 N$ fi

read : if *count* = 0 then **emp** else $z \vdash^{count} N$ fi

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with *read* when true do

{if *count* = 0 then **emp** else $z \vdash^{count} N$ fi \star **emp**}

if *count* = 0 then {**emp**} P(*write*) $\{z \vdash^0 N\}$

else $\{z \vdash^{count} N\}$ skip $\{z \vdash^{count} N\}$

fi;

count + := 1

od

$\{z \rightsquigarrow N\}$



Resource safety proof

write : if *write* = 0 then **emp** else $z \vdash^0 N$ fi

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{emp}

with *read* when true do

{if *count* = 0 then **emp else $z \vdash^{count} N$ fi \star **emp**}**

if *count* = 0 then **{emp}** P(*write*) $\{z \vdash^0 N\}$

else $\{z \vdash^{count} N\}$ skip $\{z \vdash^{count} N\}$

fi;

$\{z \vdash^{count} N\}$

count + := 1

od

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Resource safety proof

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fi;

$\{z \vdash^{count} N\}$

count + := 1

$\{z \vdash^{count-1} N\}$

od

$\{z \rightsquigarrow N\}$



Resource safety proof

write : if *write* = 0 then **emp** else $z \vdash^0 N$ fi

read : if *count* = 0 then **emp** else $z \vdash^{count} N$ fi

{emp}

with *read* when true do

{if *count* = 0 then **emp** else $z \vdash^{count} N$ fi \star **emp**}

if *count* = 0 then {**emp**} P(*write*) $\{z \vdash^0 N\}$

else $\{z \vdash^{count} N\}$ skip $\{z \vdash^{count} N\}$

fi;

$\{z \vdash^{count} N\}$

count + := 1

$\{z \vdash^{count-1} N\} \therefore \{z \vdash^{count} N \star z \succ N\}$

od

$\{z \succ N\}$



Do we need two models?



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$\text{AST } x (\text{Lam } v \beta) z \hat{=} \exists b. (x \mapsto^z 0, v, b \star \text{AST } b \beta z$

$\text{AST } x (\text{App } \phi \alpha) z \hat{=} \exists f, a. \left(x \mapsto^z 1, f, a \star \text{AST } f \phi z \star \right)$
 $\text{AST } a \alpha z$

$\text{AST } x (\text{Var } v) z \hat{=} x \mapsto^z 2, v$



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$\text{AST } x (\text{Var } v) z \hat{=} x \mapsto^z 2, v$

$$(\text{Lam } v' \beta)[\tau/v] = \begin{cases} \text{Lam } v' (\beta[\tau/v]) & v \neq v' \\ \text{Lam } v' \beta & v' = v \end{cases}$$

$$(\text{App } \phi \alpha)[\tau/v] = \text{App } (\phi[\tau/v]) (\alpha[\tau/v])$$

$$(\text{Var } v')[\tau/v] = \begin{cases} \text{Var } v' & v \neq v' \\ \tau & v = v' \end{cases}$$



Parallel tree rewriting

```
subst x y v =  
  if [x] = 0 then // Lam  
    if [x + 1] ≠ v then [x + 2] := subst [x + 2] y v else skip fi;  
    x  
  elif [x] = 1 then // App – do it in parallel  
    ([x + 1] := subst [x + 1] y v || [x + 2] := subst [x + 2] y v) ;  
    x  
  elif [x + 1] = v then // Var, same v  
    dispose x; dispose(x + 1); new(2, copy y)  
  else // Var, different v  
    x  
fi
```



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    x  
  fi
```

– proof easy with fractions, ridiculous with counting permissions;
readers and writers swings the other way.



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  else // Var, different v  
    x  
fi
```

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readers and writers swings the other way.

We need more than one model!



Passivity and concurrency

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- ▶ (Same applies to counting permissions.)



We don't understand recursive definitions any more



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tree t (Tip α) $\hat{=}$ $t \mapsto 0, \alpha$

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(and we can write to it)!!



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We have ztree $(z + z')$ $t \ \tau \iff$ ztree $z \ t \ \tau \star$ ztree $z' \ t \ \tau$, but
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We can write programs which work with ztree 0.5, but crash with
ztree 0.499.



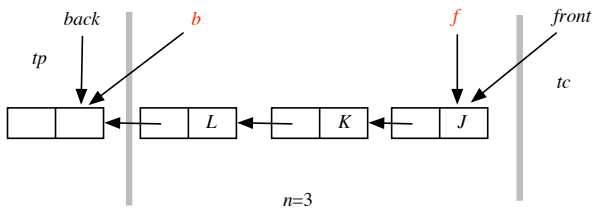
The unbounded buffer

```
begin integer numberOfQueuingPortions,  
        bufferManipulation;  
numberOfQueuingPortions := 0;  
bufferManipulation := 1;  
parbegin  
producer: begin  
    again1: produce next portion;  
            add portion to buffer;  
            V(numberOfQueuingPortions);  
            goto again1  
        end;  
consumer: begin  
    again2: P(numberOfQueuingPortions);  
            take portion from buffer;  
            process portion taken;  
            goto again2  
        end  
parend  
end
```

Proposed and withdrawn in 1965; proved safe, Habermann 1972.

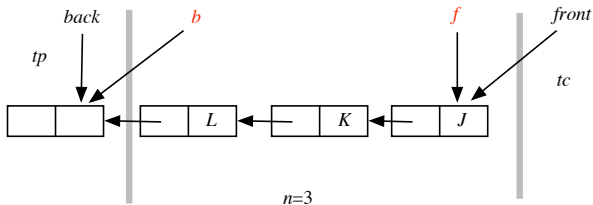


A proof with variables-as-resource



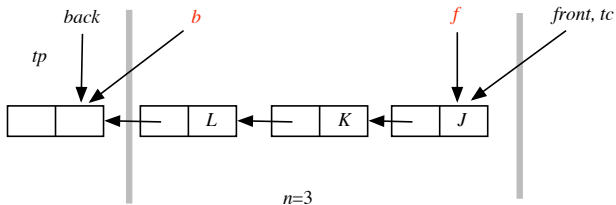
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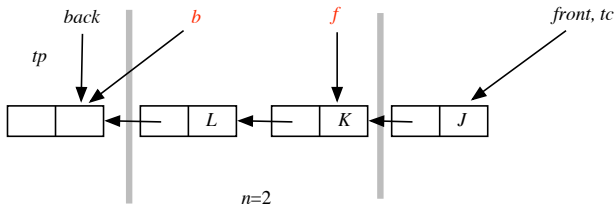
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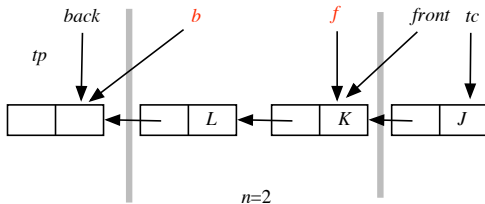
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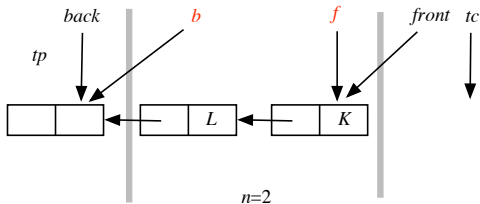
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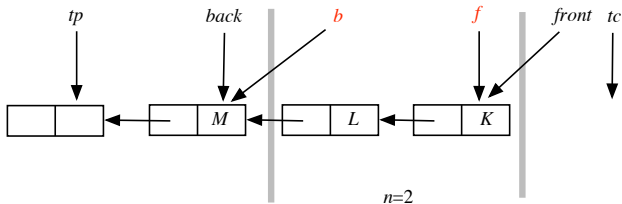
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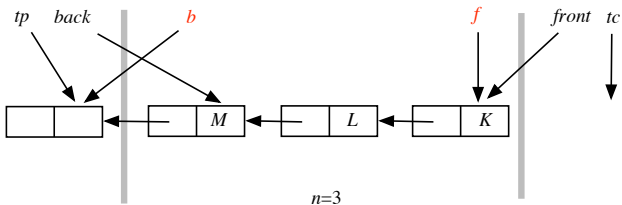
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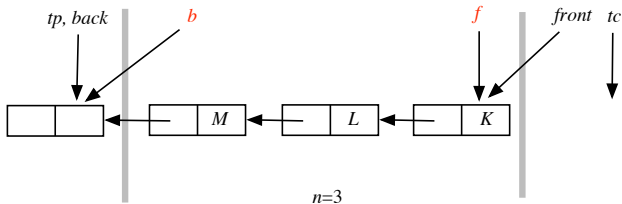
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P can describe separation of the heap: $back \mapsto -, -$ describes ownership of a two-word record; $back \mapsto -, - \star front \mapsto -, -$ describes ownership of two cons-cells **separately**.



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If we build it, they will come (as they came for types).

