Abstract
Large open-source software projects involve developers with a wide variety of backgrounds and expertise. Such software projects furthermore include many internal APIs that developers must understand and use properly. According to the intended purpose of these APIs, they are more or less frequently used, and used by developers with more or less expertise. In this paper, we study the impact of usage patterns and developer expertise on the rate of defects occurring in the use of internal APIs. For this preliminary study, we focus on memory management APIs in the Linux kernel, as the use of these has been shown to be highly error prone in previous work. We study defect rates and developer expertise, to consider e.g., whether widely used APIs are more defect prone because they are used by less experienced developers, or whether defects in widely used APIs are more likely to be fixed.

Categories and Subject Descriptors D.2.8 [Software Engineering]: Metrics—Process metrics, Product metrics; D.3.3 [Programming Languages]: Language Constructs and Features—Patterns

General Terms Measurement, Languages, Reliability

Keywords History of pattern occurrences, bug tracking, Herodotos, Coccinelle

1. Introduction
To ease development, large-scale software projects are often decomposed into multiple interdependent and coordinated modules. Software developers working on one module must then be aware of, and use properly, functions from the APIs of other modules. When a usage protocol is associated with these API functions, it must be carefully followed to ensure the reliability of the system. Large-scale software projects typically also impose coding conventions that should be followed throughout the software project and are not specific to any given API. These conventions ease code understanding, facilitate code review, and ease the maintenance process when many developers are involved in a particular piece of code and when new developers begin to work on the software project.

In this paper, we investigate the degree to which developers at different levels of expertise respect API usage protocols and coding conventions. We focus on the Linux operating system, which as an open source system makes its complete development history available. Furthermore, we focus on memory management APIs, as their use has been found to be highly error prone [3]. The Linux kernel indeed provides both a general-purpose memory management API and highly specialized variants. Thus, it is possible to compare defect rates in APIs that have a related functionality but that require different degrees of expertise to use correctly. We specifically assess the following hypotheses that may be considered to be generally relevant to open-source software:

1. Defects are introduced by less experienced developers.
2. Frequently used APIs are used by developers at all levels of experience, and thus have a high rate of defect occurrences. Nevertheless, these defects are likely to be fixed.
3. Rarely used APIs are used by only highly experienced developers, and thus have a low rate of defect occurrences. Nevertheless, these defects are less likely to be fixed.
4. Coding style conventions are well known to experienced developers.
5. The frequency of a defect varies inversely with its visible impact, i.e., defects causing crashes or hangs occur less often, while defects that have a delayed or cumulative effect such as memory leaks occur more frequently.

To assess these hypotheses, several challenges must be addressed. First, we need to mine the Linux code base to find the occurrences of defective code across the history of the different versions of the software project. Next, we need to identify the developer who introduced each defect. Finally, we need a means to evaluate the level of expertise of the developer at the time the defect was introduced. To address these issues, we use the Coccinelle source code matching tool to detect defects in the uses of memory management functions, focusing specifically on code that violates the usage protocol of the memory management API, code that does not satisfy the global Linux kernel coding style, and code that uses memory management functions inefficiently. We then use the Herodotos tool [7] to correlate the defect occurrences across the different versions. Finally, we use the git [4] source code manager used by Linux kernel developers for version control in order to extract information about developer expertise.

2. Linux Memory Management APIs
In user-level code, the most common memory management functions are malloc and free. These functions are, however, not available at the kernel level. Instead, the kernel provides a variety of memory management APIs, some generic and others more special-purpose. We first describe the commonalities in these APIs and then present four Linux kernel memory management APIs in detail.

2.1 Common behavior and potential defects
All of the memory management APIs defined in the Linux kernel impose essentially the same usage protocol, as shown in Figure 1 and illustrated by the following code:

```c
x = alloc(size, flag);
if (x == NULL) { ... return -ENOMEM; }
...
free(x);
```
In this usage protocol, the allocation function takes two arguments: a size indicating the number of bytes to allocate and a flag indicating how the allocation may be carried out. The allocation function then returns either a pointer to the allocated region of memory or NULL, indicating that some failure has occurred. This result must thus be tested for NULL before using the allocated memory. Finally, the allocated memory should be freed when it is not useful any more, using the corresponding deallocation function.

Each step in this usage protocol introduces possibilities for defects. These defects may be violations of the Linux kernel coding style, that at best only have an impact on the maintainability of the code, or they may induce runtime errors, such as buffer overflows, hangs, crashes, or memory leaks. These defects are summarized in Table 1 and are described in detail below, for each step of the usage protocol:

**Choose size** The size argument to a memory allocation function is typically determined by the type of the location that stores the result of the call. One possibility is to express the size explicitly in terms of the type of this location (defect “sizeof”):

\[ x = \text{kmalloc}(\text{sizeof}(\text{foo}), \ldots); \]

The Linux kernel coding style, however, suggests to express the size as the size of the result of dereferencing the location itself:

\[ x = \text{kmalloc}(\text{sizeof}(*\text{foo}), \ldots); \]

This strategy makes the size computation robust to changes in the type of `x`.

The approach preferred by the Linux kernel coding style, however, introduces the possibility of another kind of defect, in which the size is computed in terms of the pointer itself, instead of what it references, e.g.:

\[ x = \text{kmalloc}(\text{sizeof}(*\text{ptr}), \ldots); \]

In this case, only a few bytes are allocated, leading to a likely subsequent buffer overflow (defect “noderef”).

**Construct call** The construct call step before using the allocated memory. Finally, a null test on the result of an allocation test result.

**Choose flag** The flag argument indicates some constraints on the memory allocation process. The most common values are `GFP_ATOMIC`, indicating that the memory allocation process may sleep if adequate memory is not immediately available, and `GFP_KERNEL`, indicating that such sleeping is not allowed, typically because the function is called in a context in which interrupts are turned off. Using `GFP_ATOMIC` where `GFP_KERNEL` could be used can cause the memory allocation to fail unnecessarily, while using `GFP_KERNEL` where `GFP_ATOMIC` is required can hang the kernel (defect “flag”).

**Free result** If the pointer resulting from a call to an allocation function is not immediately tested for being NULL, then the first dereference of a NULL result will normally crash the kernel (defect “null test”). This dereference may be far from the allocation site, making the problem difficult to diagnose.

**Construct call** The Linux kernel memory allocation functions have return type `void *`, while the location that stores the result typically has some other type, such as that of a pointer to some structure. Some programmers thus cast the result of the memory allocation to the destination type. Such a cast is, however, not required by the C standard and is against the Linux kernel coding style (defect “cast”).

**Test result** If the pointer resulting from a call to an allocation function is not immediately tested for being NULL, then the first dereference of a NULL result will normally crash the kernel (defect “null test”). This dereference may be far from the allocation site, making the problem difficult to diagnose.

**Free result** In Linux kernel code, a common pattern is for one function to allocate multiple resources. Each of these allocations may fail, in which case all of the previously allocated resources must be freed. Neglecting to free allocated memory in the case of such a failure causes a memory leak (defect “free”).

### Table 1. Defect kinds studied

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>Potential Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>sizeof</td>
<td>Size argument expressed as the size of a type rather than the result of dereferencing the destination location.</td>
<td>coding style</td>
</tr>
<tr>
<td>noderef</td>
<td>Size argument expressed as the size of a pointer, rather than the pointed type.</td>
<td>buffer overflow</td>
</tr>
<tr>
<td>flag</td>
<td>Flag that allows locking when a lock is already held.</td>
<td>hang</td>
</tr>
<tr>
<td>cast</td>
<td>Cast on the result of an allocation function.</td>
<td>coding style</td>
</tr>
<tr>
<td>null test</td>
<td>Missing NULL test on the result of an allocation function (inverted when NULL test is not required).</td>
<td>crash</td>
</tr>
<tr>
<td>free</td>
<td>Missing deallocation of a pointer that is only accessible locally.</td>
<td>memory leak</td>
</tr>
<tr>
<td>memsize</td>
<td>Explicit zeroing of the allocated memory rather than allocating using a zeroing allocation function.</td>
<td>inefficient</td>
</tr>
<tr>
<td>array alloc</td>
<td>Allocation of an array without using a dedicated array-allocating function.</td>
<td>buffer overflow</td>
</tr>
</tbody>
</table>

### Table 2. Number of occurrences of the memory allocation functions in Linux 2.6.32 (released December 2009)

<table>
<thead>
<tr>
<th>Pattern</th>
<th>Memory Management API</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Standard</td>
</tr>
<tr>
<td>basic</td>
<td>4,240</td>
</tr>
<tr>
<td>array</td>
<td>363</td>
</tr>
<tr>
<td>zerroing</td>
<td>5,125</td>
</tr>
<tr>
<td>TOTAL</td>
<td>9,728</td>
</tr>
</tbody>
</table>

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### 2.2 The specific APIs

The Linux kernel provides a number of different memory management APIs for different purposes. These differ in when they can be invoked and the features they provide. The APIs we consider are described below. Table 2 summarizes the usage frequency of their allocation functions.

**Standard** `kmalloc` is the standard memory allocation function in the Linux kernel, comparable to `malloc` at the user level. Two variants have recently been introduced. `kmalloc` was introduced in Linux 2.6.9 (October 2004) for allocating arrays. This function takes the number of elements and the size of each element as separate arguments, and protects against the case where their product overflows the size of an integer. The elements of the array are also initialized to 0. `kzalloc` was introduced in Linux 2.6.14 (October 2005) for allocating a region of memory in which all elements are initialized to 0 but that is not an array. Memory allocated with all of these functions is freed using `kfree`.

**Node** `kmalloc_node` targets NUMA architectures, where memory may be local to a processor or shared between a subset of the processors, and access to non-local memory is very expensive. This function thus takes an extra argument that specifies the node that should be associated with the allocated memory. `kmalloc_node` is `kmalloc`’s zeroing counterpart. Memory allocated with both of these functions is freed using `kfree`. Some other variants
of these functions exist that aid in debugging, but these are rarely used and we do not consider them further.

**Cache** 
`kmem_cache_alloc` allocates memory from a previously allocated memory cache. `kmem_cache_free` is its zeroing counterpart. Memory allocated with both of these functions is freed using `kmem_cache_free`.

**Boot** 
These functions must be used to allocate memory during the booting process. They are analogous to `kzalloc` in that the memory is already zeroed. They furthermore always return a valid pointer, never `NULL` in the case of an allocation error, the kernel panics. These functions do not take a flag argument. We consider only the allocation functions `alloc_bootmem`, `alloc_bootmem pages`, and `alloc_bootmem_low_pages`. Memory allocated with all of these functions is freed using `free_bootmem`.

In addition to the defect types outlined in Section 2.1, the different features of the memory management functions within each API introduce the possibility of using one of these functions in the wrong situation. In terms of defects, we consider cases where the zeroing and array allocating variants, if available, are not used and the corresponding code is inlined into the call site (defects “memset” and “array alloc”, respectively). For the `alloc_bootmem` functions, which do zero the memory and do not return `NULL`, we consider code that performs unnecessary zeroing and `NULL` test operations. These mistakes essentially only impact the efficiency of the code, but may also impact readability, and thus subsequent code maintenance.

### 3. Tools

To carry out our study, we use the following tools: 1) Coccinelle to find occurrences of defects in recent versions of the Linux source tree, 2) Herodotos to correlate these occurrences across multiple versions, and 3) git to identify the developer responsible for introducing each defect occurrence and to obtain information about the other patches submitted by this developer. Coccinelle is applicable to any software implemented in C. Herodotos is applicable to any software at all, as it is language-independent. Git can also be used to access developer information for any software, as long as it or some compatible tool has been used as the version control manager during the software’s development.

#### 3.1 Coccinelle

Coccinelle is a tool for performing control-flow based pattern searches and transformations in C code [2, 6]. It provides a language, SmPL, for specifying searches and transformations and an engine for performing them. In this work, we use SmPL to create patterns representing defects and then use Coccinelle to search for these patterns across different versions of the Linux source tree. Patterns are expressed using a notation close to source code, but may contain metavariables to represent arbitrary sub-terms. A metavariable may occur multiple times, in which case all occurrences must match the same term. SmPL furthermore provides the operator “...”, which connects separate patterns that should be matched within a single control-flow path. This feature allows, for example, matching an execution path in which there is first a call to a memory allocation function and then a return with no intervening save or free of the allocated data, amounting to a memory leak. More details about Coccinelle, including numerous examples, are found in previous work [2, 5, 6].

#### 3.2 Herodotos

To understand how defects have been introduced in the Linux kernel, we have to correlate the defect occurrences found by Coccinelle across multiple versions. Indeed, the position of a defect may change across versions due to the addition or removal of other code in the same file. To correlate defect occurrences, we use the Herodotos tool [7]. Herodotos uses Unix diff to identify the differences in each affected file from one version to the next and thereby predicts the change in position of a defect. If a defect of the same type is reported in the predicted position in the next version, they are considered to be the same defect. Otherwise, the defect is considered to have been corrected. Herodotos also can be configured to produce a wide variety of graphs and statistics representing the defect history.

#### 3.3 Git

Since version 2.6.12 (June 2005) Linux has used the `git` version control system [4]. Git maintains a graph representing the project history, including commits, forks and merges. Each of these operations is referenced by a SHA1 hash code. This hash code gives access to the changes in the repository and some related meta-information. For instance, Git registers the name and the email of the author and the committer of a change, short and long descriptions of the change, and the date on which the change was committed.

Git includes various options for browsing the commit history. In this work, we use git to trace the contributions of each developer. Starting from the earliest version in which Coccinelle finds a given defect, we use the `blame` option to find the name of the developer who has most recently edited the defective line in a prior commit. To evaluate the level of expertise of this developer, we then count the number of patches from this developer that were accepted prior to the one introducing the defect and the number of days between the developer’s first accepted patch and the defective one. We consider the level of expertise of the developer to be the product of these two quantities.

### 4. Assessment

We now assess the hypotheses presented in Section 1 for the memory management APIs. To support our assessment, we have collected various statistics. Table 3 presents the percentage of defect occurrences as compared to all occurrences of each kind of memory allocation function for Linux 2.6.32, which is the most recent version. Figure 2 presents the same information, but for all versions since Linux 2.6.12. The defect Flag is omitted, because its frequency is very close to 0. Figure 3 presents the average lifespan of these defects. Finally, Figure 4 presents the number of developers introducing each kind of defect (on the X axis) and their average level of expertise, calculated as described in Section 3.3.

Our assessment of each of the five hypotheses is as follows:

**Defects are introduced by less experienced developers**  Figure 4 shows that in most cases, the expertise of the developers who introduce defects is indeed low, i.e., they have participated in kernel development for only a short time and have submitted only a few patches. But for two defect types for the Node API and for one
The frequency of a defect varies inversely with its impact. Node is likely to lead to a kernel crash, as much less memory is allocated than intended. Flag can cause a kernel hang. A missing free can cause a memory leak. All of these defect kinds do indeed occur very infrequently, as shown by Table 3. Missing NULL tests, however, are relatively frequent, found in up to 10% of all occurrences for the Node API. We conjecture that the memory allocation functions do not return NULL very often, and thus the impact of the defect is not seen very often in practice.

5. Related work

The closest work to this one is our paper at AOSD 2010 [7], which presents Herodotos. The experiments in that paper have a larger scope, as they consider four open source projects and a wider range of defects. In this paper, on the other hand, we consider in more depth the defects in the use of a single type of API, in one software project. We have also added the assessment of developer expertise to the collected statistics. In future work, we will apply the analyses presented here to the wider set of examples considered in the AOSD paper.
Zhou and Davis assess the appropriateness of statistical models for describing the patterns of bug reports for eight open source projects [9]. They do not, however, distinguish between different defect types, nor do they study the level expertise of the developers who introduce the bugs. Chou et al. [3] do consider specific bug types in earlier versions of Linux, but do not study developer expertise.

Anvik and Murphy [1], and Schuler and Zimmermann [8] propose approaches to determine implementation expertise based on mining bug reports and code repositories. However, they determine who has expertise on a particular piece of code while we want to investigate the expertise of a developer who commits code containing a particular defect.

6. Conclusion

In this paper, we have studied the history of a set of defect types affecting a range of memory management APIs in the Linux kernel code, considering both the percentage of defects as compared to the total number of occurrences of each considered function and the expertise of developers that introduced these defects. Based on this information, we have assessed a collection of hypotheses, differentiating between widely used APIs and more specialized ones. The hypotheses that the developers who introduce defects have less experience, that defects in the use of widely used APIs are fixed quickly, and that defects in the use of rarely used APIs tend to linger are largely substantiated. On the other hand, the percentage of defect occurrences does not appear to be correlated to the frequency of use of the API. Expert developers do not seem to be more aware of coding conventions than less expert ones, and the effect of a defect is not always inversely related to its potential impact. More work will be required to assess these hypotheses in the context of Linux and the memory management APIs, as well as other software projects and APIs.

Availability

The data used in this paper are available at

http://www.diku.dk/~npalix/acp/plin10/.

References


A. SmPL files

A.1 alloc_size

```plaintext
virtual org
  @r depends on org disable sizeof ypr ypr @p
  type T, T;
  expression n;
  position p;
  @0
  (@0 = ((T)!(k alloc \ \| k alloc \ )<+\ldots sizeof(T)\ldots+>\ldots) |
   (@0 = ((T)k alloc(n <+\ldots sizeof(T)\ldots+>\ldots) ) )
  @script python
  p << r,
  x << r,
  type << r;
  @0
  msg = 'var: %s type: %s % % (var, type)
  cocciliologic primitive todo(c[0], msg)
  cocci.include match(0)
```

A.2 alloc_noderef

```plaintext
virtual org
  @r depends on org @p
  expression n;
  expression r;
  position p;
  @0
  (@0 = ((k alloc \ | k alloc \ )<+\ldots sizeof@0@()\ldots+>\ldots) |
   k alloc(n, <+\ldots sizeof@0@()\ldots+>\ldots) )
  @not_free @p
  position r;
  expression r;
  constant r;
  @0
  \ sizeof@0@() \ sizeof@0@() @
  @script python depends on @not_free @p
  p << r,
  x << r;
  @0
  msg = 'var: %s % % (var)
  cocciliologic primitive todo(c[0], msg)
  cocci.include match(0)
```
A.3  gfp_kernel

virtual org

@  depends on org@
expression $E_1$
position $p_1$
@ 0

(read_lock_irq
   |  write_lock_irq
   |  read_lock_irqsave
   |  write_lock_irqsave
   |  lock_acquire
   |  spin_lock_irq
   |  spin_lock_irqsave
) $E_1$

...  when $=! E_1$
when any
((Allocate))($E_1$...,$GFP_KERNEL@_{\ldots\ldots}$)

@scriptpython@  
$p < < r_2$
@ 0

msg = "%s" % ($E_1$[$\ldots$]line)
cooclibwarning::node($_[\ldots_2]msg$
coocinclude::match(False)

A.4  cast_alloc

virtual org
virtual patch

@  depends on patch & lorg disable drop_cast @
type $T$
@ 0

- $T$

((Allocate))($E_1$...)

@  depends on patch & org disable drop_cast @
type $T$
position $p$
@ 0

((Allocate))($E_1$...)

@scriptpython@  
$p < < r_2$
$i < < r_1$
@ 0

msg = "%s" % ($E_1$[$\ldots$]msg$
cooclibwarning::node($_[\ldots_2]msg$
coocinclude::match(False)

A.5  alloc_nulltest

virtual org

@  depends on org@
type $\ldots$
expression $\ast$;
identifier $\ast$;
constant char $\ast$;
position $p_1$,$p_2$
@ 0

(... = (f)($E_1$...($E_1$, ...))
...); when $!= \ast$
when any

kfree()
|  $f$...($E_1$, ...)
|  $f$($E_1$, ...)
|  $f$($E_1$, ...)
|  $x$+$y$

@scriptpython@  
s < < r_2$
$p_1 < < r_2$
$p_2 < < r_2$
@ 0

msg = "%s" % ($f$[$\ldots$]msg$
cooclibwarning::node($_[\ldots_2]msg$
coocinclude::match(False)

A.6  kmalloc

virtual org

@  exists@
type $T$
local id expression $\ast$
statement $S$
expression $E$
identifier $\ast$
position $p_1$,$p_2$
expression $\ast$ when

if $((=$($E_1$($E_1$($E_1$[$\ldots$]$E_1$))...))"$S$
then

if $((=$($E_1$($E_1$($E_1$[$\ldots$]$E_1$))...))"$S$

<... \ldots >
when $!= \ast$
when $!= \ast$

return

@scriptpython@  
s < < r_2$
p_1 < < r_2
$p_2 < < r_2$
@ 0

msg = "%s" % ($f$[$\ldots$]msg$
cooclibwarning::node($_[\ldots_2]msg$
coocinclude::match(False)

for $\ast$ in $p_1$:
  for $\ast$ in $p_2$
    cooclibwarning::node($_[\ldots_2]msg$
coocinclude::match(False)
A.7 kcalloc

```c
// Options: --no-includes --include_headers

// virtual org

type f;

expression *;

expression e1, e2;

statement s;

@0

x = (f)(kalloc0p0(e1, e2));

... when !x

if (x == NULL || ...) { ... return ... }

... when !x

when f = for(..., ...) S

when f = while(...) S

memset0p0(...);

@0

... when !kalloc0p1

memset0p0(...);

@scriptpython depends on l@

p1 = r1(p1);

x = x + x;

@0

msg = msg % ( )

cocciincludeprim_safe_todo(p0, msg)

cocciincludematch(False)
```

A.8 kcalloc

```c
// Options: --no-includes --include_headers

// virtual org

type f;

expression e1, e2, e3;

position p;

constant C1, C2;

@0

(kalloc0(C1 * C2, e3)

t
+kalloc0(C1 * C2, e3)

+kalloc0(e1 * e2, e3)

+kalloc0(e1 * e2, e3)

)@scriptpython

p = p + p;

E1 = E1 + E1;

E2 = E2 + E2;

@0

msg = msg % ( )

cocciincludeprim_safe_todo(p0, msg)

cocciincludematch(False)
```

B. Excerpt of the HCL file

```hcl
prefix= ""
patterns = "\./cocii"
projects = "\var"
results = "\results"
website = "\web"
findcmd = "patchopt \%f -sp_file \%p -dir \%d > \%c"
flag = "-timeout 60 -use_glimpse -o" org

project Linux {
    scm = "git://linux.git"
    dir = "linuxes"
    color = "#000"
    linestyle = "solid"
    marktype = "circle"
    versions = {
        "linux-2.6.12", 06/17/2005, 4155826
    }[]
    "linux-2.6.32", 12/02/2009, 7663555
}
}

pattern std_cast {
    file = "std/cast_alloc.cocii"
    color = "#000"
}

}[

]graph gv/std.jgr {
    xaxis = date
    xlegend = ""x
    yaxis = sum
    ylegend = "# of defects"
    project = Linux
    curve pattern std_size
    curve pattern std_rdderef
    curve pattern std_gfp
    curve pattern std_cast
    curve pattern std Marlins
    curve pattern std_free
    curve pattern std_kalloc
    curve pattern std_dMalloc
}

graph gv/csmal.exp.jgr {
    xaxis = groups
    xlegend = "x"
    yaxis = expertise
    ylegend = "Level of expertise"
    legend = "default fontsize 6 x 25 y 15"
    project = Standard
    project = Node
    project = Cache
    project = Boot
}

}[

]group "Struct" {
    curve project Standard pattern std_cast
    curve project Node pattern node_cast
    curve project Cache pattern cache_cast
    curve project Boot pattern boot_cast
}
```