# Modelling Rust's Reference Ownership Analysis Declaratively in Datalog

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#### **Abstract**

Polonius is a Datalog reformulation of Rust's signature static may-point-to analysis, the borrow check, used for alias control of references. Polonius extends the previous borrow check to a full flow-sensitive analysis on Rust's Mid-level Intermediate Representation. This thesis describes the current, partial implementation of Polonius, including the addition of initialisation and liveness tracking contributed as part of the work for the thesis, ties it to the Oxide formal type system, and describes an exploratory study of input data for the borrow check generated by analysing circa circa 20 000 popular publicly available Git repositories found on GitHub and the Crates.io Rust package index. Some central findings from the study are that deallocations are uncommon relative to other variable uses, and that the full flow-sensitive analysis is typically seldom needed. Indeed, surprisingly many functions (circa 60%) actually do not create any references at all, and therefore does not need (most of) the Polonius analysis. Another conclusion from the study is that control-flow graph size and number of variables in the function under analysis seems to have the highest correlation to longer solve-times.

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# Chapter 1

## Introduction

Rust is a young systems language originally developed at Mozilla Research [1]. Its stated intention is to combine high-level programming language features like automatic memory management and strong safety guarantees, in particular in the presence of concurrency or parallellism, with predictable performance and pay-as-you-go abstractions in the style of C++ and similar systems languages.

One of its core features is the memory ownership model, which enables compile-time safety guarantees against data races, unsafe pointer dereferencing, and runtime-free automatic memory management, including for dynamic memory allocated on the heap.

This report describes the implementation of Rust's memory safety checker, called the borrow checker, in an embedded Datalog engine. In practice, the full analysis encompasses a variable liveness analysis, initialisation and deinitialisation tracking, and may-reference analysis for validation of Rust's memory safety guarantees.

Finally, the report also generates borrow-check inputs from Rust code found in ca 20 000 popular publicly available Git repositories found on crates.io and GitHub for a total of ca 400 GBs of tab-separated input data. The analysis points towards the viability of a hybrid analysis, where the full flow-sensitive borrow check is only executed if and where a first, flow-insensitive pass fails. Additionally, it finds that many functions contain no new references at all, in which case no borrow check typically needs to be performed. Such a situation is also easily detectable.

## **Chapter 2**

# **Background**

Whenever a reference to a resource is created in Rust, its borrowing rules described in Section 2.1 must be respected for as long as the reference is alive, including across function calls [2]. In order to enforce these rules, the Rust language treats the scope of a reference, called its lifetime, as part of its type, and also provides facilities for the programmer to name and reason about them as they would any other type.

Since its release, the Rust compiler has been extended through proposal RFC 2094 to add support for so-called non-lexical lifetimes (NLLs), allowing the compiler to calculate lifetimes of references based on the control-flow graph rather than the lexical scopes of variables [3]. During the spring of 2018, Nicholas Matsakis began experimenting with a new formulation of the borrow checker, called Polonius, using rules written in Datalog [4]. The intention was to use Datalog to allow for a more advanced analysis while also allowing for better compile-time performance through the advances done centrally to the fixpoint solving provided by the Datalog engine used for the computations [5].

Datalog, and other types of logic programming has been previously employed for program analysis, in particular pointer analyses such as may-point-to and must-point-to analysis, both similar to what is described in this report in that they require fix-point solving and graph traversal, often with a context sensitive analysis (i.e. respecting function boundaries) like the one described here [6]–[17]. These systems employ a wide variety of solver technologies and storage back-ends for fact storage, from Binary Decision Diagrams (BDDs) to explicit tuple storage, as used in this study. Some of them, like FLIX, also extends Datalog specifically for static program analysis [16].

In addition to being context-sensitive, Rust's borrow checker is also flow-sensitive (i.e. performs analysis for each program point), like the system described by Hardekopf and Lin, and whose form is very similar to the analysis performed in practice by Polonius [18].

A 2016 study uses the Soufflé system, which synthesizes performant C++ code from the Datalog specifications, similar to how Datafrog embeds a minimal solver as a Rust library, to show promising performance for analysis of large programs [19]. The DOOP system, developed by Smaragdakis and Bravenboer, also shows that explicit tuple storage sometimes vastly outperforms BDDs in terms of execution time [14], as do sparse bitmaps [12].

Formally, the semantics of Rust's lifetime rules have been captured in the language Oxide, described by Weiss, Patterson, Matsakis, et al. in a draft paper which describes a minimal Rust-like language called Oxide along with its type system [20]. Oxide is notable in that it shares Polonius' view of variables as sets of possible loans that would give rise to the reference. However, as the Oxide paper already covers the formalisms of such a type system, this report will not concern itself with the semantics of the borrow rules except where necessary.

The contributions made within the scope of the thesis project specifically includes the implementation of liveness and initialisation calculations (Sections 3.1.3 and 3.1.2 respectively), as well as work on region inference for higher-ranked types. Finally, the report also evaluates the runtime performance of the system and suggests some potential optimisations in Section 3.5, and performs a field study of the shape of input data in Section 3.4. The core rules of Polonius for the region constraints were already written when the project started, but are described in Section 3.1.4 for completeness. For clarity, sections detailing components not developed by me are marked with  $(\dagger)$ .

## 2.1 The Borrowing Rules

This section will demonstrate the rules enforced by the borrow check. Most of these examples are borrowed directly or only slightly modified from Weiss, Patterson, Matsakis, et al. [20].

Variables must be provably initialised before use Whenever a variable is used, the compiler must be able to tell that it is guaranteed to be initialised:

```
let x: u32;
let y = x + 1; // ERROR: x is not initialised
```

A move deinitialises a variable Whenever ownership of a variable is passed on (*moved* in Rust parlance), e.g. by a method call or reassignment, the variable becomes deinitialised:

```
struct Point(u32, u32);
let mut pt = Point(6, 9);
```

```
let x = pt;
let y = pt; // ERROR: pt was already moved to x
```

There can be any number of shared references A shared reference, also called a *borrow* of a variable, is created with the & operator, and there can be any number of simultaneously live shared references to a variable:

```
struct Point(u32, u32);
let mut pt = Point(6, 9);
let x = &pt;
let y = &pt; // This is fine
```

There can only be one simultaneous live unique reference Whenever a unique reference is created, with &mut, it must be unique:

```
struct Point(u32, u32);
let mut pt = Point(6, 9);
let x = &mut pt;
let y = &mut pt; // ERROR: pt is already borrowed
// code that uses x and y
```

This error happens even if the first borrow is shared, but not if either x or y are dead (not used).

A reference must not outlive its referent A reference must go out of scope at the very latest at the same time as its referent, which protects aganst use-after-frees:

```
struct Point(u32, u32);
let x = {
    let mut pt = Point(6, 9);
    &pt
};
let z = x.0; // ERROR: pt does not live long enough
```

In this example, we try to set x to point to the variable pt inside of a block that has gone out of scope before x does.

#### 2.1.1 Variables, Places, and Paths

A notable detail of the borrow check is what is meant by a "variable". In Rust, some data structures, such as structs, and tuples, are analysed at the granularity of the individual components, which may have arbitrarily deep nesting (known at compile-time). This means that the following code, for example, *does* pass the borrow check, as the loans do not overlap:

```
struct Point(u32, u32);
let mut pt: Point = Point(6, 9);
let x = &mut pt.0;
let y = &mut pt.1;
// no error; our loans do not overlap!
```

In our instance, the root variable pt contains the *paths* pt.1 and pt.2. Such paths constitute a tree with its root in the variable itself. Both the core borrow check and the initialisation tracking that we will discuss reasons about variables on the path level. It is worth pointing out that dynamic structures like vectors, as well as arrays, are not analysed at this granularity, but are considered one object. In Rust compiler parlance, we say that a path points to a *place*, corresponding literally to the place in memory holding its data.

Finally, we sometimes talk of a path having *prefixes*, where a prefix is anything above a "leaf" in the tree spanning all paths. For example, the path x.y would have the prefixes x and x.y. This is useful when reasoning

## 2.2 Why a Reformulation?

Polonius' design is driven by shortcomings of the current borrow checker (NLL), which does not have the same degree of flow-sensitivity as Polonius provides. For this reason, NLL rejects certain desirable patterns of Rust, such as the code in Listing 2.1, that Polonius is designed to accept. Leaving out the flow-sensitive analysis of NLL was motivated by performance reasons and is one of the motivations for using the Datalog implementation, in addition to the intention of having a clearer formulation in a data-oriented language.

Listing 2.1: A motivating example for Polonius, rejected by the current borrow checker. The code is sound, as the loaned event is either returned out of the loop, or overwritten at the next iteration. Therefore, there are no overlapping mutable loans of buffer.[21]

```
fn next<'buf>(buffer: &'buf mut String) -> &'buf str {
    loop {
        let event = parse(buffer);

        if true {
            return event;
        }
    }
}
fn parse<'buf>(_buffer: &'buf mut String) -> &'buf str {
        unimplemented!()
}
```

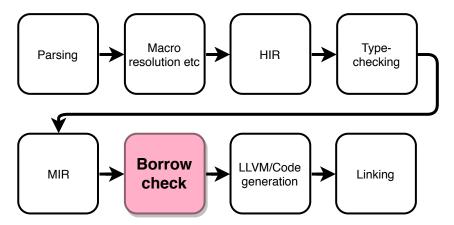


Figure 2.1: An overview of the Borrow Check's place in the process of compiling Rust code, as described in the Rust Developer's Guide [22].

## 2.3 The Borrow Check in the Rust Compiler

The logic of the borrow check as described in Section 2.4 is calculated at the level of an intermediate representation of Rust called the Mid-Level Intermediate Representation (MIR), corresponding to the basic blocks of program control flow. Rust is lowered to MIR after regular type checking and after a series of earlier transformations, as seen in Figure 2.1.

The input data to the Polonius solver is generated in the Rust compiler by analysing this intermediate representation. This means that we can safely assume to be working with simple variable-value assignment expressions, of the type  $_1 = _2$ , as opposed to complex expressions involving multiple variables on the right-hand side.

The MIR consists of basic blocks in the traditional compilers sense, each containing a set of statements and usually ending with a *terminator*, an expression providing a branching to other basic blocks [22], [23]. A rendering of the MIR of the program in Listing 2.2 can be seen in Figure 2.2.

Listing 2.2: A minimal Rust program featuring branching and a function call. The MIR form of this program is shown in Figure 2.2.

```
fn main() {
    let x = 17;
    let z = if x == 3 {
        92
    } else {
        x
    };
    do_something(z);
}
```

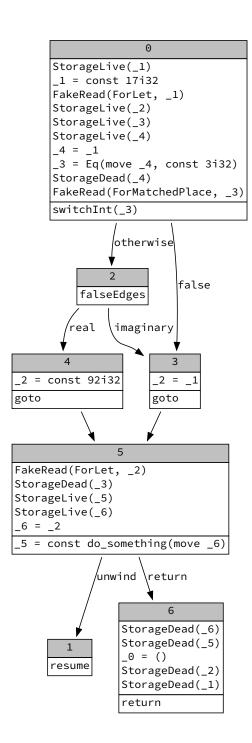


Figure 2.2: A graph rendering of the main() function from the Rust program in Listing 2.2, illustrating branching (block  $\theta$ ), and a function call (5). Note the unwind arm of block 5's terminator (last line), which will be followed if the function call panics.

#### 2.4 From Lifetimes to Provenance Variables

As the lifetime of its value is a part of a reference variable's type, it can be referred to by name like any other type using the syntax &'lifetime. In the literature, the terms "region" [4], "(named) lifetime", and "reference provenance" [20] (provenance) are all employed. As the section heading suggests, I will use the last one of them as I believe it best captures the concept. Named provenances (such as 'lifetime above) are referred to as "provenance variables".

From a type system perspective, the provenance is part of the type of any reference and corresponds to the borrow expressions that might have generated it in the Polonius formulation of the borrow check. For example, if a reference r has the type &'a Point, r is only valid as long as the terms of the loans in 'a are upheld. Take for example the code of Listing 2.3, where p would have the type &'a i32 where a is the set  $\{L_0, L_1\}$ .

Listing 2.3: An example of a multi-path borrow.

```
let x = vec![1, 2];
let p: &'a i32 = if random() {
   &x[0] // Loan L0
} else {
   &x[1] // Loan L1
};
```

If a reference is used in an assignment like <code>let p: &'b i32 = &'a x</code>, the reference, <code>p</code>, cannot outlive the assigned value, <code>x</code>. More formally the type of the right-hand side, <code>&'a i32</code>, must be a subtype of the left-hand side's type; <code>&'a i32 <: &'b i32</code>. In practice, this establishes that <code>'b</code> lives at most as long as <code>'a</code>, which means that the subtyping rules for regions establishes a set membership constraint between the regions, as seen in Rule ?? of Section 2.5, which gives a brief introduction to the reference ownership analysis of Polonius from a type system perspective.

Finally, when talking about the *liveness* of a provenance variable r at some point in the control-flow graph p, we will mean that r occurs in the type of at least one variable which is live at p. This has the semantic implication that any of the loans in r might be dereferenced at control-flow points reachable from p, and thus that the terms of the loans in r must be respected at that point. For a more formal explanation of this, including an expansion of how provenance variables are populated, please see the following section.

## 2.5 Reference Ownership as a Type System

In this section, I will summarise the ongoing work of Weiss, Patterson, Matsakis, et al. on formalising the reference ownership rules of Rust [20] into a type system as it relates to the Polonius formulation of the borrow checker. At the heart of the type system lies the flow-sensitive typing judgments seen in Rules 2.1 and 2.2, both of Weiss, Patterson, Matsakis, et al.'s paper (Figure 1), with slight modifications.

The first rule (2.1) shows that for a given environment  $\Gamma$ , a move of a given variable  $\pi$  (occurring if  $\pi$  cannot be copied) is only valid if  $\pi$  is the only name for that value and removes that value from the environment, effectively deallocating it.

$$\frac{\Gamma \vdash_{\text{mut}} \pi : \tau^s \text{ noncopyable } \tau^s}{\Sigma; \Delta; \Gamma \vdash [\pi] : \tau^s \implies \Gamma - \pi}$$
(2.1)

The second rule, Rule (2.2), tells that we may create an  $\omega$ -reference to any variable where  $\omega$ -use is safe (either sharedly or uniquely), and produce a reference to that variable of the type "reference to a value of  $\pi$ 's type,  $\tau$ , with its provenance variable being the set containing only that loan, denoted  $\omega_{\pi}$ ".

$$\frac{\Gamma \vdash_{\omega} \pi : \tau}{\Sigma; \Delta; \Gamma \vdash \left[\&\omega\pi\right] : \left\{^{\omega}\pi\right\} \omega\tau \implies \Gamma}$$
 (2.2)

Judgments on the form  $\Gamma \vdash_{\omega} \pi : \tau$  mean that "in the environment  $\Gamma$ , it is safe to use the variable  $\pi$  (of type  $\tau$ )  $\omega$ -ly" [20]. In other words, if  $\omega$  is unique, it means that there are no live loans of any paths overlapping  $\pi$ , and of  $\omega$  is shared that there are no overlapping unique loans in the provenance part of  $\tau$ .

Rules (2.1) and (2.2) constitute "base cases" for the ownership system, showing how variables get removed from the environment, and how provenance variables in reference types are created. In order to describe the full analysis, I need to also consider how these relations extend across program execution through sequencing or branching, of which the latter introduces the approximate aspect of provenances. Finally, I will also describe how provenance variables come into relation with each other through type unification.

Since the borrow check is performed on the MIR, Polonius does not handle branchings in the normal sense. Therefore, the sequencing and branching rules of Oxide only translate analogously [20]. As in Oxide, the "type en-

vironment" of the MIR is threaded through the typing of each expression, such that the sequence of expressions  $e_1; e_2$  would first type-check  $e_1$  and then  $e_2$  in the resulting environment. To capture this, I will use the name  $\Gamma_p$  to refer to the type-environment mapping places to their types just before evaluating an arbitrary point p of the CFG.

In Oxide, the typing rules for branch expressions provide for a type unification of the if expression such that its value unifies the provenance variables. The MIR produced by such a branching would have a loop starting at the head of the if expression and ending with an assignment to the same variable in each branch before finally joining in a basic block where the assigned variable now could have come from either arm. The same unification in Polonius has two aspects to it: approximation of reference origins, captured by transfer across CFG edges in the MIR, and type unification, captured on assignment.

Simply put, each assignment allows different types on each side of the assignment, as long as the types unify, as seen in Rule (2.3). This leads to the same type-unification for references as seen in Oxide (Rule (2.4)). In practice, this means that each assignment of a place  $\pi_1$  from another place  $\pi_2$  in the environment  $\Gamma$  updates  $\Gamma$  to have a new mapping such that  $\pi_2$ 's provenance variable  $\rho_2$  is a superset of  $\pi_1$ 's.

Finally, in Oxide's T-Branch rule for branching, the type environments are unified into an approximate type environment that combines provenances in the variables from each branch. In Polonius, the corresponding logic is simply that a basic block's starting place-environment  $\Gamma$  is the transitive closure of the union of the place-environments at the terminators of the previous blocks.

$$\frac{\pi_1 : \tau_1 \ \pi_2 : \tau_2 \ \tau_1 \sim \tau_2 \implies \tau \ \Gamma \vdash_{uniq} \pi_1}{\Sigma; \Delta; \Gamma \vdash [\pi_1 = \pi_2] : \tau \implies \Gamma - \pi_1, \pi_1 : \tau}$$
(2.3)

$$\frac{\tau_1 \sim \tau_2 \implies \tau \quad \rho_1 \cup \rho_2 = \rho}{\& \rho_1 \omega \tau_1 \sim \& \rho_2 \omega \tau_2 \implies \& \rho \omega \tau}$$
(2.4)

Under these rules, a Rust function is valid from the perspective of the borrow check if, for each point in the control flow graph, the borrow rules are respected. In logic terms, this means that we cannot find a point p in the control-flow graph such that a loan l is live there while its conditions are being violated, or more formally  $\neg \exists (l, p) : \text{Live}(l, p) \land \text{Invalidated}(l, p)$ . These relations are then defined as follows:

the Live(l,p) relation for a loan l A loan is live at a given position p if there exists a live provenance variable R such that  $l \in R$ , or formally:  $\exists (l,R,p,\Gamma_p) : \text{Live}(R,p) \land l \in \Gamma_p(R)$ , where I by  $\Gamma_p$  mean the environment at p, and  $\Gamma_p(R)$  mean the loans in R at point p. This is not how Weiss uses gamma!

- the Live(R, p) relation for a provenance variable R A provenance variable is live at p if and only if a variable whose type it is part of is live there. type-system describe "there exists a variable v with type  $\tau$  such that R is  $\tau$ 's provenance variable and Live(v, p)"
- the Live(v, p) relation for a variable v A variable is live at p if there exists a point q reachable from p where v is accessed either directly or by a drop() (see Section 2.6 for a discussion of when a variable is considered to be used in a deallocation), without having been overwritten ("killed") somewhere between q and p. Notably, a variable is only used by a Drop if it might be partially initialised when the drop happens. Formalise this.
- the MayBeInitialised(v,q) relation for a variable v A variable may be (partially) initialised if there is a path through the CFG from a point p, where some part  $\pi$  of v is initialised, to q without  $\pi$  getting deallocated along that path. Formalise this.
- $l \in R$  for loan l A loan is a member of R if and only if is was originally part of the loan that created R, or if  $\exists R' : l \in R' \land R' \subseteq R$ . Describe relationship to gamma! How to point-qualify these relationships?

 $R' \subseteq R$  for provenance variables R, R' write this

## 2.6 Deallocation As a Special Case of Variable Use

When Rust's variables go out of scope, they are implicitly deallocated, or dropped in Rust parlance. Explicit deallocation is also possible by calling the function drop(), which takes ownership of a variable (that is, deinitialises it) and performs deallocation, or, for complex objects, calls the drop() method. For some types such as integers, deallocation is not necessary and the compiler generates no actual drop():s in the MIR. However, the process of inferring this happens after Polonius is invoked, and therefore Polonius needs to calculate which drop() statements would not actually use the variable being dropped.

Rust provides a default deallocator for data structures, but it can be overridden. This has repercussions on liveness calculations, because while the default deallocator for an object never needs to access its fields except to deallocate them, a custom deallocator might access any of them in arbitrary ways. This means that any conditions of a loan that resulted in a reference r stored in a struct s instance a must only be respected as far as a.drop() is concerned if s implements a custom deallocator. Otherwise the loan of r may be safely violated, as the default deallocator never dereferences r and thus does not require r to be valid. An illustration of this can be seen in Listing 2.4.

Listing 2.4: The custom deallocator for OwnDrop enforces the loan giving the reference data until the struct is deallocated, but the loan in DefaultDrop is effectively dead as soon as it has no direct uses in the code and thus can be violated.

```
struct OwnDrop<'a> {
    data: &'a u32,
struct DefaultDrop<'a> {
    data: &'a u32,
impl<'a> Drop for OwnDrop<'a> {
    fn drop(&mut self) {
        // might access self.data
}
fn main() {
    let mut x = 13;
    let a = OwnDrop { data: &x };
    let mut y = 12;
    let b = DefaultDrop { data: &y };
    let mutrefa = &mut x;
    // ERROR: the loan of x must be respected...
    // ...but the loan of y need not be!
    let mutref = &mut y;
    *mutref = 17;
    // all variables are implicitly dropped here
}
```

Following the MIR translation of Listing 2.4 in Figure 2.3, we see across the slightly confusing re-borrows used to move the created references into the structs that the only block of the function ends with a call to drop() that would invoke the custom deallocator. Here, the deallocator for b, our instance of DefaultDrop, is never even called at all.

## 2.7 Datalog and Datafrog

Datalog is a derivative of the logic programming language Prolog, with the desirable properties that any program terminates in polynomial time, and in some variants also with the power to express all polynomial-time computation [24]. It describes fixpoint calculations over logical relations as predicates, described as fixed input *facts*, computed *relations*, or *rules* describing how to populate the relations based on facts or other relations. For example, defin-

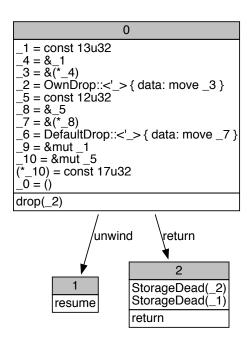


Figure 2.3: A graph rendering of the MIR produced from the main() function of Listing 2.4 illustrating a call to the custom deallocator of \_2 that would cause it to be drop-live during the block. Take special note of the lack of calls to drop(\_6); \_6 is both drop-dead and use-dead for the duration of the block. Some irrelevant details, such as hints about stack allocations and deallocations of intermediate variables, have been pruned.

ing a fact describing that an individual is another individual's parent might look like parent(mary, john)., while computing the ancestor relation could then use the two rules, reflecting the fact that ancestry is respectively either direct parenthood or transitive parenthood (example from the Wikipedia article on Datalog [25]):

```
ancestor(X, Y) :- parent(X, Y).
ancestor(X, Y) :- parent(X, Z), ancestor(Z, Y).
```

Datafrog [5] is a minimalist Datalog implementation embedded in Rust, providing an implementation of a worst-case optimal join algorithm as described in [26]. The fact that Datafrog is embedded in Rust means that standard Rust language abstractions are used to describe the computation. Static facts are described as Relations, while Variables are used to capture the results of computations, both of which are essentially sets of tuples. Rules are described using a join with either a Variable or a Relation, with an optimised join method for joins with the variable itself. Only single-step joins on the first tuple element are possible, which means that more complex rules must be written with intermediary variables, and manual indices created whenever a relation must be joined on a variable which is not the first in the tuple.

Listing 2.5: The implementation of var\_live(V, P) in Datafrog.

```
var_live_var.from_leapjoin(
    &var_live_var,
    (
        var_defined_rel.extend_anti(|&(v, _q)| v),
        cfg_edge_reverse_rel.extend_with(|&(_v, q)| q),
    ),
    |&(v, _q), &p| (v, p),
);
```

As an example, the Datafrog code for var\_live(V, P) of Listing 3.2 becomes the code in Listing 2.5, and the corresponding join used for the first half of region\_live\_at(R, P) of Listing 3.4 can be seen in Listing 2.6.

Listing 2.6: The first half of the implementation of region\_live\_at(R, P) in Datafrog.

```
region_live_at_var.from_join(
    &var_drop_live_var,
    &var_drops_region_rel,
    |_v, &p, &r| {
          ((r, p), ())
});
```

Joins in Datafrog are done using one of two methods on the variable that is to be populated (e.g. in Listing 2.6 region\_live\_at\_var), a variable with tuples of the format (Key, Vall). The first method, from\_join, performs

simple joins from variables or relations into the (possibly different) target variable. Its arguments, in order, are a Variable of type (Key, Val2), and either a second Variable or a Relation of type (Key, Val3). The third and final argument is a combination function that takes each result of joining the two non-target arguments, a tuple of type (Key, Val2, Val3), and returns a tuple of format Key, Val1 to be inserted into the target variable.

For more complex joins where a single variable participates in the join and all other arguments are static Relations (such as is the case with the variable var\_live\_var of Listing 2.5), there is from\_leapjoin. In this case, the input is the sole dynamic source variable, a tuple of "leapers", and a combining function like the one in from\_join, but with the signature like the one above, mapping a matched tuple from the join to the target of the join.

A leaper is created from a Relation of type (Key, Value) by either applying the method extend\_with or extend\_anti for a join or an anti-join respectively. Both of these functions then take a function mapping tuples from the Variable to Keys in the Relation being (anti-)joined. In the case of extend\_anti, any tuples matching Key are discarded.

In this thesis, I will use the notation of Soufflé [19] for all examples for clarity and brevity, even though the actual code was written in Datafrog.

# **Chapter 3**

# A Declarative Model for the Rust Borrow Checker

## 3.1 The Borrow Checker in Datalog

An overview of Polonius can be seen in Figure 3.1: initialisation is calculated in order to calculate drop-liveness, which together with regular liveness is used to determine the actual liveness of variables. The liveness of variables is then used to determine the liveness of provenance variables in their types, and is used throughout the calculations. Subset relations between provenances are used to determine the set membership of loans, and those are then combined with the liveness information in order to determine which loans are live at which point of the program flow. Errors, finally, are generated whenever a potentially violating operation happens to a live loan.

#### 3.1.1 Starting Facts

The following short-hand names are used:

R is a provenance.

L is a loan, that is an &v expression creating a reference to v.

P,Q are points in the control-flow graph of the function under analysis.

V is a variable.

M is a Move Path, that is a part of a variable that can be accessed and, more importantly, deinitialised. This can be the name of a variable (e.g. a), or an access of a field of a data structure or one of a tuple's projections (e.g. a.b, or a.1).

**borrow\_region(R, L, P)** the provenance R may refer to data from loan L starting at the point P (this is usually the point *after* the right-hand-side of a borrow expression).

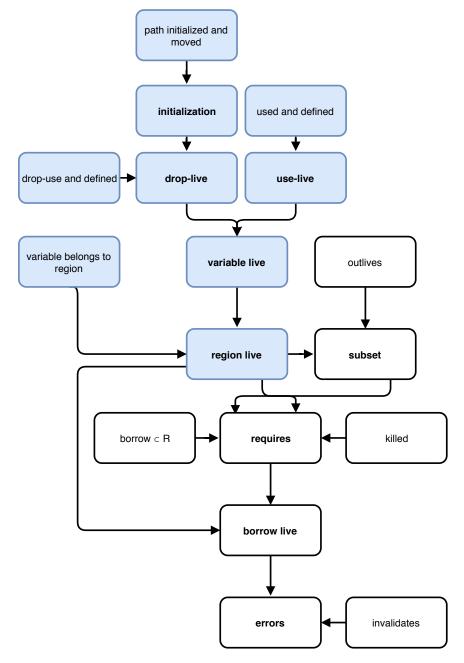


Figure 3.1: An overview of how the inputs and intermediate steps of Polonius combine into the final output. Blue boxes represent facts and relations implemented during the work on this thesis. Relations are shown using boldface, and facts in regular font.

- universal\_region(R) for each named/parametrised provenance variable R supplied to the function. R is considered universally quantified, and therefore live in every point of the function.
- **cfg\_edge(P, Q)** whenever there is a transition  $P \to Q$  in the control flow graph.
- **killed(L, P)** when some prefix of the path borrowed in L is assigned at point P.
- outlives(R1, R2, P) when  $R_1 \subseteq R_2$  must hold at point P, a consequence of subtyping relationships as described in Rule (??).
- invalidates (P, L) when the loan L is invalidated by some operation at point P.
- $var\_used(V, P)$  when the variable V is used for anything but a drop at point P.
- $var\_defined(V, P)$  when the variable V is assigned to (killed) at point P.
- $var\_drop\_used(V, P)$  when the variable V is used in a drop at point P.
- $var\_uses\_region(V, R)$  when the type of V includes the provenance R.
- var\_drops\_region(V, R) when the type of V includes the provenance R, and V also implements a custom drop method which might need all of V's data, as discussed in Section 2.6. Notably, for the MIR in Listing 2.3, var\_drops\_region(\_2, R) would be emitted to indicate that the struct stored in \_2 contains a reference with the provenance variable R in its type, and that this reference could be accessed during the deallocation at this point.
- **child(M1, M2)** when the move path  $M_1$  is the child of  $M_2$ , That is, for example in the expression x.y.z, x.y.z is a child of x.y and x.
- ${\bf path\_belongs\_to\_var(M,\ V)} \ \ {\rm if} \ M \ {\rm is \ the \ root \ path \ into} \ V.$
- **initialized\_at(M, P)** when the move path M was initialized at point P, such as for example in the expression x.y = 17, which would initialise the path x.y. Note that the fact is emitted only for the specific path being initialised, and that the transitive initialisation of the prefix' children is implicit.
- moved\_out\_at(M, P) when the move path M was moved out (deinitialised) at point P.

path\_accessed\_at(M, P) when the move path M was accessed at point P. This fact is not used in any of the current calculations, but is the final component needed to calculate erroneous accesses of (potentially) moved paths.

#### 3.1.2 Variable Initialisation

The idea behind variable initialisation calculations is fairly straightforward. Initialisation for a leaf path propagates exactly like use-liveness, except forwards across the CFG. The path-specific difference is that initialisation also travels upwards through the path tree, such that x is (partially) initialised whenever x.y is. An expression like move x would, in this example, only emit moved\_out\_at(x, p) as a starting fact. Finding the transitive closure given by projecting the move across all of the path's children would happen in Polonius.

Finally, paths are traced back to their root variables across the path\_belongs\_to\_var(P, V) fact. It is worth noting here that this fact only needs to contain a mapping of the root path to a variable, as initialisation always bubbles up through the tree, eventually reaching the root path. The full Datalog code is shown in Listing 3.1.

Listing 3.1: The rules for computing possible partial variable initialisation. A path is trivially initialised where it is actually initialised. It is transitively initialised in all points reachable from a point where it is initialised, and where it has not been deinitialised (moved out). Initialisation propagates upwards in the move path tree, until it reaches the variable at the root of the path.

```
path_maybe_initialized_on_exit(Path, Point) :-
    initialized_at(Path, Point).

path_maybe_initialized_on_exit(M, Q) :-
    path_maybe_initialized_on_exit(M, P),
    cfg_edge(P, Q),
    !moved_out_at(M, Q).

path_maybe_initialized_on_exit(Mother, P) :-
    path_maybe_initialized_on_exit(Daughter, P),
    child(Daughter, Mother).

var_maybe_initialized_on_exit(V, P) :-
    path_belongs_to_var(M, V),
    path_maybe_initialized_at(M, P).
```

#### 3.1.3 Reference Liveness

The basic liveness of a variable (Listing 3.2) is defined as follows: if a variable v is live in some point q and q is reachable from p in the control-flow graph, then v is live in p too unless it was overwritten; in essence liveness is propagated backwards through the CFG.

Listing 3.2: The rules for calculating use-liveness: a variable is use-live if it was used at a point P, or if it was live in Q, there is a transition  $P \to Q$ , and it was not defined (killed) in P.

```
var_live(V, P) :- var_used(V, P).

var_live(V, P) :-
   var_live(V, Q),
   cfg_edge(P, Q),
  !var_defined(V, P).
```

Listing 3.3: The rules for calculating drop-liveness: the rules are similar to those for to use-liveness (Listing 3.2), but propagation of liveness only happens if the variable being dropped may be initialised. Note that the rule for calculating initialisation on entry is not transitive!

```
var_maybe_initialized_on_entry(V, Q) :-
    var_maybe_initialized_on_exit(V, P),
    cfg_edge(P, Q).

var_drop_live(V, P) :-
    var_drop_used(V, P),
    var_maybe_initialzed_on_entry(V, P).

var_drop_live(V, P) :-
    var_drop_live(V, Q),
    cfg_edge(P, Q),
    !var_defined(V, P)
    var_maybe_initialized_on_exit(V, P).
```

Drop-liveness is calculated in a similar fashion to use-liveness, with the exception that a deinitialised variable is never dropped, and therefore is not considered drop-live. The rules can be found in Listing 3.3. Note the use of the first rule, which is not transitive, to shift the point of the relation from the input's mid-point index (which is where a (de)initialisation would take effect) to the statement's starting-point. The reason for this transformation is mainly technical.

An example of the output from this calculation can be seen in Figure 3.2.

Both of these are then used to calculate the reference liveness relation (Listing 3.4), which serves as input for the rest of the borrow checker. A given provenance r is live at some point p if it is in the type of a variable v which is either drop-live or use-live at p, with some notable caveats for drop-liveness (discussed in Section 2.6) embedded in the  $var\_drops\_region$  relation.

Listing 3.4: The Datalog rules for provenance liveness.

```
region_live_at(R, P) :-
    var_drop_live(V, P),
    var_drops_region(V, R).

region_live_at(R, P) :-
    var_live(V, P),
    var_uses_region(V, R).
```

### 3.1.4 Loan Constraint Propagation<sup>†</sup>

The first relation used in Polonius is the subset(R1, R2, P) relation, which states that  $R_1 \subseteq R_2$  for two provenance variables  $R_1, R_2$  at point p in the CFG. Initially, these have to hold at the points where the constraints are generated by the Rust compiler, as seen by the input parameter outlives. The brief one-liner in Listing 3.5 captures this fact, providing a "base case" for the computation. Additionally, subset relations are transitive, which is captured in Listing 3.6.

Listing 3.5: Subset relations hold at the point where they are introduced.

```
subset(R1, R2, P) :- outlives(R1, R2, P).
```

Listing 3.6: Subset relations are transitive.

```
subset(R1, R3, P) :-
    subset(R1, R2, P),
    subset(R2, R3, P).
```

Finally, Polonius needs logic to carry these subset relations across program flow. Recalling the rules of which ones? refer back to the theory here, a subset relation should be propagated across an edge of the control-flow graph if and only if its provenance variables are live, otherwise we are in a "if a tree falls in the woods" situation where the conditions of the loans can be safely violated as there is no live reference to be affected. Therefore, the rule for propagating the subset constraint across a CFG edge  $P \rightarrow Q$  becomes the formulation seen in Listing 3.7, which notably uses the output of the liveness calculations described in Section 3.1.3.

Listing 3.7: Subset relations propagate across CFG edges iff their provenance variables are live.

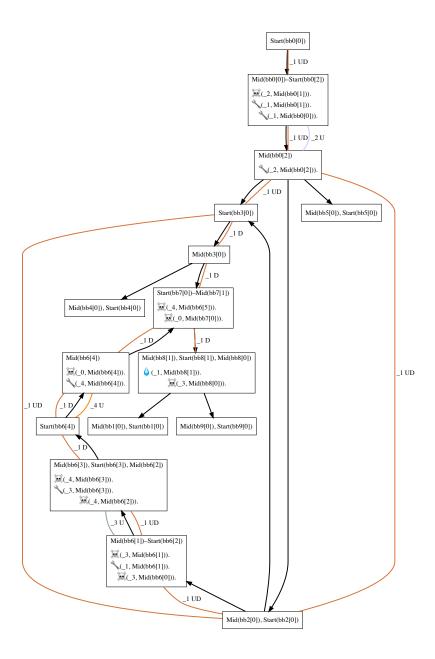


Figure 3.2: A graph representation of the the variable liveness calculation results, with relevant Polonius facts as they occur (a droplet symbolising var\_drop\_used, a wrench var\_used, and a skull and crossbones symbolising var\_defined). Variables are named by prefixing underscores, and edges annotated with the propagated live variable and its liveness type(s) (Drop or Use).

```
subset(R1, R2, Q) :-
   subset(R1, R2, P),
   cfg_edge(P, Q),
   region_live_at(R1, Q),
   region_live_at(R2, Q).
```

These rules describe how provenance variables relate to each other. The other part of the logic describes which loans belong to which provenance variable. The trivial base case is shown in Listing 3.8, which just says that each provenance variable R contains the loan L that created it at point the point P where the borrow occurred.

Listing 3.8: A provenance variable trivially contains (requires) the loan which introduced it.

```
requires(R, L, P) :- borrow_region(R, L, P).
```

Additionally, the requires relation needs to be propagated together with subset constraints; after all  $R_1 \subseteq R_2$  implies that  $R_2$  must contain (require) all of  $R_1$ 's loans. This is captured by the rule in Listing 3.9.

Listing 3.9: A subset relation between two provenance variables  $R_1$ ,  $R_2$  propagates the loans of R1 to R2.

```
requires(R2, L, P) :-
requires(R1, L, P),
subset(R1, R2, P).
```

Finally, Polonius performs the flow-sensitive propagation of these membership constraints across edges in the CFG. This is done using the rule in Listing 3.10, where the requirements propagate across CFG edges for every loan L as long as the reference corresponding to L is not overwritten (killed), and only for provenance variables that are still live. Recall (from where?) that loans are uniquely tied to one point in the CFG, and therefore to a single place. This is why a single loan is killed by a single assignment.

Listing 3.10: Propagate loans across CFG edges for live provenance variables and loans whose references are not overwritten.

```
requires(R, L, Q) :-
  requires(R, L, P),
  !killed(L, P),
  cfg_edge(P, Q),
  region_live_at(R, Q).
```

#### **Detecting Loan Violations**

The compiler produces a set of points in the CFG where a loan could possibly be violated (e.g. by producing a reference to a value that already has a unique reference) in invalidates. All that remains for Polonius is to figure out which loans are live where (Listing 3.11), and see if any of those points intersect with an invalidation of that loan (Listing 3.12).

Listing 3.11: Loans are live when their provenance variables are.

```
loan_live_at(L, P) :-
    region_live_at(R, P),
    requires(R, L, P).

    Listing 3.12: It is an error to invalidate a live loan.

error(P) :-
    invalidates(P, L),
    loan_live_at(L, P).
```

## 3.2 What is Missing from Polonius?

In addition to polish, comprehensive benchmarking, and performance optimisations, there are three important features missing in Polonius before it reaches parity with NLL, the current borrow checker.

#### 3.2.1 Detecting Access to Deinitialised Paths

The current Polonius implementation only uses move data to calculate variables that may have components that are initialised in order to determine if they might be accessed by a deallocation. However, the full borrow check would also calculate paths that may have been moved out and emit errors on access, such as in this code:

```
let tuple: (Vec<u32>, Vec<u32>) = (vec![], vec![]);
drop(tuple.0); // moved out of `v`
println!("{:?}", tuple.0); // ERROR
```

All the necessary input facts are already collected but the actual implementation and testing of the logic depends on a re-designed interface to Polonius that would allow it to report errors of different kinds, and was not performed as part of the work for this thesis.

#### 3.2.2 Illegal Subset Relations

Polonius currently does not verify that the subset relationships it finds between provenance variables is actually valid in itself. For example, this unsound code would not generate an error in today's Polonius:

In this case, pick\_one() takes two slices with some unknown provenance variables at least known to live for the duration of the function body. In this instance, the subtyping rules would give that 'y  $\subseteq$  'x at the end of the function, because the reference into y must be a subtype of &'x u32, the return type. However, this cannot be guaranteed to hold in general, as Polonius (currently) knows nothing about the relationship between these two provenance variables, and in fact, as pick\_one() is polymorphic over these provenance variables, this must hold for any pair of provenance variables 'x, 'y, which it certainly does not [27].

#### 3.2.3 Analysis of Higher Kinds

The final missing functionality in Polonius is interaction with higher-ranked (generic, etc) subtyping arising from generic functions or trait-matching. The problem was described in a blog entry by Matsakis [28] and will require extensions in the Rust compiler, which would produce simpler constraints than the universally and existentially quantified constraints generated by the type checker for Polonius to solve. The current plan is to use the already existing infrastructure in Rust for performing this type of matching between types, but at the time of writing work on this has not even reached the planning stage.

#### 3.2.4 Addressing Provenance Variable Imprecision

During the work for this thesis, a shortcoming in both Polonius and (probably) Weiss, Patterson, Matsakis, et al.'s formal formulation of the borrow check was discovered, which would generate spurious errors in examples like Listing 3.13 where subset relations would cause a loan to be propagated to a provenance variable erroneously, leading to effectively dead loans being considered live. Correcting this problem would require modifications to how the propagation of subset relations across the CFG works, which would not concern the liveness or initialisation tracking implemented as part of this thesis, but would affect the solution described in Section 3.1.4. At the conclusion of the work for this theses, the Polonius working group had not yet produced a final reformulation of Polonius that would address this issue.

Listing 3.13: An example where the current Polonius loses precision and emits a spurious error, as it conflates the provenance variables 'x and 'y.

```
let mut z: u32;
let mut x: &'x u32;
let mut y: &'y u32;
```

# 3.3 Generating Facts for Polonius in the Rust Compiler

As stated above, the Polonius analysis is performed on the MIR, and the results are then mapped back onto the source code when generating user-facing errors. While Polonius is a self-contained package with a well-defined interface, however, the interface to the code performing the translation of compiler-internal data structures into input facts for Polonius has a much larger surface area. All the additions to the Rust compiler occurs in the librustc\_mir::borrow\_check::nll module, that is alongside the current borrow checker ("NLL"). The module hierarchy and the location of emission of the various facts is shown in Figure 3.3. It is worth noting that the Polonius analysis piggy-backs off of previous analysis, notably the outlives constraints generated by the previous borrow checker during type-checking.

All facts except invalidates, cfg\_edge, killed, borrow\_region, outlives, and universal\_region were added as part of the work on this thesis.

All inputs based on provenance variables (that is, the ones with "region" in their names from the previous terminology); path\_belongs\_to\_var, universal\_region, borrow\_region, var\_uses\_region, and outlives, are all generated using information obtained during MIR type-checking. The rest of the inputs are generated either from walking the MIR directly (invalidates, cfg\_edge, and all the facts concerning variable uses and drops), or from intermediary indices generated from the MIR in earlier parts of the compilation process (all facts related to move paths, which are identified by previous compilation steps). All of this suggests that

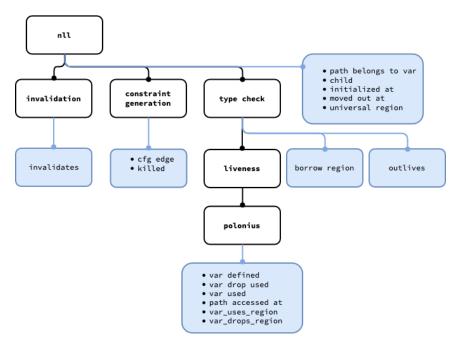


Figure 3.3: An illustration of where in the module hierarchy of the Rust compiler the various facts are emitted. Underscores are replaced with white space for readability. Blue boxes represent facts, and black boxes (sub-)modules.

the design shown in Figure 3.3 should be refactored to reflect these data dependencies, unifying the generation of most facts into a common Polonius module higher up in the hierarchy, and leaving only the ones needing the transient output by the type checker (i.e provenance variables and their relations to each other and to variables) under the type\_check submodule.

Returning to one of the examples of the borrowing rules in Section 2.1, we can describe some of the facts that would be output on each line. An annotated example can be seen in Listing 3.14.

Listing 3.14: A minimal example of a violated loan in Rust and the Polonius input facts it would produce during compilation.

Of course, this would happen at the MIR level, which would introduce intermediary variables. However, the core reasoning is the same: the right-hand side of the assignment is typed with a provenance variable '1, containing only that loan. The assignment to x then sets up a subtyping relationship with the corresponding outlives('1, 'x) fact that propagates it to x's provenance variable 'x, ensuring it is considered live when the loan on the next line generates a fact invalidates(b0), resulting in the eventual derivation of an error.

### 3.4 A Field Study of Polonius Inputs

I selected roughly 20 000 publicly available Rust packages ("crates") from the most popular projects, as defined by number of downloads from Crates.io and number of stars on GitHub, for analysis. 1 Of the initially selected repositories only about 1 000 were from other sources than GitHub. Only crates that compiled under recent versions of Rust nightly builds with nonlinear lifetimes enabled were kept. The source code of the packages was then translated to Polonius input files for a total of 400GBs of tab-separated tuples for 3 077 887 functions, which I used to measure Polonius solvetime performance as well as for finding common patterns in the input data. Only complete data sets were considered; a repository with more than one target where at least one target did not compile was discarded, as was any repository where the analysis took more than 30 minutes, required more memory than what was available, or where fact generation took longer than 30 minutes. After this selection process, 10 613 repositories remained for the final study, each of which contained at least one, but possibly multiple crates. It is worth mentioning that the analysis assumed that all functions in all crates and all targets of a repository were unique, as the outputs were stored per-repository. The median number of functions in the dataset was 47, including functions generated by desugaring as well as user-written functions.

All experiments were run on a dedicated desktop computer running a 64-bit version of Ubuntu 19.04 with Linux 5.0.0-20-generic. The machine had 16 GBs of 2666 MHz CL16 DDR4 RAM, and a AMD Ryzen 5 2600 CPU running at a base clock of 3.4 GHz (max boost clock 3.9 GHz) with cache sizes of 576 KB (L1), 3 MB (L2), and 16 MB (L3). Executing the full set of jobs took around two weeks.

<sup>&</sup>lt;sup>1</sup>Source code for the analysis as well as listings of the repositories are available at https://github.com/albins/msc-polonius-fact-study.

It is worth pointing out that Polonius' analysis as part of the Rust compiler will be performed on non-compiling Rust code as well, and that the requirement that all crates must compile is an entirely artificial one and might exclude interesting input cases. However, it is non-trivial to separate build failures due to syntax errors or missing dependencies from build failures at later stages of the build process that would involve Polonius. Therefore all non-compiling crates were excluded from the study.

Additionally, I also excluded all functions that had no loans at all from the analysis, a surprisingly large portion; almost 47%. This is most likely due to code generation producing short "functions" that does not actually involve any borrowing at all.

The main metric of "performance" in this study is the time it would take Polonius to solve a given set of inputs. In this case, this also includes the time it takes to parse the files of tab-separated input tuples, which is assumed to be negligible compared to the runtime of the analysis itself, which includes both a liveness analysis and the borrow check itself. In practical scenarios the peak memory usage of the analysis would also be an interesting metric.

When studying inputs to Polonius, I am mainly interested in two properties; how large and how complex the function under analysis is. Neither of these can be measured directly, but useful proxy variables would be sizes of input tuples, the number of variables, loans, and regions, as well as common and cheaply computed graph complexity metrics such as the node count, density, transitivity, and number of connected components of the control-flow graph.

Three variants of Polonius were included in the study; a NAIVE implementation, which is the one described in Section 3.1, an optimised variant (DATAFROGOPT), and a variant that first executes a simpler analysis assuming lexical lifetimes and falls back to the full Polonius analysis only when that one produces an error (HYBRID). The intention is to have such a hybrid algorithm re-use the information gained by the simpler analysis to accelerate the more advanced analysis, but such functionality was not yet implemented at the time of the experiments.

#### 3.4.1 Performance

In general, all three algorithms finished quickly for almost all functions, with both of the optimised algorithms already showing improvements in solve-times, as seen in Figure 3.4. Apparently, NAIVE has a wider spread of solve-times than the others. Additionally, geometric means of the observed solve-times show improvements from hybridisation (Figures ?? and 3.6), though

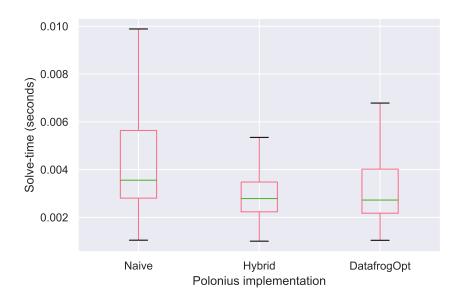


Figure 3.4: A box plot showing the distribution of solve-times per function for three implementations of Polonius. As can be seen here, the vast majority execute very quickly.

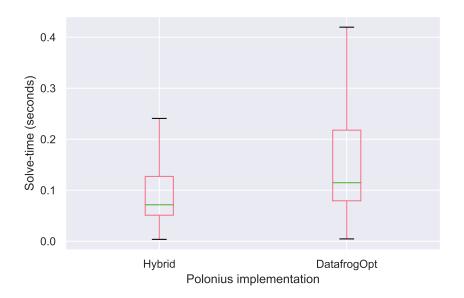


Figure 3.5: A box plot showing the distribution of solve-times per function for the two optimised Polonius implementations on just functions that executed in between 1--50s on NAIVE.

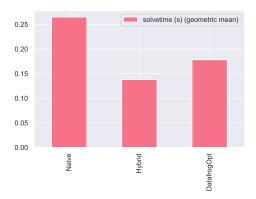


Figure 3.6: Geometric means of the solve-times per repositoriy and implementation.

it should be noted that the algorithm's worst-case of an input that fails both the simple and the full analysis was left out of the sample as that would have failed compilation, possibly inflating the results. We can also see clearly that Hybrid outperforms its fallback flow-sensitive DatafrogOpt implementation even more on longer-running inputs 3.5.

#### 3.4.2 What is a Typical Input?

A typical Polonius input consists of a small number of tuples for most relations, as seen in Figure 3.7. In particular, most control-flow graphs are small in terms of number of nodes, and most functions only contain a small number of variables, with an even smaller number of loans. Drops are particularly rare, with 71% of all studied functions having no (potential) drop-uses at all (0 median, 3.6 mean), and only very few loans (2 median, 5.4 mean). This can also be seen in Figure 3.8 showing the distribution of number of (potential) drop-uses per function.

This points towards a need to have a low starting overhead for Polonius, as much of its analysis would have to be performed on very small inputs, where the solve-time would be dominated by any high constant setup time.

However, repositories can be assumed to be typically compiled all at once. Therefore, it is also interesting to say something about the maximum input size per repository, under the assumption that few large functions would dominate the solve-time for that repository. After collecting the maximum values per repository, the median number of loans was 24, and the median number of potential drop-uses was 20 (regular uses was, for comparison, 174).

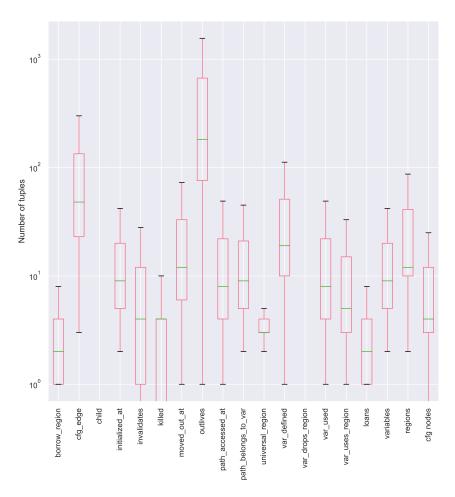


Figure 3.7: A box plot showing the distribution of the various input sizes.

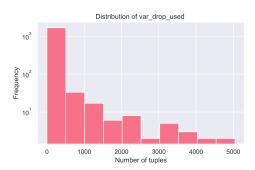


Figure 3.8: A plot showing the distribution of var\_drop\_used.

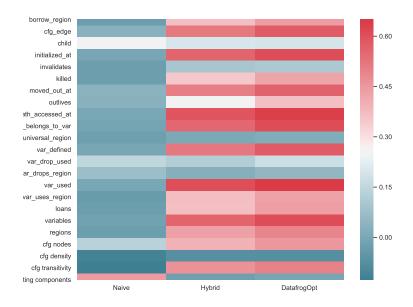


Figure 3.9: Heatmap of Pearson correlations between various input size metrics and solve-times for all three Polonius implementations, suggesting that in particular the number of variables and size of the CFG affect solve-time.

I attempted to perform a principal-component analysis (PCA) of the input data in order to visually identify possible clusterings of types of inputs, but the results were unusable as the inputs had no visually discernible patterns in neither 2 nor 3 dimensions, suggesting that most inputs are "typical".

#### 3.4.3 How Inputs Affect Solve-Time

A heatmap of the (Pearson) correlation between input size and solve-time for the various variants can be seen in Figure 3.9, while a scatter plot of the results with a linear regression for some interesting pairs of inputs can be seen in Figure 3.10.

Both results suggest only a very weak linear relation between input sizes and and the solve-time with the naive algorithm, while a clearer relation can be found between the two optimisations and input sizes respectively. In particular, the number of loans and number of nodes in the control-flow

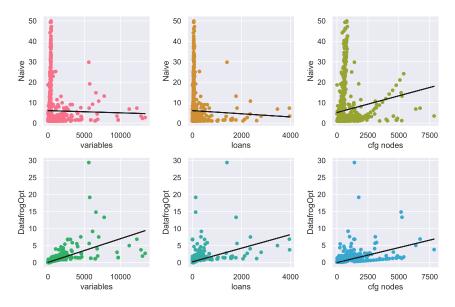


Figure 3.10: Scatter plot of solvetimes under the naive and optimised algorithms compared to variables and CFG edge count after having pruned extreme values (runtimes below 1 s or above 13 minutes).

graph seems to affect runtime performance, which is hardly surprising: the number of CFG nodes (along with the number of variables) would affect how many times constraint propagation would happen, and the number of loans and variables would affect the size of the propagations for the borrow check and liveness analyses respectively.

## 3.5 Optimising the Borrow Checker

Before Polonius can replace NLL as the Rust borrow checker, it would need considerable performance improvements in both its fact generation process as well as the solving itself. In its current condition, the fact generation code, in particular, performs multiple walks across the CFG, needlessly increasing runtime. Additionally, many of the inputs are computed unnecessarily, and, for example, the CFG could be compressed for some cases.

Returning to the analysis of Section 3.4, we can see from the performance of even the current naive Hybrid implementation, which first performs a non-flow sensitive analysis and then falls back to the full Polonius analysis, outperforms both the optimised analysis alone and Naive. We can also see that inputs without any loans at all are common, and in those cases the analysis can typically terminate before performing any analysis at all. Finally, Naive could be improved in two ways. First, in the current implementation initialisation and liveness analysis is performed twice for purely architectural reasons. A better implementation would calculate them once

and re-use the results. Second, the current analysis does not use the errors from the flow-insensitive analysis when it falls back to the full flow-sensitive Polonius. Recycling the errors from the first analysis could in many cases reduce the search space for Polonius significantly, as any other error has already been ruled out in the simpler analysis.

Finally, Datafrog itself could be optimised, including using faster vector instructions or parallelisation techniques.

# **Chapter 4**

# **Conclusions and Future Work**

# **Bibliography**

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