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Bachelor of Science in Computer Science and Engineering

## **Bridging the Gap between Typestates and Rust in Production Software**

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## ABSTRACT

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The dissertation must contain two versions of the abstract, one in the same language as the main text, another in a different language. The package assumes that the two languages under consideration are always Portuguese and English.

The package will sort the abstracts in the appropriate order. This means that the first abstract will be in the same language as the main text, followed by the abstract in the other language, and then followed by the main text. For example, if the dissertation is written in Portuguese, first will come the summary in Portuguese and then in English, followed by the main text in Portuguese. If the dissertation is written in English, first will come the summary in English and then in Portuguese, followed by the main text in English.

The abstract should not exceed one page and should answer the following questions:

- What's the problem?
- Why is it interesting?
- What's the solution?
- What follows from the solution?

**Keywords:** Keyword 1, Keyword 2, Keyword 3, ...

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## RESUMO

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Independentemente da língua em que está escrita a dissertação, é necessário um resumo na língua do texto principal e um resumo noutra língua. Assume-se que as duas línguas em questão serão sempre o Português e o Inglês.

O *template* colocará automaticamente em primeiro lugar o resumo na língua do texto principal e depois o resumo na outra língua. Por exemplo, se a dissertação está escrita em Português, primeiro aparecerá o resumo em Português, depois em Inglês, seguido do texto principal em Português. Se a dissertação está escrita em Inglês, primeiro aparecerá o resumo em Inglês, depois em Português, seguido do texto principal em Inglês.

O resumo não deve exceder uma página e deve responder às seguintes questões:

- Qual é o problema?
- Porque é que ele é interessante?
- Qual é a solução?
- O que resulta (implicações) da solução?

E agora vamos fazer um teste com uma quebra de linha no hífen a ver se a  $\LaTeX$  duplica o hífen na linha seguinte...

zzzz zzz zzzz zzz zzzz zzz zzzz zzz zzzz zzz zzzz zzz zzzz zzz zzzz zzz zzzz comentar-  
-lhe zzz zzzz zzz zzzz

Sim! Funciona! :)

**Palavras-chave:** Palavra-chave 1, Palavra-chave 2, Palavra-chave 3, ...

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# CONTENTS

List of Figures	ix
List of Tables	xi
Listings	xiii
Glossary	xv
Acronyms	xvii
Symbols	xix
<b>1 Introduction</b>	<b>1</b>
1.1 Context . . . . .	1
1.2 Problem . . . . .	2
1.2.1 The Billion Dollar Mistake . . . . .	2
1.2.2 API Misuse . . . . .	3
1.3 State of the Art . . . . .	3
1.4 Objectives & Contributions . . . . .	5
1.5 Report Organization . . . . .	5
<b>2 Background</b>	<b>7</b>
2.1 Systems Programming Languages . . . . .	7
2.1.1 C . . . . .	7
2.1.2 C++ . . . . .	8
2.1.3 Ada . . . . .	8
2.1.4 Go . . . . .	9
2.1.5 Summary . . . . .	9
2.2 The Rust Language . . . . .	10
2.2.1 What makes Rust different? . . . . .	10
2.2.2 Ownership . . . . .	10
2.2.3 Borrowing . . . . .	11
2.2.4 Concurrency . . . . .	12
2.2.5 Why Rust instead of Language X? . . . . .	13

## CONTENTS

---

2.3 Behavioral Types . . . . .	13
2.3.1 Session Types . . . . .	14
2.3.2 Typestates . . . . .	16
<b>3 Related Work</b>	<b>21</b>
3.1 Language Preprocessors . . . . .	21
3.1.1 OCaml . . . . .	21
3.1.2 Java . . . . .	23
3.1.3 Kotlin . . . . .	25
3.2 Rust Macros . . . . .	26
3.2.1 Declarative Macros . . . . .	26
3.2.2 Procedural Macros . . . . .	29
3.2.3 Summary . . . . .	31
3.3 Approaches to Behavioral Types . . . . .	32
3.3.1 Session Types . . . . .	32
3.3.2 Typestate . . . . .	33
3.3.3 Summary . . . . .	35
<b>4 Contributions &amp; Planning</b>	<b>37</b>
4.1 Objectives . . . . .	37
4.2 Architecture . . . . .	38
4.2.1 Why function-like macros? . . . . .	38
4.2.2 How does it work? . . . . .	38
4.2.3 Syntax . . . . .	39
4.2.4 State-Machine Conversion . . . . .	41
4.2.5 State-Machine Verification . . . . .	41
4.2.6 Developer Workflow . . . . .	42
4.3 Previously Developed Work . . . . .	42
4.3.1 Improvement Points . . . . .	42
<b>References</b>	<b>43</b>



## LIST OF FIGURES

2.1	Communication protocol example. The communication establishment step is omitted for simplicity. In this protocol the client tries to login to a service by sending a message LOGIN followed by the username and password, both of type <code>String</code> . The server then replies with either an ACCEPTED or REJECTED, if the login was successful or not, respectively. . . . .	14
2.2	Session type example, equivalent to Listing 2.5. . . . .	16
2.3	The <code>Scanner</code> typestate automata, based on Listing 1.3. . . . .	16
3.1	Java’s annotation processor lifecycle. . . . .	23
3.2	<code>java.lang.annotation</code> class diagram. . . . .	24
3.3	Kotlin compiler plugin architecture stack [45]. . . . .	27
3.4	Rust macro’s family tree . . . . .	27
4.1	From DSL specification to Rust code. First the DSL is parsed, then converted to a state machine and its properties checked (in the some property is not respected, an error is issued). Once the properties are validated, the Rust code is generated. . . . .	39



## LIST OF TABLES

3.1 Rust macros properties summary. . . . .	31
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## LISTINGS

1.1	Java’s null reference example. . . . .	2
1.2	Java’s <code>Scanner</code> misuse example. . . . .	3
1.3	Typed <code>Scanner</code> example. Notice how the compiler is able to detect the error. . . . .	3
2.1	Example of the move-by-default mechanism to enforce ownership. . . . .	11
2.2	Example using borrowing to allow for more than one reader on the same variable. . . . .	11
2.3	Example error while using multiple mutable borrows over the same variable. . . . .	12
2.4	Example error while using a mutable borrow in conjunction with immutable ones. . . . .	12
2.5	Application login example, modelled using Rust’s <code>enums</code> (some channel details were omitted for simplicity). Reusing channels requires the developer to clump all states in a single <code>enum</code> . Better state management requires the use of more channels, neither approaches are ideal. . . . .	15
2.6	The Mult Java program, which reads two integer and multiplies them together. . . . .	18
2.7	The Mult program, written in a Java-like typed fashion. . . . .	18
2.8	The <code>File</code> declaration and usage in Plaid (taken from [46]). . . . .	19
2.9	Rust example of an unchecked failure protocol compliance. The protocol expected operation order is F1, F2, F3, however, the developer placed the operations in the wrong order. This mistake is only caught during runtime. . . . .	19
2.10	Obsidian state declaration example. . . . .	20
2.11	Correct state usage example in Obsidian. . . . .	20
2.12	Invalid state transition example in Obsidian. Since <code>LightSwitch</code> is instantiated as <code>Off</code> , calling <code>turnOff</code> is not valid. . . . .	20
3.1	Example of the three kinds of attributes, taken from [55]. The first line attaches to the 12 expression. The second attaches to the whole <code>let</code> binding (i.e. <code>let b = "some string"</code> ). Finally, the third line, does not attach to a particular member of the AST. . . . .	22
3.2	Example code for Java’s annotation declaration. Possible values for <code>@Retention</code> and <code>@Target</code> are summed up in Figure 3.2. . . . .	23

3.3	The @any annotation allows an object to carry several instances of itself. In the example, @any Person is rather a collection of Person. This extension is enabled by the ExtendJ compiler. . . . .	25
3.4	Example macro_rules! usage. When executed, the code above will print “Hello, world!” five times. . . . .	28
3.5	Definition of the using_a macro and usage. The macro simply declares a variable a, set to 42 and then writes an expression which was passed in. . .	28
3.6	Listing 3.5 line 9’s macro expansion. Declarations with a blue background will be placed in a different <i>scope</i> than the others, thus the a for lines 2 and 3 will not be considered the same. . . . .	28
3.7	The expansion in Listing 3.6 will result in an error during compile time since the as in line 2 and 3 are considered to belong to different contexts. . . . .	29
3.8	HTML DSL embedded in Rust. Example taken from [78]. . . . .	29
3.9	Example usage of #[derive(...)], in this case deriving Debug enables the structure to be printed with “println!("{:?}", coord)”. . . . .	30
3.10	Example usage of a derive macro with helper attributes, in this case the error(...) defines an error message with a Coordinates parameter. . . . .	30
3.11	Attribute macros are commonly used in web frameworks to provide an easy way to declare an endpoint. In this example (taken from [56]) the user declares that GET requests to hello/ have two path parameters (name and age) and should be handled by the hello function. . . . .	31
3.12	Relating a class’s states with the innerSocket states. In this example, the OuterSocket’s open state is related with the connected state of the socket. This ensures that the OuterSocket is a well-behaved client of innerSocket. . . .	34
3.13	Mungo’s Tpestate annotation. Normal Java code ends up ignoring the annotation. However, Mungo is able to process it and check the class calls against the specification to ensure tpestate compliance. In this case the class specification is StateIteratorProtocol. . . . .	34
4.1	Example specification of the Drone tpestate using the proposed DSL. . . .	40
4.2	Example error issued by the DSL. . . . .	41
4.3	Example generated Rust code for the Grounded state. Notice the DroneState trait, its purpose is to bound valid drone states. The trait should follow the sealed trait pattern, but it was simplified in this example. . . . .	41
4.4	To make the drone usable, the developer must implement the generated traits. In this case, only the Grounded state is considered. . . . .	41

## GLOSSARY





## ACRONYMS

<b>p4</b>	Pre-Processor-Pretty-Printer	21
<b>PPX</b>	PreProcessor eXtensions	21



## SYMBOLS



## INTRODUCTION

### 1.1 Context

Bugs permeate our lives as users - whether in an instant messaging application or a game they are present. Luckily, most are harmless as such applications are not critical, resulting in some unsent messages or texture glitches.

In systems programming, one of the most demanding domains in computer science, bugs and their respective consequences come at a high cost to both service providers and consumers. There are reports from several industries where bugs lead to huge monetary losses and even death. In 2014, the Heartbleed [25] bug, caused due to a missing bound check, compromised the security of any OpenSSL user, enabling the theft of critical information (e.g. cryptographic keys). In 2018, a bug in Coinbase (a popular cryptocurrency exchange) allowed for account balance manipulation [74]. In 2019 and 2020, after several crashes [5], the Boeing 737 Max was grounded to fix existing problems. While grounded, more software-related issues were found [49, 48], delaying its re-certification. In 2020, as the number of COVID-19 grew, contact tracing apps were deployed as a mitigation strategy. The UK's National Health Service app failed to ask users to self-isolate due to a bug [42].

The previous examples are not isolated incidents. The language and nature of the bugs are different for each case, but to put it simply, there is no silver bullet and the next best alternative is to do our best to mitigate them, by building tools and abstractions which allow developers to increase their code's safety.

```
1 Integer a = null;  
2 a + 5; // NullPointerException: `a` is `null`
```

Listing 1.1 – Java’s null reference example.

## 1.2 Problem

Languages like C/C++ have dominated the systems programming landscape for years and one of the main problems with both is the lack of memory management. Leaving such responsibility to the developer has proven to be *a less than ideal* solution, with 70% of bugs in projects like Chromium [43] and Microsoft products [44] being due to memory management.

To address such problem, several tools and languages have been and continue to be developed. So far, Rust has been the only one to achieve *mainstream* status. Rust aims to provide memory safety without affecting performance or productivity. To achieve such ambitious goal, Rust validates code with the borrow checker, which then enforces memory safety rules, targeting the problem at its root.

Addressing memory safety is not enough though. Languages which side-step the problem of having manual management through the use of a garbage collector (e.g. Java and Go) still suffer from other kinds of bugs. As discussed in the end of [Section 1.1](#), we can only mitigate their occurrence, and so we are required to reach out to new mechanisms.

Typestates are an approach which aims to tame stateful computations; to do so typestates lift the concept of state to the type level, this enables the compiler to reason about state and provides the developer with information of the expected computation state at runtime.

### 1.2.1 The Billion Dollar Mistake

*This led me to suggest that the null value is a member of every type, and a null check is required on every use of that reference variable, and it may be perhaps a billion dollar mistake. — [27]*

Consider [Listing 1.1](#), the program compiles and will crash with a `NullPointerException`. While every one can see the explicit `null` attribution the compiler does not issue an error or warning. The original author of the `null`, Tony Hoare, considers this to be his "*billion dollar mistake*". Since in complex codebases, this error is hard to track down among all possible states and has supposedly caused more than a billion dollars in damages.

While in Java it manifests as an exception, in C/C++ tracking them down is usually more complicated as the only feedback the user receives is the infamous `SEGFALT`. Again, after so many years of programming, developers ought to have better tools, as debugging errors like these is neither an effective time use nor pleasant.

```

1 Scanner s = new Scanner(System.in); // open the stream
2 s.nextLine();                       // read
3 s.close();                          // close the stream
4 s.nextLine();                       // IllegalStateException

```

Listing 1.2 – Java’s `Scanner` misuse example.

```

1 Scanner[Open] s = new Scanner(System.in); // open the stream
2 s.nextLine();                             // read
3 Scanner[Closed] s = s.close();            // close the stream
4 s.nextLine();                             // compile-time error

```

Listing 1.3 – Typed `Scanner` example. Notice how the compiler is able to detect the error.

### 1.2.2 API Misuse

Consider Java’s `Scanner`, its API allows the developer to write code like Listing 1.2. Such code will compile without issuing any errors or warnings (even with the `-Xlint:all` flag), however, it will also crash during runtime. Since it is not possible to read from a closed source, the thrown exception is `IllegalStateException`, informing the user that the attempted operation is illegal for the current object state. Ideally we want such illegal states to be detected at compile time.

As shown in Listing 1.3, using a *typed* Java example, the code allows us to trace the state of the object, but even better, the compiler is now able to tell us there is an error during compilation. This approach also solves Listing 1.1, as the type is required to be explicitly *nullable*. The remaining question is:

*How can we avoid API misusages without creating a new full-fledged programming language?*

## 1.3 State of the Art

Behavioral types are types which capture aspects of computation, they are further discussed in Section 2.3. The current landscape of behavioral types in mainstream languages is bare. While projects exist, most are academic and of little impact in the way programmers write their code. I focus on two subsets of behavioral types, session types and typestates.

Session types, will often refer to endpoints and their messages, capturing aspects of communication between them. Languages like ATS provide session type features and further enable the generation of source code in other languages such as Erlang [80]. ATS also serves as research playground for other topic related with session types [79]. There are also tools that plug into existing languages. These may come under the form of libraries

such as session types for Haskell [2, Section 3.3], [22, Chapter 10] and OCaml [22, Chapter 11] extending the language to provide session types through existing mechanisms. In OCaml’s case, this is done without reaching for external tools or language extensions, relying purely on the existing type system. However, existing session type research is not only based on functional languages. Session C [2, Section 4.1] makes use of Scribble [81] to capture the communication pattern of the algorithm. The tool then generates the required endpoints that guide the design and implementation of the program. Java has been the target several other research efforts, for example SessionJ [2, Section 2.2.1], [30], a Java extension which is an implementation of Moose [2, Section 2.1.1]. Another session type enabling project is Mungo & StMungo [37, 75], also targeting Java. They define specification languages which check that the code complies with the required properties. StMungo converts Scribble protocols to Java classes with tpestates which are then checked by Mungo, this enables developers to write effectively session-typed Java. By itself, Mungo is a typechecker with support for tpestates.

Tpestates capture the state of the program, allowing the developer to express the state of objects during runtime, at compile-time. I discuss tpestates further in Section 2.3.2. Fugue [12] is a protocol checker that achieves similar functionality to tpestates. The tool provides a series of annotations to be used in code which are then processed into protocols to be checked by Fugue. Using the tool, the authors found several errors which would inhibit application scaling in a Microsoft internal project. Languages like Plaid [1] and Obsidian [7, 8] put tpestates to use, trying to bridge the gap between academia and industrial usage. Plaid is an object-oriented language with first class support for tpestates. Obsidian is relatively new language which targets the Hyperledger Fabric blockchain. The language aims to make writing smart contracts simpler and less error prone through the addition of linear types and tpestate mechanisms to the language. In [7] the effectiveness of the approach is put to test, achieving positive results when compared with the Solidity programming language.

The `state_machine_future` crate [20], provides tpestated futures in Rust. The crate provides some state machine related guarantees, such as every state being reachable from the start, there are no states unable to reach the final state and all state transitions are invalid. Furthermore, these guarantees are provided at compile-time, invalid state transitions, for example, fail to compile. The crate, however, revolves around futures, requiring a runtime and thus making it unsuitable for other kinds of applications. Other crates exist, they focus on finite state machines but are unable to provide static guarantees.

Like other mainstream programming languages, Rust does not have first class support for session types. Its implementations are rare and rooted in the meta-programming system. The work done by [34, 47] introduces bi-directional session types to Rust, since then, this line of work has been expanded by [40], extending it to multiparty session types. While Rust dropped tpestate support during early development (Rust 0.4), that does not mean Rust is not able to provide them. Its typesystem is able to emulate tpestates with efficiency, the approach however comes at the cost of verbosity. This approach is used in



the embedded systems development sphere of the Rust community.

## 1.4 Objectives & Contributions

In this thesis I try to bridge the gap between typestates and Rust, aiming for an elegant and usable solution, allowing for effective usage of typestates in Rust. To achieve such solution I expect to develop an embedded Rust DSL, enabling the flexibility of a dedicated language without leaving the Rust ecosystem. To this effect I expect the contributions of this thesis to be a typestate specification DSL to be embedded in Rust, this topic is further developed in [Chapter 4](#).

**Typestate DSL.** One of the main goals of the DSL is to be non-intrusive and easy to pick up, both the syntax and tooling, this requires the syntax to extend on Rust's current syntax, introducing minimal changes where necessary. However, it should also be powerful enough to specify useful protocols in it.

**Static Guarantees.** As any language, it is useless if no information is extracted from it, besides the obvious parsing step the DSL should be able to extract a typestate model from the original specification and generate the adequate output code. The extracted model should also be checked for a series of properties such as state reachability and termination.

**Tooling & Usability.** The DSL should not require more than the import of the library, building any project using the DSL should not require extra steps as it would degrade possible adoption. A survey should accompany the final product to confirm usability claims.

**Artifacts.** Finally, the DSL should be shipped as a crate (i.e. library) and available in [crates.io](https://crates.io), Rust's package registry, this implies that the documentation should be available in [docs.rs](https://docs.rs). In addition to the DSL library, I am planning writing an article on the DSL, including the results from usability testing, and developing a library to facilitate DSL development for Rust.

## 1.5 Report Organization

This document is organized as follows:

[Chapter 2](#) provides a review over existing systems programming languages ([Section 2.1](#)), the Rust programming language ([Section 2.2](#)) and behavioral types ([Section 2.3](#)).

[Chapter 3](#) describes existing work regarding language preprocessing ([Section 3.1](#)), Rust macros ([Section 3.2](#)) and existing approaches to behavioral types ([Section 3.3](#)).

**Chapter 4** illustrates the development roadmap of this project, detailing the required work to achieve the goals proposed in [Section 1.4](#).

## BACKGROUND

### 2.1 Systems Programming Languages

The definition of the term *systems programming language* is not agreed upon, being somewhat flexible and ever-changing due to constant shift in requirements for applications.

Before the cloud, in the age of C, a systems programming language would most likely be a language able to provide an adequate interface between the programmer and the machine. Nowadays, the definition is more vague, as machines and software grow in complexity, and the definition of system grows from single computer to a distributed system, interfacing with the hardware in a more direct fashion is mostly not required. Systems programming languages become about being able to produce a standalone binary able to run on a variety of machines without requiring extra software.

#### 2.1.1 C

C is a general-purpose programming language, while it can be considered a high-level programming language when put besides assembly, it also fits the description of a low-level programming language when besides languages like Python. It was originally designed by Dennis Ritchie for the PDP-11 and has been around since 1972 [4], C is by no means modern, being older than myself and most likely to outlive me.

Designed in a different time, its mental model is also different, the language is simple and straight forward, the designers had goals to achieve and designed the language with them in mind. Such mentality is noticeable when using the language, it is simple as the hardware was and the level of control C provides is unparalleled, being both a major benefit and a hindrance. An expert programmer is able to take advantage of the language to produce highly-efficient software, but a novice programmer will often find himself battling memory and pointer management bugs.

Its influence echoes in the modern languages, whether in the form of syntax (i.e. the famous C-style syntax) or in the problems it tries to solve. Languages such as Java take from C their syntax as well as one problem to solve, memory management; other languages like Julia [3] aim to mimic its performance.

While not as popular as other languages, C was able to keep its relevance in the modern development landscape, some of the most used software in the world is either written or powered by C. The Linux kernel, which powers servers, the world's most powerful computers and serves as a base for Android and other mobile devices, git, Redis and nginx are also software examples which reached the top of their respective fields.

### 2.1.2 C++

Introduced in 1985 as an extension to C; its author, Bjarne Stroustrup writes:

*C++ is based on the idea of providing both:*

- *direct mappings of built-in operations and types to hardware to provide efficient memory use and efficient low-level operations, and*
- *affordable and flexible abstraction mechanisms to provide user-defined types with the same notational support, range of uses, and performance as built-in types.*

— [64, Section 1.2]

The language has since gone on to conquer the programming world, being used in a wide variety of software and hardware. Currently, companies such as Google, Amazon and Microsoft have widespread adoption of C++ in their codebases. Industries requiring the best performance as possible of the host, such as scientific computing, financial software, AAA games and visual effects will most likely be running C++.

Just like C, C++ has its problems. The language is enormous, with very complicated parts (e.g. templates) and compilation for big projects is very slow, the author acknowledges this in [69]. Furthermore, as the language provides a high level of control over the system, it has manual memory management, suffering from the same problems as C. Even with smart pointers (e.g. `unique_ptr`) the problem is not considered solved, as they introduce overhead in the most demanding applications.

### 2.1.3 Ada

Ada was developed in 1980, during a standardization effort in the USA's Department of Defense, with the goal of unifying projects spanning over 450 programming languages [65]. Its main focus was the development of embedded applications, currently the Ada language is mostly used in the critical domain due to its strong emphasis on safety, some Ada success stories are the London Metro Victoria Line and the Paris Metro Line [58]. Ada

is also used in several other domains, such as aviation, space vehicles, financial systems and more [19].

In comparison with the other languages in this section, Ada is eclipsed, barely showing in the GitHub rankings [50]. However, given that Ada's compiler is mostly a product, it makes sense that most Ada code is not open-source. Regardless, when one views the list of features Ada has, the first arising question is "*why is Ada not popular?*".

An old article in AdaPower [24] provides some possible insight over the question, referring to the compiler's price and the Hoare's harsh critics. From my point of view, the critics to the compiler and ecosystem pricing still make sense, as access to the full tooling is limited. The lack of programmers goes on to deepen the lack of adoption in the industry and this cycle ends up limiting Ada's reach in the market.

#### 2.1.4 Go

The Go programming language (or `golang`) is a Google project, according to its tale, it was designed by the authors while they waited for their C++ code to compile. Go tried to address several of the criticisms to C, namely memory management, which it solved by using a garbage collector. While it has made a name for itself in the network and distributed systems sector, being the main language behind projects like Docker [13] and Kubernetes [39], its position as a systems programming language can be discussed.

Sometimes, however, the performance might not be enough, as was the case for Discord, the popular internet voice server company, as demand increased, Go was not able to meet the expected performance requirements and the company replaced it with Rust [29]. In [69], one of Go's authors, Rob Pike, says that he regrets categorizing Go as a systems programming language, being rather a server programming language that evolved into a cloud infrastructure language. Regardless of discussion, Go has proven to be a viable alternative to its counterparts, compromising extreme performance in name of safety and simplicity.

#### 2.1.5 Summary

I reviewed four system programming languages, suited for different kinds of environments, C, C++ and Ada can be considered the traditional system languages kind, with a strong emphasis on efficiency and support for embedded devices. Go on the other hand, could be considered a new generation systems programming language, a language for cloud infrastructure. Among the four, only Ada places strong emphasis on safety, with several features allowing for more guarantees at compile time, such as contract based programming and non-nullable types by default, being the only one which does not suffer from the "*billion dollar mistake*" [27].

## 2.2 The Rust Language

Rust is a fairly recent systems programming language, it started as a side project of the author Graydon Hoare, its public history dates back to 2010 [26]. In 2012 Mozilla picked up Rust to help develop the Servo browser engine, the successor to the previous Gecko engine; as a way to test Rust’s capabilities [35].

### 2.2.1 What makes Rust different?

In comparison with other languages, one of the first things someone new to Rust ought to notice is the emphasis put on safety. Being a competitor to C++ and achieving memory safety while still providing C++-level performance is quite an accomplishment. Rust, however, also aims to allow users to be productive without sacrificing safety or performance.

The key to all the promises Rust makes lies in its ownership system and the borrow checker. The borrow checker is a completely new mechanism when compared with other mainstream languages. However, it is a product of years of research both in academia and the industry. This mechanism merits most of Rust’s accomplishments and also its biggest problem, the learning experience. While Rust has become more accessible over the years, ownership and the borrow checker still require some effort on the part of the developer to learn. I provide a small overview of ownership, the borrow checker and their part in Rust’s promise of “*fearless concurrency*”.

### 2.2.2 Ownership

Ownership is the mechanism used by Rust to ensure no memory block stays allocated longer than it is required to. Through ownership, the compiler is able to free memory when required, inserting the respective deallocation calls in the output program. Behind ownership, there are three rules:

- *Each value in Rust has a variable that’s called its owner.*
- *There can only be one owner at a time.*
- *When the owner goes out of scope, the value will be dropped.*

— [67, Section 4.1]

To illustrate the rules, consider Listing 2.1, where we have two variables `x` and `y`. First, “Hello”<sup>1</sup> is assigned to `x`, thus `x` now owns “Hello”. After, `x` is assigned to `y`, consider the second rule of ownership, since we can only have one owner, `x`’s value ownership is transferred to `y`. Since we transferred `x`’s value to `y`, `x` is no longer valid, consequently, when compiling the code an error will be issued due to `x` being moved.

Notice how `String::from` is used instead of another type, since `String` type does not implement `Copy` it can only be moved. If the used type implemented `Copy`, the value would have been copied instead of moved.

```

1 let x = String::from("Hello"); // ok: `x` is assigned "Hello"
2 let y = x;                      // ok: `x` is moved into `y`
3 println!("{}", x);              // error: `x` was moved in the previous line

```

Listing 2.1 – Example of the move-by-default mechanism to enforce ownership.

```

1 let x = String::from("Hello"); // ok: `x` is assigned "Hello"
2 let y = &x;                    // ok: `x` is borrowed to `y`
3 println!("{}", x);             // ok: `x` can be printed since it is still valid

```

Listing 2.2 – Example using borrowing to allow for more than one reader on the same variable.

So far this illustrates the first two rules. The last rule can be considered invisible, as it happens during compilation and the user would not notice it usually. What happens is that at the end of the scope, any variable whose owner is in scope, will be freed. While the developer is not required to explicitly free the memory, the compiler will insert the calls for the developer.

### 2.2.3 Borrowing

If the developer could only copy or move memory the usability of the language would be severely limited. For example, functions that read a variable and produce a new value, not requiring the variable to be consumed would be impossible. To cope with this, Rust allows values to be *borrowed*, in other words, the owner of the variable allows for it to be read by others.

To borrow a value, one writes `&value`, this creates a read-only reference to value. There can be an unlimited number of read-only references to a value, but only a single mutable reference. This is discussed in [Section 2.2.4](#). Consider the example [Listing 2.2](#). In the example, `x` is now possible to be printed since it was not moved into `y`. Rather, `y` borrowed `x` through a reference.

Going back to the rules ([Section 2.2.2](#)), Rust's references obey them just like all other values. The variable containing them has ownership *over the reference*; it still is a single owner (if `let z = y;` was to be added, the reference would be copied instead of moved); and finally, when the owner goes out of scope *the reference is dropped*, but not the original value.

### Mutable Borrows

One last thing to consider are mutable borrows. As previously discussed, in Rust it is possible to create multiple immutable references but only one mutable reference. Regarding mutable references there are two cases to consider:

```
1 let mut s = String::from("hello");
2 let r1 = &mut s; // ok: first mutable borrow
3 let r2 = &mut s; // error: `s` was mutably borrowed in the previous line
```

Listing 2.3 – Example error while using multiple mutable borrows over the same variable.

```
1 let mut s = String::from("hello");
2 let r1 = &s; // ok: first immutable borrow
3 let r2 = &s; // ok: second immutable borrow
4 let r3 = &mut s; // error: `s` was immutably borrowed in the previous lines
```

Listing 2.4 – Example error while using a mutable borrow in conjunction with immutable ones.

**N mutable references**, see [Listing 2.3](#). Understanding why only one mutable reference can exist at a time is trivial, as multiple mutable references to the same object would allow it to be mutated concurrently, which could lead to inconsistent values.

**N immutable references and 1 mutable reference**, see [Listing 2.4](#). The reason behind not allowing a mutable reference to coexist is similar. Consider that each value can be executed by a different thread, the first two (r1 and r2) are only read and the third (r3) can be read and written. While there will be no conflicts between writers, it is possible for the readers to read an inconsistent value, since it can happen during the write operation.

### 2.2.4 Concurrency

*Initially, the Rust team thought that ensuring memory safety and preventing concurrency problems were two separate challenges to be solved with different methods. Over time, the team discovered that the ownership and type systems are a powerful set of tools to help manage memory safety and concurrency problems! By leveraging ownership and type checking, many concurrency errors are compile-time errors in Rust rather than runtime errors. — [67, Section 16]*

Rust provides several kinds of mechanisms to prevent concurrency related problems. Mechanisms as *message-passing*, *shared-state* and traits to enable developers to extend upon the existing abstractions.

#### Message-passing

Rust’s message-passing library is inspired on Go’s approach to concurrency, prioritizing message passing over other kinds of concurrent approaches, such as locking.

*Do not communicate by sharing memory; instead, share memory by communicating. — [16, Concurrency]*



Rust defines channels which have two ends, the transmitter and the receiver. The former can also be seen as the sender, and when is declared with the message type, the latter is also declared with the message type, they can be the same or distinct.

The ownership system comes in when the transmitter sends a message, when received the ownership of the message is taken on by the receiver end. This enforces that values cannot be in both sides of the communication at the same time, preventing concurrent accesses.

### **Shared-state**

Along with message-passing, Rust allows memory to be shared in a concurrent, safe way. Just as before, Rust's ownership system also helps with mutexes' biggest problem, locking and unlocking.

In a language like Java, whenever a thread is able to call lock on a mutex, it is required to call unlock on it, only then can other threads can use it. The problem is that this approach is subject to human error, forgetting to call unlock or calling unlock in the wrong place is possible. Making use of the ownership system, Rust is able to know when the lock reached the end of the scope and should be dropped.

#### **2.2.5 Why Rust instead of Language X?**

The main obstacle between typestates and programming languages is the requirement for aliasing control. In short, typestates are incompatible with aliasing (details are provided in [Section 2.3.2](#)).

So to implement a language from the ground up, it is required that aliasing is handled, however, instead of building a new one, the goal is to extend an existing one, Rust. As discussed in [Section 2.2.3](#), Rust's ownership system allows for aliasing control. Using moves to enforce the consumption of values, immutable references for pure functions and mutable ones for limited mutability, it is possible to emulate typestates. This takes care of aliasing concerns.

When designing on top of another language, two more ingredients are required, a powerful extension mechanism (i.e. Rust's macros, discussed in [Section 3.2](#)) and a strong type system, able to provide the necessary abstractions. Rust provides both, the type systems goes as far as allowing zero-sized types, allowing type-level abstractions to incur no runtime overhead. This is a key ingredient in our DSL, aiming to provide the minimal possible runtime with an expressive language.

## **2.3 Behavioral Types**

As previously discussed, with the growth in software complexity, developers are required to develop better tools to tame such complexity. Such tools require a theoretical body of work to support them, behavioral types are part of such body of work. The theory behind

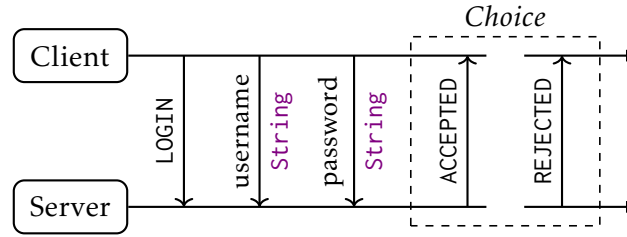


Figure 2.1 – Communication protocol example. The communication establishment step is omitted for simplicity. In this protocol the client tries to login to a service by sending a message LOGIN followed by the username and password, both of type `String`. The server then replies with either an ACCEPTED or REJECTED, if the login was successful or not, respectively.

them encompasses several domains, and they can be applied over a wide range of entities, from an object to a web service.

The work on behavioral types arose in the context of type systems able to capture properties of computations [31]. Session types and tpestates are part of this field of study, both capturing distinct property kinds while aiming for a common goal, stronger type systems and better static assurances.

*Roughly speaking, a behavioral type describes a software entity, such as an object, a communication channel, or a Web Service, in terms of the sequences of operations that allow for a correct interaction among the involved entities. — [2]*

Behavioral types allow developers to model a protocol, define the communication messages and possible interactions and check that certain requirements are met when implementing. Consider the protocol from Figure 2.1, where a user tries to authenticate. A developer can use it as a specification (for simplicity consider the uppercase messages to be simple strings), using behavioral types the developer could be able to specify the described interactions and all boilerplate could be generated for him. While using strings as a payload is not very “interesting”, consider instead that the object in transit is an encrypted payload, the boilerplate will take care of decryption and deserialization. Furthermore, consider the constraint that *all interactions end with a message from the server*. If the specification has an interaction that is not compliant with such rule, the code should not compile, raising an error.

### 2.3.1 Session Types

Session types are a subset of behavioral types, focused on communication, from entities in a distributed system to threads in a computer. Session types are based on process calculi and can be thought as “types for protocols” ???. They elevate communication to the type level, allowing expressing them as types in a program, in turn this enables the compiler to reason about the protocol during compile-time [73, 23].

```

1 enum Request {
2     Login(String, String),      // login with: {username, password}
3     SendMessage(String, String), // send message to a user: {user, message}
4     CheckStatus(String),        // check the status of a given user: {user}
5 }
6 enum Reply {
7     AuthOk,          // successful login
8     AuthErr,         // failed login
9     MessageOk,       // successful message
10    UserStatus(String), // user status
11 }
12 fn communicate() {
13     let (tx, rx) = channel<Request, Reply>();
14     tx.send(Request::Login("foo", "bar"));
15     match tx.recv() {
16         // ...
17     }
18 }

```

Listing 2.5 – Application login example, modelled using Rust’s `enums` (some channel details were omitted for simplicity). Reusing channels requires the developer to clump all states in a single `enum`. Better state management requires the use of more channels, neither approaches are ideal.

In Rust, a channel is created with `let (tx, rx) = channel::<SenderT, ReceiverT>()`, where `SenderT` and `ReceiverT` are the types sent and received by the channel. Channels are well-typed, meaning that if `SenderT = String`, sending another type over the channel will result in a type error.

Session types extend on this notion, not only allowing for a single type to be sent or received, but also model the protocol. Consider Listing 2.5, the example has unnecessary complexity, for each receive the developer is required to match all possible replies. Ideally, we declare the steps and possible outcomes beforehand.

For example, in plain English:

1. Send login credentials.
2. If successful, send a message to user jmgd.
3. Otherwise, exit.

And now using session types (Figure 2.2 with syntax adapted from [73], where the first four assignments (`:=`) are simple aliases, to simplify reading):

Consider `!` to be *sends*, `?` to be *receives*, `.` the *sequence* operator finally, `&` the *choice offering* and `⊕` the *choice selection*. Using session types effectively offloads complexity to the type system, resulting in more complex types, but simpler implementations, since protocol compliance can be checked during compilation and boilerplate can be added by the compiler.

No message is matching required, the compiler does it for the developer. Using session types it is possible to write it in a simpler form, where each endpoint has its type. Notice how the server provides more than one operation after login but the user does not call it.

```

Login := {user : String, password : String}
Message := {user : String, message : String}
Status := {user : String}
SReply := {status : String}
Server = ?Login. ⊕ (!Ok. ?Message. ⊕ ⟨Ok.End, Err.End⟩, !Err.End)
Client = !Login. & ⟨?Ok. & ⟨?Status. !SReply, !Message. & ⟨Ok.End, Err.End⟩⟩, ?Err.End)

```

Figure 2.2 – Session type example, equivalent to Listing 2.5.

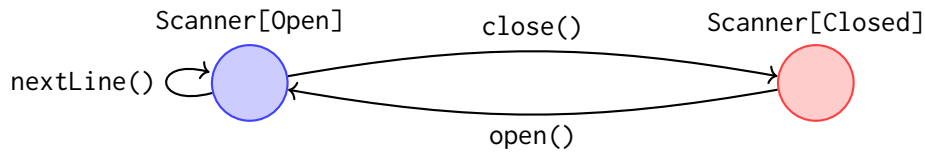


Figure 2.3 – The Scanner typestate automata, based on Listing 1.3.

### 2.3.2 Typestates

*... traditional strong type checking was enhanced with **typestate checking** a new mechanism in which the compiler guarantees that for all execution paths, the sequence of operations on each variable obeys a finite state grammar associated with that variable's type. — [63]*

The first language to make use of typestates was NIL [63], afterwards languages like Hermes [62] and Plaid [1] extended the concept with new techniques.

#### Automata

A possible question on the reader's mind is “*how are automata and typestates related?*”. This section tries to address that question and exemplify how automata helps prove typestates properties. It is possible to express typestates as automata, as the reader can observe in Figure 2.3. Each state is a possible state the object can be in, transitions are done through methods. Methods can either mutate the object state, such as open and close, or leave it unchanged, such as nextLine.

**Real-world scenario.** In production applications, the API is not this simple. In fact, the Scanner API is not this simple, however it was simplified for the example. Complex APIs can be designed by a team and implemented by another, specifications can be changed and during project development some details may be lost. Such details can be costly, imagine for example that a method call reaches a state, which has no outgoing edges, but it is not a final state. This is a problem addressed by existing automata algorithms. Representing typestates as automata, extracting all necessary information and applying such algorithms provides the API with extra safety.

### The case for tpestates

As discussed in [Section 1.1](#), bugs in systems programming are costly, thus, bugs must be minimized. Several tools, such as static analyzers, fuzzers, testing frameworks and others, aid in this purpose, if we have all these external tools, why should we not try and leverage the programming language itself?

**Moving towards better languages.** Programming languages allow the programmer to express a set of actions to be taken by the computer, they are tools which enable us to achieve a goal. Being essential to our work, better tools enable developers to be more productive and achieve higher quality work. The remaining question is “*why do we not create better languages?*”. Even when considering languages to be cheap to develop, the amount of work between a *working* language to be *production ready* is not cheap. Furthermore, while adopting a new language for a hobby project is easy, the same does not apply for enterprise level projects, requiring several developers to know the ins and outs of the language.

**Static typed languages.** The current trend is to move from dynamically typed languages, to statically typed ones, or at the very least, add typing support to existing dynamic languages. Typescript [70], Reason [54] and PureScript [52] are all examples of languages built to bridge the gap between static type systems and JavaScript. Python and Ruby, two popular dynamic languages, have also pushed for type adoption with the addition of type hint support in recent releases [71, 57].

**Where do tpestates fit?** Tpestates are a complex subject, able to be adopted at several levels, just like type hints, they can be partially used in some languages, through tools such as Mungo [75], by contract-style assertions as in Ada2012, Eiffel or pre-0.4 Rust, or finally by leveraging the existing type system to write tpestate enabled code as it is possible in Rust [14]. Tpestate-related concepts were also used in Singularity OS [2, Section 6], a reliable operating system prototype, its programs were written using Sing#, a language derived from C# which supports behavioral typing, specifically contracts in a similar capacity to tpestates.

**Why use tpestates?** By leveraging the state to the typesystem, the compiler is able to aid the programmer during development, a given set of transitions will be impossible by default, since the types do not implement them. By reducing the need for developers to check for a certain set of conditions through the use of tpestates, it becomes possible to reduce the number of runtime assertions and completely eliminate the need for illegal state exceptions since illegal transitions are checked at compile time.

### Tpestates in action

As a simple example, consider the Java application in [Listing 2.6](#) which simply takes two numbers and multiplies them together. The application will throw an exception on line 6, since the programmer closed the Scanner in line 5. In this example, the error is simple

```
1 public class Mult {
2     public static void main(String[] args) {
3         Scanner s = new Scanner(System.in);
4         s.nextLine();
5         s.close();
6         s.nextLine();
7     }
8 }
```

Listing 2.6 – The Mult Java program, which reads two integer and multiplies them together.

```
1 public class Mult {
2     public static void main(String[] args) {
3         Scanner[Open] s = new Scanner(System.in);
4         s.nextLine();
5         Scanner[Closed] s = s.close();
6         s.nextLine(); // compiler error
7     }
8 }
```

Listing 2.7 – The Mult program, written in a Java-like typestated fashion.

to catch, the program is short and the Scanner can either be open or closed, however, real-world applications are not that simple.

In the case of *typestated* programming, the type system will provide the programmer with better tools to express state, furthermore, the compiler will then catch errors regarding state, such as the previous *use-after-close*.

Listing 2.7 shows the Mult program written in a typestated fashion, notice that the Scanner type is now augmented with its state and the compiler is able to catch the misuse of the Scanner[Closed] interface.

**Plaid** is a typestate-oriented programming language [1], instead of **classes** users write **typestates**. Each typestate represents a class in its possible states, its methods and behavior change during runtime as state changes, in contrast with other languages (e.g. Java) where public methods and fields are always available. In Listing 2.8, the **File** passes through states as it is open, read and closed in `readClosedFile`.

This property allows the typesystem to enforce certain properties at compile time, such as certain methods will never be called in a given state since it is not possible by design (i.e. they are not available in the interface).

**Rust.** As discussed in Section 2.2, Rust takes its commitment with safety with seriousness, providing the necessary tools to users. While Rust does not support first-class typestates, it is possible to emulate them using its type system (as demonstrated in [14]), this is discussed in further sections of this document.

While the file example does not apply in Rust, since files and other objects are closed as they leave the scopes, enforcing protocols is important and an aspect not covered by

```

1 state File {
2     val filename;
3 }
4 state OpenFile case of File = {
5     val filePtr;
6     method read() { ... }
7     method close() { this <- ClosedFile; }
8 }
9 state ClosedFile case of File {
10     method open() { this <- OpenFile; }
11 }
12 method readClosedFile(f) {
13     f.open();
14     val x = f.read();
15     f.close();
16     x;
17 }

```

Listing 2.8 – The `File` declaration and usage in Plaid (taken from [46]).

```

1 fn main() {
2     let protocol = Protocol::new();
3     protocol.F1();
4     protocol.F3(); // possible crash during runtime
5     protocol.F2();
6 }

```

Listing 2.9 – Rust example of an unchecked failure protocol compliance. The protocol expected operation order is F1, F2, F3, however, the developer placed the operations in the wrong order. This mistake is only caught during runtime.

the language. Consider Listing 2.9, the example is expected to call first F1, followed by F2 and finally F3, however such does not happen and the error may only be caught during runtime.

As the next paragraph discusses, this behavior can be prevented using the language’s type system. However, such utilization requires complex (and possibly hard to read) types. Since it is not “*part*” of the language, most users will neither use it nor be aware of it.

**Embedded Rust.** As any systems programming language, Rust penetrated the embedded development space. Its features are most adequate and the community has put great effort into making Rust a viable language for embedded systems.

*The Embedded Rust Book’s* [66] Chapter 4 is dedicated to static guarantees, introducing programmers to the concepts of typestate in Section 4.1, and their usage in embedded systems.

As for real-world usage, typestates are abundantly used in the area (not just discussed in the book), under [60] one finds several repositories (suffixed with -hal) which implement typestates (e.g. `gpio.rs` from `stm32h7xx-hal`).

```
1 contract LightSwitch {  
2     state On {  
3         int brightness;  
4     }  
5     state Off;  
6     int switchLocation available in On, Off;  
7 }
```

Listing 2.10 – Obsidian state declaration example.

```
1 transaction OffToOn() {  
2     LightSwitch s = new LightSwitch(); // LightSwitch is in Off upon instantiation  
3     s.turnOn();  
4 }
```

Listing 2.11 – Correct state usage example in Obsidian.

```
1 transaction OffToOff() {  
2     LightSwitch s = new LightSwitch(); // LightSwitch is in Off upon instantiation  
3     s.turnOff(); // error: turnOff() requires that s is On, but here s is Off  
4 }
```

Listing 2.12 – Invalid state transition example in Obsidian. Since LightSwitch is instantiated as Off, calling turnOff is not valid.

**Obsidian** is a language targeting Hyperledger Fabric [21], among other features it makes use of typestates to reduce the amount of bugs when dealing with assets.

In [7] an empirical study tested and proved Obsidian claims, when compared with Solidity, the leading blockchain language, users inserted fewer bugs and were able to start developing safer code faster.

Consider Listing 2.10, in which a light switch is modeled, the same can either be On or Off, but not both. The brightness field can only be accessed if LightSwitch is in the On state, however the switchLocation field can be accessed from both states. Furthermore, consider that upon instantiation, the LightSwitch is set to the Off state. Notice that in Listing 2.11 the user is able to call turnOn, as the switch is in the Off state, as expected. However, the user is unable to call turnOff in Listing 2.12, since the switch is already set to the Off state. The Obsidian compiler is able to notice such invalid transitions and provide an error during compile time.



## RELATED WORK

### 3.1 Language Preprocessors

Language preprocessors are a mechanism which runs during compilation, some languages will apply the preprocessor during different compilation stages while others will only apply the preprocessor in a single stage.

#### 3.1.1 OCaml

The OCaml ecosystem currently uses OCaml [PPX](#), previous to version 4.02, OCaml made use of [p4](#).

Camlp4 is a parsing library which provides extensible grammars, its main goal is to allow users to extend OCaml syntax, Camlp4 is also able to redefine the core syntax, OCaml even introduced a revised syntax [\[53\]](#) to enable Camlp4.

In a nutshell, the Camlp4 library would allow developers to develop an extension syntax, when the compiler would pass the source code as text to the preprocessor, which, in turn would generate valid OCaml source code. The library has been deprecated due to being confusing to users and tools alike. Users were required to learn the revised OCaml syntax which complicates the development process. These criticisms are found throughout documents which discuss Camlp4 [\[76\]](#).

#### PPX

In OCaml version 4.02 syntax extensions were introduced, to enable preprocessor extensions. This meta programming mechanism come to replace [p4](#), which was not well liked by the community due to its complexity. The resources on [PPX](#) are not as widespread as the resources for similar mechanisms in other languages (i.e. Rust and its macros). There

```
1 let a = 12 [@attr pl]
2 let b = "some string" [@@attr pl]
3 [@@@attr pl]
```

Listing 3.1 – Example of the three kinds of attributes, taken from [55]. The first line attaches to the 12 expression. The second attaches to the whole let binding (i.e let b = "some string"). Finally, the third line, does not attach to a particular member of the AST.

are two main entry points to the PPX system, attribute and extension nodes [41, Sections 8.12 & 8.13].

**Attribute Nodes** are attached to the existing AST nodes, they are not forcefully compiled, that is, if the compiler is not aware of a matching extension they will be ignored. There are three kinds of attribute nodes (example in Listing 3.1):

- `[@attr payload]` - *attached with a postfix notation on "algebraic" categories.*
- `[@@attr payload]` - *attached to "blocks" such as type declarations, class fields, etc.*
- `[@@@attr payload]` - *not attached to any specific node in the syntax tree.*

— [41, Section 8.12]

One of the main kinds of PPXs are *derivivers* (see Listing 3.2.2 for the Rust equivalent). Deriveres are mostly used to generate error-prone code where the implementation pattern is common to a series of situations. Examples include but are not limited to: comparison functions, pretty printers and serializers [55].

**Extension Nodes** are similar in syntax to the attribute nodes (instead of @ they use %). Extension nodes are meant to be placeholders in the syntax tree. That means they get replaced with the expanded code (like attribute macros in Rust Listing 3.2.2). They are also required to be expanded by a PPX during compile-time, if such does not happen an Uninterpreted expression error is issued.

- `[%attr payload]` - *used for "algebraic" categories.*
- `[%%attr payload]` - *used in structures and signatures, both in the module and object languages.*

— [41, Section 8.13]

**Ecosystem Presence.** The current state of affairs regarding the PPX brings up mixed reactions. From my research, the environment is well maintained, with regular commits to the main PPX repositories. However, the entry-barrier is high due to the lack of introductory materials. Despite this, PPX has seen use in the ReasonML community, more specifically in the ReasonReact framework, where the Tailwind CSS dialect is supported by PPX to enhance developer ergonomics.

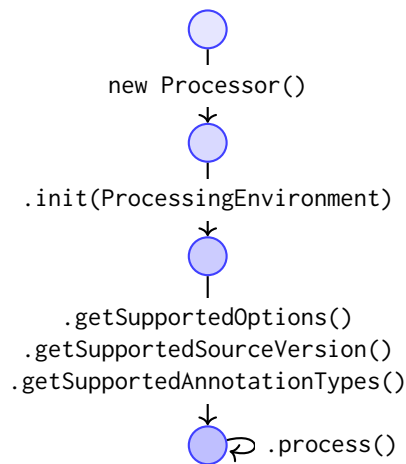


Figure 3.1 – Java’s annotation processor lifecycle.

```

1 @Retention(RetentionPolicy.RUNTIME)
2 @Target(ElementType.ANNOTATION_TYPE)
3 @interface Foo {}

```

Listing 3.2 – Example code for Java’s annotation declaration. Possible values for `@Retention` and `@Target` are summed up in Figure 3.2.

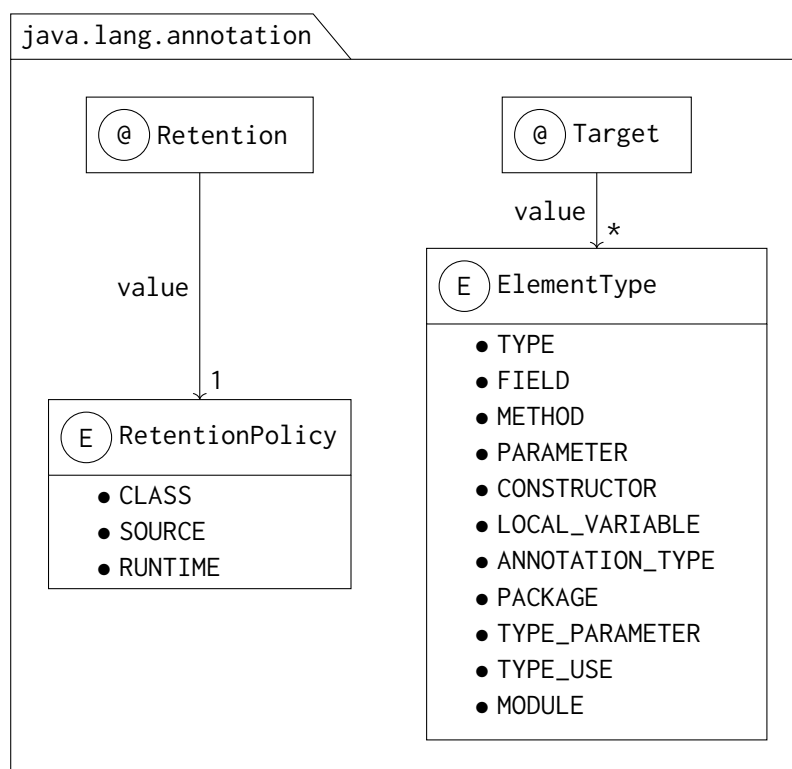
### 3.1.2 Java

In Java, meta programming takes the form of annotations, these are processed by user code during the compilation process. Besides annotations, there is another project able to “extend” Java. The ExtendJ research compiler (formerly JastAddJ) [17] aims to provide a “hackable” Java compiler for research purposes, such as static analysis tool development to Java features prototyping.

#### Java Annotations

Java annotations were first introduced in Java 5 [10], they are a form of metadata which can be added to Java source code. Annotations can be used in conjunction with several components of the Java language, such as classes, interfaces, documentation and others. These are processed by build-time tools or by run-time libraries to achieve new semantic effects, a popular example of such library would be the compile-time dependency injection framework Dagger 2 [9]. Another popular library using annotations is the Checker Framework [6], besides the classic `@NonNull` example, the tool provides several other kinds of annotations. The annotations are then checked by Checker Framework annotation processor. An example would be the `@Tainted/@Untainted` annotations, which serve the purpose of annotating data to indicate whether it can be trusted. This helps avoid potentially harmful code from being executed (e.g. malicious SQL queries).

**Implementing an Annotation.** To implement an annotation, start by declaring it as in Listing 3.3. The annotation may contain parameters that allow to add configuration when

Figure 3.2 – `java.lang.annotation` class diagram.

the declaration is used. Supported types are:

- Primitive types (e.g. `int`, `long`, etc).
- `String`
- `Class<T>`
- `enum` types.
- Other annotation types.
- An array of the above.

At this point the annotation is processed by the compiler but does not do anything useful. To address that, the code needs to either handle the annotation at runtime, through reflection. Or at compile-time, through an annotation processor. Since processing the annotation at runtime incurs a cost, I'll only discuss the annotation processor approach.

**Annotation Processor.** Putting it simply, is a specific class registered at compile-time as able to process annotations. The compiler can then make use of the class to process the new annotations. The class itself will usually extend the `AbstractProcessor` class, overriding some methods present in Figure 3.1. The processor will then be called for each annotation belonging to the package.

Annotation processors are also able to generate code. This is usually done by means of a library such as `JavaPoet` [59]. After generation, the output code is then compiled and subject to the same treatment as handwritten files. If the generated code, generates more code, this process repeats itself until no more code is generated.

```
1 @any Person people;  
2 people += new Person("Bob");  
3 people += new Person("Gene");  
4 people += new Person("Tina");  
5 for (Person person : people) {  
6     System.out.println(person.getName());  
7 }
```

Listing 3.3 – The `@any` annotation allows an object to carry several instances of itself. In the example, `@any Person` is rather a collection of `Person`. This extension is enabled by the `ExtendJ` compiler.

**Ecosystem Presence.** Java annotations are ubiquitous. Examples include but are not limited to the development of REST APIs, Android applications and database tools. As discussed in [Section 3.1.2](#), annotations are picked up by several tools and serve a plethora of purposes, from cutting boilerplate to providing an extra layer of security and assurance. However, being ubiquitous does not imply that resources are widely available. Learning to develop annotations seems to be an almost exotic topic in Java, with few quality resources available.

### ExtendJ & JastAdd

ExtendJ is an extensible compiler aiming at facilitating the development of Java compiler tools. The compiler supports Java from version 5 up to 8. The extensions are written in JastAdd [33], a meta-compilation system upon which ExtendJ is built. It is possible to extend the compiler during any of the following phases: *Scanning*, *Parsing*, *Analysis* and *Code Generation*. Extending the language with new syntax requires the modification of the *Scanner* and *Parser*. The *Analysis* phase occurs after parsing, when types are checked. Hence, to extend type analysis, one must modify it in the compiler. Finally, *Code Generation* has two possible extension methods in ExtendJ: *direct bytecode generation* and *desugaring*. The latter being the simpler approach and recommended being tried before the former. Desugaring can be used to prototype new languages constructs, by mapping them to the respective Java code.

**Ecosystem Presence.** While both ExtendJ and JastAdd are powerful tools, they lack of support for versions after Java 8. Their usage is generally confined to academia being unsuited for industrial usage. Documentation on getting up and running is also limited, being mostly based on papers and examples rather than entry-level explanations.

### 3.1.3 Kotlin

While Kotlin also allows and makes use of Java annotations, it is also possible to write plugins for the Kotlin compiler. Compiler plugins are much more complex pieces of software in comparison with annotations, due to the amount of detail required to take into account. An example of such detail is the amount of Kotlin backends available, not

all targeting the Java Virtual Machine. This is also a motivation to write a compiler plugin, as annotations may not be compatible with all backends.

### Kotlin Compiler Plugins

The Kotlin compiler plugin stack is illustrated in [Figure 3.3](#). From top to bottom, the first two parts are related to Gradle, the main build system for Kotlin. These parts do not work on the plugin itself, but rather help the plugin coexist with the rest of the Kotlin ecosystem.

**Plugin.** The plugin interacts only in the Gradle segment, it provides an entrypoint from a `build.gradle` plugin and allows plugin configuration.

**Subplugin.** The subplugin acts as the glue between Gradle and Kotlin. It sets up a series of options for the layer below from the configuration provided in the first layer. It also defines a plugin ID to avoid name clashing with other plugins and Maven coordinates, which allow the plugin to be downloaded.

**CommandLineProcessor.** This layer reads the arguments for `kotlinc -Xplugin`. The options from the previous layer are passed through here. Finally, it writes `CompilerConfigurationKeys` which will be passed to the layer below.

**ComponentRegistrar.** This component just reads the passed keys and registers extensions to be used by the compiler. It is possible to register several extensions at a time.

**Extension.** The extension is the main part of the plugin. There are multiple types of extensions able to deal with the input at different levels, from the class level to the code generation.

**Ecosystem Presence.** Just like the previous languages, the Kotlin compiler plugins suffer from the same discoverability problem. While depending on it are widely used (e.g. Kotlin serialization [[Kotlin2020](#)]), the resources to learn how to develop such tools are rare.

## 3.2 Rust Macros

Just like its predecessors, C & C++, Rust offers macros as part of the language. In essence, Rust macros are just like other languages' macros, running during compile-time to generate code. In Rust, macros refer to a family of features (see [Figure 3.4](#)), *declarative* macros and *procedural* macros.

### 3.2.1 Declarative Macros

Declarative macros (also known as *macros-by-example*) can be declared with `macro_rules!` and are called with function syntax (see [Listing 3.4](#)).

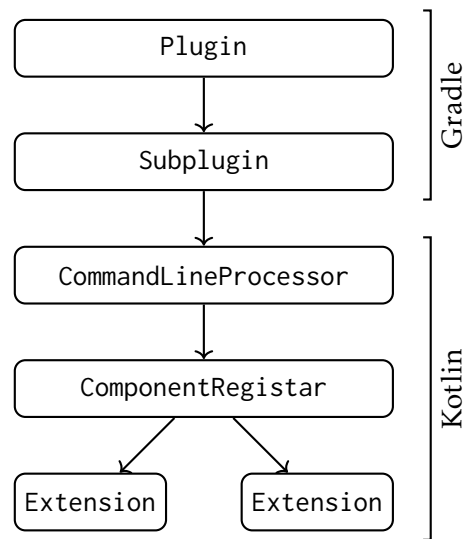


Figure 3.3 – Kotlin compiler plugin architecture stack [45].

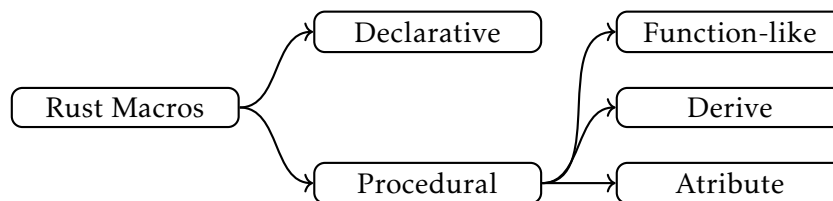


Figure 3.4 – Rust macro's family tree

*Each macro by example has a name, and one or more rules. Each rule has two parts: a matcher, describing the syntax that it matches, and a transcriber, describing the syntax that will replace a successfully matched invocation. Both the matcher and the transcriber must be surrounded by delimiters. Macros can expand to expressions, statements, items (including traits, impls, and foreign items), types, or patterns. — [68, Section 3.1]*

**Transcribing.** When a macro is invoked, the macro expander loops through the declared rules, transcribing the first successful match. It transcribes the first successful match; if this results in an error, then future matches are not tried. An error is thrown if the compiler cannot determine unambiguously how to parse the macro [68, Section 3.1 - Transcribing].

**Metavariables.** To specify a macro a user first declares a pattern which will match a given form of syntax. *Metavariables* are used to achieve such goal, they are declared with “\$ **name** : **fragment-specifier**” in the macro matcher and can match thirteen different kinds of syntax fragments [68, Section 3.1 - Metavariables]. In Listing 3.4, the metavariable `n` is of kind `literal` which will match literals such as `'E'`, `"Elite"` and `420` [68, Section 8.2.1].

**Repetitions** are indicated by placing the tokens to be repeated inside `$(...)`, followed by a repetition operator, optionally with a separator token between. This is valid both

```

1 macro_rules! say_hello {
2     ($n:literal) => { for 0..$n { println!("Hello, world!"); } }
3 }
4 fn main() { say_hello!(5); }

```

Listing 3.4 – Example `macro_rules!` usage. When executed, the code above will print “Hello, world!” five times.

```

1 macro_rules! using_a {
2     ($e:expr) => { { let a = 42; $e } }
3 }
4 let four = using_a!(a / 10);

```

Listing 3.5 – Definition of the `using_a` macro and usage. The macro simply declares a variable `a`, set to 42 and then writes an expression which was passed in.

```

1 let four = {
2     let a = 42;
3     a / 10
4 };

```

Listing 3.6 – Listing 3.5 line 9’s macro expansion. Declarations with a blue background will be placed in a different *scope* than the others, thus the `a` for lines 2 and 3 will not be considered the same.

for the matcher and the transcriber. Repetition operators are the same as the regular expression ones:

- `*` — indicates zero or more repetitions.
- `+` — indicates at least one repetition.
- `?` — indicates zero or one repetition.

**Hygiene** works by attaching an invisible *syntactic context* to all identifiers [77]. Identifiers are compared over two pieces of information, the *textual value* and their *syntactic context*. The textual value consists of the variables name (e.g. `four`), the syntactic context is a kind of scope added to variables declared inside the macro. This is done to keep the macro declared variables from interfering with existing ones.

When expanding a declarative macro<sup>1</sup> variables declared inside the macro belong in a different scope, consider the macro declared in Listing 3.5 and the respective expansion in Listing 3.6. As illustrated by Listing 3.6, line 2 is considered to be in a different context than the rest of the expanded code. This will rightfully raise an error (shown in Listing 3.7), since line’s 3 `a` will not exist due to not being in the same syntactic context as line 2.

<sup>1</sup>The same mechanism does not apply to procedural macros, which are not hygienic. Their output will interfere with existing code if precautions are not taken [38].



```

1 error[E0425]: cannot find value `a` in this scope
2   --> src/main.rs:13:21
3   |
4   9 | let four = using_a!(a / 10);
5   |                   ^ not found in this scope

```

Listing 3.7 – The expansion in [Listing 3.6](#) will result in an error during compile time since the `as` in line 2 and 3 are considered to belong to different contexts.

```

1 html! {
2     h1 { "Hello, world!" }
3     p.intro {
4         "This is an example of the "
5         a href="https://github.com/lambda-fairy/maud" { "Maud" }
6         " template language."
7     }
8 }

```

Listing 3.8 – HTML DSL embedded in Rust. Example taken from [\[78\]](#).

### 3.2.2 Procedural Macros

Rust also has another macro mechanism, *procedural macros*, these can take three forms: *function-like macros*, *derive macros* and *attribute macros*. In a nutshell, procedural macros allow users to run code at compile time, consuming and producing Rust syntax.

#### Function-like Macros

Function-like macros and declarative macros are similar regarding invocation, being indistinguishable from each other, and output, completely replacing the original call. However, the similarities stop there as their implementation methods are completely different.

**Definition.** Function-like macros are defined by a public function with the `proc_macro` attribute and a signature of type `(TokenStream) -> TokenStream`. Everything contained inside the call delimiters of the macro invocation is input to the function, as previously referred, the output will completely replace the macro call.

**Domain Specific Languages.** While the macros discussed next also provide their contribution for domain specific languages in Rust, function-like macros provide the necessary tools to write an embedded DSL. The Rust ecosystem developers have developed HTML DSLs [\[78, 61\]](#) (see the example in [Listing 3.8](#)) and the possibility to run Python inside Rust [\[32\]](#).

#### Derive Macros

Derive macros likely are the most common kind of procedural macro in Rust, they are usually used to *derive* a `trait` implementation from a `struct` (see [Listing 3.9](#)). They define

```
1 #[derive(Debug)]
2 struct Coordinate {
3     x: f32,
4     y: f32,
5     x: f32,
6 }
```

Listing 3.9 – Example usage of `#[derive(...)]`, in this case deriving `Debug` enables the structure to be printed with `println!("{}", coord)`.

```
1 #[derive(Error)]
2 enum CoordinateError {
3     #[error("Invalid coordinates {0}")]
4     InvalidCoordinates(Coordinates),
5 }
```

Listing 3.10 – Example usage of a derive macro with helper attributes, in this case the `error(...)` defines an error message with a `Coordinates` parameter.

new inputs for the derive attribute, and can also create new items given the token stream of a `struct`, `enum` or `union`.

**Definition.** Just like function-like macros, derive macros are defined as a public function with the `proc_macro_derive` attribute and a signature of `(TokenStream) -> TokenStream`. The input is a token stream of the item with the derive attribute, the output is a set of items that are appended to the module or block where the input token stream is in. In [Listing 3.9](#) the `Debug` implementation will be appended to the end of the structure.

**Helper Attributes.** Derive macros are also able to add additional attributes to the scope of the current item. Such attributes are called *derive macro helper attributes* and they are *inert*, that is, they are not processed by themselves but rather serve as annotations (see [Listing 3.10](#)).

### Attribute Macros

Attribute macros define new outer attributes, in contrast to the attributes discussed in [Listing 3.2.2](#), attribute macros are processed as independent units and not as an annotation. They can be attached to items (see [\[68, Section 6\]](#)), including items in `extern` blocks, inherent and trait implementations, and trait definitions.

**Definition.** Like its counterparts, attribute macros are also declared by a public function with the `proc_macro_attribute`, however, their function signature takes two parameters instead of one, being `(TokenStream, TokenStream) -> TokenStream`.

The first parameter is the token tree following the attribute name, for example, in [Listing 3.11](#) it would contain the token tree of `("/hello/<name>/<age>")`, in the case the attribute is written as a bare attribute name (e.g. `#[attribute]`), the token tree is empty.

```

1 #[get("/hello/<name>/<age>")]
2 fn hello(name: String, age: u8) -> String {
3     format!("Hello, {} year old named {}!", age, name)
4 }

```

Listing 3.11 – Attribute macros are commonly used in web frameworks to provide an easy way to declare an endpoint. In this example (taken from [56]) the user declares that GET requests to `hello/` have two path parameters (`name` and `age`) and should be handled by the `hello` function.

Macro Type	Input Processing	Output Processing	Invocation
Declarative	Pattern Matching	Replace	<code>macro!</code>
Function-like	User programmed	Replace	<code>macro!</code>
Derive	User programmed	Append	<code>#[derive(...)]</code>
Attribute	User programmed	Replace	<code>#[attribute]</code>

Table 3.1 – Rust macros properties summary.

The second parameter is the token tree of the item the macro is attached to, the function output will *replace* such item with the return item or items.

While attribute macros are able to replace the input stream, they can also leave the stream unchanged and check for code properties (e.g. if all variables start with a given prefix).

### 3.2.3 Summary

In summary, Rust enables metaprogramming through macros, the same can be divided into two categories, declarative macros, with work through pattern matching, and procedural macros. Their main characteristics are summarized in Table 3.1.

Declarative macros (Section 3.2.1) work mainly through pattern matching, they are the best tool to avoid code repetition without putting in the effort of writing a token parsing macro. However, for more complex tasks, declarative macro's readability quickly degrades leading to an unpleasant developing experience.

Procedural macros (Section 3.2.2) can be further subdivided into three categories, being *function-like*, *derive* and *attribute* macros. Function-like macros can be considered as an alternative to declarative ones, they allow for more functionality and flexibility being possible for the code behind them to be replaced from one to the other without changes on the user's part. In comparison with other procedural macros, function-like macros allow for the creation of an embedded DSL inside Rust while the others are mainly annotations. Derive macros are mainly used to extend existing structures with traits that can be derived automatically (e.g. [Debug](#)). Finally, attribute macros can be used to modify existing code or simply check for code properties (e.g. if an `enum` fields are sorted).

### 3.3 Approaches to Behavioral Types

As previously discussed, there are several kinds of approaches to behavioral types, some aim to bridge modern languages and behavioral types, others build a language from scratch. Building a new language is a more attractive approach since there is no requirement for retrofitting. This approach is more common in the typestate domain, with Vault and Plaid being prime examples. The library approach receives more attention from the session types domain, where projects aim to implement them in existing languages such as Java, Go and Rust.

#### 3.3.1 Session Types

As established so far, session types are mostly used for communication protocols, defining message types and their order in a conversation. Session types also share common ground with typestates as works StMungo [11, 37, 75] and others [23, 72] demonstrate.

**StMungo** it is a transpiler from Scribble [81] to Java based on session types and typestate. The transpilation process takes Scribble local protocols as input, generating Mungo typestate specifications and Java skeleton implementation code. The output is then checked by Mungo [11, 37, 75]. This process is based on a formal translation of session types into typestate specifications for channel objects, and extends the translation from binary to multiparty session types.

**Session Types for Rust.** As far as I am aware, the work on Rust session types was started by Jespersen et al. [34], such work was limited since it only supported binary session types for channels. It builds on a Haskell-based approach [51], mirroring the implementation interface.

The type constructs in the original session types formulation have correspondents in the Rust implementation, this is part of a DSL embedded in the Rust type system. The library makes use of `unsafe` to allow for transmutation (i.e. unsafe type casting) and sending untyped values over the channels. Finally, the library is able to provide compile-time safety, that is, the code will not compile if the channels protocols do not match.

**Multiparty Session Types for Rust.** Work on multiparty session types started with La-  
gaillardie et al. [40]. This work makes use of the Scribble [81] toolchain, just like StMungo; and it is a thin wrapper over previous work done by Kokke [36]. Similarly to the previously presented work [34], this work also takes advantage Rust's type system to provide compile-time safety. While using Scribble allows the library to make use of a tried and tested toolchain, it also implies the usage of an external tool, which in previous works was not necessary [34, 36].

### 3.3.2 Typestate

In the work of Ancona et al. [2, Section 2.3] several approaches to typestates are enumerated. While most approaches create a new language, approaches like Fugue [12] simply build on top of existing languages. This kind of approach is extremely valuable as it bridges the gap between existing programming languages and the theoretical field.

**Vault** is a programming language with the aim of researching lifetime tracking and the symbolic state of objects [18]. Vault introduces two new concepts — *adoption* and *focus*, which serve to relax constraints imposed by a linear type system. Since aliasing can be controlled through the linear type system, Vault is able to check for states, hence supporting typestate. Vault bridges the best of both worlds by splitting programs into two groups: the ones able to be checked for protocols (i.e. *typestated*) and the ones free of aliasing restrictions and thus unable to verify protocol rules.

The adoption mechanism works by means of an *adopter* (i.e. which adopts a linear reference) and an *adoptee* (i.e. the adopted reference). Through adoption, the adopted linear reference is consumed, and thus cannot be directly accessed. Furthermore, the lifetime of each reference alias is tied to the lifetime of the adopter. When the adopter is freed, all adopted references recover their linear type.

The focusing mechanism provides a temporarily linear view on a nonlinear object. The focused object is required to be live and of the same type in the end of the focus usage. Access to the parent of the focused object is temporarily revoked, disabling its aliases to be accessed.

**Fugue** is a software checker that enables interface protocols (i.e. typestates) to be specified as annotations [12]. It provides two main protocol checking functions, *resource protocols* and *state-machine protocols*. Resource protocols relate to the allocation and release of resources, since Rust takes care of such concerns through ownership I will not discuss this feature of Fugue.

State-machine protocols allow the programmer to constrain the sequence of method calls on an object. This is also known as typestate, as one can only transition between valid states. In Fugue, the developer adds annotations to the object's methods and from them, a state-machine is derived. Fugue also allows for states to relate to one another. Consider the example in Listing 3.12; by relating the states in the `OuterSocket` class with the `innerSocket` field states Fugue can ensure that `OuterSocket` is a well-behaved client of the field's class.

**Plaid** is a typestate-oriented language. The idea, proposed in [1], is based on support for first-class typestates in an object-oriented setting. In Plaid, objects are described by their state rather than members. While the object is able to have fields common to all states, there is also the possibility for fields to be exclusive to a given state. For the example of the `File` which can be either in the `Open` state or the `closed`, the former state would have an OS file descriptor, while the closed state would not. The path to the file could be

```

1 [WithProtocol("open", "closed")]
2 class OuterSocket {
3     [InState("connected", WhenEnclosingState="open"),
4         NotAliased(WhenEnclosingState="open")]
5     [Unavailable(WhenEnclosingState="closed")]
6     private Socket innerSocket;
7 }

```

Listing 3.12 – Relating a class’s states with the innerSocket states. In this example, the OuterSocket’s open state is related with the connected state of the socket. This ensures that the OuterSocket is a well-behaved client of innerSocket.

```

1 @Typestate("StateIteratorProtocol")
2 class StateIterator { /* ... */ }

```

Listing 3.13 – Mungo’s Typestate annotation. Normal Java code ends up ignoring the annotation. However, Mungo is able to process it and check the class calls against the specification to ensure typestate compliance. In this case the class specification is StateIteratorProtocol.

available for both states, since it would allow the file to be re-opened.

In Plaid, methods can make the object transition between states. Building on the file example, the method open would transition the file from the **Closed** state to the **Open** state. Plaid also introduces a series of aliasing control keywords, **unique** disallows aliasing on an object while allowing for state transitions, **immutable** disallows mutation (i.e. state transitions), **shared** makes an object behave like it normally would in Java, allowing aliasing (since it allows aliasing, it also requires runtime checks over state on sensitive operations).

**Mungo** is a static analysis tool [11, 37, 75] for Java programs. It checks typestate properties and can be divided into two components, a Java-like language to define typestate specifications and a typechecker, which checks that objects follow the typestate specification. Specifications are written as separate files and can then be used in Java classes through annotations, as demonstrated in Listing 3.13. The annotations enable Mungo to be unobtrusive in projects since annotations are not required to be processed (as seen in Section 3.1.2).

*If a class has a typestate specification, the Mungo typechecker analyses each object of that class in the program and extracts the method call behaviour (sequences of method calls) through the object’s life. Finally, it checks the extracted information against the sequences of method calls allowed by the typestate specification. — [11, Section 1.2]*

### 3.3.3 Summary

In summary, behavioral types is a topic which for now, is still mostly confined to the academia circles. Despite the efforts put into the development of tools for “*business*” languages, the tools were either abandoned (e.g. Fugue) or superseded by other developments in the field (e.g. the initial work in session types for Rust). Languages developed for research purposes (e.g. Vault and Plaid) seem to make little to no effect on the outside world. While adoption of the language itself is not expected, such could be expected for the mechanisms, though it does not seem to be the case. Finally, in the case of tools (e.g. Scribble and Mungo), they seem to pick the most traction from academia. The motivation seems to be based on the possibility of extension and continuous improvement. However, they seem to suffer the same destiny as others, causing little to no impact in the outside world.





## CONTRIBUTIONS &amp; PLANNING

## 4.1 Objectives

As previously discussed, the present work proposes the design of a new DSL embedded in Rust. The core goal of the DSL is to provide typestates without getting in the way of the developer. This means providing a syntax that stays close to Rust, only introducing new constructs when required. Errors should be helpful and point to the original DSL code (see [Listing 4.2](#)), avoiding scenarios like the “infamous” C++ template errors. Features should be well documented allowing anyone to get up and running quickly, along this idea, the language itself should be a simple dependency and avoid any complicated build process.

Finally, as discussed in [Section 1.4](#), the language should provide static guarantees. Typestate checking should account for usefulness and minimality. That is, respectively, if a state is reachable from the start state and if it is possible to reach the end state from it; and if the automata is minimal. Along with usefulness checks, the presence of start and final states are also checked, otherwise such check would not work.

$$Start \rightarrow A ; A \rightarrow End \quad (4.1)$$

$$Start \rightarrow End ; Start \rightarrow B \quad (4.2)$$

$$Start \rightarrow End ; B \rightarrow End \quad (4.3)$$

As an example, consider the previous equations as simple state machines. From the three, the last two would not compile as it is impossible to reach *End* from *B*, and it is impossible to reach *B* from *Start*, respectively.

## 4.2 Architecture

The DSL should provide a specification language, allowing the developer to describe a structure, its possible states and functions, which can be pure, impure (i.e. mutating some aspect of the structure without transitioning states) or transitions (i.e. making the transition between states). The specification is then transformed into the necessary Rust structures and traits. In the end, the developer should only be required to write the `impls` for each state.

### 4.2.1 Why function-like macros?

In short, function-like macros allow true DSLs in Rust. However, the answer is not that simple.

**Derive macros** seem to be a great candidate for our purpose. We can add them to an enumeration (just like [20]) and derive the necessary states from there. The main limitation of this approach is the lack of transparency — the derived methods are fixed by the macro and the developer does not have control over them.

**Attribute macros** would be an ideal candidate if we were able to tie multiple of them together. In other words, if it was possible to relate several macro calls with each other, they could work. This idea would be close to what Fugue [12] does. However, each attribute macro's scope is limited to the item it is attached to, furthermore there is no way to store state during macro expansion in Rust.

**Function-like macros** are the only candidate left, their capabilities enable an expressive DSL. In comparison to the *derive* approach, function-like macros provide more control and transparency to the developer. Allowing the developer to easily control states, transitions and others.

### 4.2.2 How does it work?

As stated, this approach provides a DSL. Such DSL is responsible for allowing the developer to write an expressive typestate specification. The DSL processing is done as follows (illustrated in Figure 4.1):

1. The DSL is first parsed during macro expansion.
2. The extracted structure is converted into a state-machine.
3. The state-machine is verified against our checks (see Section 4.2.5).
4. Extract all required `traits` and `structs` from the specification.
5. Expand the macro into valid Rust code.

After this process, all that is left to do is the implementation of the `traits`.

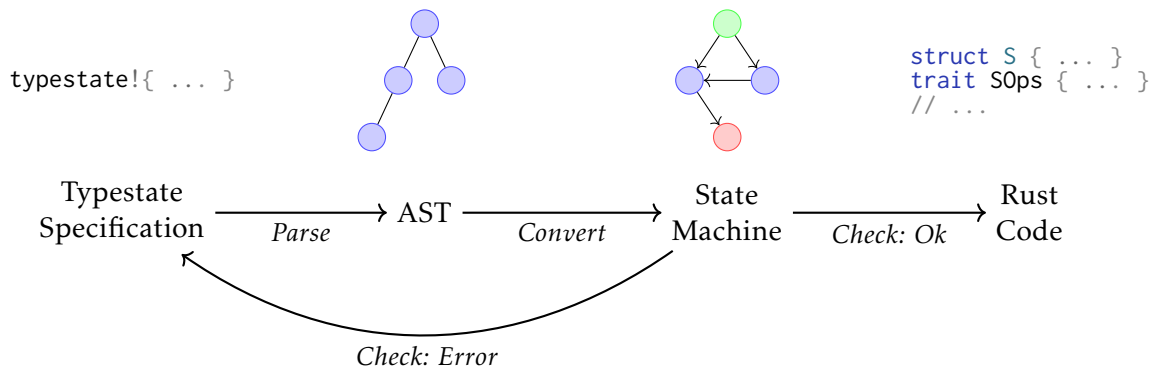


Figure 4.1 – From DSL specification to Rust code. First the DSL is parsed, then converted to a state machine and its properties checked (in the some property is not respected, an error is issued). Once the properties are validated, the Rust code is generated.

### 4.2.3 Syntax

The macro is invoked through a `typestate!` call, inside it, lives the DSL. I go through some important aspects, such as state and function declaration syntax. [Listing 4.1](#) is an example of the full syntax.

**The top-level declaration** names the typestated output structure (line 1 of [Listing 4.1](#)). It starts with a name, the structure identifier, and a pair of curly brackets containing the specification. While this syntax would allow for multiple declarations to be written, the macro call can become unnecessarily complex if several declarations are allowed inside.

**A state declaration** uses the `struct` keyword (lines 2-7 of [Listing 4.1](#)). The choice of `struct` over `state` is based on the following reasons:

- Keeping the syntax close to Rust by avoiding a new keyword.
- Each state boils down to a structure, hence it is a natural mapping made explicit.
- Since the code inside the DSL already implies typestates, each structure can easily be thought of as a state. This follows the previous point idea.

**A function declaration** shares the syntax with their Rust counterparts (lines 12-17 of [Listing 4.1](#)). They can be one of three possible categories:

- `pure` functions, which do not mutate state (e.g. line 12 of [Listing 4.1](#)). Their signature takes an immutable reference to `self` as an argument, disabling mutation.
- `impure` functions, which can mutate state but not transition between states. Their signature takes a mutable reference to `self` as an argument. This allows for mutation of the current state, but not transition.
- `transition` functions, which transition between states (lines 13-17 of [Listing 4.1](#)). Their signature takes ownership of `self`, forcing the consumption of the current state disabling possible aliasing.

```

1  typestate! { Drone {
2      struct Grounded { location: Coordinates }
3      struct Hovering { location: Coordinates }
4      struct Flying {
5          location:    Coordinates,
6          destination: Coordinates,
7      }
8      enum FlyResult {
9          Success(Hovering), // moved to destination
10         Error(Hovering),   // did not move
11     }
12     fn get_location(&self: Grounded) -> &Coordinates;
13     fn take_off(self: Grounded) -> Hovering;
14     fn fly_to(self: Hovering, dst: Coordinates) -> FlyResult;
15     fn land(self: Hovering) -> Grounded;
16     fn new() -> Grounded; // defines the start state
17     fn end(self: Grounded); // defines the final state
18 } }

```

Listing 4.1 – Example specification of the Drone typestate using the proposed DSL.

These keywords can be explicit, but they can also be inferred from the code. Along with the keyword distinction, the `self` parameter is now typed. This represents a change to original Rust’s syntax, although a required one. The alternative would be to specify the state parameter inside brackets, which in comparison with the typed-`self` approach is less natural.

**Initial and final states** are special cases as they are defined with both structures and functions. The syntax to declare initial and final states is presented in lines 16-17 of Listing 4.1. As the reader can observe, the syntax uses functions to declare with states are initial and final. Both can also be inferred using the following rules:

- **Initial states** are declared with functions that do not take `self` as a parameter and return a state. The `self` keyword is omitted since the state is yet to be built.
- **Final states** are declared as “consumers”, that is, they take `self` as a parameter and do not return a value. This syntax makes clear that the state becomes unavailable for further processing.

**Non-deterministic transitions** are useful to cover cases where the output is dependent on some external factors. Consider a process that can fail, the developer is required to model both the success and failure cases. To do so, the developer can declare an `enum`, containing possible outcomes. Such enumeration has one key difference from regular Rust enumerations, the fields must contain existing states only, that is, structures declared inside the same macro call (lines 9-11 and 14 of Listing 4.1). Enforcing these transitions can either be done by leveraging Rust’s enumerations and leaving the matching up to the user, or through determinization of the automata.

```

1  typestate! { Drone {
2      struct State;
3          ^^^^^ : error `State` is not a useful state
4  } }

```

Listing 4.2 – Example error issued by the DSL.

```

1  trait DroneState {}
2  struct Grounded { location: Coordinates }
3  impl DroneState for Grounded {}
4  struct Drone<State: DroneState> { state: State }
5  trait GroundedOps {
6      fn get_location(&self) -> &Coordinates;
7      fn take_off(self) -> Drone<Hovering>;
8  }

```

Listing 4.3 – Example generated Rust code for the Grounded state. Notice the DroneState trait, its purpose is to bound valid drone states. The trait should follow the sealed trait pattern, but it was simplified in this example.

```

1  impl GroundedOps for Drone<Grounded> {
2      fn take_off(self) -> Drone<Hovering> { /* ... */ }
3  }

```

Listing 4.4 – To make the drone usable, the developer must implement the generated traits. In this case, only the Grounded state is considered.

#### 4.2.4 State-Machine Conversion

The reader might have noticed that the specification syntax cleanly maps to a state machine. As discussed in [Section 4.2.3](#), each `struct` is a state and each function is either a transition or a function which does not change state. From the code, we can establish states as nodes and functions as edges, effectively converting the specification into automata.

#### 4.2.5 State-Machine Verification

After extraction the state-machine is subject to verification, this process is done using existing algorithms [28], to check the following properties:

- **Minimality.** The state machine should be minimal in the sense that there should be no redundancy in states and transitions.
- **Non-empty language.** Ensuring the presence of final states.
- **Usefulness.** As discussed, all states should be reachable from the start state and be able to reach the end state.

In this case, the user should get feedback over any infraction, explaining the reasoning behind the error or warning.

### 4.2.6 Developer Workflow

The final user workflow should be as follows:

1. The developer starts by writing the specification, as in [Listing 4.1](#).
2. When done, the developer compiles the code. In turn, the compiler will begin the process of expanding the macro. This process is illustrated in [Figure 4.1](#).
  - During expansion, if the state machine fails any of the verifications described in [Section 4.2.5](#), a compiler error is issued.
  - If no errors are reported, the process continues as normal and generates all required boilerplate, like in [Listing 4.3](#). This boilerplate does not appear for the user, hence it is required the generation process is as predictable as possible.
3. After generation, the user is now required to implement all functions, as in [Listing 4.4](#).

## 4.3 Previously Developed Work

Currently, I have developed a really simple proof-of-concept macro for Rust tpestates. The macro is based on declarative macros and has several limitations, its syntax is also distant from the current proposal. The macro takes a simple tpestate specification and expands into several traits and structures. This project can be found on GitHub [\[15\]](#).

### 4.3.1 Improvement Points

As it stands, the project has several possible improvement points to be addressed during the development phase. Such points are as follows:

- The macro’s syntax does not support functions. This implies that it does not support transitions.
- The fact that the macro is written using declarative macros makes the underlying code complex and barely readable. This is due to the fact that declarative macros are not suited for bigger scale macros.
- The macro does not verify state-machine properties, such as the previously enumerated, reachability and termination.
- The supported syntax adds new language constructs, such as the `limited` and `strict` keywords.
- The macro only supports “*phantom*” states, that is, states do not hold any data (the name comes from Rust’s `PhantomData`, which is used to implement these kind of states).

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