A-Index: Semantic-based Anomaly Index for Source Code


¹N. N. Krasovskii Institute of Mathematics and Mechanics, Ekaterinburg, Russian Federation
²Ural Federal University, Ekaterinburg, Russian Federation
³Huawei Russian Research Institute, Moscow, Russian Federation

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Abstract: The software development community has been using handcrafted code quality metrics for a long time. Despite their widespread use, these metrics have a number of known shortcomings. The metrics do not take into account project-specific coding conventions, the wisdom of the crowd, etc. To address these issues, we propose a novel semantic-based approach to calculating an anomaly index for the source code. This index called A-INDEX is the output of a model trained in unsupervised mode on a source code corpus. The larger the index value, the more atypical the code fragment is. To test A-INDEX we use it to find anomalous code fragments in Python repositories. We also apply the index for a variant of the source code defect prediction problem. Using BugsInPy and PyTraceBugs datasets, we investigate how A-INDEX changes when the bug is fixed. The experiments show that in 63% of cases, the index decreases when the bug is fixed. If one keeps only those code fragments for which the index changes significantly, then in 71% of cases the index decreases when the bug is fixed.

1 INTRODUCTION

Source code metrics are an important part of the software measurement process. Despite their widespread usage, work is still ongoing to develop new metrics (Sharma and Spinellis, 2020). As a rule, metrics are calculated, using source code, and can be used for code representation. In addition, metrics can be explicit (traditional or handcrafted) or implicit (Nuñez-Varela et al., 2017), (Afric et al., 2020, Appendix). Explicit metrics can be interpreted, but at the same time they have known drawbacks since they are invented by a human and implemented as an algorithm. Implicit metrics are usually poorly interpreted, but capable of capturing complex non-obvious patterns. In addition, implicit metrics are able to adapt to the data on which they were trained. One of such problems where implicit metrics can be more efficient than handcrafted is the problem of defect prediction (Akimova et al., 2021a). Defect prediction is one of the key challenges in software development. Any new advancements in the problem are welcome as they can lead to better code quality and software reliability. Usually, the defect prediction problem is posed as a classification problem with two classes: code with defects and code without defects (Allamanis et al., 2018). Since the class with defective code is small, there is a class imbalance problem (Alsalwalahq et al., 2017). One way to tackle the issue is to consider a defective code as a kind of anomalous one. The work (Ray et al., 2016) demonstrates that it is not only convenient, but also quite natural to consider a defective code anomalous. The authors find that code with bugs tends to be more entropic (i.e. unnatural), becoming less so as bugs are fixed.

In this work, we propose an unsupervised semantic-based approach to calculating A-INDEX — anomaly index for source code. The higher the index is, the more likely a code is atypical. We use the resulting anomaly index to find anomalous Python code and present some found code fragments. In addition, we use this index for one of the variants of the source code defect prediction problem. We show on bug-fix datasets BugsInPy (Widyasari et al., 2020), PyTraceBugs (Akimova et al., 2021b), that the anomaly index of the fragment often decreases when the bug is fixed.
fixed. In this paper we investigate the following research questions.
1. Can the anomaly index be used to detect suspicious (unusual and possibly defective) code?
2. Can the anomaly index be useful within one separate repository?
3. Is there a connection between the value of the anomaly index and the presence of a bug in the code?
4. Is the anomaly index related to known software metrics?

Our contribution:
• we present an unsupervised semantic-based approach to calculating the implicit anomaly index for the source code;
• we detect atypical code in Python code;
• we evaluate this index on the bug-fix datasets.

2 RELATED WORK

Anomaly detection is the identification of data that significantly different from most other data. Typically, abnormal data indicate a specific type of problem, such as banking fraud, structural defect, health problems.

With regard to software development, anomaly detection is used, for example, to detect vulnerabilities in programs (Feng et al., 2003). Anomaly detection for logs is used to diagnose deviations in the programs (Le and Zhang, 2021). One of the popular applications of the anomaly detection problem is defect prediction. Due to the imbalance of the classes, such an application seems natural.

The closest to our work is (Ray et al., 2016), where the authors investigate the hypothesis that unnatural in some sense code is suspicious. For this, a modified n-gram language model for Java source code is constructed, which estimates the conditional probability of the next token appearance. Thus, the approach makes it possible to find an unnatural (having a low probability) code from the point of view of the language model. Since the language model deals with syntax, code containing syntactic anomalies would be unnatural. In our approach, anomaly is estimated in the semantic contextual representation space for Python code. Instead of taking syntactic-level structure of code, the representation uses data flow in the pre-training stage, which is a semantic-level structure of code (Guo et al., 2021).

Here are some more examples of work related to the anomaly detection in the source code. In (Neela et al., 2017), the authors use explicit features and the Gaussian distribution to model nondefective code, and defective code is then predicted using the deviation from the model estimation. The possibility of using explicit features and the k-nearest neighbors algorithm for the anomaly detection in the source code is demonstrated in (Moshtari et al., 2020). In (Tong et al., 2018), the stacked denoising autoencoders (Vincent et al., 2010) are used to extract implicit representations from the traditional software metrics. A similar idea is implemented in (Sakurada and Yairi, 2014) and (Afric et al., 2020) where the autoencoder on the explicit features is used for within-project source code anomaly detection. In (Bryksin et al., 2020), two approaches to code vector representation are implemented: a feature vector consisting of 51 explicit code metrics and an implicit n-gram approach. Additionally, several anomaly detection techniques are tested: local outlier factor, isolation forest, and autoencoder neural network. The authors focus on two types of anomalies: syntax tree anomalies and compiler-induced anomalies in the Kotlin code. The found fragments of anomalous code are used by the developers of the Kotlin compiler for more efficient testing (Bryksin et al., 2020).

One more reason for using anomaly detection for defect prediction is the possibility of applying unsupervised learning (Allamanis et al., 2021). It is both time-consuming and labor-intensive to create a big labeled dataset, while modern machine learning approaches require a lot of data. And in many settings labeled data is much harder to come by than unlabeled data.

In the current work, we use GraphCodeBERT (Guo et al., 2021), because in addition to using the task of masked language modeling, it uses two structure-aware pre-training tasks. One is to predict code structure edges, and the other is to align representations between source code and code structure. Thus, such representation better takes into account the internal structure of the code.

3 PROPOSED APPROACH

The concept of anomaly depends decisively on the probabilistic space under consideration and on the source code corpus used. The choice of the corpus is determined by the problem to be solved. In this work, we use a set of different repositories as a corpus (see below for details). The general scheme of the approach is shown in Fig. 1. All steps are described in more detail below.

Before moving on to the details of our implemen-
Figure 1: A-INDEX overview: The source code of the programs is split into fragments. Each of the fragments is converted to a fixed-dimensional vector using a Transformer-based model. These vectors are the input to the variational autoencoder. The reconstruction error is the resulting value of the anomaly index.

In anomaly detection, let’s list the main steps we need to take:
1. Choose code corpus and level of granularity.
2. Transform code fragments into vectors from \( R^n \), where \( n \) is the fixed dimension of the representation space.
3. Train an anomaly model.

### 3.1 Code Corpus

We use an unlabeled source code corpus, which leads us to unsupervised methods. Our current work uses the Py150 corpus (Raychev et al., 2016), which consists of the Python programs, collected from the GitHub repositories by removing duplicate files, removing project forks (copy of another existing repository), and keeping only programs that have no more than 30,000 nodes in the abstract syntax tree. Furthermore, only repositories with the permissive and non-viral licenses such as MIT, BSD, and Apache are used. The dataset is split into two parts: 100,000 files used for training and 50,000 files used for evaluation. Also we use the Django repository for within-project anomaly detection. Django is one of the biggest a Python-based free and open-source web framework.

The anomaly index is calculated for a fragment of the source code. Therefore, each corpus file needs to be converted into a set of fragments. In this work, individual functions act as code fragments. (Additionally, we experimented with approaches where fragments are defined by a sliding window of a fixed size, but the results were worse.)

Before proceeding with the description of the code representation, it is necessary to make a note about the choice of the corpus. If the index is supposed to be used within the framework of one project, then this project or a part of it should be such a corpus. The main requirement for the choice of the corpus is its representativeness. The corpus should be large enough to accommodate various coding conventions, the wisdom of the crowd, etc.

### 3.2 Code Representation

The proposed approach uses GraphCodeBERT (Guo et al., 2021) representation for code fragments. It is a pre-trained model for a programming language that considers the inherent structure of code. GraphCodeBERT is semantic contextual multilingual representation based on the multi-layer bidirectional Transformer (Vaswani et al., 2017). The model follows BERT (Devlin et al., 2019) and RoBERTa (Liu et al., 2019). The resulting 768-dimensional vector represents a code fragment.

### 3.3 Anomaly Model

For anomaly detection the model uses variational autoencoder (VAE), for details see (Kingma and Welling, 2014). (Rezende et al., 2014). In the variational autoencoder, the loss function is composed of two parts: the L2-loss (reconstruction loss) and Kullback — Leibler divergence (latent loss, (Kingma and Welling, 2014, Appendix B)):

\[
\|X - f(z)\| + D_{KL}(\mathcal{N}(\mu(X), \Sigma(X)) \| \mathcal{N}(0, I))
\]

In this formula, we use the standard notation from (Kingma and Welling, 2014). The first term \(\|X - f(z)\|\) tends to make the encoding-decoding scheme as precise as possible. The second term \(D_{KL}(\mathcal{N}(\mu(X), \Sigma(X)) \| \mathcal{N}(0, I))\) tends to regularize the organization of the latent space by making the distributions returned by the encoder close to a standard normal distribution. Unlike other autoencoders that represent each value of the encoding with a single value, the variational autoencoder learns to represent it as latent distributions and can approximate by virtue of the Bayesian inference. This means that a variational autoencoder is more appropriate than a simple autoencoder for the extrapolation tasks. The parameters of our variational autoencoder were learned with respect to the Gaussian distribution. The hidden size of the autoencoder is a hyperparameter whose values belong to the set \(\{4, 8, 16, 32, 64, 128\}\).

To calculate A-INDEX, we use the reconstruction error term. The larger this error, the worse the code fragment matches the probabilistic model of the variational autoencoder. Let \(c\) be a code fragment, \(M\) — trained anomaly model and \(R\) — code representation model (GraphCodeBERT in our case). Then the anomaly index \(a_M\) for code fragment \(c\) is defined as follows:

\[
a_M(c) := \|R(c) - M(R(c))\|.
\]

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1. https://github.com/django/django
A-INDEX can be viewed as some kind of code quality metric. Unlike the standard metrics, the index is implicit and depends significantly on the corpus by which the underlying model is trained. The ability of the index to adapt to a specific repository expands the possibilities of its usage.

4 RESULTS

We carried out some experiments to study the properties of the index. Each experiment corresponds to a research question (hereinafter RQ).

**RQ1:** Can A-Index be used to detect suspicious code?

We train A-INDEX using Py150. The Py150 train/test split provides approximately 641,000 code fragments (individual functions) in training and approximately 314,000 code fragments in testing. Every fragment is represented by a 768-dimensional vector. The training was not required to obtain such a representation, since we were already using a model with pre-trained weights. However, the proposed approach leaves room to fine-tune the code representation model for downstream tasks. The training of VAE takes over 200 epochs using Adam with a learning rate of 0.001 and batch size of 128 as an optimization algorithm.

To answer RQ1, we apply the index to detect atypical code fragments in the test part of the Py150 corpus. Recall that the larger the reconstruction error, the more likely the code fragment is atypical. Thus, the analysis of code fragments with a high index value gives an answer to the question whether it is possible to find suspicious (unusual and possibly defective) code using the proposed approach or not. With thin analysis we found, that among the fragments that got a large A-INDEX value, there are many one-line functions that do not implement any logic, use bitwise operations, string variables, and non-standard constructs.

Due to the natural limitations on the size and number of fragments, we present here only a few examples of compact functions that have received a large index value. One-line examples:

```python
def Pop(): pass

def __UINT64_C(c): return c ## UL

def supportedExtensions():
    return ['.bmp', '.jpg', '.jpeg', '.png']

def GetRValue(rgb): return rgb & 0xff
```

def setPlayerInvItemNum(index, invSlot, itemNum):
    Player[index].char[TempPlayer[index].\charNum].inv[invSlot].num = itemNum

def tzname(self, dt):
    return self._name

Some examples of compact functions among the most anomalous:

```python
def setExposure(value):
    global exposure
    exposure = value

def isValid(self):
    try:
        self.__dictEntry()
        return True
    except:
        return False

def __init__(self,X,K):
    self.X=np.array(X)
    self.K=K
    self.labels=[]
    self.centroids=[]
    pass
```

Despite the fact that among the found functions there are quite normal ones, many functions with a large value of the anomaly index are not ideally implemented. The Pop() function does not implement the expected logic, the setExposure() function modifies the global variable exposure and requires careful handling.

Thus, using the index allows you to detect code fragments that, in our opinion, are suspicious. Timely detection of such code fragments, for example, during the review stage, can improve the quality of the code and the reliability of the program.

**RQ2:** Can A-Index be useful within one separate repository?

In the previous experiment the model is trained and applied to several repositories at once. To answer RQ2, we train the model on the Python files of the Django project repository. The trained model is applied to the test part of the same repository.

Since the listings of functions take up a lot of space, in this case we will only limit ourselves to the four functions that have received the highest value of the anomaly index:

```python
def duration_microseconds(delta):
    return (24 * 60 * 60 * delta.days +
    delta.seconds) * 1000000 +
    delta.microseconds
```

def setPlayerInvItemNum(index, invSlot, itemNum):
    Player[index].char[TempPlayer[index].\charNum].inv[invSlot].num = itemNum

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Let $t$ be a threshold, 

$$
P := \left\{ (c_{\text{bug}}, c_{\text{fix}}) \mid a_M(c_{\text{bug}}) - a_M(c_{\text{fix}}) \geq t \right\},
$$

$$
U := \left\{ (c_{\text{bug}}, c_{\text{fix}}) \mid |a_M(c_{\text{bug}}) - a_M(c_{\text{fix}})| < t \right\},
$$

$$
N := \left\{ (c_{\text{bug}}, c_{\text{fix}}) \mid a_M(c_{\text{bug}}) - a_M(c_{\text{fix}}) \leq -t \right\},
$$

and 

$$
p := \frac{|P|}{|P| + |U| + |N|} \cdot 100\%,
$$

$$
u := \frac{|U|}{|P| + |U| + |N|} \cdot 100\%,
$$

$$
n := \frac{|N|}{|P| + |U| + |N|} \cdot 100\%.
$$

In other words, $P$ is the set of those pairs from the dataset $D$ for which the anomaly index has decreased by at least $t$ when the bug was fixed. Similarly, $N$ is the set of those pairs for which the anomaly index has increased by at least $t$ when the bug was fixed. And $U$ is the set of those pairs for which the anomaly index has changed less than $t$. For example, if $t = 1$, then $p$ is the percentage of cases when the value of the anomaly index on the bug is greater than or on the corresponding fix, if we discard all pairs for which the difference in the value of the anomaly index does not exceed 1. The results for each dataset are given in Table 1 and Table 2. Thus, we see that when fixing the bug, the value of the index usually decreases.

The following snippet shows the example of a function with the large change in anomaly between the defective and correct code in the PyTraceBugs dataset.

```python
def audio_normalize(clip):
    max_volume = clip.max_volume()
    return volumex(clip, 1 / minindex)

def audio_normalize(clip):
    max_volume = clip.max_volume()
    if max_volume == 0:
        # Nothing to normalize.
        return clip.copy()
    else:
        return volumex(clip, 1 / max_volume)
```

The bug consists in the potential zero division. Adding the code and comment which addresses this issue significantly decreases the index of this fragment (from 120 to 78).

**RQ4:** Is A-Index related to known software metrics?
Table 1: Results of experiments with bug-fix pairs from the BugsInPy dataset with a VAE hidden layer size of 16.

<table>
<thead>
<tr>
<th>t</th>
<th>p, %</th>
<th>u, %</th>
<th>n, %</th>
<th>p', %</th>
<th>n', %</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>63.16</td>
<td>0.00</td>
<td>36.84</td>
<td>63.16</td>
<td>36.84</td>
</tr>
<tr>
<td>1</td>
<td>42.86</td>
<td>37.59</td>
<td>19.55</td>
<td>68.67</td>
<td>31.33</td>
</tr>
<tr>
<td>2</td>
<td>36.09</td>
<td>49.62</td>
<td>14.29</td>
<td>71.64</td>
<td>28.36</td>
</tr>
</tbody>
</table>

Table 2: Results of experiments with bug-fix pairs from the PyTraceBugs dataset with a VAE hidden layer size of 16.

<table>
<thead>
<tr>
<th>t</th>
<th>p, %</th>
<th>u, %</th>
<th>n, %</th>
<th>p', %</th>
<th>n', %</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>58.37</td>
<td>0.00</td>
<td>41.63</td>
<td>58.37</td>
<td>41.63</td>
</tr>
<tr>
<td>1</td>
<td>39.87</td>
<td>33.82</td>
<td>26.31</td>
<td>60.25</td>
<td>39.75</td>
</tr>
<tr>
<td>2</td>
<td>30.05</td>
<td>50.51</td>
<td>19.44</td>
<td>60.71</td>
<td>39.29</td>
</tr>
</tbody>
</table>

As A-INDEX represents a numeric estimate, computed on source code, one might ask if it is related to the known software metrics. Below, we answer this RQ in the affirmative by establishing links between A-INDEX and known source code metrics, computed on source code at the granularity of functions and methods. Specifically, we show that A-INDEX reflects certain aspects of complexity of source code snippets.

In Python, as in many other programming languages, there is a class of statements, which are responsible for program flow management. This class includes loops, conditional statements, handling of exceptions and many other similar statements. A source code snippet, incorporating many loops, conditionals or other control flow patterns, is in fact highly structured as it admits a variety of branches along which program flow can go. Highly structured source code is considered complex and generally requires higher cost to maintain. As a consequence, it is usually a good candidate for redesign.

It turns out that A-INDEX can reveal highly nested source code. To explore this, we create a synthetic dataset, which contains artificially generated snippets with varying nesting level of program flow blocks, specifically, nested loops, conditionals and try-except blocks. The scatterplot is given on Fig. 2, demonstrating the connection between nesting levels and A-INDEX.

Here, nesting level of 0 corresponds to absence of control flow blocks in source code. We see that A-INDEX grows as nesting level increases for nesting levels above 1.

High structural complexity of source code is measured by the well known source code metric called cyclomatic complexity. Roughly, it is proportional to the number of distinct branches in source code along which program flow can go. It not only accounts for common program flow blocks such as loops and conditionals, but also for list comprehensions, which might additionally include conditionals. The scatterplot on Fig. 3 emphasizes the connection between A-INDEX and cyclomatic complexity, computed on the synthetic dataset.

Another source code pattern that A-INDEX reflects is related to complexity of expressions in source code. Heavy expressions with many operands and operations are also considered complex and error-prone. Specifically, A-INDEX scores high values for snippets with complex expressions. To explore this, we again create a synthetic data set, which contains artificially generated snippets with varying numbers of operands in every single expression, whose count of source code lines is fixed. The graph on Fig. 4 shows A-INDEX rising when the number of expression operands increase.

Complexity of expressions in source code is measured by the well-known group of metrics, called Halstead metrics. The maximal number of distinct ex-
Figure 4: Number of expression operands and A-INDEX.

Figure 5: Total number of operands and A-INDEX. Orange points represent medians of A-INDEX over points at the vicinity of a specific value of total number of operands. Expression operands, arising in a single expression, is most correlated with the metric from this group called total number of operands and denoted by $h_2$. This metric not only accounts for expression operands but also other types of operands. The scatterplot on Fig. 5 below demonstrates links between A-INDEX and $h_2$ on the synthetic dataset.

Finally, we observe that, in general, none of the known source code metrics is significantly correlated with A-INDEX on real source code when snippets have counts of source code lines above some small value. To explore on this conjecture, we conducted experiments on Py150 dataset.

5 THREATS TO VALIDITY

5.1 Programming Language

Despite the fact that the proposed model is naturally generalized to other programming languages, we carried out experiments only for a single Python language.

5.2 Code Representation

In the model, we use the representation of the code using GraphCodeBERT model. This way of representing code has worked well for many tasks in software engineering (Guo et al., 2021). At the same time, if some important information about the code was lost at the stage of calculating embeddings, then later it will not be available and, therefore, will not be taken into account when detecting anomalies.

5.3 Code Granulation

In the current approach, code snippets correspond to individual functions. Additionally, we experimented with approaches where fragments are defined by a sliding window of a fixed size, but the results were worse. Despite the naturalness and prevalence of these approaches, it seems interesting to conduct experiments for other granulation levels.

6 CONCLUSION

We propose a novel semantic-based approach to calculating the code anomaly index. The larger the index value, the less typical the code fragment is. Unlike standard code quality metrics, this index is implicit and not handcrafted. Though it reflects some code complexity patterns such as code nesting and complexity of expressions, it does not reveal any close connection with known source code metrics on real codebases. In distinction to the metrics, it is able to take into account local coding conventions, the wisdom of the crowd, etc. The index is defined as the output of the anomaly model. The model is a combination of a Transformer and a variational autoencoder. It is trained in an unsupervised mode for Python, but the approach can be applied to other programming languages. Moving forward, we would like to explore other representations for code fragments. To evaluate the usefulness of the index, we used it to find anomalies in the code. In addition, we investigated the relationship between the values of the index and...
the presence of bugs in the code. Despite the fact that datasets with bugs were not used during training the index (zero-shot learning), experiments have shown that the value of the index usually decreases when the bug is fixed. Thus, the evaluation shows the potential of the index.

Computations were performed on the Uran supercomputer at the IMM UB RAS.

REFERENCES


