USING LLMS TO AUTOMATE STATIC-ANALYSIS ADJUDICATION AND RATIONALES

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Abstract

Software vulnerabilities are a serious concern for the Department of Defense (DoD). Software analysts use static analysis as a standard method to evaluate the source code, but the volume of findings is often too large to review in their entirety, causing the DoD to accept unknown risk. Large Language Models (LLMs) are a new technology that show promising initial results for automation of alert adjudication and rationales. This has the potential to enable more secure code, better measure risk, support mission effectiveness, and reduce DoD costs. This article discusses our model for using LLMs to handle static analysis output, initial tooling we developed and our experimental results, related work by others, and additional work needed. Beyond static-analysis alert adjudication, similar techniques can be used to create LLM-based tools for other code analysis tasks.

Motivation for Improving Static Analysis on DoD Software

The Authorization To Operate (ATO) process assesses risks that software may introduce [1]. During Test & Evaluation (T&E) and Independent Verification & Validation (IV&V), software analysts evaluate source code for security weaknesses to measure risk and enable code improvement in preparation of ATO and fielding. Static analysis (SA) is widely used and is one of the best techniques available: it is much more practical than full formal verification, and it can catch vulnerabilities that can evade dynamic analysis. But static analysis still requires significant manual effort and is inherently difficult, time-consuming, and expensive (See Section “Static Analysis vs. Dynamic Analysis” for more information about these methods). Manual effort is required for each SA alert to adjudicate whether it is a true or false positive, since SA tools sometimes produce false positives. There are many types of code flaws identified in taxonomies such as the Common Weakness Enumeration (CWE), and SA tools produce alerts for many types. Human analysts must be able to analyze each kind to be able to adjudicate the alert, which requires great expertise.

The most common strategy to adjudicate alerts given finite time and resources is to prioritize potential vulnerabilities by a combination of likelihood (with static-analysis tools usually pre-filtering out unlikely ones in their default configurations) and severity (e.g., Security Technical Implementation Guide (STIG) Category 1 [2]) and then manually review only the top alerts. However, even code weaknesses in lower-severity Application Security and Development (ASD) STIG categories can also cause costly mission failure. Many types of code flaws can lead to vulnerabilities that common attack patterns use; e.g., the
Common Attack Pattern Enumeration and Classification (CAPEC) [3] describes an attack pattern [4] that takes advantage of a lower-category weakness [5]. As another example, the Ariane flight V88 rocket explosion (which resulted in a loss of more than $370 million) was caused by code flaws that static analysis tools can detect (integer overflow and improper exception handling) [6][7] but that often aren’t put in STIG Category 1.

Latest LLMs as Breakthroughs for Automating Static Analysis Alert Adjudication

Large Language Models, such as GPT-4 (OpenAI’s latest Generative Pre-trained Transformer (GPT)) [8], present a significant breakthrough, for two major reasons:

1. They produce a detailed explanation to support their final answer, in contrast to older machine learning (ML) techniques [9] which involve statistical algorithms that can learn from data and generalize to unseen data. These older ML techniques lacked interpretability and often pivoted on irrelevant details that merely correlated with vulnerabilities in their training data. The generated explanation can be double-checked by both humans and the LLM itself.

2. They can generate and use function summaries, function preconditions, and other intermediate results to enable LLM-based tools to adjudicate alerts whose adjudication requires analyzing multiple functions spread across the codebase.

Chan et al. use LLMs to detect over 250 vulnerability types in code being edited. They deployed their model as a VSCode extension with ~100K daily users, with a 90% reduction in the rate of vulnerabilities in developer code [10]. Fan et al. developed an intelligent agent that responds to queries by processing code and interactions with LLMs, SA tools, code retrieval tools, and web search tools to check intentions of code segments and detect bugs [11]. LLMAO (LLM Fault Localization) [12] is an LLM-based approach for localizing program defects at line level, outputting bug probabilities for each line of code. It localized more bugs in the same set of benchmark codebases than the previous best deep-learning fault localizer, and it doesn’t require any additional training or test cases to handle unseen projects. It uses a bidirectional language model, allowing it to consider both preceding and following lines.

Two recent papers have attempted to quantify the benefits of applying LLMs to the problem of pruning false positives from static-analysis alerts [13][14]. Both have explored the benefits of designing a prompting algorithm, highlighting the importance of chain-of-thought, task decomposition, and progressive prompting strategies. One found that an LLM-enabled system demonstrated high precision and recall in a real-world scenario and even identified 13 previously unknown use-before-initialization (UBI) bugs in the Linux kernel [14]. While these studies provide useful templates for system design, they do not fully address the DoD’s challenges because they both focused on the relatively narrow application of UBI bugs in the Linux kernel as a single case study.

Sherman [16] found that LLMs often perform poorly when asked to find all security issues in a snippet of code. We have found that LLMs do much better when asked to adjudicate a specific type of issue on a specific line. Li et al [13] also found that GPT-4 works well for this task.

Our Initial Results Using LLMs for SA Alert Adjudications

We developed a model of how an LLM-based tool could be used for SA alert adjudications, shown in Figure 1. The LLM-based tool ingests source code and SA alerts, then creates a query (a “prompt”) to the
LLM for each alert. The LLM ideally outputs adjudicated true positives along with a trace, adjudicated false positives with a proof sketch, or it adjudicates as “uncertain.”

We developed partial automation to test this concept. A script inserts “// ALERT” to the code line that the SA alert identifies. The script creates an LLM prompt that includes the source code of the function that contains the alerted-about line, the type of code flaw to adjudicate (e.g., “integer overflow”), and additional data from the alert.

In this article, the GPT-4 links (meaning all the links that start with “https://chat.openai.com”) go to webpages that show tests that we conducted. They show the exact input that we provided to GPT-4. Each page also shows the full text of the responses from GPT-4, which often includes extensive step-by-step analysis of the code and the possible code flaw. We provide summaries and encourage those interested in additional detail to look at the full interactions shown at those links.

We note that GPT-4 is reliable at correctly following instructions to produce JSON (JavaScript Object Notation) output in a specified schema, making it relatively easy to write a script to parse the output from a GPT-4 API (application programming interface) call. In the rare case that it fails to produce output in the correct format, we simply try again until it produces output in the correct format.

**Strategies for Mitigating Context-Window Limits**

LLMs have a limited context window, which means that an LLM can usually ingest a single function but not an entire codebase. Sometimes, the LLM can make an adjudication based only on the function that contains the flagged line of code, but in other cases, additional context is needed. To overcome the context-window limit, we must summarize the relevant parts of the codebase enough so that the LLM can digest it.

Some strategies for this have been documented in the literature:

- Use traditional static analysis to produce required information, as in [17].
- Use the LLM itself to generate the function summaries, as in [14].

We have also tested a couple other strategies:

1. As part of the prompt, direct the LLM to ask for needed information. Our tool will then supply it to the LLM. Example: [https://chat.openai.com/share/b01b0394-55f2-49f7-8a11-bfda15362297](https://chat.openai.com/share/b01b0394-55f2-49f7-8a11-bfda15362297)

**Figure 2** and **Figure 3** show the start and end of the prompt, respectively.
2. Use the LLM to generate preconditions for avoiding a bad state in a function with an alert, and then use the LLM to check whether the callers of the function satisfy the preconditions.
   a. Example of creating a precondition: https://chat.openai.com/share/cfeabe6f-5757-4c25-be82-f9569f8c9df2
      In this example, GPT-4 analyzes a function named “greet_user” that takes a string as an argument. GPT-4 is asked to adjudicate an alert about a buffer overflow. In its response, GPT-4 correctly determines that the buffer overflow can happen only if the length of the input string is too long. It returns a precondition for avoiding the buffer overflow: [ "precond": "strlen(username) <= 52", ...]
   b. Example of using a precondition: https://chat.openai.com/share/bbbf7df7-4fba-43b1-8f46-f09c4bd290cb
      In this example, GPT-4 analyzes a function that calls the “greet_user” function analyzed above. GPT-4 is given the precondition that it previously computed, and it is asked whether this precondition is satisfied. It correctly determines that the precondition can be violated.

Figure 4 shows an example of the strategy of creating and using preconditions.
Example: GPT-4 Adjudicating an Alert in the Linux Kernel

This example demonstrates GPT-4 successfully adjudicating an alert for vulnerability CVE-2022-41674 [15], about an integer-overflow leading to a buffer overflow in the Linux kernel: https://chat.openai.com/share/4ce0cdae-47b7-4648-9462-9e0a381ccc37

First, our script adds comments identifying two code locations that the alert specifies.

Next, we submit a prompt to GPT, which has a few sections:

a. The first part of the prompt is the following text:
   I want you to adjudicate whether a static-analysis alert is correct or a false alarm. The alert warns of a buffer overflow during `memcpy` on the line ending with `// ALERT-2` that happens if there is an integer overflow on the line ending with `// ALERT-1`.

b. The middle part of the prompt consists of the source code of the alerted-about function.

c. The final part of the prompt is the following text:
   If you can determine whether the alert is correct or a false alarm, please indicate this determination and explain your reasoning, and at the end of your response, say either `{"answer": "true positive"}` or `{"answer": "false positive"}`. First identify whether integer overflow can happen. If it can't, then report the alert is a false positive. If it can happen, then examine whether it can lead to a buffer overflow.

Step-by-step, GPT-4 determines the following, concluding that the alert is a true positive:

1. An integer overflow can happen on the line `cpy_len = mbssid[1] + 2; // ALERT-1` if `mbssid[1]` is equal to 255, since cpy_len is an unsigned 8-bit integer.
2. GPT-4 analyzes the relation between the allocated size of the `new_ie` buffer (into which `pos` points) and the amount being copied into it. It determines that a large value of `mbssid[1]` should (and does) result in a small allocated buffer and should (but doesn’t) result in a small amount copied into the buffer. Due to the integer overflow, a large amount is actually copied into the small buffer, overflowing the buffer.

3. It then provides its final answer at the end of its response, in the format requested by the prompt:
   ```json
   "{"answer": "true positive"}".
   ```

We’ve summarized GPT’s determinations, but it’s important to note that GPT-4 more fully states the basis for its reasoning prior to the determination and that a human analyst can verify its reasoning.

If asked about the patched version, GPT-4 correctly identifies that the vulnerability is no longer present: https://chat.openai.com/share/7ee8e60b-1fed-4b67-b77b-7edd289fee90

Example: GPT-4 Double-Checking its Work

LLMs sometimes make mistakes. One way to mitigate is to run the LLM multiple times and check that the answers aren’t inconsistent except on a small threshold percent of runs. Another mitigation is to ask the LLM to double-check its own work. This is an example of GPT-4 double-checking its work:

- GPT-4 mistakenly claims that a program has a use-after-free bug, but it corrects itself when asked to double-check the reported trace: https://chat.openai.com/share/78200ee7-37e7-413d-8b2d-fd9051c28106

The first prompt provides the source code for the function and tells GPT-4 to:
   “Investigate whether there any use-after-free vulnerabilities in this C++ code, thinking step-by-step. Don’t worry about any other problems with code; focus exclusively on use-after-free bugs. If you find a use-after-free bug, provide a trace that demonstrates memory being used after being freed.”

GPT-4 responds by defining use-after-free vulnerabilities: “A use-after-free vulnerability occurs when a program continues to use a pointer after it has been freed.” Then, it inspects code for pointers and allocation and freeing of memory for the pointers it finds, and provides its analysis and then steps of a trace it thinks ends with a use-after-free, ending with this summary:
   “The vulnerability arises due to the fact that the ‘R’ command can potentially free memory that’s still being pointed to by entries in ‘sub_list’. To fix this, we should avoid using the reallocated memory from ‘getline()’ for items that have been copied to the ‘sub_list` or ensure we update any relevant pointers in ‘sub_list` when renaming in ‘full_list’.”

The next prompt is: “OK, now please double-check that the trace is correct, stepping thru the code in detail.”

GPT-4 responds with a detailed step-by-step walkthrough, then ends with: “Upon a detailed step-by-step walkthrough, the trace provided previously appears to be incorrect. The use-after-free scenario doesn’t occur because when an item from full_list is copied to sub_list using the ‘C’ command, a duplicate of the string is created with strdup(), ensuring that
sub_list entries are independent of any reallocations or frees that might occur with full_list entries. Therefore, there is no use-after-free vulnerability with the described trace in the provided code.

- Deleting the strdup call from the above example introduces a real use-after-free bug, and GPT-4 correctly identifies this use-after-free bug and correctly reports that it is a real bug when asked to double-check the reported trace in detail: https://chat.openai.com/share/36b75aaa-d52a-480c-8694-f8f62e64fdcc
  GPT-4's detailed double-check ends with, “After a detailed step-through, the trace does hold. The use-after-free vulnerability indeed exists, and the trace correctly demonstrates it.”

Example: GPT-4 Finding and Proving Loop Invariants

GPT-4 has some ability to find and prove loop invariants. Example:

- Example: https://chat.openai.com/share/88c782ff-c7b7-4d4c-8cb1-988df4a3f1a8

The full initial prompt is shown in Figure 5, including source code for the function. GPT-4 steps through the code, finds the loop invariant (“0 <= low <= high < n”), and then sketches a proof of the loop invariant. A second prompt, “Please analyze the Maintenance step in more detail,” elicits additional detail from GPT-4 which supports its previous adjudication. That GPT-4 response ends with, “In both scenarios, whether we're updating low or high, we can see that our loop invariant 0 <= low <= high < n is maintained. Thus, during any given iteration of the loop, the index mid always falls within the safe range [0, n-1], ensuring there is no buffer overflow.”

```
bool binary_search(int arr[], int n, int x) {
    int low = 0;
    int high = n - 1;

    while (low <= high) {
        int mid = low + (high - low) / 2;
        if (arr[mid] == x) {
            return true;
        }
        if (arr[mid] < x) {
            low = mid + 1;
        } else {
            high = mid - 1;
        }
    }
    return false;
}
```

Figure 5. Prompt for No-Buffer-Overflow Proof.
LLM SA Alert Adjudication Can Also Be Used for Automated Code Repair and Shifting Security Left

LLM Adjudications can be Combined with Automated Code Repair
SA alert adjudication by LLMs can be used in combination with automated repair technology (either LLM-based or using an algorithmic approach [20][19]). This combination can be used to greatly speed up the process of hardening a system against cyberattacks.

Shifting Security Left
The need for improved static analysis effectiveness also applies to DevSecOps [21], which is a set of practices that combines code development and IT operations (DevOps) with security integrated throughout.

A continuous authorization to operate (cATO) formalizes and monitors specific technologies to reduce risk [23][24]. Such evaluation is done as part of ongoing DevSecOps, if there is a cATO. Integrated developer environments (IDEs) can do static analysis for some flaws while developers are coding [25], plus static analysis can be run as part of continuous integration testing.

Static Analysis vs. Dynamic Analysis

**Dynamic analysis** executes the code, running it in particular test environments with a set of test inputs. Two examples: Fuzz testing automatically injects inputs to try to reveal defects, monitoring for negative effects such as crashes and memory leaks, with black-box, grey-box, and white-box categories of fuzzers having different knowledge about the software [26]. Dynamic taint analysis inspects data sources and sinks during execution to identify data flows that should not happen, such as leaking sensitive data to a remote web address [27].

**Static analysis** analyzes code without executing it, using techniques that often include automated parsing of the code into a grammar and abstract syntax tree; creating a control flow graph; and analyzing data flow, control flow, and/or type flow to inspect for code flaws that could lead to security or functional problems [28][29].

**Formal verification** is a mathematical approach to check whether a software system meets formal specifications. Formal verification is a type of a static analysis, although the term “static analysis” usually connotes a less rigorous type of static analysis. There are several techniques used in formal verification, including model checking, theorem proving, abstract interpretation, and equivalence checking. Formal verification has been successfully used on small software systems (e.g., the seL4 microkernel), but it often is impractical for large software systems.

Previous Work with AI/ML for Static Analysis

To date, there has been a significant amount of research on using machine learning to aid in efficiently identifying source code flaws [30][31][32][33]. Researchers trained the ML using manually-adjudicated alerts (“labeled data”) and features such as code cohesiveness metrics, lines of code per function and file, developer ID, and recency-of-code edits around that code location. Some work found that aggregating alerts from multiple SA tools for the same code location improved classifier precision [34], and other work developed a lexicon and adjudication rules to enable consistent adjudications to improve classifier training data [35]. Classifiers trained on labeled data from the same codebase generally perform better than those trained on data from different codebases (latter is called “cross-project
prediction”), but techniques have been developed that improve cross-project prediction [36]. The high cost and time required for experts to manually adjudicate and create enough labeled data can be a barrier to creation of accurate static analysis classifiers. Flynn et al. made novel use of test suites [37][38] to create large datasets of labeled (true/false) SA alerts (augmenting ~7500 manually-adjudicated alerts on natural code). This resulted in high-precision ML classifiers for a larger set of CWE types than the natural dataset alone [39][40] and created a framework for use with multiple SA tools, ML classification, adaptive heuristics, labeled datasets, and test suites [41][42]. Gallagher et al. also used ML for finding code flaws but did that using LLVM intermediate representation instead of source [43] (LLVM is a set of compiler and toolchain technologies [44]). Flynn and Gallagher both found that artificial code and flaw injection can cause classifiers to use features not helpful with natural code.

As part of modern continuous integration (CI) code development, automatically cascading adjudications (manual adjudications true or false for alerts) to SA alerts for a later version of the codebase is important, but there are tradeoffs between fast ‘diff’-based cascading methods and higher-precision methods that may be too slow for practical CI use [45]. Classifier accuracy depends on the quality of the labeled data the classifier is created with, so incorrectly cascaded alert adjudications can be expected to produce lower accuracy in the resulting classifier [46].

LLMs for Education on Alert Adjudication, Coding Standards, and Flaw Taxonomies

Another potential benefit of using LLMs for static analysis adjudication involves education. Static analysis alert adjudication skills require understanding the coding standard for the programming language, understanding the code flaw taxonomy (such as CWE or CERT Coding Rules [47]), being able to grasp what is happening in the code, and understanding the static analysis tool’s alert messages and checkers. A human analyst can try to follow the LLM’s rationale, validating its claims by checking the code, language standard, and taxonomy item. Regardless of correctness of the LLM’s rationale, the person can learn by following the reasoning and inspecting the source documents (code, standard, and taxonomy). A developer using an LLM to adjudicate SA alerts on their own code might learn to avoid inserting flawed code constructs, understanding why and how by following the LLM’s rationale for a true positive adjudication. Early-stage research found that novice and expert programmers had significantly different needs for guidance, personalization, and integration of an LLM (e.g., with less confidence in their own capabilities, a novice may place too much trust in the LLM’s output, while expert programmers reported more learning through use of LLMs). The research subjects lacked diversity (most highly educated and male), so further research is needed to determine how generalizable those findings are [48].

Future Directions

The 2024 Cyber Developmental Test and Evaluation policy and guidance specifies a responsibility to “Identify, assess, and document potential weaknesses that could affect technical, functional, and operational performance” [49]. Use of LLMs to support efficient and correct static analysis adjudication shows potential to improve performance on that mission-impacting responsibility.

Further work is needed to validate and widen the impact of previous results discussed in this article, by applying the methods to a wide range of DoD codebases and more types of code flaws and static analysis tools.
Looking to the future, LLMs may greatly help to enable formal verification of software, an area that has long been impractical for large codebases due to the amount of manual effort involved. Wu et al [50] report success in using LLMs for generating formal proofs on a benchmark of formal-verification problems [51], beating state-of-the-art formal-verification tools on a number of hard cases. Generating and proving loop invariants and function pre-/post-conditions is often a crucial and challenging part of formal verification, and as evidenced by our initial experimental results, LLMs show promise for helping with this task.

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