

# TestifAI: A Comprehensive Testing Framework For Safe AI



*By*

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# ABSTRACT

Deep neural networks (DNNs) models are critical in high-stake domains such as autonomous driving, medical diagnostics, and security systems, where their deployment in real-world scenarios requires rigorous robustness testing due to diverse environmental conditions. Traditional metrics like neuron coverage, while essential, do not fully capture all corner cases, which can lead to unexpected model failures. To address this gap, this research introduces a comprehensive testing framework that enhances the correctness evaluation of models through a structured five-stage process. The first stage is specification, defines essential system properties to guide the entire testing process and ensure comprehensive coverage. The second sampling stage, gathering relevant samples for exhaustive model testing. In the test case generation stage, the defined properties are applied to create targeted test scenarios. The testing and probabilistic graph stage validates the effectiveness of these test cases and conducts robustness assessments both locally (within individual category) and globally (across multiple scenarios), employing a Problog for detailed probabilistic and quantitative analysis of performance. The final stage is error summarisation, compiles and analyzes recorded errors to generate actionable graphical error reports and recommendations, thus guiding the refinement of models. This framework not only fills existing gaps in DNNs testing but also supports the development of models that are correct across varied environmental conditions.

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## How to read this document

This thesis uses terms such AI system, deep learning models, model, system or DNNs, interchangeably in this document. Terms related to classes in dataset (supervised learning case) such as component or class, are also used interchangeably.

### Important reading notes:

Terms that are used but not defined/explained in the text are listed and defined in the **Appendix A**. They are displayed in SMALL CAPS in the text. Clicking on a word shown in SMALL CAPS (e.g., LOCAL COVERAGE) takes the reader directly to the definition of that term in the Glossary. From there, one may click on the page number shown at the end of the definition to return.

# Chapter 1

## Introduction

### 1.1 Background and Motivation

Deep Neural Networks (DNNs) are increasingly being used in diverse applications due to their ability to match or exceed human-level performance. With the broader deployment of DNNs in various safety-critical systems like autonomous vehicles, healthcare, and avionics, concerns over their safety and trustworthiness have been raised [1]. The availability of large datasets, fast computing methods, and their high performance has enabled the use of DNNs in safety-critical applications [2]. The critical nature of such applications makes it essential to thoroughly evaluate these DNNs before deployment to guarantee their reliability and safety.

In recent years, there has been significant amount of publications focused on tackling this concern. Figure. 1.1 visualizes the significant growth in the number of published

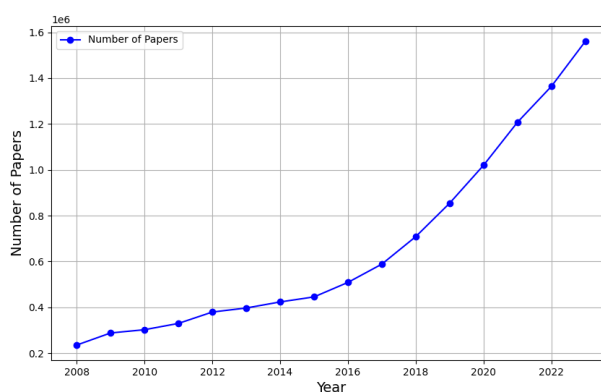


FIGURE 1.1: Number of Published Papers on DNN Safety

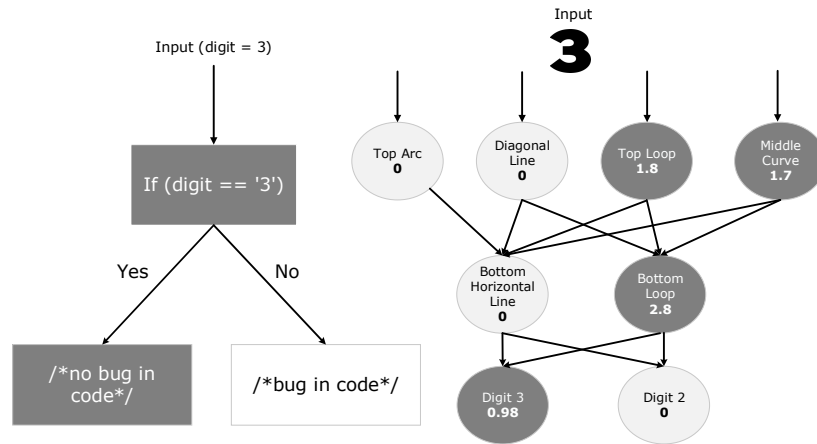


FIGURE 1.2: Comparison between program flows of a traditional program (left) and a neural network (right). The nodes in gray denote the corresponding basic blocks or neurons that participated while processing an input.

papers related to DNNs safety from 2008 to 2023<sup>1</sup>.

An important requirement for DNNs is that they are robust against input perturbations [3]. DNNs have shown a lack of robustness due to their vulnerability to adversarial examples, where even minor modifications to an input, sometimes imperceptible to humans, can destabilize the neural network [4, 5]. Unlike traditional software, DNNs do not have a clear control-flow structure. They learn their decision policy through training on large datasets, adjusting parameters gradually using various methods to achieve the desired accuracy. Figure. 1.2 illustrates the flow of traditional software compared to neural network. Consequently, traditional software testing methods like functional coverage and branch coverage cannot be applied to DNNs, thus challenging their use in safety-critical applications. This is because DNNs lack explicit paths and branches that can be directly tested; their behavior emerges from complex interactions within their learned parameters, making it difficult to apply traditional coverage metrics that rely on predefined control flows [6].

In the past, researchers have extensively discussed both verification and testing techniques, which are useful for evaluating the DNNs. Verification involves proving the property (e.g. adversarial examples (noise, rotation, brightness, etc.)) of a system through mathematical proof. This approach ensures that certain property is met by the system based on a formal analysis. However, DNN verification techniques are promising, they suffer from a scalability problem, due to the high computational complexity and

<sup>1</sup>The data is gathered using a comprehensive set of relevant keywords. The keywords used for data extraction include: 'deep neural network safety,' 'DNN verification,' 'DNN testing,' 'deep learning robustness,' 'neural network adversarial attacks,' 'DNN defense mechanisms,' 'DNN interpretability,' 'deep learning certification,' 'neural network validation,' and 'machine learning security.'

the large size of DNNs. Up to now, DNN verification techniques either work with small scale DNNs or with approximate methods with convergence guarantees on the bounds [3]. This limitation impacts the ability to achieve high coverage, which means to cover all input scenarios and conditions to ensure that all potential issues are identified.

On the other hand, testing focuses on identifying defects (i.e., counter example to a property) or provide assurance cases [7], by evaluating the behavior of system through empirical methods. As a result, they can achieve high coverage, which suggests that more of a DNN's behavior has been tested and therefore the DNN has a lower chance of containing undetected bugs [3]. While these coverage metrics are useful, they often fall short in providing **COMPREHENSIVE** evaluations. This is because they primarily focus on the internal structure of the deep models, such as neuron activation patterns, rather than evaluating the DNNs behavior on a diverse set of inputs. This internal focus can miss identifying specific inputs that cause failures or unexpected behavior.

#### 10<sup>th</sup> Month Report Goal

The primary aim of my work in the first year is to review existing testing methods for assessing the robustness of DNNs, identify opportunities for improvement, and highlight the need for a fast, scalable, and generalizable end-to-end testing method. This report also aims to outline key research questions and objectives based on these findings and present initial contributions to the field.

## 1.2 Research Goal

The primary goal of this research is to enhance the robustness of DNNs used in safety-critical systems by designing and implementing a comprehensive testing framework. This framework will formalize specifications related to model architecture, environmental properties and input data characteristics, including the type of data (e.g., images, text), size (e.g., number of samples), size for each class, and the number of classes involved.

The framework will adapt these specifications based on the **type of testing** being conducted. In **white-box testing**, full access to the model's internal details (e.g., number of neurons, layers, weights, and types of architectures like CNN, ResNet) is utilized to create precise adversarial examples using methods like FGSM. In **grey-box testing**, partial access allows the use of input-output pairs and basic model structures (e.g., general architecture without detailed parameters) to train surrogate models that approximate the target model's behavior, enabling the generation of effective test cases without need full internal details. In **black-box testing**, the framework relies

on input-output behavior and environmental properties (e.g., expected input ranges, conditions like rain, dust, brightness, and noise) to iteratively probe and test the model's robustness without internal access. Defining these properties is crucial as it specifies the expected conditions the model should handle.

User requirements, such as specific modules to test and critical scenarios, as well as evaluation metrics (e.g., accuracy, precision, recall), will also be incorporated. If no specific requirements are provided, default parameters will ensure thorough assessment. However, it can also be customized for specific cases or multiple cases based on user specifications. For instance, a user might require the framework to focus on a particular class or scenario that is critical. This flexible and detailed approach aims to provide a robust method for testing DNNs in safety-critical environments.

To accurately identify weaknesses and areas for improvement, the framework will calculate both local coverage and global coverage using probabilistic programming language that allows you to define bayesian probability models and solve them automatically. This approach allows for a detailed analysis of the model's behavior under different conditions, providing insights into how the model performs in specific scenarios and overall. By examining local-level coverage, the framework can detect vulnerabilities that may arise in specific parts of the model or under particular conditions. Global-level coverage assessment, on the other hand, evaluates the model's overall stability across a wide range of scenarios. Together, these analyses help pinpoint specific vulnerabilities and highlight areas where the model can be improved, ultimately leading to more robust systems.

Additionally, the framework will generate a comprehensive error summary, providing insights into the types and frequencies of errors encountered. This summary will highlight critical failure points and suggest targeted improvements, enabling developers to enhance the system robustness. Through continuous evaluation and iterative refinement, the framework aims to significantly enhance the safety and dependability of DNN models across different operational levels. This ongoing process ensures that the models remain robust and effective in a wide variety of real-world applications, ultimately contributing to their reliability in safety-critical systems.

### Thesis Goal

An end-to-end automated framework that thoroughly integrates data, test cases, and test coverage according to given specifications and provides a detailed error summary.

## 1.3 Research Questions and Objectives

This section outlines the research questions and their corresponding objectives.

1. **How can we design a comprehensive framework to test system robustness?** Create a framework that test the DNN under a variety of conditions, ensuring it meets performance standards even in edge cases and adverse scenarios (Obj1).
2. **How can we clearly define and specify the properties of the system?** Formalize specifications by developing templates and a specification language that enable users to clearly define and specify the properties of the system and its associated data for testing purposes (Obj2).
3. **How can we sample inputs efficiently?** Develop a sampling approach that effectively identifies and prioritizes corner cases. It can be used to guide best selection of inputs for test case generation (Obj3).
4. **Can interpretability analysis aid in effective test case generation?** Implement interpretability analysis to identify and prioritize key influential features in the DNN testing process, exploring the use of high influential features for effective test case generation (Obj4).
5. **How can we generate highly effective test cases that ensure complete coverage?** Generate highly effective test cases by first developing a sampling approach to collect efficient samples, and then using these samples to identify critical pixels. The identified critical pixels will form the basis for creating test cases that ensure complete coverage and thoroughly assess model vulnerabilities (Obj5).
6. **How can we ensure comprehensive test coverage for deep learning models?** Integrate advanced probabilistic methods to evaluate both [LOCAL COVERAGE](#) and [GLOBAL COVERAGE](#) (Obj6).
7. **How can error summarization be employed to quantify the impacts on model robustness?** Develop method for error summarization that analyze the results of DNNs testing to identify weaknesses. This method will help quantify the impacts of errors on model robustness and provide insights into areas requiring improvement (Obj7).

## 1.4 Contribution of this Report

This research makes the following key contributions to the field of deep learning correctness evaluation:

- An *end-to-end pipeline* is designed for evaluating the robustness of the system Chapter 3.
- A *hybrid sampling* technique is proposed to identify and prioritize the corner cases Chapter 3.
- A *conceptual framework* is proposed that quantifies both local and global robustness. This framework uses Problog, a probabilistic logic programming language, to verify system global robustness Chapter 3.
- An *interpretability-driven test case generation* approach is employed to pinpoint critical input features, which are then used to create test cases with a higher probability of inducing mispredictions, thus effectively evaluating and enhancing model robustness Chapter 3.
- All *experiments* are conducted using publicly available datasets, including DAWN, CIFAR, and MNIST Chapter 3.

**Note:** The contributions of this report do not include methods for defining system properties and error summarization technique. Additionally, adversarial examples used in the experiments are taken from existing literature.

## 1.5 Organization of the Thesis

The remainder of the thesis is organized as follows: related studies are presented in Chapter 2. The system model and proposed methodology are demonstrated in Chapter 3. Chapter 4 describes the simulation results of our proposed schemes. Finally, the the next two year Phd plan is presented in Chapter 5.

# Chapter 2

## Literature Review

To develop a comprehensive testing framework for DNNs, it is crucial to explore various domains that collectively contribute to this goal. This literature review aims to discuss the foundational concepts of DNNs and AI systems, followed by an examination of the robustness of DNNs. Subsequently, the literature will be categorized into seven themes: DNN testing framework, Specification, Sampling, Interpretability, Testcase Generation, Coverage Criteria and Error Summarization, each playing a vital role in the framework.

### 2.1 Deep Neural Networks and AI Systems

DNNs mimic the structure of the human brain, consisting of millions of interconnected neurons. They extract high-level features from raw input using labeled training data without human interference.

Formally, a DNN is a function  $f: \mathbb{R}^{s_0} \mapsto \mathbb{R}^{s_k}$  that takes as input a vector of size  $s_0$  and produces a vector of size  $s_k$ . The function  $f$  is computed by composing  $k$  layers  $L_1: \mathbb{R}^{s_0} \mapsto \mathbb{R}^{s_1}, \dots, L_k: \mathbb{R}^{s_{k-1}} \mapsto \mathbb{R}^{s_k}$  as  $f(x) = L_k(\dots L_2(L_1(x)) \dots)$ .

Each layer  $L_i$  typically implements a non-linear function. For instance, a *fully-connected* layer linearly transforms its input  $x_{i-1}$  as  $Wx_{i-1} + b$ , where  $W \in \mathbb{R}^{s_i \times s_{i-1}}$  is the matrix of weights and  $b \in \mathbb{R}^{s_i}$  is the bias vector. Then, it applies a non-linear activation function (e.g., sigmoid or rectified linear unit (ReLU)) component-wise, generating the output vector  $x_i$ . The weights specify how its input neurons are connected to its output neurons and are known as *DNN parameters*. For more information about DNNs, we refer the reader to [8, 9, 10].



The objective of DNN training is to learn parameters during training to make accurate predictions on unseen data during real-world deployment.

When the prediction task is classification, then  $s_k$  represents the number of classes. Assuming that  $f(x) = (y_1, \dots, y_{s_k})$ , the *classification result* is  $\arg\max_{i=1}^{s_k} y_i$ , which is the index of the component with the highest probability  $y_i$ . By abuse of notation, sometimes we write  $f(x) = c$  to denote the fact that  $x$  was classified as  $c$ . We also write  $f(x)_c$  to refer to  $y_c$  which represents the probability of  $x$  being in class  $c$ .

By an *AI system*, we refer to any software system capable of performing complex tasks through the use of data, algorithms, and high computational power, which typically require human intelligence. These tasks include problem-solving, reasoning, decision-making, and natural language understanding.

Deep learning is a subset of AI that utilizes DNNs for complex pattern recognition. Some AI systems are solely based on DNN components, whereas *hybrid* AI systems combine DNNs with traditional software to produce the final output.

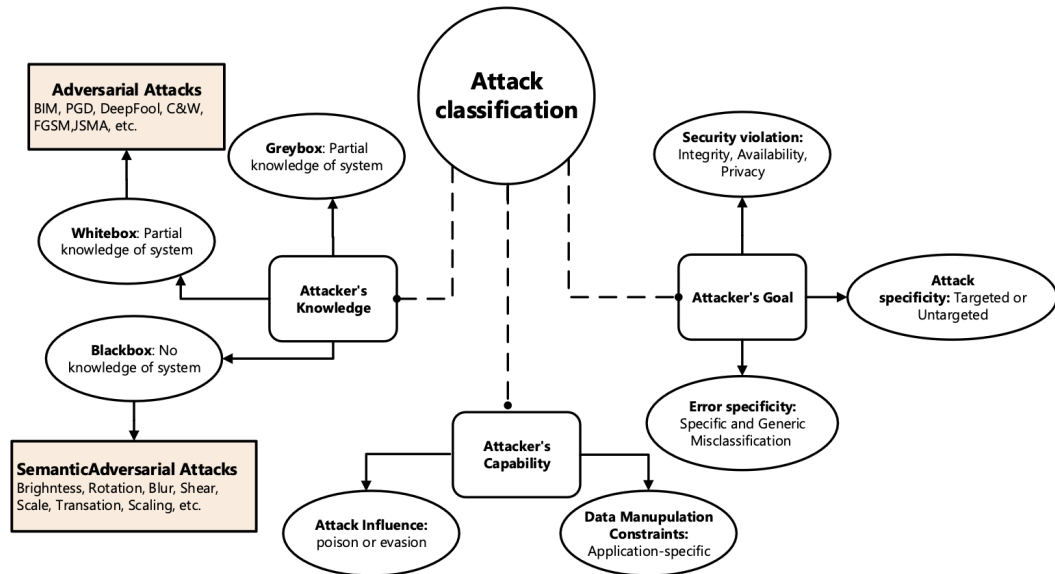


FIGURE 2.1: Attack classification

## 2.2 Robustness of Deep Neural Networks

DNNs are known for their lack of robustness, which makes them vulnerable to adversarial attacks. Researchers have developed various attack techniques to expose these vulnerabilities by creating adversarial examples, which highlight the weaknesses of a DNN without providing a formal proof of robustness [3]. Fig. 2.1 illustrates

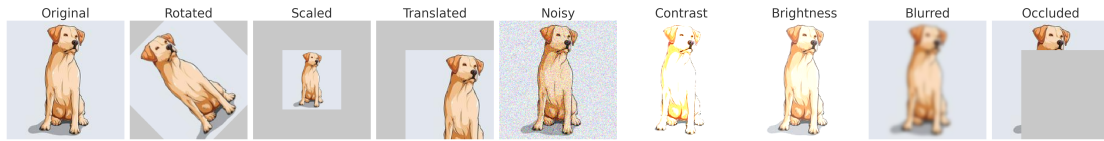


FIGURE 2.2: Semantic Adversarial Examples

the different types of adversarial threats, emphasizing the complexity and variety of these attacks. Adversarial threats to DNNs can be understood through three main components: attacker's knowledge, attacker's goals, and attacker's capabilities [11]. Attackers can have different levels of knowledge: white-box attacks have full knowledge of the DNN's architecture and parameters, gray-box attacks have partial knowledge, and black-box attacks have no knowledge and rely on input-output queries. The attackers' goals might include compromising the system's integrity, availability, or privacy, with attacks being either targeted (misclassifying specific inputs) or untargeted (causing general misclassification). Attackers can influence the model by poison attack [12, 13] during training or evasion attack [14] during testing, and these manipulations are often constrained by application-specific data alteration limits.[15].

In the context of attacker's knowledge, different techniques are employed to create *adversarial examples*. White-box attacks, such as Fast Gradient Sign Method (FGSM) [16], Basic Iterative Method (BIM) [17], Carlini and Wagner (C&W) Attack [5], DeepFool [19], and Jacobian-based Saliency Map Attack (JSMA) [20]. These techniques specifically manipulate input data to create slight perturbations that maximize the network prediction error, causing the DNN to make incorrect predictions [21].

Conversely, black-box attacks often involve *semantic adversarial examples* [3, 23, 24, 25], which are not limited to slight modifications of the image. These attacks can involve any transformation that preserves the semantics of the image, such as changes in brightness, contrast, shear, translation, scale, and rotations. These modifications, illustrated in Fig. 2.2, can significantly affect the DNN's performance.

**Note:** Currently, I have explored both black-box and white-box techniques to understand the differences between these adversarial examples. Further exploration is needed for grey-box techniques.

## 2.3 Research Themes

In developing a comprehensive testing framework, it is essential to explore various domains that collectively contribute to this goal. The literature review is categorized into seven themes, each playing a vital role in the framework. Some modules, such as

sampling techniques and interpretability analysis, are established in existing literature but are being explored for new purposes. For example, sampling techniques are traditionally used to balance data for better classification accuracy, but I am investigating their use in identifying corner cases. Interpretability analysis is often applied to detect adversarial examples, but I am focusing on extracting influential pixels to create more effective test cases. Other areas, like specification, error summarization, are less covered in literature and will be developed further. Figure 2.3 illustrates these interconnected modules, emphasizing the comprehensive approach necessary for ensuring the robustness of DNNs in safety-critical applications.

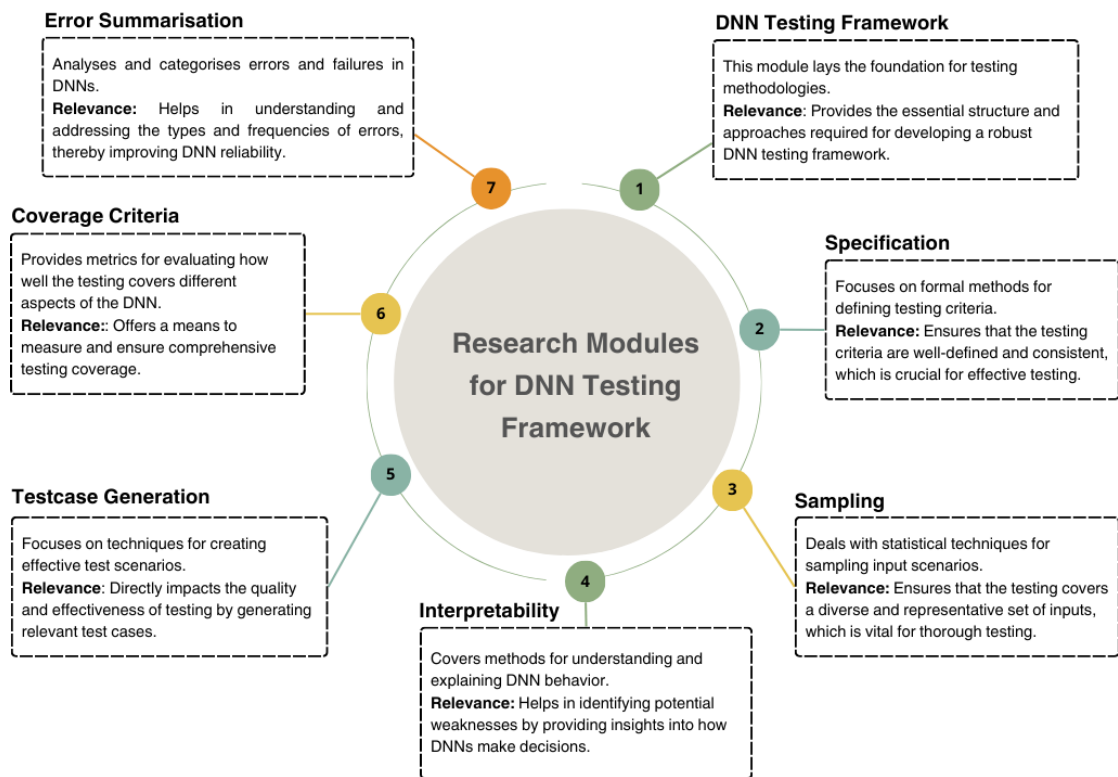


FIGURE 2.3: Thematic Wheel Diagram of Research Modules for DNN Testing Framework

### **2.3.1 DNN Testing Framework**

### **2.3.2 Specification**

### **2.3.3 Sampling**

### **2.3.4 Interpretability**

### **2.3.5 Testcase Generation**

### **2.3.6 Coverage Criteria**

### **2.3.7 Error Summarization**

## **2.4 Sampling Techniques**

Sampling is a crucial step in the testing of DNNs, as it involves selecting a representative subset of inputs from a potentially vast input space. Various sampling techniques are employed to ensure comprehensive testing. Random sampling, which involves randomly selecting inputs, is simple to implement and provides broad coverage, but it might miss critical edge cases [26]. Stratified sampling, which divides the input space into strata and samples from each, ensures representation of all strata but requires prior knowledge of the strata [27]. Random over-sampling balances class distribution by duplicating examples in the minority class, though it can lead to overfitting [28]. SMOTE (Synthetic Minority Over-sampling Technique) generates synthetic examples in the minority class to reduce overfitting compared to random over-sampling, but it can introduce noise [28]. ADASYN (Adaptive Synthetic Sampling Approach for Imbalanced Learning) adjusts the number of synthetic samples generated for each minority class example according to its difficulty level, thereby focusing more on difficult-to-learn examples and enhancing model performance on challenging cases [29]. NearMiss focuses on selecting examples close to the decision boundary, emphasizing difficult examples, but may discard useful information [30]. Borderline-SMOTE generates synthetic examples near the class borders, targeting challenging areas, though it may still introduce noise [31]. Adaptive sampling dynamically adjusts the strategy based on intermediate results, efficiently focusing on areas with higher uncertainty or potential errors, but it is complex to implement [32]. These techniques enhance the robustness of DNN testing by ensuring diverse and representative input coverage, each with specific advantages and limitations that need to be considered in the context of the testing objectives.

Currently, I am employing a hybrid sampling approach that combines Borderline-SMOTE and ADASYN. Borderline-SMOTE generates synthetic examples near decision boundaries to enhance class balance and model robustness, focusing on areas prone to misclassification. ADASYN adjusts the number of synthetic samples for each minority class example based on its difficulty level, targeting hard-to-learn examples. This combined approach ensures balanced classes and effectively addresses corner cases, thereby significantly improving overall model performance.

**Challenge:** Synthetic sampling can introduce noise. While Borderline-SMOTE might add noise, ADASYN mitigates this by focusing on challenging examples, reducing the risk of overfitting. The hybrid technique leverages the strengths of both methods, resulting in a robust and accurate model.

## 2.5 Testing and Formal Verification

Testing (t) and formal verification (v) are two distinct approaches used to ensure the reliability and correctness of DNNs. Testing is an empirical process that involves executing a system with a variety of inputs to identify defects or bugs. For example, to verify the detection of stop signs in an autonomous vehicle's neural network, testing would involve generating a set of images with variations in brightness, rotation, and noise. These images are then fed into the neural network, and the outputs are analyzed to check if the stop sign is correctly detected. Specific test cases might include images taken in different lighting conditions (daylight, twilight, night), with stop signs at various angles ( $0^\circ$ ,  $15^\circ$ ,  $30^\circ$ ,  $45^\circ$ ), and with added Gaussian noise. The main advantage of testing is its practicality, providing immediate feedback on the neural network's performance under these conditions [40].

In contrast, formal verification uses mathematical and logical reasoning to prove that a system meets its specifications under all possible conditions. This involves formalizing the properties of the system and using formal methods such as model checking or theorem proving to verify these properties. For instance, the property that the neural network must detect stop signs correctly under different brightness levels, rotations, and noise can be formalized as follows: for any input image containing a stop sign, regardless of these variations, the network should output a correct detection. Tools like SMT solvers are then used to verify this property. Unlike testing, formal verification aims to provide rigorous guarantees of correctness, ensuring that the system adheres to its specifications in all cases [41, 40].

A key difference between the two approaches is the scope of their validation. Testing is limited to the specific cases generated, which may not cover all possible scenarios. Formal verification, however, aims to cover all possible scenarios within the defined properties, offering stronger guarantees. For example, while testing might reveal that the neural network fails to detect a stop sign under very dim lighting, formal verification would mathematically prove whether such failures can occur under any possible input within the specified range. This makes formal verification particularly valuable in safety-critical applications where ensuring the absence of errors is crucial [42].

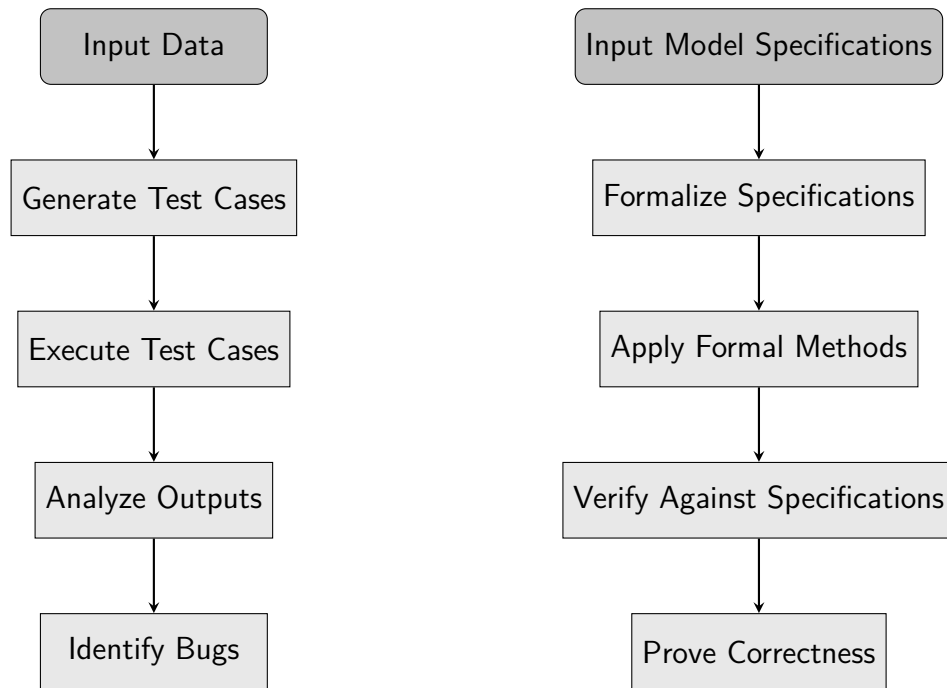


FIGURE 2.4: Comparison of Testing and Verification Processes

## 2.6 DNN Testing Techniques

The development of DNNs is significantly different from traditional software. While developers explicitly define logic in traditional software, DNNs learn logic rules from raw data. Developers shape these rules by modifying the training data, selecting features, and designing the DNN architecture, such as the number of neurons and layers.

Since the logic of a DNN is non-transparent [33], identifying the reasons behind its erroneous behavior is challenging. Therefore, testing and correcting its errors are crucial, particularly in safety-critical systems. Next, we briefly introduce two major DNN testing techniques: coverage criteria and test-case generation.

### Coverage Criteria

In traditional software testing, coverage criteria measure how thoroughly software is tested. In DNNs, coverage might not directly apply to lines of code but rather to the input space or the variety of data the model can effectively handle or provide predictions for.

Neuron coverage (NC) [33] is the first coverage metric proposed in the literature to test DNNs. It is defined as the ratio of neurons activated by a test input to the total number of neurons in the model, where a neuron is activated when its activation value exceeds a predefined threshold.

Ma et al. [34] proposed a variety of coverage metrics, including K-multisection neuron coverage (KMNC), Neuron boundary coverage (NBC), and Strong neuron activation coverage (SNAC). KMNC calculates coverage by dividing the interval between lower and upper bounds into k-bins and measuring the number of bins activated by the test inputs. NBC measures the ratio of corner case regions covered by test inputs, with corner cases defined as activation values below or above those observed during training. SNAC similarly measures how many upper corner cases, defined as activation values above the training range, are covered by test inputs.

Modified Condition/Decision Coverage (MC/DC) [35] captures causal changes in test inputs based on the sign and value change of a neuron's activation.

Likelihood-based Surprise Adequacy (LSA) uses Kernel Density Estimation (KDE) to estimate the likelihood of a test input during the training phase, prioritizing inputs with higher LSA scores as they are closer to classification boundaries. Distance-based Surprise Adequacy (DSA) is an alternative to LSA that uses the distance between activation traces of new test inputs and those observed during training [36].

## **DNN Test-case Generation**

Test-case generation methods are influenced by traditional software testing methods like fuzz testing, metamorphic testing, and symbolic execution. In the following sections, we will explore the current state of the art in DNN test generation.

DeepXplore [33] is a whitebox test-case generation method that checks how different DNNs behave using domain-specific rules on inputs. It uses multiple models trained on the same data to find differences in their prediction. It aims to jointly optimize neuron coverage and different predictions between models, using gradient ascent for test generation.

DeepTest [23] focuses on generating test inputs for autonomous cars by applying domain-specific rules on seed inputs. It uses a greedy search method based on the NC metric to create effective test cases.

Adapting traditional fuzzing techniques for DNN test-case generation includes methods like DLFuzz [37] and TensorFuzz [38]. DLFuzz generates adversarial inputs based on NC, akin to DeepXplore, but does not require multiple models and uses constraints to keep new inputs similar to originals. TensorFuzz employs coverage-guided testing to uncover numerical issues and discrepancies in DNNs and their quantized versions.

DeepConcolic [39] employs a concolic testing approach to generate adversarial inputs for DNN testing. It combines symbolic execution with concrete execution path information to meet coverage criteria, supporting both NC and MC/DC criteria.

Traditional techniques are simple, failing to capture the full complexity and precision of model behaviors. Exploring all possible behaviors of a model is nearly impossible due to the vast number of paths to consider. These metrics also often overlook the detailed interactions within and between layers of the model. Defining and testing all necessary decision boundaries, especially in complex models, is a daunting task. Many existing metrics do not provide clear directions for improving the model, leaving you without actionable insights. Scalability and adaptability are other major issues. Many criteria are not scalable or adaptable across diverse model architectures.

In this thesis, we address these issues and design a systematic testing framework for DNNs.

## 2.7 Probabilistic Logic Programming (PLP)

Probabilistic Logic Programming (PLP) integrates probabilistic reasoning with the flexibility and expressiveness of logic programming. Traditional logic programming paradigms are deterministic, where each statement is either true or false. However, real-world scenarios often involve inherent uncertainties which deterministic logic cannot adequately handle. PLP addresses this limitation by allowing the representation of uncertainties directly within the logic framework, thereby enabling more nuanced and accurate modeling of complex domains [58, 59].

PLP has been explored extensively in various domains, including artificial intelligence, bioinformatics, and robotics. Sato and Kameya's introduction of PRISM [52] was a significant milestone, combining statistical modeling with logic programming. Subsequent work by Koller and Friedman [53] on probabilistic graphical models further influenced



PLP frameworks. Various approaches to PLP, such as Logic Programs with Annotated Disjunctions (LPADs) [54], ProbLog [55], Probabilistic Horn Abduction (PHA) [56], Independent Choice Logic (ICL) [57], and PRISM [58], have been developed, each leveraging the distribution semantics introduced by Sato [58].

Among these, ProbLog has gained prominence due to its simplicity and expressive power, making it a preferred choice for many applications [59]. ProbLog extends a logic program with probabilistic facts, defining a probability distribution over possible worlds (sets of facts). The probability of a query is computed by marginalizing over the probabilities of the worlds where the query is true.

The need for explainable AI (XAI) has become increasingly important, particularly in domains where decisions must be transparent and interpretable, such as medical diagnosis and finance. Various approaches to XAI emphasize model interpretability and the generation of comprehensible explanations for model predictions [61]. PLP, with its ability to generate explanations as part of its reasoning process, fits well within the XAI paradigm. Vidal [60] proposes a novel approach where explanations in PLP are represented as programs generated from a given query through unfolding-like transformations. This approach preserves the causal structure of inferences and ensures minimality by excluding irrelevant information. Such explanations can be parameterized to hide uninteresting details, making them comprehensible to non-expert users.

Despite the extensive research in PLP and its applications, its use in testing DNNs is still very new. DNNs are powerful but often act like "black boxes," making it hard to understand and trust their predictions. This thesis presents a new way to use PLP for testing DNNs, an area that has not been explored before.

By using PLP, we can turn the probabilistic outputs of DNNs into probabilistic facts and rules. This helps in reasoning about uncertainties in the model's predictions and generating clear explanations for each prediction. This approach makes it easier to understand why a model made a certain prediction, giving insights into the model's decision-making process. PLP can also help in debugging DNNs by identifying and fixing inconsistencies or unexpected behaviors in the predictions. By examining the probabilistic rules and their explanations, we can find areas for improvement more effectively. Additionally, PLP allows us to simulate different scenarios by changing probabilistic facts, which is useful for testing how robust the DNNs are under various conditions. This innovative method opens up new opportunities for research and practical applications, making deep learning systems more transparent, reliable, and trustworthy.

# Chapter 3

## Proposed Framework

### 3.1 Proposed Approach

This section introduces our comprehensive approach to evaluating AI system performance, summarized in Figure 3.1. It takes as input the description of an AI system and a set of relevant specifications against which the AI system should be checked. The framework itself has four main components:

- (i) *Sampling*: Choosing the original inputs for the AI system.
- (ii) *Testcase Generation*: Generating specific test cases from the sampled inputs according to the specifications.
- (iii) *Validation*: Checking the behavior of the AI system on the generated test cases, which can be fully-fledged *verification* or more lightweight *testing*.
- (iv) *Error Summarization*: Quantifying the performance of the AI system in terms of its global/local robustness/correctness.

We focus on AI systems with DNN components performing classification tasks. We assume that an AI system  $\mathcal{S}$  is a pair  $(\mathcal{F}, \mathcal{D})$  where:

- $\mathcal{F}$  is the functional unit consisting of  $n$  DNN *classifiers*  $f_1, \dots, f_n$  and a symbolic (software) component  $\omega$  such that given an input  $\mathbf{x} = (x_1, \dots, x_n)$ , the output  $\mathcal{F}(\mathbf{x})$  is defined as  $\omega(f_1(x_1), \dots, f_n(x_n))$ .
- $\mathcal{D}$  (for dataset) is a structure that describes valid inputs and the corresponding correct outputs (i.e., labels). In particular,  $\mathcal{D}.next(c)$  returns a valid input  $\mathbf{x}$ ,

given the parameter  $c$ , which represents the number of classes in the dataset. Moreover,  $\mathcal{D}.N$  is the total number of distinct class labels.

To ensure clarity in cases where multiple functional units are present, it is essential to specify which dataset belongs to which functional unit. Formally, let  $\mathcal{F} = \{f_1, \dots, f_n\}$  represent the set of functional units and  $\mathcal{D} = \{\mathcal{D}_1, \dots, \mathcal{D}_m\}$  represent the set of datasets. Each dataset  $\mathcal{D}_j$  is associated with one or more functional units  $\{f_{i_1}, \dots, f_{i_k}\} \subseteq \mathcal{F}$ . This means that each  $\mathcal{D}_j$  provides valid inputs and corresponding correct outputs specifically for the classifiers  $f_{i_1}, \dots, f_{i_k}$ . In this framework, each dataset  $\mathcal{D}_j$  must clearly define its scope of association with the functional units. For instance, if  $\mathcal{D}_1$  is associated with  $f_1$  and  $f_3$ , then  $\mathcal{D}_1$  provides valid inputs and correct outputs for both  $f_1$  and  $f_3$ . This explicit association ensures that datasets are correctly utilized for their respective functional units, avoiding any ambiguity in the evaluation process.

To handle user-defined specifications and provide default behaviors when specifications are not explicitly defined, we assume that *specifications*  $\Sigma$  is a pair  $(P, V)$ , where  $P$  is a set of perturbations against which we are characterizing the behavior of  $\mathcal{S}$ . Each perturbation comes with parameters to instantiate the set of all possible perturbations.  $V$  is a validation flag, where if  $V = t$ , then we do testing, and if  $V = v$ , we do verification.

If the user does not specify which classes to test or which properties to evaluate, our framework defaults to testing all classes in the dataset and evaluating all possible properties. Formally, let  $\mathcal{C}$  be the set of all classes in the dataset  $\mathcal{D}$  and  $\mathcal{P}$  be the set of all possible properties. If the user does not define a subset  $\mathcal{C}_u \subseteq \mathcal{C}$  or  $\mathcal{P}_u \subseteq \mathcal{P}$ , then  $\mathcal{C}_u = \mathcal{C}$  and  $\mathcal{P}_u = \mathcal{P}$ , respectively.



FIGURE 3.1: Overview of the Proposed Framework

**Example 3.1.** An instance of a simple AI system is an MNIST Digit Adder  $\mathcal{S}_{CNN} = (\mathcal{F}, \mathcal{D})$ , where  $\mathcal{F} = (\{f_{CNN}\}, +)$ ,  $f_{CNN}$  is an MNIST Digit classifier and  $\mathcal{F}$  takes as input two MNIST Digit images, recognizes the digits in the images, and computes their sum, i.e.,  $\mathcal{F}(x_1, x_2) = f_{CNN}(x_1) + f_{CNN}(x_2)$ .  $\mathcal{D} = \{\mathcal{D}_{mnist}\}$  is the testing dataset for digits consisting of 10,000 labeled images (0-9), where  $\mathcal{D}_{mnist}$  is associated with the classifier  $f_{CNN}$ .

We assume that *specifications*  $\Sigma$  is a pair  $(P, V)$ , where  $P$  is a set of perturbations against which we are characterizing the behavior of  $\mathcal{S}$ . Each perturbation comes with

parameters to instantiate the set of all possible perturbations.  $V$  is a validation flag, where if  $V = t$ , then we do testing, and if  $V = v$ , we do verification.

**Example 3.2.** *To evaluate the correctness of the  $S_{MNIST}$ , we define the specifications  $\Sigma = (P, V)$  as follows:  $P = \{\text{GAU}(0, 0.1), \text{SAP}(200 : 255, 0 : 5, 0.2), \text{ROT}(3, 30, 3)\}$  and  $V = t$ . Here,  $\text{GAU}(0, 0.1)$  specifies Gaussian noise with a mean of 0 and standard deviation of 0.1,  $\text{SAP}(200 : 255, 0 : 5, 0.2)$  specifies salt and pepper noise, where 10% of pixels are bleached up to values 200 to 255 and 10% of pixels are darkened to values between 0 and 5, and  $\text{ROT}(3, 30, 3)$  specifies the set of rotations with the minimum rotation angle of 3, maximum of 30, and the step size of 3.*

## 3.2 Sampling

The sampling process is designed to identify efficient and corner cases by employing a hybrid approach that combines Borderline-SMOTE and ADASYN. This combined method generates synthetic examples, enhancing class balance and model robustness. Borderline-SMOTE focuses on creating samples near decision boundaries, while ADASYN targets hard-to-learn examples, ensuring that both typical and challenging cases are effectively covered. It is important to note that this sampling process is used solely for testing purposes, not for training the model.

To ensure a balanced and representative dataset for testing, we perform the following steps for each classifier  $f_i$  independently:

- Apply Borderline-SMOTE to generate synthetic samples near decision boundaries to enhance class balance.
- Use ADASYN to adjust the number of synthetic samples for each minority class example based on its difficulty level.

The full sample  $S_i$  for classifier  $f_i$ ,  $i = 1, \dots, n$ , is computed as:

$$S_i = \bigcup_{c=1}^{\mathcal{D}.N_i} S_i^c \quad (3.1)$$

where  $S_i^c$  is a subset of the correctly classified samples for a class  $c$  consisting of  $M_i$  (the number of samples for each class specific to  $f_i$ ) elements:

$$S_i^c = \{x = \mathcal{D}.next_i(class = c) \mid f_i(x) = c\}_{M_i}$$

After the initial sampling, we enhance  $S_i^c$  by applying Borderline-SMOTE and ADASYN as follows:

$$S_i^c = S_i^c \cup \text{Borderline-SMOTE}(S_i^c) \cup \text{ADASYN}(S_i^c)$$

Note that each sample is obtained by a call to the method  $\mathcal{D}.next_i$ .

#### Challenges in Sampling

- **Synthetic Sample Quality:** Ensuring generated samples represent true corner cases, not noise.
- **Computational Overhead:** Managing the intensive computation required for hybrid sampling.

### 3.3 Test Case Generation

The test case generation process aims to create test cases based on the given specifications to evaluate the correctness/robustness of the AI system.

Let  $S_i^c$  be the set of samples produced in the sampling step for the classifier  $f_i$  and a class  $c$ . For each perturbation  $p \in P$ , we generate a set  $\mathcal{T}_p^c$  of test cases. Specifically, for each sample  $x \in S$  we produce  $testcases(p, c, x)$  according to  $p$ . Then  $\mathcal{T}_p^c = \bigcup_{x \in S} testcases(p, c, x)$ .

**Example 3.3.** To generate test cases for the MNIST Digit Adder  $S_{MNIST}$ , we use the specifications defined in Example 2, which include noise and rotation perturbations. Let  $S$  be the set of sampled images obtained in Example 3. For each pair of images  $(x_1, x_2) \in S$ , we define the following test cases:

- **Rotation:** For a given angle  $\theta$ , generate the perturbed images  $x'_1 = rotate(x_1, \theta)$  and  $x'_2 = rotate(x_2, \theta)$ . The test case is then:  $\mathcal{T}_{rotation} = \{(x'_1, x'_2) \mid x'_1, x'_2 \in rotate(S, \theta)\}$
- **Noise:** For a given mean  $\mu$  and standard deviation  $\sigma$ , generate the perturbed images  $x''_1 = noise(x_1, \mu, \sigma)$  and  $x''_2 = noise(x_2, \mu, \sigma)$ . The test case is then:  $\mathcal{T}_{noise} = \{(x''_1, x''_2) \mid x''_1, x''_2 \in noise(S, \mu, \sigma)\}$

The overall set of test cases  $\mathcal{T}$  is the union of the individual test cases:  $\mathcal{T} = \mathcal{T}_{rotation} \cup \mathcal{T}_{noise}$

### 3.4 Validation

The validation process aims to evaluate the correctness and robustness of the AI system under various perturbations.

Fix a perturbation  $p \in P$  and a class  $c$ . For every test case in  $\mathcal{T}_p^c$ , we store the results in the form:

$$\text{Raw}_{p,c} = \left\{ \left( \text{query}(f_i, x, c), f_i(x)_c \right) \mid x \in \mathcal{T}_p^c \right\}$$

After generating test cases, measure the AI subsystem's confidence for each class under each type of property.

### 3.4.1 Local Robustness

Local robustness involves evaluating the AI subsystem's performance on individual images subjected to various transformations. For each image  $x$  from a set of samples  $S_i^c$ , the AI subsystem produces a confidence score  $f_i(x)$  representing its certainty in recognizing the class  $c$ . The local robustness for a transformation  $T$  applied to an image  $x$  is defined as:

$$\text{Local Robustness}(x, T) = f_i(T(x))$$

where  $T$  can be any transformation such as noise addition, rotation, brightness adjustment, occlusion, or scaling. Each transformation is evaluated to determine its impact on the confidence score.

To quantify local robustness, we compute the accuracy for each transformation applied to the images of a specific class:

$$\text{Local Robustness}(c, T) = \frac{1}{|S_i^c|} \sum_{x \in S_i^c} \mathbb{I}[f_i(T(x)) = c]$$

where: -  $\text{Local Robustness}(c, T)$  is the accuracy of the classifier  $f_i$  for class  $c$  under transformation  $T$ . -  $\mathbb{I}[f_i(T(x)) = c]$  is an indicator function that is 1 if the classifier correctly predicts the class  $c$  for the transformed image  $T(x)$ , and 0 otherwise. -  $|S_i^c|$  is the number of correctly classified images in class  $c$ .

**Example 3.4.** Consider the class  $c = 3$  and the transformation  $T$  being a rotation by 25 degrees. If we have three images  $x_1, x_2, x_3$  from class  $c$ , and the model correctly classifies  $x_1$  and  $x_2$  but misclassifies  $x_3$ , the local robustness is computed as follows:

$$\begin{aligned} \text{Local Robustness}(3, \text{rotation}) &= \frac{1}{3} (\mathbb{I}[f_i(\text{rotate}(x_1, 25)) = 3] + \\ &\quad \mathbb{I}[f_i(\text{rotate}(x_2, 25)) = 3] + \mathbb{I}[f_i(\text{rotate}(x_3, 25)) = 3]) \end{aligned}$$

If the indicator values are 1, 1, and 0 respectively, the local robustness would be:

$$\text{Local Robustness}(3, \text{rotation}) = \frac{1}{3}(1 + 1 + 0) = \frac{2}{3} \approx 0.67$$

### 3.4.2 Global Robustness

Global robustness evaluates the AI subsystem's performance across multiple images and transformations. It is an aggregate measure of how well the AI system performs under various properties on a set of images  $S_i^c$ .

For a given transformation  $T$  and a set of images  $S_i^c$ , the global robustness is defined as:

$$\text{Global Robustness}(S_i^c, T) = \frac{1}{|S_i^c|} \sum_{x \in S_i^c} \mathbb{I}[f_i(T(x)) = c]$$

This measures the average confidence score for the AI subsystem over the entire dataset when subjected to a particular transformation.

To quantify global robustness, we compute the expected confidence score over all transformations and images. Depending on whether the relationship is AND or OR, the formulas vary:

#### AND Relationship:

For an AND relationship between transformations, the global robustness is calculated as:

$$P(\text{Property 1} \cap \text{Property 2}) = P(\text{Property 1}) \times P(\text{Property 2})$$

#### OR Relationship:

For an OR relationship between transformations, the global robustness is calculated as:

$$P(\text{Property 1} \cup \text{Property 2}) = P(\text{Property 1}) + P(\text{Property 2}) - P(\text{Property 1} \cap \text{Property 2})$$

**Example 3.5.** Consider a pair of images  $(x_1, x_2)$  representing the digits '3' and '5'. Let the transformation  $T$  be rotation. If the model's confidence scores for these transformations are as follows:

$$\begin{aligned} f_i(\text{rotation}(x_1)) &= 0.78, \\ f_i(\text{rotation}(x_2)) &= 0.85, \end{aligned}$$

For the AND relationship, the global correctness for the pair is computed as follows:

$$P(\text{Global Robustness}_{\text{AND}}) = 0.78 \times 0.85$$

For the OR relationship, the global correctness for the pair is computed as follows:

$$P(\text{Global Robustness}_{\text{OR}}) = 0.78 + 0.85 - (0.78 \times 0.85)$$

(Note: The complete OR relationship formula requires including all images and transformations as per the OR formula.)

### 3.4.3 Use Cases and Examples

To illustrate the application of ProbLog for global robustness in real-world scenarios, we present the following use cases:

#### 3.4.3.1 Use Case 1: Handwritten Digit Recognition

**Scenario:** Consider an AI system designed to recognize handwritten digits, such as the MNIST dataset. The system is evaluated under various transformations, including noise addition, rotation, and brightness adjustment. The goal is to determine the global robustness of the system in recognizing digit pairs correctly under these properties.

The tables below provide the probabilities for correctly recognizing digit pairs under different conditions (AND and OR relationships) for an MNIST 2-digit addition system. Each world represents a different combination of transformations applied to the digits.

**Explanation:** The table shows the global correctness probabilities for pairs of digits under various transformation conditions. Each row represents a different combination of transformations applied to the two digits in the pair: - AND Probability: The probability that both digits are correctly recognized under the specified transformations. - OR



TABLE 3.1: Specification Probabilities for MNIST 2-Digit Addition Under Different Transformations

| World | Conditions                 | Probability Expression (AND) | Probability (AND) | Probability Expression (OR)       | Probability (OR) |
|-------|----------------------------|------------------------------|-------------------|-----------------------------------|------------------|
| $w_1$ | {noise(0), noise(1)}       | $0.85 \cdot 0.8$             | 0.68              | $0.85 + 0.8 - (0.85 \cdot 0.8)$   | 0.97             |
| $w_2$ | {noise(0), correct(1)}     | $0.85 \cdot 0.9$             | 0.765             | $0.85 + 0.9 - (0.85 \cdot 0.9)$   | 0.985            |
| $w_3$ | {correct(0), noise(1)}     | $0.9 \cdot 0.8$              | 0.72              | $0.9 + 0.8 - (0.9 \cdot 0.8)$     | 0.98             |
| $w_4$ | {rotation(0), correct(1)}  | $0.88 \cdot 0.9$             | 0.792             | $0.88 + 0.9 - (0.88 \cdot 0.9)$   | 0.992            |
| $w_5$ | {correct(0), rotation(1)}  | $0.9 \cdot 0.77$             | 0.693             | $0.9 + 0.77 - (0.9 \cdot 0.77)$   | 0.977            |
| $w_6$ | {rotation(0), rotation(1)} | $0.88 \cdot 0.77$            | 0.6776            | $0.88 + 0.77 - (0.88 \cdot 0.77)$ | 0.9696           |
| $w_7$ | {noise(0), rotation(1)}    | $0.85 \cdot 0.77$            | 0.6545            | $0.85 + 0.77 - (0.85 \cdot 0.77)$ | 0.9655           |
| $w_8$ | {rotation(0), noise(1)}    | $0.88 \cdot 0.8$             | 0.704             | $0.88 + 0.8 - (0.88 \cdot 0.8)$   | 0.976            |
| $w_9$ | {correct(0), correct(1)}   | $0.9 \cdot 0.9$              | 0.81              | $0.9 + 0.9 - (0.9 \cdot 0.9)$     | 0.99             |

Probability: The probability that at least one of the digits is correctly recognized under the specified transformations.

For example, in world  $w_1$ , both digits are subjected to noise, leading to an AND probability of 0.68 and an OR probability of 0.97.

### Problog Code:

```
% Define probabilities for digit 0 under different transformations
0.9::noise_0. % Digit 0 correctly predicted with 90% probability under noise
0.85::brightness_0. % Digit 0 correctly predicted with 85% probability under brightness
0.88::rotation_0. % Digit 0 correctly predicted with 88% probability under rotation

% Define probabilities for digit 1 under different transformations
0.8::noise_1. % Digit 1 correctly predicted with 80% probability under noise
0.75::brightness_1. % Digit 1 correctly predicted with 75% probability under brightness
0.77::rotation_1. % Digit 1 correctly predicted with 77% probability under rotation

% Define rules for correct prediction under each transformation for digit 0
correct_noise_0 :- noise_0.
correct_brightness_0 :- brightness_0.
correct_rotation_0 :- rotation_0.

% Define rules for correct prediction under each transformation for digit 1
correct_noise_1 :- noise_1.
correct_brightness_1 :- brightness_1.
correct_rotation_1 :- rotation_1.

% Define rules for incorrect prediction under each transformation for digit 0
wrong_noise_0 :- +correct_noise_0.
wrong_brightness_0 :- +correct_brightness_0.
wrong_rotation_0 :- +correct_rotation_0.

% Define rules for incorrect prediction under each transformation for digit 1
wrong_noise_1 :- +correct_noise_1.
wrong_brightness_1 :- +correct_brightness_1.
wrong_rotation_1 :- +correct_rotation_1.

% Define rules for correct prediction of both digits under noise
pair_correct_noise_0_1 :- correct_noise_0, correct_noise_1.
% Define rules for incorrect prediction of both digits under noise
pair_wrong_noise_0_1 :- wrong_noise_0, wrong_noise_1.
```

```
% Define global correctness based on either both correct or both incorrect under noise
global_correct_noise_0_1 :- pair_correct_noise_0_1; pair_wrong_noise_0_1.

% Query the global correctness under noise
query(global_correct_noise_0_1).
```

---

FIGURE 3.2: Problog code snippet for evaluating handwritten digit recognition under noise, brightness, and rotation transformations.

**Explanation:** In this scenario, we are interested in the global correctness of recognizing pairs of digits (0 and 1) under different transformations. The Problog code models the local robustness probabilities for each transformation and combines them to evaluate the global correctness.

### 3.4.3.2 Use Case 2: Autonomous Vehicle Perception

**Scenario:** An AI system used in autonomous vehicles must reliably detect objects such as vehicles under various weather conditions (rain, sand, fog, and snow). The goal is to evaluate the system's robustness in identifying these objects correctly under these weather conditions.

---

```
% Probabilities for Vehicle Detection under Different Weather Conditions
0.75::rain_vehicle. % Vehicle correctly detected with 75% probability under rain
0.55::fog_vehicle. % Vehicle correctly detected with 55% probability under fog
0.7::snow_vehicle. % Vehicle correctly detected with 70% probability under snow

% Correct Detection Rules for Vehicle
correct_rain_vehicle :- rain_vehicle.
correct_fog_vehicle :- fog_vehicle.
correct_snow_vehicle :- snow_vehicle.

% Incorrect Detection Rules for Vehicle
wrong_rain_vehicle :- +correct_rain_vehicle.
wrong_fog_vehicle :- +correct_fog_vehicle.
wrong_snow_vehicle :- +correct_snow_vehicle.

% AND conditions for Vehicle Detection under all weather conditions
global_correct_vehicle_and :- correct_rain_vehicle, correct_fog_vehicle, correct_snow_vehicle.

% OR conditions for Vehicle Detection under any weather condition
global_correct_vehicle_or :- correct_rain_vehicle; correct_fog_vehicle; correct_snow_vehicle.

% Mixed conditions (AND & OR) for Vehicle Detection
global_correct_mixed_vehicle :- correct_rain_vehicle, (correct_fog_vehicle; correct_snow_vehicle).

% Queries for Global Correctness
query(global_correct_vehicle_and).
query(global_correct_vehicle_or).
query(global_correct_mixed_vehicle).
```

---

FIGURE 3.3: Problog code snippet for evaluating vehicle detection under different weather conditions.

**Explanation:** The ProbLog code assesses the global robustness of the AI system in detecting objects (vehicles) under individual and combined weather conditions. This ensures that the system can reliably perform in diverse environmental scenarios.

TABLE 3.2: Specification Probabilities (AND) for Vehicle Detection Under Different Weather Conditions

$$P(A \cap B \cap C) = P(A) \times P(B) \times P(C)$$

| World    | Conditions         | Probability Expression (AND)  | Probability (AND) |
|----------|--------------------|-------------------------------|-------------------|
| $w_1$    | {rain, fog}        | $0.75 \times 0.55$            | 0.4125            |
| $w_2$    | {rain, snow}       | $0.75 \times 0.7$             | 0.525             |
| $w_3$    | {rain, sand}       | $0.75 \times 0.6$             | 0.45              |
| $w_4$    | {fog, snow}        | $0.55 \times 0.7$             | 0.385             |
| $w_5$    | {fog, sand}        | $0.55 \times 0.6$             | 0.33              |
| $w_6$    | {snow, sand}       | $0.7 \times 0.6$              | 0.42              |
| $w_7$    | {rain, fog, snow}  | $0.75 \times 0.55 \times 0.7$ | 0.28875           |
| $w_8$    | {rain, fog, sand}  | $0.75 \times 0.55 \times 0.6$ | 0.2475            |
| $w_9$    | {rain, snow, sand} | $0.75 \times 0.7 \times 0.6$  | 0.315             |
| $w_{10}$ | {fog, snow, sand}  | $0.55 \times 0.7 \times 0.6$  | 0.231             |

**Explanation:** This table shows the global correctness probabilities for detecting vehicles under different combinations of weather conditions using AND relationships. Each row represents a different combination of weather conditions applied to the detection scenario: - AND Probability: The probability that the vehicle is correctly detected under all specified weather conditions.

For example, in world  $w_1$ , the vehicle detection system is subjected to rain and fog, leading to an AND probability of 0.4125.

TABLE 3.3: Specification Probabilities (OR) for Vehicle Detection Under Different Weather Conditions

$$P(A \cup B \cup C) = P(A) + P(B) + P(C) - P(A \cap B) - P(A \cap C) - P(B \cap C) + P(A \cap B \cap C)$$

| World    | Conditions         | Probability Expression (OR)  | Probability (OR) |
|----------|--------------------|--|------------------|
| $w_1$    | {rain; fog}        | $0.75 + 0.55 - (0.75 \times 0.55)$   | 0.8875           |
| $w_2$    | {rain; snow}       | $0.75 + 0.7 - (0.75 \times 0.7)$   | 0.925            |
| $w_3$    | {rain; sand}       | $0.75 + 0.6 - (0.75 \times 0.6)$   | 0.9              |
| $w_4$    | {fog; snow}        | $0.55 + 0.7 - (0.55 \times 0.7)$   | 0.835            |
| $w_5$    | {fog; sand}        | $0.55 + 0.6 - (0.55 \times 0.6)$   | 0.82             |
| $w_6$    | {snow; sand}       | $0.7 + 0.6 - (0.7 \times 0.6)$   | 0.88             |
| $w_7$    | {rain; fog; snow}  | $0.75 + 0.55 + 0.7 - (0.75 \times 0.55) - (0.75 \times 0.7) - (0.55 \times 0.7) + (0.75 \times 0.55 \times 0.7)$ | 0.966625         |
| $w_8$    | {rain; fog; sand}  | $0.75 + 0.55 + 0.6 - (0.75 \times 0.55) - (0.75 \times 0.6) - (0.55 \times 0.6) + (0.75 \times 0.55 \times 0.6)$ | 0.95125          |
| $w_9$    | {rain; snow; sand} | $0.75 + 0.7 + 0.6 - (0.75 \times 0.7) - (0.75 \times 0.6) - (0.7 \times 0.6) + (0.75 \times 0.7 \times 0.6)$     | 0.967            |
| $w_{10}$ | {fog; snow; sand}  | $0.55 + 0.7 + 0.6 - (0.55 \times 0.7) - (0.55 \times 0.6) - (0.7 \times 0.6) + (0.55 \times 0.7 \times 0.6)$     | 0.938            |

**Explanation:** This table shows the global correctness probabilities for detecting vehicles under different combinations of weather conditions using OR relationships. Each row represents a different combination of weather conditions applied to the detection scenario: - OR Probability: The probability that the vehicle is correctly detected under at least one of the specified weather conditions.

For example, in world  $w_1$ , the vehicle detection system is subjected to rain and fog, leading to an OR probability of 0.8875.

### 3.5 Error Summarization

Error summarization involves evaluating the performance of the AI system by identifying and quantifying errors. We use Bayesian Network-based Coverage Metrics to assess both local and global coverage. Two testing coverage metrics are defined in Figure ??: local coverage (LC) and global coverage (GC).

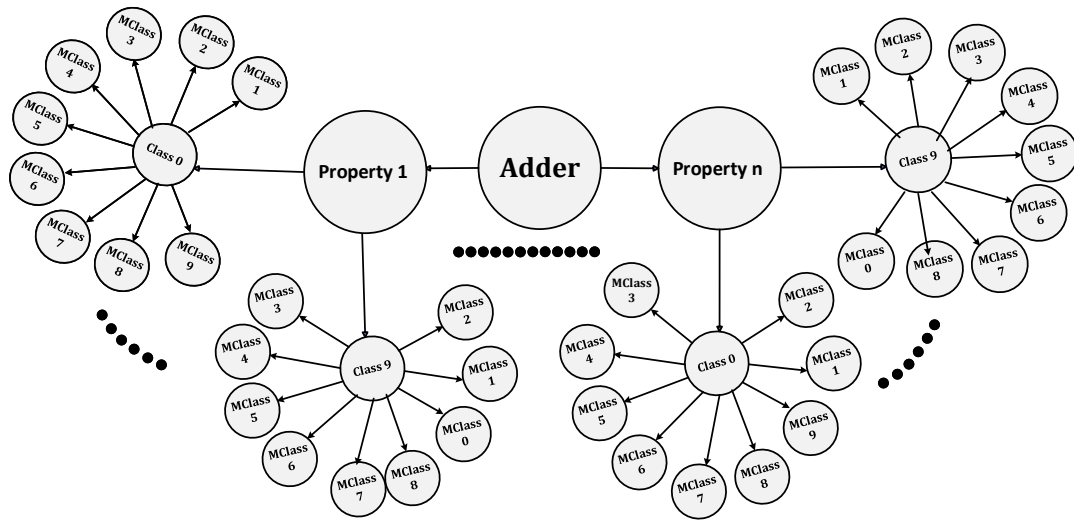


FIGURE 3.4: Error Summarization

### 3.6 Algorithm for Evaluating Model Robustness Using ProbLog

**Algorithm 1** Evaluating Model Robustness Using ProbLog**Require:**  $M$ : Pre-trained model**Require:**  $D$ : Dataset**Require:**  $N$ : Number of samples per class**Require:**  $P$ : Set of properties**Ensure:**  $G$ : Global correctness values for each specification

```

1: Load and Preprocess Data
2:  $(X_{\text{train}}, y_{\text{train}}), (X_{\text{test}}, y_{\text{test}}) \leftarrow \text{load\_data}(D)$ 
3:  $X_{\text{test}} \leftarrow \text{preprocess\_data}(X_{\text{test}})$ 
4:  $\hat{Y} \leftarrow M.\text{predict}(X_{\text{test}})$ 
5:  $\hat{y} \leftarrow \text{extract\_predictions}(\hat{Y})$ 
6: Determine Number of Classes
7:  $C \leftarrow \text{num\_classes}(y_{\text{test}})$  {Number of unique classes in the dataset}
8: Select Correctly Classified Samples
9:  $\text{correct\_samples} \leftarrow \{\}$ 
10: for  $c = 0$  to  $C - 1$  do
11:    $\text{correct\_samples}[c] \leftarrow \text{select\_correct\_samples}(X_{\text{test}}, y_{\text{test}}, \hat{y}, c, N)$ 
12: end for
13: Define Transformation Functions
14:  $\text{define\_transformations}()$ 
15: Generate Test Cases
16: for  $c = 0$  to  $C - 1$  do
17:   for all  $x \in \text{correct\_samples}[c]$  do
18:     for all  $T \in P$  do
19:        $\text{generate\_test\_cases}(x, T)$ 
20:     end for
21:   end for
22: end for
23: Evaluate Model on Transformations
24: for  $c = 0$  to  $C - 1$  do
25:   for all  $\text{property} \in P$  do
26:      $L_{c,\text{property}} \leftarrow \text{compute\_accuracy}(M, \text{property}, c)$ 
27:   end for
28: end for
29: Specification Definitions:
30: Specification1:  $P(\text{Property1} \cap \text{Property2}) = P(\text{Property1}) \times P(\text{Property2})$  {AND relationship}
31: Specification2:  $P(\text{Property1} \cup \text{Property2}) = P(\text{Property1}) + P(\text{Property2}) - P(\text{Property1} \cap \text{Property2})$  {OR relationship}
32: Specification3: Custom definitions
33: ...
34: Generate and Evaluate ProbLog Code for Each Specification
35: Initialize  $G$  as an empty list
36: for  $\text{spec} = 1$  to  $\text{num\_specs}$  do
37:   ProbLog Codespec  $\leftarrow \text{generate\_problog\_code}(L_{c,\text{property}}, \text{spec})$ 
38:    $G_{\text{spec}} \leftarrow \text{evaluate\_problog}(\text{ProbLog Code}_{\text{spec}})$ 
39:   Append  $G_{\text{spec}}$  to  $G$ 
40: end for
41: return  $G$ 

```

# Chapter 4

## Simulations and Results

### 4.1 Datasets

#### 4.1.1 MNIST Dataset

The MNIST dataset is a widely recognized benchmark in the field of deep neural networks (DNNs), comprising 70,000 grayscale images of handwritten digits. These images are split into 60,000 training samples and 10,000 testing samples, each of size 28x28 pixels. The dataset includes labels for each digit from 0 to 9, making it a total of 10 classes. This dataset is extensively used for evaluating the performance of various DNN algorithms due to its simplicity and the well-established baseline results it offers. To ensure the correctness of our model, we selected 100 correctly classified samples from each class. This selection process involved comparing the model's predictions with the actual labels and choosing only those samples where the predictions were correct. This resulted in a balanced subset of 1,000 samples, with 100 samples from each of the 10 classes.

#### 4.1.2 DAWN Dataset

The DAWN (Vehicle Detection in Adverse Weather Nature Dataset) dataset focuses on vehicle detection under adverse weather conditions, providing a diverse set of real-traffic images categorized into four weather conditions: fog, snow, rain, and sandstorms. Initially, the class distribution in the training set was imbalanced, with the following counts: 258 for label 1, 240 for label 0, 163 for label 3, and 160 for label 2.

To address this imbalance, we resampled the training set to ensure an equal number of samples for each class. This resulted in a balanced training set with 258 samples for each label. This balancing step was crucial for fair training and evaluation of the model, ensuring that no class was overrepresented or underrepresented.

For the testing set, we selected 100 samples from each class, ensuring a balanced evaluation dataset. This selection process was critical to accurately assess the model's performance across different classes and adverse weather conditions.

## 4.2 Use Case 1: Handwritten Digit Recognition

### 4.2.1 Local Correctness Evaluation

In this section, we evaluate the local correctness of the model under different transformations, namely rotation, noise, and brightness. Each transformation is applied with specific parameters to simulate real-world variations. Images are rotated by 25 degrees to evaluate the model's performance under rotation. Gaussian noise with a noise factor of 0.2 is added to the images to test the model's robustness to noisy conditions. The brightness of the images is increased by a factor of 0.3 to simulate different lighting conditions.

The local correctness graphs provide insights into the model's robustness under these transformations for each digit class. The model exhibited high performance under rotation (0.99) and brightness (1.00) for Class 0, with slightly reduced accuracy under noise (0.81). For Class 1, the model maintained consistently high accuracy across all transformations: rotation (0.99), noise (0.99), and brightness (1.00). However, the model struggled more with rotations (0.76) and noise (0.79) for Class 2 compared to brightness (1.00). Similarly, for Class 3, the model showed lower accuracy for rotations (0.82) and noise (0.78), but performed perfectly under brightness (1.00).

Class 4 demonstrated high accuracy across all properties, with rotation (0.91), noise (0.86), and brightness (1.00). Class 5 maintained high performance under all transformations: rotation (0.89), noise (0.99), and brightness (1.00). The model showed noticeable difficulty with noise (0.64) for Class 6, while maintaining high accuracy for rotation (0.87) and brightness (0.99). For Class 7, high accuracy was observed under brightness (1.00), with reduced performance under rotation (0.75) and noise (0.86). The model faced significant challenges under noise (0.02) for Class 8, but maintained good performance for rotation (0.68) and brightness (0.99). Finally, for Class 9, the model showed moderate performance under noise (0.51), and high accuracy under rotation (0.93) and brightness (0.99).

Overall, the model demonstrates strong robustness to brightness changes across all classes, frequently achieving perfect accuracy. However, performance under noise is highly variable, with some classes, such as Class 8, experiencing a dramatic drop in accuracy. While the model generally handles rotations well, there remains room for improvement, particularly in addressing noise-induced challenges. This analysis highlights

the necessity for targeted training to enhance the model's robustness, especially under noisy conditions for specific classes.

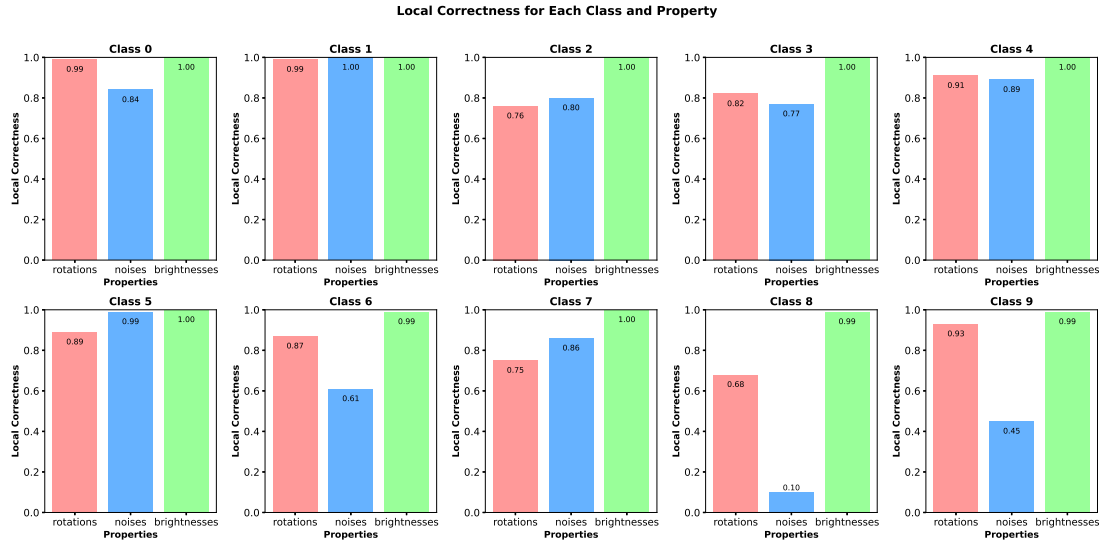


FIGURE 4.1: Local Correctness for each Class and Property

## 4.2.2 SHAP Analysis and Pixel Modification

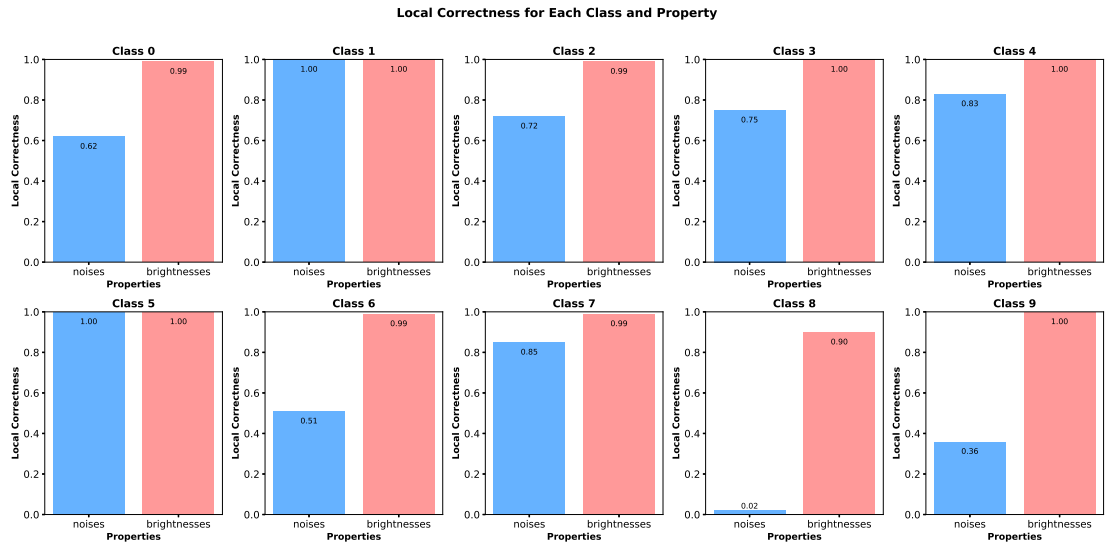


FIGURE 4.2: Local Correctness for each Class and Property based on SHAP Analysis. The bars represent the accuracy of correctly classified samples after applying noise and brightness transformations, highlighting the influence of these properties on model predictions.

The analysis presented in Figure 4.2 provides a detailed examination of the model's performance across different classes in response to noise and brightness perturbations.



This evaluation was conducted following the application of SHAP (SHapley Additive exPlanations) analysis, which identified the top 30% most influential pixels. These critical regions were then modified to simulate realistic scenarios, testing the model's robustness. The results reveal varying degrees of resilience across classes. For instance, Class 0 shows moderate robustness to noise with a correctness of 0.62, while demonstrating high robustness to brightness changes with a correctness of 0.99. Class 1, on the other hand, exhibits perfect robustness to both noise and brightness with correctness values of 1.0. Classes such as 2 and 3 maintain high robustness to brightness (0.99 and 1.0, respectively) but show a moderate decline in performance under noise. Notably, Class 8 is highly sensitive to noise, with a correctness of only 0.02, highlighting its vulnerability. Overall, brightness changes have a relatively lower impact on the model's performance compared to noise, as evidenced by consistently higher correctness values. This analysis underscores the need for targeted improvements to enhance noise robustness, particularly for classes like 6, 8, and 9, which show significant sensitivity. Addressing these weaknesses through techniques such as noise-augmented data training or more robust architectural designs will lead to a more resilient and reliable model, better suited for real-world applications where such perturbations are common.

### 4.2.3 Global Correctness Evaluation

The following figures illustrate the global correctness of various pairs of digits under different transformations: noise, brightness adjustment, and rotation. The final global correctness for each transformation is also depicted.

In my experiment, I checked the following specifications:

$$\begin{aligned}
 global\_noise &\leftrightarrow (noise\_0\_0 \wedge noise\_0\_1 \wedge noise\_0\_2 \wedge \dots \wedge noise\_9\_9) \\
 global\_brightness &\leftrightarrow (brightness\_0\_0 \wedge brightness\_0\_1 \wedge brightness\_0\_2 \wedge \dots \wedge brightness\_9\_9) \\
 global\_rotation &\leftrightarrow (rotation\_0\_0 \wedge rotation\_0\_1 \wedge rotation\_0\_2 \wedge \dots \wedge rotation\_9\_9) \\
 global\_system &\leftrightarrow (global\_noise \vee global\_brightness \vee global\_rotation)
 \end{aligned}$$

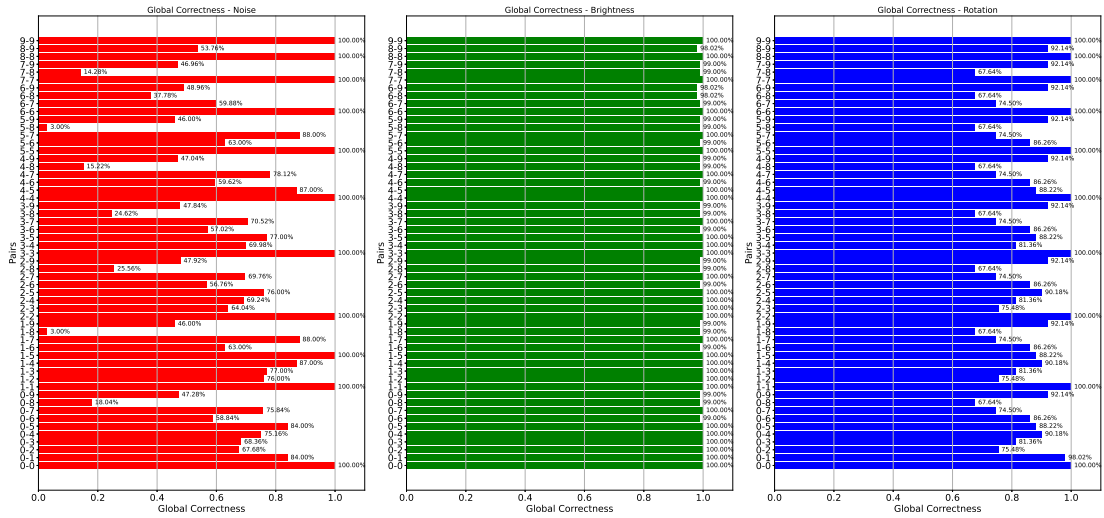


FIGURE 4.3: Global Correctness for Noise, Brightness, and Rotation Transformations

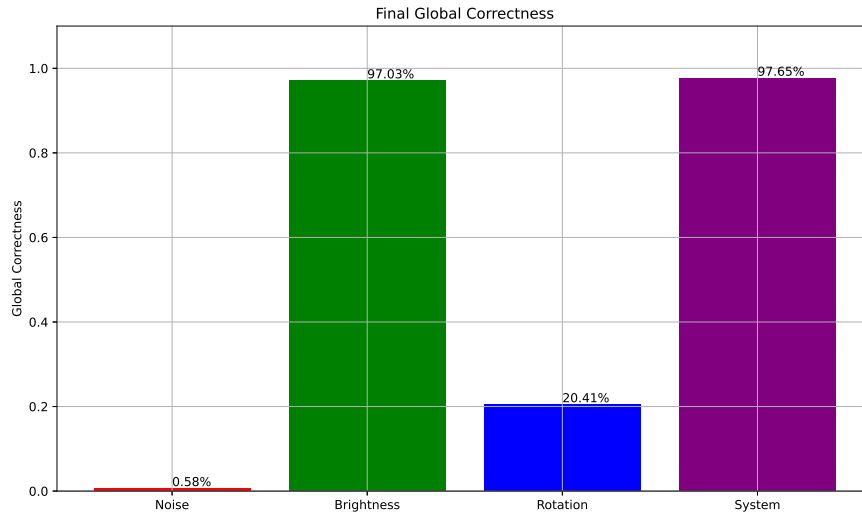


FIGURE 4.4: Final Global Correctness

The global correctness values for pairs of digits under the noise transformation vary significantly. Some pairs such as (0,0), (1,1), (2,2), etc., achieve perfect correctness (100%), while others like (0,5) and (1,8) exhibit very low correctness (3.00% and 18.04%, respectively). This indicates that the model's performance is highly inconsistent under noise, likely due to the distortion introduced affecting digit recognition. The model performs exceptionally well under brightness adjustments, with most pairs achieving near-perfect correctness. This suggests that the model is robust to changes in brightness, maintaining high confidence scores despite variations in image illumination. Performance under rotation is moderate, with significant variations across different pairs. Some pairs like (0,0), (1,1), (3,3), etc., achieve high correctness, while others such as (2,5) and (5,8) have lower correctness values. This variation suggests that

while the model can handle certain rotations well, it struggles with others, potentially due to the angles and the inherent difficulty in recognizing rotated digits.

Combining the global correctness across all transformations, we observe an overall high performance with a final global correctness of 97.65%. **Brightness** contributes the most to this high score (97.03%), while Noise contributes the least (0.58%). Rotation has a moderate impact (20.41%), reflecting its varied performance across different pairs. These observations highlight the strengths and weaknesses of the AI subsystem under different transformations. The high performance under brightness adjustments indicates robustness to illumination changes, while the challenges with noise and rotation suggest areas for improvement in handling these perturbations.

#### 4.2.4 Analysis of Global Correctness After SHAP Analysis

The analysis of the global correctness graphs for noise transformations, both with and without SHAP analysis, clearly shows the importance of using SHAP to find key areas in the data.

In the first graph, which looks at individual noise pairs, supports this finding by consistently showing lower correctness for each pair when SHAP analysis is used. The pattern of reduced performance across different pairs indicates that SHAP is effective at identifying critical parts of the data that, when altered, reveal the model's weaknesses. The second graph, we see that the global correctness for noise transformations drops dramatically from 58% without SHAP to just 0.25% with SHAP. This significant drop suggests that when the most important pixels identified by SHAP are changed, the model's performance suffers greatly. This is important because it helps us find areas where the model is weakest against noise.

These results demonstrate that using SHAP to create test cases by focusing on important pixels is a powerful method for discovering counterexamples. By systematically changing these key areas, we can stress-test the model and uncover its limitations under noisy conditions. This approach not only highlights where the model currently struggles but also points to ways we can improve its robustness. By addressing these weaknesses, we can build more reliable models that perform well even when there is noise in the data.

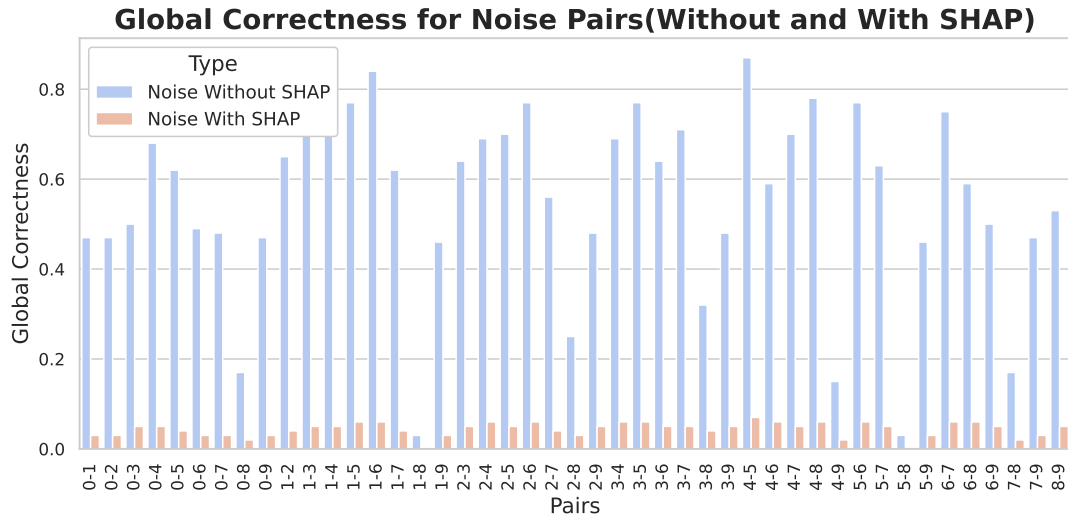


FIGURE 4.5: Global Correctness for Noise pairs

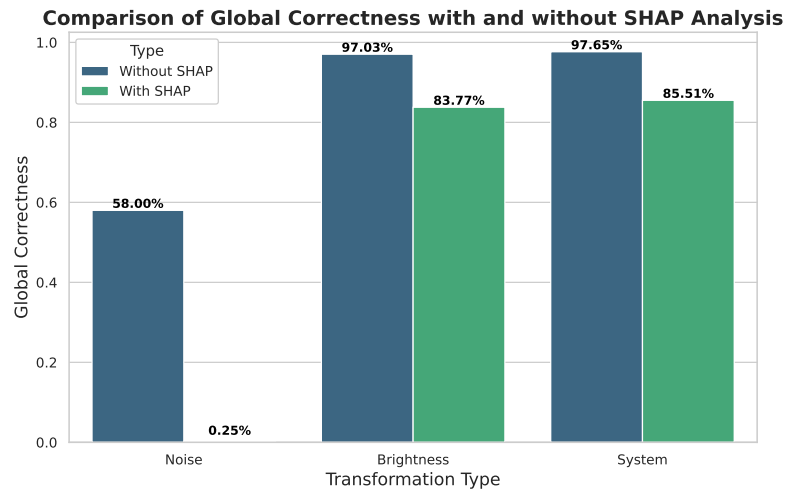


FIGURE 4.6: Combine Global Correctness

### 4.3 Use Case 2: Autonomous Vehicle Perception

In this use case, we investigate the robustness of an AI system for autonomous vehicles in detecting objects, particularly vehicles, under various weather conditions including fog, rain, snow, and sand. The goal is to assess the system's performance across these challenging environments to ensure reliable operation.

The dataset was split into training and validation sets, with class balancing performed through oversampling to address any class imbalances. Data augmentation techniques such as rotation, width and height shifts, shear transformation, zoom, and horizontal flips were applied to the training set to enhance the model's generalizability.

The trained model's performance was evaluated on a balanced validation set resampled to ensure uniform class distribution.

### 4.3.1 Local Correctness Analysis

The local correctness of the model for each weather condition is depicted in the first graph. The AI system exhibits the following correctness values: - **Fog:** The detection correctness is 51%, indicating moderate performance. Fog conditions likely introduce significant visual obstructions that challenge the model's ability to correctly identify vehicles. - **Rain:** Achieving a correctness of 75%, the model performs relatively well in rainy conditions, suggesting robustness to moderate visual disturbances caused by rain. - **Snow:** Similar to rain, the system shows a correctness of 75%, demonstrating its capability to handle snowy environments, where the visual contrast might be reduced. - **Sand:** With the highest correctness of 88%, the model excels in sandy conditions, possibly due to clearer visibility compared to other adverse weather scenarios.

### 4.3.2 Global Correctness Analysis

The second graph illustrates the global correctness for vehicle detection under different combination methods of weather conditions:

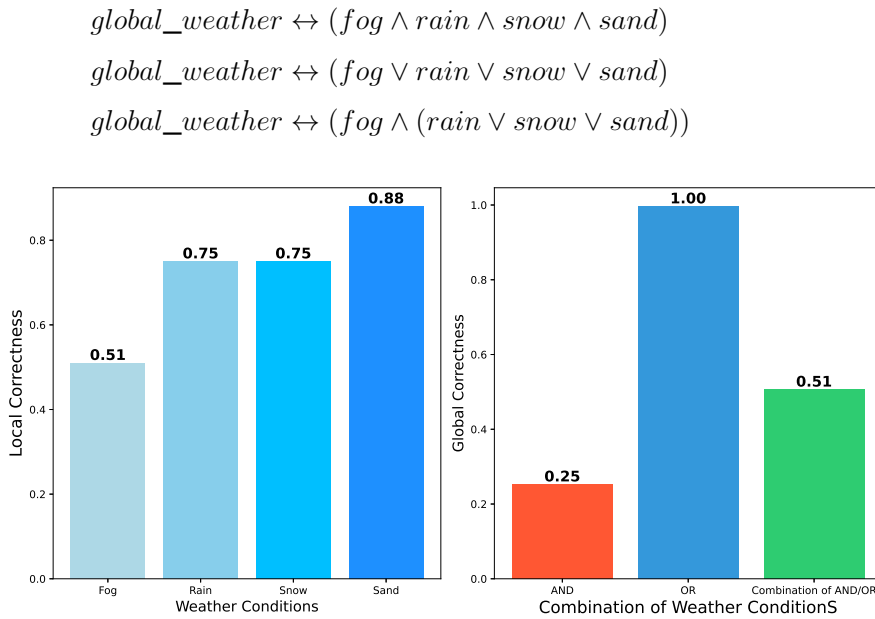


FIGURE 4.7: Local and Global Correctness of Vehicle Detection Under Various Weather Conditions

- **AND (Intersection):** The model's correctness is 25%. This low value reflects the stringent requirement for the system to correctly detect vehicles under all

specified conditions simultaneously, highlighting potential vulnerabilities when multiple weather challenges are present.

- **OR (Union):** Achieving a perfect correctness of 100%, the model successfully detects vehicles under at least one of the conditions. This high performance underscores the system's reliability when at least one favorable condition is present.
- **Combination of AND/OR:** The correctness stands at 51%, representing a balanced approach where the model must correctly detect vehicles under fog and any one of the other conditions (rain, snow, or sand). This mixed strategy provides a realistic measure of the system's robustness in practical scenarios with varying weather conditions.

# Chapter 5

## PhD Two-Year Plan

### 5.1 Research Modules

I have categorized my research into seven modules as depicted in Figure 5.1: Module 1 (DNN Testing Framework), Module 2 (Specification), Module 3 (Sampling), Module 4 (Interpretability), Module 5 (Testcase Generation), Module 6 (Coverage Criteria), and Module 7 (Error Summarization).

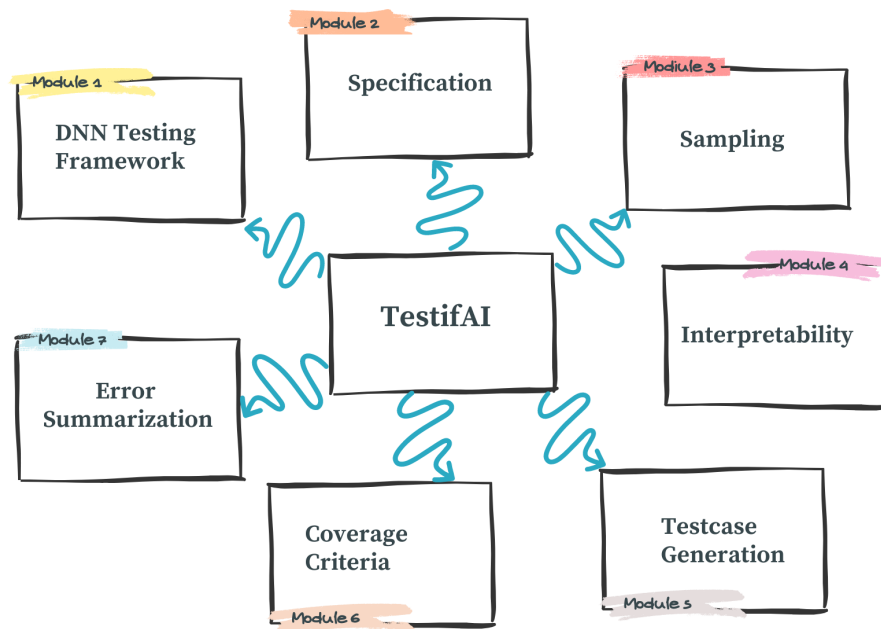


FIGURE 5.1: Research Modules

### 5.2 Mapping of Research Modules to Objectives

The research is structured into seven distinct modules, each addressing a specific objective. Table 5.1 outlines the mapping of these research modules to their corresponding

objectives discussed in Section 1.3.

| Research Modules      | Research Objectives |
|-----------------------|---------------------|
| DNN Testing Framework | Obj1                |
| Specification         | Obj2                |
| Sampling              | Obj3                |
| Interpretability      | Obj4                |
| Testcase Generation   | Obj5                |
| Coverage Criteria     | Obj6                |
| Error Summarization   | Obj7                |

TABLE 5.1: Mapping of Research Modules to Objectives

These modules are further divided into specific tasks to streamline the research process:

### 5.2.1 DNN Testing Framework (Module 1, $M_{Oct24}$ - $M_{Sep25}$ , 43% completion)

This module focuses on developing a comprehensive testing framework for DNNs. So far, 43% of the work is done, including designing the framework, identifying key components, and implementing methods like adversarial and semantic adversarial testcase generation. Previous methods, such as resampling and testcase generation is combined with new solutions like local and global coverage to create a functional pipeline. Next year, I will refine and integrate all components to complete the framework. I have divided it into subtasks. Let's discuss each one in detail.

**5.2.1.1 Literature review ( $M_{Oct24}$  -  $M_{Dec24}$ , 50% completion)** I have reviewed 50% of existing DNN testing methods and identified key requirements. Moving forward, I will continue to outline comprehensive testing needs based on further findings.

**5.2.1.2 Designing a conceptual framework ( $M_{Oct24}$  -  $M_{Nov24}$ , 80% completion)** I have designed 80% of the framework. I will automate the remaining 20% of the framework flow according to specified requirements, starting in October 2024.

**5.2.1.3 Design local and global coverage flow ( $M_{Oct24}$  -  $M_{Dec24}$ , 80% completion)** The design of the local and global coverage flow is 80% complete. I will focus on gaining more proficiency in running multiple scenarios, models, and datasets, and implementing existing coverage metrics to validate my local and global coverage concept.

**5.2.1.4 Implementing the simple real life example to calculate local to global robustness ( $M_{Oct24}$  -  $M_{Nov24}$ , 70% completion)** Implemented a simple real-life



example to calculate local to global robustness, reaching 70% completion. The remaining work involves running this example on different DNNs to test effectiveness and further validate the approach.

**5.2.1.5 Implement probabilistic logic programming to calculate global coverage with simple examples (M<sub>Oct24</sub> - M<sub>Nov24</sub>, 80% completion)** Set clear criteria for calculating the global coverage. Successfully implemented ProbLog by running a few simple examples, such as an adder and detecting different weather conditions by assuming specifications. These examples were successfully executed using ProbLog. In the coming months, I will run more complex scenarios and datasets related to autonomous driving cars.

**5.2.1.6 Integrate probLog code with python code (M<sub>Oct24</sub> - M<sub>Dec24</sub>, 80% completion)** I successfully integrated ProbLog syntax with Python for simple scenarios. In the future, I will focus on integrating it with more complex scenarios and optimizing the code for these complex scenarios.

**5.2.1.7 Apply framework to different datasets (M<sub>Oct24</sub> - M<sub>Jun25</sub>, 50% completion)** I have applied the framework, which includes both existing and my proposed components, to the CIFAR, MNIST, and DAWN datasets, reaching 50% completion. In the future, I will move to more complex datasets, such as those related to autonomous vehicles and other advanced scenarios.

**5.2.1.8 Implement existing criteria and integrate proposed coverage criteria (M<sub>Nov24</sub> - M<sub>Jan25</sub>, 40% completion)** I have implemented proposed coverage criteria (local and global) on simple examples, reaching 40% completion. In the future, I will also implement existing criteria to compare and validate the results of my proposed criteria.

**5.2.1.9 Implement and integrate test cases (M<sub>Dec24</sub> - M<sub>March25</sub>, 42% completion)** Implemented various adversarial examples from literature, such as FGSM, BIM and DeepFool, etc., using Foolbox and Adversarial Toolbox library. Additionally, I have implemented semantic adversarial examples like rotation, brightness, noise, and blur using Python code, 42% is completed. In the future, I will focus on automating these processes and integrating this module into the framework.

**5.2.1.10 Implement and integrate interpretability analysis to identify critical features (M<sub>Oct24</sub> - M<sub>Dec24</sub>, 42% completion)** I have explored and applied interpretability techniques, specifically SHAP, to identify critical features in CIFAR and MNIST datasets, reaching 42% completion. This approach is unique as most research focuses on using these techniques for defensive mechanisms against adversarial examples. In the future, I will explore additional interpretability techniques like LIME and investigate how to better utilize them for my framework, as interpretability is a vast domain with significant potential for enhancing my study.

**5.2.1.11 Develop and integrate efficient sampling approach (M<sub>Jan25</sub> - M<sub>Mar25</sub>, 40% completion)** I have read several sampling techniques that are not commonly used by researchers for testing DNNs. I have identified techniques like Borderline SMOTE and ADASYN for finding and prioritize the corner cases, which are not typically used for this purpose in the literature. In the future, I will apply these techniques and develop improved methods for efficient sampling to identify more corner cases.

**5.2.1.12 Develop and integrate error summarization modules (M<sub>June25</sub> - M<sub>Aug25</sub>, 0% completion)** I found no existing literature on this component. I have planned to develop a new method for detailed error summarization. This part has not been started yet and will be addressed at the end after implementing all other components.

**5.2.1.13 Integrate all developed techniques (M<sub>Aug25</sub> - M<sub>Sep25</sub>, 0% completion)** After working on individual components, I will integrate all components to work automatically within the framework. I will also apply existing methods of different literature papers to validate my proposed framework.

**5.2.1.14 Generate results on different datasets and make scenarios to validate this framework (M<sub>Aug25</sub> - M<sub>Sep25</sub>, 35% completion)** Currently working with CIFAR, DAWN, and MNIST datasets, reaching 35% completion. In the future, I will work with more datasets to further validate the framework.

## **5.2.2 Specification (Module 2, M<sub>Jan25</sub> - M<sub>May25</sub>, 0% completion)**

I have not yet addressed this module in terms of literature or practical work. I tried to find relevant papers, but no significant work focuses on this area. Currently, I assume specifications based on user requirements and perform experiments. In the future, I will automate this part to align the framework with user requirements. I divided this module into subtasks. Let's discuss each one.

**5.2.2.1 Read literature about how specification is specified in other systems (M<sub>Jan25</sub> - M<sub>Apr25</sub>, 0% completion)** I plan to work on this in Jan25, after implementing other components of framework. This task will involve reading literature about how specifications are specified in other systems.

**5.2.2.2 Find a way to define specification (M<sub>Mar25</sub> - M<sub>Apr25</sub>, 0% completion)** I plan to work on this from Mar25 to Apr25. I will investigate how specifications are defined in other systems, whether they use templates or specific criteria. Additionally, I will determine if I need a template or criteria to define specifications, and how users should provide these, whether in raw form or a specific format.

**5.2.2.3 How to pass specifications to ProbLog (M<sub>Apr25</sub> - M<sub>May25</sub>, 0% completion)** I will explore methods to efficiently pass specifications to ProbLog. This

includes examining the required format and steps needed for integration between the defined specifications and the ProbLog system.

**5.2.2.4 How to automatically change specifications into desired format of framework (M<sub>Apr25</sub> - M<sub>May25</sub>, 0% completion)** I will work on automating the conversion of specifications into the desired format for the framework. This task involves developing a method to transform user-provided specifications into a format compatible with the proposed framework.

### **5.2.3 Sampling (Module 3, M<sub>Jan25</sub> - M<sub>Mar25</sub>, 40% completion)**

Currently, I have achieved 40% completion by implementing existing sampling techniques specifically for DNN testing. However, I have not explored these techniques in detail. The detailed examination is still pending. So far, I have only implemented these techniques to determine their feasibility, as there is limited research in this area. The module has been separated into subtasks. Let's go through them individually.

**5.2.3.1 Reading papers related to sampling techniques and identify gaps (M<sub>Jan25</sub> - M<sub>Feb25</sub>, 50% completion)** I will read various papers related to sampling techniques and identify gaps and potential areas for improvement. This task is already 50% complete, covering initial literature review and gap identification.

**5.2.3.2 Develop efficient sampling technique (M<sub>Feb25</sub> - M<sub>Feb25</sub>, 0% completion)** After identifying gaps in existing techniques, I will develop my own efficient sampling technique specifically for DNN testing. This task aims to create methods that can identify corner cases and enhance overall sampling efficiency.

**5.2.3.3 Implement existing sampling techniques (M<sub>Mar25</sub> - M<sub>Mar25</sub>, 70% completion)** I will implement existing sampling techniques, which is already 70% complete. This involves further testing of these techniques to ensure they are effective for DNN testing.

**5.2.3.4 Automate sample generation according to specification (M<sub>Mar25</sub> - M<sub>Mar25</sub>, 0% completion)** I will work on automating the sample generation process according to specified criteria. This task aims to create an efficient method for generating samples that meet the defined specifications.

### **5.2.4 Interpretability (Module 4, M<sub>Oct24</sub> - M<sub>Dec24</sub>, 42% completion)**

This module focuses on applying interpretability techniques to DNNs. Currently, I have achieved 42% completion by implementing specific methods like SHAP to identify critical features in datasets such as CIFAR and MNIST. Future work will include exploring

additional interpretability techniques and further integrating these methods into the framework. I have organized it into subtasks. Let's delve into each one specifically.

**5.2.4.1 Literature review ( $M_{Oct24}$  -  $M_{Nov24}$ , 30% completion)** I will conduct a literature review on interpretability techniques for DNNs. Specifically, I will focus on how to use these techniques to identify critical pixels for effective test case generation, an area that has not been widely explored.

**5.2.4.2 Implement SHAP tool ( $M_{Oct24}$  -  $M_{Nov24}$ , 100% completion)** Successfully implemented the SHAP tool to identify critical features in DNNs. This task is 100% complete, providing insights into which pixels are most important for generating effective test cases.

**5.2.4.3 Apply SHAP to identify important pixels ( $M_{Oct24}$  -  $M_{Nov24}$ , 80% completion)** I have applied the SHAP tool to identify important pixels in DNNs, reaching 80% completion. In the future, I will apply this technique to different scenarios and datasets to further validate its effectiveness.

**5.2.4.4 Explore other interpretability analysis techniques ( $M_{Oct24}$  -  $M_{Nov24}$ , 0% completion)** I will explore other interpretability techniques, such as LIME, to identify key features that can guide the generation of optimal test cases for evaluating model robustness. This task is scheduled from  $M_{Oct24}$  -  $M_{Nov24}$ , with 0% completion currently.

**5.2.4.5 Automate interpretability approach in test case generation module ( $M_{Nov24}$  -  $M_{Dec24}$ , 0% completion)** I will automate the interpretability approach in the test case generation module. This task aims to integrate advanced interpretability techniques to identify critical features in the dataset, which will be used to create effective test cases.

## **5.2.5 Testcase Generation (Module 5, $M_{Dec24}$ - $M_{Mar25}$ , 42% completion)**

This module focuses on generating test cases for DNNs. Currently, I have achieved 42% completion by implementing various adversarial and semantic test case generation techniques. Future work will involve automating these processes and integrating them into the overall framework. The module is divided into subtasks. Let's review each one in detail

**5.2.5.1 Literature review ( $M_{Dec24}$  -  $M_{Feb25}$ , 50% completion)** Conducted a literature review on test case generation techniques for DNNs, reaching 50% completion. This task covered the period from  $M_1$  to  $M_{18}$ , identifying key methods and gaps in the current research.

**5.2.5.2 Exploring libraries for test case generation ( $M_{Dec24}$  -  $M_{Jan25}$ , 80% completion)** Explored various libraries for test case generation, reaching 80% completion.

This involved evaluating tools and frameworks that can be utilized for generating test cases for DNNs.

**5.2.5.3 Implementing adversarial attacks and semantic adversarial test cases (M<sub>Dec24</sub> - M<sub>Dec24</sub>, 80% completion)** I have implemented adversarial attacks and semantic adversarial test cases, reaching 80% completion. This involved creating test cases that simulate real-world adversarial scenarios and environmental variations to evaluate the robustness of DNNs.

**5.2.5.4 Apply existing test case generation methods to benchmark datasets (M<sub>Jan25</sub> - M<sub>Feb25</sub>, 0% completion)** I will apply existing test case generation methods to benchmark datasets and analyze the results. This task is scheduled from M<sub>13</sub> to M<sub>14</sub>, with 0% completion currently.

**5.2.5.5 Automate proposed test generation module (M<sub>Feb25</sub> - M<sub>Mar25</sub>, 0% completion)** I will work on automating the proposed test generation module. This task aims to develop an efficient process for generating test cases automatically based on the proposed methods.

## **5.2.6 Coverage Criteria (Module 6, M<sub>Nov24</sub> - M<sub>Jan25</sub>, 40% completion)**

This module focuses on developing and implementing coverage criteria for DNN testing. Currently, I have achieved 40% completion by identifying and partially implementing existing coverage criteria. Future work will involve refining these criteria and integrating them into the overall framework. I have broken this module into subtasks. Let's go over each one in detail.

**5.2.6.1 Literature review on coverage criteria (M<sub>Nov24</sub> - M<sub>Dec24</sub>, 40% completion)** I have reviewed literature on coverage criteria and discovered that existing methods primarily address internal structures of DNNs, often overlooking comprehensive coverage. I will continue to explore this area further by examining additional literature to identify and address these gaps in coverage methodologies

**5.2.6.1 Identify gaps (M<sub>Nov24</sub> - M<sub>Dec24</sub>, 80% completion)** I have extensively reviewed relevant literature on coverage criteria, identifying key gaps where current methods fall short, particularly in comprehensive internal coverage of DNNs. This review has guided the development of new coverage concepts. Future work will focus on addressing these gaps and applying the proposed criteria to further test DNNs.

**5.2.6.3 Apply existing coverage criteria to benchmark datasets (M<sub>Nov24</sub> - M<sub>Dec24</sub>, 0% completion)** I plan to apply existing coverage criteria to benchmark datasets like CIFAR and MNIST. This task will involve evaluating the effectiveness of these criteria to understand their performance and limitations.

**5.2.6.4 Reading literature on probLog to understand its application in calculating DNN global coverage ( $M_{Dec24}$  -  $M_{Dec24}$ , 50% completion)** I will review literature on ProbLog to understand its application for calculating global coverage in DNNs. This review will explore how ProbLog has been used for global coverage analysis.

**5.2.6.5 Understand the probLog language and editor ( $M_{Nov24}$  -  $M_{Jan25}$ , 70% completion)** I have achieved a 70% understanding of the ProbLog editor, including basic rule definitions and query manipulations. Further efforts will focus on this knowledge and learn advanced features to effectively implement ProbLog-based solutions for coverage criteria.

**5.2.6.6 Implementing and automating probLog for DNN coverage calculations ( $M_{Dec24}$  -  $M_{Jan25}$ , 0% completion)** I will implement and automate ProbLog to calculate DNN coverage. This will involve integrating ProbLog with the framework and automating its use to ensure accurate and efficient coverage calculations.

## **5.2.7 Error Summarisation (Module 7, $M_{Jun25}$ - $M_{Aug25}$ , 0% completion)**

This module, starting in June 2025, will focus on developing methods for summarising errors in DNN testing. It will involve creating a new approach for error analysis and summarisation, following the completion of all previous modules. I have split the work into subtasks. Let's discuss them one by one.

**5.2.7.1 Find ways to properly summarise the counter examples ( $M_{Jun25}$  -  $M_{July25}$ , 0% completion)** I will explore methods to effectively summarise counterexamples in DNN testing. This will involve identifying techniques for detailed error analysis and summarisation to understand the weakness of DNNs.

**5.2.7.2 Best visuals to represent errors report ( $M_{July25}$  -  $M_{Aug25}$ , 0% completion)** I will identify and implement effective visualizations to represent error reports. This involves evaluating various visualization techniques to determine which best conveys error patterns and insights, enhancing the clarity and usefulness of error summaries.

**5.2.7.3 Integrate error summarisation module in framework ( $M_{July25}$  -  $M_{Aug25}$ , 0% completion)** I will integrate the error summarisation module into the existing framework. This will involve ensuring that the module works smoothly with other components and effectively summarises errors generated during testing, providing a comprehensive view of DNNs performance and issues.

## 5.3 Mapping of Research Milestones to Objectives

This section outlines the key milestones in the research timeline. The planned milestones and their associated research objectives are detailed in Table 5.2. This table maps each milestone to the specific objectives it addresses, including major conferences, journal papers, and thesis-related activities.

**MS1: Conference 1** At the first conference, I will present an end-to-end solution. This will include local and global coverage criteria and different approaches to interpretability analysis for identifying key features. The aim is to showcase the DNN testing framework and provide new insights based on preliminary results.

**MS2: Conference 2** At the second conference, my focus will be on formalising the specification process for our framework. I will explore how to define and pass user specifications to the framework, considering whether any standards or templates are needed. The presentation will address methods for customising and automating these specifications to enhance the framework's functionality.

**MS3: Journal 1** Following the conference, I will write a journal paper detailing the end-to-end framework. This paper will cover the integration of proposed specifications, interpretability analysis, and coverage criteria techniques. It will present a thorough experimental analysis using complex problems and datasets to evaluate the effectiveness of the framework, demonstrating its practical impact and benefits.

**MS4: Conference 3** At the third conference, I will focus on sampling techniques, specifically how to cover all relevant samples, including corner cases, to ensure thorough testing of the entire system. I will review existing sampling methods used across different domains and assess their effectiveness in identifying corner cases. Additionally, I will propose a new sampling technique to address gaps identified in current methods, aiming to improve the comprehensiveness of sample coverage.

**MS5: Conference 4** For the fourth conference, I will concentrate on error summarisation, specifically how to effectively summarise and categorize errors that serve as counterexamples for the system. The goal is to identify patterns and categorize these errors to pinpoint system weaknesses. This presentation will explore methods for organizing and interpreting errors to provide insights into the system's vulnerabilities and areas for improvement.

**MS6: Journal 2** The second journal paper will concentrate on the end-to-end framework, integrating the proposed sampling techniques, valid test case generation methods, and error summarisation approaches. It will include detailed experimental analyses using complex problems and datasets to evaluate the effectiveness of the framework. The paper will provide a comprehensive examination of how these integrated components enhance the framework's performance and reliability.

**MS7: Thesis Writing** I will draft the thesis, integrating all research objectives, methodologies, and results. This will involve organizing and presenting comprehensive findings.

**MS8: Thesis Submission** I will submit the finalized thesis to the academic committee for review, incorporating feedback and ensuring that all research objectives and contributions are documented.

**MS9: Defense and Final Submission** I will prepare for and conduct the thesis defense, make final revisions based on feedback, and submit the final version of the thesis, completing the research project.

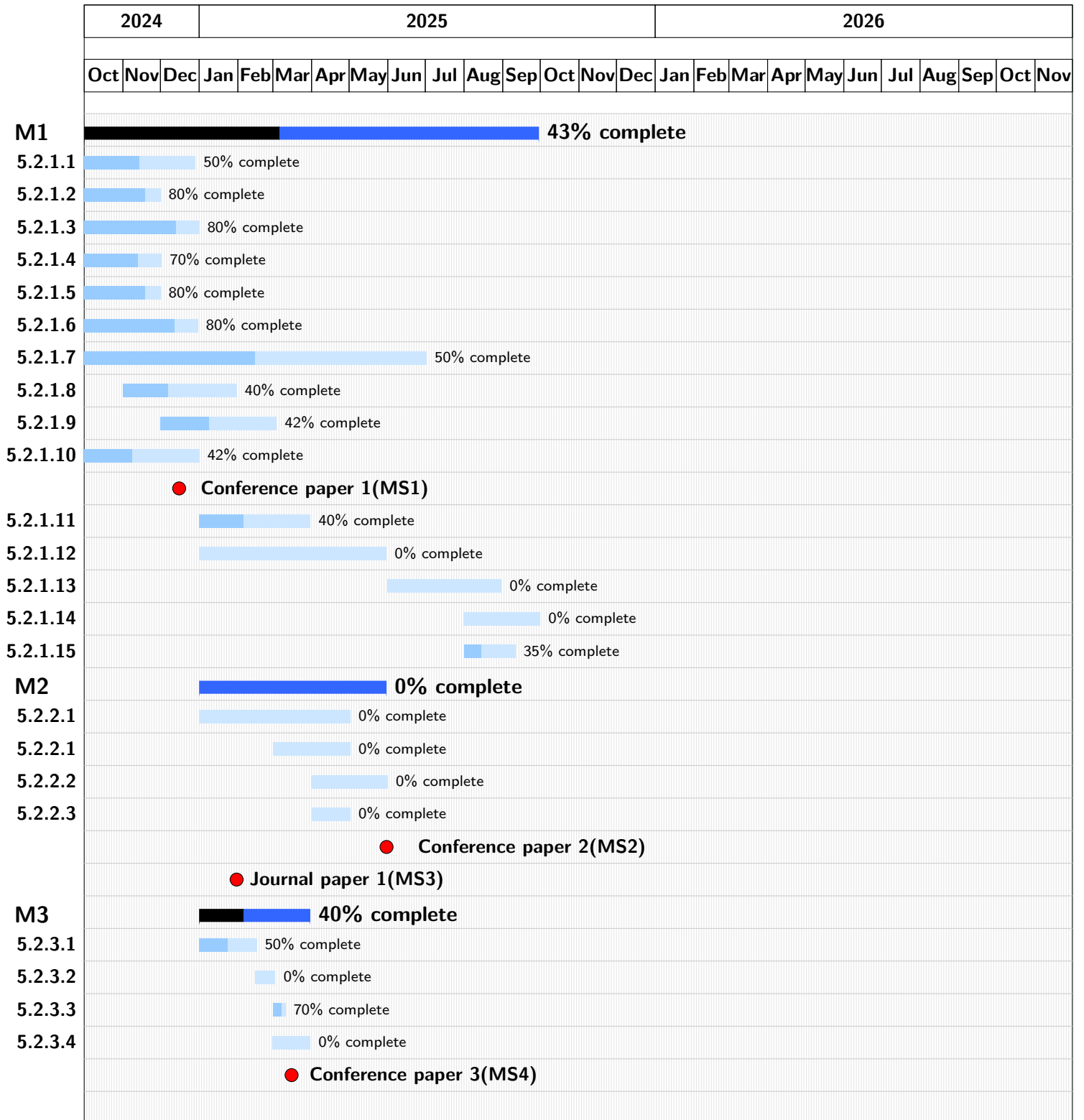
| Milestones   | Research Objectives  |
|--|--|
| Conference 1 (EuroML Conf 2025)                            | Obj1, 4, 6   |
| Conference 2 (ICSE 2025)                                   | Obj2   |
| Journal paper 1 (Neural Networks)                          | Obj1, 2, 4, 6  |
| Conference 3 (ASE 2025)                                    | Obj3   |
| Conference 4 (ICST 2025)                                   | Obj7   |
| Journal paper 2 (IEEE Transaction on Software Engineering) | Obj1, 3, 5, 7  |
| Thesis writing   | compile and synthesize research findings                     |
| Thesis submission  | finalize and submit the complete thesis                      |
| Defense and final submission                               | present research, address feedback, and submit final version |

TABLE 5.2: Mapping of Research Milestones to Objectives

## 5.4 Gantt Chart for Task-Wise Completion

The Gantt chart in Figure. 5.2 provides a clear timeline and progress overview for the research project. Modules, such as Module 1 (M1), Module 2 (M2), and Module 3 (M3), are depicted with color-coded bars to indicate their progress. The dark blue bars represent the percentage of work completed within each module, reflecting the overall progress. In contrast, black lines show the completion status for each Module. Tasks following the M1,2,3..7, are represented by blue lines. The sky blue bars indicate the percentage of completion for these tasks, while the light blue bars represent the remaining portion that is still pending. Milestones, such as Conference paper 1 (MS1), is marked with red circles, highlighting key achievements and deadlines. This color-coding effectively communicates the status and progress of various tasks and milestones throughout the project.





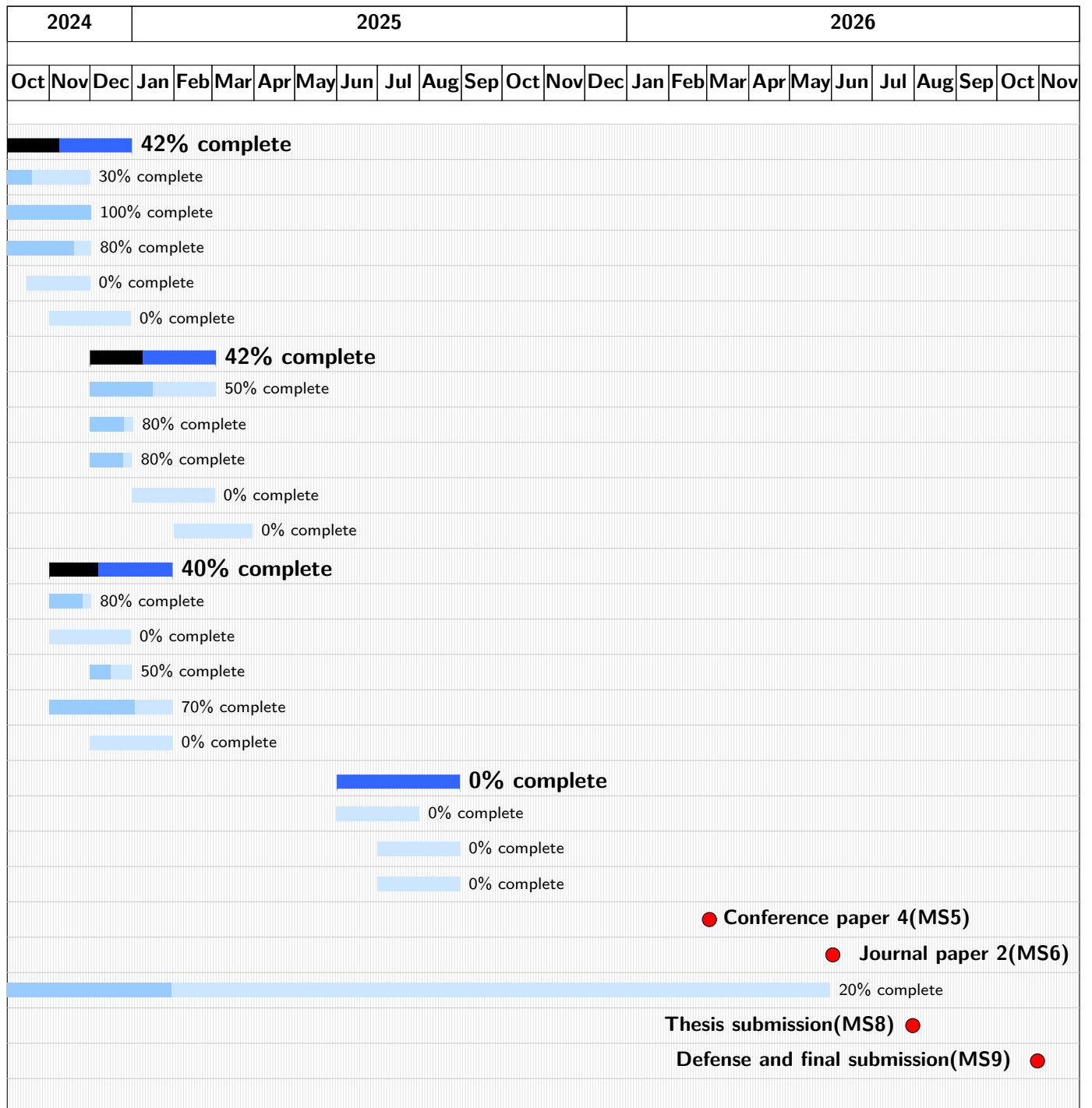


FIGURE 5.2: Gantt chart illustrating the timeline and progress of research milestones and tasks.

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# Appendix A

**LOCAL COVERAGE** refers to evaluating the DNN performance and robustness for each individual class in a dataset separately. This includes assessing correctness and robustness under various transformations or test cases for each class independently. Section 6 of Chapter 1.

**GLOBAL COVERAGE** involves assessing the AI system performance and robustness in real-world scenarios where multiple classes interact together. This ensures the model correctness and robustness in dynamic environments with complex class combinations. Section 6 of Chapter 1.

**COMPREHENSIVE** refers to a structured and complete approach designed to cover all necessary aspects and components of a particular system or process. It ensures that every critical element is included and addressed, leaving no gaps. Section 1.1 of Chapter 1.

**SYSTEMATIC** refer to an organized approach, often characterized by step-by-step procedures. Section ?? of Chapter 1.