

# A Categorical Framework for Testing Generalised Tree automata

Bálint Kocsis

Radboud University

CALCO, June 17, 2025

# Summary

- Motivation: equivalence query in **automata learning**

# Summary

- Motivation: equivalence query in **automata learning**
- Provide a **categorical framework** for **testing black-box systems**

# Summary

- Motivation: equivalence query in **automata learning**
- Provide a **categorical framework** for **testing black-box systems**
- Generalise the gist of the completeness proof for DFAs/Mealy machines to a categorical level

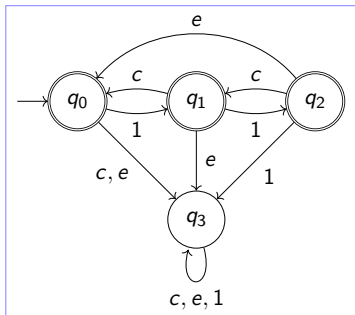
# Summary

- Motivation: equivalence query in **automata learning**
- Provide a **categorical framework** for **testing black-box systems**
- Generalise the gist of the completeness proof for DFAs/Mealy machines to a categorical level
- Based on recent work [KR25]

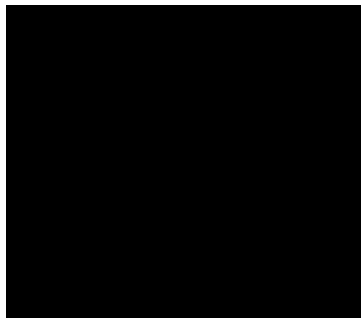
# Outline

- 1 Introduction
  - Conformance Testing
  - The W-method
- 2 Further generalisation
  - Automata
  - Main result
- 3 Conclusion

# Idea of conformance testing

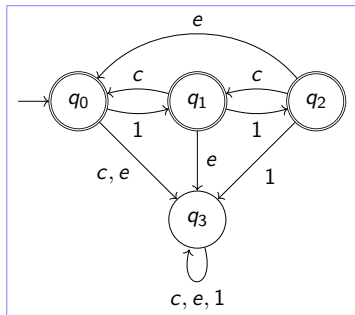


(a) Specification

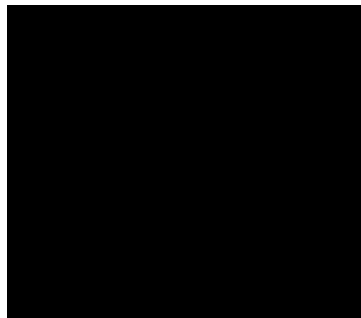


(b) Implementation

# Idea of conformance testing



(a) Specification



(b) Implementation

Are they equivalent?

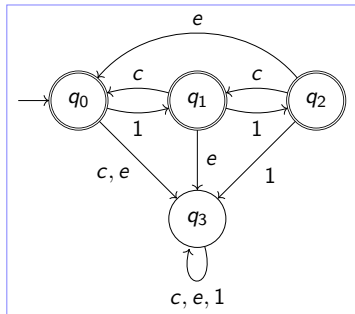


# Testing

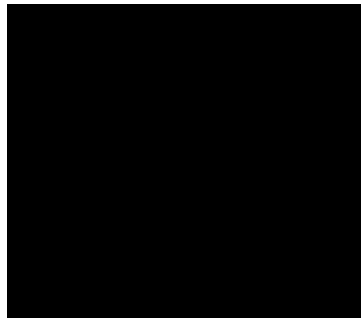
To decide equivalence, **the only thing we can do is testing!**

## Testing

To decide equivalence, **the only thing we can do is testing!**



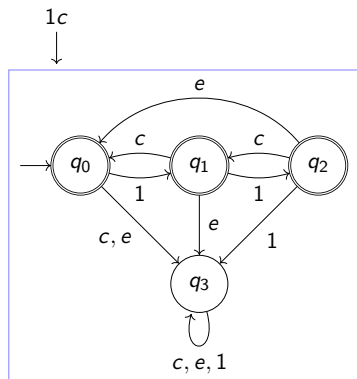
(a) Specification



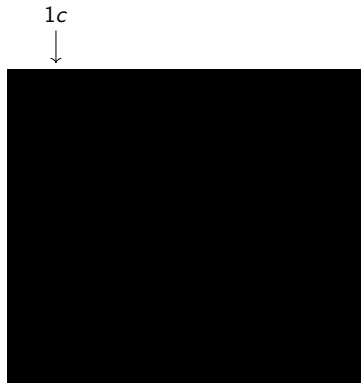
(b) Implementation

# Testing

To decide equivalence, the only thing we can do is testing!



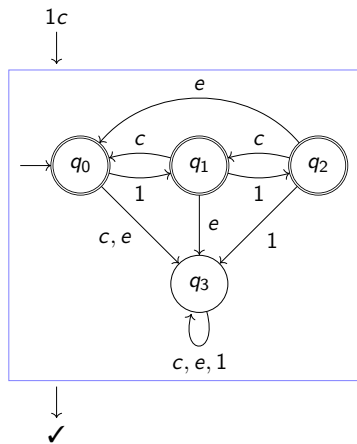
(a) Specification



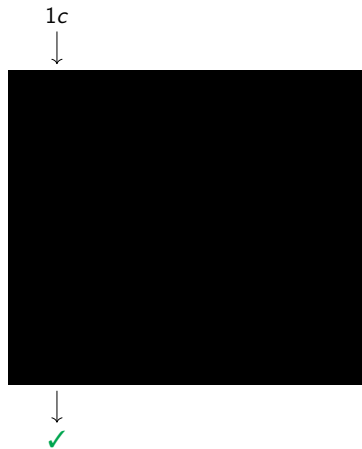
(b) Implementation

# Testing

To decide equivalence, the only thing we can do is testing!



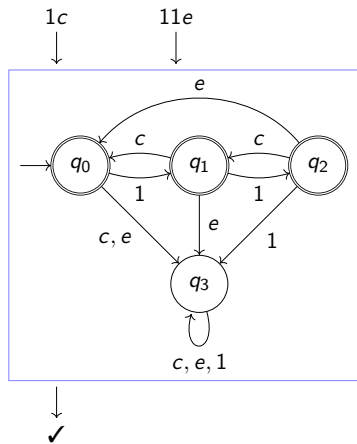
(a) Specification



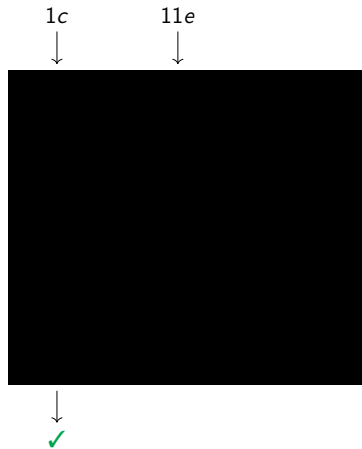
(b) Implementation

# Testing

To decide equivalence, the only thing we can do is testing!



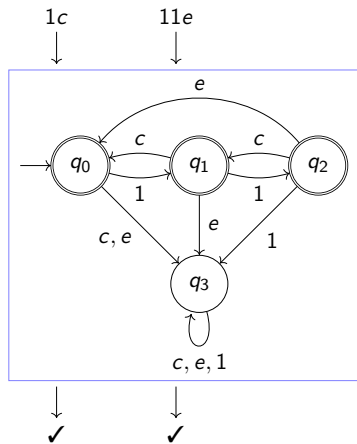
(a) Specification



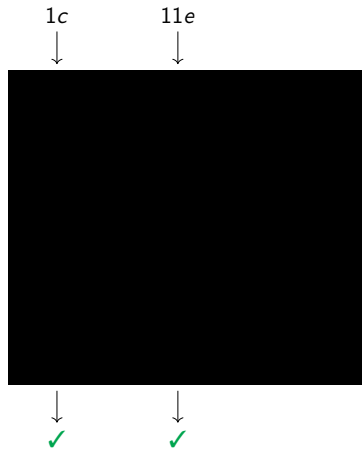
(b) Implementation

# Testing

To decide equivalence, the only thing we can do is testing!



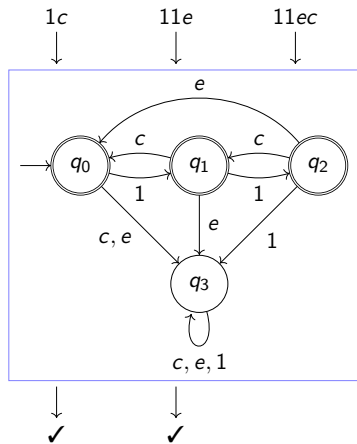
(a) Specification



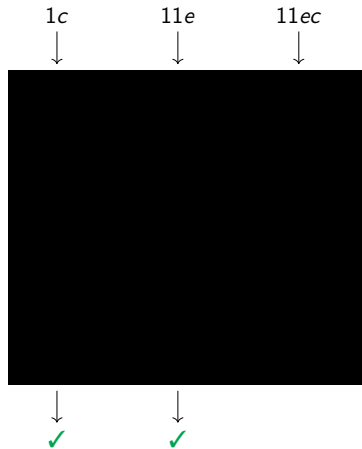
(b) Implementation

# Testing

To decide equivalence, the only thing we can do is testing!



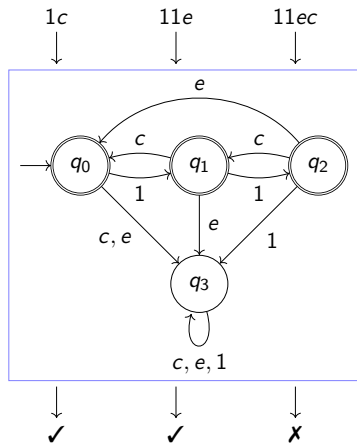
(a) Specification



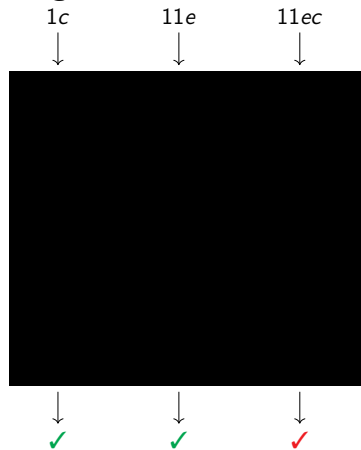
(b) Implementation

# Testing

To decide equivalence, the only thing we can do is testing!



(a) Specification

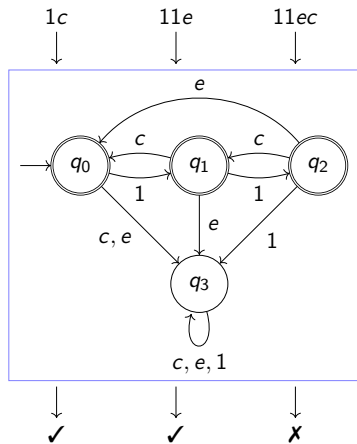


(b) Implementation

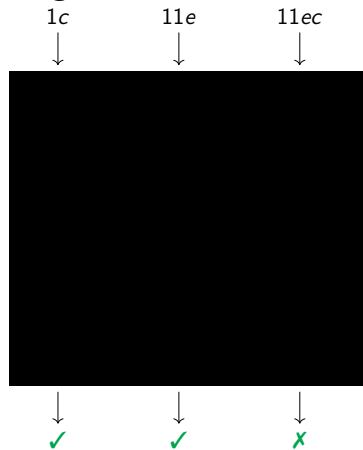


# Testing

To decide equivalence, the only thing we can do is testing!



(a) Specification



(b) Implementation

What if we pass all the tests?

# Completeness

- Testing cannot be exhaustive: for any test suite, we can construct a (large) faulty implementation that passes all the tests

# Completeness

- Testing cannot be exhaustive: for any test suite, we can construct a (large) faulty implementation that passes all the tests
- More formally, no **complete test suite** exists

# Completeness

To obtain completeness, we restrict the space of possible (faulty) implementations

# Completeness

To obtain completeness, we restrict the space of possible (faulty) implementations

Definition ([VFM24])

A **fault domain** is a collection of DFAs.

E.g.  $\mathcal{U}_m = \{\mathcal{M} \mid \mathcal{M} \text{ has at most } m \text{ states}\}$

# Completeness

To obtain completeness, we restrict the space of possible (faulty) implementations

## Definition ([VFM24])

A **fault domain** is a collection of DFAs.

E.g.  $\mathcal{U}_m = \{\mathcal{M} \mid \mathcal{M} \text{ has at most } m \text{ states}\}$

Fix a specification  $\mathcal{S}$

## Definition ([VFM24])

A test suite  $T \subseteq \Sigma^*$  is **complete** for  $\mathcal{S}$  with respect to a fault domain  $\mathcal{U}$  if  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$  for all  $\mathcal{M} \in \mathcal{U}$ .

# Completeness

To obtain completeness, we restrict the space of possible (faulty) implementations

## Definition ([VFM24])

A **fault domain** is a collection of DFAs.

E.g.  $\mathcal{U}_m = \{\mathcal{M} \mid \mathcal{M} \text{ has at most } m \text{ states}\}$

Fix a specification  $\mathcal{S}$

## Definition ([VFM24])

A test suite  $T \subseteq \Sigma^*$  is **complete** for  $\mathcal{S}$  with respect to a fault domain  $\mathcal{U}$  if  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$  for all  $\mathcal{M} \in \mathcal{U}$ .

How do we construct complete test suites?

# The W-method [Cho78, Vas73]

We need:



# The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space

# The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space
- $W \subseteq \Sigma^*$  **characterisation set**: words that **distinguish** states

## The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space
- $W \subseteq \Sigma^*$  **characterisation set**: words that **distinguish** states

$$T_{P,W}^k =$$

Tests are constructed from 3 components:

# The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space
- $W \subseteq \Sigma^*$  **characterisation set**: words that **distinguish** states

$$T_{P,W}^k = P$$

Tests are constructed from 3 components:

- an **access sequence** (in  $P$ ) to reach a specific state in  $\mathcal{S}$ ;

# The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space
- $W \subseteq \Sigma^*$  **characterisation set**: words that **distinguish** states

$$T_{P,W}^k = P \cdot \Sigma^{\leq k+1}$$

Tests are constructed from 3 components:

- an **access sequence** (in  $P$ ) to reach a specific state in  $\mathcal{S}$ ;
- an **infix** (in  $\Sigma^{\leq k+1}$ ) to cover all states and transitions in  $\mathcal{M}$ ;

## The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space
- $W \subseteq \Sigma^*$  **characterisation set**: words that **distinguish** states

$$T_{P,W}^k = P \cdot \Sigma^{\leq k+1} \cdot W$$

Tests are constructed from 3 components:

- an **access sequence** (in  $P$ ) to reach a specific state in  $\mathcal{S}$ ;
- an **infix** (in  $\Sigma^{\leq k+1}$ ) to cover all states and transitions in  $\mathcal{M}$ ;
- a **distinguishing sequence** (in  $W$ ) for testing the reached states in  $\mathcal{S}$  and  $\mathcal{M}$ .

# The W-method [Cho78, Vas73]

We need:

- $P \subseteq \Sigma^*$  **state cover**: words that **cover** the state space
- $W \subseteq \Sigma^*$  **characterisation set**: words that **distinguish** states

$$T_{P,W}^k = P \cdot \Sigma^{\leq k+1} \cdot W$$

Tests are constructed from 3 components:

- an **access sequence** (in  $P$ ) to reach a specific state in  $\mathcal{S}$ ;
- an **infix** (in  $\Sigma^{\leq k+1}$ ) to cover all states and transitions in  $\mathcal{M}$ ;
- a **distinguishing sequence** (in  $W$ ) for testing the reached states in  $\mathcal{S}$  and  $\mathcal{M}$ .

## Theorem

*Suppose  $\mathcal{S}$  has  $n$  states. Then  $T_{P,W}^k$  is complete for  $\mathcal{S}$  with respect to  $\mathcal{U}_{n+k}$ .*

# Proof of completeness

Two steps:



# Proof of completeness

Two steps:

- Construct a state cover for the **implementation**(!!!) from the state cover of the specification  $\leftarrow$  need assumptions on the implementation

# Proof of completeness

Two steps:

- Construct a state cover for the **implementation**(!!!) from the state cover of the specification  $\leftarrow$  need assumptions on the implementation
- Prove equivalence from assumption that all tests pass

# Proof of completeness

Two steps:

- Construct a state cover for the **implementation**(!!!) from the state cover of the specification  $\leftarrow$  need assumptions on the implementation
- Prove equivalence from assumption that all tests pass

## Lemma ([KJR24])

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two DFAs, and suppose  $C$  is a state cover for  $\mathcal{M}$  and  $W$  is a characterisation set for  $\mathcal{S}$ . Let  $T = C \cdot \Sigma^{\leq 1} \cdot W$ . Then  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$ .*

# Proof of completeness

Two steps:

- Construct a state cover for the **implementation**(!!!) from the state cover of the specification  $\leftarrow$  need assumptions on the implementation
- Prove equivalence from assumption that all tests pass

## Lemma ([KJR24])

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two DFAs, and suppose  $C$  is a state cover for  $\mathcal{M}$  and  $W$  is a characterisation set for  $\mathcal{S}$ . Let  $T = C \cdot \Sigma^{\leq 1} \cdot W$ . Then  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$ .*

This lemma was generalised to a categorical setting in [KR25]; we improve on that work

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:



## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:

- **reachability map**  $r_{\mathcal{A}}: T_F I \rightarrow Q$ : maps an input to the state reached upon processing it

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:

- **reachability map**  $r_{\mathcal{A}}: T_F I \rightarrow Q$ : maps an input to the state reached upon processing it
- **behaviour map**  $B_{\mathcal{A}}: T_F I \rightarrow O$ : maps in an input to an output

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:

- **reachability map**  $r_{\mathcal{A}}: T_F I \rightarrow Q$ : maps an input to the state reached upon processing it
- **behaviour map**  $B_{\mathcal{A}}: T_F I \rightarrow O$ : maps in an input to an output
- **observability map**  $o_{\mathcal{A}}: Q \rightarrow [T_F I, O]$ : maps a state to its behaviour

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:

- **reachability map**  $r_{\mathcal{A}}: T_F I \rightarrow Q$ : maps an input to the state reached upon processing it
- **behaviour map**  $B_{\mathcal{A}}: T_F I \rightarrow O$ : maps in an input to an output
- **observability map**  $o_{\mathcal{A}}: Q \rightarrow [T_F I, O]$ : maps a state to its behaviour

Examples:

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:

- **reachability map**  $r_{\mathcal{A}}: T_F I \rightarrow Q$ : maps an input to the state reached upon processing it
- **behaviour map**  $B_{\mathcal{A}}: T_F I \rightarrow O$ : maps in an input to an output
- **observability map**  $o_{\mathcal{A}}: Q \rightarrow [T_F I, O]$ : maps a state to its behaviour

Examples:

- DFAs, NFAs, weighted automata, deterministic nominal automata:  $FX = X \otimes \Sigma$  for an alphabet  $\Sigma$

## Automata in categories [AM75]

$$\begin{array}{ccccc} & & FQ & & \\ & & \downarrow \delta & & \\ I & \xrightarrow{i} & Q & \xrightarrow{f} & O \end{array}$$

- We assume that free  $F$ -algebras  $(T_F X, \gamma_X, \eta_X)$  exist and that  $T_F$  is strong
- $T_F I$  is the object of **inputs**,  $\gamma_I$  is an **extension** operation,  $\eta_I$  is the trivial input

For any automaton  $\mathcal{A}$ , we get three maps:

- **reachability map**  $r_{\mathcal{A}}: T_F I \rightarrow Q$ : maps an input to the state reached upon processing it
- **behaviour map**  $B_{\mathcal{A}}: T_F I \rightarrow O$ : maps in an input to an output
- **observability map**  $o_{\mathcal{A}}: Q \rightarrow [T_F I, O]$ : maps a state to its behaviour

Examples:

- DFAs, NFAs, weighted automata, deterministic nominal automata:  $FX = X \otimes \Sigma$  for an alphabet  $\Sigma$
- **tree automata**:  $FX = \sum_{f \in \Sigma} X^{\text{ar}(f)}$  for an algebraic signature  $\Sigma$

# State covers and characterisation morphisms

'Sets of inputs'  $\sim$  morphisms into  $T_F I$

# State covers and characterisation morphisms

'Sets of inputs'  $\sim$  morphisms into  $T_F I$

## Definition

A morphism  $c: C \rightarrow T_F I$  is called a **state cover** for  $\mathcal{A}$  if  $C \xrightarrow{c} T_F I \xrightarrow{r_{\mathcal{A}}} Q$  is a split epi (and  $\eta_I$  factors through  $c$ ).



# State covers and characterisation morphisms

'Sets of inputs'  $\sim$  morphisms into  $T_F I$

## Definition

A morphism  $c: C \rightarrow T_F I$  is called a **state cover** for  $\mathcal{A}$  if  $C \xrightarrow{c} T_F I \xrightarrow{r_{\mathcal{A}}} Q$  is a split epi (and  $\eta_I$  factors through  $c$ ).

This notion is too strong (existence not guaranteed)  $\Rightarrow$  we need **weak state covers**

# State covers and characterisation morphisms

'Sets of inputs'  $\sim$  morphisms into  $T_F I$

## Definition

A morphism  $c: C \rightarrow T_F I$  is called a **state cover** for  $\mathcal{A}$  if  $C \xrightarrow{c} T_F I \xrightarrow{r_{\mathcal{A}}} Q$  is a split epi (and  $\eta_I$  factors through  $c$ ).

This notion is too strong (existence not guaranteed)  $\Rightarrow$  we need **weak state covers**

## Definition

A morphism  $w: W \rightarrow T_F I$  is called a **characterisation morphism** for  $\mathcal{A}$  if  $Q \xrightarrow{o_{\mathcal{A}}} [T_F I, O] \xrightarrow{[w, \text{id}]} [W, O]$  is a mono (and  $\eta_I$  factors through  $w$ ).

# Main theorem

Recall:

# Main theorem

Recall:

Lemma ([KJR24])

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two DFAs, and suppose  $C$  is a state cover for  $\mathcal{M}$  and  $W$  is a characterisation set for  $\mathcal{S}$ . Let  $T = C \cdot \Sigma^{\leq 1} \cdot W$ . Then  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$ .*

# Main theorem

Recall:

## Lemma ([KJR24])

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two DFAs, and suppose  $C$  is a state cover for  $\mathcal{M}$  and  $W$  is a characterisation set for  $\mathcal{S}$ . Let  $T = C \cdot \Sigma^{\leq 1} \cdot W$ . Then  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$ .*

## Theorem

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two automata. Suppose  $c$  is a weak state cover for  $\mathcal{M}$  and  $w$  is a characterisation morphism for  $\mathcal{S}$ . Let  $t = c^+ \cdot w$ . Then  $B_{\mathcal{S}} \circ t = B_{\mathcal{M}} \circ t$  implies  $B_{\mathcal{S}} = B_{\mathcal{M}}$ .*

# Main theorem

Recall:

## Lemma ([KJR24])

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two DFAs, and suppose  $C$  is a state cover for  $\mathcal{M}$  and  $W$  is a characterisation set for  $\mathcal{S}$ . Let  $T = C \cdot \Sigma^{\leq 1} \cdot W$ . Then  $\mathcal{L}_{\mathcal{S}} \cap T = \mathcal{L}_{\mathcal{M}} \cap T$  implies  $\mathcal{L}_{\mathcal{S}} = \mathcal{L}_{\mathcal{M}}$ .*

## Theorem

*Let  $\mathcal{S}$  and  $\mathcal{M}$  be two automata. Suppose  $c$  is a weak state cover for  $\mathcal{M}$  and  $w$  is a characterisation morphism for  $\mathcal{S}$ . Let  $t = c^+ \cdot w$ . Then  $B_{\mathcal{S}} \circ t = B_{\mathcal{M}} \circ t$  implies  $B_{\mathcal{S}} = B_{\mathcal{M}}$ .*

- $c^+ = [c, \gamma_I \circ Fc]$ : obtained by extending inputs in  $c$  with one symbol
- $a \cdot b = m \circ (a \otimes b)$ : concatenation of the inputs in  $a$  and in  $b$

# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models

# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models
- We generalised the results of [KR25], but the framework is more abstract and cleaner



# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models
- We generalised the results of [KR25], but the framework is more abstract and cleaner
- New applications: all **adjoint automata** and **tree automata**

# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models
- We generalised the results of [KR25], but the framework is more abstract and cleaner
- New applications: all **adjoint automata** and **tree automata**

Future work:

# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models
- We generalised the results of [KR25], but the framework is more abstract and cleaner
- New applications: all **adjoint automata** and **tree automata**

Future work:

- Find abstract conditions on the implementation that allow us to construct state covers for the implementation from state covers of the specification

# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models
- We generalised the results of [KR25], but the framework is more abstract and cleaner
- New applications: all **adjoint automata** and **tree automata**

Future work:

- Find abstract conditions on the implementation that allow us to construct state covers for the implementation from state covers of the specification
- Create abstract algorithms for constructing state covers and characterisation sets

# Conclusion

- We provided a categorical framework for proving completeness of test suites for a wide range of automaton models
- We generalised the results of [KR25], but the framework is more abstract and cleaner
- New applications: all **adjoint automata** and **tree automata**

Future work:

- Find abstract conditions on the implementation that allow us to construct state covers for the implementation from state covers of the specification
- Create abstract algorithms for constructing state covers and characterisation sets
- Implement algorithms for concrete models

# References I



Michael A. Arbib and Ernest G. Manes.

Adjoint machines, state-behavior machines, and duality.

*Journal of Pure and Applied Algebra*, 6(3):313–344, 1975.



Tsun S. Chow.

Testing software design modeled by finite-state machines.

*IEEE Transactions on Software Engineering*, 4(3):178–187, 1978.



Loes Kruger, Sebastian Junges, and Jurriaan Rot.

Small test suites for active automata learning.

In *TACAS (2)*, volume 14571 of *Lecture Notes in Computer Science*, pages 109–129.

Springer, 2024.

## References II



Bálint Kocsis and Jurriaan Rot.

Complete test suites for automata in monoidal closed categories.

In *FoSSaCS*, volume 15691 of *Lecture Notes in Computer Science*, pages 198–219. Springer, 2025.



M. P. Vasilevskii.

Failure diagnosis of automata.

*Cybernetics*, 9(4):653–665, 1973.



Frits W. Vaandrager, Paul Fiterau-Brostean, and Ivo Melse.

Completeness of FSM test suites reconsidered.

*CoRR*, abs/2410.19405, 2024.