# Symbolic Fault Diagnosis of Discrete-Event Systems Based on State-Tree Structures

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## APPENDIX

We need the following definitions and lemmas for the proofs later.

**Definition 1.** [*Observation-Adjacency*] *For any two basic state-trees $b$, $b' \in \mathcal{B}(\mathbf{ST})$, $b'$ is said to be observation-adjacent to $b$ (write as $b \overset{\sigma}{\rightarrowtail} b'$) if there exists a string $s\sigma t$ in which $s, t \in \Sigma_{uo}^*$ and $\sigma \in \Sigma_o$ such that $b' = \Delta(b, s\sigma t)$.* $\Diamond$

Assume in the diagnoser $\mathbf{G}_d = (\mathcal{A}_d, \Sigma_o, \Delta_d, A_{d0}, \hat{\kappa})$ $cl = (A_1, -1) \xrightarrow{\sigma_1} \cdots \xrightarrow{\sigma_{n-2}} (A_{n-1}, -1) \xrightarrow{\sigma_{n-1}} (A_n, -1) \xrightarrow{\sigma_n} (A_1, -1)$ with $n \geq 1$ is an $F$-indeterminate cycle. A cycle $cl' = b_1 \overset{\sigma_1}{\rightarrowtail} \cdots \overset{\sigma_{n-2}}{\rightarrowtail} b_{n-1} \overset{\sigma_{n-1}}{\rightarrowtail} b_n \overset{\sigma_n}{\rightarrowtail} b_1$ is called an *underlying faulty cycle* of $cl$ if $b_i \in A_i$ and $b_i \in B_F$. Intuitively, if there is an $F$-indeterminate cycle, then the system has a cycle in the faulty mode $F$ such that when it evolves on the cycle, it will generate the event sequence periodically. The cycle in the mode $F$ and the corresponding event sequence keeps the diagnoser in the $F$-uncertain cycle indefinitely, and in this case, the system is not diagnosable.

**Lemma 1.** *Let $p = (A_1, -1) \xrightarrow{\sigma_1} \cdots \xrightarrow{\sigma_{n-2}} (A_{n-1}, -1) \xrightarrow{\sigma_{n-1}} (A_n, -1)$ ($n \geq 2$) be a path in the diagnoser $\mathbf{G}_d$. For any $b_n \in A_n$, there exist $b_i \in A_i$ ($1 \leq i \leq n-1$) such that $b_i \overset{\sigma_i}{\rightarrowtail} b_{i+1}$.*

### A. Proof of Theorem 2 in Section III

**Proof**: (only if): Suppose that $\mathbf{G}$ is diagnosable, but there exists an $F$-indeterminate cycle $cl$ in the diagnoser $\mathbf{G}_d = (\mathcal{A}_d, \Sigma_o, \Delta_d, A_{d0}, \hat{\kappa})$. Since $\mathbf{G}_d$ is reachable, there exists an event sequence that can take the diagnoser into a BSTA $A_k$ belonging to $cl$. Let $b_n \in A_n$ belong to an underlying faulty cycle of $cl$. By Lemma 1, there exist basic state-trees $b_1, \cdots, b_{n-1}$ such that $b_i \overset{\sigma_i}{\rightarrowtail} b_{i+1}$ ($1 \leq i \leq n-1$). After reaching $b_n$, the system may remain on the underlying faulty cycle causing the diagnoser to stay on the $F$-indeterminate cycle indefinitely. Therefore, there exists a trajectory for the system leading to basic state-trees in $B_F$ such that the corresponding event sequence throws the diagnoser into a cycle of $F$-uncertain BSTA and keeps it there indefinitely. Hence, the system is not diagnosable, which leads to a contradiction. So the necessity holds.

(if): Assume that no $F$-indeterminate cycle exists in the diagnoser $\mathbf{G}_d$. After the occurrence of $F$ and the generation of a new observable event, the diagnoser reaches either $F$-certain or $F$-uncertain BSTA. If it is an $F$-certain BSTA, then it will remain $F$-certain (because fault is permanent) and the system is diagnosable. If it is an $F$-uncertain BSTA, then the number of $F$-uncertain BSTA is bounded. After the generation of a bounded number of observable events, the diagnoser will reach an $F$-certain BSTA (the diagnoser gets trapped indefinitely in a cycle of $F$-uncertain states only if the cycle is $F$-indeterminate).

Let $n$ denote the number of events that it takes the diagnoser to detect and isolate. After the occurrence of $F$, the diagnoser can visit an $F$-uncertain BSTA $(A, -1)$ at most $|A \cap B_F|$ times. Then we have $n \leq c \times m + m$, where $c = \sum_{(A,-1) \in \mathcal{A}_d} |A \cap B_F|$ and $m$ is the length of the longest path of faulty basic state-trees. Since $m \leq |B_F|$ and $c \leq |B_F| \cdot |\mathcal{A}_d|$, $n \leq c \times m + m \leq |B_F| \cdot |\mathcal{A}_d| \cdot |B_F| + |B_F| = |B_F|(|B_F| \cdot |\mathcal{A}_d| + 1)$. Consequently, the system is diagnosable with a finite delay $n = |B_F|(|B_F| \cdot |\mathcal{A}_d| + 1)$. So the sufficiency holds.

### B. Proof of Proposition 1 in Section IV.B

**Proof**: Suppose no fault-free cycle exists in $\mathbf{G}$. Since faults are permanent, a cycle in $\mathbf{G}$ composed of several faulty basic state-trees and normal basic state-trees can not exist. Hence, at least one faulty cycle exists in $\mathbf{G}$, which leads to the $F$-uncertain cycle $cl$. In this case, event $\sigma_n$ is not eligible at normal basic state-trees satisfying $M_n$. Hence, after the occurrence of $\sigma_n$ the successor predicate of $M_n$ must be faulty, which leads to a contradiction.

### C. Proof of Proposition 2 in Section IV.B

**Proof**: From Proposition 1, there exists at least one fault-free cycle formed by basic state-trees in $\mathbf{G}$ that has the same observation $(\sigma_1\sigma_2\cdots\sigma_n)^*$. Then, we only need to show that a corresponding faulty cycle formed by basic state-trees in $\mathbf{G}$ also shares the same observation as $cl$. Suppose $(\forall i \in [1,n], \forall \sigma_f \in \Sigma_f)\ \Delta(M_i \wedge P_N, \sigma_f) \equiv \mathit{false}$. Then, we have $M_{(i+1)mod_n} \wedge P_F = \langle \Delta(M_i \wedge P_F, \sigma_i) \rangle$. Based on Lemma 1, for any $b_{n+1} \models M_1 \wedge P_F$, there exist $b_i \models M_i \wedge P_F$ ($1 \leq i \leq n$) such that $b_i \overset{\sigma_i}{\rightarrowtail} b_{i+1}$. Let $b_{n+1} = b_1$. Then $b_1, \cdots, b_n$ forms an underlying faulty cycle, we can infer that a corresponding faulty cycle formed by basic state-trees in $\mathbf{G}$ with the same observation as $cl$ exists. Hence, the cycle $cl$ is an $F$-indeterminate one as well.

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### D. Proof of Proposition 3 in Section IV.B

**Proof**: It can be proved using mathematical induction.

*BASIS STEP:* For $k = 1$, $S^{cl}_{n+1} \preceq S^{cl}_1$ is true because $S^{cl}_1 = M_1 \wedge P_F$ and $S^{cl}_2 = \langle \Delta(S^{cl}_1, \sigma_1) \rangle \preceq M_2 \wedge P_F = \langle \Delta(M_2 \wedge P_N, \Sigma_f) \cup \Delta(M_1 \wedge P_F, \sigma_1) \rangle$, with the same reasoning along the event sequence $\sigma_1, \ldots, \sigma_n$, we have $S^{cl}_n = \langle \Delta(S^{cl}_{n-1}, \sigma_{n-1}) \rangle \preceq M_n \wedge P_F = \langle \Delta(M_n \wedge P_N, \Sigma_f) \cup \Delta(M_{n-1} \wedge P_F, \sigma_{n-1}) \rangle$. Hence, $S^{cl}_{n+1} = \langle \Delta(S^{cl}_n, \sigma_n) \rangle \preceq M_1 \wedge P_F = \langle \Delta(M_1 \wedge P_N, \Sigma_f) \cup \Delta(M_n \wedge P_F, \sigma_n) \rangle = S^{cl}_1$.

*INDUCTIVE STEP:* Suppose $S^{cl}_{1+kn} \preceq S^{cl}_{1+(k-1)n}$. We need to show $S^{cl}_{1+(k+1)n} \preceq S^{cl}_{1+kn}$. Since $S^{cl}_{1+kn} = \langle \Delta(S^{cl}_{kn}, \sigma_n) \rangle$ and $S^{cl}_{(k+1)n} \preceq S^{cl}_{kn}$, $S^{cl}_{(k+1)n} = \langle \Delta(S^{cl}_{(k+1)n}) \rangle \preceq \langle \Delta(S^{cl}_{kn}, \sigma_n) \rangle = S^{cl}_{1+kn}$.

### E. Proof of Theorem 2 in Section IV.B

**Proof**: (only if): Suppose that $cl$ is an $F$-indeterminate cycle. Then we need to show that the fixed point reached by sequence $S'^{cl}$ associated with $cl$ is no-empty.

Since $cl$ is an $F$-indeterminate cycle, at least one faulty cycle formed by basic state-trees in $\mathbf{G}$ exists. Assume there exist exactly $m$ faulty cycles ($m \geq 1$). There exist a string $s^j_i$ in $\Sigma^*_{uo}$ and a basic state-tree $b^j_i$ satisfying $M_i \wedge P_F$ such that $b^j_{(i+1)_{mod_n}} = \Delta(b^j_i, s^j_i \sigma_i)$ and $b^j_1 = \Delta(b^j_n, s^j_n \sigma_n)$ ($1 \leq i \leq n$, $1 \leq j \leq m$). Thus, $(\forall k \in \mathbb{N}^*)$ $b^j_i \models S^{cl}_{i+nk}$, indicating that all the terms of $S'^{cl}$ are non-empty. Clearly, the reached fixed point is also non-empty.

(if): Suppose that sequence $S'^{cl}$ associated with $cl$ has a non-empty fixed point. Now, we need to show that $cl$ is an $F$-indeterminate cycle. From Proposition 1, the existence of a faulty cycle sharing the same observation with $cl$ is sufficient.

We know that there exists an integer $k \in \mathbb{N}^*$ such that $S^{cl}_{1+kn} = S^{cl}_{1+(k-1)n}$. Due to $S^{cl}_{1+kn} \not\equiv false$, we assume that the predicate $S^{cl}_{1+kn}$ holds exactly on the basic state-tree subset $B_{S^{cl}_{1+kn}} = \{b_1, \ldots, b_m\}$. According to the definition of sequence $S^{cl}$, there exist $b_i, b_j \in B_{S^{cl}_{1+kn}}$, and $t = s_1 \sigma_1 s_2 \sigma_2 \ldots s_{n-1} \sigma_{n-1} s_n \sigma_n$ with $s_l \in \Sigma^*_{uo}$ such that $b_i = \Delta(b_j, t)$ ($1 \leq l \leq n, 1 \leq i, j \leq m$). By repeating this procedure to $b_i$ at least $m$ times, we can infer that $b_i$ is certainly visited twice, which indicates the existence of at least one faulty cycle. Therefore, the cycle $cl$ is $F$-indeterminate.