Finite Complete Suites for CSP Refinement Testing

Ana Cavalcanti¹, Wen-ling Huang², Jan Peleska², and Adenilso Simao³

University of York, United Kingdom ana.cavalcanti@york.ac.uk
University of Bremen, Germany {peleska,huang}@uni-bremen.de
University of São Paulo, Brazil adenilso@icmc.usp.br

Abstract. In this paper, two new contributions for model-based testing with Communicating Sequential Processes (CSP) are presented. For a given CSP process representing the reference model, test suites checking the conformance relations trace refinement and failures refinement are constructed, and their finiteness and completeness (i.e. capability to uncover conformity violations) is proven. While complete test suites for CSP processes have been previously investigated by several authors, a sufficient condition for their finiteness is presented here for the first time. Moreover, an optimal technique for testing the admissibility of an implementation's nondeterministic behaviour is described.

Keywords: Model-based testing, CSP, Trace Refinement, Failures Refinement, Complete Test Suites

1 Introduction

Motivation Model-based testing (MBT) is an active research field that is currently evaluated and integrated into industrial verification processes by many companies worldwide. This holds particularly for the embedded and cyberphysical systems domains, where critical systems require rigorous testing.

In the safety-critical domains, test suites with guaranteed fault coverage are of particular interest. For black-box testing, guarantees can be given only if certain hypotheses are satisfied. These hypotheses are usually specified by a fault domain: a set of models that may or may not conform to a given reference model. The so-called complete test strategies guarantee to accept every system under test (SUT) conforming to the reference model, while uncovering every conformance violation, provided that the true SUT behaviour is captured by a member of the fault domain.

Generation methods for complete test suites have been developed for various modelling formalisms. In this paper, we use *Communicating Sequential Processes* (CSP) [8, 14]. This is a mature process-algebraic approach that has been shown

to be well-suited for the description of reactive control systems in many publications over almost five decades. Many of these applications have been described in [14] and in the references there. Industrial success has also been reported, see, for example, [5, 16, 1].

Contributions This paper presents complete black-box test suites for software and systems modelled using CSP. They can be generated for divergence-free finite-state CSP processes with finite alphabets, interpreted both in the trace and the failures semantics. Our results complement work published in [3]. There, fault domains are specified as collections of processes refining a "most general" fault domain member. With that concept, complete test suites may be finite or infinite. This gives important insight into the theory of fault-domain testing for CSP, but we are particularly interested in *finite* suites when it comes to practical application. While [3] may require additional criteria to select tests from still infinite test suites, here, we further restrict fault domains using a graph representation of processes (originally elaborated for the purpose of model checking) to obtain test suites that are finite.

Our complementary approach to the definition of CSP fault domains is presented in this paper. We observe that the failures semantics of every finite-state CSP process can be represented as a finite normalised transition graph, whose edges are labelled by the events the process engages in, and whose nodes are labelled by minimal acceptances or, alternatively, maximal refusals [12]. The maximal refusals express the degree of nondeterminism present in a given process state that is in one-one-correspondence to a node of the normalised transition graph. Inspired by the way that fault-domains are specified for finite state machines (FSMs), we define them here as the set of CSP processes whose normalised transition graphs do not exceed the order (i.e. the number of nodes) of the reference model's graph by more than a given constant.

The main contribution of this paper consists in the construction of two test suites verifying the conformance relations $trace\ refinement$ and $failures\ refinement$, respectively, for any given non-divergent, finite-state, finite alphabet CSP reference process. We prove their completeness with respect to fault domains of the described type. The existence of – possibly infinite – complete test suites has been established for process algebras, and for CSP in particular, by several authors [6, 15, 10, 9, 2, 3]. To the best of our knowledge, however, this article is the first to present finite, complete test suites associated with this class of fault domains and conformance relations.

Moreover, our result is not a simple transcription of existing knowledge about finite, complete test suites for finite state machines: the capabilities of CSP to express nondeterminism in a more fine-grained way than it is possible for FSMs requires a more complex approach to testing systems for conformity in the failures-model than it is required for model-based testing against nondeterministic FSMs, as published, for example, in [7, 11]. We show that the approach

⁴ The assumption of divergence freedom is usually applied in black-box testing, since it cannot distinguish between divergence and deadlock.

to testing the admissibility of an SUT's nondeterministic behaviour is optimal in the sense that it cannot be established with fewer test cases.

Overview In Section 2, we present the background material relevant to our work. In Section 3, finite complete test suites for verifying failures refinement are presented. Test suites checking trace refinement may be regarded as a simplified version of the former class, they are presented in Section 4. A sample test suite is presented in Section 5. The results obtained are discussed in Section 6.

References to related work are given throughout the paper where appropriate.

2 Preliminaries

2.1 CSP and Refinement

Communicating Sequential Processes (CSP) is a process algebra supporting system development by refinement. Using CSP, we model both systems and their components using processes. They are characterised by their patterns of interactions, modelled by synchronous, instantaneous, and atomic events.

A prefixing operator $e \to P$ defines a process that is ready to engage in the event e, pending agreement of its environment to synchronising. After e occurs, the process behaves as defined by P. The environment can be other processes, in parallel, or the environment of a system as a whole.

Two forms of choice support branching behaviour. An external choice $P \square Q$ between processes P and Q offers to the environment the initial events of P and Q. Once synchronisation takes place, the process that offered this event is chosen and the other is discarded. In an internal choice $P \square Q$, the environment does not have an opportunity to interfere: the choice is made by the process itself.

Example 1. We consider the processes P, Q, and R below. P is initially ready to engage in the event a, and then makes an internal choice to behave like either Q or R.

$$P = a \rightarrow (Q \sqcap R)$$

$$Q = a \rightarrow P \sqcap c \rightarrow P$$

$$R = b \rightarrow P \sqcap c \rightarrow R$$

Q, for instance, offers to the environment the choice to engage in a again or c. In both cases, afterwards, we have a recursion back to P. In R, if b is chosen, we also have a recursion back to P. If c is chosen, the recursion is to R.

Iterated forms $\Box i : I \bullet P(i)$ and $\Box i : I \bullet P(i)$ of the external and internal choice operators allow us to define a choice over a collection of processes P(i). By convention, these choices evaluate to the process Stop which does not engage into any event, if the index set I is empty.

There are several parallelism operators. A widely used form of parallelism $P \mid [cs] \mid Q$ defines a process in which the behaviour is characterised by those of P and Q in parallel, synchronising on the events in the set cs. Other forms of parallelism can be defined using this operator.

Interactions that are not supposed to be visible to the environment can be hidden. The operator $P \setminus H$ defines a process that behaves as P, with the interactions modelled by events in the set H hidden. Frequently, hiding is used in conjunction with parallelism: it may be desirable to make interal actions of each process in a network invisible, while events happening at their interfaces remain observable.

A rich collection of process operators allows us to define networks of parallel processes in a concise and elegant way, and reason about safety, liveness, and divergences. A comprehensive account of the notation is given in [14].

A distinctive feature of CSP is its treatment of refinement (as opposed to bisimulation), which is convenient for reasoning about program correctness, due to its treatment of nondeterminism and divergence. A variety of semantic models capture different notions of refinement. The simplest model characterises a process by its possible traces; the set traces(P) denotes the sequences of (non-hidden) events in which P can engage. We say that a process P is trace-refined by another $process\ Q$, written $P \sqsubseteq_T Q$, if $traces(Q) \subseteq traces(P)$.

In fact, in every semantic model, subset containment is used to define refinement. The model we focus on first is the failures model, which captures both sequences of interactions and deadlock behaviour. A *failure* of a process P is a pair (s, X) containing a trace s of P and a *refusal*: a set X of events in which P may refuse to engage, after having performed the events of s. The failures model of a process P records all its failures in a set failures(P). The semantic rules specify for each operator, how the failures of the resulting process can be calculated from the failures of each operand. For example, $failures(P \sqcap Q) = failures(P) \cup failures(Q)$; see [13, p. 210] for the comprehensive list of these rules.

Using notation P/s to denote the process P after having engaged into trace s, the set $Ref(P/s) \cong \{X \mid (s,X) \in failures(P)\}$ contains the refusals of P after the trace s. Refusals are subset-closed [8,14]: if (s,X) is a failure of P and $Y \subseteq X$, then $(s,Y) \in failures(P)$ and $Y \in Ref(P/s)$ follows.

Failures refinement, $P \sqsubseteq_F Q$, is defined by set containment $failures(Q) \subseteq failures(P)$. Since refusals are subset-closed, this implies $(s, \emptyset) \in failures(P)$ for all traces $s \in traces(Q)$. As a consequence, failures refinement implies trace refinement. Therefore, using the auxiliary conformance relation

$$Q \ conf \ P \cong \forall s \in traces(P) \cap traces(Q) : Ref(Q/s) \subseteq Ref(P/s),$$
 (1)

failures refinement can be expressed by \sqsubseteq_T and conf.

$$(P \sqsubseteq_F Q) \Leftrightarrow (P \sqsubseteq_T Q \land Q \ conf \ P) \tag{2}$$

Throughout this paper, the alphabet of the processes, that is the set of events that are in scope, is denoted by Σ and supposed to be finite. The FDR tool [4] supports model checking and semantic analyses of finite-state CSP processes.

For finite CSP processes, since the refusals of each process state are subsetclosed, Ref(P/s) can be constructed from the set of maximal refusals; these are defined by

$$\max Ref(P/s) = \{ R \in Ref(P/s) \mid \forall R' \in Ref(P/s) - \{R\} : R \not\subseteq R' \}$$
 (3)

Conversely, with the maximal refusals maxRef(P/s) at hand, we can reconstruct the refusals Ref(P/s) by

$$Ref(P/s) = \{ R' \in \mathbb{P}(\Sigma) \mid \exists R \in maxRef(P/s) : R' \subseteq R \}. \tag{4}$$

Deterministic process states P/s have exactly the one maximal refusal $\Sigma - [P/s]^0$, where $[P/s]^0$ denotes the *initials* of P/s, i.e., the events that P/s may engage into. The maximal refusals in combination with the initials of a process express its degree of nondeterminism.

Example 2. Process $P = (Stop \sqcap Q)$ has maximal refusals $maxRef(P) = \{\Sigma\}$, because Stop refuses to engage into any event, and this carries over to P, when applying the internal choice operator. However, P is distinguished from Stop by its initials: $[P]^0 = [Stop \sqcap Q]^0 = [Q]^0$, so P may engage nondeterministically in any initial event of Q, but can also refuse everything, due to internal selection of the Stop process.

Assuming that $\Sigma = \{a, b, c, d\}$, process $Q = (e : \{a, b\} \rightarrow Stop) \sqcap (e : \{c, d\} \rightarrow Stop)$ has maximal refusals $maxRef(Q) = \{\{c, d\}, \{a, b\}\}$ and initials $[Q]^0 = \Sigma$, so, in contrast to P, nondeterminism is reflected here by the presence of two maximal refusals.

Normalised Transition Graphs for CSP Processes As shown in [12], the failures semantics of any finite-state CSP process P can be represented by a normalised transition graph

$$G(P) = (N, n, \Sigma, t : N \times \Sigma \rightarrow N, r : N \rightarrow \mathbb{PP}(\Sigma)),$$

with nodes N, initial node $\underline{n} \in N$, and process alphabet Σ . The partial transition function t maps a node n and an event $e \in \Sigma$ to its successor node t(n, e). If (n, e) is in the domain of t, then there is a transition, that is, an outgoing edge, from n with label e, leading to node t(n, e). Normalisation of G(P) is reflected by the fact that t is a function. The graph construction in [12] implies that all nodes n in N are reachable by sequences of edges labelled by $e_1 \dots e_k$ and connecting states $\underline{n}, n_1, \dots, n_{k-1}, n$, such that

$$n_1 = t(\underline{n}, e_1), \quad n_i = t(n_{i-1}, e_i), \ i = 2, \dots, k-1, \quad n = t(n_{k-1}, e_k).$$

By construction, $s \in \Sigma^*$ is a trace of P, if and only if there is a path through G(P) starting at \underline{n} whose edge labels coincide with s. In analogy to traces(P), we use notation traces(G(P)) for the set of finite, initialised paths through G(P), each path represented by its finite sequence of edge labels, and we note that

traces(P) = traces(G(P)). Since G(P) is normalised, there is a unique node reached by applying the events from s one by one, starting in \underline{n} . Therefore, G(P)/s is also well defined. By $[n]^0$ we denote the *initials* of n: the set of events occurring as labels in any outgoing transitions.

$$[n]^0 = \{ e \in \Sigma \mid (n, e) \in \text{dom } t \}$$

The graph construction from [12] guarantees that $[G(P)/s]^0 = [P/s]^0$ for all traces of P.

The total function r maps each node n to a non-empty set of (possibly empty) subsets of Σ . The graph construction guarantees that r(G(P)/s) represents the maximal refusals of P/s for all $s \in traces(P)$. As a consequence,

$$(s, X) \in failures(P) \Leftrightarrow s \in traces(G(P)) \land \exists R \in r(G(P)/s) : X \subseteq R,$$
 (5)

so G(P) allows us to re-construct the failures semantics of P.

Acceptances When investigating tests for failures refinement, the notion of acceptances [6], which is dual to refusals, is also useful. An acceptance set of P/s is a subset of its initials $[P/s]^0$; equivalently, it is a subset of events labelling outgoing transitions of G(P)/s. If the behaviour of P/s is deterministic, its only acceptance equals $[P/s]^0$, because P/s never refuses any of the events contained in this set. If P/s is nondeterministic, it internally chooses one of its minimal acceptance sets A and never refuses any event in A, while possibly refusing the events from $[P/s]^0 - A$ and always refusing those from $\Sigma - [P/s]^0$. The acceptances of P/s are denoted by Acc(P/s), and the minimal acceptances by minAcc(P/s). They satisfy the following properties.

$$A \in minAcc(P/s) \Leftrightarrow \exists R \in maxRef(P/s) \land A = \Sigma - R$$
 (6)

$$\bigcup \{A \mid A \in Acc(P/s)\} = [P/s]^0 \tag{7}$$

$$X \in Acc(P/s) \Leftrightarrow A \in minAcc(P/s) \land A \subseteq X \subseteq [P/s]^0$$
 (8)

Exploiting formulas (6), (7), and (8), every node of a normalised transition graph can alternatively be labelled with their minimal acceptances, and this information is equivalent to that contained in the maximal refusals. Since process states P/s are equivalently expressed by states G(P)/s of P's normalised transition graph, we also write $\min Acc(G(P)/s)$ and note that (5) and (6) imply

$$minAcc(G(P)/s) = \{ \Sigma - R \mid R \in r(G(P)/s) \}.$$
(9)

Example 3. Consider the CSP process P in Example 1. Its transition graph G(P) is shown in Fig. 1. Process state P/ε (ε denotes the empty trace) is represented there as Node_0, with $\{a\}$ as the only minimal acceptance, since a can never be refused, and no other events are accepted. Having engaged into a, the transition emanating from Node_0 leads to Node_2 representing the process

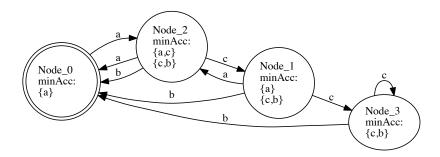


Fig. 1. Normalised transition graph of CSP process P from Example 3.

state $P/a = Q \sqcap R$. The internal choice operator induces several minimal acceptances derived from Q and R. Since these processes accept their initial events in external choice, $Q \sqcap R$ induces minimal acceptance sets $\{a,c\}$ and $\{b,c\}$. Note that event c can never be refused, since it is contained in each minimal acceptance set.

Having engaged into c, the next process state is represented by Node_1. Due to normalisation, there is only a single transition satisfying $t(\text{Node}_2, c) = \text{Node}_1$. This transition, however, can have been caused by either Q or R engaging into c, so Node_1 corresponds to process state $Q/c \sqcap R/c = P \sqcap R$. This is reflected by the two minimal acceptance sets labelling Node_1. Similar considerations explain the other nodes and transitions in Fig. 1.

Note that the node names including their number suffixes are generated by the FDR tool. The numbering is generated during the normalisation procedure. So, the node numbers do not reflect the distance from the initial node Node_0.

Summarising, refinement relations between finite-state CSP processes P,Q can be be expressed by means of their normalised transition graphs

$$G(P) = (N_P, \underline{n}_P, \Sigma, t_P : N_P \times \Sigma \to N_P, r_P : N_P \to \mathbb{PP}(\Sigma))$$

$$G(Q) = (N_Q, \underline{n}_Q, \Sigma, t_Q : N_Q \times \Sigma \to N_Q, r_Q : N_Q \to \mathbb{PP}(\Sigma))$$

in the following way.

Lemma 1.

$$P \sqsubseteq_T Q \Leftrightarrow traces(G(Q)) \subseteq traces(G(P)) \tag{10}$$

$$P \sqsubseteq_F Q \Leftrightarrow P \sqsubseteq_T Q \land P \ conf \ Q \tag{11}$$

 $P \ conf \ Q \Leftrightarrow \forall \, s \in traces(G(Q)) \cap traces(G(P)), R_Q \in r_Q(G(Q)/s):$

$$\exists R_P \in r_P(G(P)/s) : R_Q \subseteq R_P \tag{12}$$

 $\Leftrightarrow \forall s \in traces(G(Q)) \cap traces(G(P)), A_Q \in minAcc(G(Q)/s)$:

$$\exists A_P \in minAcc(G(P)/s) : A_P \subseteq A_Q \tag{13}$$

Formula (10) reflects trace refinement in terms of graph traces. Formula (12) states how the *conf* conformance relation can be expressed by means of the maximal refusal functions of the graphs involved, and (13) states the same in terms of the minimal acceptances that can be derived from the maximal refusal functions by means of (9).

Reachability Under Sets of Traces Given a finite-state CSP process P and its normalised transition graph

$$G(P) = (N, \underline{n}, \Sigma, t : N \times \Sigma \to N, r : N \to \mathbb{PP}(\Sigma)),$$

suppose that $V\subseteq \Sigma^*$ is a prefix-closed set of sequences of events. By $t(\underline{n},V)$ we denote the set

$$t(\underline{n}, V) = \{ n \in N \mid \exists s \in V : s \in traces(P) \land G(P)/s = n \}$$

of nodes in N that are reachable in G(P) by applying traces of V. The lemma below specifies a construction method for such sets V reaching every node of N.

Lemma 2. Let P be a CSP process with normalised transition graph G(P). Let $V \subseteq \Sigma^*$ be a finite prefix-closed set of sequences of events. Suppose that G(P) reaches k < |N| nodes under V, that is, $|t(\underline{n}, V)| = k$. Let $V.\Sigma$ denote the set of all sequences from V, extended by any event of Σ . Then G(P) reaches at least (k+1) nodes under $V \cup V.\Sigma$.

Proof. Suppose that $n' \in (N - t(\underline{n}, V))$. Since all nodes in N are reachable, there exists a trace s such that G(P)/s = n'. Decompose $s = s_1.e.s_2$ with $s_i \in \Sigma^*, e \in \Sigma$, such that $G(P)/s_1 \in t(\underline{n}, V)$ and $G(P)/s_1.e \notin t(\underline{n}, V)$. Such a decomposition always exists, because V is prefix-closed and therefore contains the empty trace ε . Note, however, that it is not necessarily the case that $s_1 \in V$.

Since G(P) reaches $G(P)/s_1$ under V, there exists a trace $u \in V$ such that $G(P)/u = G(P)/s_1 = \overline{n}$. Since $s = s_1.e.s_2$ is a trace of P and $G(P)/s_1 = \overline{n}$, then (\overline{n}, e) is in the domain of t. So, $G(P)/u.e = G(P)/s_1.e = n$ is a well-defined node of N not contained in $t(\underline{n}, V)$. Since $u.e \in V \cup V.\Sigma$, G(P) reaches at least the additional node n under $V \cup V.\Sigma$. This completes the proof.

Graph Products For proving our main theorems, it is necessary to consider the *product* of normalised transition graphs. We need this only for the investigation of corresponding traces in reference processes and processes for SUTs. Therefore, the labelling of nodes with maximal refusals or minimal acceptances are disregarded in the product construction. Consider two normalised transition graphs

$$G_i = (N_i, \underline{n}_i, \Sigma, t_i : N_i \times \Sigma \rightarrow N_i, r_i : N_i \rightarrow \mathbb{PP}(\Sigma)), \qquad i = 1, 2,$$

over the same alphabet Σ . Their product is defined by

$$G_1 \times G_2 = (N_1 \times N_2, (\underline{n}_1, \underline{n}_2), t : (N_1 \times N_2) \times \Sigma \to (N_1 \times N_2))$$
 (14)
dom $t = \{((n_1, n_2), e) \in (N_1 \times N_2) \times \Sigma \mid$

$$(n_1, e) \in \text{dom } t_1 \land (n_2, e) \in \text{dom } t_2 \} \tag{15}$$

$$t((n_1, n_2), e) = (t_1(n_1, e), t_2(n_2, e)) \text{ for } ((n_1, n_2), e) \in \text{dom } t$$
(16)

The following lemma will be used in the proof of our main theorem.

Lemma 3. If G_1 has p states and G_2 has q states, then every reachable state (n_1, n_2) of the product graph $G_1 \times G_2$ can be reached by a trace of maximal length (pq-1).

2.2 Minimal Hitting Sets

The main idea of the underlying test strategy for failures refinement can be based on solving a *hitting set problem*. Given a finite collection of finite sets $C = \{A_1, \ldots, A_n\}$, such that each A_i is a subset of a universe Σ , a *hitting set* $H \subseteq \Sigma$ is a set satisfying the following property.

$$\forall A \in C : H \cap A \neq \varnothing. \tag{17}$$

A minimal hitting set is a hitting set that cannot be further reduced without losing the characteristic property (17). By minHit(C) we denote the collection of minimal hitting sets for C. For the pathological case where C contains an empty set, minHit(C) is also empty. The problem of determining minimal hitting sets is known to be NP-hard [17], but we will see below that it reduces the effort of testing for failures refinement from a factor of $2^{|\Sigma|}$ to a factor that equals the number of minimal hitting sets.

The following lemma establishes the fact that the *conf* relation specified in (1) can be chracterised by means of minimal acceptances and their minimal hitting sets.

Lemma 4. Let P, Q be two finite-state CSP processes. For each $s \in traces(P)$, let minHit(P/s) denote the collection of all minimal hitting sets of minAcc(P/s). Then the following statements are equivalent.

- 1. P conf Q
- 2. For all $s \in traces(P) \cap traces(Q)$ and $H \in minHit(P/s)$, H is a (not necessarily minimal) hitting set of minAcc(Q/s).

Proof. For showing "1 \Rightarrow 2", assume P conf Q and $s \in traces(P) \cap traces(Q)$. Lemma 1, (13), states that

$$\forall A_Q \in minAcc(G(Q)/s) : \exists A_P \in minAcc(G(P)/s) : A_P \subseteq A_Q$$

Therefore, $H \in minHit(P/s)$ not only implies $H \cap A_P \neq \emptyset$ for all minimal acceptances A_P , but also $H \cap A_Q \neq \emptyset$ for every minimal acceptance A_Q , because $A_P \subseteq A_Q$ for at least one A_P . As a consequence, each $H \in minHit(P/s)$ is also a hitting set for minAcc(G(Q)/s).

To prove "2 \Rightarrow 1", assume that that Statement 2 of the lemma holds but that P conf Q does not hold. According to Lemma 1, (13), there exists $s \in traces(P) \cap traces(Q)$ such that

$$\exists A_Q \in minAcc(G(Q)/s) : \forall A_P \in minAcc(G(P)/s) : A_P \not\subseteq A_Q \qquad (*)$$

Let A be such an acceptance set A_Q fulfilling (*). Define

$$\overline{H} = \bigcup \{A_P \setminus A \mid A_P \in minAcc(G(P)/s)\}.$$

Since $A_P \setminus A \neq \emptyset$ for all A_P because of (*), \overline{H} is a hitting set of minAcc(G(P)/s) which has an empty intersection with A. Minimising \overline{H} yields a minimal hitting set $H \in minHit(P/s)$ which is *not* a hitting set of minAcc(G(Q)/s), a contradiction to Assumption 2. This completes the proof of the lemma.

It is important to point out that $minAcc(P) = \{\emptyset\}$ if $P = Q \sqcap Stop$. Since Stop accepts nothing, its minimal acceptance is \emptyset , and this carries over to $Q \sqcap Stop$. From (13) we conclude that $\emptyset \in minAcc(P)$ implies $minAcc(P) = \{\emptyset\}$. These considerations clarify that minHit(P/s) is empty if and only if $minAcc(P) = \{\emptyset\}$. We note that the proof of Lemma 4 also covers the situations where $minAcc(P/s) = \{\emptyset\}$ and therefore $minHit(P/s) = \emptyset$.

3 Finite Complete Test Suites for CSP Failures Refinement

3.1 Test Cases for Verifying CSP Failures Refinement

In the domain of process algebras, test cases are typically represented by processes interacting concurrently with the SUT process [6]. They synchronise with

the SUT over its visible events and use some additional events outside the SUT's alphabet to express whether the test execution passed or failed.

For a given reference process P and for each integer $p \ge 0$, we define a CSP test process for failures refinement as shown below.

$$U_F(p) = U_F(p,\varepsilon) \tag{18}$$

$$U_F(p,s) = \left(\Box e : (\Sigma - [P/s]^0) \bullet e \to fail \to Stop \right)$$
 (19)

 $(minAcc(P/s) = \{\varnothing\})\&(pass \to Stop)$ (20)

$$(minAcc(P/s) = \{\emptyset\})\&(pass \to Stop)$$

$$(20)$$

 $(\#s < p)\& (\square e : [P/s]^0 \bullet e \to U_F(p, s.e))$ (21)

$$(\#s = p)\&(\bigcap_{H \in minHit(P/s)}(\square e : H \bullet e \rightarrow pass \rightarrow Stop))$$
 (22)

A test is performed by running $U_F(p)$ concurrently with any SUT process Q, synchronising over alphabet Σ . Therefore, a test execution is any trace of the concurrent process

$$Q \mid [\Sigma] \mid U_F(p).$$

It is assumed that the events fail and pass, denoting FAIL and PASS of the test execution, are events outside Σ . Since we assume that Q is free of livelocks, it is guaranteed that each test execution terminates after some $s \in traces(Q)$ with length (p+1) and consecutive pass or fail event at the latest. The test is passed by the SUT (written Q pass $U_F(p)$) if, and only if, every execution of $Q \mid [\Sigma] \mid U_F(p)$ terminates with event pass. This can also be expressed by means of a failures refinement.

$$Q \text{ pass } U_F(p) \stackrel{\frown}{=} (pass \rightarrow Stop) \sqsubseteq_F (Q | [\Sigma] | U_F(p)) \setminus \Sigma$$

This type of pass relation is often called must test, because every test execution must end with the pass event [6]. Note that it is necessary to use the failures-refinement relation in this condition, and not the trace-refinement relation: $(Q | [\Sigma] | U_F(p)) \setminus \Sigma$ may have the same visible traces ε and $\langle pass \rangle$ as the "Test Passed Process" $(pass \to Stop)$. However, the former may nondeterministically refuse pass, due to a deadlock occurring when a faulty SUT process executes concurrently with $U_F(p,s)$ executing branch (22), because #s = p. This is explained further in the next paragraphs.

Observe that the number of possible executions of $Q \mid [\Sigma] \mid U_F(p)$ is finite, because the number of traces s with maximal length (p+1) is finite and the sets $[P/s]^0$, $(\Sigma - [P/s]^0)$, and minHit(P/s) are finite. Further recall that minHit(P/s) may be empty, so that operand (22) of the external choice construct defaults to Stop. In this case, however, $minAcc(P/s) = \{\emptyset\}$ applies, so the test will execute branch (20) and terminate with pass.

Intuitively speaking, $U_F(p)$ is able to perform any trace s of P, up to a length p. If, after having already run through $s \in traces(P)$ with $\#s \leqslant p$,

an event is accepted by the SUT that is outside the initials of P/s, the test immediately terminates with FAIL-event *fail*. This is handled by the branch (19) of the external choice in the process $U_F(p,s)$ defined above.

If P/s is the *Stop* process or has *Stop* as an internal choice, this is revealed by \varnothing being its only minimal acceptance. In this case, the test may terminate successfully (branch (20) of the external choice in $U_F(p,s)$).

If the length of s is still less than p, the test accepts any event from the initials $[P/s]^0$ and continues recursively as $U_F(p, s.e)$ in branch (21). A test of this type is called *adaptive*, because it accepts any legal behaviour of the SUT and adapts its consecutive behaviour to the event selected by the SUT.

After having run successfully through a trace of length p, and if $minAcc(P/s) \neq \{\varnothing\}$ so that als $minHit(P/s) \neq \varnothing$, the test changes its behaviour: instead of offering all legal events from $[P/s]^0$ to the SUT, it nondeterministically chooses a minimal hitting set of minAcc(P/s) and only offers the events contained in this set. If the SUT refuses to engage into any of these events, this reveals a violation of the failures refinement: according to Lemma 4, a conforming SUT should accept at least one event of each minimal hitting set in minHit(P/s). Therefore, the test only terminates with pass, if such an event is accepted by the SUT.

3.2 Fault Models and Complete Test Suites

A CSP fault model $\mathcal{F} = (P, \sqsubseteq, \mathcal{D})$ consists of a reference process P, a conformance relation $\sqsubseteq \in \{\sqsubseteq_T, \sqsubseteq_F\}$, and a fault domain \mathcal{D} which is a set of CSP processes over P's alphabet that may or may not conform to P.

A test suite TS is called *complete* with respect to fault model \mathcal{F} , if and only of the following conditions are fulfilled.

- **1. Soundness** If $P \sqsubseteq Q$, then Q passes all tests in TS.
- **2. Exhaustiveness** If $P \not\sqsubseteq Q$ and $Q \in \mathcal{D}$, then Q fails at least one test in TS.

3.3 A Finite Complete Test Suite for Failures Refinement

After the informal explanation of tests representing adaptive test cases, we are ready to state the main theorem of this paper.

Theorem 1. Let P be a divergence-free CSP process over alphabet Σ whose normalised transition graph G(P) has p states. Define fault domain \mathcal{D} as the set of all divergence-free CSP processes over alphabet Σ , whose transition graph has at most q states with $q \geqslant p$. Then the test suite

$$TS_F = \{ U_F(k) \mid 0 \leqslant k < pq \}$$

is complete with respect to $\mathcal{F} = (P, \sqsubseteq_F, \mathcal{D})$.

The proof of the theorem follows from the two lemmas below. The first states that test suite TS_F is sound, the second states that the suite is also exhaustive.

Lemma 5. Test suite TS_F generated from CSP process P, as specified in Theorem 1, is passed by every CSP process Q satisfying $P \sqsubseteq_F Q$.

Proof. Step 1. Suppose that $P \sqsubseteq_F Q$, so $P \sqsubseteq_T Q$ and P conf Q according to (11). Since $traces(Q) \subseteq traces(P)$, any adaptive test $U_F(p)$ running in parallel with Q will always enter the branches (20), (21), or (22) of the external choice construction for $U_F(p,s)$. Branch (19) can never be entered in the parallel execution of Q and $U_F(p)$, because $[Q/s]^0 \subseteq [P/s]^0$ for all traces of Q.

Step 2. Moreover, Lemma 4 implies that for all traces $s \in traces(Q) \cap traces(P)$, every H in minHit(P/s) is a hitting set for minAcc(Q/s). Branch (20) of test $U_F(p,s)$ leads always to a PASS verdict, and branch (21) to test continuation without a verdict. For the last branch, we note that any selected minimal hitting set $H \in minHit(P/s)$ has a non-empty intersection with each of the minimal acceptances of Q/s. As a consequence, Q/s never blocks when offered events from H, and the test terminates with PASS event pass. Note that this argument requires that Q is free of livelocks, because otherwise the pass-events might not become visible, due to unbounded sequences of hidden events performed by Q.

Lemma 6. Test suite TS_F specified in Theorem 1 is exhaustive for the fault model specified there.

Proof. Consider a process $Q \in \mathcal{D}$ with $P \not\sqsubseteq_F Q$, According to (11), this non-conformance can be caused in two possible ways corresponding to the cases $P \not\sqsubseteq_T Q$ and $\neg (P \ conf \ Q)$, respectively:

Case 1 $traces(Q) \not\subseteq traces(P)$

Case 2 There exists a joint trace $s \in traces(Q) \cap traces(P)$ and a minimal acceptance A_Q of minAcc(Q/s), such that (see Lemma 1, (13)).

$$\forall A_P \in minAcc(P/s) : A_P \not\subseteq A_O, \tag{23}$$

It has to be shown for each of the two possibilities that at least one test execution of some $(Q | [\Sigma] | U_F(k))$ with k < pq ends with the *fail*-event or without giving any verdict. The latter case is also interpreted as FAIL, since then the process $pass \to Stop$ is no longer failures-refined by the test execution.

For Case 1, consider a trace $s.e \in traces(Q)$ such that $s \in traces(P)$, but $s.e \notin traces(P)$. Such a trace always exists because ε is a trace of every process. In this case, s is also a trace of the product graph $G = G(P) \times G(Q)$ defined in Section 2.1. Suppose that $G/s = (n_P, n_Q)$. The length of s is not known, but from the construction of G, we know that G has at most pq reachable states, because G(P) has p states, and G(Q) has at most q states. By Lemma 3, (n_P, n_Q) can be reached by a trace $u \in traces(G)$ of length #u < pq. Now the construction of the transition function of G implies that u is also a trace of P and Q. Since test $U_F(pq-1)$ accepts all traces of P up to length pq-1, q is also a trace of this test, and, by construction, $U_F(pq-1)/u = U_F(pq-1, u)$. Since $s.e \notin traces(P)$, q is an element of g in at least one execution,

 $U_F(pq-1,u)$ executes its first branch (19) with this event e, so that the test fails. Again, the assumption of non-divergence of Q is needed for this conclusion.

For Case 2, we note that trace s is again a trace of the product graph G, but we do not know its length. Again, by applying Lemma 3, we know that the state G/s can be reached by a trace $u \in traces(Q) \cap traces(P)$ of maximal length #u < pq. Consider test $U_F(\#u)$, which satisfies $U_F(\#u)/u = U_F(\#u,u)$, because it always performs branch (21) until the trace u has been completely processed. $U_F(\#u,u)$ may execute branches (19) or (22) only: assumption (23) in Case 2 implies that P/s has at least one non-empty minimal acceptance, so the guard condition $(minAcc(P/s) = \{\emptyset\})$ of branch (20) evaluates to false for $U_F(\#u,u)$. Moreover, the guard condition (#s < p) for branch (21) evaluates to false for $U_F(\#u,u)$, too. If branch (19) is executed, the test always fails. If branch (22) is executed, the test fails for the execution where a minimal hitting set $H \in minHit(P/u)$ is chosen by $U_F(\#u,u)$ that has an empty intersection with the minimal acceptance A_Q from condition (23). The existence of such an H is guaranteed because of Lemma 4. As a consequence, there exists a test execution where Q/u selects acceptance A_Q and $U_F(\#u,u)$ selects H. This execution deadlocks in process state $(Q | [\Sigma] | U_F(\#u))/u$, so it cannot produce the pass-event; this means that the test fails and concludes the proof.

3.4 Complexity Considerations

As can be seen from the specification of the test cases $U_F(k)$, the number of executions ending in a pass-event corresponds to the number ℓ of traces s of P with length equal to⁵ k, multiplied by the number h of minimal hitting sets in minHit(P/s). The first factor has worst-case upper bound $\ell \leq |\Sigma|^k$.

Given a set $minAcc(P/s) = \{A_1, \ldots, A_a\}$ of minimal acceptances, the cardinality h of minHit(P/s) is maximal for the case where all A_i are disjoint. In this case, $h = |minHit(P/s)| = \prod_{i=1}^{a} |A_i|$. To find an upper bound for h, we need to solve the constrained optimisation problem

maximise
$$\prod_{i=1}^a |A_i|$$
 under constraint $\sum_{i=1}^a |A_i| = |\Sigma| \wedge \bigwedge_{i=1}^a |A_i| > 0$

For fixed a, this can be solved using Lagrange multipliers, but there is no closed expression for the maximum value to be achieved when the $|A_i|$ and a are considered as unknown variables. Therefore, we only note that $h = |\min Hit(P/s)|$ is significantly smaller than $2^{|\Sigma|}$, because for every $H \in \min Hit(P/s)$, all of its true subsets and true supersets are not contained in $\min Hit(P/s)$. This leaves us with an estimate for the worst-case upper bound of $h \cdot |\Sigma|^k$ with $h \ll 2^{|\Sigma|}$. According to Theorem 1, we need to execute these test for $k = 0, \ldots, (pq-1)$; this results in a worst-case bound of (we use the formula for the sum of the geometric progression here)

$$h \cdot \left(\frac{1-|\Sigma|^{pq}}{1-|\Sigma|}\right)$$
, or, asymptotically, $O(h \cdot 2^{(pq-1)})$, with $h \ll 2^{|\Sigma|}$.

⁵ In this estimation, we disregard the case where the test terminates earlier due to entering branch (20).

From Lemma 4 we know that the worst-case bound $h \ll 2^{|\Sigma|}$ cannot be further improved, since the full collection of minimal hitting sets needs to be checked in order to verify the *conf* relation.

The authors of [6] and [2] suggest to test *every* non-empty subset of Σ whose events cannot be completely refused in a given process state of the reference model; this leads to a worst-case estimate of $2^{|\Sigma|}$ for the number of different sets to be offered to the SUT in the last step of the test execution, so our approach reduces the number of test executions in comparison to [6, 2].

It is discussed in Section 6 that the term pq occurring in this bound can be significantly reduced by using more complex test cases that need not execute all traces of P with length less or equal to pq.

4 Finite Complete Test Suites for CSP Trace Refinement

For establishing trace refinement, the following class of adaptive test cases will be used for a given reference process P and integers $p \ge 0$.

$$U_T(p) = U_T(p, \varepsilon) \tag{24}$$

$$U_T(p,s) = \left(\Box e : \left(\Sigma - [P/s]^0 \right) \bullet e \to fail \to Stop \right)$$
 (25)

$$(minAcc(P/s) = \{\varnothing\})\& (pass \to Stop)$$
 (26)

$$(\#s < p)\&(\square e : [P/s]^0 \bullet e \to U_T(p, s.e))$$
(27)

$$(\#s = p)\&(pass \to Stop) \tag{28}$$

The difference between adaptive tests $U_T(p)$ for trace refinement and $U_F(p)$ for failures refinement consists in the fact that the former do not "probe" the SUT with respect to minimal sets of events to be accepted without blocking.

The existence of complete, finite test suites is expressed in analogy to Theorem 1. A noteworthy difference is that the complete suite for trace refinement just needs the single adaptive test case $U_T(pq-1)$, while failures refinement required the execution of $\{U_F(0), \ldots, U_F(pq-1)\}$. The reason for this is that $U_T(pq-1)$ identifies trace errors for all traces up to length pq, while $U_F(pq-1)$ only probes for erroneous acceptances at the end of each trace of length (pq-1).

Theorem 2. Let P be a divergence-free CSP process over alphabet Σ whose normalised transition graph G(P) has p states. Define fault domain \mathcal{D} as the set of all divergence-free CSP processes over alphabet Σ , whose transition graph has at most q states with $q \geqslant p$. Then the test suite

$$TS_T = \{ U_T(pq - 1) \}$$

is complete with respect to $\mathcal{F} = (P, \sqsubseteq_T, \mathcal{D})$.

Proof. The theorem follows directly from Step 1 in the proof of Lemma 5 and Case 1 in the proof of Lemma 6. \Box

5 Testing for Failures Refinement – an Example

For implementing the test case $U_F(p)$ with sub-processes $U_F(p, s)$, it is advisable to avoid an enumeration of traces s of the reference process. Instead, we calculate the following auxiliary functions from P's transition graph.

$$initials: N \to \mathbb{P}(\Sigma)$$

 $minHit: N \to \mathbb{P} \mathbb{P}(\Sigma)$

In a state n = G(P)/s, the set initials(n) equals the events labelling outgoing edges of n, so $initials(n) = [P/s]^0$. Function minHit maps n to the set of all minimal hitting sets associated with the minimal acceptances of n, so minHit(n) = minHit(P/s). Using the transition function t and the above functions, $U_F(p)$ can be re-written as the failures-equivalent CSP process below.

$$U_F^1(p) = U_F^1(p, 0, \underline{n})$$

$$U_F^1(p, k, n) = \left(\Box e : (\Sigma - initials(n)) \bullet e \to fail \to Stop \right)$$

$$\Box$$

$$(minHit(n) = \varnothing) \& \left(pass \to Stop \right)$$

$$\Box$$

$$(k < p) \& \left(\Box e : initials(n) \bullet e \to U_F^1(p, (k+1), t(n, e)) \right) (32)$$

$$\Box$$

$$(k = p) \& \left(\Box_{H \in minHit(n)} \left(\Box e : H \bullet e \to pass \to Stop \right) \right)$$

$$(33)$$

Example 4. Consider the following erroneous implementation Z of process P from Example 3 from the point of view of failures refinement.

$$Z = a \to (Q_1 \sqcap R_1(r_{max}, 0))$$

$$Q_1 = a \to Z \sqcap c \to Z$$

$$R_1(r_{max}, k) = (k < r_{max}) \& (c \to R_1(r_{max}, k+1) \sqcap b \to Z)$$

$$\sqcap$$

$$(k = r_{max}) \& (c \to R_1(r_{max}, r_{max}) \sqcap b \to Z)$$

It is easy to see (and can be checked with FDR) that Z is trace-equivalent to P. While $k < r_{max}$, Z also accepts the same sets of events as P. When $R_1(r_{max}, k)$ runs through several recursions and $k = r_{max}$ is fulfilled, however, $R_1(r_{max}, k)$ makes an internal choice, instead of offering an external choice, and refinement does not hold. Fig. 2 shows the normalised transition graph of Z for $r_{max} = 3$.

Running the test $U_F^1(k)$ against Z for k = 0, ..., 20 (G(P) has p = 4 states and G(Z) has q = 5, so pq = 20 is an upper bound for the test depth to be used

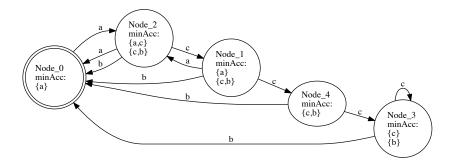


Fig. 2. Normalised transition graph of faulty implementation Z from Example 4.

according to Theorem 1), tests $U_F^1(0), \ldots, U_F^1(3)$ are passed by Z, but Z fails $U_F^1(4)$, because after execution trace

$$s = a.c.c.c,$$
 (note that $G(Z)/s = \text{Node_3}$ according to Fig. 2),

it may be the case that Z accepts only $\{b\}$ due to the internal choice and $U_F^1(4)$ – also due to internal choice – accepts only the minimal hitting set $\{c\}$ and the event $a \in (\Sigma - [P/s]^0)$. So, $(Z | [\Sigma] | U_F^1(4))/s$ deadlocks, and the pass event cannot be produced. Another failing execution arises if Z/s chooses to accept only $\{c\}$, while $U_F^1(4)/s$ choses to accept only $\{a,b\}$. Therefore,

$$(pass \rightarrow Stop) \not\sqsubseteq_F (Z \mid [\Sigma] \mid U_F^1(4)),$$

and the test fails. \Box

6 Discussion

Discussion of Fault Domains

Discussion of Adaptive Test Cases The tests suggested in [6,2] were *preset* in the sense that the trace to be executed was pre-defined for each test. As a consequence, the authors of [2] introduced *inconclusive* as a third test result, applicable to the situations where the intended trace of the execution was blocked, due to legal, but nondeterministic behaviour of the SUT. In contrast to that, our test cases specified in Section 3 and 4 are adaptive. This has the advantage that test executions $(Q \mid [\Sigma] \mid U_F(p))$ for failures refinement will never block before the final step specified by branch (22). As a consequence, we do not need inconclusive test results. It should be noted, however, that it is necessary for our test

verdicts to recognise also deadlocks in the final test step and interpret them as FAIL, as described in Section 3. In practice, this is realised by adding a timeout event to the testing environment which indicates deadlock situations. For realtime systems, this is an accepted technique, because the SUT has to respond within a pre-defined latency interval, otherwise its behaviour is considered to be blocked and regarded as a failure. Our tests executions $(Q | [\Sigma] | U_T(p))$ for trace refinement never block at all. The adaptive behaviour of our test cases, however, induce the obligation to check that all possible executions have been performed before the test can be considered as passed. Typically, it is therefore assumed that a complete testing assumption [7] holds which means that every possible behaviour of the SUT has been performed after a finite number of test executions. In practice, this is realised by executing each test several times, recording the traces that have been performed, and using hardware or software coverage analysers to determine whether all possible test execution behaviours of the SUT have been observed. Therefore, the application of adaptive test cases comes at the price of having to apply some grey-box testing techniques enabling us to decide whether all SUT behaviours have been observed.

Implications for CSP Model Checking

Conclusion

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