One Evaluation of Model-Based Testing and its Automation

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ABSTRACT
Model-based testing relies on behavior models for the generation of model traces: input and expected output—test cases—for an implementation. We use the case study of an automotive network controller to assess different test suites in terms of error detection, model coverage, and implementation coverage. Some of these suites were generated automatically with and without models, purely at random, and with dedicated functional test selection criteria. Other suites were derived manually, with and without the model at hand. Both automatically and manually derived model-based test suites detected significantly more requirements errors than hand-crafted test suites that were directly derived from the requirements.

Categories and Subject Descriptors
D.2.5 [Software Engineering]: Testing and Debugging—Testing tools; D.2.1 [Software Engineering]: Requirements/Specifications; D.2.2 [Software Engineering]: Design Tools and Techniques

General Terms
Verification

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1. INTRODUCTION
A classical estimate relates up to 50% of the overall development cost to testing. Although this is likely to also include debugging activities [6], testing does and will continue to be one of the prevalent methods in quality assurance of software systems. It denotes a set of activities that aim at showing that a system’s intended and actual behaviors do not conform, or to increase confidence that they do.

The intended behavior is described in specification documents that exhibit a tendency to be incomplete, ambiguous, and sometimes contradictory. Designing tests from such documents consequently is a questionable undertaking. The idea of model-based testing is to make the intended behavior explicit, in the form of behavior models. Once these models have been determined to accurately reflect the actual requirements, traces of the model can serve as test cases for a respective implementation. This approach is particularly appealing because it is widely undisputed that in addition to the benefits of—possibly even automated—testing, the mere activity of modeling does help with clarifying requirements: in order to be useful, (executable) behavior models are often so precise that they actually form prototypes. Benefits of the latter have been acknowledged for at least two decades [3].

The past years have witnessed increasing research efforts on different flavors of model-based testing. However, we feel that the key question has been neglected: does the approach pay off in terms of quality and cost? This paper provides some answers in terms of quality. We built a model of a network controller for modern automotive infotainment systems to assess one representative approach to automated model-based testing.

Throughout this paper, we use the term failure to denote an observable difference between actual and intended behaviors; the reasons for the failure (incorrect state, inadequate code, misunderstood requirements) are, without differentiation, referred to as errors.

1.1 Problem
We address the following questions. (1) How does the quality of model-based tests compare to traditional hand-crafted tests? Our notion of quality covers both coverage and number of detected failures. (2) How does the quality of hand-crafted tests—both with and without a model—compare to automatically generated tests, i.e., is automation helpful? Our notion of automation relies on characterizations of “interesting” test cases formalized by test case specifications. (3) How do model and implementation coverages relate? (4) What is the relationship between condition/decision (C/D) coverage and failure detection? We do not consider cost in this paper.
1.2 Results and Consequences

Our main results are summarized as follows. (1) Tests derived without using a model detect fewer failures than model-based tests. The number of detected programming errors is approximately equal, but the number of detected requirements errors—those that necessitate changing the requirements documents—is higher. (2) Automatically generated test suites detect as many failures as handcrafted model-based test suites with the same number of tests. A sixfold increase in the number of automatically generated tests leads to 11% additionally detected errors. None of the test suites detected all errors. Hand-crafted model-based tests yield higher model coverage and lower implementation coverage than the automatically generated ones. (3) There is a moderate positive correlation between model and implementation C/D coverages. (4) There is a moderate positive correlation between C/D implementation coverage and failure detection, and a strong positive correlation between C/D model coverage and failure detection. Higher C/D coverage at the levels of both the model and the implementation does not necessarily imply a higher failure detection rate.

Implications are threefold. (1) In terms of failure detection, the use of models pays off. (2) Even if entire domains can be identified where implementation C/D coverage strongly correlates with failure detection, this does not necessarily mean that these positive results carry over when the same criteria are used for automated test case generation from models. (3) If the number of actually executed test cases matters, evidence for the benefits of automated test case generation remains to be provided.

We are aware that our findings do not necessarily generalize (see Sec. 5). We think that a set of publicly accessible medium and large-scale studies like this one will allow to draw more general conclusions in the future.

1.3 Experimental setup

In a first step, we used existing requirements documents—informal message sequence charts (MSCs)—to build an executable behavior model of the network controller. This revealed inconsistencies and omissions in the specification documents which were updated accordingly. They were then used (1) by developers of a third-party software simulation of the controller—our system under test, (2) by test engineers who, without the model, had to test this system, and (3) by different engineers who both manually and automatically derived tests on the grounds of the model.

The test suites were applied to the implementation; failures were counted and classified. The model itself, as "ultimate reference", was not included in the requirements documents. This explains why there are requirements errors at all: the updated specification MSCs did not capture all the implementation behaviors that, later on, exhibited mismatches with the model's behavior.

1.4 Contribution

We are not aware of studies that systematically compare automatically generated test suites to hand crafted ones. We are also not aware of real-world studies that try to precisely measure the benefits of using explicit models for testing as opposed to not using them. We see our major contribution in providing numbers that indicate the usefulness of explicit behavior models in testing, and in stimulating the discussion on the usefulness of automation and the use of structural criteria in model-based testing.

1.5 Overview

Sec. 2 defines our notion of model-based testing in general, the modeling tool we used, and the technology of test case generation. Sec. 3 gives an overview of the network controller. Sec. 4 presents different test suites and their performance. Sec. 5 discusses the findings of our case study, Sec. 6 describes related work, and Sec. 7 concludes.

2. MODEL-BASED TESTING

This section provides a description of model-based testing in general, the CASE tool AUTOFOCUS, and a sketch of the generation of test cases from AUTOFOCUS models.

2.1 Basics

The general idea of model-based testing (of deterministic systems) is as follows. An explicit behavior model encodes the intended behavior of an implementation called system under test, or SUT. Modeling languages include statecharts, Petri nets, the UML-RT, or ordinary code. Traces of the model are selected, and these traces constitute test cases for the SUT: input and expected output.

The model must be more abstract than the SUT. In general, abstraction can be achieved in two different ways: (1) by means of encapsulation: macro-like structures as found in compilers, library calls, the MDA, or J2EE, or (2) by deliberately omitting details and losing information such as timing behavior. Now, if the model was not more abstract than the SUT in the second sense, then the efforts of validating the model would exactly match the efforts of validating the SUT. (We use the term validation when an artifact is compared to often implicit, informal requirements.)

While the use of abstraction in model-based testing appears methodically indispensable, and, for the sake of intellectual mastery, desirable, it incurs a cost: details that are not encoded in the model obviously cannot be tested on the grounds of this model. In addition, it entails the obligation of bridging the different levels of abstraction between model and SUT: input to the model, as given by a test case, is concretized before it is fed to the SUT. The output of the latter is abstracted before it is compared to the output of the model as defined by the test case. The hope is that one can split the inherent complexity of a system into an abstract model, and driver components that perform concretizations and abstractions. The granularity of the comparison between the system's and the model's output depends on the desired precision of the test process: as an extreme case, each output can be abstracted into whether or not an exception was thrown. In some situations, this may be meaningful enough to initiate further actions.

In most cases, one needs selection criteria on the set of all traces of the model. We call them test case specifications. These are intentional: rather than specifying each test case on its own, one specifies a characteristics and has some manual or automatic generator derive test cases that exhibit the characteristics. Examples include coverage criteria, probability distributions, or the definition of a state of the model one considers interesting. They can also be given by functional requirements in the form of restricted environment models that make sure the model of the SUT can only perform certain steps [23]. This also includes fault models. In this sense, test case specifications can be structural, stochastic, or functional.

To summarize the procedure in the present study, we built a model of the network controller and a rudimentary environment model for the nodes in the network. As far as model-based tests are concerned, this model together with the test case specifications of Sec. 4.2.1 was used to derive a set of model traces, or runs. There are no explicit fault models; these are implicitly represented in the test case specifications. By projecting a trace onto the behavior of the controller, we get a test case for its implementations: input and expected output. With suitable concretizations and abstractions, we stub the actual nodes by the information contained in the test case. The network itself as well as the controller were not stubbed.
test case specification—a full-fledged environment model, or sets of constraints. Execution of this CLP program then successively enumerates all traces of the model (and “guesses” all possible input values). In fact, the model is executed symbolically: rather than enumerating single traces—input, output, local data of all components—the model, we work with sets of values in each step instead. States are not visited multiple times which is why in each step, the currently visited set of states is only taken into consideration if it is not a specialization of a previously visited set of states. We omit details of the translation and state storage here and refer to earlier work [25].

Even with test case specifications and state storage, the number of computed test cases that satisfy a test case specification may be too large. In this case, one has to add further constraints, i.e., test case specifications, or pick some tests at random.

### 3. THE MOST NetworkMaster

MOST (Media Oriented Systems Transport) is an infotainment network tailored to the automotive domain. Its public specification [19] is maintained by the MOST cooperation that includes major automotive companies. This public specification does not contain the informal sequence diagrams that we used in our study. MOST is a ring topology that supports synchronous and asynchronous communication at up to 24.8 Mbps. Various devices, such as a CD changer or a navigation system, are connected in order to provide MOST applications to the user. These applications are represented by function blocks that reside in MOST devices. Examples of a function block include CDPlayer and the special function block NetBlock. This function block is available in every device and can be used to get information about the other function blocks. Each function block provides several functions that can be used by other function blocks. For instance, a CDPlayer can be asked to start, stop, etc. All function blocks and functions are addressed by standardized identifiers.

The network exhibits three central master function blocks, one of which is the NetworkMaster (NM), the subject of our study. It is responsible for ensuring consistency of the various function blocks, for providing a lookup service, and for assigning logical addresses.

#### 3.1 Model of the NetworkMaster

Fig. 1 depicts the functional decomposition of the NM into AUTOFOCUS components. The NM provides two basic services. The first is to set up and maintain the central registry. The central registry contains all function blocks and their associated network addresses currently available in the network. This service is modeled by component RegistryMgr. The second service is to provide a lookup service from function blocks to network addresses. This task is modeled by component RequestMgr. Components Divide and Merge are needed for technical reasons; they distribute incoming and merge outgoing signals.

Fig. 2 depicts the EFSM of component RegistryMgr which is the most complex in the model. For the sake of simplicity, we do not provide any guards and actions on transitions here. The component’s data space is partitioned into three control states (bubbles): NetOff models the state when the NM is switched off; in state SystemConfigCheck the NM performs a system configuration check, i.e., it sets up or checks the central registry; and in state ConfigurationStatusOK the MOST network is in normal operation, i.e., the nodes in the network are allowed to communicate freely.

Including the environment model, the model consists of 17 components with 100 channels and 138 ports, 12 EFSMs, 16 distinct control states (bubbles), 16 local variables, and 104 transitions. 34

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**2.2 AutoFocus**

We use the CASE tool AUTOFOCUS [17] for modeling the network controller. The core items of AUTOFOCUS specifications are components. A component is an independent computational unit that communicates with its environment via so called ports. Ports are typed. Two or more components can be linked by connecting their ports with directed channels. In this way, component networks evolve which are described by system structure diagrams (SSDs).

An EFSM consists of a set of control states (bubbles), transitions (arrows), and is associated with local variables. The local variables form the component’s data state. Each transition is defined by its source and destination control states, a guard with conditions on

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**2.3 Test Case Generation**

Test case generation is performed by translating the model into a Constraint Logic Programming (CLP) language, and adding the
The model's complexity lies in these functions and in the transition guards. The part of the implementation that the model roughly corresponds to, amounts to 12,300 lines of C code, without comments. Five general abstraction principles were applied in the model.

1. In terms of **functional abstraction**, we focused on the main functionality of the NM, namely setting up and maintaining the registry, and providing the lookup service. We omitted node monitoring which checks from time to time whether or not all nodes in the ring are alive.

2. In terms of **data abstraction**, we reduced data complexity in the model, e.g., by narrowing the set of MOST signals to those which are relevant for the NM behavior, and by building equivalence classes on error codes which the NM treats identically.

3. In terms of **communication abstraction**, we merged consecutive signals that concern the same transaction in actual hardware into one signal.

4. In terms of **temporal abstraction**, we abstracted from physical time. For instance, the timeout that indicates expiration of the time interval the NM should wait for the response of a node is abstracted by introducing two symbolic events: one for starting the timer, and a nondeterministically occurring one for expiration of the timer. This nondeterministic event is raised outside of the NM model which hence remains deterministic.

5. Finally, in terms of **structural abstraction**, the nodes in the environment of the NM are not represented as AUTOFOCUS components, but instead by recursive data structures manipulated by one dedicated environment component. This enables us to parameterize the model in order to deal with a variable number of nodes in the network.

### 3.2 Implementation

The SUT is a beta software simulation of the MOST NM that is connected to an actual network. The network controller is intended to be built by different suppliers, not the automotive OEM who, nonetheless, needs a software-in-the-loop simulation for integration tasks with other devices. The NM simulation was built by an external third party. Roughly, the interface of the SUT is identical to that of hardware NMs.

In order to make the abstract test cases—model traces—applicable to the SUT, we wrote a compiler that translates them into 4CS (www.4cs.de) test programs. 4CS provides a test infrastructure for MOST networks. So-called optolyzers were used to stub actual nodes: these are freely programmable nodes in the MOST network. Via 4CS, we programmed them to behave like a corresponding test case. In this way, we can stimulate the SUT. In the 4CS programs, the SUT’s output is compared to the intended output as given by the test case. At the end of each test case, the central registry of the SUT was downloaded and compared to the corresponding registry of the model which is also encoded in the test cases.

We omit details of the instantiation of the general scheme of Sec. 2.1 with driver components responsible for input concretization and output abstraction. For instance, in terms of data abstraction, one arbitrary representative of an equivalence class of error codes—sent to the SUT—was chosen in order to instantiate signals. In terms of temporal abstraction, the expiration of a timer was instantiated by a wait statement containing the actual physical duration. Conversely, output of the model is converted into an executable verification statement. For example, if an output signal contains a list of items as parameter, a corresponding verification statement is created which checks if the actual list in the implementation’s output is a permutation of the expected list in the model’s output: the model is deliberately over-specified.

### 4. TESTS

This section describes the general procedure of testing the NM, different test suites, and observations.

#### 4.1 Overview

Once the model had been built, we derived different test suites (Sec. 4.2). Except for hand-crafted test cases, these consist of abstract sequences of input and expected output. We turned them into executable test cases as described in Sec. 3. Tests built without a model were manually lifted to the more abstract level of the model. Doing so allows us to (1) apply all test cases to the implementation via the 4CS compiler, (1a) check for conformance with the model, and (1b) measure coverage at the level of the implementation. In addition, we (2) applied the input part of each test case to the model and measured coverage at the level of the model. Model coverage is defined by means of coverage on Java (simulation) code that was generated from the model. Implementation coverage, on the other hand, was measured on the C code of the SUT. For the sake of comparability, we excluded those C functions that, as a consequence of abstraction, do not have counterparts in the model. However, some of the abstracted behavior is scattered over the C code, and we did not remove these parts for measurements.

Our coverage criterion is based on the control-flow of a program. **Condition/Decision (C/D) coverage** measures the number of different evaluations (a) of each atomic condition in a composed condition plus (b) the outcome of the decision. 100% coverage requires that each atomic condition be evaluated at least once to both true and false, plus the requirement that the decision takes both possible outcomes.

In addition to coverage measurements, we recorded differences between the behaviors of model and implementation, and grouped these failures into 26 classes. Since the elements of a class exhibit a similar erroneous behavior, we conjecture that the elements of each class correspond to the same fault, i.e., the same cause of the de-
viation in behaviors. Since the SUT was built by an external third party, we could not verify this conjecture. Consistent with the terminology introduced in Sec. 1, we use the terms “failure class” and “error” interchangeably. When talking about numbers of detected errors, we always mean distinct errors.

Different test suites were applied in order to assess (1) the use of models vs. hand-crafted tests, (2) the automation of test case generation with models, and (3) the use of explicit test case specifications. We also provide a comparison with randomly generated tests.

### 4.2 Test Suites
This section describes the seven different test suites that we compared, and explains to what end we designed them. The length of all test cases varies between 8 and 25 steps (our test case generator handles test cases of arbitrary finite lengths, but for the sake of human analysis within this study, we restricted ourselves to rather short sequences). To all test cases, a postamble of 3-12 steps is automatically added that is needed to judge the internal state of the SUT (registry download). We are concerned with black-box testing an NM implementation, i.e., we do not directly access its internal state. However, because it is a software simulation, we can easily measure code coverage.

We investigated the following test suites. The exact number of tests in suites \( \{B, C, D\} \) is given in Sec. 4.3.1.

- **A** A test suite that was manually created by means of interactively simulating the model; \(|A| = 105\) test cases.
- **B** Test suites that were generated automatically, on the grounds of the model, by taking into account the functional test case specifications of Sec. 4.2.1. Tests were generated at random, with additional constraints that reflect the test case specifications. The number of test cases in each suite varies between 40 and 1000. We refer to these test suites as “automatically generated”.
- **C** Test suites that were generated at random, automatically on the grounds of the model, without taking into account any functional test case specifications.
- **D** Test suites that were randomly generated, without referring to the model. Sec. 4.2.2 explains how the expected output part was derived.
- **E** A manually derived test suite that represents the original requirements message sequence charts (MSCs). This test suite contains \(|E| = 43\) test cases.
- **F** A manually derived test suite that, in addition to the original requirements MSCs, contains some further MSCs. These are a result of clarifying the requirements by means of the model. The test suite itself was derived without the model. This test suite contains \(|F| = 50\) test cases. A test suite that was manually developed with traditional techniques, i.e., without a model: 61 test cases.

All these test suites are summarized in Tab. 1. The difference between test suites \( \{E, F\} \) and \( G \) is that \( F \) stems from requirements documents only whereas \( G \) stems from test documents (which, of course, rely on requirements themselves). The difference between \( A \) and \( F \) is similar: \( F \) is a direct result of requirements engineering activities, and \( A \) results from testing activities.

#### 4.2.1 Functional Test Case Specifications (suite B)
We defined functional test case specifications in order to specify sets of test cases to be generated for suite \( B \). Each test specification is related to one functionality of the NM, or to a part of the behavior it exhibits in special situations. We identified seven classes of functional test case specifications that we state informally.

- **TS1** Does the NM start up the network to normal operation if all devices in the environment answer correctly?
- **TS2** How does the NM react to central registry queries?
- **TS3** How does the NM react if nodes don’t answer?
- **TS4** Does the NM recognize all situations when it must reset the MOST network?
- **TS5** Does the NM register signals that occur spontaneously?
- **TS6** Does the NM reconfigure the network correctly if one node jumps in or out of the network?
- **TS7** Does the NM reconfigure the network correctly if a node jumps in or out of the network more than once?

We implemented and refined TS1–TS7 into 33 test case specifications by stipulating that specific signals must or must not occur in a certain ordering or frequency in traces of the NM model.

#### 4.2.2 Generation
Generation of test cases was done as follows. For suite \( B \), we translated the specifications of Sec. 4.2.1 into constraints, and added them to the CLP translation of the model (Sec. 2.3). Each of the 33 refined test case specifications basically consists of a conjunction of combinations of those constraints that correspond to the specifications TS1-TS7. The resulting CLP program was executed for test cases of a length of up to 25 steps. Computation was stopped after a given amount of time, or, as a consequence of state storage and test case specification, when there were no more test cases to enumerate. For each of the 33 specifications, this yielded suites that satisfy them. During test case generation, choosing transitions and test case specification, when there were no more test cases to enumerate: for each of the 33 specifications.

We generated tests with different seeds for the random number generator: for each test case specification, fifteen test suites with different seeds were computed. Out of each of the fifteen suites, a few tests were selected at random. We hence generated test suites that were randomly chosen from all those test cases that satisfy the test case specifications.

Suite \( C \) was generated in a similar manner, but without any functional test case specifications. Suite \( D \) was derived by randomly generating input signals that obeyed some sanity constraints (e.g., switch on the device at the beginning of a test case) but did not take into account any logistics whatsoever. In order to get the expected output part of a test case, we applied the randomly generated input to the model and recorded its output.

### Table 1: Test suites

<table>
<thead>
<tr>
<th>suite</th>
<th>automation</th>
<th>model</th>
<th>TC specs</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>manual</td>
<td>yes</td>
<td>yes</td>
</tr>
<tr>
<td>B</td>
<td>auto</td>
<td>yes</td>
<td>yes</td>
</tr>
<tr>
<td>C</td>
<td>auto</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>D</td>
<td>auto</td>
<td>no</td>
<td>n/a</td>
</tr>
<tr>
<td>E</td>
<td>manual</td>
<td>no</td>
<td>n/a</td>
</tr>
<tr>
<td>F</td>
<td>manual</td>
<td>no</td>
<td>n/a</td>
</tr>
<tr>
<td>G</td>
<td>manual</td>
<td>no</td>
<td>n/a</td>
</tr>
</tbody>
</table>
Hand-crafted test cases were, with the exception of test suite $A$, conceived without the model. The expected output parts were derived by applying the respective input to the model. Using the model for manual derivation of tests here means that knowledge of the model and its structure was an essential part of the process of designing the test suite.

4.3 Observations and Interpretations

This section describes our findings in terms of error detection, model coverage, and implementation coverage.

4.3.1 Error detection

26 errors were found during the testing phase, in addition to 3 major inconsistencies, 7 omissions, and 20 ambiguities that were found in the specification documents while the model was built. Two of the 26 errors are errors in the model, a consequence of mistaken requirements. There are 13 programming errors, and 11 requirements errors. The latter are defined by the fact that their removal involved changing the user requirements specifications (recall that these did not include the model itself as “ultimate reference”: naturally, even the updated requirements MSCs, $F^*$ contained omissions and ambiguities). Changing requirements specifications wasn’t necessary for programming errors. The difference between the two classes obviously also is important in terms of who is responsible for the removal, the OEM or the supplier. Out of the 24 errors in the implementation, 15 were considered severe by the domain experts, and 9 were considered non-severe. Severity means that their occurrence at runtime would jeopardize a subsequent correct functioning of the entire system. Our definition of requirements errors inherits from the notion of design errors coined by Boehm et al. [4].

Because we could not automatically assign a failure to its class (error, cf. Sec. 4.1), we had to manually check the results of running the test cases. This restricts the number of tests. In terms of suites $B^*$, we picked 4 times 5 tests and once 10 tests for each of the 33 refined test case specifications, which adds to $4 \times 165 + 330 = 990$ tests.

For suites $C$, we picked 4 times 150 tests, and 3 times 150 tests for suites $D$. Fig. 3 shows the errors (classes of failures) that were detected with different test suites; the first bar for suite $B$ is the one that consists of 330 tests. The $AF^*$ bar represents the test suite that consists of $A \cup F^*$; these two together seemed a natural reference candidate for assessing automated tests. Fig. 4 shows the differences in terms of numbers of detected errors. Let $e(X)$ denote the errors detected by suite $X$. For a pair $X, Y$, the lower bar denotes the number of errors detected by $X$ but not by $Y$: $|e(X) \setminus e(Y)|$. The upper bar shows the inverse: $|e(Y) \setminus e(X)|$. An asterisk, *, refers to a cumulated test suite ($B, C$, or $D$). In terms of suites $B, C$, and $D$, grey bars denote suites that were not cumulated. For these suites, the number of test cases and the index of the suite are also given. The latter corresponds to the ordering of test suites in Fig. 3. For instance, $B330$ denotes test suite $B$ consisting of 330 tests, and $C150-3$ denotes the third test suite $C$ consisting of 150 tests. As an example, the leftmost bars in the figure show that $AF^*$ detected 2 errors that the cumulated suite $B^*$ did not detect, and conversely, that $B^*$ detected 5 errors that $AF^*$ did not detect.

The major observation is that model-based and hand-crafted tests both detect approximately the same number of programming errors. Requirements errors are predominantly detected by model-based tests. This is because building the model involved a thorough review of the requirements documents, and these are directly reflected in the model. None of the test suites detected all 26 errors, and there is no correlation between test suites and the severity status of the respective detected errors (figure not shown).

Suite $A$ (105 tests; 18 errors) detects slightly fewer errors than $AF^*$ (148 tests; 20 errors). The two errors detected by $F^*$ but not by $A$ were simply forgotten; they “should have been found”. 20 is approximately the same number as the number detected by each single suite in $B^*$. The cumulated suite $B^*$ detects 23 errors. Note that the latter consists of 990 tests while $AF^*$ consists of 148 tests, and one might well argue that $A$ plus the two inattentively “forgotten” tests—hence 107 tests—makes for a fairer comparison than the entirety of $AF^*$. The errors detected by $B^*$ but not $AF^*$ correspond to situations that appear abstruse to a human which makes us believe a human tester would not have found them—that they were detected by automatically generated suites is a consequence of the randomness involved. These situations were judged unlikely by the domain experts.

Randomly generated model-based tests (suites $C$, cumulated: 15 errors) detect roughly as many errors as manually designed tests ($C^*G$). The latter detect more programming errors, and almost the same number of requirements errors. With a few exceptions—
again “abstruse” situations—errors detected by $C^*$ are also detected by $A,F$ and $B^*$: traces that are executed with a high probability.

Suites $D$ (cumulated: 8 errors) exhibit the smallest number of detected errors. All of them are also detected by $B^*$: two errors not detected by $A,F$ correspond to traces that, once more, appear abstruse to a human because of the involved randomness. The use of functional test case specifications hence ensures that respective tests perform better than purely randomly generated tests.

### 4.3.2 Model Coverage

The model contains 1722 C/D evaluations in transition guards and functional programs used by component RegistryManager. The implementation contains 916 C/D evaluations. Fig. 5 shows C/D coverage at the level of the Java simulation code generated from the model.

For test suites with varying numbers of test cases, we display the mean that was computed from 25 experiments, i.e., 25 times a choice of $n$ test cases out of original sets that range from 6,000 to 10,000 tests. The error bars denote the 98% confidence interval for the mean under the assumption that the data is approximately normally distributed. For the sake of graphical representation, we do not display any numbers for more than 550 test cases.

Coverage does not exceed 79%. The reason is the handling of pattern matching in the generated Java code with trivially true conditional statements. Except for the test cases that have been generated without a model, the 98% confidence intervals for the given means are rather small. This implies a likelihood that the displayed trends are not subject to random influences.

$A$ yields the highest coverage which is unmatched by the second best suite $B$. That $A$ yields such a high coverage is explained by the fact that the same person built the model and the test case specifications of Sec. 4.2.1. This person intuitively tried to match the structure of the model. In our case study, automation could hence not match the coverage of manually generated model-based tests. $A$ does not include all covered C/Ds of suites $B$ to $G$: even though the absolute coverage of $A$ is the highest, it turns out that the latter yield up to 14 additional evaluations of atomic conditions. It also turned out that generated tests covered more possible input signals, a result of randomization. Manually derived test cases included some special cases that the randomly generated tests did not cover.

Suites $F$ and $G$ are the next best suites; this is explained by the fact that the improved requirements documents contain some “essential” runs of the model. Suite $C$, i.e., randomly generated model-based tests, match the coverage of $F$ at about 500 test cases.

The comparison of test suites $\{C, D\}$ and $B$ shows that the use of functional test case specifications leads to higher coverage with fewer test cases. This comes as no surprise since test case specifications “slice” the model. If test cases are generated for each “slice”—which correspond to different structural elements, or rare special conditions, in the model—then there is an increased likelihood that these rare special conditions will be met. Technically, the model’s state space is broken down into smaller parts, and test case generation is performed for each subspace. The smaller a state space, the more likely it is to reach its elements.

### 4.3.3 Implementation coverage

Technical constraints with batch processing made it impossible to run the same set of experiments on the implementation (Sec. 4.3.1). Because of the limited number of evaluated test suites we cannot display the evaluation of coverage with an increasing number of test cases. Instead, we display the relationship between model coverage and implementation coverage (Fig. 6) for test suites with a fixed number of elements. These test suites form a superset of those regarded in Fig. 3; that not all of them were considered in the error analysis is a consequence of the effort that is necessary to assign failures to failure classes (Sec. 4.3.1).

That implementation coverage does not exceed 75% is a result of the abstractions applied to the model: we excluded most C functions from the measurements that had no counterparts. However, as mentioned above, some of the behavior abstracted in the model is scattered through the code, and we did not touch these parts. One can see that test suites that were built with randomness ($B, C, D$) yield rather different coverages in their own classes. This is likely due to random influences: as our measurements and the 98% confidence intervals in Fig. 5 indicate at least for the model, test suites from one category tend to yield rather constant coverages.

On average, the random suites $C$ and $D$ yield roughly the same implementation coverage. As in the case of the model, coverage tends to increase for suite $B$. There is a moderate positive correlation between coverages (correlation coefficient $r = .63; P \leq .001$). We expected to see a stronger correlation on the grounds of the argument that the “main” threads of functionality are identical in the model and an implementation. This was not confirmed. The figure suggests that there is a rather strong (the small number of measurements forbids a statistical analysis) correlation of coverages if only the manually derived suites $\{E, F, G, A\}$ are regarded.

While the manually built model-based test suite $A$ yields higher model coverage than the tests in $B$—as explained above—it exhibits a lower implementation coverage than $B$. This, again, is a result of the fact that the implementation ran into some branches that were not modeled.
4.3.4 Coverage vs. Error Detection

A combination of the data from Secs. 4.3.1 to 4.3.3 is given in Figs. 7 and 8. Both figures suggest a positive correlation between C/D coverage and error detection. Data is more scattered in the case of implementation coverage: correlation coefficient $r = 0.68 \ (P \leq 0.001)$ for the implementation. Correlation is $r = 0.84 \ (P \leq 0.0001)$ for the model with a logarithmically transformed ordinate. We observe in Fig. 7 that test suite $D$ yields a comparatively high coverage but finds few errors. As above, this is explained by the fact that implementation coverage includes functionality that is not implemented in the model, most importantly, timing issues. Furthermore, one can see that at high coverage levels, increasing coverage does not necessarily increase the number of detected errors.

4.3.5 Summary

As a bottom line, we observe the following.

1. The use of models significantly increases the number of detected requirements errors. Roughly, the number of detected programming errors does not depend on the use of a model. Purely random tests $\{C,D\}$, both with and without model, detect fewer errors than all other test suites.

2. None of the test suites detected all errors. When comparable numbers of tests are taken into account, hand-crafted model-based tests detect as many errors as automatically generated tests. When compared to hand-crafted model-based tests, six times (or even 9 times if one subscribes to the argument of Sec. 4.3.1) more automatically generated tests detect three additional errors. That different test suites detect different errors suggests that a combination of test suites is preferable.

3. C/D coverages of model and implementation correlate moderately.

4. Overall, C/D coverage positively correlates with error detection, but higher coverage does not necessarily imply a higher error detection rate.

5. The rather high number of remaining requirements errors suggests that MSC-based requirements documents need to be complemented by the model itself.

5. DISCUSSION

That the use of executable behavior models helps with clarifying requirements and detecting errors does not surprise us: the behavior model is an abstract prototype of the SUT. We consider it remarkable yet not surprising that the number of detected programming errors is roughly independent of the use of models.

That the benefits of automation deserve some scrutiny corresponds to our gut feeling of earlier studies [23, 25]. “Automation” must be taken with care. One, we still need humans to formulate test case specifications; that structural criteria alone do not suffice as basis for test case generation is widely undisputed. (The use of test case specifications also exhibits the intrinsic value of providing rationales for test cases.) Two, we had to perform some manual optimizations in the generated CLP code: like all approaches to test case generation we know of, our approach is not entirely a push-button technology yet.

Having said this, automation is indeed helpful when changes in the model have to be taken into account. Provided that test case generation is a push-button technology, it is obviously simpler to automatically generate new tests than to hand-craft them. It is possible to conceive and hand-craft 100 tests in a few hours, but this becomes more complicated for 1,000 tests. Recall how a significant increase in automatically generated model-based tests revealed some additional errors. Obviously, the length of the test cases—the number of steps that must be performed—matters in a similar way. However, the number of test cases must be restricted to a minimum because they not only have to be applied but also to be evaluated: if there is a deviation in behaviors, then the test run must be manually inspected. If 100 tests detect the same error, this becomes tedious. In addition, in the case of the software-in-the-loop simulation of the embedded system of our study, each test takes at least 10 seconds because of hardware limitations. This naturally restricts the number of tests that can be run. Furthermore, we found that purely randomly generated tests are difficult to interpret because they correspond to highly “non-standard” behavior.

Counting failures for reactive systems is non-trivial. When the behaviors of model and implementation differed at a certain moment in time, they tended to differ for the rest of the test case, too. We tried to associate a maximum number of errors to a test run, but were in doubt sometimes: in our statistics, the majority of test cases revealed not more than one error.

It is difficult to draw conclusions from the moderate correlation between model coverage and implementation coverage. Using coverage criteria as test case specifications for automated test case generation relies on their suspected ability to detect errors. In addition to the ongoing controversy on this subject, our results suggest some care with directly transferring findings on implementation coverage to model coverage. Model coverage, as we define it, is clearly dependent on the simulation code generator that is used.
One must be careful to generalize. When comparing test suites built by different teams, which is the case for our test suites $A$ and $G$, one must take into account the fact that different people in different contexts with different knowledge of the system conceived them (cf. Hamlet’s comments [13], and the findings of Hutchins et al. [18] that indicate that test suites derived by different test engineers—or even different test suites derived by the same engineer—vary w.r.t. effectiveness. While we consider it possible to generalize our findings to other event-discrete embedded devices with almost no ordered data types, we cannot say whether the same is true for discrete-continuous embedded systems or business information systems. As mentioned above, it is, in general, likely that the benefits of automation are greater if significantly more tests could be run. This is not always the case for embedded systems.

We are also aware that we used one specific modeling language, and tested an implementation at a certain stage of development. We do not know if our findings generalize for implementations in a more mature state. Furthermore, we cannot judge whether or not different coverage criteria, particularly those based on data flow, exhibit the same characteristics. In terms of test case generation technology, we do not think that our approach is fundamentally different from others (see Sec. 6).

6. RELATED WORK

Test case generation on the grounds of structural criteria with model checkers or symbolic execution has been proposed by different authors, both for application to models of the implementation and to environment models [16, 24, 1, 15, 23]. AUTOFOCUS models can be subjected to (bounded) model checking, but this was not applicable with the current technology because of the recursive data structures. The model’s complexity also inhibited successful application of our own test generation technology for MC/DC [24]. We suspect that even if we tightly restricted the recursive structures, a model checker couldn’t cope with the model’s complexity.

For a review of model-based test case generators, we refer to earlier work [25].

The present work uses coverage criteria to measure test cases, but not to generate them. Instead, we stick to a combination of using functional test case specifications and random testing [5, 12, 10]—which, sooner or later, is used in many test case generators, and which is also induced by the search strategy of model checkers—but restrict the sample space by means of test case specifications. In other words, we randomly generate tests for “slices” of the model, and these slices roughly correspond to the main modes of operation. In this sense, we combine functional with random testing. This procedure exhibits the advantage of yielding rationales for test cases. The test case specifications were written after the model was completed, and we hence did not investigate their use in specification documents. In conformance with intuition, among others, the studies by Heimdahl and George [14] and by Hutchins et al. [18] indicate that different test suites with the same coverage may detect fundamentally different numbers of errors.

Heimdahl et al. recently found that coverage-based tests generated by symbolic model checkers must, in terms of failure detection, be regarded with care [15]. Well-known studies [7, 8, 18, 21, 9] are concerned with the failure detection capabilities of coverage criteria. In sum, they are rather inconclusive. Hutchins et al. [18] use test suites that were manually generated on the grounds of the category partition method, and then augmented in order to increase coverage. The others use randomly generated tests, and do not take into account human test selection capabilities. All these studies do not study the relationship between automatically and manually generated tests; instead, the focus is on comparing tests that satisfy coverage criteria on the grounds of control and data flows. The studies of Ntafos [21] and Hutchins et al. [18] are based on mutation testing or fault seeding with the respective inherently critical assumptions. Like Frankl et al. [7, 8], we do not use mutation analysis for measuring effectiveness but, instead, stick to actual errors. All these studies differ from ours in that they are concerned with finding at least one—or even the only one—error.

There are few studies that investigate the relationship between model/specification coverage and error detection—with notable exceptions [15, 26]. We use coverage criteria at the level of generated simulation code rather than at the specification level [22, 26] because we don’t know of dedicated coverage criteria for EFSSMs with complex action languages: full-fledged recursive first-order functional programs in transition guards and assignments.

Finally, Baresel et al. study the relationship between model and implementation coverages [2]: model coverage is not defined by referring to generated code, and they find dedicated model coverage criteria to correlate with classical coverage criteria on generated code.

7. CONCLUSIONS AND FUTURE WORK

Our study substantiates earlier findings that building a prototype helps with improving requirements specifications. The use of models pays off when it comes to detecting failures by means of model-based tests: two to six times more requirements errors could be found. Recall that we used the model to update the specification MSCs—some MSCs were corrected, seven were added. The rather high number of remaining requirements errors in the implementation—issues that were not clear enough in the specifications and that were not captured by MSCs—suggests a need for complementing MSC-based requirements documents. One could include the model itself into the specification documents. This would require an additional overhead in terms of documentation of the model. One could also include generated tests, as MSCs, into the specification. However, there will always be unspecified parts of the behavior, a consequence of the existential nature of MSCs. A combination of both appears reasonable yet costly.

Programming errors are found more or less regardless of the use of a model. Automated test case generation did not yield more errors when a comparable number of hand crafted model-based tests were applied. However, we found that significantly more tests detected three additional errors, or 11%. We measured coverage at the levels both of the model and the implementation. C/D coverages correlate moderately, likely a consequence of abstractions in the model. On the other hand, both exhibit a positive correlation with error detection. However, increasing C/D coverage does not necessarily imply a larger number of detected errors. This leads us to regard the use of (this) coverage metrics with some skepticism.

In our context, automated test case generation refers to generating tests—input and expected output—from a model and a set of constraints that characterize “interesting” behaviors of the system. These constraints were freely combined into test case specifications. In this sense, we do functional testing with random selection. We did not use structural criteria as test case specifications, and we think that our results might stimulate further research in terms of empirical investigations of the effectiveness of model-based test case generation on the grounds of structural criteria only [15].

We believe that the use of (behavior) models will become increasingly popular in software/systems development. If automated test case generation can, unlike model checking at present, be turned into a push-button technology, it is a valuable add-on to handcrafted tests: if generating, running, and evaluating tests come at no cost, there is no objection to using this technology. To the con-
trary, automated tests detected errors that humans did not find.

Of course, generalizations must be applied with care. We have provided several caveats and leave it to future studies to confirm or reject the implications of our results.

Apart from the number and length of test cases, three major parameters influence the effectiveness of automatically generated tests: adequacy and level of detail of both model and test case specifications, and adequacy of the generation technology itself. We have argued about technology above. Like programming, building the model and choosing an adequate level of abstraction is witchcraft at present. We consider domain-specific modeling patterns as a promising step where the restriction—to a product line, or a domain—remains to be determined. In terms of test case specifications, for some application areas like information security, large bodies of knowledge on historical problems exist. Regardless of the domain, we believe that turning such knowledge into libraries of explicit test case specifications is likely to boost effectiveness of automated test case generation.

We think that the general approach of testing on the grounds of different levels of abstraction is also promising for mixed discrete-continuous [11] and real-time systems, and we acknowledge the need for respective empirical evaluations.

While the network controller is deterministic, many ideas of model-based testing also apply to non-deterministic systems. We are currently working on the generalization.

Empirical evaluations that generalize the present study are currently organized. We plan to perform a study like this one with different modeling languages and test case generators, and we are also re-doing this study with different embedded systems. The investigation of business information systems appears particularly interesting because of a possibly higher number of tests that can be applied. Automated regression testing immediately comes to mind.

Further planned studies are concerned with the efficiency of model-based testing. This includes estimates on the impact of an error’s severity into the respective test case specifications. Statistical user profiles could help identify the most common failures [20].

The economics of using explicit behavior models in the development process are not understood yet. In particular, it is not clear if the life-cycle spanning synchronization of a model w.r.t. possibly different implementations is economically efficient.

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8. REFERENCES


