Runtime Safety Analysis for Safe Reconfiguration

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Abstract—Modern technical systems are increasingly built to exhibit self-x properties as, e.g., self-healing or self-optimization. For this, they require adaptation at runtime. This is even true for embedded or mechatronic systems which often operate in safety-critical environments. There, the effects of the adaptation with respect to safety must be analyzed carefully. However, not all parameters needed for safety analyses, e.g., the concrete system architecture, are known at design time. Consequently, safety analyses need to be executed during runtime. Current approaches of runtime safety analysis typically react to anomalies that already occurred in the system. Thus, unsafe system states cannot be excluded completely. We present a runtime safety analysis that prevents system states with an unacceptable risk that have not yet occurred. For this, we generate the reachable component structures at runtime and analyze them with respect to risk. The system is modified such that component structures with an unacceptable risk are not reachable any more and are thus prevented.

Keywords—security and safety applications, self adaptive technologies, robust systems

I. INTRODUCTION

The value creation in today’s technical systems is mostly driven by embedded software. Self-x techniques as an example of innovative functionality have become a major trend in engineering complex systems [1]. Self-x postulates that systems adapt autonomously to changes in the environment or the system itself, e.g., error occurrences. Self-x systems are often embedded real-time systems that interact with the real world, where they are employed in safety-critical contexts. Even in the case that the system does not contain any design errors, hazardous situations may be caused by random errors that happen, e.g., due to the wear of physical components. Consequently, these systems have to be analyzed with respect to potential hazards and risks.

Hazard analysis determines which combinations of random errors lead to hazards and the probability of the hazards’ occurrences. The system developer uses this information to implement the system and in particular its software such that the risk, i.e., the probability of the occurrence combined with the severity of a hazard, is acceptable.²

² Acceptability is the trade-off between the hazard’s probability and consequences and the costs of reducing the probability of the hazard [2].

Self-x systems pose a challenge to safety analysis as they change their component structure during runtime. The structural change modifies the influence of hardware faults on the system and the occurrence probabilities of these faults. This affects the probabilities of hazardous situations. The severity that results from accidents may change as well, e.g., due to a changing amount of passengers in a car. Both parameters affect the associated risks. To guarantee safety, this analysis has to be applied to all component structures that are created in the self-x system. But not all component structures are known at design time, e.g., when the system connects to another system of which the system model is unknown at design time, e.g., the other system was made by an unknown manufacturer. Consequently, risk analysis has to be performed during runtime.

Cars that are driving autonomously, e.g., on a highway, are an example of Self-x systems. These cars can drive in a convoy in order to reduce air resistance and, thus, save energy. For this, they control their driving speed autonomously. Speed sensors measure the current speed of a car. Depending on this, the embedded software determines the required de-/acceleration to ensure the vehicle’s drive speed. If at least one of the speed sensors fails, it propagates a wrong current speed to the embedded software. This results in a wrong de-/acceleration which, in turn, leads to the hazard wrong speed. A wrong speed may lead to the accident collision. The severity caused by this collision may be the injury of several people and severe property damage.

Standard development approaches for safety-critical computer systems require hazards to be identified and the associated severity to be defined in order to assess the systems risk [2]. Existing approaches of runtime analysis [3], [4], [5] focus on the detection of anomalies in the executed system behavior and try to lead the system back to its intended behavior. Detection cannot be applied if we want to prevent unwanted situations, e.g., unacceptable risks, before they actually happen.

In this paper, we present an extension of our runtime risk analysis [6]. That approach determines the risk of all future component structures at design time and prevents them from being created during runtime if their risk is unacceptable. That approach does not work for the aforementioned case when systems are connected during runtime which are not known at
design time. In contrast to that previous work, we now compute hazard probabilities during runtime instead of using hazard probabilities which are pre-computed at design time.

Based on the system's current component structure, we compute each reachable component structure for a fixed number of subsequent structural changes. We then compute the hazard probabilities of the reachable component structures and combine them with the current severity encoded in numerical values to obtain the risks. If the risk of a reachable component structure exceeds the system's acceptable risk, the structural change that would result in this component structure is blocked.

The remainder of this paper is structured as follows. We first present the models that we use for modeling the component structure and structural changes in Sec. II. Our approach for risk analysis at design time follows in Sec. III. The risk analysis that is applied during runtime is presented in Sec. IV. Sec. V contains a discussion of related work. We conclude and give an outlook on future work in Sec. VI.

II. SYSTEM MODELS

In this section, we present the models that specify the systems structure and behavior. The models that we use in this paper are specified in MechatronicUML [7]. We describe the specification of the system architecture and the specification of the structural changes, called reconﬁguration, in Sec. II-A and the behavior specification in Sec. II-B.

A. System Architecture

In our approach, the system's software architecture is specified by an initial software component structure over a component model and a set of graph transformation rules for the specification of the architectural reconﬁguration. MechatronicUML uses a component model where components communicate via ports and the component's behavior is specified by real-time statecharts -- an extension of UML State Machines which support more powerful concepts for the speciﬁcation of real-time behavior. The components are connected via their ports by connectors. We call the resulting component structure a conﬁguration [7].

We use UML deployment diagrams extended by hardware ports to specify and analyze the inﬂuence of hardware faults to the software components. Fig. 1 shows a deployment diagram of a simpliﬁed subsystem that controls the speed of an autonomous car. Software components are represented by rectangles and hardware components by boxes. Squares depict ports and arrows connectors. The orientation of the arrow speciﬁes the direction of the communication. We will refer to this deployed component structure as vehicle1. This subsystem is a safety-critical part as a wrong speed can lead to harmful accidents like collision.

The speed control subsystem consists of the component sw1:Vehicle_SW representing the vehicle's software and two speed sensors s11:SpeedSensor and s12:SpeedSensor. The speed sensors measure the vehicle's speed. The software compares and combines both speed values in sca1:SpeedCalc and subsequently sets the values for the engine controller in sctl:SpeedCtrl.

For the speciﬁcation of reconﬁguration, we consider conﬁgurations as graphs, i.e., components and ports as nodes and connectors as edges. We then model a reconﬁguration as a graph transformation rule [8], [9]. A graph transformation rule consists of a left hand side and a right hand side. The left hand side identiﬁes the part of the conﬁguration in which the rule can be applied, i.e., the graph contains an isomorphic image of the left hand side as a sub graph. The right hand side deﬁnes the result of the application, i.e., the changes to be made to that sub graph such that it is an isomorphic image of the right hand side.

For a short hand notation, left and right hand side are depicted in one single graph using the notation «create» or «destroy» for components and connectors which are created or deleted during rule application.

Graph transformation rules change the system structure, i.e., create and delete components, ports, and connectors during runtime. They can be applied arbitrarily often. Additionally, new conﬁgurations are created by the connection of beforehand isolated systems as in our car convoy example. Thus, the concrete conﬁgurations that actually exist in the system are only known at runtime.

Fig. 2 shows the graph transformation rules that create a connection between two vehicles. Both graph transformation rules create a port that communicates to the vehicle in front and the vehicle in the back of the respective vehicle. During the creation of the ports, the connection between the vehicles is created as well.

![Figure 2. Graph Transformation Rules that Create a Connection between the two Vehicles](image)

Fig. 3 shows a conﬁguration which is the result of the graph transformation rules of Fig. 2 connecting two vehicles. It shows the connection between vehicle1 and vehicle2 when both vehicles drive in a convoy. Both vehicles run the same software, but they use speed sensors of different types – type SpeedSensor1 in vehicle1 and type SpeedSensor2 in vehicle2 – that have different probabilities of failing. Via this connection, vehicle2 sends reference data, e.g., reference speed to vehicle1. vehicle1 takes these data into account when calculating its target speed. Thus a failure in, e.g., s21:SpeedSensor2 of vehicle2 now also affects the hazard wrong speed of vehicle1.
describe how the hazard analysis is performed for one configuration.

We follow the terminology of Laprie [11] by associating failures – the externally visible deviation from the correct behavior – to the ports where the components interact with their environment. Errors – the manifestation of a fault in the state of a component – are restricted to the internals of the component.

For each component, we determine the errors and the failures and build a failure propagation model manually as a set of fault trees formalized using Boolean logic, which relates failures at the ports of the components to internal errors. Internal errors are annotated with the probability of their occurrence. Failure propagation models for the connectors are automatically generated. Connecting the failure propagation models of all components by the connectors forms the failure propagation of a configuration. Using this failure propagation model, we compute cut-sets -- combinations of errors that make a hazard occur -- and probabilities of hazards.

Fig. 5 shows the failure propagation model of the component structure of Fig. 1. In each speed sensor, an error, e.g., wrong value can occur, illustrated by the errors e1 and e2. The failure f0 at the outgoing port of the component s11:SpeedCtrl occurs, if there occurs an error in either of the speed sensors. This is visualized by the symbol $\geq l$ that represents a logical or.

We define a hazard in form of a Boolean formula that combines the outgoing failures of components. In our example, we define the hazard wrong speed by wrong speed $\Rightarrow f_0$. The speed sensors s11:SpeedSensor and s12:SpeedSensor each fail at a probability of $5 \cdot 10^{-5}$. The probability of the hazard wrong speed is (due to the logical or) thus approx. $10^{-4}$.

The risk of an accident is computed by multiplying the probability of the hazard with numerical values associated to the severity that results from the accident related to the hazard [2]. In our example, a collision that results from a wrong speed of vehicle1 has a severity of 1 because vehicle1 transports neither passengers nor cargo. The risk of vehicle1 for the accident collision is thus $1 \cdot 10^{-4} = 10^{-4}$.

IV. SAFE RECONFIGURATION

We now show how we guarantee that configurations built during runtime do not have an unacceptable risk. For this, we extend the system architecture by components that execute the risk analysis at runtime and manage the component’s reconfiguration, i.e., block reconfigurations in case the risk would become unacceptable. To make reconfigurations blockable, we extend real-time statecharts. These two model
extensions are addressed in Sec. IV-A. On the other hand, we need to compute the possible configurations of the system during runtime, because we can only analyze dependencies between errors correctly if we know how components are connected. This is presented in Sec. IV-B.

A. Model Extensions

Each autonomous component is extended by the subcomponent RiskManager. Its subcomponent Manager manages the safe reconfiguration of its autonomous component with respect to risk, i.e., it blocks reconfigurations in case the risk of the subsequent configuration would not be acceptable. One autonomous component is chosen, of which the risk manager performs the risk analysis of the system and acts as the autonomous component's risk manager at the same time. In this case, the risk manager is extended by the subcomponent RiskAnalyzer. The risk analyzer can be deployed on any autonomous component. Leader election protocols [12] can be employed to determine at runtime which autonomous component will contain the RiskAnalyzer subcomponent. In systems where the computing hardware resources are limited, the risk analyzer may be deployed on an external unit, e.g., desktop computer.

After each reconfiguration, the risk analyzer is updated about the changed configuration of the system by the risk manager of the autonomous component that has executed a reconfiguration. Every time the severity of a hazard changes, e.g., due to a changed amount of passengers, the risk managers update the risk values according to the hazard probabilities.

The risk analyzer not only needs to know which autonomous components are part of the system, but also how they are connected to each other. Each time an autonomous component wants to join the system, e.g., a vehicle intends to enter the convoy, the risk analyzer needs to be informed about which connections this component intends to establish to other autonomous components. With this ID the Risk Analyzer reconstructs which autonomous component is connected to which other autonomous components. The structure is needed for the hazard analysis (cf. Sec. III).

The new component requests an ID from the risk analyzer and from the components it wishes to connect to. This information is transmitted to the risk analyzer that judges whether the resulting risk of the system is acceptable or not. The communication between the new vehicle and the vehicle executing the risk analyzer is shown in Fig. 7.

For risk analysis, all autonomous components send their current configuration, graph transformation rules, and failure propagation models to the risk analyzer. The risk analyzer computes the reachable configurations of the system for a fixed number of steps from the current configuration and the graph transformation rules (cf. Sec. IV-B). For each reachable configuration, it computes the risks of all system hazards as described in Sec. III. Subsequently, each autonomous component receives the risk values and hazard probabilities associated with any of its reachable configurations. Based on this data, the risk manager of each autonomous component checks whether the risk of the subsequent configuration is acceptable before executing a reconfiguration.

In our example, the new vehicle, namely vehicle 3, first requests the ID of the vehicle it wants to establish a connection to, namely vehicle 2. After this, vehicle 3 sends its request to entry at vehicle 1 that acts as the Risk Analyzer. The Risk Analyzer either permits the connection or rejects the request. If the connection is allowed, both vehicles connect and vehicle 3 stores the ID of vehicle 2 for possible later reconfiguration requests.

In order to stop reconfigurations from being executed, we must block the transition that carries this reconfiguration as a side effect. For this, we introduced blockable transitions for real-time statecharts [6]. The engineer has to annotate whether a transition is blockable or not. These transitions are only

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2 Autonomous components are components that are not embedded into higher level components. We call all other components "subcomponent".

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Figure 6. Component Structure Extended with Risk Coordinator Components

Fig. 6 shows a configuration of two vehicles driving in a convoy. v2:Vehicle coordinates the convoy, i.e., sets reference data, e.g., speed. v1:Vehicle drives as a member and performs the risk analysis.

Figure 7. Communication for a Component Connecting to the System
executed, if the RiskManager has allowed this. Otherwise, they are blocked by the RiskManager.

In some cases, blocking transitions is not acceptable, e.g., reconfiguration in case of a component failure. Consequently, not all transitions that have a graph transformation rule attached can be blockable transitions. In order to still guarantee safe reconfigurations, we analyze all configurations that are reachable on paths between blockable transitions. If an unsafe configuration is reachable, the whole path is blocked by blocking its first transition which is a blockable transition. For further information we refer to [6].

B. Runtime Risk Computation

The runtime risk computation consists of two steps. First, we compute all configurations of the system that are reachable from the current configuration by graph transformation rules. Second, for each reachable configuration we compute the probability of each hazard and combine it with the severity that is associated to this hazard. We take the highest risk value and compare it to the acceptable risk of the system in order to judge whether the configuration is safe or not.

For computing the reachable configurations, we perform a reachability analysis on the reconfiguration behavior. As described in Sec. II, the reconfiguration behavior consists of real-time statecharts that execute graph transformation rules as side effects of their transitions.

We compute the reachable configurations using the reachability analysis introduced in [13]. Based on the current system configuration and the set of graph transformation rules, the reachability analysis computes all possible successive configurations. The result is a labeled transition system whose states are configurations and whose transitions correspond to applications of graph transformation rules. The labels of the transitions are the names of the applied rules.

Fig. 8 shows the labeled transition system for the configuration of Fig. 1 and the graph transformation rules of Fig. 2. The labeled transition system consists of four configurations, namely c1, c2, c3, and c4. In the initial configuration c1, sw1 and sw2 do not have any ports. Then, either sw1 may instantiate its rear port by executing the reconfiguration createRearPort or sw2 may instantiate its front port by executing the reconfiguration createFrontPort. That leads to configurations c2 and c3, respectively. After that, the second port may be created which establishes the connections between sw1 and sw2. Of course, they are far more configurations reachable in the system indicated by the arrows leaving c4. Due to lack of space, we only present this excerpt.

For improving the efficiency of the analysis, we use a depth limited search and identify isomorphic configurations similar to GROOVE [14]. The depth limitation restricts the length of a path in the labeled transition system to a predefined number of states. Thus, we only investigate the next n configurations that are possible in the system.

A further reduction of the labeled transition system is achieved by identifying isomorphic configurations. If we reach a configuration which is identical up to isomorphism to a configuration that is already contained in the labeled transition system, we identify both configurations and do not investigate the isomorphic configuration a second time.

In our example in Fig. 8, the configuration c4 has been obtained by identifying isomorphic configurations. Applying reconfiguration createFrontPort to c2 leads to exactly the same configuration which is obtained by applying createRearPort to c3. If we did not identify isomorphic configurations in our algorithm, the two configurations would be considered as two states which would lead to a larger labeled transition system.

For each reachable configuration, we compute the risk of each hazard as described in Sec. III. For our example configuration in Fig. 3 which is reachable from the initial configuration of vehicle1 Fig. 1, we assume an acceptable risk of $5 \cdot 10^{-4}$. All speed sensors of vehicle1 and vehicle2 may emit failures. The difference between the speed sensors of both vehicles is their probability of failing. The speed sensors of vehicle1 fail at a probability of $5 \cdot 10^{-4}$ and those of vehicle2 at a probability of $5 \cdot 10^{-3}$.

When the vehicles are not connected, the probability of the hazard wrong speed is $10^{-3}$ for vehicle1 (cf. Sec. III) and $10^{-3}$ for vehicle2. In our example, a collision of vehicle1 has a severity of 1 and the risk of vehicle1 for the accident collision is $10^{-4}$ (cf. Sec. III). The collision of vehicle2 has a severity of 4 because it has loaded 4 passengers. In case of a collision there is the possibility of multiple injured persons or even fatalities. The risk of vehicle2 for the accident collision is thus $4 \cdot 10^{-3}$.

Fig. 9 shows the failure propagation model of the two vehicles in convoy mode. The outgoing failure ft of vehicle1 now also depends on the errors of the speed sensors of vehicle2, namely e3 and e4. This affects the probability of the hazard wrong speed of vehicle1 which is now $(1-(1-10^{-3})(1-10^{-3})) = 11 \cdot 10^{-3}$. The risk of a collision of vehicle1 is now $4 \cdot 11 \cdot 10^{-3} = 44 \cdot 10^{-3}$. We take 4 as the severity value as it is the highest severity value in the system. This risk is higher than the acceptable risk of this system as $44 \cdot 10^{-3} > 5 \cdot 10^{-4}$. Consequently, the reconfiguration connecting both vehicles must be blocked.
autonomous components only exchange hazard probabilities instead of behavioral models.

Further, performing a risk analysis during runtime opens up possibilities for risk management. We would like to reduce probabilities of hazard occurrences pro-actively by reconfiguring into a configuration with lower hazard probabilities.

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