

Experimenting with Formal Verification and Model-based Development in Railways: the case of UMC and Sparx Enterprise Architect

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(FMICS 2023)

We are hiring!

- The Formal Methods and Tools (FMT) lab of the Institute of Information Science and Technologies (ISTI) of the Italian National Research Council (CNR) offers two temporary positions for research in the field of formal modelling and analysis of critical software systems, in particular but not limited to the railway and service computing domains.
- Contact us:
 - maurice.terbeek@isti.cnr.it
 - davide.basile@isti.cnr.it

Overview

- Formal Methods in Railways, Model-based Development
- Sparx Enterprise Architect, UML Model Checker
- Mapping of Sparx EA and UMC models
- Case Study: RBC2RBC handover
- Conclusion

Introduction

- Formal methods in Railways
- Model-based Software/Systems Development (MBSD)
 - mainly based on the OMG UML Standard
- Integration of Formal Methods into MBSD
- Survey on formal verification of UML SM [1]
 - “counterexamples are rarely mapped back to the original models”
 - “UMC could be used to verify UML models”
- Integration of UMC with Sparx EA

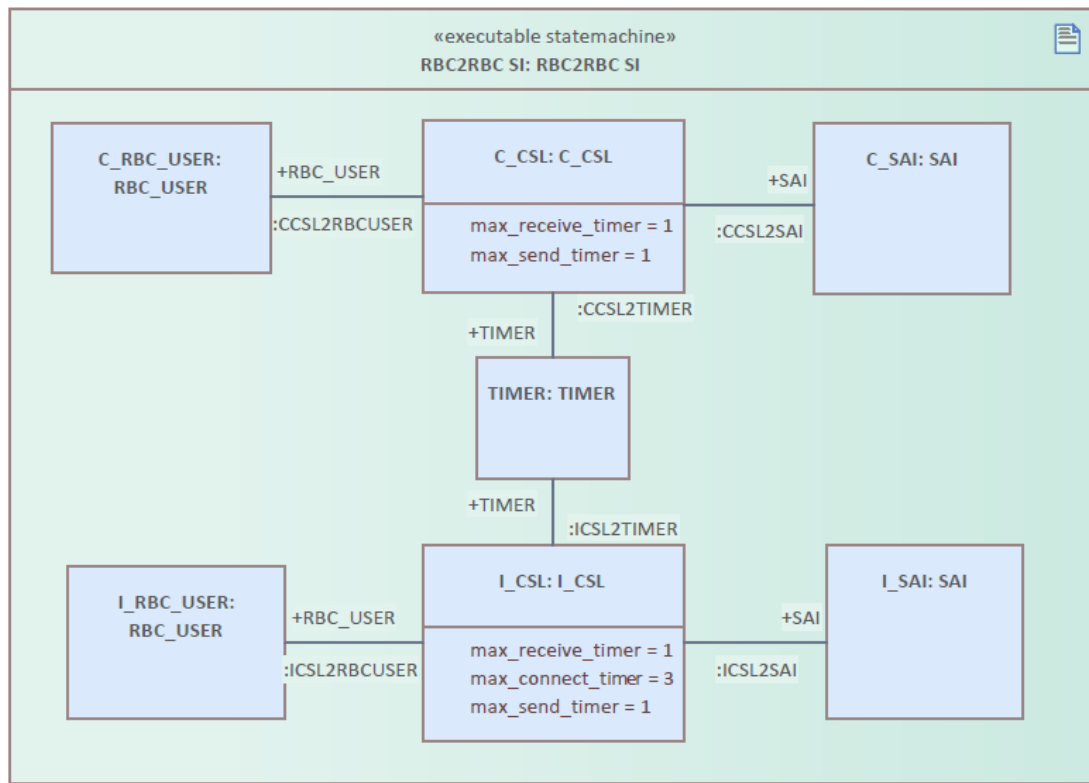
MBSD, Sparx Enterprise Architect

- Development process guided by *models*
- UML: object-oriented paradigm
- State machines: classified behaviour of a class
 - Labels of transitions: `trigger[conditions]/effects`
- Sparx EA: model-based tool based on OMG UML
- Selected within the H2020 Shift2Rail 4SECURail project based on different criteria
 - e.g., composition of state machine

Enterprise Architect



- Executable State Machines
 - Composition of State Machines,
 - Simple instruction for interactions
- Compiled into code for simulation



Screenshot of the Enterprise Architect simulation environment showing the I_CSL StateMachine Diagram and simulation results.

Diagram: I_CSL StateMachine Diagram. The diagram shows the I_CSL state machine with a COMMS state. Transitions are labeled R8 through R13. The diagram includes the following text:

```
(RBC_USER)%;
```

```
(SAI_DISCONNECT_REQUEST",CONTEXT_REF(SAI))%;
```

```
COMMS
```

```
R13 SAI_ERROR_REPORT
```

```
R9
```

```
R10
```

```
R8
```

```
R11 SAI_DATA_INDICATION [event.signal.parameterValues.get ("mtype").equals("LifeSign")] /this.receive_timer = 0;
```

```
R12 SAI_DATA_INDICATION [! event.signal.parameterValues.get ("mtype").equals("LifeSign")] /this.receive timer=0;
```

```
TICK [this.receive_timer < this.max_receive_timer || this.send_timer < this.max_send_timer] /this.send_timer = this.send_timer + 1; this.receive_timer = this.receive_timer + 1;
```

Locals:

Variable	Value
C_SAI	
C_RBC_USER	
I_CSL	
connect_timer	3
max_connect_timer	3
max_receive_timer	1
max_send_timer	1
receive_timer	1
send_timer	2
SAI	
TIMER	
RBC_USER	

Simulation:

Simulation Events:

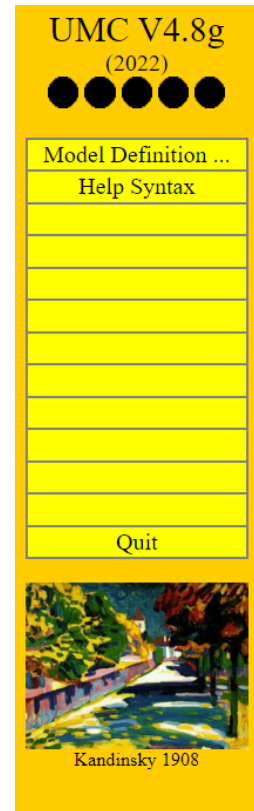
Sequence	Trigger	Waiting Triggers
151708146	[I_CSL:I_CSL] Exit Behavior: I_CSL_COMMS	
151708171	[I_CSL:I_CSL] Transition Effect: COMMS_TO_COMMS_242	
151708208	[I_CSL:I_CSL] Entry Behavior: I_CSL_COMMS	
151708233	[I_CSL:I_CSL] Do Behavior: I_CSL_COMMS	
151710653	[I_CSL:I_CSL] Completion: I_CSL_I_CSL_COMMS	
151712423	Waiting for Trigger	

Call Stack:

- Thread 20472 (main.main, Alive)
- Thread 1384 (main.SimulationN)
- SimulationManager.main, ...
- SimulationManager.Run, C
- SimulationManager.OnStep

UML Model Checker (UMC)

- Freely available at <https://fmt.isti.cnr.it/umc/V4.8/umc.html>
- Currently maintained by Franco Mazzanti
- Oriented towards fast prototyping
- Verification of CTL properties of SM
- On-the-fly model checking [1]
- Automatic translation to [2]:
 - LOTOS NT, ProB
 - Formally verified translation



Welcome to UMC

UMC is a verification framework developed at the FM&&T Laboratory of ISTI-CNR for the definition, exploration, analysis and model checking of system designs represented as a set of (UML) state machines. Starting with the selection of the "Model Definition ..." command on the left it is possible to browse examples of system designs or experiment with the creation and analysis of new models. The available documentation about this framework (see the provided links) is unfortunately not very recent, but we hope to fix the gap in a near future. In the meanwhile, the online [Syntax Help](#) and the interactive syntax driven model editing feature allow to get a partial but still meaningful idea of the supported constructs.

Documentation

[The Structure of UMC Models \(vers. 3.7\)](#)
[The Structure of UMC Logics \(vers. 3.3\)](#)
... other ...

Sample Code:

[Some examples of UMC models](#)

Support and Bug Reports:

franco.mazzanti@isti.cnr.it

Download:

A binary distribution of the command-line oriented version of UMC for Linux/ SunSparc/ Windows/ Mac OSX is available. The full framework (http server code + binaries) for MacOS is also available upon request, also in the form of a desktop MacOS application. A selection of deprecated legacy version of UMC are still [accessible online](#).

Requirements:

Any modern browser with javascript, HTML5 and SVG support.

Author/Contact/Support:

Franco Mazzanti
franco.mazzanti@isti.cnr.it
<http://fmt.isti.cnr.it/~mazzanti>

Credits:

Graphics generated with GraphViz (<http://www.graphviz.org/>)
Graph minimization with Itsconvert of the MCRL2 toolset (<http://mcrl2.org/>)
Text editing supported by ACE (<http://ace.ajax.org/>)
Software developed with Adacore Gnat Ada (<http://www.adacore.com>)

[1] F. Mazzanti et al.: A state/event-based model-checking approach for the analysis of abstract system properties. Sci. Comput. Program. 76(2)

[2] F. Mazzanti et al.: Formal Modeling and Initial Analysis of the 4SECUrail Case Study. MARS@ETAPS 2022

Bidirectional Approach

UMC SM ↔ Sparx EA SM

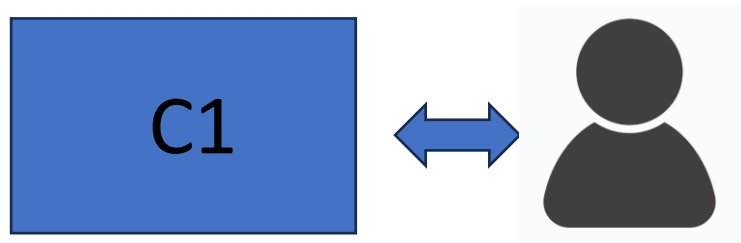
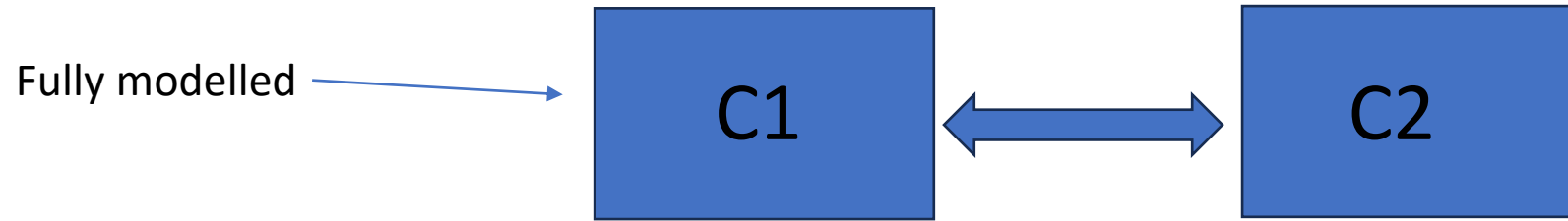
Syntactic Restrictions on UML State Machines

- no `entry`, `exit`, or `do` behaviour is present in the states of the model (these behaviors can be equivalently expressed in state transitions),
- interaction happens using only *signals*, and no operation calls are used,
- only one-to-one interactions are used, i.e., no signals broadcast,
- conflicts in enabled transitions are only allowed in the environment,
- no timing behaviour is present (time elapsing is explicated using a `TICK` event), no internal and local transitions are used, no hierarchical states are used, no history, fork, join and choice nodes are used.

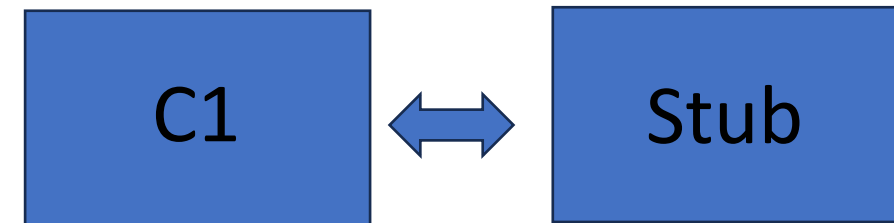
Semantics correspondence

- Sparx State Machines do not have a formal semantics
- No state-space generation in Sparx EA
- Manual inspection of the engine code of ESM:
 - FIFO order of events
 - Deterministic model (no conflicts in enabled transitions)
 - Fixed scheduling of SM
- Semantics of Sparx EA *included* in the semantics of UMC
- Mapping of traces

Environment: Interactive Simulation vs Model Checking



Interactive simulations: the human user acts as the environment.
No automation.



Model checking: the environment is explicitly modelled

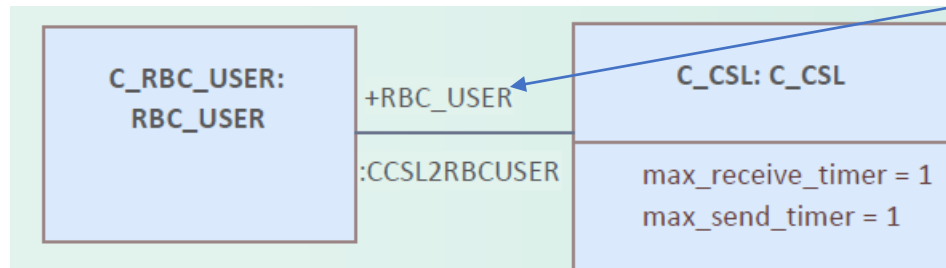
- to obtain a fully closed system on which the verification is automatic.

Rules for relating the model

- classes have a relation “has-a” with other classes,
 - every object has a reference to other objects to whom it is interacting with

Object.Signal(value1, value2)

```
%SEND_EVENT("TRIGGER.sig(value1,value2)",CONTEXT_REF(RECIPIENT))%
```



Rules for relating the model

- Signals that are attributes of each class in UMC are in correspondence with global trigger events in the Sparx type Signal and have the same parameters as in UMC.

```
Object.Signal(value1, value2)
```

```
%SEND_EVENT("TRIGGER.sig(value1,value2)",CONTEXT_REF(RECIPIENT))%
```

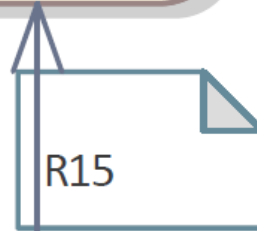
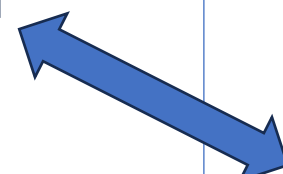
Send/write message

UMC ↔ Sparx EA



```
icsl_tick [receiveTimer =  
max_receiveTimer] /  
receive_timer := 0;  
send_timer := 0;  
Timer.ok_icsl;  
RBC.RBC_User_Disconnect_indication;  
SAI.SAI_DISCONNECT_request;
```

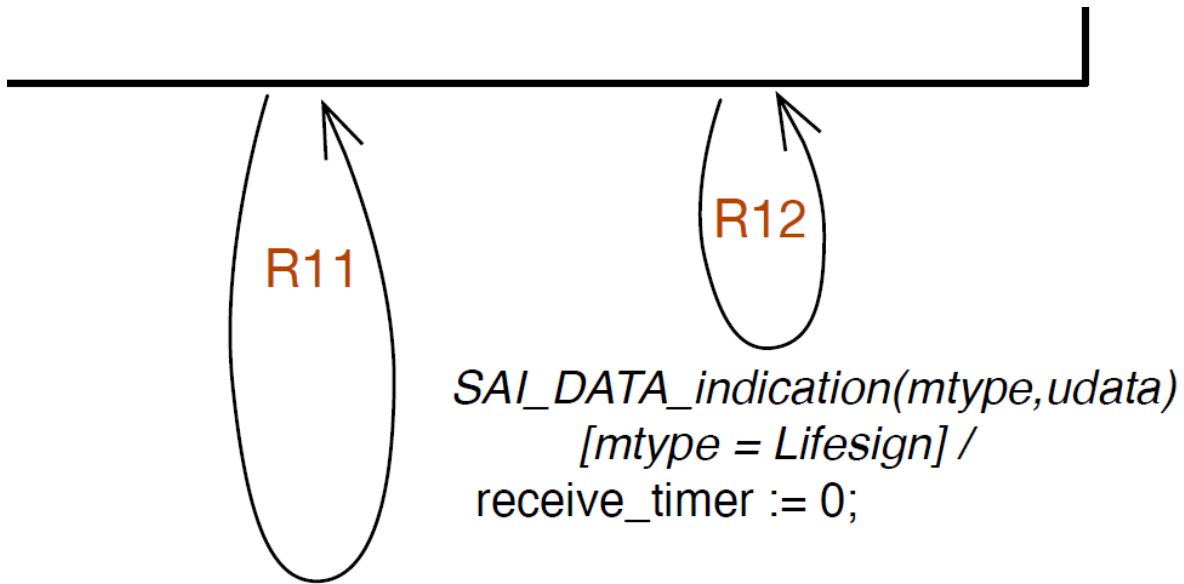
R15



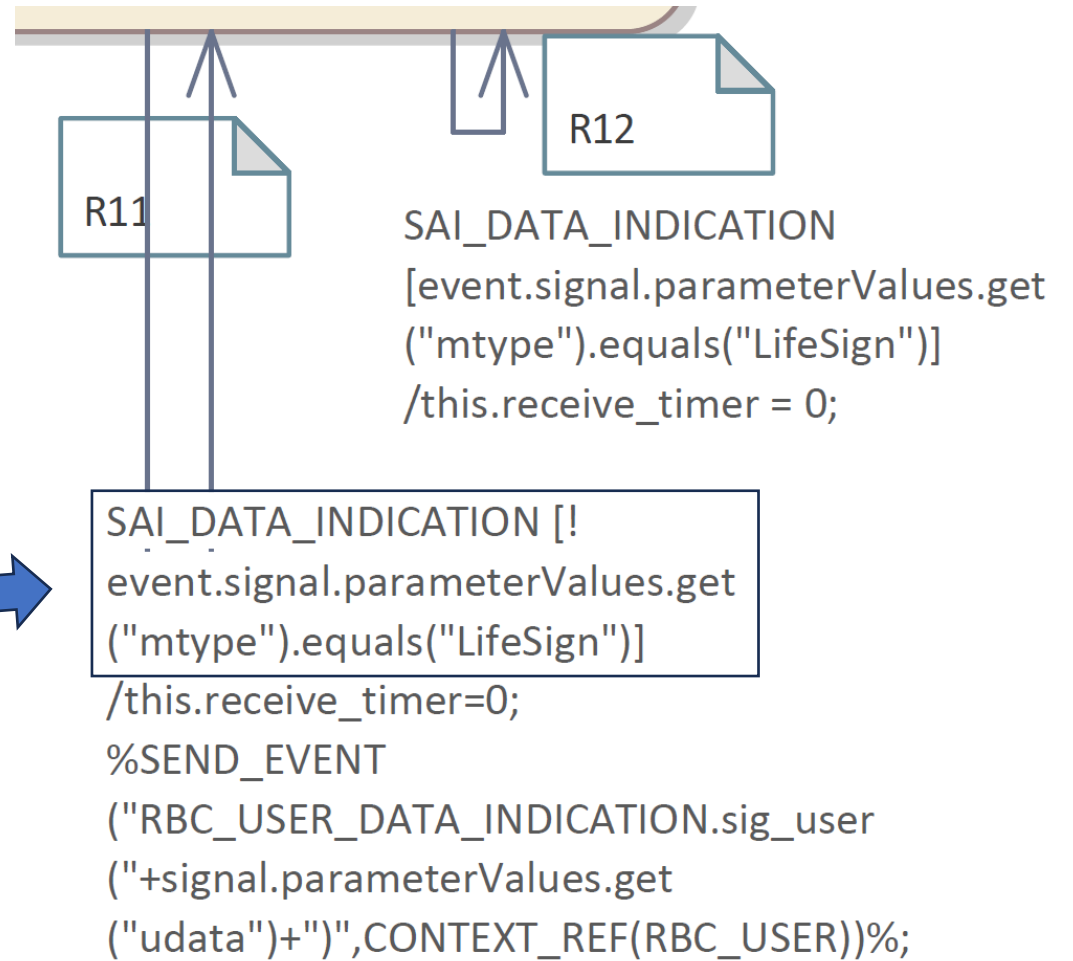
```
TICK [this.receive_timer==this.max_receive_timer]  
/  
this.receive_timer=0; this.send_timer=0;  
%SEND_EVENT("OK_TICK",CONTEXT_REF(TIMER))%;  
%SEND_EVENT  
("RBC_USER_DISCONNECT_INDICATION",CONTEXT_REF  
(RBC_USER))%;  
%SEND_EVENT  
("SAI_DISCONNECT_REQUEST",CONTEXT_REF(SAI))%;
```

Receive/read message

UMC \longleftrightarrow Sparx EA



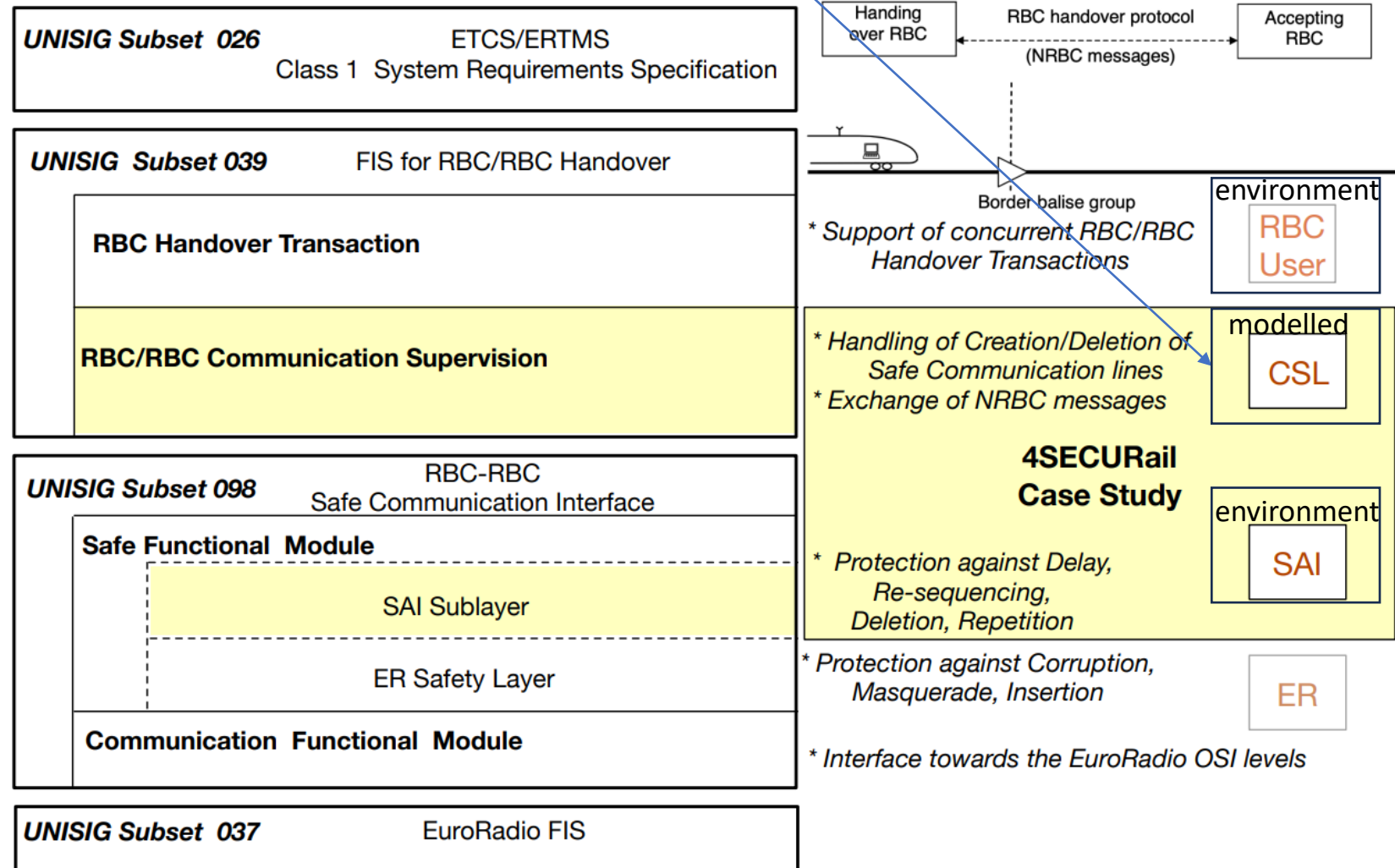
```
SAI_DATA_indication(mtype, udata)
[mtype != Lifesign] /
receive_timer := 0;
RBC.RBC_User_Data_indication(udata);
```



```
SAI_DATA_INDICATION [!
event.signal.parameterValues.get
("mtype").equals("LifeSign")]
/this.receive_timer=0;
%SEND_EVENT
("RBC_USER_DATA_INDICATION.sig_user
("+signal.parameterValues.get
("udata")+")",CONTEXT_REF(RBC_USER))%;
```

Case Study: Communication Supervision Layer (CSL)

- RBC/RBC handover protocol (borrowed from the 4SECU Rail project)
- CSL responsible for:
 - opening/closing a communication
 - maintaining connection through life signs

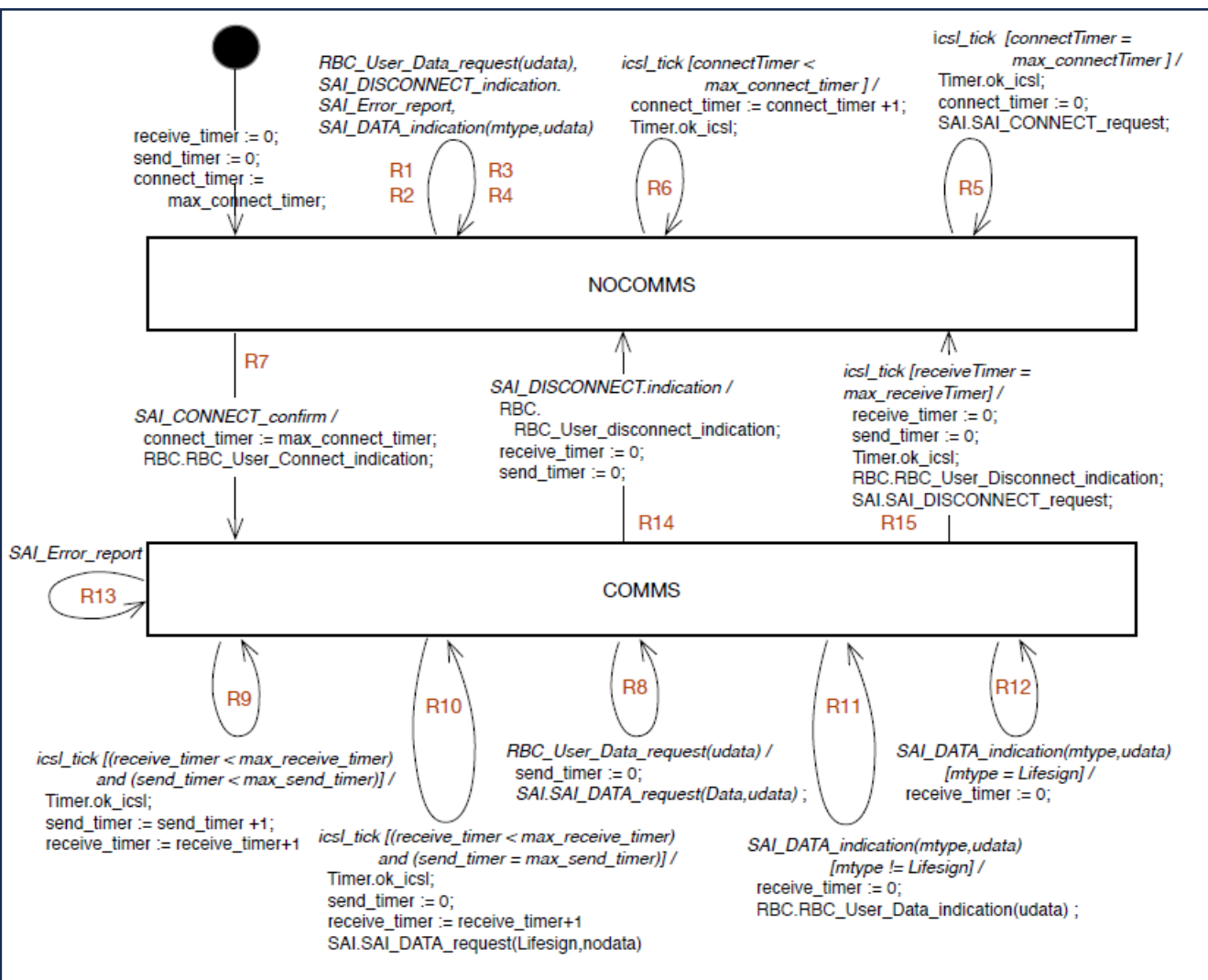


D. Basile et al.: Formal Analysis of the UNISIG Safety Application Intermediate Sub-layer - Applying Formal Methods to Railway Standard Interfaces. **FMICS 2021**

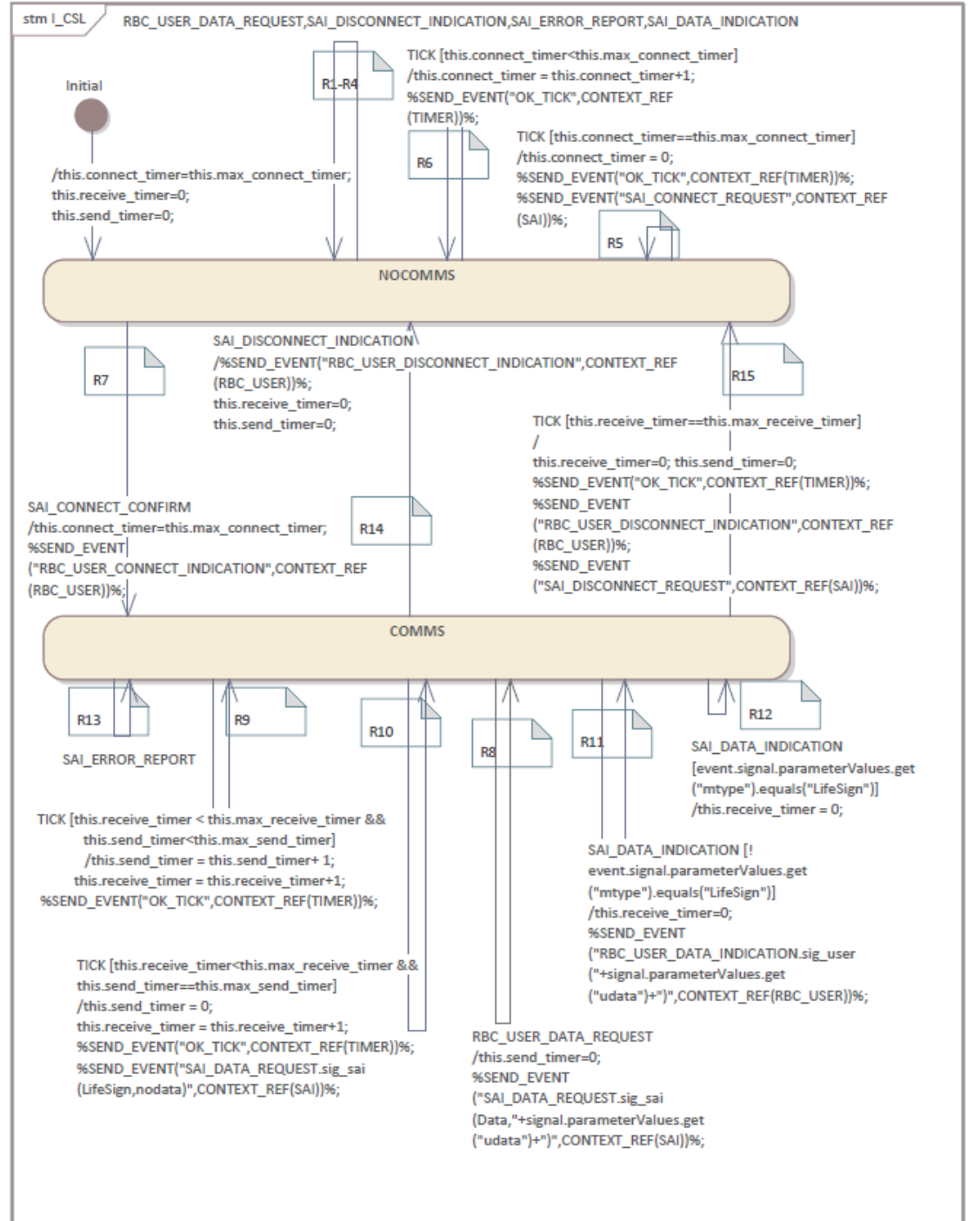
F. Mazzanti et al.: Formal Modeling and Initial Analysis of the 4SECU Rail Case Study. MARS@ETAPS 2022

F. Mazzanti et al.: A Case Study in Formal Analysis of System Requirements. SEFM Workshops 2022

F. Mazzanti et al.: The 4SECU Rail Formal Methods Demonstrator. RSSRail 2022

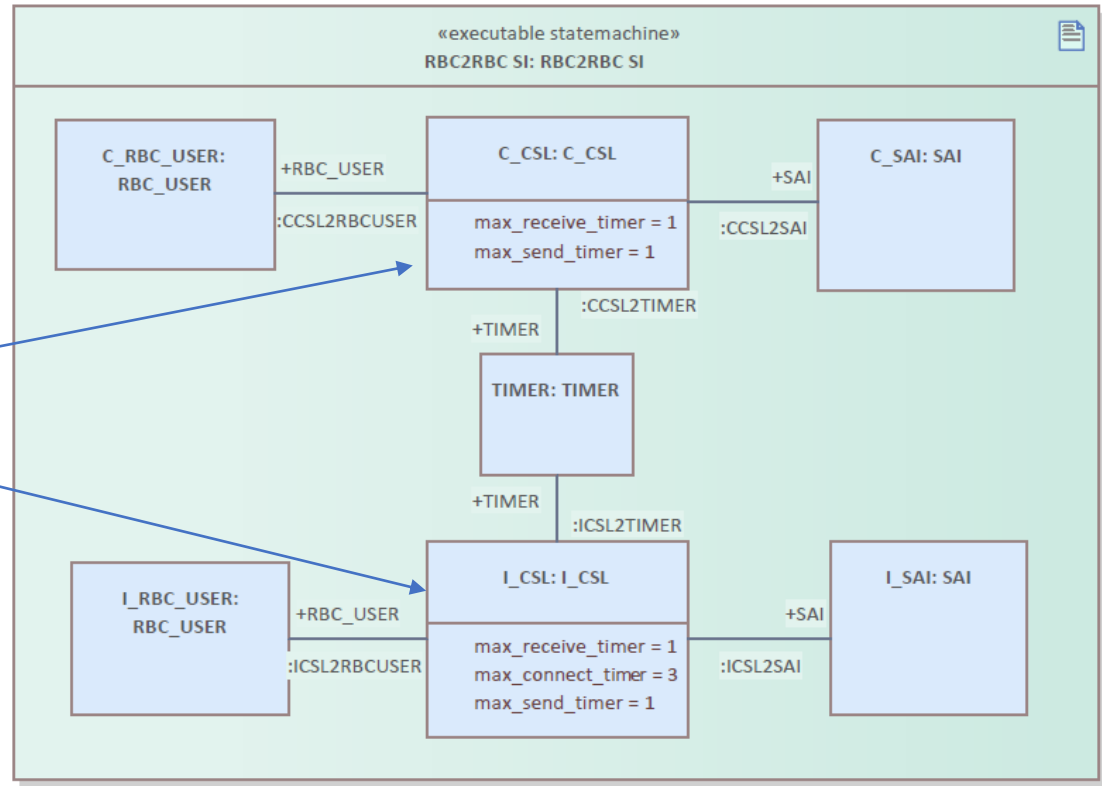


UMC IC SL SM



SPARX EA IC SL SM

modelled

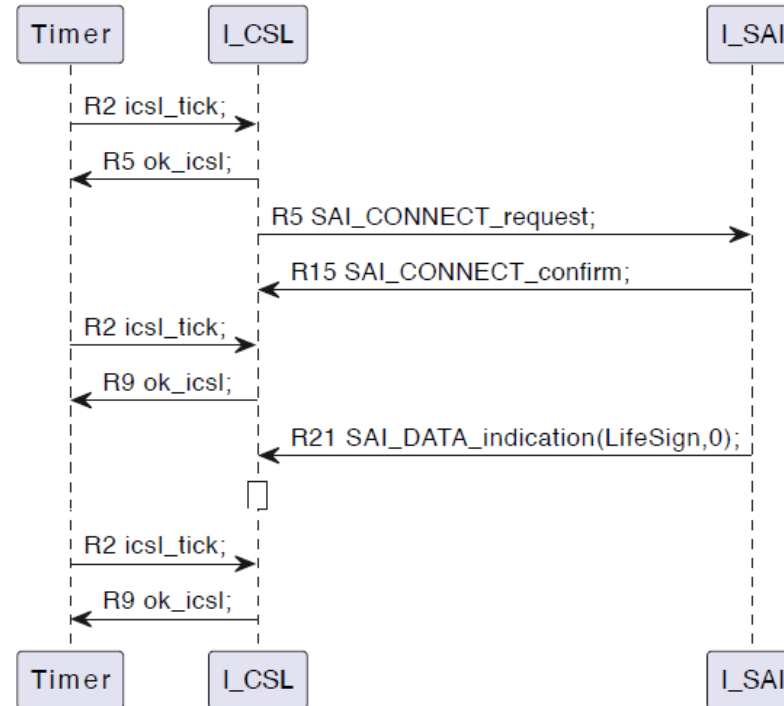


Formal verification

mutation



```
TICK [this.receive_timer < this.max_receive_timer &&  
      this.send_timer < this.max_send_timer]  
      /this.send_timer = this.send_timer + 1;  
      this.receive_timer = this.receive_timer + 1;  
      %SEND_EVENT("OK_TICK", CONTEXT_REF(TIMER))%;
```



```
send TICK to I_CSL  
send SAI_CONNECT_CONFIRM to I_CSL  
send TICK to I_CSL  
send SAI_DATA_INDICATION.sig_sai  
  (LifeSign,nodata) to I_CSL  
send TICK to I_CSL
```

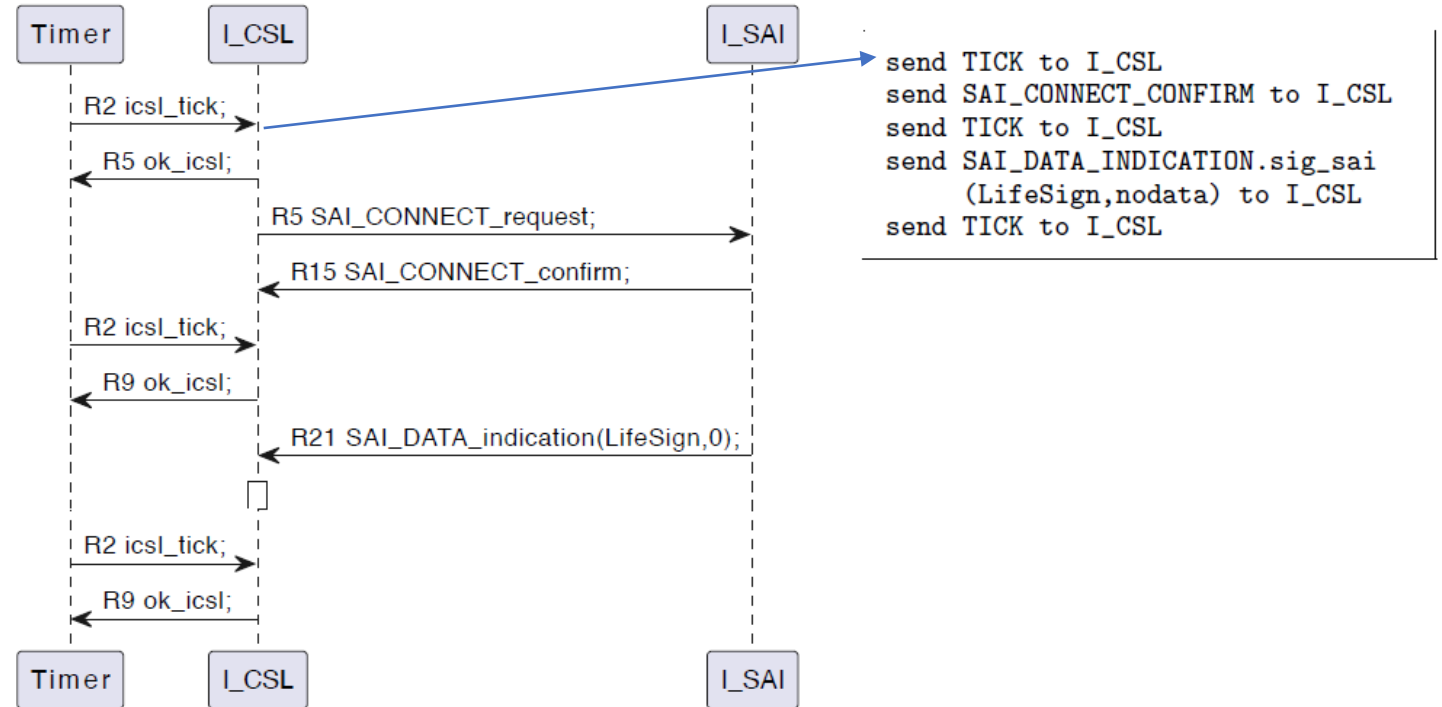
Abstractions {State: ICSL.sendtimer >
ICSL.maxsendtimer -> sendTimerError}

EF sendTimerError

Formal verification

mutation

```
TICK [this.receive_timer < this.max_receive_timer &&  
      this.send_timer < this.max_send_timer]  
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      this.receive_timer = this.receive_timer + 1;  
      %SEND_EVENT("OK_TICK", CONTEXT_REF(TIMER))%;
```



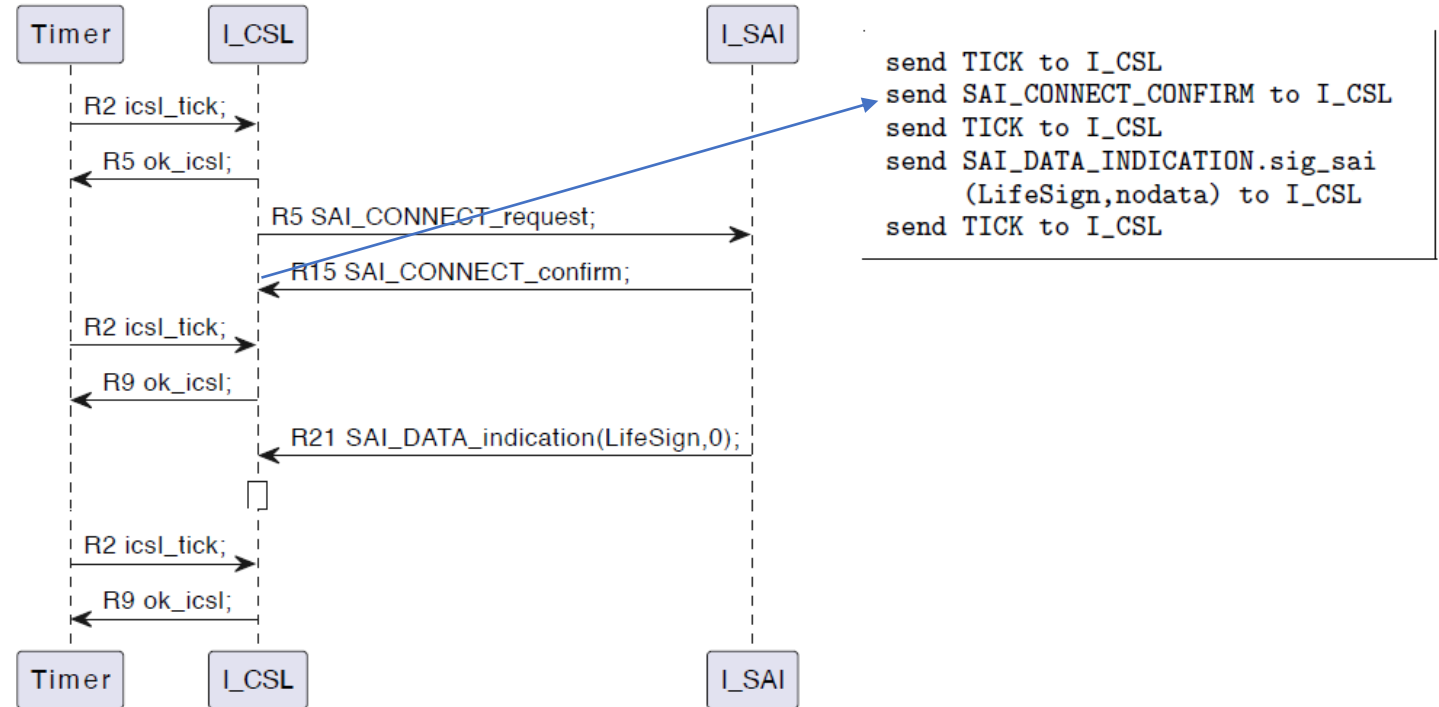
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Formal verification

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      this.receive_timer = this.receive_timer + 1;  
      %SEND_EVENT("OK_TICK", CONTEXT_REF(TIMER))%;
```



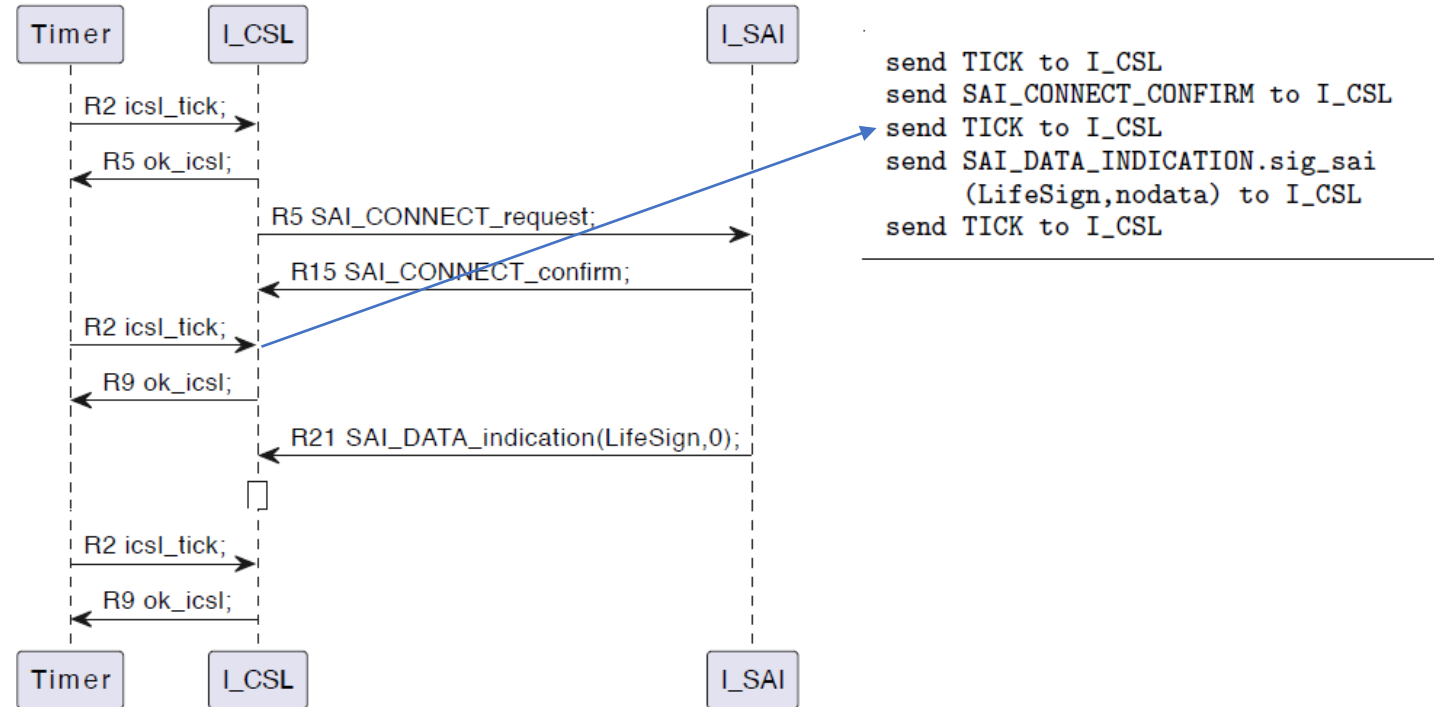
Abstractions {State: ICSL.sendtimer > ICSL.maxsendtimer -> sendTimerError}

EF sendTimerError

Formal verification

mutation

```
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      this.send_timer < this.max_send_timer]  
      /this.send_timer = this.send_timer + 1;  
      this.receive_timer = this.receive_timer + 1;  
      %SEND_EVENT("OK_TICK", CONTEXT_REF(TIMER))%;
```



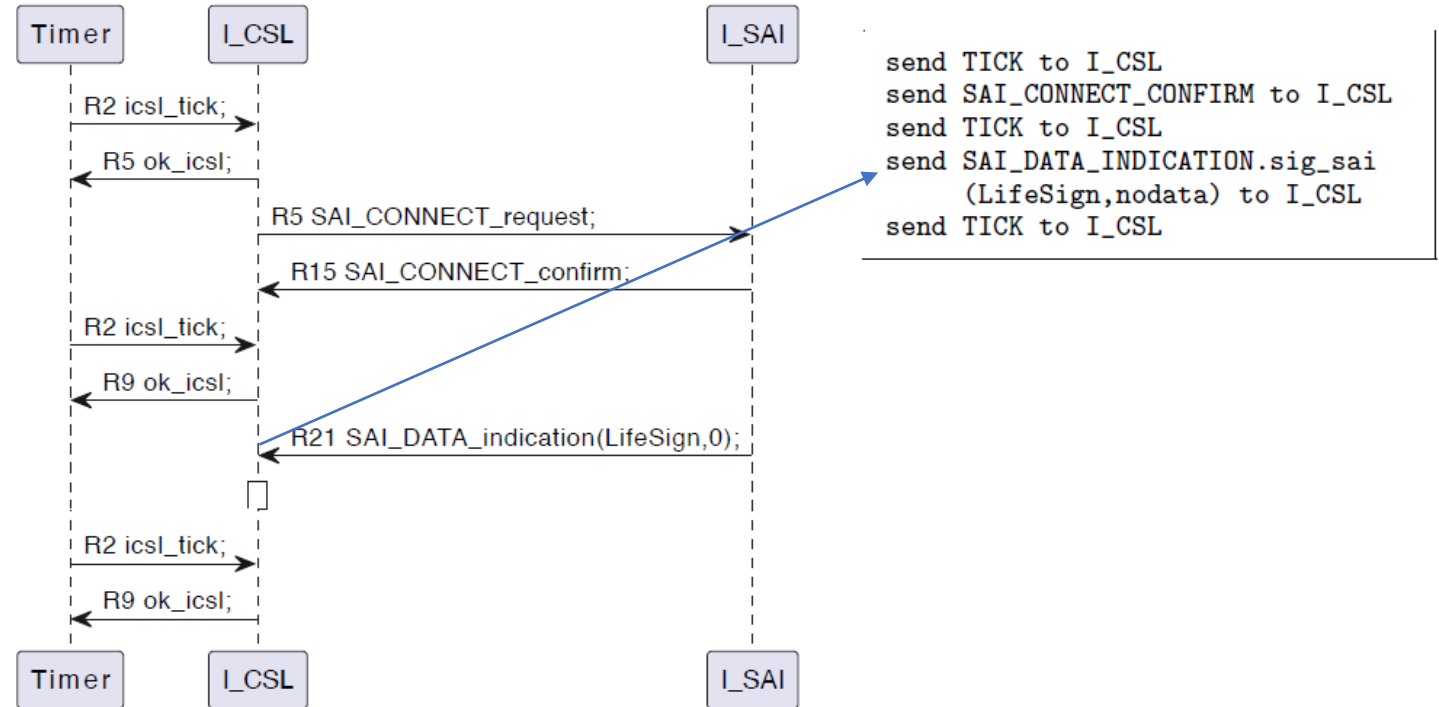
Abstractions {State: ICSL.sendtimer > ICSL.maxsendtimer -> sendTimerError}

EF sendTimerError

Formal verification

mutation

```
TICK [this.receive_timer < this.max_receive_timer &&  
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      /this.send_timer = this.send_timer + 1;  
      this.receive_timer = this.receive_timer + 1;  
      %SEND_EVENT("OK_TICK", CONTEXT_REF(TIMER))%;
```



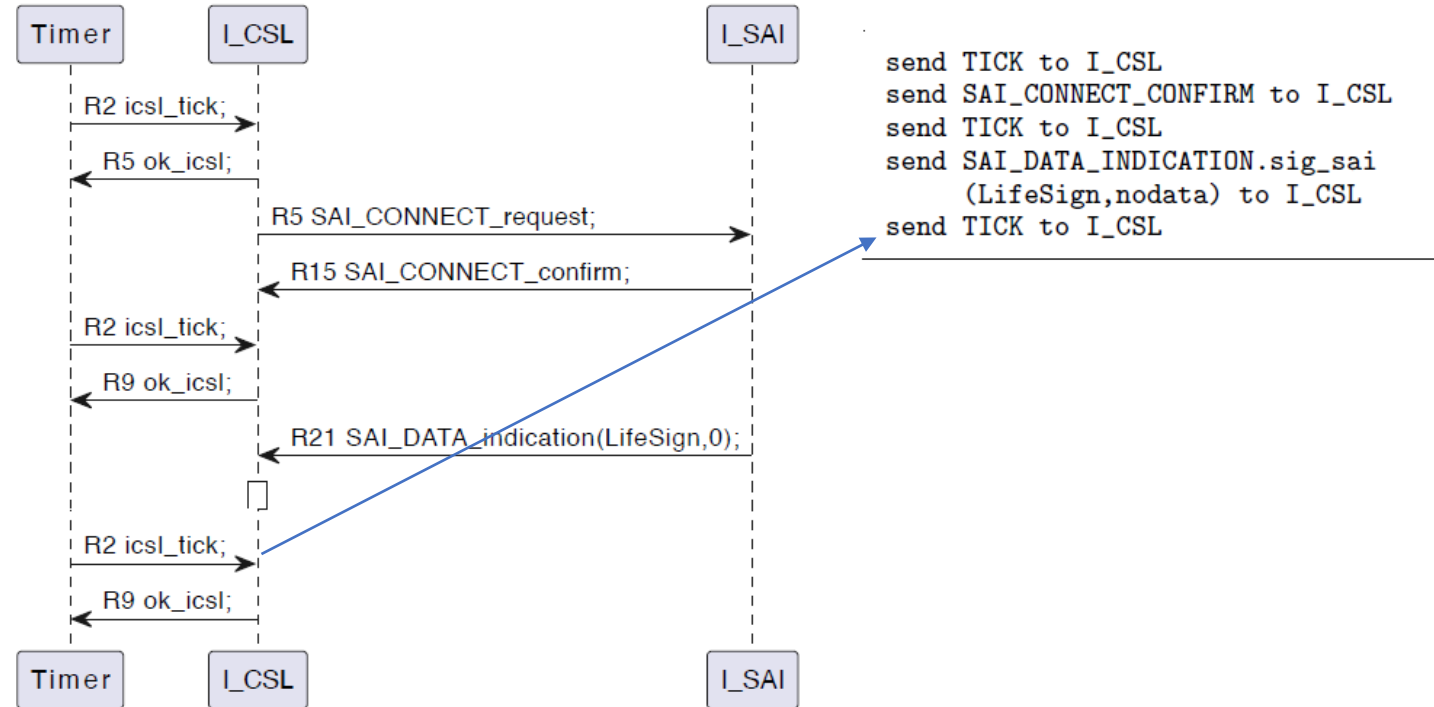
Abstractions {State: ICSL.sendtimer >
ICSL.maxsendtimer -> sendTimerError}

EF sendTimerError

Formal verification

mutation

```
TICK [this.receive_timer < this.max_receive_timer &&  
      this.send_timer < this.max_send_timer]  
      /this.send_timer = this.send_timer + 1;  
      this.receive_timer = this.receive_timer + 1;  
      %SEND_EVENT("OK_TICK", CONTEXT_REF(TIMER))%;
```



Abstractions {State: ICSL.sendtimer > ICSL.maxsendtimer -> sendTimerError}

EF sendTimerError

UMC V4.8f (2022)

Model Definition ...
Help Syntax

Load the Model

Welcome
Quit

Kandinsky 1908

```
898 -- Called RBC executes a loop waiting for PME_announcement and sending ACK.
899 -- In case of failures the loop is restarted
900 --
901 -- NO DEADLOKS
902 -- No loss of event
903 -- (states generated= 18610)
904 -----
905 Objects:
906 LifeSign, Data: Token;
907
908 I_RBC_User: I_RBC_User (CSL -> I_CSL);
909
910 I_CSL: I_CSL (RBC_User -> I_RBC_User, SAI -> I_SAI,
911             max_receive_timer -> 3, max_send_timer -> 1,
912             max_connect_timer -> 4, connect_timer -> 4);
913
914 I_SAI: I_SAI (CSL -> I_CSL, NSAI => C_SAI, N=> 2);
915
916 C_SAI: C_SAI (CSL -> C_CSL, NSAI -> I_SAI, N=> 2);
917
918 C_CSL: C_CSL (RBC_User -> C_RBC_User, SAI -> C_SAI,
919             max_receive_timer -> 3, max_send_timer -> 1);
920
921 C_RBC_User: C_RBC_User (CSL -> C_CSL);
922
923 Timer: Clock (01 -> I_RBC_User, 02 -> I_CSL, 03 -> I_SAI,
924            04 -> C_SAI, 05 -> C_CSL, 06 -> C_RBC_User);
925
926 -----
927 -- 18610 states
928 -----
929
930 Abstractions {
931   TLABELS
932   Action: lostevent($1) -> lostevent($1)
933   -- Action: $1($*) -> $1($*)
934   State: I_CSL.send_timer > I_CSL.max_send_timer -> sendTimer_Error
935 }
936
937 -----
938 -- PROPERTIES: EF (sendTimer_Error) -----
939 -----
940
941
942
943
944
```

Abstractions {State: ICSL.sendtimer >
ICSL.maxsendtimer -> sendTimerError}

UMC V4.8f (2022)

Model Definition ...
 Help Syntax
 Edit Model

Explore the Model
 Draw Abstract L2TS
 Draw Abstract Traces

Verify
 Explain
 Welcome
 Quit

Kandinsky 1908

The formula:
EF sendTimer_Error
 is **FOUND TRUE** in State C1

This happens because, after the path:

- C1.Timer --> C2 {R1_Timer_irbc_tick}
- C2.I_RBC_User --> C3 {R1_IRBC_Timer_okirbc}
- C3.Timer --> C4 {R2_Timer_icsl_tick}
- C4.I_CSL --> C5 {R5_ICSL_Timer_okicsl_ISAI_connectrequest}
- C5.I_SAI --> C6 {R7_ISAI_CSAI_sacconnrequest}
- C6.C_SAI --> C7 {R6_CSAI_ISAI_sacconnconfirm_CCSSL_saiconnectindication}
- C7.I_SAI --> C8 {R15_ISAI_ICSL_saiconnectconfirm}
- C8.I_CSL --> C9 {R7_ICSL_IRBC_rbcuserconnectindication}
- C9.I_RBC_User --> C10 {R2_IRBC_discard_connectindication}
- C10.C_CSL --> C11 {R8_CCSSL_CRBC_rbcuserconnectindication}
- C11.C_RBC_User --> C12 {R2_CRBC_discard_connectindication}
- C12.Timer --> C13 {R3_Timer_isai_tick}
- C13.I_SAI --> C14 {R16_ISAI_Timer_okisai}
- C14.Timer --> C15 {R5_Timer_ccsl_tick}
- C15.C_CSL --> C16 {R11_CCSSL_Timer_okccsl}
- C16.Timer --> C17 {R4_Timer_csai_tick}
- C17.C_SAI --> C18 {R8_CSAI_Timer_okcsai}
- C18.Timer --> C19 {R6_Timer_crbc_tick}
- C19.C_RBC_User --> C20 {R1_CRBC_Timer_okcrbc}
- C20.Timer --> C21 {R7_Timer_irbc_tick}
- C21.I_RBC_User --> C22 {R1_IRBC_Timer_okirbc}
- C22.Timer --> C23 {R2_Timer_icsl_tick}
- C23.I_CSL --> C24 {R9_ICSL_Timer_okicsl}

ACTL-UCTL-SoCL-VACTL

EF (*sendTimer_Error*)

Check The Formula Explain the Result

EF sendTimerError

PlantUML sequence diagram

mutated guard

ICSL.sendtimer > ICSL.maxsendtimer

interactive console

Locals

Variable	Value
C_SAI	
C_RBC_USER	
I_CSL	
connect_timer	3
max_connect_timer	3
max_receive_timer	1
max_send_timer	1
receive_timer	1
send_timer	2
SAI	
TIMER	
RBC_USER	

Simulation

Simulation Events

Sequence	Trigger	Waiting Triggers
<no event set>		

Simulation Log:

```

[151708146] [I_CSL:I_CSL] Exit Behavior: I_CSL_COMMS
[151708171] [I_CSL:I_CSL] Transition Effect: COMMS_TO_COMMS_242
[151708208] [I_CSL:I_CSL] Entry Behavior: I_CSL_COMMS
[151708233] [I_CSL:I_CSL] Do Behavior: I_CSL_COMMS
[151710653] [I_CSL:I_CSL] Completion: I_CSL_I_CSL_COMMS
[151712423] Waiting for Trigger
  
```



Conclusion

- Integration of UMC with Sparx EA
 - Notation restrictions
 - Translation Rules
 - Semantics correspondence
 - The output of the formal verification is traced back to Sparx EA
- Lessons learned and limitations
- Future work:
 - full implementation of an application that is formally verified using the proposed methodology.



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- Future work:
 - full implementation of an application that is formally verified using the proposed methodology.
- <https://twitter.com/davidebasile> (video of the presentation)
- Thanks for your attention!