Automatically Generating Test Cases for Specification Mining

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Abstract—Dynamic specification mining observes program executions to infer models of normal program behavior. What makes us believe that we have seen sufficiently many executions? The TAUTOKO typestate miner generates test cases that cover previously unobserved behavior, systematically extending the execution space and enriching the specification. To our knowledge, this is the first combination of systematic test case generation and typestate mining—a combination with clear benefits: On a sample of 800 defects seeded into six Java subjects, a static typestate verifier fed with enriched models would report significantly more true positives, and significantly fewer false positives than the initial models.

1 INTRODUCTION

In the past decade, automated validation of software systems has made spectacular progress. On the testing side, it is now possible to automatically generate test cases that effectively explore the entire program structure; on the verification side, we can now formally prove the absence of undesired properties for software as complex as operating systems. To push validation further, however, we need specifications of what the software actually should do.

Writing such specifications has always been hard—and so far prohibited the deployment of advanced development methods. A potential alternative is specification mining—i.e., extracting high-level specifications from existing code. Mined specifications can be used for program understanding, but also for formal verification or regression testing.

To have specifications reflect normal rather than potential usage, dynamic specification mining observes executions to infer common properties. Typical examples of dynamic approaches include DAIKON [11] for invariants or GK-tail [20] for object states. The common issue of these approaches, though, is that they are limited to the (possibly small) set of observed executions. If a piece of code is not executed, it will not be considered in the specification; if it is executed only once, we do not know about alternative behavior.

To address this problem, we use test case generation to systematically enrich dynamically mined specifications. Combined this way, both techniques benefit from each other: Dynamic specification mining profits from test case generation, since additional executions can be observed to enrich the mined specifications. Test case generation, on the other hand, can profit from mined specifications, as their complement points to yet unobserved behavior.

In a nutshell, our approach works as follows (see Figure 1). We leverage our earlier work [8], [9] to dynamically mine typestate specifications—finite state automata describing transitions between object states. The initially mined specification contains only observed transitions (Section 2). To enrich the specification, our TAUTOKO tool generates test cases to cover all possible transitions between all observed states, and thus extracts additional states and transitions from their executions (Section 3). These transitions can either end in legal states, thus indicating additional legal interaction; or they can raise an exception, thus indicating illegal interaction. Discovering such illegal interactions is the biggest advantage of our approach, as exceptional behavior is rarely covered by conventional executions or tests.

How can we assess the benefits of such enriched specifications? For this purpose, we put them to use in static typestate verification. Typestate verification statically discovers illegal transitions. Its success depends on the completeness of the given specification: The more transitions are known as illegal, the more defects can be reported; and the more transitions are known as legal, the more likely it is that additional transitions can be treated as illegal. We expect that our enriched specifications are much closer to completeness than the initially mined specifications; and therefore, the static verifier should be much more accurate in its reports.

This hypothesis is confirmed by an experiment (Section 4): On a sample of 800 defects seeded into six Java subjects, we show that our static typestate verifier fed with enriched models reports significantly more true positives, and significantly fewer false positives than
Fig. 1. TAUTOKO overview. TAUTOKO takes an executable JAVA program (a) and observes its execution (b) to extract an initial typestate model (c). It then generates additional executions (test cases) to cover missing model transitions (d). The additional observed behavior results in an enriched specification (e).

when being fed with the initial models. We expect this increased accuracy to generalize towards arbitrary uses of mined specifications, and thus conclude (Section 6) that test case generation is a useful method to enrich dynamically mined specifications.

This paper extends an earlier version presented at ISSTA 2010 [7]. While in the previous version the test case generation was limited to mutation of existing tests, this version includes an improved approach which does not require existing test cases. Starting with an automatically generated initial test suite satisfying a standard criterion such as branch coverage, we iteratively derive new test cases from the typestate automaton to systematically explore the behavior of the considered target class. Evaluation of the models derived with this method reveals that the typestate automata are significantly larger, thus leading to detection of more defects.

2 MINING TYPESTATES

A typestate automaton (or simply typestate) is a finite state automaton which encodes the legal usage of a class under test (CUT). Its states represent different states of an object, and transitions are labeled with method names. As an example, consider Figure 2, showing the typestate for the SMTPProtocol class from the ristretto [18] library. After initialization, an SMTPProtocol object is in its initial state 0; calling openPort() brings it into state 1; and calling quit() from this state brings it back into the initial state 0.

If an invocation of method m in state s causes an exception, the typestate contains a transition from s to a special state ex labeled with m. In our example, this is the case if quit() is invoked from the initial state 0; this raises a NullPointerException. A static typestate verifier can take this very specification and check a client for conformance; if it is possible to invoke quit() while still being in the initial state 0, the verifier will flag an error.

To obtain such typestate specifications from programs, we leverage the ADABU tool presented in earlier work [8], [9]. ADABU mines so-called object behavior models that capture the behavior of objects at runtime. A behavior model for an object o is a finite state automaton where states are labeled with the values of fields that belong to o, and transitions occur when a method invoked on o changes the state. Figure 3 shows an object behavior model for an instance of SMTPProtocol. This model was mined by ADABU from an execution of the regression test suite for SMTPProtocol.

Typestates and object behavior models are closely related. The two main differences are as follows:

State In typestate automata, states are anonymous; in object behavior models, they are labeled with the values of fields.

Exceptions Typestates represent failing method calls by transitions to a special state ex. In object behavior models, information about exceptions is only stored at edges.

Since both types of models are based on finite state automata, it is easy to convert an object behavior model to a typestate. We therefore use ADABU to mine behavior models, and convert them to typestates afterwards. Converting behavior models into typestate automata is straightforward and essentially consists of the following three steps:

2. In the remainder of the paper, we will use the terms “specification” and “model” interchangeably.
1) The automaton is initialized with two states labeled \texttt{start} and \texttt{ex}.

2) Each state \( s \) of the behavior model is assigned a unique number \( n \), and a corresponding state labeled \( n \) is added to the typestate.

3) For each invocation of a method \( m \) between two states \( s_i \) and \( s_j \), a new transition labeled with \( m \) is added to the typestate: If the invocation raised an exception, the transition is added from \( s_i \) to \( ex \), otherwise it is added from \( s_i \) to \( s_j \).

The typestate in Figure 2 introduced earlier was not specified manually, but automatically obtained from the object behavior model in Figure 3.

3 ENRICHING TYPESTATES

To yield precise results and few false positives during verification, a typestate needs to be \textit{complete}, i.e. it needs to contain all relevant states and transitions for all methods in all states. To test TAUTOKO, we ran it on a set of projects and mined typestates from the test suite executions for a set of interesting classes. Unfortunately, for the investigated classes, we found that most typestates only contained a fraction of all transitions. In particular, most typestates were missing transitions for failing methods, which renders mined typestates useless for typestate verification.

We believe that the lack of observed failures is an issue that is common to many projects—and thus affects every approach for dynamic specification mining:

- Most defects due to wrong usage of a class raise exceptions and are therefore easy to detect and fix. Thus, a specification miner will seldom record misuse and exceptions when tracing normal application executions.
- Unfortunately, we observed the same problem of missing exceptions when tracing test suites. Most developers do not test for exceptions. One explanation for this is that triggering an exception often only covers a few lines.
- To generate a complete model, lots of tests are required. Usually, developers do not have enough time to write so many tests. Also, developers tend to skip tests which they consider to be too obvious or are convinced that they should work.

One way to approach this problem is to use test case generation to create new tests that execute previously unknown states and transitions. The general idea of combining specification mining with test case generation was first described by Xie and Notkin [34]. In this paper, we extend the original idea to generate tests specifically targeted at enriching typestate automata. There is a huge variety of test generation strategies, ranging from complex static analyses such as symbolic execution [31] to simple random testing techniques [5], [24].

In this work, we first apply a test generation strategy that generates new tests by \textit{mutating an existing test suite}. Then, we demonstrate how to drop the requirement on an existing test suite by generating test cases automatically, and \textit{using the learned behavioral model to drive further test generation}.

3.1 Mutating Existing Test Cases

Our initial technique works as follows: In the first step, TAUTOKO executes the test suite and mines a model for the CUT. This model is called the \textit{initial model}. After that, it attempts to generate mutations to the test suite such that all methods are executed in all states of the initial model. TAUTOKO then applies each mutant in isolation and mines new models from the execution of the modified test suite. Finally, the initial model and all new models are combined into the model for the CUT.

To demonstrate the effect of TAUTOKO, consider Figure 4 which shows the initial model of class \texttt{SMTPProtocol} mined from an execution of the project’s test suite. In contrast, Figure 5 shows the enriched model generated by TAUTOKO after evaluating all mutations. Not only does the enriched model contain several additional transitions, but it now also explicitly lists the...
exceptional behavior in its `ex` state. We will use these models to illustrate the techniques presented in this section.

Mutant generation starts by statically determining the set of methods that belong to the CUT or one of its super types. For every such method $m$, TAUTOKO tries to generate mutations such that $m$ is invoked in all states of the initial model. To invoke method $m$ in state $s$, TAUTOKO will either add an invocation of $m$, or suppress one or more existing method invocations. The choice of adding or deleting invocations depends on the number and types of the parameters $m$ expects.

If $m$ only requires a reference to the receiver object, TAUTOKO simply adds a new call to $m$ right after a method call that caused a transition to $s$ in the initial model. For example, in Figure 4, to invoke method `dropConnection()` in state 1, TAUTOKO adds a call to `dropConnection()` right after the call to `openPort()` that causes the transition to state 1.

A problem arises if $m$ expects parameters beyond the receiver object. In this case, we need to provide values for the parameters in order to call $m$. Our initial approach is to reuse existing invocations of $m$. If the initial model contains an invocation of $m$ in another state $t$, TAUTOKO suppresses method calls such that the call occurs in state $s$ instead. For example, to call method `authSend(byte[])` in state 0, we can suppress the invocation of `openPort()` that causes the transition from state 0 to 1.

The advantage of this approach is that it is simple to implement and works also for complex parameters that are difficult to generate. However, this approach is unable to handle methods with parameters that are never invoked by the program. To call such methods, we need to apply more generic test generation schemes, as described in Section 3.2. Still, our evaluation results show that even with this simple approach, enriched specifications already contain much more information and are likely to be much more useful in any verification setting.

Algorithm 1 shows pseudo code for the procedure to enrich a typestate for class $c$. Input to the algorithm consists of the test suite, the initial typestate and the set of methods that can be called on $c$. The main loop of the algorithm (lines 3-23) iterates over all states of the initial typestate. For every method $m$ that expects parameters other than the receiver (lines 7-14), TAUTOKO finds all invocations of $m$ in the initial typestate (line 8), tries to find a path that leads to $s$, and creates a mutated test that suppresses all method calls along the path (line 12). If the sole parameter to $m$ is the receiver (lines 16-20), TAUTOKO finds all transitions after which the object is in state $s$ (line 16) and generates a new test that invokes $m$ right after the call that caused the transition (line 18). The final loop (lines 25-28) executes all tests, mines new typestates from each execution, and merges the new typestate into the current version. After the loop has finished, the procedure returns the enriched typestate.

### 3.2 Test Case Generation Using Typestate Automata

The improvements achievable by mutating test cases depend to a large extent on the type and quality of the already existing test cases – a simple test case mutation approach can only add new method calls for which all parameter dependencies are satisfied. To overcome this limitation, a full fledged test generation approach can be employed, such that new objects are generated as necessary. This allows extension of the above approach in two ways:

1) Rather than having a single improvement step,
of the automaton. To this extent, we try to execute each method of the CUT in every (abstract) state, as shown in Algorithm 2: This algorithm just requires the CUT and the set of methods that should be considered as inputs. First, a branch coverage test suite is generated (line 3), and an initial typestate automaton is derived for this test suite (line 7 - 10). This automaton is traversed (lines 11 - 24), keeping track of the sequence of method calls that leads to the current state. For each state, we go through the set of methods that has not been called in this state (line 15) and generate a new test case that calls this method in the current state. In the next iteration, these new test cases are executed, and a new model is learned from these executions and merged with the previous model (line 7 - 10). This process is repeated until a fixpoint is reached (i.e., no more tests can be derived — line 5) or another possible limit (e.g., maximum number of tests or iterations) has been reached.

When deriving new test cases from the automaton it is important to notice that a state of a behavioral model can have several transitions labeled with the same method call, as different input parameters can lead to different states – in other words, the automaton is non-deterministic. This means that deriving a single sequence of method calls that reaches a state is not sufficient to test for potential successor transitions. Therefore, when deriving a new test case for a given state of the automaton, we randomly select one previously generated test case that leads to this state (line 16), and extend the prefix sequence of this test leading to the considered state with the new method call. If this fails, a completely new test case matching the sequence of method calls is generated.

To avoid explosion of the number of test cases, we only add a test case to the set of tests $T$ if there is no test in $T$ that is a prefix of the new test. Vice versa, if there already is a test case that is a prefix of the new test, then we replace this test with the new test.

### 4 Experimental Evaluation

In this section, we investigate how well our approach works in practice. Our goal is to compare the usefulness of enriched models versus initial models as well as manually generated complete models, and thus investigate the benefits and potential drawbacks of our approach.

#### 4.1 Subjects

To evaluate the effectiveness of TAUTOKO, we have applied it to six different JAVA subjects listed in Table 1. Altogether, we chose 6 different classes for which we generated and evaluated typestate automata. Three classes (upper half in Table 1) are part of publicly available libraries, whereas the remaining classes are part of the JAVA standard API. In terms of domain, the subjects can be divided into I/O (javamail, ristretto, socket and zip) and security (javax.security and signature).
We chose our subjects by investigating a subset of open-source projects from big hosting sites such as Sourceforge and java.net, as well as classes from the JAVA standard API. We included subjects that met the following criteria:

1) The API documentation of the class explicitly or implicitly mentions restrictions on the order of method invocation. In other words, we made sure that our subjects are complex enough to yield interesting specifications.

2) As a source for test runs, in the first step we solely rely on executions as provided by the developers of the subject class. This is to avoid introducing additional bias with self-constructed test-cases. For the first three subjects in Table 1, we use sample executions and regression test suites provided by the respective projects. We made sure that these runs cover all essential methods of the subject class. For the JAVA standard classes in our evaluation, we use conformance tests of the APACHE HARMONY project. This project aims at providing an open-source alternative to the JAVA standard classes, and therefore has a sophisticated test suite to ensure compliance with the original implementation by SUN.

3) To conduct the evaluation using the static typestate verifier, we needed an additional application for each subject that uses the subject class in its implementation. To find such applications, we searched the web using koders.com and google code search engines. To qualify for our evaluation, a project had to offer a minimum level of maturity and provide a test run that executes the subject class (See Section 4.4.2 for a rationale).

We are aware that our selection process creates a bias towards complex classes and well-tested projects. However, the purpose of this evaluation is not to evaluate the usage of mined specifications in general. Instead, we study how our approach for enriching mined specifications improves quality and applicability of the specifications. Section 4.6 provides a detailed discussion of threats to the validity of our results.

4.2 Enriching Models: Quantitative Evaluation

In this section, we provide a quantitative evaluation of our technique for enriching mined specifications. For every subject, we mine an initial model (see Section 2) from the execution of the test suite. Afterwards, we use TAUTOKO to mutate the test suite and mine an enriched model. To quantify the difference between the two versions, we count the number of states and the number of transitions. A transition in this context means a method call. Since we are mostly interested in exceptional behavior, we also measure the number of exceptional transitions. The results of the quantitative evaluation are summarized in Table 2.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>javamail</td>
<td>SMTPTransport</td>
<td>Sending mails via smtp.</td>
</tr>
<tr>
<td>javax.</td>
<td>LoginModule</td>
<td>User authentication.</td>
</tr>
<tr>
<td>security</td>
<td>SMTPProtocol</td>
<td>Sending mails via smtp.</td>
</tr>
<tr>
<td>ristretto</td>
<td>Signature</td>
<td>Handling of digital signatures.</td>
</tr>
<tr>
<td>signature</td>
<td>Socket</td>
<td>Network communication.</td>
</tr>
<tr>
<td>socket</td>
<td>ZipOutput</td>
<td>File compression with zip algorithm.</td>
</tr>
<tr>
<td>zip</td>
<td>Stream</td>
<td></td>
</tr>
</tbody>
</table>

3. Models for the remaining subjects are available online at the website given in Section 6.
the number of transitions for all of them. None of the
initial models for the first three subjects has exceptional
transitions, hinting at a low quality of the test suite.
This is a general trend we observed in many projects, as
discussed earlier. For each of those subjects, TAUTOKO
discovers new transitions that trigger exceptions. Initial
models for the JAVA API classes already contain transi-
tions to the error state. Obviously, the conformance tests
of the HARMONY project also test for expected negative
behavior. For the API subjects, TAUTOKO significantly
increases the number of both exceptional and normal
transitions. The largest relative increase is observed for
socket, with a total of 55 exceptional transitions com-
pared to only 2 in the initial model.

Overall, applying TAUTOKO leads to larger models
with significantly more transitions. In the next section,
we investigate if TAUTOKO also improves the quality
of the mined specifications.

4.3 Enriching Models:
Qualitative Evaluation

In this section, we take a look at how well the initial and
enriched models reflect the complete model of the class. To
this end, we compare the mined models with complete
usage models. Since there are no models available for
our subjects, we had to manually create them. To create
the models, we investigated the source code to build a
mental model that was translated into a typestate. In a
few cases it was difficult to reliably judge if a method
could be called in a certain state. To clarify those cases,
we wrote small test cases that resolved the issue.

One problem with manual model generation is how to
deal with unchecked exceptions. In JAVA, many instruc-
tions may cause null pointer dereferences or illegal array
accesses. Including transitions for all those exceptions
would introduce a high degree of non-determinism,
which essentially renders the model useless. We there-
fore only include transitions for checked exceptions.

Manually creating models involves a lot of human
effort (which, of course, is why we wanted to build TAU-
TOKO in the first place.) We therefore restricted our eval-
uation to only three subjects, namely SMTPProtocol,
ZipOutputStream and Signature. In total, we spent
over 10 hours on creating the specifications, where most
of the time was spent on SMTPProtocol, which is
also the most complex. Due to space restrictions, we
cannot depict the complete specifications here. However,
they are available for download at the address given in
Section 6. Table 3 lists structural details of the manually
built models.

To investigate whether TAUTOKO also improves the
quality of the mined specifications, we compared initial
and enriched models against the complete model:

ristretto

The complete model has two more states than the initial
and the enriched models. The two additional states are
related to sending mails, which requires a call to initiate
the mail, followed by several calls to set receivers, and
a final call to send the mail. No state-based specifica-
tion miner can detect this protocol, since relevant state
information is transmitted to the server and is not kept
locally. Apart from this, all states and transitions of the
initial model are also reflected in the complete model.
The enriched model adds twenty valid transitions and
nine exceptional transitions. Two exceptional transitions
are invalid according to the complete model. They are
caused by limitations of the mock server, which is used
in the test suite of SMTPProtocol. This shows a limita-
tion of our completion technique: TAUTOKO may break
the boundaries of the test suite and generate invalid
transitions.

signature

The initial and the enriched models have the same
number of states. All transitions in the initial model
are in accordance with the complete model. TAUTOKO
adds nine additional transitions, five out of which are
exceptional transitions. All transitions are also reflected
in the complete model. In total, the enriched model
misses six transitions. This is due to the way TAUTOKO
injects and suppresses method calls, which prevents
some methods from being called in certain states.

zip

The complete model has many fewer states than both
the initial and the enriched model. This occurs because
states in the model miner also include values for fields

TABLE 2
Enriched models have more transitions, and many more exceptional transitions.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Original model</th>
<th>Enriched model</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mutations</td>
<td>States</td>
</tr>
<tr>
<td>javamail</td>
<td>61</td>
<td>6</td>
</tr>
<tr>
<td>javax.security</td>
<td>9</td>
<td>6</td>
</tr>
<tr>
<td>ristretto</td>
<td>55</td>
<td>5</td>
</tr>
<tr>
<td>signature</td>
<td>23</td>
<td>5</td>
</tr>
<tr>
<td>socket</td>
<td>540</td>
<td>11</td>
</tr>
<tr>
<td>zip</td>
<td>145</td>
<td>11</td>
</tr>
</tbody>
</table>
that are irrelevant for the usage of the object, such as `comment` or `method`. The initial model essentially contains the structure of the complete model twice, once with `method set` and once without. The enriched model contains additional states with `comments`. Despite the blow-up, the mined models are still useful since they capture all exceptional transitions of the complete model.

In summary, we found that the specification miner in combination with TAUOKO generates valid specifications compared to manually deduced models. Like any test case generation technique, TAUOKO cannot guarantee to cover all possible transitions; and this limitation also holds for the present subjects. Section 6 presents ideas for future work to improve coverage. In one case, TAUOKO generates transitions that do not match the complete model. This is due to restrictions which are inherent to the general technique of enriching models by manipulating an existing test suite.

### 4.4 Are enriched models more useful in practice?

Results of the previous sections show that applying TAUOKO yields better specifications. However, we would also like to know if this improvement matters in practice. To investigate this, we ran a static typestate verifier on a set of randomly generated defects and compared the results for initial and enriched models. For `ristretto`, `signature` and `zip`, we also included complete models from the previous section. The evaluation setting is summarized in Figure 6 and detailed in the following sections.

#### 4.4.1 Experimental setting

Our experiment assumes the following situation: A developer starts building an application and uses classes from a library `l` that are unknown to her. To help the developer avoid bugs due to incorrect usage of those classes, her IDE supports lightweight typestate verification. Whenever the developer changes a method that uses classes of `l` for which a specification is available, the IDE launches the typestate verifier. The verifier then analyzes all changed methods and looks for incorrect usage of classes; if it finds a violation, it is presented to the user. Obviously, we would like to catch as many defects (true positives) and report as few false alarms (false positives) as possible.

To simulate the above situation in a controlled experiment, we take the following steps:

1. For each subject used in the evaluation so far, we find an application that uses the subject. We also require the application to provide a test suite or other means to execute the program.
2. We use our mutation tool to simulate changes a developer might make to the application. To this end, we generate mutants that randomly inject or suppress method calls to instances of the subject class in the application.
3. For each mutated version, we execute the test suite of the application to classify mutants. Mutants that raise an exception at runtime are defects that we would like a typestate verifier to detect. Mutants that do not raise an exception use the class correctly, and therefore the verifier should not report a warning.
4. Finally, we run the verifier for each mutated version to analyze all methods touched by the mutant and remember all reported violations. We use the generated mutants to measure how often the verifier points to a method invocation that actually triggers an exception (true positive), and how often the verifier reports a violation although the program runs without producing an error (false positive).

The purpose of this experiment is to measure the effect of using enriched specifications as generated by TAUOKO over using initial specifications produced by the test suite. We therefore repeat step 4 with initial models generated by the test suite and enriched models.
generated by TAUTOKO. For three subjects, we also include results for the complete models created for the qualitative evaluation of Section 4.3.

We ran our evaluation for the same set of subjects used for the previous experiments. Table 4 lists the test sources for generating models, as well as the names of all applications used in the evaluation.

4.4.2 The JFTA Static Typestate Verifier

Unfortunately, existing typestate verifiers are either unavailable to the public [12] or require additional input [4]. We have therefore implemented our own typestate verifier called JFTA. JFTA is a partially (up to a configurable call depth) inter-procedural, flow- and context-sensitive typestate verifier for JAVA classes. Input to JFTA consists of the program’s byte code, a set of typestate automata, and a set of methods which are to be analyzed. In contrast to other tools such as Plural [4], JFTA does not require the programmer to provide annotations of the program code.

The core part of JFTA consists of a conservative dataflow analysis algorithm. Aliasing information is calculated using a demand-driven points-to analysis [28]. As the primary focus of JFTA is to execute quickly, the implementation uses several heuristics that trade precision for speed:

- When analyzing a method, JFTA only follows method calls up to a certain (configurable) depth. Thus, the analysis may miss method calls which potentially causes false positives or negatives.
- Information of different paths through a method is merged together. Thus, the analysis is path insensitive, which may cause false positives.
- Whenever the analysis is unable to determine the state of an object, it simply assumes that the object can be in any possible state. This may again generate false positives.

Due to the above heuristics, our approach is less precise than other tools such as [12]. However, in our setting we are interested on the effect of using enriched specifications rather than on absolute precision; and our results thus are likely to generalize to all sorts of typestate verifiers. This is further discussed in Section 4.6.

4.4.3 Results: True Positives

Table 5 summarizes the results for all changes that trigger exceptions, listing results using initial, enriched and complete models where available. “Reported” lists the number of defects for which the verifier reports a violation. “Actual” gives the number of cases where the reported method call exactly matches the call that raises the exception. For all numbers of reported errors, higher values are better.

The results show that, when using enriched models, the verifier pinpoints more violations than with initial versions. For the first three subjects, initial models cannot point to defects since they do not contain exceptional transitions. For the remaining three subjects, initial models also detect violations. For signature and socket, enriched models detect considerably more violations. For zip, both versions report violations for the same number of changes. However, enriched models more frequently point to the method call that raises the exception.

Better performance of enriched models in finding violations comes as no big surprise, as they include many more exceptional transitions than initial models. Still, the increase is considerable and the difference is statistically significant according to a paired-t-test with \( p = 0.05 \).

4.4.4 Results: False Positives

Apart from finding errors, we would also like to have as few false positives as possible. To investigate the false positive rate of initial and enriched models, we repeated the above experiment with changes that did not cause exceptions.\(^4\) For those changes, the verifier should not output violations.

The results of this experiment are shown in Table 6. The columns “Initial” and “Enriched” list the number of false positives for all types of models. For javamail and signature, we observe significantly fewer false positives. For the remaining subjects, the difference is smaller, but enriched models generally produce fewer false positives. A paired-t-test yields a \( p \)-value of 0.0124, which tells us that enriched models produce statistically significantly fewer false positives than initial models.

Using complete models again yields the biggest improvement for ristretto with only seven false positives remaining. For the other two subjects, using manually created models provides no benefits over using enriched models from TAUTOKO.

\(^4\) We used coverage analysis to make sure that each change is actually covered.
TABLE 4
Details about where tests came from and which applications were tested.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Test Source</th>
<th># Tests</th>
<th>Application</th>
</tr>
</thead>
<tbody>
<tr>
<td>javamail</td>
<td>Regression test suite</td>
<td>6</td>
<td>JVerify Binary Verifier (sourceforge.net)</td>
</tr>
<tr>
<td>javax.security</td>
<td>Regression test suite</td>
<td>5</td>
<td>Apache Jackrabbit (apache.org)</td>
</tr>
<tr>
<td>ristretto</td>
<td>Regression test suite</td>
<td>5</td>
<td>J2EE calendar server (dev.java.net)</td>
</tr>
<tr>
<td>signature</td>
<td>Harmony compliance tests</td>
<td>16</td>
<td>opensc project (opensc-project.org)</td>
</tr>
<tr>
<td>socket</td>
<td>Harmony compliance tests</td>
<td>5</td>
<td>CRSMail Server (sourceforge.net)</td>
</tr>
<tr>
<td>zip</td>
<td>Harmony compliance tests</td>
<td>9</td>
<td>Huf 3.0 (sourceforge.net)</td>
</tr>
</tbody>
</table>

TABLE 5
Enriched models show more true positives.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Initial model</th>
<th>Enriched model</th>
<th>Complete model</th>
</tr>
</thead>
<tbody>
<tr>
<td>javamail</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>javax.security</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ristretto</td>
<td>5</td>
<td>25</td>
<td>21</td>
</tr>
<tr>
<td>signature</td>
<td>12</td>
<td>12</td>
<td>10</td>
</tr>
<tr>
<td>socket</td>
<td>49</td>
<td>48</td>
<td>47</td>
</tr>
<tr>
<td>zip</td>
<td>23</td>
<td>19</td>
<td>14</td>
</tr>
</tbody>
</table>

TABLE 6
Enriched models show fewer false positives.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Changes</th>
<th>Initial model</th>
<th>Enriched model</th>
<th>Complete model</th>
</tr>
</thead>
<tbody>
<tr>
<td>javamail</td>
<td>28</td>
<td>26</td>
<td>2</td>
<td>n/a</td>
</tr>
<tr>
<td>javax.security</td>
<td>4</td>
<td>4</td>
<td>2</td>
<td>n/a</td>
</tr>
<tr>
<td>ristretto</td>
<td>53</td>
<td>53</td>
<td>47</td>
<td>7</td>
</tr>
<tr>
<td>signature</td>
<td>29</td>
<td>12</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>socket</td>
<td>460</td>
<td>300</td>
<td>283</td>
<td>n/a</td>
</tr>
<tr>
<td>zip</td>
<td>30</td>
<td>26</td>
<td>18</td>
<td>15</td>
</tr>
</tbody>
</table>

4.5 Test Case Generation Using Typestate Automata

To evaluate the fully automatic typestate automation generation we use the same six case-study subjects. For each class we first generate a test suite targeting branch coverage, using a time limit of 10 minutes per class. Then, based on the resulting minimized test suites, we iteratively learn a new model from the execution traces of these test cases, and derive new test cases from the model, as described in Section 3.2. We limit the number of iterations to 100, and use a maximum of 100 test cases per iteration to keep the overhead of trace generation and model learning in reasonable bounds.

Table 7 summarizes the statistics of the test case generation. The subjects javamail, ristretto, and socket use networking, and signature and javax.security depend on internals of the Java security and authentication mechanisms — these are serious challenges for automated test case generation, which is why the literature commonly only focuses on container classes. To test the two SMTP implementations we ran a simple SMTP server\(^5\) which gives valid responses but does not deliver messages, and modified the classes under test to always connect to this server. For signature and javax.security we also used some of the helper classes that are written as part of the handcrafted test cases.

Table 8 shows that the models resulting from this process are larger than the original and the enriched models as listed in Table 2. Only for ristretto there is

\(^5\) http://www.aboutmyip.com/AboutMyXApp/DevNullSsmtp.jsp
one state less, although the number of transitions is still higher. This demonstrates that existing test cases are not a requirement, and that iteratively extending the model can effectively cover new, unknown behavior.

Table 9 lists the results of this approach in terms of the quantitative analysis as described in Section 4.4. The results show that the models can find more violations than both the initial and the enriched models as shown in Table 5. Although the number of reported violations for socket is equal to that reported by the enriched model, this is the only subject where the number exact matches of method calls (“Actual”) is smaller than in the enriched model. In all other cases, the number of reported and actual violations is larger or at least equal to the number of violations reported by the initial and the enriched models.

On the other hand, the number of false positives for javamail, socket, and zip is larger than that of the initial and enriched models, whereas javax.security and signature are equal, and ristretto has less false positives. Although the typestate verifier may cause several of these false positives (see Section 4.4.2), to some extent this can be attributed to automatic test case generation, which will sometimes generate input parameters that are good at covering branches, but do not represent normal usage. If a method is only covered with invalid parameters (i.e., parameters that lead to exceptions) but has no execution without exception, then this will lead the typestate verifier to issue false warnings for these methods.

4.6 Threats to Validity
As any empirical study, the results of our experiments are subject to threats to validity. We distinguish between threats to internal, external, and construct validity:

**Threats to external validity** concern our ability to generalize the results of our study. We cannot claim that the results of our experimental evaluation are generalizable. Our sample size is small; in total we investigate six subjects in twelve different applications. Also, our choice of subjects is biased towards more complex classes of projects with executable regression test suites. Less complex classes tend to generate only trivial models, and therefore TAUTOKO is unlikely to enrich them. However, applying TAUTOKO on such classes would not cause any harm, since the enriched model always contains the initial model. In practice, though, only specifications for classes that are complex enough to be misused should be distributed.

**Threats to internal validity** concern our ability to draw conclusions about the connections between our independent and dependent variables. Our process of manually creating complete models in Section 4.3 may be subject to errors or bias. When creating the models, we may have unintentionally left out states or transitions, which may influence our results. We therefore have used test cases to distinguish ambiguities wherever necessary. In addition, we make the models available at our website so that other researchers can investigate them (see Section 6).

**Threats to construct validity** concern the adequacy of our measures for capturing dependent variables. The last experiment uses our typestate verifier to compare models in terms of their ability to detect errors. A potential problem exists because the typestate verifier may miss violations due to over-approximations or technical limitations. We may therefore be unable to measure the number of correctly identified violations for a specification. However, our evaluation uses the same set of changes for both types of models. If over-approximations prevent the verifier from detecting a violation, it will do so for both types. As our evaluation focuses on the increase of true positives (or decrease for false positives), we believe that this is no real threat for the results of this experiment.

**5 Related Work**

The idea of combining test case generation with specification mining was conceived by Xie and Notkin [34]. They present a generic feedback loop framework where specifications are fed into a test case generator, the generated tests are used to refine the specifications, and the refined specifications are again given as input to the test case generator. We extend this work by providing an implementation of the framework for typestate mining, as well as an evaluation of how useful enriched specifications are for a real-world application.

TAUTOKO uses techniques from several different areas of software engineering. The following sections summarize related work in the fields of test case generation, typestate verification, and specification mining.

**5.1 Test Case Generation**

There is a large body of work on test case generation, which is why we will limit the discussion to only a few representative approaches. If available, we cite surveys that provide more details in specific areas.

Several approaches use simple randomized algorithms to generate tests. Ciupa et al. [5] apply random testing to several industrial sized applications. Their work uses the AUTOTEST approach, which relies on invariants as test
oracles. Milicevic et al. [25] present KORAT, which also leverages preconditions but works for JAVA programs. In contrast to random techniques, TAUTOKO specifically generates test cases to enrich a given initial model.

Another area in test case generation are search-based techniques, where meta-heuristic search techniques are applied to derive test data; the existing search-based approaches are surveyed by McMinn [22]. Evolutionary testing of classes was proposed by Tonella [30], and we apply a similar technique to derive an initial test suite automatically. In contrast to Tonella’s approach our fitness function for branch coverage is not only based on the approach level but also the branch distance [22].

The power of modern constraint solvers allows another recently popular approach to test case generation, constraint-based testing. Symbolic execution [19] simulates execution of the program using symbolic values rather than concrete ones and relies on constraint solvers to derive test data. Recently (e.g. [21]), combinations of concrete and symbolic execution were proposed to overcome limitations of symbolic execution in terms of scalability. The majority of these approaches systematically analyze control-flow. In contrast to these approaches, TAUTOKO mutates the program to explore new behavior, thus changing the control flow rather than analyzing it.

Given its ability to derive test cases from a model, TAUTOKO is an instance of a model-based test generation tool. Such tools require the presence of a model that describes the intended system behavior. This model is then used to derive tests or input data. They come in very different forms, e.g. as finite state machines, or algebraic specifications. A survey on existing model-based approaches can be found in [17]. An example of a model-based testing tool is SPECEXPLORER [31], which is developed by Microsoft Research. SPECEXPLORER explores specifications written in SPEC# [2] and provides test cases for explored behavior. To our knowledge, we are the first that use test-generation techniques to improve the quality of mined typestates.

In the area of web application testing, Mesbah et al. [23] extract state machines that describe the user interface of AJAX applications. Their tool called ATUSA derives sequences of operations that are executed to explore the application and trigger defects. In contrast, our approach explores JAVA classes and generates new tests to enrich specifications.

Gupta and Heidepriem [16] explore a new structural coverage criterion based on dynamic invariants. They use DAIKON [11] to mine an initial set of likely invariants. Based on this set, Gupta and Heidepriem generate a new test suite that tries to cover as many invariants as possible. This test suite can be used to remove spurious invariants from the initial set. In contrast, TAUTOKO mines typestate automata and uses mutation to generate new tests.

### 5.2 Typestate Verification

The term typestate was coined in 1986 by Strom and Yemini [29]. Initially, typestates were used to distinguish uninitialized from valid pointers. This information was used to detect potential null pointer dereferences and memory leaks in PASCAL programs.

Since then, several approaches have been developed for different platforms such as .NET [10] or JAVA [14] with varying levels of precision. A promising sound typestate verifier for JAVA was presented by Fink et al. [12]. The tool uses a staged approach with a total of four stages: early stages use imprecise and fast techniques to filter instances that need not be considered in later (more precise and thus expensive) stages. The last stage is only required for objects referenced by more than one method or objects stored in collections. Fink et al. report analysis times ranging from one to ten minutes for projects with up to 200 classes. In contrast to their approach, JFTA is less precise due to its conservative handling of arrays and collections. We would expect that using the tool by Fink et al. would further reduce the number of false positives in our evaluation.

### 5.3 Specification Mining

The large body of work on mining specifications can be grouped into dynamic and static approaches. The first technique by Cook and Wolf [6] considers the general problem of extracting a finite state machine based model from an event trace. They reduce the problem to the well-known grammar inference problem [15] and discuss algorithmic, statistical and hybrid approaches. Later, Larus et al. [1] proposed mining specifications for automatic verification. Their approach learns probabilistic finite

<table>
<thead>
<tr>
<th>Subject</th>
<th>True Positives Report</th>
<th>False Positives Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>javamail</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>javax.mail</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td>ristretto</td>
<td>28</td>
<td>21</td>
</tr>
<tr>
<td>signature</td>
<td>12</td>
<td>12</td>
</tr>
<tr>
<td>socket</td>
<td>49</td>
<td>48</td>
</tr>
<tr>
<td>zip</td>
<td>23</td>
<td>20</td>
</tr>
</tbody>
</table>
state automata for C programs. Following the assumption that common behavior is correct behavior, Larus et al. use the inferred automata to search for anomalies in other executions of the program.

Among the first approaches that specifically mine models for classes is the work by Whaley et al. [33]. Their technique mines models with anonymous states and slices models by grouping methods that access the same fields. Lorenzoli et al. [20] mine so-called extended finite state machines with anonymous states. To compress models, the gk-tail algorithm merges states that have the same k-future.

In terms of static techniques, there is also a huge number of different approaches. Wasylkowski et al. [32] mine object usage models that describe the usage of an object in a program. They apply concept analysis to find code locations where rules derived from usage models are violated. Ramanathan et al. [26] use an interprocedural path-sensitive analysis to infer preconditions for method invocations. Shoham et al. [27] discover that static mining of automata based specifications requires precise aliasing information to produce reliable results.

In the area of web services, Bertolino et al. [3] mine behavior protocols that describe the usage of a web service. The approach uses a sequence of synthesis and testing stages that uses heuristics to refine an initially mined automaton. In contrast, TAUTOKO mines typestate automata for JAVA programs.

6 CONCLUSIONS

Dynamic specification mining is a promising technique, but its effectiveness entirely depends on the observed executions. If not enough tests are available, the resulting specification may be too incomplete to be useful. By systematically generating test cases, our TAUTOKO prototype explores previously unobserved aspects of the execution space. The resulting enriched specifications cover more general behavior and much more exceptional behavior.

An evaluation with six different subjects shows that TAUTOKO is able to enrich specifications with new transitions in all cases. With enriched specifications, a typestate verifier produces significantly more true positives, and significantly fewer false positives. We also showed that systematic test case generation can iteratively learn new states and transitions, further improving the number of detected defects. A potential higher number of false warnings illustrates one of the current problems of automated test case generation – generated tests do not resemble real usage. Generally, we expect test case generation to be applicable to all techniques of dynamic specification mining, improving the effectiveness of mined specifications.

As demonstrated in this paper, there are many ways to infer program properties: Not only can we examine their code (static analysis) or their executions (dynamic analysis); but also generate new executions (test case generation) or even change their code (mutation analysis). The interplay of these techniques brings lots of opportunities for exciting research topics. All components of TAUTOKO are available for download. We also include all models generated for our evaluation subjects, as well as manually created models for three classes. To learn more about TAUTOKO, visit its Web site:

http://www.st.cs.uni-saarland.de/models/

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REFERENCES


