Keywords: Failure mode and effects analysis, software metrics, software design.

Abstract: Studies have found that reworking defective requirements, design, and code typically consumes up to 50 percent of the total cost of software development. A defect has a high impact when it has been inserted in the design and is only detected in a later phase of a project. This increases project cost, time and may even jeopardize the success of a project. More time needs to be spent on analysis of the design of the project. When analysis techniques are applied on the design of a software system, the primary objective is to anticipate potential scenarios of failure in the system. The detection of defects that may cause failures and the correction is more cost effective in the early phases of the software lifecycle, whereas testing starts late and defects found during testing may require massive rework. In this article, we present a metric suite that guides the analysis during the risk assessment of failure modes. The computation of the metric suite bases on Simulink models. We provide tool support for this activity.

1 INTRODUCTION

The success of mission-critical applications depends very much on the correctness of the contributing embedded software systems. To ensure correctness, such software systems are developed in accordance with strict standards that dictate the steps to be taken in its development process; the objectives that must be accomplished, the reviews to be performed, and the documents that are required to be produced (Pasetti, 2002). Systems that fail and cause catastrophic consequences on the system are said to be safety-critical (Kopetz, 1997).

The workload in the design and implementation of embedded systems is shifting continuously from hardware to software. At the same time the complexity is growing due to the increasing functionality provided by embedded systems. Validating the correctness of the software systems in mission-critical applications with series of tests is paramount to show that hardware and software failures cannot place the application in an unsafe state (Goddard, 2000). However, testing has its limits: The deviation between the operational and the testing environment and the difficulty to reproduce those operational environments limits the failure rates that can be verified empirically and thus the detection of the number of risky components of a system. This can lead to a misunderstanding of the systems reliability properties.

To reduce the risk of software failures, an early and thorough analysis identifying critical components in the design is necessary. The Failure Mode and Effects Analysis (FMEA) is a reliability analysis method that aims at eliciting and evaluating potential risks by identifying failure modes of system components. It determines their effects and influence on the system and recommends actions to suppress these effects and eliminate the causes of the failure modes (Pentti and Atte, 2002). A FMEA on the design level assessing the risks can be performed early in the software development process. The objective is to minimize the impact of failure modes resulting from the analysis at a time when changes to the software system can be made cost effectively (Goddard, 2000). The design phase is a critical phase in the lifecycle of a software system, since reworking a defective design and resulting code can consume 40 to 50 percent of the total cost of software development (McConnell, 1996). This indicates the necessity to analyze the design of a software system thoroughly prior to construction and testing. A FMEA is applied in regular intervals and checks whether the recommended actions
were taken and successfully implemented to guarantee constant improvement of the system under analysis. This makes the FMEA tedious, laborious and time-consuming to carry out. Therefore it is necessary to be focused when conducting a FMEA (Parkinson et al., 1998; Montgomery et al., 1996).

In this article we present a suite of metrics that guide the analysis team during the risk assessment of failure modes during a FMEA. Metrics are computed in the design process as soon as models of the software system exist. They identify the most complex and unstable and thus most error-prone parts of a software system. Their results support the analysis team, which performs the FMEA, in their decision-making process and let them focus the analysis on the risky parts of a software system.

The remaining of the paper is structured as follows: Section 2 discusses related work. The FMEA method is reviewed in Section 3 and Section 4 discusses a metric suite providing support to perform a FMEA. Results are presented in Section 5 and Section 6 concludes the article with a brief talk about our future work.

2 RELATED WORK

Analysis techniques can broadly be divided into three categories. Formal verification, simulation and informal analysis processes. Formal verification is a model-based technique. Models are built from system and software specifications. Simulation uses models that are built during the development process to verify the design of the software and informal analysis processes build models during the analysis process.

- **Formal verification.** Formal verification requires models that can be mathematical exploited to show correctness of a system (Yovine, 1998). For the models to be correct, they must be built from unambiguous specifications (Hohmann, 2004). However, complete and unambiguous specifications are difficult to attain. Any simplification or abstraction may hide details that may be critical to the correct verification of the application (Hailpern and Santhanam, 2002). This is the reason why only specific aspects are formally verified. For example, the reliability of a system does not necessarily depend on the complete correctness of the system, but rather on a set of aspects and features (such as timing constraints) that the system should exhibit (Ammell et al., 2002; Halbwachs, 1997; Yovine, 1997).

- **Simulation.** Rapid prototypes can be viewed as simulating systems. The simulation allows early validation of the system. Ideally, production code can be generated from the simulated systems to avoid wasting resources and the risk of introducing new defects during the reimplementation of the code (Burnard, 2004; MathWorks, 2004). Goseva et al. present a risk analysis on the architectural level using UML models (Goseva-Popstojanova et al., 2003). UML models are developed early in the development process. A Markov model is constructed to obtain risk factors for specific scenarios that are used to estimate the overall system risk factor.

- **Informal analysis.** Most analysis techniques are informal and use the insight of the system architect. The failure mode and effect analysis (FMEA) is an analysis method that has been traditionally applied at the hardware level. The FMEA methodology is here applied to software system. Goddard proposes different techniques for a software FMEA (Goddard, 2000).

The architecture tradeoff analysis method (ATAM) is used to base architectural design decisions on rational goal-based attributes (Kazman et al., 1999). Quality attributes such as modifiability, reliability, and security are measured using inspections. Scenarios guide the analysis in the identification of risks, non-risks, sensitivity and tradeoff points in the architecture.

We present an approach that uses simulation models that are later used for production code generation. Metrics help identifying critical components that are candidates to careful informal analysis, and design, implementation, and testing.

3 OVERVIEW OF FMEA

The FMEA was originally developed for the system and hardware level, where potential risks and failure modes are known due to the natural limits of the world of engineering and immutable physical laws. US military, for example, applied the method to evaluate the reliability of system and equipment and to predict the impact of their failure on the military mission’s success. It was adopted by the aerospace and automotive industry and incorporated into their quality control plans.

The FMEA helps determining failure modes, projecting their effects, identifying their causes, designing detection and prevention mechanisms, and advising recommended actions (SAE, 2002). Figure 1 shows the line of causal relationship between faults, errors and failures. The FMEA is developed along that line of cause and effect (Doerenberg, 2004).

- **Fault.** The cause of a failure is a fault that ranges from specification and design defects to physical or human factors.
• **Error.** An error is a design flaw or a deviation from the desired or intended state of a system.

• **Failure.** A failure mode is defined as the manner in which a component, subsystem, or system could potentially fail to meet or deliver the intended function.

• **Failure Effect.** The actual consequences of a system behavior in the presence of a failure.

• **Screening Questions.** Screening questions (Kazman et al., 1999) aim at detecting design deficiencies for specific quality requirements, such as performance, safety, or robustness that the software system requires to meet.

• **Recommended Actions.** Actions that are recommended for implementation to identify failure modes and to reducing the probability of their occurrence.

• **Risk priority number.** Failure modes are ranked according to the risk priority number (RPN). The RPN of a failure is computed as the product of (1) the severity of the failure’s effect, (2) the likelihood of the detection of the error leading to the failure and (3) the frequency of the occurrence of the error cause.

When conducting an FMEA, the following four steps need to be performed:

1. Identification of the system and its subsystems and components.
2. Determination of failure modes, effects, and possible causes, associated with the subsystems and its components.
3. Assessment of the risk of the failure modes.
4. Documentation and risk reduction activities.

### 3.1 FMEA in the Software System Lifecycle

The software system lifecycle can be represented by the V-model (Figure 2) (Burnard, 2004). The left side of the V describes the design process for the construction of the system, starting from the requirements definition, followed by the system design and becoming more detailed at every step until the implementation phase, where the code is created. The implementation phase lies between decomposition and design (left side of the V) and the integration and verification (right side of the V). The right side of the V covers the different testing phases, which relate to specific design phases of the left side of the V. The Design FMEA is applied in parallel to the decomposition and design phase of the software system lifecycle and covers the analysis process performed during the specific design phases.

Both approaches, analysis and testing, aim at producing more reliable and safe software (Doerenberg, 2004). For the comparison of the two different approaches a taxonomy of analysis and testing is established (Fenelon et al., 1994). The taxonomy in Table 1 distinguishes four different categories, which are represented as behavioral, deductive, inductive, and exploratory analysis. Each of the categories is identified by two characteristics, whether causes and effects are known or unknown. Referring to the taxonomy of analysis, software testing and analysis techniques are each mapped onto two categories.

- **Behavioral Analysis.** If software testing validates the software system behavior, the causes and the effects are known.

- **Deductive Analysis.** If software testing is used as deductive analysis to find defects and remove their faults, the causes are unknown and the effects are known.

- **Inductive Analysis.** The FMEA is reliability analysis method that deals with known causes and unknown effects. The FMEA aims at fault avoidance.

- **Exploratory Analysis.** Using lists of failure modes and screening questions, neither causes nor effects are known and the analysis process is exploratory.

The results of a FMEA include failure modes, effects, causes, and detection and protection mechanisms. The analysis team identifies design problems, analyzes them and improves test design. Failure modes are prioritized using the RPN that is computed for each failure mode. The failure modes with the highest ranking RPN are selected and recommended...
actions are determined, such as changes in the design that reduce the probability of the occurrence of a potential failure.

The implementation of a FMEA demands team effort. Performing and controlling a FMEA in regular intervals is laborious and time-consuming. Therefore, the analysis requires focusing on components that are more likely to cause failures. Identifying those components allows for redesigning them early in the software system lifecycle and directing intensive testing effort towards those components. The use of metrics early in the design process guides the analysis team during the risk assessment with RPNs, which is the most exigent part of the FMEA. Metrics are used to identify the most complex, instable and thus most error-prone parts of the system. This reduces the time spent on the assessment of failure modes and their related components for the analysis team.

4 METRICS IN MODEL-BASED DEVELOPMENT

Model-driven architecture specifies a system using a set of models. Models separate the specification of system functionality from the specification of the implementation of that functionality on a specific technology platform (Mukerji, 2001). The trend to specifying a system using models as a representation of the system is growing in the embedded industry. The increase of the computing power of microprocessors has been reinforcing the benefits of implementing embedded control functionality in software (Horowitz et al., 2003). As the complexity of embedded control applications increases, it is essential to introduce means to master the complexity of the application and to define adequate methods and tools for building such control applications (Kopetz and Bauer, 2003; Menkhaus et al., 2004).

Models provide abstractions of a system that allow for reasoning about that system by ignoring extraneous details while focusing on relevant ones. All forms of engineering rely on models to understand complex, real-world systems. Models are used in many ways: to predict system qualities, reason about specific properties and provides characteristics of the overall confidence in the behavioral software properties. The models may be developed as a precursor to the implementation of the physical system, or an implementation can be derived from the model automatically (Brown, 2004). However, models are likely to become complex and instable as the model is developed, extended and modified. The quality of the model suffers as the complexity increases (Lehmann, 2003).

Analysis activities are means to improve the design of a model and help decreasing design deficiencies. Metrics guide the analysis activities. They can broadly be classified into two categories: Source code based syntactic metrics and semantic metrics:

- **Syntactic metric.** Syntactic metrics are computed on the basis of source code. They are applied to identify the most complex and therefore most error-prone and hard to test parts of a system. However, source code-based metrics are subject to distortion due to the programmer’s style and they can only be applied after the implementation phase (Stein et al., 2004a).

- **Semantic metric.** Semantic metrics assess the quality of software (Stein et al., 2004b). Because semantic metrics do not rely on the syntax or structure of source code, they can be computed early in the software system lifecycle from requirements or design specifications before the system has been implemented. However, semantic metrics lack of a common and universal representation and are based on the vague notion of ideas and concepts. Therefore, semantic metrics cannot be automatically computed. Worse, in most projects requirements and specifications are incomplete, change often and most completed systems have implemented only a small fraction of the originally-proposed features.
and functions specified in the requirements (Group, 2004).

Automatic computation is possible only if the notion of concepts and ideas are mapped onto a notation of models for software system representation.

We have specified and implemented a metric suite that is computed from hierarchical Simulink models (MathWorks, 2004).

Simulink was originally designed for the simulation of control laws, but has recently established itself as standard modeling tool for embedded software development. For modeling, Simulink provides a graphical user interface for building models as block diagrams. It includes a comprehensive block library of sinks, sources, components, and connectors. Blocks interact via connectors and input and output ports define logical points of interaction between blocks. After the model has been defined it can be simulated and code can be produced automatically using a code generator. Using the generated code, syntactic based metrics could be applied, but the code generator produces unreach code, which represents inefficiency in the code generators implementation of the model that falsifies the results of the metrics (Burnard, 2004). Using metrics, design models that cannot even be simulated but are developed already early in the software system lifecycle, can be submitted to analysis.

We compute metrics for two categories of design aspects: Complexity and instability of models. The metrics implemented in our Simulink Model Metrics Calculator (SMMC) are the following:

- **Cyclomatic Complexity (CC).** CC measures the complexity of the control flow graph of a system (Watson and McCabe, 1996).
- **Instability of block (IOB).** A block in a system is unstable if there is a high probability that it is subject to changes and modifications (Martin, 1995).
- **Instability of system (IOS).** IOS is closely related to the IOB metric, except that the complete system (current system or subsystem of the model) influences the metrics computation.

Simulink models are directed graphs and the metrics calculations are based on directed graphs, representing simplified Simulink models. Simulink models consist of a set of subsystems $S$. A subsystem contains a set of other subsystems and blocks. Considering a Simulink model as a directed graph, Simulink blocks are denoted as vertices, and connectors are considered as edges. Two vertices are connected to one another if there is an edge directly connecting the two vertices. Formally, a directed graph $G = (V, E)$ is a pair consisting of a vertex set $V$ and a set of directed edges $E \subseteq V \times V := E^2$ where $E^2$ is the set of all possible directed edges.

**Cyclomatic Complexity.** The cyclomatic complexity is based on the structure of a software control flow graph and measures its complexity. It is the minimum number of paths that can, in (linear) combination, generate all possible paths through the module (Watson and McCabe, 1996). In a Simulink model the control flow graph is already given.

Each flow graph of a Simulink subsystem $s \in S$ consists of vertices (blocks) $v \in V$ and edges (connectors) $e \in E$. The vertices represent computational statements or expressions, and the connections represent transfer of control and data between vertices. The cyclomatic complexity is defined for each subsystem $s$ to be:

$$CC(s) = e_s - v_s + 2,$$

where $e_s$ and $v_s$ represent the number of edges and vertices in the control flow graph of a Simulink subsystem. The normalized $CC$ ($CC_n$) of a subsystem is obtained by normalizing the $CC$ with respect to the sum of complexities of all subsystems in a model

$$CC_n(s) = \frac{CC(s)}{\sum_{v \in S} CC(t)}$$

The cyclomatic complexity measure correlates with defects in software modules. Complex software is error-prone, hard to understand, to modify and to test. With the $CC_n$ metric complex parts of a software system are identified.

**Instability of Blocks.** Blocks that are stable are both independent and highly responsible. Blocks are independent, if they do not depend upon the results of other blocks. Blocks are called responsible, if changes of this block have a strong and wide-ranged impact on other blocks (Martin, 1995). The responsibility, independence and stability of a category can be computed by measuring the interaction of blocks with other blocks.

The number of connections between blocks ($CBB$) represents the number of blocks to which a block is connected. A block $v$ has a set of connected blocks that include the number of source blocks ($S(v)$) and the number of destination blocks ($D(v)$). Source blocks are blocks from which the output is used as input for the block under analysis. Destination blocks use the output of the block under analysis as input.

Efferent $CBB$ counts the number of source blocks for each block, i.e. the number of blocks on which the block under analysis depends: $CBB_e(v) = S(v)$. Afferent $CBB$ counts the number of destination blocks for each block, i.e. the number of blocks that depend on the block under analysis. $CBB_a(v) = D(v)$. The $IOB$ of a block $v$ is then defined as the number of blocks the block $v$ depends on divided by...
the number of blocks \( v \) depends on plus the number of blocks that depend on \( v \):

\[
IOB(v) = \frac{CBB_e(v)}{CBB_e(v) + CBB_a(v)}
\]

\( IOB \) is an indicator of the blocks resilience to change. A value of zero means maximal stability and a value of one means maximal instability. Instable subsystems are generally undesirable and are recommended for careful design, implementation and testing.

**Instability of System.** The **IOS** is closely related to the **IOB** and draws identical conclusions. However, its computation is more global and it accounts for influences of the complete system (i.e., current system or subsystem of the model) on a block. The **IOS** of a block \( v \) is defined as

\[
IOS(v) = \frac{BET_n(v)}{BET_n(v) + CLO_n(v)}
\]

where \( BET_n \) denotes the normalized betweenness metric and \( CLO_n \) the normalized closeness metric.

The closeness metric was originally defined by Sabidussi for strongly connected networks (Sabidussi, 1966) and has been generalized in (Gulden, 2004). The betweenness metric was defined by Freeman in (Freeman, 1977).

- **Closeness.** The closeness is a measurement of responsibility that assigns high values to blocks from which a multitude of other blocks can be reached within a short average distance. The horizon \( \text{hor}(v) \) of a block \( v \in V \) is defined as \( \text{hor}(v) = \{ r \in V \mid \text{there is a path from } v \text{ to } r \} \).

Let \( R(v) \) be the number of reachable blocks from \( v \) (excluding \( v \)),

\[
R(v) = |\{ r \in \text{hor}(v) - \{ v \} \}|
\]

and \( D(v) \) the sum of the shortest distances to reachable blocks

\[
D(v) = \sum_{r \in \text{hor}(v) - \{ v \}} d_G(v, t).
\]

The outgoing distance \( d_G(s, t) \) of a block \( t \) from a block \( s \) in a network \( G = (V, E) \) is defined by the minimum length of all paths from \( s \) to \( t \). Then the closeness for block \( v \) is defined as follows:

\[
CLO(v) = \begin{cases} 
\frac{R(v)^2}{D(v)} & \text{if } D(v) > 0 \\
0 & \text{otherwise}
\end{cases}
\]

The normalized closeness is obtained by normalizing the closeness with respect to the sum of the closeness measures for all vertices:

\[
CLO_n(v) = \frac{CLO(v)}{\sum_{u \in V} CLO(u)}.
\]

A high \( CLO_n \) value of a block reflects responsibility and points out that many other blocks can be reached within a short average distance. In case of an error originating in a faulty block the error propagation correlates to the \( CLO_n \) value of the faulty block. A high \( CLO_n \) value means that a possible error reaches many other blocks in a short time.

- **Betweenness.** The betweenness is a measurement that assigns high values to blocks on which other blocks are most dependent. For the calculation of betweenness the dependency (DEP) is computed. Let \( SP(s, t) \) be the number of the shortest paths from \( s \) to \( t \), and let \( SP(s, t|v) \) be the number of the shortest paths from \( s \) to \( t \) using \( v \) as an inner block.

The dependency of a block \( s \) on a single block \( v \) is then defined as follows:

\[
DEP(s|v) = \sum_{u \in V} \begin{cases} 
\frac{SP(s, t|v)}{SP(s, t)} & \text{if } SP(s, t) > 0 \\
0 & \text{otherwise}
\end{cases}
\]

The betweenness is calculated according to:

\[
BET(v) = \sum_{s \in V} DEP(s|v)
\]

The normalized betweenness is then defined as

\[
BET_n(v) = \frac{BET(v)}{\sum_{u \in V} BET(u)}
\]

A high \( BET_n \) value of a block indicates a high average dependency on that block of all other blocks in the model. The calculation of this metric identifies blocks that are most important to the model and for which the most analysis and testing effort should be spent.

5 RESULTS

The automated computation of metrics fosters performing a focused and effective FMEA. It supports the analysis team during the application of a FMEA. We have developed the Simulink Model Metrics Calculator (SMMC) that computes the metric suite on Simulink models. The SMMC parses Simulink models and stores the information in a database. Based on this information, the SMMC computes the metric suite and presents the results in a graphical user interface.

We show the computation of the metric suite on the well-known Simulink Automotive Engine Timing Model (Figure 3). It presents a model of a four-cylinder spark ignition engine from the throttle to the crankshaft output. Within this simulation, a triggered subsystem models the transfer of the air-fuel mixture from the intake manifold to the cylinders via discrete valve events. This takes place concurrently with the
continuous-time processes of intake flow, torque generation and acceleration (MathWorks, 2004).

The results of the computation of CLO<sub>n</sub>, BET<sub>n</sub> and IOS for the Engine Timing Model are shown in Figure 3. Figure 3 shows that the results for the IOS recommend the Compression and the Intake subsystem as candidates for detailed analysis and testing effort. They account for the two highest IOS metric values. The two subsystems are central to the Engine Timing Model having a multitude of input and output ports and their outputs influence several other blocks.

6 CONCLUSION

The Failure Mode and Effect Analysis (FMEA) is a projective analysis method. It helps determining failure modes, effects, causes, and recommended actions suggesting additional detection and prevention mechanisms. The FMEA is an analytical technique utilized to analyze systems, subsystems, and components. It focuses on failure modes caused by design deficiencies and is applied in the design phase of the software system lifecycle. The risk priority number (RPN) computation helps prioritizing the failure modes, identifying the most critical ones, and determining recommended actions that could eliminate or reduce the likelihood of potential failures to occur.

Design deficiencies uncovered by the FMEA might cause a change of the current design. Changing the design is least expensive if the project is still in the design phase. Metrics are essential in guiding the analysis team during the risk assessment of failure modes. They are applied to identify the most complex and unstable and thus most error-prone parts of a software system. Useful information is elicited automatically with the help of the Simulink Model Metric Calculator.

In our future work we will refine the risk priority quality statement to allow its application to arbitrary Simulink models. We will extend the computation of metrics on Simulink models and investigate how metrics can be used to derive test data and test cases from models automatically.

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