Novel Approach of Deriving Operational Procedures for a Complex Research Facility

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Abstract: Operational procedures represent a set of step-by-step actions on how to execute a complex task in which safety plays the main role. Operational safety is employed for the protection of human operators and also of the system components that may be very expensive and sensitive to malfunctions. Therefore, an automatic method to generate and better understand the effects of the procedures over an entire plant is needed. For this endeavour, each sub-system is modelled as a Finite State Process (FSP). The Modal Transition System Analyser (MTSA) tool is used to generate and simulate a procedure for a given system behaviour and a set of constraints. The presented plant model represents only a proof of concept and can be easily extended to include further details of real systems.

1 INTRODUCTION

Extreme Light Infrastructure - Nuclear Physics (ELI-NP) (Gales et al., 2016) (Ur et al., 2015), as a part of ELI, the pan European distributed facility, aims for producing laser-driven experiments related to nuclear physics. The facility, located in Magurele, Romania, will host several sub-systems used to produce the laser beam(s) (having six optical outputs), beam transport (Ursescu et al., 2016) and experiments (et.al., 2016). The facility complexity is given by different aspects like:

- various experiments with variable flexible set-ups must be run in parallel (as user research facility),
- future upgrades must be taken into account,
- some operations are only performed by human operators,
- and, last but not least, machine and human safety are mandatory to be considered.

Thus, the sub-systems integration followed by the safety operation of the facility as a whole is very important.

Given the model of a complex research facility comprising multiple interacting sub-systems and constraints between them, it is necessary to find the procedures to safely operate the facility such that all the constraints are preserved. The models of each sub-system are based on the list of requirements as derived from the specifications. Each sub-system has a local controller that takes care of the local operations and that interacts through a limited number of signals with the others. Sub-system interactions and regulations imposed to operate such research facility generate different constraints that need to be translated into logical conditions. The research facility has the following components:

- **HPLS** - High Power Laser System;
- **LBTS** - Laser Beam Transport System;
- **Experiment** - Generic experiment using the laser beam generated by the HPLS and transported by LBTS systems.

The purpose of the research facility is to produce (using the HPLS) and provide (through the LBTS) to a preselected area (represented by the Experiment) laser beams with different characteristics for performing experiments. The entire optical path comprises lasers, mirrors, lenses and other devices used to assure the highest beam quality.

The primary aim of the paper is to show the means to define a set of rules or procedures to safely operate the research facility as a whole. Through modelling, we also gain valuable insights about the caveats and possible design extensions. Last but not least, the con-
controller obtained based on the given constraints can be
used to implement the real control algorithm used to
supervise the plant operations. All three subsystems
are highly complex and present very expensive components that need to be protected against any types of
human errors.

The proposed work-flow starts with the model definition based on the system behaviour. Once the control objectives are established, the resulting controller, if it exists, produces the desired system behaviour defined by these objectives. The simulation of the facility model and controller locates and corrects errors early in design system. In the current paper, we propose to use the same approach to help with the definition of procedures. The procedure definition activity is usually done manually and is based on numerous standards depending on the domain of activity (laser safety, nuclear safety, etc.). The sole purpose of the paper is to ease this process and not to replace it.

The paper is organized as follows. Section 2 provides background information on the composition of all the sub-system models that form the plant and constraints. A short presentation of the theoretical framework is made in Section 3. Section 4 describes an example based on the models previously defined in Section 2. Lastly, Section 5 draws some conclusions about the work and presents future directions.

2 THE FACILITY MODEL

The composition of all the sub-system models (HPLS, LBTS, and Experiment) form the plant model (further called the environment). The system states are written with capital letters and the transitions (actions) between states are in italics and always start with a small letter. The filled states represent the moments when laser is shooting, whereas the dotted ones represent a malfunction of the sub-system. Some transitions of the sub-systems have identical labels to be concurrently enabled.

2.1 The High Power Laser System

The actual HPLS has 2 arms and 6 outputs (3 per arm) through which laser beams are provided at different powers (2 x 10PW, 2 x 1PW, and 2 x 100TW). The high power laser shot can produce severe injuries or destroy expensive components (mirrors, lenses, etc.). Therefore, extra precautions must be taken. Normally, the HPLS needs an internal alignment phase before shooting and presents different safeguards implemented to safely switch off the laser beam. The shut-down process is not instantaneous and while in the ON state, the system has no restrictions related to the number of laser shots per experiment. There is a low power laser beam used for alignment operations of the optics present in the downstream sub-systems (LBTS and Experiment). For the sake of simplicity, the following assumptions are considered:

- only one output of the laser is available and therefore only one experiment will be considered,
- the internal alignment phase is neglected; thus, the HPLS is always aligned,
- the shut-down process is instantaneous since we do not take time into consideration,
- the alignment beam feature is as an underlying process and therefore we do not consider it.

To model the described system, we considered a state diagram (see Figure 1) with 5 states as follows \{IDLE, ERR, READY, ON, OFF\}. The initial state is represented by the IDLE state. The laser shoots at full power only when in the ON state. While in the READY or OFF states, the laser is not shooting but all the pre-conditions to run an experiment are met. In case of an error, the system remains indefinitely in ERR state. An experiment starts with the expRdy and ends by the expNxt transitions. The expFin transition causes the HPLS to turn off the laser beam and go to OFF state. From the OFF state, the model allows to have multiple shoot, expFin transition sequences as in reality (unlimited number of shots). Whereas from ON state, a shoot transition blocks the HPLS and determines transitioning to ERR state. The expNxt transition causes the HPLS to enter in IDLE state and allows the user to prepare for a new experiment.

The following constraints are considered:

- a shoot transition can be only issued from the READY and OFF states,
- at any moment a shoot, shoot,... sequence is forbidden,
- if the above conditions are not fulfilled the HPLS is blocked in an error state named ERR,
- an experiment is limited to only one shoot.

The constraints translation into logical statements and further explanations related to the simulation language are presented in Section 4.

2.2 The Laser Beam Transport System

The LBTS represents the interface between the HPLS and the experiments. The core of the laser transport part are the beam transport lines for the six main outputs of HPLS that contain mirrors (flat and parabolic) of different sizes. Before each experiment set-up, the
Figure 1: The HPLS state diagram.

mirrors need to be aligned such that the laser beam does not produce any damage to the LBTS components and/or other unwanted effects. The high cost of the mirrors and the sensitivity of beam alignment makes this operation very important for the entire system. The alignment is first performed in plain air followed by the one in vacuum. During an ongoing experiment the LBTS remains in vacuum. The LBTS can become unaligned (due to external conditions) and the entire process must be restarted.

The LBTS model is described by a state diagram (see Figure 2) with 5 states as follows \{IDLE, ALAIR, ALVAC, MISAL, ON\}. The initial state of the system is IDLE. Like in the case of HPLS, the full power beam is only present while in the ON state. The ALAIR and ALVAC represent the states where the LBTS is aligned in air and vacuum respectively. While in one of these two states, if the LBTS becomes misaligned (the MISAL state) the alignment operation must be repeated. An experiment starts with the expRdy transition and ends by the expNxt transitions. The tOff transition marks the fact that the LBTS is not under vacuum anymore.

To summarize, the states during which the LBTS is under vacuum are: ALVAC, MISAL and ON. In the case of a new experiment, the following sequence must take place (starting from the IDLE state) as: aLAir, aLVac, expRdy.

The expRdy action marks the fact that pressure between the LBTS and the interaction chamber of the Experiment are equalized (the valves of the LBTS are opened) and the optics path is ready for the experiment.

2.3 A Generic Experiment

The experiment room contains the Interaction Chamber (IC) where the experiment set-up is installed and the rest of equipment placed outside of the chamber itself. Normally, after a number of experiments, the pieces of equipment found in the experimental area but outside of the IC must be replaced or upgraded during a maintenance phase. After a new experiment set-up is installed, it is necessary to be aligned with the LBTS and HPLS.

A generic experiment has three alignment phases. The first phase is performed by using some mechanical method (e.g., a theodolite) in plain air. The next phase includes a low power laser beam from the HPLS through LBTS (using the window gate valves). During this phase, the LBTS must be already in the ALVAC state. The last phase of the alignment with the HPLS must be performed in vacuum when the gate-valves of the LBTS are opened. Thus, during the first two phases, the IC door is unlocked and only during the third phase it is closed.

The Experiment is modelled by a state diagram (see Figure 3) with 5 states as follows \{ESETUP, EALIG, EMAINT, ERUN, EEND\}. For the sake of simplicity, we consider only one state during which the vacuum alignment is performed (the EALIG state) instead of considering the full alignment process (for example alignment with a theodolite or by using the the alignment beam of the HPLS). The maintenance phase can only be accessed from the EALIG state or when an experiment is finished (the EEND state). The access inside of the IC is allowed only after the tOff, expIcEnter transition sequence is performed. The expSet marks the moment when the IC access is disabled. Like in the cases of LBTS and HPLS, the expRdy marks the fact that the experiment can start (gate valves of LBTS are opened, the entire experiment set-up is aligned with the LBTS and the HPLS beam). The high power laser beam is present only while in the ERUN state.

After an experiment, radioactive contamination may occur and therefore the access inside of the experimental area and the interaction chamber is restricted. There are a set of detectors and ultimately a person designated to measure the radioactivity level that allow the access inside. This feature will be included as a future extension of the model and presented in Section 4.
3 THEORETICAL BACKGROUND

In this section, an overview of the main abstractions used for defining the model behavior as well as the properties it must have in order to fulfill its safety considerations is presented.

Note that the following theoretical aspects are based on the work presented in (Joslin, 2013), (D’Ippolito et al., 2011), (Keller, 1976) and (D’Ippolito et al., 2012). Also, when referring to complex systems, it is often useful to segregate between the known behaviour of the system and its desired properties. To this end, the known machine behaviour is described as a Labelled Transition System (LTS) (as defined in (Keller, 1976)) under the assumption of deterministic transitions between a finite set of states, while the required system properties are denoted as formulas in the Fluent Linear Temporal Logic (FLTL) framework.

**Definition 3.1.** A LTS is a tuple $S = (\Sigma_S, \Lambda_S, \Delta_S, \sigma_0_S)$, where $\Sigma_S$ is the set of all states known to the LTS, $\Lambda_S$ is the set of transition labels, $\Delta_S \subseteq \Sigma_S \times \Lambda_S \times \Sigma_S$ is the set of transitions and $\sigma_0_S \in \Sigma_S$ is the initial state.

Graphically, LTSs can be seen as graphs, where nodes are depicted as circles, transitions are represented by arrows and transition labels are depicted by the arrow superscripts (e.g., Figures 1, 2, 3). The initial state of the LTS is depicted by an arrow with no start point and arriving at the given state (e.g., in Figure 1, State IDLE).

Let $\sigma_1, \sigma_2 \in \Sigma_S$ be two states and $\lambda \in \Lambda_S$ a label. $(\sigma_1, \lambda, \sigma_2) \in \Delta_S$ can be expressed as: “From state $\sigma_1$, given action $\lambda$, move to state $\sigma_2$” and can be written as $\sigma_1 \xrightarrow{\lambda} \sigma_2$.

The parallel composition between $S_{HPLS}$, $S_{LBTS}$, and $S_{Experiment}$ (further called the environment and depicted in Figure 4) has 36 states and 129 transitions. As can be observed, the resulting machine exhibits a significant amount of complexity and entails serious strain upon human readability.

**Definition 3.2.** An LTS $S = (\Sigma, \Lambda, \Delta, \sigma_0)$ is said to accept a sequence (trace) $w = w_1, w_2, \ldots$ over the set $\Lambda$, where $w_i \in \Lambda$ if there is a trace: $\sigma_0 w_1 w_2 w_3 \ldots$, with $\sigma_n \in \Sigma$, $\forall n \in \mathbb{N}$, such that $\sigma_i \xrightarrow{w_{i+1}} \sigma_{i+1}$ $\forall i \in \mathbb{N}$.

The set of all sequences accepted by a LTS $S$ is denoted $Gen(S)$. 

![Figure 2: The LBTS state diagram.](image)

![Figure 3: The Experiment state diagram.](image)
As LTS is the tool for describing system behavior, a different tool is required for expressing the constraints that must be attained for such a system. To this end, the Fluent Linear Temporal Logic is being employed.

In the following, the Fluent Linear Temporal Logic constructs are defined and explained.

**Definition 3.3.** A fluent over a LTS $S = (\Sigma, \Lambda, \Delta, \sigma_0)$ is tuple $\langle I, O, \text{Init} \rangle$, where $I \subset \Lambda$, $O \subset \Lambda$ and $\text{Init} \in \text{Bool}$.

Informally, a fluent represents an abstract state - or logical proposition - within the problem domain which is enabled whenever an action $\lambda \in I$ occurs and is disabled whenever an action $\lambda \in O$ occurs. Thus, a fluent describes a logical proposition in the context of a LTS given an input word accepted by the LTS. An intuitive wording for a fluent $f_l$ is “The system goes into $f_l$ when encountering an input from the set $I$ and exits $f_l$ when encountering an input from the set $O$.

In order to express constraints and desired outcomes for a given composition of systems, the FLTL formalism is employed, comprising a set of FLTL formulas.

A FLTL - fluent linear temporal logic - formula is derived from a LTL (Linear Temporal Logic) formula (Giannakopoulou and Magee, 2003) where basic formulas are in fact fluents. In LTL, formulas are either basic formulas (predicates) or compositions of other formulas (using logical operators or temporal operators).

**Definition 3.4.** A FLTL formula is given inductively:

$$
\phi \triangleq FL | \neg \phi | \phi \lor \psi | X \phi | \phi U \psi
$$

Where $\phi, \psi$ are LTL formulas, $F_l$ is a fluent from FLTL, $\neg$ is the logical not operator, $\lor$ is the logical or operator, $X$ is the next operator and $U$ is the until operator.

Additional operators are defined based on the aforementioned: $[\square \phi$ (always operator), $<> \phi$ (eventually operator), $\phi \land \psi$ (logical and operator) and $\phi \rightarrow \psi$ (implies $\psi$). Note that the always, eventually and implies operators will be frequently employed in solving the problem presented in the current paper.

An infinite-length word is said to always satisfy a FLTL formula if for any suffix of the word, it still satisfies the formula. An infinite-length word is said to eventually satisfy a FLTL formula if there is a suffix of the given word that satisfies the given formula. An infinite-length word is said to satisfy a FLTL $\phi \rightarrow \psi$ if $\phi$ is satisfied only given that $\psi$ is also fulfilled.

An infinite-length word is said to always eventually satisfy a FLTL formula if, for every suffix of the given word, the formula will eventually satisfy the formula. More intuitively, the formula will be satisfied infinitely many times.

For the purposes of the current paper, the informal definitions presented above are sufficient to acquire insights into the proposed solution. For further details, see (Joslin, 2013).

The problem of Safe Generalised Reactivity (SGR(1)) has been thoroughly described in (Joslin, 2013). It is beyond the scope of this paper to present the results of the aforementioned. Nevertheless, for a better understanding, the formal definition of the problem is provided, which will be explained briefly.
Definition 3.5. The SGR(1) LTS control problem is as follows: Given a tuple \( \varepsilon = (E, H, AC) \) where \( E \) is a deterministic environment described by an LTS, \( AC \) is the set of controllable actions in LTS and \( H = (0,1), (As, G) \), such that \( I \models [>] \rho \) (always \( \rho \), \( As = \land_{i=1}^{m} (<> \phi_i) \) and \( G = \land_{i=1}^{n} (<> \psi_i) \), where \( \rho, \phi_i, \psi_i \) are FLTL formulas, find a controller (LTS machine) \( M \) with the set of actions \( \subseteq Ac \) such that
\[
\forall \pi \in Gen(E||M), then \| \pi \models I
\]
and
\[
\forall \pi \in Gen(E||M), then \pi \models (As \rightarrow G)
\]
where \( \rho \) is called safety property, \( \phi_i \) are the assumptions regarding the system evolution, and \( \psi_i \) are the liveness properties of the system under consideration.

Thus, the SGR(1) LTS control problem is that of finding a controller, given a behaviour of the system and some goals. The second goal imposed in the above definition is called liveness goal. In free speech, it can be expressed as: knowing that the system will fulfill several properties infinitely many times - i.e. it will evolve -, then ensure that a set of properties are fulfilled infinitely many times when composed with the generated controller. In the current paper, due to the nature of the application proposed, the safety properties will mostly be taken into account. They can be read as: for whatever sequence of actions that may occur in \( E||M \) (the environment controlled by the generated controller), then the safety property will always hold.

The problem of controller synthesis has been solved in (Joslin, 2013). The description of internals of the algorithm that performs this specific task is out of the scope of the current paper. Nevertheless, a tool that offers the capabilities expressed above exists (D’Ippolito et al., 2008) and has been successfully used for a number of applications: controller synthesis for a robot arm (Braberman et al., 2013) or in automatic synthesis of behavior protocols for composable web-services (Bertolino et al., 2009); (Isley, 2017) presents more case studies.

The approach to solving the problem described within this paper was to utilize the notions of LTS and FLTL formulas and the MTSA tool to check and enforce several safety constraints in the depicted environment. The following section describes the approach to this end and several assumptions that aided in the understanding and modeling of the system at hand.

4 PRACTICAL EXAMPLE

The current framework presents a proof-of-concept of the operational procedures design for a complex research facility. Figure 5 presents the work-flow for automatically generating a procedure. First step is the modelling of each sub-system and its implementation as a FSP by exploiting the compositional property used to describe the LTSs described in (Magee and Kramer, 2006). Next step is to define the set of constraints that can be either local or between sub-systems.

With the help of MTSA tool, the existence of a controller given set of constraints can be checked. This step can have multiple iterations and may include further model modifications or refinements of the constraints.

![Figure 5: Automatic Procedure Generation.](image)

The set of allowed transitions after the parallel composition of the controller with the environment represents the procedure. The result automatically satisfies the imposed constraints and can be visually checked with the MTSA tool. Further, we present an example based on the models defined in Section 2. The environment can be already challenging for a human operator to find a controller that generates a feasible trace without violating the imposed constraints. The set of controllable transitions is \{expRdy, shoot, expNxt, alAir, alVac, expSet, expinSet, expMaint\} and represents the signals that can be enabled or disabled such that the feasible trace is accepted. The set of imposed constraints is:
- **P1** - the LBTS must be first aligned in air before starting the experiment alignment:

  fluent \( \text{AF\_alAir} = \langle \text{alAir, [alErr, expNxt]} \rangle \)

  fluent \( \text{AF\_expSet} = \langle \text{expSet, [expMaint, expNxt, alErr]} \rangle \)
assert EXPALAIR = [] (AF_expSet -> AF_alAir)
ltl_property P1 = EXPALAIR

- **P2** - only after the experimental set-up is aligned the alignment in vacuum is performed:

assert EXPALVAC = [] (AF_alVac -> AF_expSet)
ltl_property P2 = EXPALVAC

- **P3** - the entire system is declared ready for a new experiment only after vacuum alignment was successful:

fluent AF_expRdy = <expRdy, {expNxt}>
fluent AF_alVac = <alVac, {alErr, expNxt}>
assert EXPREADY = [] (AF_expRdy -> AF_alVac)
ltl_property P3 = EXPREADY

- **P4** - the access in the interaction chamber is allowed only after the vacuum was removed post tOff transition:

fluent AF_InVac = <alVac, tOff>
fluent AF_IcEnter = <expIcEnt, expSet>
initially 1
assert F_ENTERIC = [] (AF_InVac -> AF_IcEnter)
ltl_property P4 = F.ENTERIC

- **NotInError** - the ERR state is avoided:

fluent AF_AvoidError = <lerror, A{lerror}>
ltl_property NotInError = [](!AF_AvoidError) + (A)

By running the MTSA tool, we find a 16 states controller that allows the following feasible trace:

alAir, expSet, alVac, expRdy, expNxt, tOff, expIcEnt → ...(alAir)

representing the operational procedure for running an experiment in Experiment by using the HPLS and the LBTS. A literal translation of the procedure can be:

**Procedure 1. Running a generic experiment:**

**Precondition:** HPLS, LBTS and Experiment in IDLE state;
1. Align the LBTS in air (alAir transition);
2. If 1 then set-up the experiment in the IC (expSet transition);
3. If 2 then align the LBTS in vacuum (alVac transition);
4. If 3 then start the shooting (shoot transition);
5. If experiment stops then experiment is finished (expFin transition);
   1. If experiment resumes then re-start the shooting (go to 4);
   2. Else experiment is finished;

**Postcondition:** After an experiment, always prepare for the next one (expNext transition) as follows:

6. If 3 was successful then remove the vacuum (tOff transition);
7. Enable the access into the IC (expIcEnt transition);

Besides the current trace we can investigate other traces to check if further constraints can be imposed. Since the alErr transition is not controllable, it can happen at any time. It must be observed that there is no restriction regarding the number of shots (performed experiments) or the maintenance procedure (expMaint transition). Therefore, we added the following constraint:

- **MAINTENANCE** - after a number of shots (defined by Max) it is mandatory to perform the maintenance procedure:

const Max = 2 // maximum number of shoots
range Int = 0..Max
MAINTENANCE(N=0) = SHOOT[N],
SHOOT[v:Int] = (when{v<Max} shoot->SHOOT[v+1] | when{v==Max} {shoot,alVac}->ERROR | when{v>0} expMaint->SHOOT[0] | A{expMaint,shoot}->SHOOT[v]).

- **SHOOTSLIMIT** - multiple shoots cycles are not allowed:

SHOOT_ONCE = (shoot->expNxt->SHOOT_ONCE).

For the latter constraints together with the previous set, the MTSA tool produces a state machine with 67 states that represents the controller enforcing the following behaviour:

1. an experiment cannot contain multiple shooting sequences (shoot, shoot, ...,)
and,
2. there can be only Max experiments carried out in total and,
3. the Max + 1 time, the maintenance operation must be performed by including the expMaint transition in the execution sequence (alVac, expSet, expMaint, expSet...)

The new procedures can be described as:

**Procedure 2. Running a generic experiment:**

**Precondition:** HPLS, LBTS and Experiment in IDLE state;
1. Align the LBTS in air (alAir transition);
2. If 1 then set-up the experiment in the IC (expSet transition);
3. If 2 then align the LBTS in vacuum (alVac transition);
4. If 3 then start the shooting (shoot transition);
5. If experiment stops then experiment is finished (expFin transition);
Postcondition: After an experiment, always prepare for the next one (expNext transition) as follows:
6. If 3 was successful then remove the vacuum (tOff transition);
7. Enable the access into the IC (expICEnt transition);
Procedure 3. The maintenance operations (expPMaint transition) must be performed after 2 consecutive experiments at most.

Procedure 2 is identical to 1 with the exception that it can contain only one shoot, expFin sequence. The latter enforces maintenance operations after a predefined number of experiments.

5 CONCLUSIONS

The current work proposes a novel approach for deriving operational procedures for a complex facility where multiple sub-systems interact between each other. The constraints can be either local (at the sub-system level) or global (between different sub-systems). By using the MTSA software, we can automatically generate and simulate a procedure such that the effects of the constraints can be understood. A high workload represents the development of the models based on the defined requirements. Furthermore, the constraint definition may include multiple iterations based on their effects over the entire system (the parallel composition of all sub-systems).

Future extensions of the current work are mostly aimed at developing the models by including more details regarding their behaviour. However, by augmenting the models complexity, the constraints definition will remain the same but their number will be increased (based on the newly introduced states and transitions). The ultimate goal for all further developments is the complete automation of different steps (e.g., automatic alignment procedure, automatic misalignment detection and correction, etc.) and the implementation of the synthesised controller for the automation of the entire operational process.

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