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CONTENTS

Control-Flow Integrity for Real-Time Operating Systems: Open Issues and Challenges Vahid EFTEKHARI MOGHADAM, Marco MELONI, Paolo PRINETTO	1
Design and Verification of Novel Sync Cell Vazgen Melikyan, Artak Kirakosyan, Stepan Harutyunyan, Arsen Momjyan, Taron Kaplanyan, Vardan Amiryan	7
Simulation of Electromagnetic Emanation of Cryptographic ICs: Tools, Methods, Problems Omar Alejandro Sosa, Zoya Dyka, levgen Kabin and Peter Langendorfer	12
UVM Verification IP for AXI Vazgen Melikyan, Artak Kirakosyan, Stepan Harutyunyan, Taron Kaplanyan	17
Circular Adaptive Antenna Array Victor Djigan	21
Automatically-Designed Fault-Tolerant Systems: Failed Partitions Recovery Jakub Lojda, Richard Panek, Zdenek Kotasek	26
AFTAB: A RISC-V Implementation with Configurable Gateways for Security Maryam Rajabalipanah, Mahboobe Sadeghipour Roodsari, Zahra Jahanpeima, Gianluca Roascio, Paolo Prinetto, Zainalabedin Navabi	34
Polynomial Codes Properties Application in Concurrent Error-Detection Systems of Combinational Logic Devices Ruslan Abdullaev, Dmitry Efanov	40
CJFet "Folded" Cascode of the Op-Amp with "Floating" Differential Input Stage Optimization in LTspice Environment N. N. Prokopenko, V. E. Chumakov, I. V. Pakhomov, A. E. Titov	47
Quantum Digital-Analogue Computing Vladimir Hahanov, Ka Lok Man, Wajeb Gharibi, Svetlana Chumachenko, Mikhail Karavay, Eugenia Litvinova, Tariq Hama Salih, David Devadze, Ivan Hahanov	53
Specifics of Error Detection with Modular Sum Codes in Concurrent Error-Detection Circuits Based on Boolean Complement Method Dmitry Efanov, German Osadchy, Marina Zueva	59
Resilient Development of Models and Methods in Computing Space Oleksandr Drozd, Andrzej Rucinski, Kostiantyn Zashcholkin, Oleksandr Martynyuk, Julia Drozd	70

Application of Constant-Weight Code '1-out-of-4' while Synthesis of Self-Checking Combinational Devices Dmitry Efanov, German Osadchy	76
Standard Cell Library Enhancement For Mixed Multi-Height Cell Design Implementation Suren Abazyan	86
Hamming Distance Based Data Correction Combined With Low Power XOR Circuit Ruben Musayelyan	90
The Structures of the Fault-Tolerant Automation and Computing Devices Based on the Boolean Complement Valery Sapozhnikov, Vladimir Sapozhnikov, Dmitry Efanov	95
Standard Cell Library Enhancement Using Neural Network Based Sleep Mode Control Integration For Low Leakage Designs Suren Abazyan, Shavarsh Melikyan, Davit Musayelyan	105
Data Compression for Digital Device Diagnosing Dmitriy V. Speranskiy	109
On Digital Twin for Metro System Oleg Pokusaev, Alexander Chekmarev, Dmitry Namiot	114
Analysis of Pathologies on Endoscopic Images of the Stomach Using SSD and RetinaNet Neural Network Architecture Vladimir Khryashchev, Olga Stepanova, Anastasia Srednyakova	119
Power Supply Ramp-up And Ramp-down Detector For Dynamic Memory Refresh Using 16nm Technological Process Vazgen Gevorgyan, Nune Grigoryan, Shavarsh Melikyan, Davit Musayelyan	124
Automation of Scheduling for Drivers of the Subway Rolling Stock Agata V. Markevich, Valentina G. Sidorenko	129
Verifying Multiple Virtual Networks in Software Defined Networks Igor Burdonov, Nina Yevtushenko, Alexandr Kossachev	139
Self-Timed Storage Register Soft Error Tolerance Improvement Yury Stepchenkov, Yury Diachenko, Yury Rogdestvenski, Yury Shikunov, Denis Diachenko	145
Energy Analyze Tool for Renewable Energy Assited Data Centers Furkan Gökçül, Vladimir Hahanov, Gül Nihal Güğül, Burak Behlül Ölmez, Mustafa Kuru	151
Design Validation of Recurrent Signal Processor FPGA prototype Yury Stepchenkov, Dmitry Khilko, Yury Shikunov, Georgy Orlov	157
A Simple Model of MESH Routing Protocols Dmitriv Prozorov, Ekaterina Prokasheva	162

Improvement of the Daugman Method for Nonreference Assessment of Image Quality in Iris Biometric Technology Sh.Kh. Fazilov, O.R. Yusupov	166
The Weight-Based Sum Codes in the Residue Ring by Arbitrary Modulus for Synthesis of Self-Checking Digital Computing Systems Dmitrii V. Efanov, Artem V. Pashukov	170
Cyber Social FML-Computing I. Goal and Main Trends Vladimir Hahanov, Svetlana Chumachenko, Eugenia Litvinova, Irina Hahanova, Anna Hahanova, Olga Shevchenko	180
Current Mirrors on Complementary Field-Effect Transistors with a Control PN Junction for Low-Temperature and Radiation-Hardened Analog ICs Nikolay Prokopenko, Anna Bugakova, Darya Denisenko, Vladislav Chumakov, Nikolay Butyrlagin	185
Combined Use of Equivalent and Non-Equivalent Transformations of FPGA Program Code to Embedding Additional Security Data Olena Ivanova, Oleksandr Drozd, Kostiantyn Zashcholkin, Yulian Sulima	191
The Reliability Improvement Method of Modern Analog Integrated Circuits Petrosyan Gegham A.	196
The Hybrid Structure of a Self-Dual Built-In Control Circuit for Combinational Devices with Pre-Compression of Signals and Checking of Calculations by Two Diagnostic Parameters Dmitrii V. Efanov, Dmitrii V. Pivovarov	200
Cyber Social FML-Computing II. Relations & Metrics Vladimir Hahanov, Svetlana Chumachenko, Eugenia Litvinova, Hanna Khakhanova, Alexander Mishchenko, Daria Rakhlis	207
Optimizing Components of Finite State Machines Composition Based on Don't Care Input Sequences in Hardware Implementation Ekaterina Shirokova, Larisa Evtushenko, Andrey Laputenko	212
Using Architecture Simulation Tool for Memory Subsystem Evaluation in Multi-core Systems Chibisov Peter, Grevtsev Nikita, Kuleshov Aleksey, Zubkovsky Pavel	217
Model of Multiagent Cooperation for Behavioral Testing Oleksandr Martynyuk, Oleksandr Drozd, Hanna Stepova, Bui Van Thuong, Dmitry Martynyuk, Lyudmila Sugak	224
Application of Template Models for Current-Voltage Characteristics Approximation of Complementary MOSFETs	220

Cyber Social FML-Computing III. Architectures Vladimir Hahanov, Svetlana Chumachenko, Eugenia Litvinova, Hanna Khakhanova, Abdullayev Vugar Hacimahmud, Ivan Hahanov	233
Applying Incompletely Specified Boolean Functions for Patch Circuit Generation A. Matrosova, V. Provkin	238
Assessing Trustworthiness of IoT Applications Using Logic Circuits Andrey Laputenko	242
Recovery of Parallel Dataflow Computing System From Faults and Failures Dmitry Zmejev, Nikolay Levchenko	246
SAT Solvers Application of Deriving All Test Pairs Detecting Robust Testable PDFs A.Yu. Matrosova, V.V. Andreeva, V.Z. Tychinskiy	252
Comparative Analysis of the Time and Frequency Domain Sampling Theorems Gamlet S. Khanyan	256
CJFET Op-Amp without Current Mirrors for Low Temperature Applications Nikolay Prokopenko, Vladislav Chumakov, Anna Bugakova, Darya Denisenko	263
Generalized Structure of Active RC Filters with Independent Tuning of Pole Frequency, Pole Q-Factor and Transfer Ratio Darya Denisenko, Nikolay Prokopenko, Ilya Pakhomov, Yuriy Ivanov	268
An In-Pandemic View on the Global Trends in Microelectronic Design and Market Sergey Mosin, Maxim Kislyakov	273
Sensitivity Analysis of the Square Frequency Response of IIR Digital Filters in Equivalent Direct Form Vladislav Lesnikov, Tatiana Naumovich, Alexander Chastikov	277
Federated Machine Learning Architecture for Searching Malware Hahanov V.I., Saprykin A.S.	282
Malware Searching Methods at FML-Architecture Hahanov V.I., Saprykin A.S.	286
Assertion Based Design of Timed Finite State Machine Alexander Shkil, Georgiy Kulak, Anatolii Miroshnyk, Kyrylo Pshenychnyi	291
Smart Shell Structure Designed to Protect Industrial Robots from Aggressive Environments Mikhail F. Mitsik, Marina V. Byrdina, Igor M. Maltsev, Olga A. Aleynikova	295
Remotely Controlled Experiments on the Basis of Raspberry Pi and openHAB Zaza Davitadze, Gregory Kakhiani. Demid Pasieshvili	301
GSM-based Control and Data Collection System Sergei Kalabanov, Rinat Shagiev, Rashid Ishmuratov	305

Alamouti Scheme and Spatial Diversity MIMO Algorithms Anton P. Strelnikov, Alexey S. Volkov, Alexander A. Bakhtin, Aleksandr V. Gorelik, Valeriy A. Kobzev	310
Development of Fast Exponentiation Algorithm «To Center and Back» Ivan A. Smirnov, Denis A. Korochentsev, Larissa V. Cherckesova, Vladislav E. Chumakov, Olga A. Safaryan, Alexandr I. Gavlicky	316
Simulation and Generation of Navigation Signals with Normalized Distortions Mikhail A. Zenchenko, Anton M. Kaverin, Andrey V. Kleopin	320
Reception of QAM Signals with Pilots in Fast Fading Channels Using Partial GLRT Alexander B. Sergienko	324
Capacity Analysis of the Bordered Semicorrelated Multiuser Massive MIMO System with Complex Nakagami-m Fading Channel Coefficients Aleksey S. Gvozdarev, Yury A. Bryukhanov, Aleksandra Alischyuk, Marina Kazakova	330
Adaptive Homing Sequences for Partial Weakly-initialized Observable FSMs Evgenii Vinarskii, Aleksandr Tvardovskii, Nina Yevtushenko	335
Astatic Gyrocompass Based on a Hybrid Micromechanical Gyroscope Vladimir Bogolyubov, Lyalya Bakhtieva	340
Agricultural Fields Segmentation on Satellite Images Using Convolutional Neural Networks Roman Larionov, Andrey Priorov, Nikita Kotov, Alexander Semenov	345
Implementation and Comparative Analysis of Symmetric Encryption Model Based on Substitution Cipher Techniques Elza Jintcharadze, Tsitsino Sarajishvili, Anna Surmanidze, Davit Khojava	349
New Metric for Evaluating the Effectiveness of Redundancy in Fault-Tolerant Logic Circuits Dmitry VI. Telpukhov, Tatiana D. ZHukova	355
FSM-based Sequential Circuits Optimization by Changing Initial State of Specification Maxim Gromov, Natalia Shabaldina, Svetlana Prokopenko, Aleksandr Tvardovskii	361
The Digital Fractal Model of the Earth Based on Space Measurements Data Alexey Andreev, Yury Nefedyev, Regina Mubarakshina, Zoya Andreeva, Natalya Demina	367
The Use of Deterministic Mathematical Modeling for the Prediction of Dynamic Geophysical Processes Yury Nefedyev, Alexey Andreev, Regina Mubarakshina, Natalya Demina, Zoya Andreeva	372
Overview of the Electronics Redesign of the multi-Needle Langmuir Probe System	377

Novel Design and Simulation of HERIC Transformerless PV Inverter in MATLAB/Simu Shuaibu Musa Adam, Vladimir Hahanov, Svetlana Chumachenko,	
Eugenia Litvinova, Ka Lok Man	382
About the method of Protecting Information in Financial Portals based on Neural Networks	
Zurab Meskhidze, Mikheil Donadze	386
Differential Gas Flow Measurement Device with Software Temperature Compensation Zh.A. Sukhinets, O.O. Valiamova, A.I. Gulin	390
Automated Complex for the Study of Digital Model of Titan Alexey Andreev, Yury Nefedyev, Carlos De La Morena, Ekaterina Ahmedshina, Natalya Demina	395
AUTHORS INDEX	400
	+00

Adaptive Homing Sequences for Partial Weakly-initialized Observable FSMs

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Abstract — Finite State Machine (FSM) based state identification problem is widely used for analysis of discrete event systems. A homing sequence (HS) allows to determine the current state of an FSM under investigation. An HS is known to always exist and has polynomial length with respect to the number of states for a non-initialized reduced complete deterministic FSM where for each input sequence there is exactly one output sequence and any state can be an initial state. The HS problem becomes more complex if partial, nondeterministic or weakly-initialized machines are considered; for such FSMs an HS not always exists and can be much longer when existing. In particular, it has been proven that for a complete weakly-initialized non-deterministic FSM, length of a shortest adaptive HS (AHS) can be exponential with respect to the number of FSM states but HS length was not evaluated. In this paper, we consider the HS problem for partial observable possibly non-deterministic FSMs. In particular, we suggest a criterion for the existence of an AHS for a partial observable FSM and estimate the length of a shortest AHS.

Keywords — Weakly-initialized Finite State Machine (FSM), Partial FSM, adaptive homing sequence

I. INTRODUCTION

Finite State Machine (FSM) based test derivation methods [1-3] are actively applied in analysis of software and hardware components of digital systems. Such test suites have guaranteed fault coverage but often have exponential length with respect to the size / number of states of a system under test. Length of a test suite can be reduced using state identification sequences of the specification FSM [4] while preserving fault coverage. Such identification sequences as distinguishing (DS), homing (HS) and synchronizing (SS) sequences allow to determine an initial (DS) or a current state (HS and SS) of a system under test. In particular an HS takes the system of interest into the known state which can be determined based on observing responses to a homing sequence. If an FSM is non-initialized reduced complete and deterministic then length of a shortest preset HS is polynomial with respect to the number of states of the machine [5]. However, for partial or non-deterministic FSMs an HS may not exist or can have exponential length with respect to the number of states [6]. In this case, an adaptive HS (AHS) can be considered, i.e., an HS where the next input of the sequence depends on the previous outputs. For nondeterministic machines adaptive homing sequences exist more often and are usually shorter than the preset. Criteria of the AHS existence for different kinds of complete FSMs have been established and there exist methods for AHS derivation

Due to the fact that the system specification can be incomplete or inconsistent, the behavior of a corresponding FSM can be only partially specified at some states, i.e., an FSM under investigation can be partial. Therefore, it is

important to study the HS problem for partial FSMs. It has been proven that this problem is PSPACE-hard even for deterministic FSMs [7]. However, the precise lower bound on length of a shortest AHS for partial FSMs is not established yet. Some lower bounds on length of shortest synchronizing sequences for partial machines are established in [8] but these bounds are not precise.

In this paper, we suggest a criterion for the AHS existence for partial observable weakly-initialized FSMs and estimate length of a shortest AHS for partial observable weakly-initialized FSMs. Given a partial FSM, a proposed criterion allows to construct an HS using the known methods for complete FSMs. We also prove that length of a shortest AHS for a partial observable weakly-initialized FSM with n states can reach $C_n^{\lfloor \frac{n}{2} \rfloor}$ and show that this lower bound is not precise and should be increased.

The rest of the paper is structured as follows. Definitions and notations are presented in Section II. Section III presents the criterion of the AHS existence for a partial observable weakly-initialized possibly non-deterministic FSM. In Section IV, we determine a class of partial observable weakly-initialized FSMs such that length of a shortest AHS for an FSM with n states reaches $C_n^{\lfloor \frac{n}{2} \rfloor}$, and Section V concludes the paper.

II. PRELIMINARIES

Definitions and notations of this section are mainly taken from [9, 10, 11].

A. Finite State Machines

The main notion of this paper is a Finite state machine (FSM), that is a tuple $\mathcal{M} = (S, I, O, h_M, S_{in})$ where S is a finite non-empty set of states with the set S_{in} of initial states, I (O) is input (output) alphabet and $h_M \subseteq S \times I \times O \times S$ is a transition relation. We say that \mathcal{M} is non-initialized if $S_{in} = S$; if $|S_{in}| = 1$ then the FSM is an initialized machine, otherwise \mathcal{M} is weakly-initialized FSM. We say that \mathcal{M} is non-deterministic if for some pair $(s, i) \in S \times I$, there exist at least two pairs $(o, s') \in O \times S$ such that $(s, i, o, s') \in h_M$; otherwise, the FSM is deterministic. FSM \mathcal{M} is complete if the transition relation is defined for each pair $(s, i) \in S \times I$; otherwise, the FSM is partial. If for every two transitions (s, i, o, s_1) , $(s, i, o, s_2) \in h_M$ it holds that $s_1 = s_2$ then FSM \mathcal{M} is observable. In the following, we consider partial observable possibly non-deterministic FSMs if the contrary is not directly stated.

In Fig.1, FSM \mathcal{M}_5 has three initial states, $S_{in} = \{3, 4, 5\}$. FSM \mathcal{M}_5 has the set of states $S = \{1, 2, 3, 4, 5\}$, the input set $I = \{x_1, x_2, x_3, x_4, x_5, x_6, x_7, x_8, x_9, x_{10}\}$, the output set $O = \{0, 1\}$. Given state 3 and input x_1 , if x_1 is applied to the FSM \mathcal{M}_5 then machine performs transition $(3, x_1, 0, 4)$, i.e., produces

output 0 and moves to state 4. Due to the fact that there are two transitions at state 3 with input x_{10} , namely, $(3, x_{10}, 0, 1)$ and $(3, x_{10}, 1, 1)$, FSM \mathcal{M}_5 is non-deterministic. The machine is partial, since, for example, at state 1 of the FSM, transitions are not defined for inputs x_7, x_8, x_9, x_{10} .

FSMs are used for transforming sequences of input actions into those of output actions. The behavior of an observable FSM $\mathcal{M} = (S, I, O, h_{\mathsf{M}}, S_{in})$ over a sequence of actions of the set I is defined using the notion of a trace. Formally, given state s_1 , an input word $\alpha = i_1 i_2 \dots i_n$ and an output word $\gamma = o_1 o_2 \dots o_n$, a trace α/γ at state s_1 is the sequence of input/output pairs $\alpha/\gamma = i_1/o_1 \dots i_n/o_n$ if for each $j \in \{1, \dots, n\}$ there exists a transition $(s_j, i_j, o_j, s_{j+1}) \in h_{\mathsf{M}}$ of FSM \mathcal{M} .

The α/γ -successor of state s is a state where FSM moves after applying α and observing γ (written: $succ_{\alpha/\gamma}(s)$). If trace α/γ is not defined at state s then we say that $succ_{\alpha/\gamma}(s)$ is empty or does not exist.

Given a non-empty subset of states $Q \subseteq S$, the notion of the successor is inductively defined. For the input/output pair i/o, if a transition under input i is defined at every state of the subset Q, then the $succ_{i/o}(Q)$ is the set of i/o-successors over all states of Q that can be the empty set and in the latter case, we also say that i/o successor of Q does not exist. The i/o-successor of Q is empty or does not exist if a transition under input i is not defined at some state of Q. Consider trace $\alpha/\gamma(i/o)$. If $succ_{\alpha/\gamma}(Q)$ does not exist then $succ_{\alpha/\gamma(i/o)}(Q)$ does not exist too. If $succ_{\alpha/\gamma}(Q)$ exists then $succ_{\alpha/\gamma(i/o)}(Q)$ exists if and only if a transition under input i is defined at each state of the set $succ_{\alpha/\gamma}(Q)$ and the set of i/o-successors over all states of $succ_{\alpha/\gamma}(Q)$ is not empty. By definition, if i is undefined at some state of $succ_{\alpha/\gamma}(Q)$ then $succ_{\alpha/\gamma(i/o)}(Q)$ does not exist.

For example, consider FSM \mathcal{M}_5 in Fig.1. If $\alpha/\gamma = x_1/0 x_2/0$ then α/γ -successor of the set $\{1, 2, 3\}$ is the set $\{1, 2, 5\}$, i.e. $\{1, 2, 5\} = succ_{\alpha/\gamma}(\{1, 2, 3\})$. However, for $\alpha/\gamma = x_1/0 x_1/0$, the α/γ -successor of the pair $\{1, 4\}$ is empty, since input x_1 is not defined at state 4.

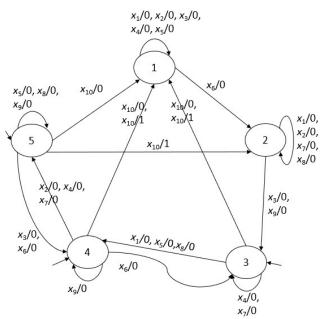


Fig. 1. FSM \mathcal{M}_5 .

B. Adaptive Homing Sequence

Let α be an input sequence then we say that α is *adaptive* if the next input depends on the output responses to the previous inputs. For the representation of an adaptive sequence, a so-called test case is usually utilized. An observable FSM is single-input if at most one input is defined at every state. A state is a deadlock state if there are no defined inputs at this state. The FSM is output-complete if at each state, for every defined input, a transition is defined with every output. Given a possibly partial and non-deterministic FSM $\mathcal{M} = (S, I, O, h_M, S_{in})$, an initialized connected singleinput output-complete observable FSM $P = (P, I, O, h_P, p_0)$ with an acyclic transition graph is a test case for \mathcal{M} if for each trace $\alpha/\gamma(i/o)$ of FSM **P** at the initial state, it holds that if the $succ_{\alpha/\gamma}(S_{in})$ of \mathcal{M} is not empty, then the input i is a defined input at each state of the $succ_{\alpha/\gamma}(S_{in})$ in \mathcal{M} . In other words, given FSM \mathcal{M} and its test case \mathbf{P} , for each trace α/γ which takes the test case P from the initial state to state with a defined input i and takes the \mathcal{M} from S_{in} to a non-empty subset of states, input i is defined at each state of the set $succ_{\alpha/\gamma}(S_{in})$. Thus, represented by the above test case, an input of an adaptive input sequence is never applied at a state of \mathcal{M} where this input is undefined. Note that when \mathcal{M} is complete, the above condition always holds. We note that for partial FSMs the above condition is softer than the condition for the existence of a preset input sequence α with appropriate features, since in this case, α has to be a defined input sequence at every initial state. For an adaptive sequence, this is not required, as different inputs can be defined at the successors with different outputs. Correspondingly, we can expect that for partial FSMs, adaptive sequences with appropriate features exist more often than the preset.

A test case P with the above features defines an adaptive sequence [9] for \mathcal{M} . We define the *length* of a test case (adaptive sequence) as the length of a longest trace of P from the initial state to a deadlock state.

A test case P for an FSM \mathcal{M} is a homing test case (HTC) for \mathcal{M} , if for each trace α/γ of P from the initial state to a deadlock state, the α/γ -successor of S_{in} does not exist or is a singleton. An HTC represents an adaptive homing sequence (AHS). If all the singletons reached in FSM \mathcal{M} at deadlock states of the homing test case P are contained in a proper subset S' of S, then an AHS is S'-AHS.

As an example, consider an HTC in Fig. 2 for FSM \mathcal{M}_5 shown in Fig. 1 where $\{3, 4, 5\}$ is the set of initial states. At the first step, the x_{10} is applied to FSM \mathcal{M}_5 in states 3, 4 or 5. If \mathcal{M}_5 responds by the output 0, then due to the fact that $(3, x_{10}, 0, 1)$, $(4, x_{10}, 0, 1)$, $(5, x_{10}, 0, 1) \in h_{\text{M}}$, HTC moves to state 1 and we can conclude that S_{in} is set into state 1. At the same time, if \mathcal{M}_5 responds by 1 then HTC moves to state 1 or 2 depending on the initial state due to the fact that $(3, x_{10}, 1, 1)$, $(4, x_{10}, 1, 1)$, $(5, x_{10}, 1, 2) \in h_{\text{M}}$. Height of the HTC is seven. Due to the fact that all paths lead to a deadlock state $\{1\}$, the AHS shown in Fig. 2 is a $\{1\}$ -AHS.

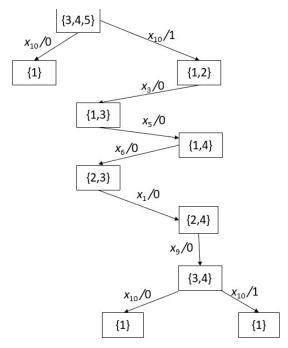


Fig. 2. A Homing Test Case (HTC) for \mathcal{M}_5 where $S_{in} = \{3, 4, 5\}$.

III. CHECKING THE EXISTENCE AND DERIVATION OF AN ADAPTIVE HOMING SEQUENCE

When deriving a distinguishing sequence for a partial machine, the researchers sometimes add a DON'T CARE state and all undefined transitions are directed to this state [12]. In this section, we use the same trick for deriving an AHS for a partial observable possibly non-deterministic FSM. We add to the set of states S an additional state $N \notin S$ and for each undefined transition at state s under input s, we add transitions to state s under s with all outputs. Such an augmented FSM is denoted as \mathfrak{M}^{N} . By definition, if \mathfrak{M} is observable then \mathfrak{M}^{N} is a complete observable FSM. Formally, given $\mathfrak{M} = (S, I, O, h_{M}, S_{in})$, FSM $\mathfrak{M}^{N} = (S \cup \{N\}, I, O, h_{M} \cup h_{M}^{N}, S_{in})$ where h_{M}^{N} contains each transition $(s, i, o, N), s \in S, i \in I, o \in O$, where input s is not defined at state s, or s = N.

Given a partial observable possibly non-deterministic FSM $\mathcal{M} = (S, I, O, h_{\text{M}}, S_{in})$, the condition for the existence of AHS for FSM \mathcal{M} is stated in the following theorem.

Theorem 1. Given a partial observable possibly non-deterministic FSM \mathcal{M} , a test case TC is an HTC for \mathcal{M} if and only if the TC is an S'-HTC for \mathcal{M}^N for some $S' \subseteq S$.

 \Rightarrow If \mathcal{M}^N has an S'-HTC P then none of the traces of P passes the state N since \mathcal{M} at this state has only transitions to N with all input/output pairs i/o and $N \notin S'$. Consider a trace $\alpha/\gamma(i/o)$ of FSM P at the initial state, such that $succ_{\alpha\gamma}(S_{in})$ of \mathcal{M} is not empty. Then the input i is a defined input at each state of the α/γ -successor of the set S_{in} of states of \mathcal{M} , since otherwise, state N will be reached in \mathcal{M}^N by some trace of the test case P.

 \Leftarrow Let now FSM \mathcal{M} have an HTC \mathbf{P} . Consider again a trace $\alpha/\gamma(i/o)$ of FSM \mathbf{P} at the initial state, such that $succ_{\alpha/\gamma}(S_{in})$ of \mathcal{M} is not empty. By definition of a test case, the input i is a defined input at each state of $succ_{\alpha/\gamma}(S_{in})$.

Since **P** is HTC and $N \notin S$, if $succ_{\alpha\gamma}(S_{in})$ of \mathcal{M} is empty (or a singleton) then $succ_{\alpha\gamma}(S_{in})$ of \mathcal{M}^N is empty (or a singleton) too. Therefore, for each trace of **P** from the initial

to a deadlock state, $succ_{\alpha\gamma}(S_{in})$ of \mathcal{M}^N is empty or is a singleton of the set S.

According to the above theorem, all the methods for deriving an S'-AHS for complete FSMs can be used for deriving adaptive homing sequences for partial FSMs. If a partial FSM is non-initialized then it can be an iterative method that starts with a pair of initial states and then adds states one by one [6]. If the partial machine is weakly-initialized then a method based on a homing FSM [10] can be applied.

We briefly illustrate the latter method for an FSM \mathcal{M}_5 shown in Fig. 1. At the first step, we augment the machine with transitions to state N for each undefined transition and obtain the FSM \mathcal{M}_5^N a fragment of which is shown in Fig. 3. For example, in FSM \mathcal{M}_5^N , at state 5 input x_1 is not defined; thus, transitions $(5, x_1, 0, N)$, $(5, x_1, 1, N)$ are added to FSM \mathcal{M}_5^N . Then, a so-called Homing FSM is derived [10] where after iterative deleting states with undefined inputs a S'-HTC can be obtained for \mathcal{M}_5^N which is an AHS for \mathcal{M}_5 shown in Fig. 2.

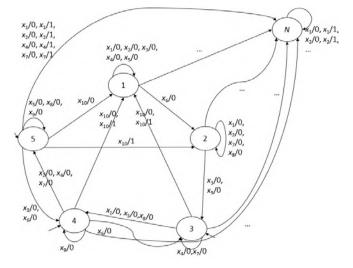


Fig. 3. A fragment of FSM \mathcal{M}_5^N .

IV. EVALUATING LENGTH OF A SHORTEST ADAPTIVE HOMING SEQUENCE FOR PARTIAL OBSERVABLE FSM

In this section, we estimate length of a shortest adaptive homing sequence for weakly-initialized observable FSMs. Formally, suppose that $\mathcal{M}(n)$ is a set of all weakly-initialized observable FSMs with n states; and $\mathcal{M}_{AHS}(n)$ is a maximal subset of FSMs of $\mathcal{M}(n)$ which have an adaptive homing sequence. We denote by $\psi(M)$ length of a shortest AHS for FSM $M \in \mathcal{M}_{AHS}(n)$; and $\psi(n) = \max_{M \in \mathcal{M}_{AHS}(n)} (\psi(M))$ is maximal length of a shortest AHS for weakly-initialized observable FSMs with n states which have an AHS (the Shannon function). In [8], the lower bound of $\psi(n)$ is evaluated for a preset synchronizing sequence (SS) that is defined at each state of a partial automaton and takes the automaton from any initial state to one and the same state. However, the authors are not aware on any results on the lower bound of $\psi(n)$ for adaptive homing sequences for weakly-initialized partial FSMs. In order to evaluate the lower bound of $\psi(n)$ for adaptive homing sequences, we introduce a special class of partial weakly-initialized deterministic FSMs (called C_n^m -stepped FSMs) with n states and C_n^m inputs, 1 < m < n, such that each FSM has an AHS and length of a shortest AHS

is not less than C_n^m . As a corollary, we can conclude that for n > 3, $\psi(n) \ge C_n^{\frac{n}{2}}$.

Given a set $S = \{1, 2, \dots, n\}, n > 1$, consider the chain of all subsets of m items of S, m < n, written Comb(n, m), and assume that the subsets of the chain are represented in the lexicographic order $\{1, 2, \dots, m\}, \{1, 2, \dots, m+1\}, \dots, \{n-m+1, \dots, n\}$, i.e., the linear order is specified over the set of all subsets of m items of S: $\{1, 2, \dots, m\} < \{1, 2, \dots, m+1\} < \dots < \{n-m+1, \dots, n\}$ where $\{n-m+1, \dots, n\}$ is a final or terminal subset of the chain Comb(n, m). Given a non-final subset $\{j_1, j_2, \dots, j_m\}$ such that $\{j_1, j_2, \dots, j_m\} < \{j'_1, j'_2, \dots, j'_m\}$ such that $\{j_1, j_2, \dots, j_m\} < \{j''_1, j''_2, \dots, j''_m\}$ such that $\{j_1, j_2, \dots, j_m\} < \{j''_1, j''_2, \dots, j''_m\}$ we say that $\{j'_1, j'_2, \dots, j'_m\} = next(\{j_1, j_2, \dots, j_m\})$. For example, $Comb(4, 2) = \{1, 2\} < \{1, 3\} < \{1, 4\} < \{2, 3\} < \{2, 4\} < \{3, 4\}$ where $\{2, 4\} = next(\{2, 3\})$ and $\{3, 4\}$ is the terminal (or final) subset of the chain. If n is even then $\left\lfloor \frac{n}{2} \right\rfloor = n/2$ while if n is odd, $\left\lfloor \frac{n}{2} \right\rfloor = (n+1)/2$.

Consider integers n > 3, 1 < m < n, and construct an FSM $\mathcal{M}_{Comb(n,m)} = (S, I, O, \rho_M, S_{in})$ such that

- the set of states $S = \{1, 2, ..., n\}$;
- the set of inputs $I = \left\{i_1, \ldots, i_{C_n^{\lfloor n \rfloor}}\right\}$
- the set of outputs $O = \{0, 1\}$;
- the set of initial states $S_{in} = \{1, 2, ..., m\}$;
- The transition relation ρ_{M} is defined in a following way; each input $i_{(j_1,j_2,...,j_m)} \in I$ is defined only in states $j_1, j_2, ..., j_m$
 - If $\{j_1, j_2, ..., j_m\}$ is not a terminal subset of Comb(n, m) and $\{j'_1, j'_2, ..., j'_m\} = next(\{j_1, j_2, ..., j_m\})$, then transitions from the subset $\{j_1, j_2, ..., j_m\}$ are specified in such a way that under this input, FSM $\mathcal{M}_{Comb(n, m)}$ is taken from the subset $\{j_1, j_2, ..., j_m\}$ of states to the subset next($\{j_1, j_2, ..., j_m\}$) with the output 0;
 - For a terminal subset $\{n-m+1, ..., n\}$ of the chain Comb(n, m), ρ_M has transitions $(j, i_{C_n}^m, 1, 1)$, where j = n-m+1, ..., n.

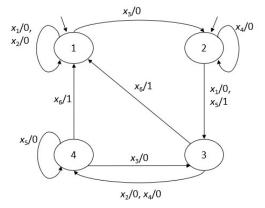


Fig. 4. C_4^2 - stepped FSM.

An example of an C_n^m —stepped FSM described above for n = 4 and m = 2 is shown in Fig. 4. By definition, the FSM is a partial deterministic FSM and has an $HS = x_1, ..., x_{C_n^m}$. By direct inspection, one can assure that for an FSM in Fig. 4 every homing sequence is a continuation of an $HS = x_1x_2x_3x_4x_5x_6$ and thus, the same holds for an adaptive HS for which a corresponding HTC is shown in Fig. 5. C_n^m —stepped FSMs give a hint to the following statement about the lower bound of a shortest AHS.

Theorem 2. For every n > 3 and 1 < m < n, there exists a weakly-initialized partial observable FSM with n states such that length of a shortest AHS is equal to C_n^m .

Sketch of proof. Given n > 3 and m < n, consider C_n^m —stepped FSM \mathcal{M} . In this FSM only the last input can home the terminal subset of the chain. Therefore, every preset homing sequence is the continuation of the sequence which leads to the terminal subset of states. According to the structure of C_n^m —stepped FSM, only single sequence $HS = i_1, \ldots, i_{C_n^{n-1}}$ leads from the initial subset of states to the terminal subset of the chain and length of this sequence is C_n^m . As at each subset only one input is specified, the same estimate holds for an adaptive homing sequence and this fact

Corollary 1. Given an FSM $\mathcal{M}_{Comb(n, m)}$, $\mathcal{M}_{Comb(n, m)}$ has an AHS and length of a shortest AHS is equal to C_n^m .

Corollary 2. For
$$n > 3$$
, $\psi(n) \ge C_n^{\lfloor \frac{n}{2} \rfloor}$.

proves the theorem statement.

Indeed, the machine $\mathcal{M}_{Comb(n,\, \lfloor \frac{n}{2} \rfloor)}$ can be derived, and according to Corollary 1, $\mathcal{M}_{Comb(n,\, \lfloor \frac{n}{2} \rfloor)}$ has an AHS and length of a shortest AHS is equal to $C_n^{\lfloor \frac{n}{2} \rfloor}$.

As an example, in Fig. 3, a homing test case for an FMS \mathcal{M}_4 with n=4 states is shown, the height of the test case is equal to $C_n^{\left|\frac{n}{2}\right|}=6$.

In fact, length estimation for the chain Comb is known [13]:

$$C_n^{\frac{n}{2}} \sim 4^{\frac{n}{2}} / \left(\pi \left(\frac{n}{2}\right)\right)^{1/2} = \left(1/((\pi/2)^{1/2})\right) 2^n$$
 and this is in $\left(\frac{\pi}{2}\right)^{1/2} \approx 1.25 * n^{1/2}$ times less than $2^n - 1$.

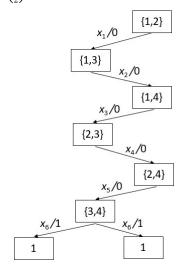


Fig. 5. HTC for C_4^2 - stepped FSM.

The above statements give a lower bound of a shortest adaptive homing sequence for weakly-initialized observable partial FSMs. However, the lower bound is not precise. In particular, consider FSM \mathcal{M}_5 with n=5 states with the set $\{1, 2, 3\}$ of initial states shown in Fig. 2. Due to the fact that there exists only one input which is defined in three states, each homing test case for \mathcal{M}_5^{nd} contains a trace γ shown in Fig. 3. Trace γ leads from $\{1, 2, 3\}$ to $\{3, 4, 5\}$ and the length of γ is $C_5^3 = 10$. Now to home the subset $\{3, 4, 5\}$, it is needed to apply an AHS with length seven. Then length of a shortest AHS becomes $10 + 7 > C_5^3$. The latter illustrates that $C_n^{\lfloor \frac{n}{2} \rfloor}$ is not the precise lower bound for $\psi(n)$.

V. CONCLUSION

In this paper, we have established a criterion for the AHS existence for partial weakly-initialized observable possibly non-deterministic FSMs. The criterion is based on the special augmentation of the original partial FSM, and using methods for deriving an AHS for complete FSMs. Then we have introduced a class of FSMs with n states, n > 3, for which length of a shortest adaptive homing sequence is not less than $C_n^{\lfloor \frac{n}{2} \rfloor}$. Moreover, we have shown that $C_n^{\lfloor \frac{n}{2} \rfloor}$ is not a precise lower bound for partial observable weakly-initialized FSMs, i.e., this estimate has to be improved.

VI. ACKNOWLEDGMENT

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