onality • Robustness • Load and Scalability • Interoperability • Regression • Stres • Performance • Functionality • Robustness • Load and Scalability • Interoperability on • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load and Scalability • Robustness • Reliability • Robustness • Load and Scalability • Robustness • Rob

SOFTWARE TESTING AND QUALITY ASSURANCE

THEORY AND PRACTICE

Kshirasagar Naik Priyadarshi Tripathy

rmance ss • Reli · Regr lity • In iess • L Functic ability • ression teroper id and S hality • Perfon Stress perabili and Sci Robu rmance ess • Re bility • nd Scale Robu

oad and Scalability • Interoperability • Regression • Stress • Reliability • Performance onality • Robustness • Load and Scalability • Interoperability • Regression • Stress • Reli erformance • Functionality • Robustness • Load and Scalability • Interoperability • Regr tress • Reliability • Performance • Functionality • Robustness • Load and Scalability • In pility • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load calability • Interoperability • Regression • Stress • Reliability • Interoperability • Regression • Stress • Reliability • Performance • Functionality • Performance • Functionality • Robustness • Load and Scalability • In pility • Regression • Stress • Reliability • Performance • Functionality • Robustness • Load calability • Interoperability • Regression • Stress • Reliability • Performance • Functionality • Performance • Functionality • Regression • Stress • Reliability • Performance • Functionality • Regression • Stress • Reliability • Performance • Functionality • Regression • Stress • Reliability • Performance • Functionality • Performance • F



m

a

onality

rform

tress bility

calabi

lobustn 1ance •

Reliabi

tegressi <u>y</u> • Inte

ess • L

unctior bility •

ression

Interop oad and

onality

Perfori

on • St

iterope

SOFTWARE TESTING AND QUALITY ASSURANCE Theory and Practice

KSHIRASAGAR NAIK

Department of Electrical and Computer Engineering University of Waterloo, Waterloo

PRIYADARSHI TRIPATHY

NEC Laboratories America, Inc.

TRUERS SALVESS AS ASHER AR AD TRUNG TAX INCHES IN THE WIN 02-07 00 159



A JOHN WILEY & SONS, INC., PUBLICATION

CONTENTS

2.3

Theory of Weyuker and Ostrand 37

Prefac	ce	xvii
Listo	f Figures	xxi
Lisioj		
List o	f Tables	xxvii
CHAP	TER 1 BASIC CONCEPTS AND PRELIMINARIES	1
1.1	Quality Revolution 1	1 3.2
1.2	Software Quality 5	
1.3	Role of Testing 7	
1.4	Verification and Validation 7	
1.5	Failure, Error, Fault, and Defect 9	
1.6	Notion of Software Reliability 10	
1.7	Objectives of Testing 10	
1.8	What Is a Test Case? 11	
1.9	Expected Outcome 12	
1.10	Concept of Complete Testing 13	
1.11	Central Issue in Testing 13	
1.12	Testing Activities 14	
1.13	Test Levels 16	
1.14	Sources of Information for Test Case Selection 18	
1.15	White-Box and Black-Box Testing 20	
1.16	Test Planning and Design 21	
1.17	Monitoring and Measuring Test Execution 22	
1.18	Test Tools and Automation 24	
1.19	Test Team Organization and Management 26	
1.20	Outline of Book 27	
	References 28	
	Exercises 30	
	THEORY OF PROCRAM TECTING	
CHAP		the second s
2.1	Basic Concepts in Testing Theory 31	
2.2	Theory of Goodenough and Gerhart 32	
	2.2.1 Eundemental Concepts 22	
	2.2.1 Fundamental Concepts 32 2.2.2 Theory of Testing 34	
	2.2.3 Program Errors 34	
	2.2.4 Conditions for Reliability 36	
	2.2.5 Drawbacks of Theory 37	

vii

viii CONTENTS

2.4	Theory of Gourlay 39
	2.4.1 Few Definitions 40
	2.4.2 Power of Test Methods 42
2.5	Adequacy of Testing 42
2.6	Limitations of Testing 45

2.7 Summary 46 Literature Review 47 References 48 Exercises 49

CHAPTER 3 UNIT TESTING

- 3.1 Concept of Unit Testing 51
- 3.2 Static Unit Testing 53
- 3.3 Defect Prevention 60
- 3.4 Dynamic Unit Testing 62
- 3.5 Mutation Testing 65
- 3.6 Debugging 68
- 3.7 Unit Testing in eXtreme Programming 71
- 3.8 JUnit: Framework for Unit Testing 73
- 3.9 Tools for Unit Testing 76
- 3.10 Summary 81 Literature Review 82 References 84 Exercises 86

CHAPTER 4 CONTROL FLOW TESTING

- 4.1 Basic Idea 88
- 4.2 Outline of Control Flow Testing 89
- 4.3 Control Flow Graph 90
- 4.4 Paths in a Control Flow Graph 93
- 4.5 Path Selection Criteria 94
 - 4.5.1 All-Path Coverage Criterion 96
 - 4.5.2 Statement Coverage Criterion 97
 - 4.5.3 Branch Coverage Criterion 98
 - 4.5.4 Predicate Coverage Criterion 100
- 4.6 Generating Test Input 101
- 4.7 Examples of Test Data Selection 106
- 4.8 Containing Infeasible Paths 107
- 4.9 Summary 108 Literature Review 109 References 110 Exercises 111

CHAPTER 5 DATA FLOW TESTING

- 5.1 General Idea 112
- 5.2 Data Flow Anomaly 113
- 5.3 Overview of Dynamic Data Flow Testing 115
- 5.4 Data Flow Graph 116

112

51

135

158

192

- Data Flow Terms 119 5.5
- Data Flow Testing Criteria 121 5.6
- Comparison of Data Flow Test Selection Criteria 124 5.7
- Feasible Paths and Test Selection Criteria 125 5.8
- Comparison of Testing Techniques 126 5.9

Summary 128 5.10 Literature Review 129 References 131 Exercises 132

DOMAIN TESTING **CHAPTER 6**

6.1	Domain Error 135
6.2	Testing for Domain Errors 137
6.3	Sources of Domains 138
6.4	Types of Domain Errors 141
6.5	ON and OFF Points 144
6.6	Test Selection Criterion 146
6.7	Summary 154
	Literature Review 155
	References 156
	Exercises 156
CHAP	
7.1	Concept of Integration Testing 158
7.2	Different Types of Interfaces and Interface Errors 159
7.3	Granularity of System Integration Testing 163
7.4	System Integration Techniques 164
	7.4.1 Incremental 164
	7.4.2 Top Down 167
	7.4.3 Bottom Up 171
	7 1 1 Sandwich and Big Bang 173
7.5	Software and Hardware Integration 174
1.5	7.5.1 Hardware Design Verification Tests 174
	7.5.2 Hardware and Software Compatibility Matrix 177
	The fine and borthand comparison of the

- Test Plan for System Integration 180 7.6
- Off-the-Shelf Component Integration 184 7.7 Off-the-Shelf Component Testing 185 7.7.1 Built-in Testing 186 7.7.2
- 7.8 Summary 187 Literature Review 188 References 189 Exercises 190

SYSTEM TEST CATEGORIES **CHAPTER 8**

8.1 Taxonomy of S	System	Tests	192
-------------------	--------	-------	-----

- 8.2 Basic Tests 194
 - 8.2.1 Boot Tests 194
 - Upgrade/Downgrade Tests 8.2.2 195

8.2.3	Light	Emitting	Diode	Tests	195
-------	-------	----------	-------	-------	-----

Diagnostic Tests 195 8.2.4

Command Line Interface Tests 196 8.2.5

8.3 Functionality Tests 196

> 196 Communication Systems Tests 8.3.1

Module Tests 197 8.3.2

Logging and Tracing Tests 198 8.3.3

- Element Management Systems Tests 8.3.4
- Management Information Base Tests 8.3.5

Graphical User Interface Tests 202 8.3.6

- 8.3.7 Security Tests 203
- 8.3.8 Feature Tests 204

Robustness Tests 204 8.4

- 8.4.1 Boundary Value Tests 205
- 8.4.2 Power Cycling Tests 206
- On-Line Insertion and Removal Tests 206 8.4.3
- 8.4.4 High-Availability Tests 206
- 8.4.5 Degraded Node Tests 207
- 8.5 Interoperability Tests 208
- 8.6 Performance Tests 209
- 8.7 Scalability Tests 210
- 8.8 Stress Tests 211
- 8.9 Load and Stability Tests 213
- 8.10 Reliability Tests 214
- 8.11 Regression Tests 214
- 8.12 Documentation Tests 215
- 8.13 Regulatory Tests 216
- 8.14 Summary 218 Literature Review 219 References 220 Exercises 221

CHAPTER 9 FUNCTIONAL TESTING

- 9.1 Functional Testing Concepts of Howden 222
 - 9.1.1 Different Types of Variables 224
 - 9.1.2 Test Vector 230
 - 9.1.3 Testing a Function in Context 231
- 9.2 Complexity of Applying Functional Testing 232
- Pairwise Testing 235 9.3
 - 9.3.1 Orthogonal Array 236
 - 9.3.2 In Parameter Order 240
- 9.4 Equivalence Class Partitioning 244
- Boundary Value Analysis 246 9.5
- 9.6 Decision Tables 248
- 9.7 Random Testing 252
- 9.8 Error Guessing 255
- 9.9 Category Partition 256
- 9.10 Summary 258

198

202

321

Literature Review 260 260 References 261 Exercises 262

CHAPT	TER 10 TEST GENERATION FROM FSM MODELS	265
10.1	State-Oriented Model 265	
10.2	Points of Control and Observation 269	
10.3	Finite-State Machine 270	
10.4	Test Generation from an FSM 273	
10.5	Transition Tour Method 273	
10.6	Testing with State Verification 277	
10.7	Unique Input–Output Sequence 279	
10.8	Distinguishing Sequence 284	
10.9	Characterizing Sequence 287	
10.10	Test Architectures 291	
	10.10.1 Local Architecture 292	
	10.10.2 Distributed Architecture 293	
	10.10.3 Coordinated Architecture 294	
	10.10.4 Remote Architecture 295	
10.11	Testing and Test Control Notation Version 3 (TTCN-3) 295	
	10.11.1 Module 296	
	10.11.2 Data Declarations 296	
	10.11.3 Ports and Components 298	
	10.11.4 Test Case Verdicts 299	
	10.11.5 Test Case 300	
10.12	Extended FSMs 302	
10.13	Test Generation from EFSM Models 307	
10.14	Additional Coverage Criteria for System Testing 313	
10.15	Summary 315	
	Literature Review 316	
	References 317	
	Exercises 318	

CHAPTER 11 SYSTEM TEST DESIGN

11.1	Test Design Factors 321	
11.2	Requirement Identification 322	
11.3	Characteristics of Testable Requirements 331	
11.4	Test Objective Identification 334	
11.5	Example 335	
11.6	Modeling a Test Design Process 345	
11.7	Modeling Test Results 347	
11.8	Test Design Preparedness Metrics 349	
11.9	Test Case Design Effectiveness 350	
11.10		
	Literature Review 351	
	References 353	
	Carry Carley Areaster Carles and a second state and a second state and a	

xii CONTENTS

CHAPTER 12 SYSTEM TEST PLANNING AND AUTOMATION

355

408

- 12.1 Structure of a System Test Plan 355
- 12.2 Introduction and Feature Description 356
- 12.3 Assumptions 357
- 12.4 Test Approach 357
- 12.5 Test Suite Structure 358
- 12.6 Test Environment 358
- 12.7 Test Execution Strategy 361
 - 12.7.1 Multicycle System Test Strategy 362
 - 12.7.2 Characterization of Test Cycles 362
 - 12.7.3 Preparing for First Test Cycle 366
 - 12.7.4 Selecting Test Cases for Final Test Cycle 369
 - 12.7.5 Prioritization of Test Cases 371
 - 12.7.6 Details of Three Test Cycles 372
- 12.8 Test Effort Estimation 377
 - 12.8.1 Number of Test Cases 378
 - 12.8.2 Test Case Creation Effort 384
 - 12.8.3 Test Case Execution Effort 385
- 12.9 Scheduling and Test Milestones 387
- 12.10 System Test Automation 391
- 12.11 Evaluation and Selection of Test Automation Tools 392
- 12.12 Test Selection Guidelines for Automation 395
- 12.13 Characteristics of Automated Test Cases 397
- 12.14 Structure of an Automated Test Case 399
- 12.15 Test Automation Infrastructure 400
- 12.16 Summary 402 Literature Review 403 References 405 Exercises 406

CHAPTER 13 SYSTEM TEST EXECUTION

- 13.1 Basic Ideas 408
- 13.2 Modeling Defects 409
- 13.3 Preparedness to Start System Testing 415
- 13.4 Metrics for Tracking System Test 419
 - 13.4.1 Metrics for Monitoring Test Execution 420
 - 13.4.2 Test Execution Metric Examples 420
 - 13.4.3 Metrics for Monitoring Defect Reports 423
 - 13.4.4 Defect Report Metric Examples 425
- 13.5 Orthogonal Defect Classification 428
- 13.6 Defect Causal Analysis 431
- 13.7 Beta Testing 435
- 13.8 First Customer Shipment 437
- 13.9 System Test Report 438
- 13.10 Product Sustaining 439
- 13.11 Measuring Test Effectiveness 441
- 13.12 Summary 445
 - Literature Review 446

	References 447	
	Exercises 448	
CHAPT	TER 14 ACCEPTANCE TESTING	45
14.1	Types of Acceptance Testing 450	
14.2	Acceptance Criteria 451	
14.3	Selection of Acceptance Criteria 461	
14.4	Acceptance Test Plan 461	
14.5	Acceptance Test Execution 463	
14.6	Acceptance Test Report 464	
14.7	Acceptance Testing in eXtreme Programming 466	
14.8	Summary 467 Literature Review 468	
	Defenses to	
	Examples 40	
CHAP	TER 15 SOFTWARE RELIABILITY	47
15.1	what is Renability? 471	
	15.1.1 Fault and Fandle 4/2	
	15.1.2 Time 4/3	
	15.1.5 Thile interval between Fandres 474	
	15.1.4 Counting Failures in Ferrodic Intervals 475	
15.0	15.1.5 Failure Intensity 476 Definitions of Software Reliability 477	
15.2	15.2.1 First Definition of Software Reliability 477	
	15.2.2 Second Definition of Software Reliability 478	
	15.2.3 Comparing the Definitions of Software Reliability 479	
15.3	Factors Influencing Software Reliability 479	
15.4	Applications of Software Reliability 481	
15.1	15.4.1 Comparison of Software Engineering Technologies 481	
	15.4.2 Measuring the Progress of System Testing 481	
	15.4.3 Controlling the System in Operation 482	
	15.4.4 Better Insight into Software Development Process 482	
15.5	Operational Profiles 482	
	15.5.1 Operation 483	
	15.5.2 Representation of Operational Profile 483	
15.6	Reliability Models 486	
15.7	Summary 491	
	Literature Review 492	
	References 494	
	Exercises 494	
СНАРТ	TER 16 TEST TEAM ORGANIZATION	49
16.1	Test Groups 496	
	16.1.1 Integration Test Group 496	
	16.1.2 System Test Group 497	

- 16.2 Software Quality Assurance Group 499
- 16.3 System Test Team Hierarchy 500

xiv CONTENTS

- 16.4 Effective Staffing of Test Engineers 501
- 16.5 Recruiting Test Engineers 504
 - 16.5.1 Job Requisition 504
 - 16.5.2 Job Profiling 505
 - 16.5.3 Screening Resumes 505
 - 16.5.4 Coordinating an Interview Team 506
 - 16.5.5 Interviewing 507
 - 16.5.6 Making a Decision 511
- 16.6 Retaining Test Engineers 511
 - 16.6.1 Career Path 511
 - 16.6.2 Training 512
 - 16.6.3 Reward System 513
- 16.7 Team Building 513
 - 16.7.1 Expectations 513
 - 16.7.2 Consistency 514
 - 16.7.3 Information Sharing 514
 - 16.7.4 Standardization 514
 - 16.7.5 Test Environments 514
 - 16.7.6 Recognitions 515
- Summary 515
 Literature Review 516
 References 516
 Exercises 517

CHAPTER 17 SOFTWARE QUALITY

- 17.1 Five Views of Software Quality 519
- 17.2 McCall's Quality Factors and Criteria 523
 - 17.2.1 Quality Factors 523
 - 17.2.2 Quality Criteria 527
 - 17.2.3 Relationship between Quality Factors and Criteria 527
 - 17.2.4 Quality Metrics 530
- 17.3 ISO 9126 Quality Characteristics 530
- 17.4 ISO 9000:2000 Software Quality Standard 534
 - 17.4.1 ISO 9000:2000 Fundamentals 535

17.4.2 ISO 9001:2000 Requirements 537

17.5 Summary 542 Literature Review 544 References 544 Exercises 545

CHAPTER 18 MATURITY MODELS

- 18.1 Basic Idea in Software Process 546
- 18.2 Capability Maturity Model 548
 - 18.2.1 CMM Architecture 549
 - 18.2.2 Five Levels of Maturity and Key Process Areas 550
 - 18.2.3 Common Features of Key Practices 553
 - 18.2.4 Application of CMM 553
 - 18.2.5 Capability Maturity Model Integration (CMMI) 554

- 18.3 Test Process Improvement 555
- 18.4 Testing Maturity Model 568
- 18.5 Summary 578 Literature Review 578 References 579 Exercises 579

GLOSSARY

INDEX

581

PREFACE

karmany eva dhikaras te; ma phalesu kadachana; ma karmaphalahetur bhur; ma te sango stv akarmani.

Your right is to work only; but never to the fruits thereof; may you not be motivated by the fruits of actions; nor let your attachment to be towards inaction. — *Bhagavad Gita*

We have been witnessing tremendous growth in the software industry over the past 25 years. Software applications have proliferated from the original data processing and scientific computing domains into our daily lives in such a way that we do not realize that some kind of software executes when we do even something ordinary, such as making a phone call, starting a car, turning on a microwave oven, and making a debit card payment. The processes for producing software must meet two broad challenges. First, the processes must produce low-cost software in a short time so that corporations can stay competitive. Second, the processes must produce usable, dependable, and safe software; these attributes are commonly known as quality attributes. Software quality impacts a number of important factors in our daily lives, such as economy, personal and national security, health, and safety.

Twenty-five years ago, testing accounted for about 50% of the total time and more than 50% of the total money expended in a software development project—and, the same is still true today. Those days the software industry was a much smaller one, and academia offered a single, comprehensive course entitled *Software Engineering* to educate undergraduate students in the nuts and bolts of software development. Although software testing has been a part of the classical software engineering literature for decades, the subject is seldom incorporated into the mainstream undergraduate curriculum. A few universities have started offering an *option* in software engineering comprising three specialized courses, namely, *Requirements Specification, Software Design*, and *Testing and Quality Assurance*. In addition, some universities have introduced full undergraduate and graduate degree programs in software engineering.

Considering the impact of software quality, or the lack thereof, we observe that software testing education has not received its due place. Ideally, research should lead to the development of tools and methodologies to produce low-cost, high-quality software, and students should be educated in the testing fundamentals. In other words, software testing research should not be solely academic in nature but must strive to be practical for industry consumers. However, in practice, there

XVIII PREFACE

is a large gap between the testing skills needed in the industry and what are taught and researched in the universities.

Our goal is to provide the students and the teachers with a set of well-rounded educational materials covering the fundamental developments in testing theory and common testing practices in the industry. We intend to provide the students with the "big picture" of testing and quality assurance, because software quality concepts are quite broad. There are different kinds of software systems with their own intricate characteristics. We have not tried to specifically address their testing challenges. Instead, we have presented testing theory and practice as broad stepping stones which will enable the students to understand and develop testing practices for more complex systems.

We decided to write this book based on our teaching and industrial experiences in software testing and quality assurance. For the past 15 years, Sagar has been teaching software engineering and software testing on a regular basis, whereas Piyu has been performing hands-on testing and managing test groups for testing routers, switches, wireless data networks, storage networks, and intrusion prevention appliances. Our experiences have helped us in selecting and structuring the contents of this book to make it suitable as a textbook.

Who Should Read This Book?

We have written this book to introduce students and software professionals to the fundamental ideas in testing theory, testing techniques, testing practices, and quality assurance. Undergraduate students in software engineering, computer science, and computer engineering with no prior experience in the software industry will be introduced to the subject matter in a step-by-step manner. Practitioners too will benefit from the structured presentation and comprehensive nature of the materials. Graduate students can use the book as a reference resource. After reading the whole book, the reader will have a thorough understanding of the following topics:

- · Fundamentals of testing theory and concepts
- · Practices that support the production of quality software
- · Software testing techniques
- · Life-cycle models of requirements, defects, test cases, and test results
- Process models for unit, integration, system, and acceptance testing
- Building test teams, including recruiting and retaining test engineers
- Quality models, capability maturity model, testing maturity model, and test process improvement model

How Should This Book be Read?

The purpose of this book is to teach how to *do* software testing. We present some essential background material in Chapter 1 and save the enunciation of software

quality questions to a later part of the book. It is difficult to intelligently discuss for beginners what software quality *means* until one has a firm sense of what software testing *does*. However, practitioners with much testing experience can jump to Chapter 17, entitled "Software Quality," immediately after Chapter 1.

There are three different ways to read this book depending upon someone's interest. First, those who are exclusively interested in software testing concepts and want to apply the ideas should read Chapter 1 ("Basic Concepts and Preliminaries"), Chapter 3 ("Unit Testing"), Chapter 7 ("System Integration Testing"), and Chapters 8–14, related to system-level testing. Second, test managers interested in improving the test effectiveness of their teams can read Chapters 1, 3, 7, 8–14, 16 ("Test Team Organization"), 17 ("Software Quality"), and 18 ("Maturity Models"). Third, beginners should read the book from cover to cover.

Notes for Instructors

The book can be used as a text in an introductory course in software testing and quality assurance. One of the authors used the contents of this book in an undergraduate course entitled Software Testing and Quality Assurance for several years at the University of Waterloo. An introductory course in software testing can cover selected sections from most of the chapters except Chapter 16. For a course with more emphasis on testing techniques than on processes, we recommend to choose Chapters 1 ("Basic Concepts and Preliminaries") to 15 ("Software Reliability"). When used as a supplementary text in a software engineering course, selected portions from the following chapters can help students imbibe the essential concepts in software testing:

- Chapter 1: Basic Concepts and Preliminaries
- · Chapter 3: Unit Testing
- Chapter 7: System Integration Testing
- Chapter 8: System Test Category
- Chapter 14: Acceptance Testing

Supplementary materials for instructors are available at the following Wiley website: http://www.wiley.com/sagar.

Acknowledgments

In preparing this book, we received much support from many people, including the publisher, our family members, and our friends and colleagues. The support has been in many different forms. First, we would like to thank our editors, namely, Anastasia Wasko, Val Moliere, Whitney A. Lesch, Paul Petralia, and Danielle Lacourciere who gave us much professional guidance and patiently answered our various queries. Our friend Dr. Alok Patnaik read the whole draft and made numerous suggestions to improve the presentation quality of the book; we thank him for

XX PREFACE

all his effort and encouragement. The second author, Piyu Tripathy, would like to thank his former colleagues at Nortel Networks, Cisco Systems, and Airvana Inc., and present colleagues at NEC Laboratories America.

Finally, the support of our parents, parents-in-law, and partners deserve a special mention. I, Piyu Tripathy, would like to thank my dear wife Leena, who has taken many household and family duties off my hands to give me time that I needed to write this book. And I, Sagar Naik, would like to thank my loving wife Alaka for her invaluable support and for always being there for me. I would also like to thank my charming daughters, Monisha and Sameeksha, and exciting son, Siddharth, for their understanding while I am writing this book. I am grateful to my elder brother, Gajapati Naik, for all his support. We are very pleased that now we have more time for our families and friends.

Kshirasagar Naik University of Waterloo Waterloo

Priyadarshi Tripathy NEC Laboratories America, Inc. Princeton