

A structured and systematic model-based development method for automotive systems, considering the OEM/supplier interface

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Abstract

The released ISO 26262 standard for automotive systems requires to create a hazard analysis and risk assessment and to create safety goals, to break down these safety goals into functional safety requirements in the functional safety concept, to specify technical safety requirements in the safety requirements specification, and to perform several validation and verification activities. Experience shows that the definition of technical safety requirements and the planning and execution of validation and verification activities has to be done jointly by OEMs and suppliers. In this paper, we present a structured and model-based safety development approach for automotive systems. The different steps are based on Jackson's requirement engineering. The elements are represented by UML notation extended with stereotypes. The UML model enables a rigorous validation of several constraints. **We make use of the results of previously published work to be able to focus on the OEM/supplier interface.** We illustrate our method using a three-wheeled-tilting control system **as running example and case study.**

Keywords: ISO 26262, automotive, hazard analysis, risk assessment, safety goal, safety, functional, technical, requirement, UML, validation and verification

1. Introduction

Developing and constructing road vehicles has become a complex task due to the increase of features, such as adaptive cruise control or lane keeping assist functions. The safety aspects of these features have to be taken into account during the product development. Another fact is that most of these complex systems are **developed by different organizations. This means that the overall** system is broken down into several components and/or subsystems. Different divisions within the OEM are responsible for the components/subsystems, which are provided by different suppliers.

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9 This raises the complexity for the manufacturer (OEM), who has to organize the
10 necessary activities. With the release of ISO 26262 - Road vehicles Functional safety
11 in November 2011 [1], the automotive sector benefited from a consistent functional
12 safety process for developing and constructing electric/electronic (E/E) systems. ISO
13 26262 addresses all levels of development, including definition of functions/features,
14 systems engineering as well as details of software and hardware development. The
15 standard should be applicable to different scenarios for establishing this process, in-
16 cluding e.g., the OEM and any number of suppliers for the distributed systems.

17 Since ISO 26262 is a risk-based functional safety standard addressing malfunc-
18 tions, its process starts with a hazard analysis to determine the necessary risk reduction
19 to achieve an acceptable level of risk. The hazard analysis results in safety goals with
20 an automotive safety integrity level (ASIL) that describes the necessary risk reduction.
21 Performing such a hazard analysis is a challenging task because

- 22 • It should be comprehensible for different stakeholders, e.g., engineers, project
23 leaders, managers.
- 24 • It should be possible to review the hazard analysis within a realistic time period.
- 25 • Hazard analyses of different projects should be comparable.
- 26 • In a hazard analysis, all relevant faults or situations need to be considered.

27 This hazard analysis is usually performed by the OEM division responsible for the
28 development of the overall system.

29 According to ISO 26262, the next steps are to break down the safety goals **derived**
30 **in the hazard analysis** into functional safety requirements. It has to be justified that the
31 derived functional safety requirements are suitable to achieve the stated safety goals.
32 These functional safety requirements are then detailed and the technical safety require-
33 ments are derived. In addition, the Verification and Validation (V&V) is performed.
34 The results of the V&V activities is fed back and collected in an appropriate way to
35 support the creation of the safety case.

36 Most of these complex systems are distributed. This distribution includes several
37 challenges: For the requirement engineering, it has to be determined who has to pro-
38 vide which content at which level of detail. Usually, the OEM division responsible
39 for the development of the system creates the logical architecture and then distributes
40 requirements to different divisions within the OEM responsible for the components.
41 These divisions receive all requirements from systems in which their component is in-
42 volved in, integrate the requirements and cascade the requirements to the component
43 suppliers. They do the implementation and supply pieces of hardware and software
44 that then have to be integrated into the vehicle. Some of the requirements engineering
45 (RE) has to be done by the OEM and the supplementary RE has to be added by the
46 suppliers.

47 For the verification and validation (V&V), the OEM division responsible for the
48 overall system has to ensure that the V&V tasks are defined and cascaded to the other
49 divisions and the suppliers. Some aspects can only be validated on vehicle level by
50 the OEM division responsible for the system (e.g. the overall behavior of the system),
51 some aspects can be validated on component level by the divisions responsible for
52 the components (e.g. the behavior of the component) and other aspects can only be

53 validated using internal interfaces of the component by the suppliers. When the V&V
54 is performed, the results of the V&V activities at supplier side and within the different
55 OEM divisions needs to be fed back and collected by the division responsible for the
56 overall system.

57 In addition, heterogeneous and concurrent engineering processes, methods and
58 tools exist within the affected parties which need to be harmonized. Communication
59 between OEM and divisions/suppliers has to be organized via requirements as well as
60 verification and validation documents.

61 In this paper, we propose a structured method based on UML models supported by
62 a tool for the hazard analysis, the requirement engineering, and the V&V activities.

63 The advantage of a UML model-based approach is that the different artifacts are ex-
64 plicitly connected instead of having loosely coupled documents. On this overall model,
65 consistency checks can be performed. These consistency checks can be specified with
66 the Object Constraint Language (OCL) from the Object Management Group (OMG)
67 [2].

68 Our paper is organized as follows: In Sect. 2, we introduce some background
69 knowledge as well as previous work to establish a common understanding. Section 2.1
70 briefly introduces the underlying standard used throughout our method followed by a
71 short description of the requirements analysis method in Sect. 2.2. The Framework, in
72 which the method is embedded, is outlined in Sect. 2.3 and the model is introduced in
73 Sect. 2.4.

74 Section 3 introduces the case study we use to illustrate our method. Section 3.2 de-
75 scribes the hazard analysis and risk assessment artifacts [1]. In section 3.3, the artifacts
76 created in the functional safety concept are given [2].

77 In Section 4, the technical safety requirement specification method illustrated with
78 the example is presented.

79 Section 6 introduces the applied support tool and Sect. 7 discuss related work.
80 Finally, in Sect. 8, we provide a conclusion and an outlook on future work.

81 **Remark:** The parts of the method that have already been published will only be
82 briefly discussed. The interested reader can find more details in the provided citations.

83 2. Background

84 2.1. ISO 26262

85 In 2011, the functional safety standard, ISO 26262 [3], was published. It is derived
86 from the generic functional safety standard IEC 61508 [4] and aligns with the auto-
87 motive safety life-cycle including specification, design, implementation, integration,
88 verification, validation, configuration, production, operation, service, decommission-
89 ing, and safety management. ISO 26262 provides an automotive-specific risk-based
90 approach for determining risk classes that describe the necessary risk reduction for
91 achieving an acceptable residual risk, called *automotive safety integrity level (ASIL)*.
92 The possible ASILs are *QM*, *ASIL A*, *ASIL B*, *ASIL C*, and *ASIL D*. The ASIL requiring
93 the highest risk reduction is called ASIL D. In case of a QM rating, the normal quality
94 measures applied in the automotive industry are sufficient. The standard also addresses
95 the OEM-supplier interface to some extent. ISO 26262 Part 8 requires an appropriate

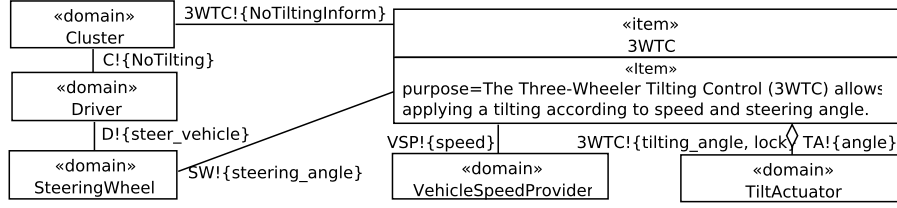


Figure 1: Context Diagram for 3WTC

definition (e.g. by using a development interface agreement) of the interface between OEM and supplier, but as the application of the standard should be possible in different project scenarios, the standard does not provide a predefined and dedicated method to split technical responsibilities amongst the different participating parties.

2.2. Requirements Analysis

Our requirements engineering method is inspired by and based on the approach proposed by Jackson [5]. In this approach, requirements can only be guaranteed for a certain context. Therefore, it is important to describe the *environment* in which the system to be built (called *item* in the automotive domain) will operate. This is achieved by a *context diagram*. Figure 1) shows an example of such a diagram. The context diagram consists of boxes representing different elements, also called *domains* (e.g. SteeringWheel in Fig. 1¹), in the application environment that already exist.

A special domain is the system to be built, i.e., the item. The different domains are connected by interfaces consisting of shared phenomena. Shared phenomena may be events, operation calls, messages, and the like. They are observable by at least two domains, but controlled by only one domain. The phenomenon *steering_angle* is an example for such a shared phenomenon. It is observable by the domains 3WTC (3-Wheeler-Tilt-Control system) and SteeringWheel (SW). However, only SteeringWheel controls that phenomenon. This is indicated by the exclamation mark after the abbreviated name of the domain (see 'SW!{steering_angle}' in Fig. 1).

2.3. Functional Safety Framework

The Ford Integrated process for Functional Safety (FIFS) consists of templates, examples and guidelines in Microsoft Word and Microsoft Excel. These templates, examples and guidelines were developed and improved (using project feedback) since 2009. They were applied in more than 30 projects and cover all parts of ISO 26262 being relevant for an OEM who does not develop software and hardware. Currently, the first pilot projects are aiming to use a model-based approach for functional safety. If the templates are applied according to the guidelines, ISO 26262 compliant (work) products are developed. The method is based on practical experience in the automotive domain.

¹As a simplification, we assume that the domain SteeringWheel consists of the actual physical steering wheel as well as a steering wheel provider module.

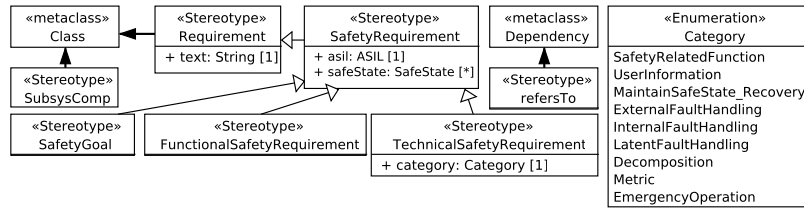


Figure 2: Profile Part concerning Requirements and Components

Within the V-model applied in ISO 26262, the first step of requirements engineering is to perform a hazard analysis and risk assessment for the system under consideration. Output of this step is given by the safety goals, describing the highest level of safety requirements. In the functional safety concept (FSC), the safety goals from the hazard analysis are broken down into functional safety requirements. These functional safety requirements are mapped to subsystems or components.

The task of the subsequent step is to split the functional safety requirements up into technical safety requirements. Within our approach, the technical safety requirement categories depicted in Fig. 2 (right-hand side) are used.

With these functional safety requirements and technical safety requirements, the requirement activities of the OEM are finalized within the setup chosen for our method. The technical safety requirements are cascaded to the other OEM divisions and finally to the suppliers and the V&V phase is started.

The method presented in this paper supports the planning and performing of V&V activities as well as the documentation of their results. It is embedded in the overall functional safety process according to ISO 26262. The created documentation is an essential part for the subsequent steps that result in the safety case. The safety case is the argument that the safety requirements for an item are complete and satisfied by evidence compiled from documents of all ISO 26262 safety activities during the whole life cycle. It represents the key argument for the Functional Safety Assessment and product release and concludes the ISO 26262 development process.

Aiming at tool support, we started to develop a UML profile and a set of OCL constraints to support the development activities.

The approach was presented on the automotive industry conferences VDA Automotive SYS Conference ², Baden-Baden Spezial 2012 ³ and Safetronic 2014 ⁴. The Electronic Steering Column Lock case study is used in these papers and presentations.

The approach presented in aforementioned papers and presentations, introduces several stereotypes necessary to capture ISO26262-specific aspects. An excerpt of such a resulting UML-profile is given in Fig. 2 (left-hand side).

²Presentation on 2012-06-18/20, 2012, Berlin: <http://vda-qmc.de/en/software-processes/vda-automotive-sys/>

³2012-10-10/11, Baden-Baden: <http://www.vdi.de/technik/fachthemen/fahrzeug-und-verkehrstechnik/artikel/pressegesprach-auf-der-vdi-tagung-baden-baden-spezial-2012/>

⁴2014-11-11/12 Stuttgart: <https://www.hanser-tagungen.de/web/index.asp?task=001&vid=201402241659596>

2.4. Modeling

The implementation of Ford's approach to realize an ISO 26262 compliant safety process (see Sect. 2.3) started off as a document-driven/document-centric approach using Microsoft products, such as Word, Excel and Visio. The experiences with this approach were good. However, with the growing number of projects using the approach and with increasing complexity of certain features, it is a rather tedious task to keep the different documents consistent and correct amongst each other. Basically, independent documents are created and data is copied manually between the different documents. It is possible to some extent to embed data or to use Visual Basic for Application (VBA) to provide some means to link data from one document to another. Unfortunately, not everything can be implemented using embedded data and it might not always be possible to use VBA due to corporate regulations. Therefore, it is desirable to move away from a purely document-driven approach. We suggest to use a model-driven approach. With such an approach, it is possible to benefit from a global data model allowing different views on this model. Furthermore, it is possible to incorporate the experiences and feedback from the document-driven approach into the envisioned model-driven process. We propose UML [6]. UML is a well-established modeling standard providing a variety of structural and behavioral models with related diagram types. It also offers the concept of stereotypes. Stereotypes give a specific meaning to the element(s) they are attached to. UML already offers profiles with pre-existing stereotypes. However, it is possible to provide additional stereotypes to meet ones needs. This is usually done by providing a new profile containing the additionally defined stereotypes. This profile can then be applied to the model and the additional stereotypes can be used. We use UML with our own profile that extends UML with the ability to express requirements in a similar way as the SysML profile [7] extends UML. If a SysML model with blocks describing the context and requirements was given, we could use the same approach by extending SysML by the missing stereotypes and constraints. The decision to use UML instead of SysML was based on the already existing UML4PF framework with its extensive OCL validation and document generation capabilities.

For our different method steps, we require stereotypes that are not pre-existing. Therefore, we created profiles that hold all necessary stereotypes relevant to our method. An example for such a stereotype definition is shown in Fig. 2. In the graphical representation, i.e., the diagram, a stereotype is denoted by `<<stereotype_name>>`, where `stereotype_name` denotes the corresponding type. For example, 3WTC in Fig. 1 has the stereotype item (denoted by `<<item>>`) assigned, identifying it as the system to be built.

Another benefit of a model-driven approach based on UML is that it is possible to provide constraints, e.g., by using the Object-Constraint-Language (OCL) [8], on a model. This way, it is possible to specify syntactic and semantic checks. We specified OCL constraints for all our steps. An example for such an OCL constraint is given in Listing 1.

```
Dependency.allInstances()->select(getAppliedStereotypes().name
->includes('realizes'))->forAll(f|
    (source.getAppliedStereotypes().name->includes('SubsysComp')) and
    (target.getAppliedStereotypes().name->includes('LogicalElement')))
```

Listing 1: Validation Condition 1M02LC

201 This expression is used to check that subsystems/components realize logical elements.
202 To perform the check, it is necessary to first select all (Line 2) dependencies (in Line 1)
203 with the stereotypes `<<realizes>>` applied (using the EMF keyword `getAppliedStereotypes`
204 in Line 1). For each of the dependencies matching the stereotype, it must be
205 checked if it points from (using the EMF keyword `source` in Line 3) `<<SubsysComp>>`
206 to (using the EMF keyword `target` in Line 4) `<<LogicalElement>>`. The other validation
207 conditions mentioned in this contribution are implemented in a similar way. Functional
208 Safety should not be considered in isolation from systems engineering. Therefore,
209 modeling both should be supported. Ideally, functional safety is integrated into sys-
210 tems engineering. Examples for such an integration in our approach are:

- 211 • In state machines developed for systems engineering, the stereotype `<<SafeState>>`
212 is added to the appropriate states.
- 213 • In the architecture of the system, the stereotype `<<SubsysComp>>` is added to all
214 components referenced by the functional safety requirements.
- 215 • `<<SafetyRequirement>>` is a special kind of `<<Requirement>>`.

216 3. Case Study

217 In previous works, we used an electronic steering column lock (ESCL) as running
218 example (see [1, 2, 9]). However, in this contribution, we introduce a new example:
219 the three-wheeled-tilting control system (3WTC). 3WTC allows leaning the vehicle
220 into a turn based on steering wheel angle and vehicle speed keeping it in balance. This
221 improves stability at low speed curve driving and maneuverability in general. The
222 system is part of the so called “Tilting three-wheeler”, see [https://en.wikipedia.](https://en.wikipedia.org/wiki/Tilting_three-wheeler)
223 [org/wiki/Tilting_three-wheeler](https://en.wikipedia.org/wiki/Tilting_three-wheeler). This is a fictitious example system used for ISO
224 26262 training within Ford and there is no plan to develop such a system or vehicle.
225 However, this example is selected for didactic reasons because its function is easy to
226 understand and the system allows to explain various aspects of ISO 26262.

227 3.1. FIFS

228 In Sect. 2.3, we introduced the general structure of our process. Now, we will show
229 how the previously published process steps are applied to the case study described in
230 Sect. 3. This introduces the necessary data required to derive the Technical Safety
231 Requirements Specification constituting the main contribution of this paper.

232 3.2. Hazard Analysis and Risk Assessment (HARA)

233 As ISO 26262 is a risk-based functional safety standard, identifying hazards is a vital
234 aspect. Therefore, we start our approach with identifying and classifying potential
235 hazards of the item as described in [1]. In the following paragraphs, we apply the
236 method on the 3WTC example.

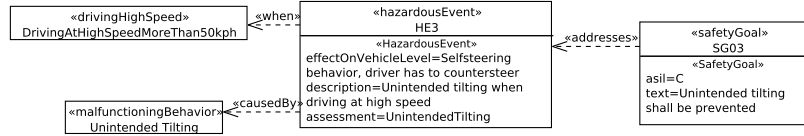


Figure 3: 3WTC Safety Goal including hazardous event, situations and malfunctioning behavior

237 1. *Provide an Item Definition.* ISO 26262 demands a definition of the item, its basic
 238 functionality, and its environment. As mentioned in Sect. 2.2, we use a context diagram
 239 to represent the item and the domains surrounding it. Figure 1 depicts the context
 240 diagram for 3WTC. It contains 3WTC as the item, as well as all relevant domains, e.g.,
 241 driver, tilt actuator, to achieve tilting of the vehicle upon request. The function, we will
 242 further consider in our contribution is *Tilting*.

243 2. *Instantiate Guide-Words.* For the 3WTC example, we only consider the malfunction-
 244 ing behavior *no tilting* and *unintended tilting*. A class with the stereotype «*Mal-*
 245 *functioningBehavior*» is used to describe any behavior that can be considered as a
 246 malfunction of the item. This class has a property *type*: *MFType*, to link malfunction-
 247 ing behavior and guide word to each other.

248 3. *Situation Classification.* Fig. 3 provides relevant situations for our case study (e.g.,
 249 «*DrivingAtHighSpeedMoreThan50kph*»).

250 4. *Hazard Identification.* For our example, the combination of *unintended tilting* and
 251 *driving at high speed* was chosen as an example for a hazardous event (see HE3 in
 252 Fig. 3). The effect on the vehicle level, i.e., the effect that can be observed by the
 253 driver, is a self-steering behavior (see property 'effectOnVehicleLevel' in HE3).

254 5. *Hazard Classification by Severity, Exposure, and Controllability.* The objective of
 255 the hazard classification is to assess the level of risk reduction required for the haz-
 256 ardous event. We executed this step for the hazardous event HE3 from our 3WTC
 257 example. Figure 4 captures our results of the risk assessment for HE3 (given in Fig. 3).
 258 With the rating of S3, E4, and C2, we obtain an ASIL C.

259 6. *Define and Verify Safety Goals.* To address the hazardous event “*Unintended tilting*
 260 *when driving at high speed*”, we derived the safety goal “*Unintended tilting shall be*
 261 *prevented.*” We can see that the safety goal is composed as avoiding the occurrence
 262 of the hazardous event. In this particular case, it is written as a more general form by

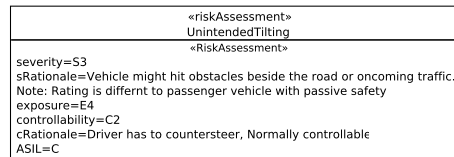


Figure 4: Risk Assessment for one Hazardous Event of 3WTC

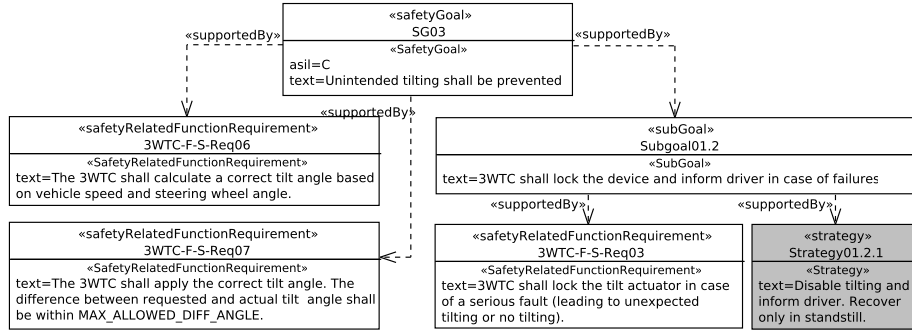


Figure 5: 3WTC Goal Structure for SG03

263 omitting the situation "when driving at speed". This enables us to assign this safety
 264 goal to further hazardous events related to similar situations. The safety goal is given
 265 in Fig. 3, right-hand side. The figure also provides the relations between safety goal,
 266 hazardous events, situations, and malfunctioning behavior.

267 3.3. Functional Safety Concept (FSC)

268 After the hazard analysis and risk assessment, the next step is to break down the high-
 269 level safety goals into functional safety requirements and allocate them to logical ele-
 270 ments of a preliminary architecture as described in [2].

271 1. Break-down safety goals into functional safety requirements. Figure 5 illustrates
 272 the goal structure for deriving functional safety requirements for the safety goal ob-
 273 tained in Sect. 3.2 for the 3WTC example. For this particular safety goal, we derived
 274 a set of functional safety requirements. The naming convention we used is Feature
 275 abbreviation-F-S-Req running number. In Fig. 6, we show the warning and re-
 276 covery concept (W&R) related to SG03. The starting point is Strategy01.2.1, the gray
 277 box in in Fig. 5. For the warning and recover concept, an additional two functional
 278 safety requirements have been derived. The first one (3WTC-F-S-Req04) deals with
 279 the concept of driver information and the second one (3WTC-F-S-Req05) with neces-
 280 sary recovery conditions.

281 2. Specify all applicable attributes of the requirements. To illustrate our approach, we
 282 select 3WTC-F-S-Req06 (see upper left-hand side of Fig. 5) as a representative of a

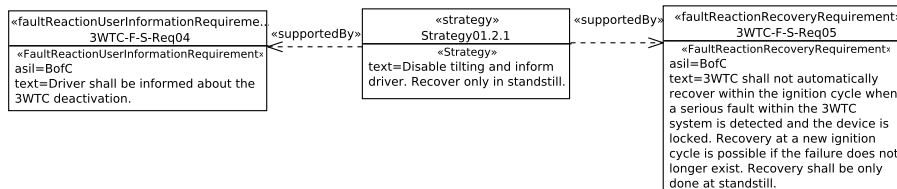


Figure 6: 3WTC Warning and recovery Concept for SG03

Safety Req-ID	3WTC-F-S-Req06	Strategy/Subgoal	01.2 (subgoal)/01.2.1 (strategy)
Safety Goal Ref.	SG03	Operating Modes	3WTC Normal Operation
ASIL Classification (if applicable)	C	Safe State (if applicable)	No tilting
Functional Safety Requirement	The 3WTC shall calculate a correct tilt angle based on vehicle speed and steering wheel angle.		
Purpose	Tilting shall be only performed if necessary.		
Fault Tolerant Time interval (if applicable)	200ms		
Reduced Functionality interval (if applicable)	n/a		
Functional Redundancies (e.g. fault tolerance) (if applicable)	n/a		
Description of actions of the driver or other endangered persons (if applicable)	n/a		
Validation Criteria for these actions (if applicable)	n/a		
V&V method	Design and methods review		
V&V acceptance criteria	Design and methods are appropriate for required ASIL.		

Table 1: 3WTC Attributes for 3WTC-F-S-Req06

283 safety related function requirement. The attributes, we must provide for this category
284 are fault tolerant time (ftt), emergency operation interval (emergencyOpInterval), de-
285 scription of driver or other involved persons action (descriptionOtherPersonsAction),
286 and validation criteria for the aforementioned actions (validationCriteriaForActions).
287 As a safety related function is also a functional safety requirement, the following at-
288 tributes have to be provided, as well:

- 289 • related safety goal, sub-goal, strategy, *(These three attributes can be looked up in*
290 *the related goal structure.)*
- 291 • operating modes, *(The related requirement is only valid for a given set of operat-*
292 *ing modes. Usually, some indication on the operating modes is given in the item*
293 *definition)*
- 294 • purpose, *(The purpose of a safety requirement may be similar to the strategy or*
295 *sub-goal if any exist.)*
- 296 • verification and validation method, *(An example for such a method could be*
297 *testing.)*
- 298 • acceptance criteria considering verification and validation, *(An example for such*
299 *criteria could be that all test cases pass.)*

300 3. Check for completeness of defined requirements. In our contribution, we consider
301 only one safe state, namely *No tilting*. This safe state is covered by safety-related
302 function 3WTC-F-S-Req06. For the assumptions *A1.1 Balance point is between wheels*
303 and *A3.1 Tilting is only active during forward driving* general requirements 3WTC-F-
304 S-Req10 and 3WTC-F-S-Req11 (not shown in this contribution) exist. For safe state *No*
305 *tilting*, user information is covered by 3WTC-F-S-Req04, and recovery is covered by
306 3WTC-F-S-Req05. The only operating mode considered in this contribution is *3WTC*
307 *Normal Operation*. This operating mode is referred to by 3WTC-F-S-Req01 – 3WTC-
308 F-S-Req07. Within the scope set in this contribution, the investigation of requirements

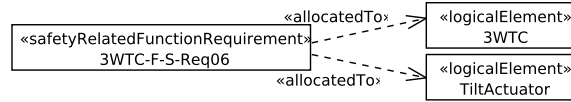


Figure 7: 3WTC Requirement Allocation

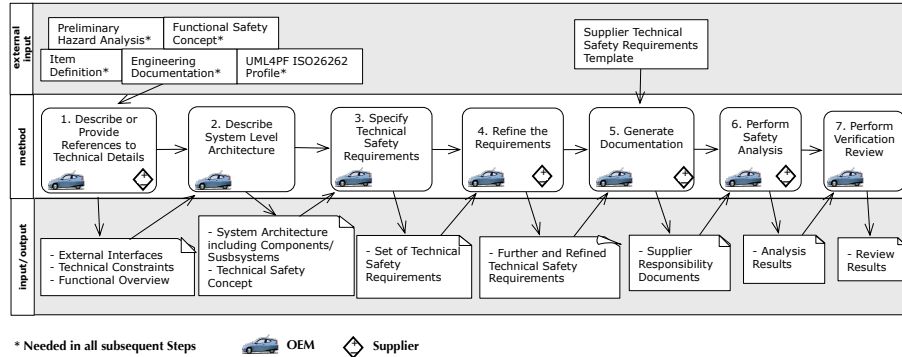


Figure 8: Technical Safety Requirements Specification Method considering the OEM/Supplier Interface

necessary to ensure controllability referring to technical means or controls necessary for driver (or other persons involved) actions, no additional requirements have been identified.

4. *ASIL decomposition.* For our selected functional safety requirement 3WTC-F-S-Req06, no ASIL decomposition is necessary.

5. *Allocation of Requirements.* For our selected example, the requirement 3WTC-F-S-Req06 has been allocated to the logical elements 3WTC and TiltActuator (see Fig. 7).

6. *Safety Analysis, Simulation, and Test.* For our 3WTC example, the goal structures provided in Figs. 5 and 6 are sufficient qualitative analysis to show that the functional safety requirements are consistent and compliant to the safety goals and are able to mitigate or avoid the hazardous events. Simulation and tests are performed to check the controllability assumptions. However, the results of these analyses are not given in this contribution.

4. Technical Safety Requirements Specification (SRS) Method

In the previous step, we set up the functional safety concept (the final step in ISO26262's concept phase) and derived a set of functional safety requirements and also obtained a preliminary requirement specification – a part of ISO26262's product development at the system level phase. Our document covers the content required by ISO26262's work products safety requirement specification, technical safety concept, and system design. The safety requirements specification is created by using the results from the functional safety concept:

- 330 • the functional safety requirements are split up/refined to technical safety require-
331 ments,
- 332 • the technical safety requirements are allocated to logical elements of the prelim-
333 inary architecture
- 334 • a system design is specified

335 Figure 8 depicts an overview of our method. We highlight for each activity the
336 contribution of the OEM and its supplier.

337 *Step 1. Describe or Provide References to Technical Details.* The OEM provides the
338 majority of information for this step and requests specific documentations of interfaces
339 of components a supplier constructed. The supplier is just reacting upon demand of the
340 OEM and has no active role in this step. The reason is that the OEM is responsible for
341 the overall system and has the necessary overview to describe or demand descriptions
342 of all parts.

343 We create safety requirements specifications describing how the safety measures
344 located in the functional safety concept should be implemented and update the hazard
345 analysis and risk assessment in case we identified new hazards or situations.

346 To derive the safety requirements specifications, we proceed as follows:

- 347 • *Describe or provide reference to details of external interfaces of the item.* The
348 description from the item definition can be used and refined by specifying all
349 parameters of the signals in detail.
- 350 • *Describe or provide reference to technical constraints.* Technical constraints are
351 functionalities that are implemented in the same way for all vehicles.
- 352 • *Describe a functional overview of components/subsystems contained in the item.*
353 Furthermore, describe a clear boundary of the item and its surroundings. State
354 the main task and purpose for all elements located outside of the item bound-
355 ary. For each component/subsystem the highest ASIL of the allocated functional
356 safety requirements (for more details see [2]) is documented. The logical ele-
357 ments of our preliminary architecture are mapped to components/subsystems.

358 As a representative of the stereotypes we introduced for this step, we select *«Subsys-
359 Comp»* (see Figure 10).

360 In the first step, we set the attributes *description*, *inside*, and *asil*. Figure 9 (center)
361 shows these attributes for the relevant subcomponent Speed Sensor Module (SSM).
362 The *description* gives an overview on the realized functionality. Note that the property
363 *inside* illustrates whether the component is inside the system boundary of the item.
364 This information can usually be found in the item definition. The ASIL is set to the
365 highest ASIL of the requirements referring to the subsystem or component.

366 Table 2 contains an excerpt of checks for this step. Remark: Instead of the actual OCL
367 expression, we provide a short textual description of the purpose of the constraint (see
368 e.g. Tab 2) for the remainder of this work.

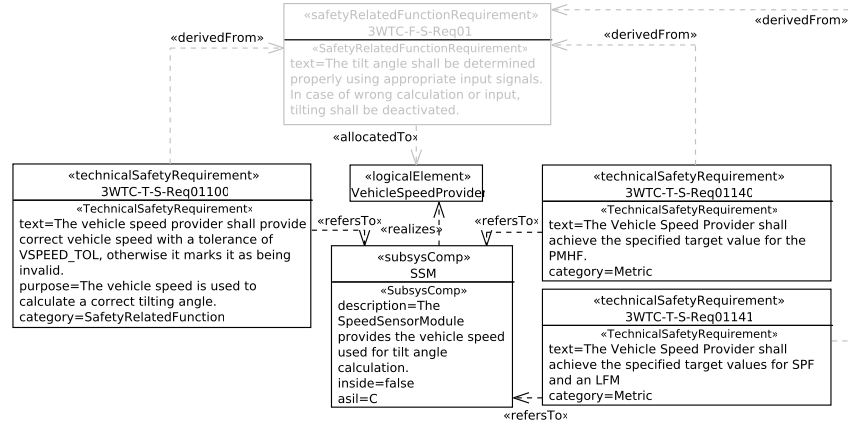


Figure 9: 3WTC SRS Elements

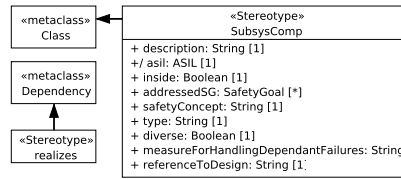


Figure 10: Profile Part concerning (Sub-) Components

369 *Step 2. Describe System Level Architecture.* The OEM describes the system architec-
 370 ture. This is usually an OEM task because the architecture requires complete informa-
 371 tion about the technical details. Any information required from the supplier should be
 372 gathered in the previous step.

373 The input is used to set up a system level architecture. This architecture may be
 374 represented, for example, as a UML composite diagram. The architecture in this step
 375 is enriched by a technical safety concept (e.g. redundancy) for every safety goal with
 376 an ASIL rating higher than ASIL B. Whenever redundancy is used, we are required to
 377 provide the type of redundancy (e.g. HW or SW). In addition, it is necessary to clarify
 378 if it is a diverse or homogeneous redundancy. In both cases, measures for handling
 379 potential dependent failures must be described.

380 In this step, the attributes *safetyConcept*, *type*, *diverse*, and *measureForHandlingDe-*
 381 *pendantFailures* of «SubsysComp» have to be provided. For the subsystem compo-
 382 nent relevant to our 3WTC example, these values are set in the same way as those
 383 previously described.

384 Table 3 contains an excerpt of checks for this step.

385 *Step 3. Specify Technical Safety Requirements.* The OEM describes the OEM spe-
 386 cific parts of the technical safety requirements. This is usually a task performed by
 387 the OEM, because the OEM has the knowledge of the overall architecture, while the

Step	ID	Condition
1	1M01DE	The description of components/subsystems is not allowed to be empty. In particular, each class with the stereotype <i>«SubsysComp»</i> must have an attribute 'description: String'.
1	1M02LC	Subsystems or components realize logical elements. A <i>«realizes»</i> stereotype is attached to a dependency from a class with the stereotype <i>«SubsysComp»</i> to a class with the stereotype <i>«LogicalElement»</i> .

Table 2: SRS: Validation Conditions for Step 1 (excerpt)

2	2C01SG	Every safety goal has to be realized by at least one component/subsystem.
2	2C02DR	If a component realizes a safety goal with ASIL greater than ASIL B, a concept for redundancy shall be defined.

Table 3: SRS: Validation Conditions for Step 2(excerpt)

supplier knows isolated parts and cannot elicit technical safety requirements for parts unknown to it and in particular consider consequences of the interactions of known components with unknown components. However, it may also be the case that the supplier is responsible for deriving the relevant technical safety requirements depending on the project and item setup.

We now want to derive the technical safety requirements. To do this, we start with the functional safety requirement and the components or subsystems that realize this requirement. To find out which component or subsystems realize the functional safety requirement, the mapping from logical elements to components or subsystems is used. For the relevant elements of 3WTC, this mapping is shown in Fig. 9. For each component, the part of the functional requirement that should be realized, as well as its requirement text is described. For each technical safety requirement, a unique ID, the reference to the functional safety requirement it realizes, as well as the component or subsystem it is assigned to, is specified. The ASIL is derived from the ASIL of the functional safety requirement. Summarized, the following aspects have to be captured according to [3, Part 4, 6.4.2]:

- Reference to the functional safety requirement (FSR),
- Reference to the component/subsystem,
- Unique ID,
- ASIL (derived from the ASIL of the functional safety requirement),
- Technical safety requirement text,
- Purpose of the requirement,
- Safe state, and
- Category

The right-hand side of Fig. 11 contains all currently identified categories. For each functional safety requirement, we go through every category entry and decide whether it is relevant for the respective functional safety requirement. For those considered relevant, we fill out the corresponding template. Note that requirements of some categories (e.g., 'Decomposition' or 'Metric') may be defined at a later point.

Figure 9 shows three examples of technical safety requirements for our 3WTC example. For technical safety requirement 3WTC-T-S-Req06100, a subset of the just

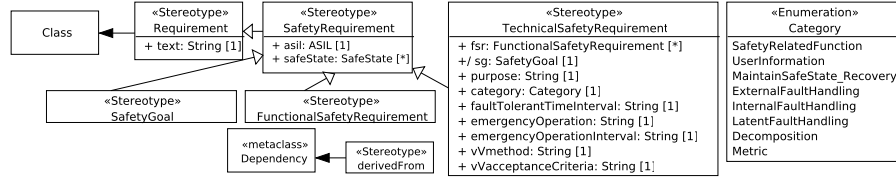


Figure 11: Profile Part concerning Safety Requirements

mentioned attributes is given. To provide a better understanding, the corresponding functional safety requirement linked to the currently treated technical safety requirement is also provided (see grayed-out box in Fig. 9).

Table 4 provides an excerpt of consistency checks relevant to this step.

Step	ID	Condition
3	3M01ID	Technical safety requirements have a reference to a component/subsystem and a unique ID is set.
3	3M02RA	Requirement text, purpose, and safe state have to be defined for all technical safety requirements.

Table 4: SRS: Validation Conditions for Step 3 (excerpt)

Step 4. Refine Requirements. The OEM refines the OEM specific parts of the technical safety requirements. This is an OEM task, because the OEM has the knowledge of the overall architecture, while the supplier knows isolated parts and cannot elicit technical safety requirements for parts unknown to it and in particular consider consequences of the interactions of known components with unknown components. Afterwards, the supplier is contacted to agree on these requirements.

At this place, the technical safety requirements of the previous step are investigated in more detail. The following activities have to be conducted:

- *Decomposition with independence argumentation.* For details on this topic, please refer to Part 8 of ISO 26262.
- *Hardware metric derivation and rationale.* Hardware metrics - as required by ISO 26262 part 5 - are derived and the break-down to components/subsystems is justified. This break-down of metric requirements enables a distributed development and is necessary to have a clear OEM/Supplier interface. The Maximum Probability of Safety Goal violation due to random Hardware Failures (PMHF) has to be achieved on safety goal level, i.e. by all components contributing to the Safety Goal. The PMHF value for SG03 has to be split into separated target values for the Steering Wheel Angle Provider, the Vehicle Speed Provider and the TiltActuator. In order to obtain the different target values, we first need to assign an initial value to the PMHF in question. We use the initial values to perform a fault tree analysis. Based on the outcome of this analysis, we can assign or adjust the PMHF for the respective module. The target value for the Vehicle Speed Provider is inserted into the refined requirement 3WTC-T-S-Req07141. If

redundancy concepts are applied and the fault detection is not limited to a single component, target values for Single Point Fault Metric (SPFM) and the Latent Fault Metric (LFM) have to be derived for each component. This calculation is based on the target values of the Safety Goal as given by ISO 26262. Otherwise, the SPFM and the LFM of the Safety Goal can be directly cascaded to all components that realize requirements derived from that Safety Goal.

- *Elicitation of requirements concerning the ability to configure a system by calibration data.* For details on this topic, please refer to the corresponding part of ISO 26262.
- *Identify Parameters used in several requirements.* For these parameters, boundary values should be defined. In the example, we refine 3WTC-T-S-Req06100. It makes use of the parameter “VSPEED.TOL”, representing the allowed tolerance of the vehicle speed value. For this parameter, we define a preliminary value needed for the correct calculation of the tilt angle. The constraint considered is that the upper boundary of the range is not hazardous.
- *Specify requirements for operation, service and decommissioning.* For details on this topic, please refer to the corresponding section of ISO 26262.

Within the tool, it is necessary to complete the properties which have been postponed in the previous step.

Table 6 shows the content inserted into the stereotype attributes for one technical safety requirement.

Step	ID	Condition
4	4C01AF	The ASIL of the technical safety requirement is consistent to the ASIL in the corresponding functional safety requirement.
4	4G02FF	Fault tolerant time interval is consistent with the corresponding functional safety requirement.

Table 5: SRS: Validation Conditions for Step 4 (excerpt)

Table 5 introduces an excerpt of consistency checks.

Step 5. Generate Documentation. The OEM generates the initial set of documents that are presented in form of a template, which the supplier has to instantiate.

The OEM provides the content defined in the previous steps and the supplier adds the details, because the supplier has the knowledge of its components and the ability to perform the safety analysis for the component. The template is precise about which details are needed and reduces discussions and the risk of missing information in the overall safety analysis performed in the next step.

Based on the technical safety requirements, a document is generated for each relevant component/subsystem. These documents detail the supplier’s responsibilities.

Table 6 shows the table generated from the model for one technical safety requirement.

The component/subsystem provider has to define the architecture / redundancy concept including:

- A description of the architecture / redundancy concept

T-S-Req-ID	3WTC-T-S-Req06100
Safety Goal(s)	SG01, SG02, SG03
FSR	3WTC-F-S-Req06, 3WTC-F-S-Req01, 3WTC-F-S-Req02
ASIL	C
Safe State	SSM quality factor is set to invalid or no vehicle speed signal is provided
TSR Text	The vehicle speed provider shall provide correct vehicle speed with a tolerance of VSPEED.TOL otherwise it marks it as being invalid.
Purpose	The vehicle speed is used to calculate a correct tilting angle.
Category	Safety Related Function Requirement
V&V Method	Review design and methods review at supplier. Vehicle test at all speed ranges. Fault insertion in sensor.
V&V Acceptance Criteria	Design and method are appropriate for required ASIL. Correct vehicle speed is delivered. Faults lead to quality flag = invalid.

Table 6: Generated Technical Safety Requirement

- The type of redundancy, e.g. information redundancy, time redundancy, hardware redundancy or software redundancy, including a justification why it is suitable
- A statement if diverse or homogeneous redundancy is used
- A description of measures for handling potential dependent failures

Furthermore, they have to define the latent fault handling including:

- Measures related to the detection and indication of faults in the component itself
- Avoidance of latent faults
- Multiple point fault detection interval
- Details on fault reaction

This information has to be made available for review purposes. Further relevant documents have to be referenced, as well.

Step	ID	Condition
5	5G01DC	Generate supplier documentation including purpose of each component, requirements for the component or subsystem, and a list of aspects to be completed by the supplier.

Table 7: SRS: Validation Conditions for Step 5 (excerpt)

Step 6. Perform Safety Analysis. Based on the documentation generated so far, the OEM performs a safety analysis. Note that the OEM asks the supplier for a safety analysis of subsystems that the supplier builds alone. The OEM conducts the safety analysis of the overall system without the supplier, because only the OEM has the knowledge of the overall system and all details provided by suppliers.

To perform the safety analysis, a reference to the design of components/subsystem should be given. The safety analysis shows compliance and consistency between the technical safety concept with its technical requirement, the functional safety concept, and the preliminary architecture. An analysis shall also verify the system design regarding compliance and completeness with regard to the technical safety concept.

504 This is why the description of components/subsystems in the respective stereotype
 505 «SubsysComp» has an attribute 'referenceToDesign: String'.

506 The safety analysis is performed using a structured fault tree. This fault tree will
 507 be subject of a planned publication.

Step	ID	Condition
6	6C01RD	For each components/subsystems, the attribute referenceToDesign is not empty.
6	6SI01DE	Description of components/subsystems («SubsysComp» has attribute 'reference-ToDesign: String')

Table 8: SRS: Validation Conditions for Step 6 (excerpt)

508 *Step 7. Perform Verification Review.* ISO 26262 requires to perform a verification
 509 review of the functional safety concept by a different person than the author of the
 510 review and a person who knows the technology of the system under development. This
 511 is supported by OCL validation constraints and the generation of a structured document
 512 from the model. The OEM performs the verification review without the supplier, due
 513 to its overall responsibility of the system. At this point in time the OEM should have
 514 gathered all required technical details in the previous steps of our method to conduct
 515 the verification review alone.

516 5. Verification and Validation (V&V) Method

517 The final FIFS step, we present in this contribution treats Verification and Validation
 518 (V&V) activities as described in [10] and we apply it to our 3WTC example.

519 *Step 1. Link Requirements and Safety Analyses.*⁵

520 For our exemplary technical safety requirement 3WTC-T-S-Req06100 the linkage
 521 to the safety analysis is given in Fig. 12.

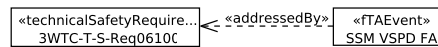


Figure 12: 3WTC Linkage

522 *Step 2. Plan V&V Activities.* Figure 13 depicts the V&V activities carried out for
 523 checking 3WTC-T-Req06100.

524 *Step 3. Plan Responsibilities and Due Dates.* The specification of the test case for the
 525 technical safety requirement 3WTC-T-S-Req06100 is done by the engineers responsi-
 526 ble for the SSM component development at the suppliers side. The review of the test
 527 case is done by the OEM, the responsible person is the safety consultant of the 3WTC
 528 development project. This is depicted on the left-hand side of Fig. 14.

⁵Test results as well as FMEA and FTA results may have an influence on safety requirements. In our method, this relation is implicit, for example, modifying a safety requirement due to a test result, FMEA

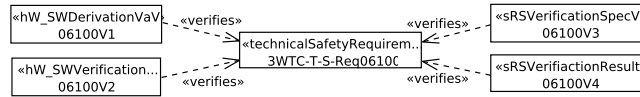


Figure 13: 3WTC V&V

529 *Step 4. Provide Engineering Activity Feedback for Technical Safety Requirements.* For
 530 the selected example, the supplier engineer creates a test case for the component SSM,
 531 covering 3WTC-T-S- Req06100. This test case is part of the test specification Test-
 532 plan_SSM_v12.02.pdf (see right-hand side of Fig. 14), therefore, the engineer provides
 533 this information, including a reference to the document section containing the test case.

534 *Step 5. Safety V&V for Technical Safety Requirements.* For the selected example, the
 535 OEM Safety Consultant reviews the referenced test case and checks it against 3WTC-T-
 536 S- Req06100. The review result is, that the test case is correctly defined and addresses
 537 all safety relevant aspects of the technical safety requirement (see Fig. 14).

538 *Step 6. Provide Engineering Activity Feedback for Functional Safety Requirements*
 539 *and Safety Goals.* The attribute **engineeringFeedback** is set in this step as depicted in
 540 Fig. 13 for the technical safety requirement.

541 *Step 7. Safety V&V for Functional Safety Requirements.* The approach here is similar
 542 to the one described in Step5. The difference is that the functional safety requirement
 543 (for our example this would be 3WTC-F-S-Req01) is addressed in this step.

544 *Step 8. Perform Confirmation Review.* For the selected example, an external safety
 545 consultant reviews the V&V report and sets all attributes in the class with the stereotype
 546 «VaVConfirmation» as shown in Fig. 15.
 547 This step concludes our method.

or FTA result. After the modification, the test case, FMEA or FTA is updated/executed using the new requirement. This iteration is not documented in the model itself, but it is visible in the change management of the respective test case, FMEA or FTA.

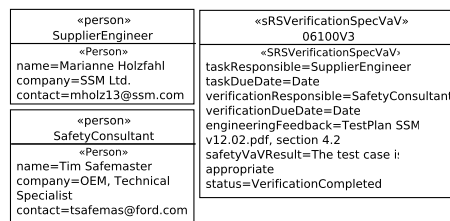


Figure 14: 3WTC V&V Activity

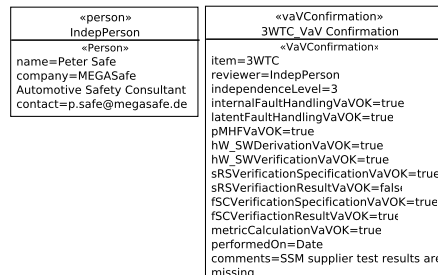


Figure 15: 3WTC V&V Confirmation Review

548 6. Tool Support

549 In sect.2.4, we stated how the previously document-driven approach could be trans-
550 ferred to a model-driven one. We now describe how this model-driven approach can be
551 fitted with tool-support. When deciding on tool-support, one has to decide whether to
552 develop a new tool or to use an existing one and adapt it. In our case, we used the latter
553 approach.

554 We use a tool called UML4PF, developed at the University of Duisburg-Essen, and
555 integrated support for FIFS as described in Sects. 3.2 – 5 into it. UML4PF is based on
556 the Eclipse platform [11] together with its plug-ins EMF [12] and OCL [8]. Our UML-
557 profiles are conceived as an Eclipse plug-in, extending the EMF meta-model. The OCL
558 constraints are integrated directly into the profile. Thus, it is possible to automatically
559 check the constraints using the validation mechanisms provided by Eclipse.

560 After the developer has drawn some diagram(s) using an EMF-based editor, for ex-
561 ample Papyrus UML [13] and applied our stereotypes, UML4PF provides him or her
562 with the following functionality: it checks if the developed model is valid and consis-
563 tent by using our OCL constraints (represented textually throughout this contribution).
564 It returns the location of invalid parts of the model, and generates documentation that
565 can be used for the manual validation and review activities.

566 7. Related Work

567 *HARA*. We are not aware of any publications about a structured and model-based
568 hazard analysis and risk assessment for automotive systems equipped with integrity
569 checks.

570 Two hazard analysis methods are compared by Törner et al. [14]. The paper
571 shows that the adapted functional failure analysis (FFA) is less time-consuming than
572 the method of the European Space Agency (ESA method). The method presented is
573 this paper is based on the results of [14].

574 The entire safety life-cycle including hazard analysis and risk assessment is pre-
575 sented by Baumgart [15]. Our method can complement the hazard analysis of Baum-
576 gart’s safety life-cycle.

577 The Safety Management System and Safety Culture Working Group provides guid-
578 ance on hazard identification by different means, e.g., brainstorming, HAZOP, check-
579 lists, FMEA [16]. Their results are considered in the method presented in this paper.

580 Jesty et al. [17] give a guideline for the safety analysis of vehicle-based systems, in-
581 cluding system analysis, hazard identification, hazard analysis, identification of safety
582 integrity levels, FMEA, and fault tree analysis. Their work also uses the HAZOP guide-
583 words, but they focus on the safety integrity level as defined in the IEC 61508 and not
584 on the ASIL from ISO 26262. Jesty et al. additionally address FMEA and fault tree
585 analysis for analyzing existing systems, but do not consider a model or validation con-
586 ditions.

587 In contrast to our work, which focuses on the determination of necessary risk reduc-
588 tion, following papers describe model-based approaches specific for later development
589 phases, when the system is already designed and not the determination of necessary
590 risk reduction:

591 Papadopoulos and Grante [18] propose a process that addresses both cost and safety
592 concerns and maximizes the potential for automation to address the problem of increas-
593 ing technological complexity. It combines automated safety analysis with optimization
594 techniques.

595 Li and Zhang [19] present a comprehensive software hazard analysis method, which
596 applies a number of hazard analysis techniques, and the proposed method is applied to
597 a software development process of a control system. The described method for hazard
598 analysis is similar but less detailed than ours.

599 Mehrpouyan [20] proposes a model-based hazard analysis procedure (based on
600 SysML models) for the early identification of potential safety issues caused by un-
601 expected environmental factors and subsystem interactions within a complex safety-
602 critical system. The proposed methodology additionally maps hazard and vulnerability
603 modes to specific components in the designed system and analyzes the hazards.

604 Zhang et al. [21] propose a comprehensive hazard analysis method based on func-
605 tional models. It mainly addresses fault tree analysis and FMEA.

606 Giese et al. [22] present an approach that supports the compositional hazard anal-
607 ysis of UML models described by restricted component and deployment diagrams. It
608 also starts with environment models, but then focuses on the safety analysis of the
609 design.

610 Hauge and Stølen [23] introduce the SaCS method. The method provides guidance
611 on how to select and use patterns for the development of safety control systems. The
612 patterns are categorized into process and product patterns. This work differs from
613 our own, because we focus specifically on early hazard analysis and provide detailed
614 guidance.

615 *FSC*. Basir, Denny, and Fischer [24] present goal structures for safety cases in the
616 automotive sector. They do not focus on the technical realization but consider the
617 entire safety process with their documents as entities.

618 Dittel and Aryus [25] present an overview of V&V activities at Ford Motor Com-
619 pany applied for the lane keeping aid system. This paper also presents elements of the
620 process for functional safety according to ISO 26262, i.e. the analysis activities.

621 Sinha [26] illustrates an example of a brake-by-wire system for road vehicles in-
622 cluding a safety and reliability analysis compliant to ISO 26262. The conclusions
623 derive suggestions for future projects, such as that the system architecture of road ve-
624 hicles shall support the detection of failures and have the means to still provide desired
625 services until the failures are repaired.

626 Palin et al. [27] provide guidelines for safety practitioners and researchers to create
627 safety cases compliant to the ISO 26262 standard. The authors propose extensions of
628 the Goal Structuring Notation, patterns, and a number of re-usable safety arguments
629 for creating safety cases. For confidentiality reasons, the authors cannot show example
630 instantiations of their patterns or generic arguments.

631 Conrad et al. [28] compares software tools that support ISO 26262 certification.
632 The authors identified a list a qualification requirements for selecting ISO 26262 sup-
633 port tools. The publication also contains a report about Conrad et al.'s experience with
634 these tools.

635 Hillebrand et al. [29] discuss how to develop electric and electronic architectures
636 (EEA) compliant with the ISO 26262 standard. The authors focus on safety require-
637 ments during early development phases. Hillenbrand et al. present a method for elic-
638 iting safety requirements, and mapping their safety concerns to functions of design
639 artifacts. Previously, Hillebrand et al. [30] proposed a model-based and tool- sup-
640 ported approach for the failure mode and effect analysis (FMEA) of EAAs complaint
641 to ISO 26262. The authors contribute a formalized method for eliciting and analyzing
642 data for a FMEA.

643 Habli et al. [31] propose a process for model-based assurance for justifying au-
644 tomotive functional safety. They use SysML and GSN as graphical notations. Their
645 goal and ours is similar. We both want to support a method based on ISO 26262 to
646 derive functional safety requirements. In contrast to their work, we use UML, which
647 gives us a broader spectrum of modeling possibilities. Furthermore, we provide tool
648 support for our method and equipped our approach with formal consistency checks on
649 the model. These checks can be automatically checked by our tool. In addition, our
650 way of modeling allows us to trace elements within our models.

651 Born et al. [32] report on lessons learned from applying a model-based approach
652 for ISO 26262 certification. The authors also discuss the advantages of models instead
653 of text in the ISO 26262 certification process

654 *SRS.* We are not aware of any publication about a structured and model-based safety
655 requirements analysis with a focus on the OEM-supplier interface for automotive sys-
656 tems equipped with integrity checks. Chen et al. [33] provide modeling support for ISO
657 26262 software development. In contrast to our work, the authors focus on providing
658 support for the analysis of malfunctions and the hazards they cause. In particular, the
659 work illustrates how to model errors and error propagation in an automotive system.

660 Habili et al. [34] show a model-based method for creating a functional safety con-
661 cept compliant to ISO 26262. The authors extend the SysML modeling notation with
662 new diagram types. Different to our work their approach is limited to functional safety
663 requirements that are elicited based on diagrams. Moreover, they do not provide formal
664 OCL checks nor a structured method.

665 Tang et al. [35] present an approach for explicitly integrating the supplier into the
666 product life-cycle of automotive development. The authors present a high level process
667 for the entire product life-cycle management, and in contrast to our work do not focus
668 on detailed requirements analysis.

669 The entire safety life-cycle including safety requirements analysis is presented by
670 Baumgart [15], who also considers the supplier interface. Our method can complement
671 the analysis of Baumgart’s safety life-cycle, because we offer a greater level of detail.

672 The Safety Management System and Safety Culture Working Group provides guid-
673 ance on functional safety development by different means, e.g., brainstorming, HA-
674 ZOP, checklists, FMEA [16]. Their work considers also the interface between systems
675 and stakeholders, but does not focus in particular on a supplier interface or the auto-
676 motive industry.

677 Jesty et al. [17] give a guideline for the safety analysis of vehicle-based systems, in-
678 cluding system analysis, hazard identification, hazard analysis, identification of safety
679 integrity levels, FMEA, and fault tree analysis. They focus on the safety integrity level

as defined in the IEC 61508 and not on ASIL from ISO 26262. Jesty et al. do not consider a model or validation conditions and do not focus on the supplier interface.

In contrast to our work, who focuses on the safety requirements analysis concerning the supplier interface, the following papers describe model-based approaches specific for later development phases, when the system is already designed and not the determination of necessary risk reduction:

Papadopoulos and Grante [18] propose a process that addresses both cost and safety concerns and maximizes the potential for automation to address the problem of increasing technological complexity. It combines automated safety analysis with optimization techniques.

Giese et al. [22] present an approach that supports the compositional hazard analysis of UML models described by restricted component and deployment diagrams. It also starts with environment models, but then focuses on the safety analysis of the design and does not focus on the supplier interface.

V&V. We are not aware of any publication about a model-based structured validation and verification of automotive systems with a focus on the OEM-supplier interface for automotive systems equipped with integrity checks. Maropoulos et al. [36] presented a survey of industrial verification and validation efforts. The report presents evidence that verification and validation of products and processes is vital for complex products and in particular modeling and planning of such methods are an ongoing research challenge. Sinz et al. [37] used formal methods to validate automotive product configuration data. In contrast to our work, their method specifically focuses on detecting inconsistencies in product configurations of vehicles to support business decisions. Instead we focus on technical verification and validation efforts. Bringman et al. [38] described the impact model-driven design has in the automotive industry and showed how models can be used to derive test cases during different steps of the automotive product life-cycle. In contrast to our work Bringman et al. focus exclusively on model-based testing of automotive systems. Dubois et al. [39] presented a method for model-based validation and verification efforts to check if the final product matches initial requirements. In contrast to our work Dubois et al. focus on using UML-based models to create test cases for more detailed implementation models in e.g. SIMULINK. Montevechi et al. [40] focuses on the simulation of processes in the automotive industry. Their methodology builds simulation models to analyze which combinations of variables can lead to problems. Within the automotive industry, different activities are started to extend the safety processes with model-based system engineering aspects, mainly focusing on architecture description⁶ and semiautomatic safety analyses [41].

Tool. Software-based support tools are described in [32, 42]. Born et. al. [32] describe requirements on such tools and Makartetskiy et. al. [42] compare different tools. Our approach fulfills the requirements stated by Born et. al. [32]. Makartetskiy et. al. [42] state that the commercial product "Medini Analyze" can be used to create the

⁶Electronics Architecture and Software Technology - Architecture Description Language, <http://www.east-adl.info/>

first functional safety work products. Our experience also shows that even in the later development phases on supplier side, the tool can be used to perform safety analyses. Nevertheless, the SysML model extension of "Medini Analyze" is kept confidential as an intellectual property of the tool producer and in contrast to "Medini Analyze", we force the developers to give (as required by ISO 26262) rationals for the derivation of safety requirements.

8. Conclusion

Our method has been applied to several Ford of Europe projects. However, the formal validation conditions and tool support was not used in these projects and was developed as contribution for this paper. We are confident that this contribution will ensure the same consistency and correctness of future verification & validation with less effort than the manual approach currently used.

The main contribution of our approach is a Structured Method helping to:

- select relevant situations from the hierarchically organized profile for the hazard analysis to reduce the risk of forgetting a relevant situation,
- ensure that only situations are considered that are relevant for the function in question,
- describe the effect of a malfunction on system and on vehicle level to make the hazard analysis comprehensible for different stakeholders and enable an efficient team verification of the hazard analysis,
- structure the analysis in different steps on different levels and foster an alignment between the analysis and the organizations (departments with experts regarding hardware/ software, system level, vehicle/functional level) involved in the creation and review of the analysis,
- support the definition of safety goal definitions suitable to derive the system design,
- derive functional safety concepts for the automotive domain compliant to ISO 26262,
- ensure consistency between the safety requirements, safety analyses and safety V&V,
- define a complete set of V&V activities, including reviews, analyses, simulations and tests by using pre-defined V&V activities based on the category of the requirement,
- allocate the V&V activities between OEM and the involved suppliers,
- define due dates,
- collect and assess the V&V results for all requirements, and
- provide input to the safety case.

In this paper, we describe the overall process and add a structured method for requirements management, helping to

- define the interface to the suppliers and address functional safety,
- break down the functional safety requirements into technical safety requirements,

- perform a metric breakdown,
- ensure the completeness of technical safety requirements by using tables with predefined cells.

Our UML profile contains all relevant elements for a hazard analysis, functional safety concept, technical safety requirements specification and safety V&V. The UML profile provides the basis for creating a model for the safety development in compliance with ISO 26262. Thus, we provide a computer-aided technique to discover errors in the complete safety development process caused by inconsistencies or errors in one or more (UML) diagrams. **In addition, the model-based approach enables us to re-use the models, or parts hereof, for similar projects assuming that the same tool base is used.**

The safety development documents, including the supplier interface, in practice are currently document based using spreadsheet-processing tools from Microsoft Office. We propose to conduct the analysis on UML models and to create tables from the models for the different artifacts. Thus, we use a model-based approach, but the suppliers will receive the same type of documentation they are used to.

In the future, we will extend the approach to Safety Analysis and Safety Management. Currently, Ford is implementing tool support in NoMagics MagicDraw. Ford is also creating import and export functionality for their current templates and is developing an interface to requirements management tools.

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