On The Limits of Mutation Reduction Strategies

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ABSTRACT

Although mutation analysis is considered the best way to evaluate the effectiveness of a test suite, hefty computational cost often limits its use. To address this problem, various mutation reduction strategies have been proposed, all seeking to reduce the number of mutants while maintaining the representativeness of an exhaustive mutation analysis. While research has focused on the reduction achieved, the effectiveness of these strategies in selecting representative mutants, and the limits in doing so have not been investigated, either theoretically or empirically.

We investigate the practical limits to the effectiveness of mutation reduction strategies, and provide a simple theoretical framework for thinking about the absolute limits. Our results show that the limit in improvement of effectiveness over random sampling for real-world open source programs is a mean of only 13.075%. Interestingly, there is no limit to the improvement that can be made by addition of new mutation operators.

Given that this is the maximum that can be achieved with perfect advance knowledge of mutation kills, what can be practically achieved may be much worse. We conclude that more effort should be focused on enhancing mutations than removing operators in the name of selective mutation for questionable benefit.

Categories and Subject Descriptors

D.2.5 [Software Engineering]: Testing and Debugging Testing Tools

Keywords

software testing, statistical analysis, mutation analysis

1. INTRODUCTION

The quality of software is a pressing concern for the software industry, and is usually determined by comprehensive testing. However, tests are themselves programs, (usually) written by human beings, and their quality needs to be monitored to ensure that they in fact are useful in ensuring software quality (e.g., it is important to determine if the tests are also a quality software system).

Mutation analysis [11, 36] is currently the recommended method [5] for evaluating the efficacy of a test suite. It involves systematic transformation of a program through the introduction of small syntactical changes, each of which is evaluated against the given test suite. A mutant that can be distinguished from the original program by the test suite is deemed to have been killed by the test suite, and the ratio of all such mutants to the set of mutants identified by a test suite is its mutation (kill) score, taken as an effectiveness measure of the test suite.

Mutation analysis has been validated many times in the past. Andrews et al. [4,5], and more recently Just et al. [32], found that faults generated through mutation analysis resemble real bugs, their ease of detection is similar to that of real faults, and most importantly for us, a test suite’s effectiveness against mutants is similar to its effectiveness against real faults.

However, mutation analysis has failed to gain widespread adoption in software engineering practice due to its substantial computational requirements — the number of mutants generated needs to be many times the number of program tokens in order to achieve exhaustive coverage of even first order mutants (involving one syntactic change at a time), and each mutant needs to be evaluated by a potentially full test suite run. A number of strategies have been proposed to deal with the computational cost of mutation analysis. These have been classified [44] orthogonally into do faster, do smarter, and do fewer approaches, corresponding to whether they improve the speed of execution of a single mutant, parallelize the evaluation of mutants, or reduce the number of mutants evaluated.

A large number of do fewer strategies — mutation reduction methods that seek to intelligently choose a smaller, representative, set of mutants to evaluate — have been investigated in the past. They are broadly divided into operator selection strategies, which seek to identify the smallest subset of mutation operators that generate the most useful mutants [43,46], and stratified sampling [1,9] techniques, which seek to identify groups of mutants that have high similarity between them to reduce the number of mutants while maintaining representativeness and diversity [53,54]. Even more complex methods using clustering [19,37], static analysis [28,34] and other intelligent techniques [48] are under active research [20].

These efforts raise an important question: What is the
actual effectiveness of a perfect mutation reduction strategy over the baseline — random sampling — given any arbitrary program?

We define the **efficiency** of a selection technique as the amount of reduction achieved, and the **effectiveness** as the selection technique’s ability to choose a representative reduced set of mutants, that require as many test cases to kill as the original set of mutants. The ratio of effectiveness of a technique to that of random sampling is taken as the **utility** of the technique.

We approach these questions from two directions. First, we consider a simple theoretical framework in which to evaluate the improvement in effectiveness for the best mutation reduction possible, using a few simplifying assumptions, and given oracular knowledge of mutation kills. This helps set the base-line. Second, we empirically evaluate the best mutation reduction possible for a large number of projects, given post hoc (that is, oracular) detection knowledge. This gives us practical (and optimistic) limits given common project characteristics.

Our contributions are as follows:

- We find a theoretical upper limit for the effectiveness of mutation reduction strategies of 58.2% for a uniform distribution of mutants — the distribution most favorable for random sampling. We later show that for real world programs, the impact of distribution is very small (4.467%) suggesting that uniform distribution is a reasonable approximation.

- We find an empirical upper limit for effectiveness through the evaluation of a large number of open source projects, which suggests a maximum practical utility of 13.078% on average, and for 95% of projects, a maximum utility between 12.218% and 14.26% (one sample u-test \( p < 0.001 \))

- We show that even if we consider a set of mutants that are distinguished by at least one test (thus discounting the impact of skew in redundant mutants) we can expect a maximum utility of 17.545% on average, and for 95% of projects, a maximum utility between 16.912% and 18.876% (one sample u-test \( p < 0.001 \)).

What do our results mean for the future of mutation reduction strategies? Any advantage we gain over random sampling is indeed an advantage, however small. However, our understanding of mutant semiotics is as yet imperfect, and insufficient to infer whether the kind of selection employed is advantageous. In fact, our current research shows that current operator selection strategies seldom provide any advantage over random sampling, and even strata sampling based on program elements never achieves more than a 10% advantage over pure random sampling. Our results suggest that the effort spent towards improving mutant selection mechanisms should be carefully weighed against the potential maximum utility, and the risks associated with actually making things worse through biased sampling.

Our research is also an endorsement of the need for further research into new mutators. It suggests that addition of new mutators and then randomly sampling the same number of mutants as that of the original set, is only subject to a similar maximum disadvantage (\( \frac{0.189 \times 1.109}{1.000} = 23.268\% \) upper limit for 95% projects), while having essentially no upper bound on advantage due to increase in effectiveness.

The asymmetry between improvement obtained by operator removal and operator addition is caused by the difference in population from which the random comparison sample is drawn. For operator selection, the perfect set remaining after removal of operators is a subset of the original population. Since the random sample is drawn from the original population, it can potentially contain a mutant from each strata in the perfect set. For operator addition, the new perfect set is a superset of the original population, with as many new strata as there are new mutants (no bounds on the number of new strata). Since the random sample is constructed from the original population, it does not contain the newly added strata.

Our results suggest a higher payoff in finding newer categories of mutations, than in trying to reduce the mutation operators already available.

In the interests of easy replication, our research is organized and reproducible using *Knitr*. The raw *Knitr* source of our paper along with the *R* data set required to build the paper, and the instructions to do so, are available [23].

2. RELATED WORK

According to Mathur [39], the idea of mutation analysis was first proposed by Richard Lipton, and formalized by DeMillo et al. [17] A practical implementation of mutation analysis was done by Budd et al. [10] in 1980.

Mutation analysis subsumes different coverage measures [9, 40, 45]; the faults produced are similar to real faults in terms of the errors produced [15] and ease of detection [4, 5]. Just et al. [32] investigated the relation between mutation score and test case effectiveness using 357 real bugs, and found that the mutation score increased with effectiveness for 75% of cases, which was better than the 46% reported for structural coverage.

Performing a mutation analysis is usually costly due to the large number of test runs required for a full analysis [31]. There are several approaches to reducing the cost of mutation analysis, categorized by Offutt and Untch [44] as: do fewer, do smarter, and do faster. The do fewer approaches include selective mutation and mutant sampling, while weak mutation, parallelization of mutation analysis, and space/time trade-offs are grouped under the umbrella of do smarter. Finally, the do faster approaches include mutant schema generation, code patching, and other methods.

The idea of using only a subset of mutants was conceived along with mutation analysis itself. Budd [9] and Acree [1] showed that even 10% sampling approximates the full mutation score with 99% accuracy. This idea was further explored by Mathur [38], Wong et al. [50, 51], and Offutt et al. [43] using Mothra [16] for Fortran.

A number of studies have looked at the relative merits of operator selection and random sampling criteria. Wong et
operators given equal operator priority. Mresa et al. [41] used the cost of detection as a means of operator selection. They found that if a very high mutation score (close to 100%) is required, x% selective mutation is better than operator selection, and, conversely, for lower scores, operator selection would be better if the cost of detecting mutants is considered.

Zhang et al. [54] compared operator-based mutant selection techniques to random sampling. They found that none of the selection techniques were superior to random sampling. They also found that uniform sampling is more effective for larger programs compared to strata sampling on operators, and the reverse is true for smaller programs. Recently, Zhang et al. [53] confirmed that sampling as few as 5% of mutants is sufficient for a very high correlation (99%) with the full mutation score, with even fewer mutants having a good potential for retaining high accuracy. They investigated eight sampling strategies on top of operator-based mutant selection and found that sampling strategies based on program components (methods in particular) performed best.

Some studies have tried to find a set of sufficient mutation operators that reduce the cost of mutation but maintain correlation with the full mutation score. Offutt et al. [43] suggested an n-selective approach with step-by-step removal of operators that produce the most numerous mutations. Barbosa et al. [8] provided a set of guidelines for selecting such mutation operators. Namin et al. [42, 47] formulated the problem as a variable reduction problem, and found that just 28 out of 108 operators in Proteum were sufficient for accurate results.

Using only the statement deletion operator was first suggested by Unch [49], who found that it had the highest correlation ($R^2 = 0.97$) with the full mutation score compared to other operator selection methods, while generating the smallest number of mutants. This was further reinforced by Deng et al. [18] who defined deletion for different language elements, and found that an accuracy of 92% is achieved while reducing the number of mutants by 80%.

A similar mutation reduction strategy is to cluster similar mutations together [20, 27], which has been attempted based on domain analysis [28] and machine learning techniques based on graphs [48].

In operator and mutant subsumption, operators or mutants that do not significantly differ from others are eliminated. Kurtz et al. [35] found that a reduction of up to 24 times can be achieved using subsumption alone, even though the result is based on an investigation of a single program, ca1. Research into subsumption of mutants also includes Higher Order Mutants (HOM), whereby multiple mutations are introduced into the same set of mutants, reducing the number of individual mutants by subsuming component mutants. HOMs were investigated by Jia et al. [29, 30], who found that they can reduce the number of mutants by 50%.

Ammann et al. [3] observe that the set of minimal mutants corresponding to a minimal test suite has the same cardinality as the test suite, and provides a simple algorithm for finding both a minimal test suite and a corresponding minimal mutant set. Their work also suggests this minimal mutant set as a way to evaluate the quality of a mutation reduction strategy. Finally, Ammann et al. also found that the particular strategies examined are rather poor when it comes to selecting representative mutants. Our work is an extension of Ammann et al. [3] in that we provide a theoretical and empirical bound to the amount of improvement that can be expected by any mutation reduction strategy.

In comparison with previous work [53, 54] our analysis is backed by theory and compares random sampling to the limit of selection. That is, the results from our study are applicable to techniques such as clustering using static analysis, and even improved strata sampling techniques. Further, we are the first to evaluate the effectiveness of non-adequate test suites (Zhang et al. [53] evaluates only the predictive power of non-adequate test suites, not effectiveness). Finally, previous research [53, 54] does not compare the effectiveness of the same number of mutants for sampling and operator selection, but rather different operator-selections with samples of increasing size such as 5%, 10% etc. We believe that practitioners will be more interested in comparing the effectiveness achieved by the same numbers of mutants.

### 3. THEORETICAL ANALYSIS

The ideal outcome for a mutation reduction strategy is to find the minimum set of mutants that can represent the complete set of mutants. A mutation reduction strategy accomplishes this by identifying redundant mutants and grouping them together so that a single mutant is sufficient to represent the entire group. The advantage of such a strategy over random sampling depends on two characteristics of the mutant population. First, it depends on the number of redundant mutants in each group of such mutants. Random sampling works best when these groups have equal numbers of mutants in them (uniform distribution), while any other distribution of mutants (skew) results in lower effectiveness of random sampling. However, this distribution is dependent on the program being evaluated. Since our goal is to find the mean advantage for a perfect strategy for an arbitrary program, we use the conservative distribution (uniform) of mutants for our theoretical analysis (we show later that the actual impact of this skew is less than 5% for real world mutants).

The next consideration regards the minimum number of mutants required to represent the entire population of mutants. If a mutant can be distinguished from another in terms of tests that detect it, then we consider both to be distinguishable from each other in terms of faults they represent, and we pick a representative from each set of indistinguishable mutants. Note that, in the real world, the population of distinguishable mutants is often larger than the minimum number of mutants required to select a minimum test suite able to kill the entire mutant population. This is

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3The authors choose a random operator, and then a mutant of that operator. This is in effect strata sampling on operators given equal operator priority.

4A minimum test suite with respect to a set of mutants is the smallest test suite that can kill all mutants in the set, and a minimal test suite is a test suite from which no further tests can be removed without decreasing mutation score. Our approach tries to approximate the actual minimum test suite using the greedy algorithm that has an approximation bound of $k \cdot \ln(n)$ where $k$ is the true minimum, and $n$ is the number of elements. Since we have a strong bound on the approximation, and since the algorithm is robust in practice, we use the minimal computed by the greedy algorithm as a
because while some mutants are distinguishable from others in terms of tests that detect them, there may not be any test that uniquely kills them\(^5\). Since this is external to the mutant population, and also because such a minimum set of mutants does not represent the original population fully (we can get away with a lower number only because the test suite is inadequate), we assume that distinguishable mutants are uniquely identified by test cases. We note however, that having inadequate test suites favors random sampling, and hence lowers the advantage for a perfect mutation reduction strategy, because random sampling can now miss the mutant without penalty. We derive the limits of mutation reduction for this system using the best strategy possible, given oracular knowledge of mutant kills.

**Impact of deviations of parameters:**

*Skew:* The presence of skew reduces the effectiveness of random sampling, and hence increases the utility of the perfect strategy.

*Distinguishability:* Any distinguishable mutant that is not chosen by the strategy (due to not having a unique detecting test case) decreases the effectiveness of the selection strategy, decreasing its utility.

Before establishing a theoretical framework for utility of mutation reduction strategies, we must establish some terminology for the original and reduced mutant sets and their related test suites.

**Terminology:** Let \( M \) and \( M_{strategy} \) denote the original set of mutants and the reduced set of mutants, respectively. The mutants from \( M \) killed by a test suite \( T \) are given by \( kill(T, M) \) (We use \( M_{killed} \) as an alias for \( kill(T, M) \)). Similarly the tests in \( T \) that kill mutants in \( M \) are given by \( cover(T, M) \).

\[
kill: T \times M \to M
\]

\[
cover: T \times M \to T
\]

The test suite \( T_{strategy} \) can kill all mutants in \( M_{strategy} \). That is, \( kill(T_{strategy}, M_{strategy}) = M_{strategy} \). If it is minimized with respect to the mutants of the strategy, we denote it by \( T_{strategy}^{\text{min}} \).

Two mutants \( m \) and \( m' \) are distinguished if the tests that kill them are different: \( cover(T, \{m\}) \neq cover(T, \{m'\}) \).

We use \( M_{killed}^{\text{distinct}} \) to denote the set of distinguished mutants from the original set such that \( \forall m, m' \in M \, \text{and} \, cover(T, \{m\}) \neq cover(T, \{m'\}) \).

The utility \( (U_{strategy}) \) of a strategy is improvement in effectiveness due to using that strategy compared to the baseline (the baseline is random sampling of the same number\(^6\) of mutants). That is,

\[
U_{strategy} = \frac{\text{kill}(T_{strategy}^{\text{min}}, M)}{\text{kill}(T_{random}^{\text{min}}, M)} - 1
\]

\(^5\)Consider the mutant x test matrix (1 implies the test kills the mutant) \( \{\{1, 1, 0\}, \{1, 0, 1\}, \{0, 1, 1\}\} \). While all the mutants are distinguishable, just two test cases are sufficient to kill them all.

\(^6\)For the rest of the paper, we require that efficiency of random sampling is the same as that of the strategy it is compared to, i.e. \( |M_{strategy}| = |M_{random}| \).

Note that \( T_{strategy}^{\text{min}} \) is minimized over the mutants selected by the strategy, and it is then applied against the full set of mutants \( (M) \) in \( \text{kill}(T_{strategy}^{\text{min}}, M) \).

This follows the traditional evaluation of effectiveness, which goes as follows: start with the original set of mutants, and choose a subset of mutants according to the strategy. Then select a minimized set of test cases that can kill all the selected mutants. This minimized test suite is evaluated against the full set of mutants. If the mutation score obtained is greater than 99%, then the reduction is deemed to be effective. Note that we compare this score against the score of a random set of mutants of the same size, in order to handle the case where the full suite itself is not mutation adequate (or even close to adequate). Our utility answers the question: does this set of mutants better represent the test adequacy criteria represented by the full set of mutants than a random sample of the same size, and if so, by how much?

The strategy that can select the perfect set of representative mutants (the smallest set of mutants such that they have the same minimum test suite as the full set) is called the *perfect strategy*, with its utility denoted by \( U_{\text{perfect}} \).\(^7\)

We now show how to derive an expression for the maximum \( U_{\text{perfect}} \) for the idealized system with the following restrictions.

1. We assume that we have an equal number of redundant mutants for each distinguished mutant.

From here on, we refer to a set of non-distinguished mutants as a *stratum*, and the entire population is referred to as the *strata*. Given any population of detected mutants, the mutation reduction strategy should produce a set of mutants such that if a test suite can kill all of the reduced set, the same test suite can kill all of the original mutant set (remember that \( T_{strategy} \) kills all mutants in \( M_{strategy} \)). Hence,

\[
\text{kill}(T_{\text{perfect}}, M) = \text{kill}(T, M)
\]

The quality of the test suite thus selected is dependent on the number of unique mutants that we are able to sample. Since we have supposed a uniform distribution, say we have \( x \) elements per stratum, and total \( n \) mutants. Our sample size \( s \) would be \( p \times k \) where \( k \) is the number of strata, \( p \) is the number of samples from each stratum, and is a natural number; i.e. the sample would contain elements from each stratum, and those would have equal representation. Note that there will be at least one sample, and one strata: i.e., \( s \geq 1 \). Since our strata are perfectly homogeneous by construction, in practice \( p = 1 \) is sufficient for perfect representation, and as we shall see below, ensures maximal advantage over random sampling.

Next, we evaluate the number of different (unique) strata expected in a random sample of the same size \( s \).

Let \( X_i \) be a random variable defined by:

\[
X_i = \begin{cases} 
1 & \text{if strata } i \text{ appears in the sample} \\
0 & \text{otherwise}
\end{cases}
\]

Let \( X \) be the number of unique strata in the sample, which is given by: \( X = \sum_{i=1}^{s} X_i \), and the expected value of \( X \) (con-\(^7\)Where unambiguous, we shorten the subscript such as \( p \) for *perfect*, and \( r \) for *random*.
Considering that all mutants have equal chance to be sampled, it is given by:

\[ E(X) = E(\sum_{i=1}^{k} X_i) = \sum_{i=1}^{k} E(X_i) = k \times E(X_1) \]

Next, consider the probability that the mutant 1 has been selected, where the sample size was \( s = p \times k \):

\[ P[X_1 = 1] = 1 - \left( \frac{k - 1}{k} \right)^{pk} \]

The expectation of \( X_1 \):

\[ E(X_1) = 1 \times P(X_1 = 1) \]

Hence, the expected number of unique strata appearing in a random sample is:

\[ k \times E(X_1) = k - k \times \left( \frac{k - 1}{k} \right)^{pk} \]

We already know that the number of unique strata appearing in each strata-based sample is \( k \) (because it is perfect, so each strata is unique). Hence, we compute the utility as the difference divided by the baseline.

\[ U_{max} = \frac{k - k \times \left( \frac{k - 1}{k} \right)^{pk}}{k - k \times \left( \frac{k - 1}{k} \right)^{pk}} = \frac{1}{\left( \frac{k - 1}{k} \right)^{pk} - 1} \] (1)

This converges to \(^8\)

\[ \lim_{k \to \infty} \frac{1}{\left( \frac{k - 1}{k} \right)^{pk} - 1} = \frac{1}{e^{p} - 1} \] (2)

and has a maximum value when \( p = 1 \).

\[ U_{max} = \frac{1}{e - 1} \approx 58.2\% \] (3)

Note that this is the mean improvement expected over random sampling for uniform distribution of redundant mutants in strata (and with oracular knowledge). That is, individual samples could still be arbitrarily advantageous (after all, the perfect strata sample itself is one potential random sample), but on average this is the expected gain over random samples.

How do we interpret this result? If you have a robust set of test cases that is able to uniquely identify distinguishable mutants, then given an arbitrary program, you can expect a perfect strategy to have at least a mean 58.2% advantage over random sample of the same efficiency in terms of effectiveness. However, if the program produces redundant mutants that are skewed, then the advantage of perfect strategy with oracular knowledge will increase (depending on the amount of skew). Similarly, if the tests are not sufficient to identify distinguishable mutants uniquely, we can expect the advantage of the perfect strategy to decrease. Finally, strategies can rarely be expected to come close to perfection in terms of classifying mutants in terms of their behavior without post hoc knowledge of the kills. Hence the advantage held by such a strategy would be much much lower (or it may not even have an advantage).

\(^8\) While we can expect \( k \) to be finite for mutation testing, we are looking at the maximum possible value for this expression.

Table 1: PIT Mutation Operators. The (*) operators were added or extended by us.

<table>
<thead>
<tr>
<th>Operator</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>IN</td>
<td>Remove negative sign from numbers</td>
</tr>
<tr>
<td>RV</td>
<td>Mutate return values</td>
</tr>
<tr>
<td>M</td>
<td>Mutate arithmetic operators</td>
</tr>
<tr>
<td>VMC</td>
<td>Remove void method calls</td>
</tr>
<tr>
<td>NC</td>
<td>Negate conditional statements</td>
</tr>
<tr>
<td>CB</td>
<td>Modify boundaries in logical conditions</td>
</tr>
<tr>
<td>I</td>
<td>Modify increment and decrement statements</td>
</tr>
<tr>
<td>NMC</td>
<td>Remove non-void method calls, returning default value</td>
</tr>
<tr>
<td>CC</td>
<td>Replace constructor calls, returning null</td>
</tr>
<tr>
<td>IC</td>
<td>Replace inline constants with default value</td>
</tr>
<tr>
<td>RI*</td>
<td>Remove increment and decrement statements</td>
</tr>
<tr>
<td>EMV</td>
<td>Replace member variable assignments with default value</td>
</tr>
<tr>
<td>ES</td>
<td>Modify switch statements</td>
</tr>
<tr>
<td>RS*</td>
<td>Replace switch labels with default (thus removing them)</td>
</tr>
<tr>
<td>RC*</td>
<td>Replace boolean conditions with true</td>
</tr>
<tr>
<td>DC*</td>
<td>Replace boolean conditions with false</td>
</tr>
</tbody>
</table>

Figure 1: Distribution of number of mutants and test suites. It shows that we have a reasonable non-biased sample with both large programs with high mutation scores, and also small low scoring projects.

4. EMPIRICAL ANALYSIS

The above analysis provides a theoretical framework for evaluating the advantage a sampling method can have over random sampling, with a set of mutants and test suite constructed with simplifying assumptions. It also gives us an expected limit for how good these techniques could get for a uniform distribution of mutants. However, in practice, it is unlikely that real test suites and mutant sets meet our assumptions. What advantage can we expect to gain with real software systems, even if we allow our hypothetical method to make use of prior knowledge of the results of mutation analysis? To find out, we examine a large set of real-world programs and their test suites.

Our selection of sample programs for this empirical study of the limits of mutation reduction was driven by a few overriding concerns. Our primary requirement was that our results should be as representative as possible of real-world programs. Second, we strove for a statistically significant result, therefore reducing the number of variables present in the experiments for reduction of variability due to their presence.

We chose a large random sample of Java projects from Github [22]\(^9\) and the Apache Software Foundation [6] that use the popular Maven [7] build system. From an initial 1,800 projects, we eliminated aggregate projects, and projects without test suites, which left us with 796 projects. Out of 8 Github allows us access only a subset of projects using their search API. We believe this should not confound our results.
these, 326 projects compiled (common reasons for failure included unavailable dependencies, compilation errors due to syntax, and bad configurations). Next, projects that did not pass their own test suites were eliminated since the analysis requires a passing test suite. Tests that timed out for particular mutants were assumed to have not detected the mutant. The tests that completely failed to detect any of the mutants were eliminated as well, as these were redundant to our analysis. We also removed all projects with trivial test suites, leaving only those that had at least 100 test cases. This left us with 39 projects. The projects are given in Table 2.

We used PIT [13] for our analysis. PIT was extended to provide operators that it was lacking [2] (accepted into mainline). We also ensured that the final operators (Table 1) were not redundant. The redundancy matrix for the full operator set is given in Figure 2. A mutant $m$ is deemed to subsume another, say $m_2$ if any tests that kill $m_1$ are guaranteed to kill $m_2$. This is extended to mutation operators whereby the fraction of mutants in $o_1$ killed by test cases that kills all mutants in $o_2$ is taken as the degree of subsumption of $o_1$ by $o_2$. The matrix shows that the maximum subsumption was just 43% — that is, none of the operators were redundant. For a detailed description of each mutation operator, please refer to the PIT documentation [14]. To remove the effects of random noise, results for each criteria were averaged over ten runs. The mutation scores along with the sizes of test suites are given in Figure 1.

It is of course possible that our results may be biased by the mutants that PIT produces, and it may be argued that the tool we use produces too many redundant mutants, and hence the results may not be applicable to a better tool that reduces the redundancy of mutants. To account for this argument, we run our experiment in two parts, with similar procedures but with different mutants. For the first part, we use the detected mutants from PIT as is, which provides us with an upper bound that a practicing tester can expect to experience, now, using an industry-accepted tool. For the second part, we choose only distinguishable mutants [3] from the original set of detected mutants. What this does is to reduce the number of samples from each stratum to 1, and hence eliminate the skew in mutant population. Note that this requires post-hoc knowledge of mutant kills (not just that the mutants produce different failures, but also that available tests in the suite can distinguish between both), and is the best one can do for the given projects to enhance the utility of any strategy against random sampling. We provide results for both the practical and more theoretically interesting distinguishable sets of mutants. Additionally, in case adequacy has an impact, we chose the projects that had plausible mutation-adapted test suites, and computed the possible advantage separately.

### 4.1 Experiment

Our task is to find the $U_{\text{perfect}}$ for each project. The requirements for a perfect strategy are simple:

1. The mutants should be representative of the full set. That is,
   $\forall m \in M_p \, \text{kill}(T_p, M_p) = \text{kill}(T, M)$

2. The mutants thus selected should be non-redundant. That is,
   $\forall m \in M_p \, \text{kill}(T_p, M_p \setminus \{m\}) \subset \text{kill}(T_p, M_p)$
The minimal mutant set suggested by Ammann et al. [3] satisfies our requirements for a perfect strategy, since it is representative — a test suite that can kill the minimal mutants can kill the entire set of mutants — and it is non-redundant with respect to the corresponding minimal test suite.

Ammann et al. [3] observed that the cardinality of a minimal mutant set is the same as the cardinality of the corresponding minimal test suite. That is,

\[ |M_{\text{perfect}}^\text{min}| = |\text{MinTest}(T, M)| = |T_{\text{all}}^\text{min}| \]

Finding the true minimal test suite for a set of mutants is NP-complete. The best possible approximation algorithm is Chvatal's [12], using a greedy algorithm where each iteration tries to choose a set that covers the largest number of mutants. This is given in Algorithm 1. In the worst case, if the number of mutants is \( n \), and the smallest test suite that can cover it is \( k \), this algorithm will achieve a \( k \cdot \ln(n) \) approximation. We note that this algorithm is robust in practice, and usually gets results close to the actual minimum \( k \) (see Figure 3). Further, Feige [21] showed that this is the closest approximation ratio that an algorithm can reach for set cover so long as \( NP \neq P \).

Since it is an approximation, we average the greedily estimated minimal test suite size over 100 runs. The variability is given in Figure 3, ordered by the size of minimal test suite. Note that there is very little variability, and the variability decreases as the size of test suite increases. All we need now is to find the effectiveness of random sampling for the same number of mutants as produced by the perfect strategy.

Algorithm 1 Finding the minimal test suite

```plaintext
function MINTEST(Tests, Mutants)
    T ← Tests
    M ← kill(T, Mutants)
    T_{min} ← ∅
    while T ≠ ∅ ∧ M ≠ ∅ do
        t ← random(max{kill(\{t\}, M)})
        T ← T \ {t}
        M ← kill(T, Mutants)
        T_{min} ← T_{min} ∪ \{t\}
    end while
    return T_{min}
end function
```

Next, we randomly sample \( |M_{\text{perfect}}^\text{min}| \) mutants from the original set \( M_{\text{random}} \), obtain the minimal test suite of this sample \( T_{\text{random}}^\text{min} \), and find the mutants from the original set that are killed by this test suite \( \text{kill}(T_{\text{random}}^\text{min}, M) \), which is used to compute the utility of perfect strategy with respect to that particular random sample. The experiments were repeated 100 times for each project, and averaged to compute \( U_{\text{perfect}} \) for the project under consideration.

5. RESULTS

5.1 All Mutants

Our results are given in Table 3. We found that the largest utility achieved by the perfect strategy was 17.997%, for project joda-money, while the lowest utility was 1.153%, for project joda-money. The mean utility of the perfect strat-
Table 3: The maximum utility achievable by a perfect strategy for each project

<table>
<thead>
<tr>
<th>Project</th>
<th>(\mu(T_{\text{kill}}, M))</th>
<th>(\mu(T_{\text{kill}}, M))</th>
<th>(U_{\text{perf}})</th>
</tr>
</thead>
<tbody>
<tr>
<td>events</td>
<td>762</td>
<td>666.97</td>
<td>0.06</td>
</tr>
<tr>
<td>annotation-cli</td>
<td>589</td>
<td>528.51</td>
<td>0.11</td>
</tr>
<tr>
<td>mercurial-plugin</td>
<td>401</td>
<td>342.91</td>
<td>0.17</td>
</tr>
<tr>
<td>fongo</td>
<td>1209</td>
<td>1052.99</td>
<td>0.15</td>
</tr>
<tr>
<td>config-magic</td>
<td>721</td>
<td>640.91</td>
<td>0.13</td>
</tr>
<tr>
<td>clazz</td>
<td>1583</td>
<td>1402.39</td>
<td>0.13</td>
</tr>
<tr>
<td>ognl</td>
<td>12308</td>
<td>11426.09</td>
<td>0.08</td>
</tr>
<tr>
<td>java-api-wrapper</td>
<td>1304</td>
<td>1148.52</td>
<td>0.14</td>
</tr>
<tr>
<td>webbit</td>
<td>1981</td>
<td>1793.96</td>
<td>0.10</td>
</tr>
<tr>
<td>mgwt</td>
<td>1065</td>
<td>949.96</td>
<td>0.12</td>
</tr>
<tr>
<td>csv</td>
<td>1159</td>
<td>1282.93</td>
<td>0.14</td>
</tr>
<tr>
<td>joda-money</td>
<td>1272</td>
<td>1257.55</td>
<td>0.01</td>
</tr>
<tr>
<td>mirror</td>
<td>1440</td>
<td>1252.50</td>
<td>0.15</td>
</tr>
<tr>
<td>jdbi</td>
<td>4362</td>
<td>3914.73</td>
<td>0.11</td>
</tr>
<tr>
<td>dutils</td>
<td>961</td>
<td>854.83</td>
<td>0.12</td>
</tr>
<tr>
<td>cli</td>
<td>2330</td>
<td>2069.84</td>
<td>0.13</td>
</tr>
<tr>
<td>commons-math1-110n</td>
<td>2980</td>
<td>2527.66</td>
<td>0.13</td>
</tr>
<tr>
<td>mp3agic</td>
<td>4003</td>
<td>3620.41</td>
<td>0.11</td>
</tr>
<tr>
<td>asterisk-java</td>
<td>3206</td>
<td>2734.69</td>
<td>0.16</td>
</tr>
<tr>
<td>pipes</td>
<td>2176</td>
<td>1884.73</td>
<td>0.16</td>
</tr>
<tr>
<td>hank</td>
<td>7109</td>
<td>6200.08</td>
<td>0.15</td>
</tr>
<tr>
<td>java-classmate</td>
<td>2316</td>
<td>1960.76</td>
<td>0.18</td>
</tr>
<tr>
<td>betwixt</td>
<td>4271</td>
<td>3809.19</td>
<td>0.12</td>
</tr>
<tr>
<td>cli2</td>
<td>3145</td>
<td>2760.66</td>
<td>0.14</td>
</tr>
<tr>
<td>jopt-simple</td>
<td>1718</td>
<td>1546.21</td>
<td>0.11</td>
</tr>
<tr>
<td>faunus</td>
<td>4809</td>
<td>4078.22</td>
<td>0.18</td>
</tr>
<tr>
<td>beanutils2</td>
<td>1281</td>
<td>1141.73</td>
<td>0.12</td>
</tr>
<tr>
<td>primitives</td>
<td>4125</td>
<td>3565.83</td>
<td>0.16</td>
</tr>
<tr>
<td>sandbox-primitives</td>
<td>4125</td>
<td>3565.83</td>
<td>0.16</td>
</tr>
<tr>
<td>validator</td>
<td>4070</td>
<td>3616.71</td>
<td>0.13</td>
</tr>
<tr>
<td>xstream</td>
<td>9163</td>
<td>8307.12</td>
<td>0.10</td>
</tr>
<tr>
<td>commons-codec</td>
<td>8252</td>
<td>7545.50</td>
<td>0.11</td>
</tr>
<tr>
<td>beanutils</td>
<td>6823</td>
<td>6071.53</td>
<td>0.12</td>
</tr>
<tr>
<td>configuration</td>
<td>13706</td>
<td>12359.89</td>
<td>0.11</td>
</tr>
<tr>
<td>collections</td>
<td>8561</td>
<td>7392.63</td>
<td>0.16</td>
</tr>
<tr>
<td>jfreechart</td>
<td>32456</td>
<td>28171.19</td>
<td>0.15</td>
</tr>
<tr>
<td>commons-lang3</td>
<td>26741</td>
<td>22742.46</td>
<td>0.18</td>
</tr>
<tr>
<td>commons-math1</td>
<td>90681</td>
<td>81898.25</td>
<td>0.11</td>
</tr>
<tr>
<td>jodatime</td>
<td>23796</td>
<td>20491.96</td>
<td>0.16</td>
</tr>
</tbody>
</table>

An analysis of variance (ANOVA) to determine significant variables affecting \(U_{\text{perf}}\) suggests that the variability due to project is a significant factor \((p < 0.001)\) and interacts with \(\mu(T_{\text{random}}, M)\) strongly.

\[
\mu(U_p) = \mu(T_{\text{kill}}, M) + \mu(T_{\text{kill}}, M) \times \mu(T_{\text{random}}, M)
\]

The variable \(U_p\) has a correlation of 0.682 with the \(U_{\text{perf}}\), and the combined terms have a correlation of 0.9995 with \(U_{\text{perf}}\).

5.2 Distinguishable Mutants

Our results are given in Table 4. We found that the largest utility achieved by the perfect strategy was 26.159%, for project mercurial-plugin, while the lowest utility was 2.283%, for project joda-money.

The mean utility of the perfect strategy was 17.545%. A one sample u-test showed that 95% of projects have a maximum utility between 16.912% and 18.876% \((p < 0.001)\).

The utility distribution for each project is captured in Figure 7. The projects are sorted by the average minimal test suite size.

This situation does not change with either test suite or project size.

The utility \(U_p\) has low correlation with total mutants, detected mutants, mutation score, and minimal test suite size. The correlation factors are given in Table 5.

An analysis of variance (ANOVA) to determine significant

Table 5: The correlation of utility for all mutants, killed mutants, mutation score, and minimal test suite size, based on both full set of mutants, and also considering only distinguished mutants

<table>
<thead>
<tr>
<th></th>
<th>(R^2_{\text{kill}})</th>
<th>(R^2_{\text{distinguished}})</th>
</tr>
</thead>
<tbody>
<tr>
<td>(M)</td>
<td>-0.02</td>
<td>-0.03</td>
</tr>
<tr>
<td>(M_{\text{kill}}/M)</td>
<td>-0.02</td>
<td>-0.00</td>
</tr>
<tr>
<td>(T_{\text{min}})</td>
<td>-0.01</td>
<td>-0.02</td>
</tr>
</tbody>
</table>

...
variables affecting $U_{\text{perfect}}$ found that the variability due to project is a significant factor ($p < 0.001$) and strongly interacts with $\text{kill}(T_{\text{random}}, M)$.

$$\mu(U_p) = \text{project} + \text{kill}(T_r, M) + \text{project} \times \text{kill}(T_r, M)$$
The variable $\text{project}$ has a correlation of 0.734 with the $U_{\text{perfect}}$, and the combined terms have a correlation of 0.9994 with $U_{\text{perfect}}$.

### 5.3 Adequate Mutants

Finally, one may ask if adequacy has an impact on the effectiveness of selection strategies. Following the industry practice of deeming well-tested projects adequate after discounting equivalent mutants [47, 52–54], we chose large well tested projects that had at least 10,000 mutants and a mutation score of at least 70\% (in the range of similar studies above) which were deemed adequate. We evaluated the utility for configuration, commons-lang3, commons-math1, jodatime and found that they have a mean maximum utility of 13.955\%. These same projects have a distinguished mean maximum utility of 17.893\%. This suggests that adequacy does not have a noticeable impact on the effectiveness of selection strategies.

### 6. DISCUSSION

Mutation analysis is an invaluable tool that is often difficult to use in practice due to hefty computational requirements. There is ongoing and active research to remedy this situation using different mutation reduction strategies. Hence, it is important to understand the amount by which one can hope to improve upon the simplest baseline strategy for reduction — pure random sampling.

Our theoretical analysis of a simple idealized system finds a mean improvement of 58.2\% over random sampling for a mutation reduction strategy with oracular knowledge of mutation kills given a uniform distribution of mutants. This serves as an upper bound of what any known mutation reduction strategy could be expected to achieve (under the assumption that the mutant distribution is reasonably close to uniform).

Our empirical analysis using a large number of open source projects reveals that the practical limit is much lower, however, on average only 13.078\% for mutants produced by PIT. Even if we discount the effects of skew, by using only distinguished mutants, the potential improvement is restricted to 17.545\% on average.

It is important to distinguish the different questions that the theory and empirical analysis tackle. The theoretical limit shows the best that can be done by a perfect mutation strategy given the worst distribution of mutants one may encounter. On the other hand, the empirical analysis finds the average utility of a perfect strategy without regard to the distribution of mutants in different programs. However, given that the effects of skew were found to be rather weak (only 4.467\%) the theoretical bound is reasonable for the empirical question too.

The empirical upper bounds on gain in utility are surprisingly low, and call into question the effort invested into improving mutation reduction strategies. Of course, one can still point out that random sampling is subject to the vagaries of chance, as one can get arbitrarily good or bad samples. However, our results suggest that the variance of individual samples is rather low, and the situation improves quite a bit with larger projects — e.g. the variance of commons-math1 is just 0.397\%. Hence the chances for really bad samples are very low in the case of projects large enough to really need mutant reduction, and drop quickly as the number of test cases increases. One may wonder if the adequacy of test suites has an impact, but our analysis of projects with adequate test suites suggests that there is very little difference due to adequacy ($U_{\text{perfect}} = 13.955\%$). In general, using accepted standard practices for statistical sampling to produce reasonably-sized random mutant samples should be practically effective for avoiding unusually bad results due to random chance. The added advantage is that random sampling is easy to implement and incurs negligible overhead.

We note that our framework is applicable not only to selective mutation, but also to mutation implementors looking to add new mutators. Say a mutation implementor has a perfect set of mutation operators such that their current set of mutants does not have any redundant mutants (practically infeasible given our shallow understanding of mutant semiotics). Even if we consider the addition of a new set of random mutants that do not improve the mutation set at all, in that they are redundant with respect to the original
set (rare in practice, given that we are introducing new mutants), the maximum disadvantage thus caused is bounded by our limit (18.876% upper limit for 95% of projects). However, at least a few of the new mutants can be expected to improve the representativeness of a mutation set compared to the possible faults. Since we can’t bound the number of distinguishable mutants that may be introduced, there is no upper bound for the maximum advantage gained by adding new mutation operators. Adding new operators is especially attractive in light of recent results showing classes of real faults that are not coupled to any of the operators currently in common use [32].

Our previous research [25] suggests that a constant number of mutants (a theoretical maximum of 9,604, and 1,000 in practice for 1% accuracy) is sufficient for non-representative mutation score with high accuracy irrespective of the total number of mutants. This suggests that sampling will lead to neither loss of effectiveness nor loss of accuracy, and hence addition of new mutation operators (and sampling the required number of mutants) is potentially a very fruitful endeavour.

7. THREATS TO VALIDITY

While we have taken care to ensure that our results are unbiased, and have tried to eliminate the effects of random noise. Random noise can result from non-representative choice of project, tool, or language, and can lead to skewed strata and bias in empirical result. Our results are subject to the following threats.

Threats due to approximation: We use the greedy algorithm due to Chvatal [12] for approximating the minimum test suite size. While this is guaranteed to be $H(|M|)$ approximate, there is still some scope for error. We guard against this error by taking the average of 100 runs for each observation. Secondly, we used random samples to evaluate the effectiveness of random sampling. While we have used 100 trials each for each observation, the possibility of bias does exist.

Threats due to sampling bias: To ensure representativeness of our samples, we opted to use search results from the Github repository of Java projects that use the Maven build system. We picked all projects that we could retrieve given the Github API, and selected from these only based on constraints of building and testing. However, our sample of programs could be biased by skew in the projects returned by Github.

Bias due to tool used: For our study, we relied on PIT. We have done our best to extend PIT to provide a reasonably sufficient set of mutation operators, ensuring also that the mutation operators are non-redundant. Further, we have tried to minimize the impact of redundancy by considering the effect of distinguishable mutants. There is still a possibility that the kind of mutants produced may be skewed, which may impact our analysis. Hence, this study needs to be repeated with mutants from diverse tools and projects in future.

8. CONCLUSION

Our research suggests that blind random sampling of mutants is highly effective compared to the best achievable bound for mutation reduction strategies, using perfect knowledge of mutation analysis results, and there is surprisingly little room for improvement. Previous researchers showed that there is very little advantage to current operator selection strategies compared to random sampling [53, 54]. However, the experiment lacked direct comparison with random sampling of the same number of mutants. Secondly it was also shown that current strategies fare poorly [3] when compared to the actual minimum mutant set, but lacked comparison to random sampling. Our contribution is to show that there is a theoretical limit to the improvement that any reduction strategy can have irrespective of the intelligence of the strategy, and also a direct empirical comparison of effectiveness of the best strategy possible with random sampling.

Our theoretical investigation suggests a mean advantage of 58.2% for a perfect mutation reduction strategy with oracular knowledge of kills over random sampling given an arbitrary program, under the assumption of no skew in redundant mutants. Empirically, we find a much lower advantage 13.078% for a perfect reduction strategy with oracular knowledge. Even if we eliminate the effects of skew in redundant mutant population by considering only distinguished mutants, we find that the advantage of a perfect mutation reduction strategy is only 17.545% in comparison to random sampling. The low impact of skew (4.467%) suggests that our simplifying assumptions for theoretical analysis were not very far off the mark. The disparity between the theoretical prediction and empirical results is due to the inadequacies of real world test suites, resulting in a much smaller minimum mutant set than the distinguishable mutant set. We note that mutation reduction strategies routinely claim high reduction factors, and one might expect a similar magnitude of utility over random sampling, which fails to materialize either in theory or practice.

The second takeaway from our research is that a researcher or an implementor of mutation testing tools should consider the value of implementing a mutation reduction strategy carefully given the limited utility we observe. In fact, our research [24] suggests that popular operator selection strategies we examined have reduced utility compared to random sampling, and even strata sampling techniques based on program elements seldom exceed a 10% improvement. Given that the variability due to projects is significant, a testing practitioner would also do well to consider whether the mutation reduction strategy being used is suited for the particular system under test (perhaps based on historical data for that project, or projects that are in some established sense similar). Random sampling of mutants is not extremely far from an empirical upper bound on an ideal mutation reduction strategy, and has the advantage of having little room for an unanticipated bias due to a “clever” selection method that might not work well for a given project. The limit reported here is based on using full knowledge of the mutation matrix, which is, to say the least, difficult to attain in practice.

Perhaps the most important takeaway from our research is that it is possible to improve the effectiveness of mutation analysis, not by removing mutation operators, but rather by further research into newer mutation operators (or new categories of mutation operators such as domain specific operators for concurrency or resource allocation). Our research suggests that the maximum reduction in utility due to addition of newer operators is just 23.268%, while there is no limit to the achievable improvement.
9. REFERENCES


on Mutation Analysis, 2014.


