Softwaretechnik / Software-Engineering

Lecture 5: Procedure & Process Models

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Topic Area Project Management: Content

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  - Expert's Estimation
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  - CMMI, Spice
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- **Procedure and Process Models**
  - **Procedure Model Examples**
    - The (in)famous Waterfall model
    - The famous Spiral model
  - **Procedure classification**
    - linear / non-linear
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    - evolutionary, iterative, incremental
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    - Agile
      - Extreme Programming
      - Scrum
  - **Process Metrics**
    - CMMI, Spice

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**Process vs. Procedure Models**
(Ludewig and Lichter, 2013) propose to distinguish: **process model** and **procedure model**.

- **A Process model** (‘Prozessmodell’) comprises
  - (i) **Procedure model** (‘Vorgehensmodell’)
    e.g., “waterfall model” (70s/80s).
  - (ii) **Organisational structure** – comprising requirements on
    - project management and responsibilities,
    - quality assurance,
    - documentation, document structure,
    - revision control.

  e.g., V-Modell, RUP, XP (90s/00s).

- In the literature, **process model** and **procedure model** are often used as synonyms; there is not universally agreed distinction.
Waterfall or Document-Model—Software development is seen as a sequence of activities coupled by (partial) results (documents). These activities can be conducted concurrently or iteratively.

Apart from that, the sequence of activities is fixed as (basically) analyse, specify, design, code, test, install, maintain.  

Ludewig & Lichter (2013)
The (In)famous Waterfall Model (Rosove, 1967)

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Ludewig & Lichter (2013)

The Spiral Model (Boehm, 1988)

Recall: risk and risk value.

Quick Excursion: Risk and Riskvalue

Riskvalue = p · K

p: probability of problem occurrence,
K: cost in case of problem occurrence.

Avionics requires: “Average Probability per Flight Hour for Catastrophic Failure Conditions of 10^-9 or ‘Extremely Improbable’ (AC 25:1309-1).”

“Problems with p = 0.5 are not risks, but environment conditions to be dealt with”
Note: risks can have various forms and counter-measures, e.g.,
- open technical questions (→ prototype?),
- lead developer about to leave the company (→ invest in documentation?),
- changed market situation (→ adapt appropriate features?),
- ...


Repeat until end of project (successful completion or failure):
(i) determine the set \( R \) of risks which are threatening the project;
   if \( R = \emptyset \), the project is successfully completed
(ii) assign each risk \( r \in R \) a risk value \( v(r) \)
(iii) for the risk \( r_0 \) with the highest risk value, \( r_0 = \max \{ v(r) \mid r \in R \} \),
      find a way to eliminate this risk, and go this way;
      if there is no way to eliminate the risk, stop with project failure

Advantages:
- We know early if the project goal is unreachable.
- Knowing that the biggest risks are eliminated gives a good feeling.

Wait, Where’s the Spiral?

A concrete process using the Spiral Model could look as follows:

- investigate goals, alternatives, side conditions
- conduct risk analysis,
- develop and test the next product part,
- plan the next phase,
Procedure Model Classification

Linear vs. Non-Linear Procedure Models

- **linear**: the strict Waterfall Model (no feedback)
- **non-linear**: basically everything else (with feedback between activities)
Classification By Treatment of (Software) Artefacts

- Prototyping:

- Evolutionary:

- Iterative:

- Incremental:

- Staircase: pipelined incremental

Evolutionary and Iterative Development

**Evolutionary software development** – an approach which includes evolutions of the developed software under the influence of practical/field testing.

New and changed requirements are considered by developing the software in sequential steps of evolution. Ludewig & Lichter (2013), flw. (Züllighoven, 2005)

**Iterative software development** – software is developed in multiple iterative steps, all of them planned and controlled.

Goal: each iterative step, beginning with the second, corrects and improves the existing system based on defects detected during usage.

Each iterative steps includes the characteristic activities analyse, design, code, test. Ludewig & Lichter (2013)
Incremental Development

*Note:* (to maximise confusion) IEEE calls our “iterative” incremental:

**Incremental Development** – A software development technique in which requirements definition, design, implementation, and testing occur in an overlapping, iterative (rather than sequential) manner, resulting in incremental completion of the overall software product.  
IEEE 610.12 ([1990](#))

- **One difference (in our definitions):**
  - *Iterative*: steps towards fixed goal,
  - *Incremental*: goal extended for each step: next step goals may already be planned.

**Examples**: operating system releases, short time-to-market (→ continuous integration).

**Another Characterisation of Approaches**
Process Models

- Procedure and Process Models
  - Procedure Model Examples
    - The (in)famous Waterfall model
    - The famous Spiral model
  - Procedure classification
    - linear / non-linear
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    - evolutionary, iterative, incremental
- From Procedure to Process Models
  - Process Model Examples
    - Phase Model
    - V-Modell XT
    - Agile
      - Extreme Programming
      - Scrum
- Process Metrics
  - CMMI, Spice
A **process model** may describe:

- **steps** to be conducted during development,
  - their sequential arrangement,
  - their dependencies (the **procedure model**)
- **organisation**, responsibilities, roles
- **structure and properties of documents**
- **methods** to be used,
  - e.g., for gathering requirements or checking intermediate results
- **project phases, milestones, testing criteria**
- **notations** and languages
- **tools** to be used
  - (in particular for project management).

Process models typically come with their **own terminology** (to maximise confusion?), e.g. what we call **artefact** is called **product** in V-Model terminology.

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**Light vs. Heavyweight Process Models**

- You may hear about “**light**” and “**heavyweight**” process models.
  - Sometimes: heavier means higher number of rules...
  - Sometimes: heavier means less flexible, adaptable process...
  - Clear: “lightweight” sounds better than “heavyweight”.

- In the end,
  - a process model is **too “light”**
    - if it doesn’t support you in doing things which are useful and necessary for your project;
  - a process model is **too “heavy”**
    - if it forces you to do things which are neither necessary nor useful for your project.

- Thus, following (Ludewig and Lichter, 2013),
  we will not try to assign the following process models to a “weight class”.

The Phase Model

- The project is planned by phases, delimited by well-defined milestones.
- Each phase is assigned a time/cost budget.
- Phases and milestones may be part of the development contract: partial payment when reaching milestones.
- Roles, responsibilities, artefacts defined as needed.

- By definition, there is no iteration of phases.
- But activities may span (be active during) multiple phases.

- Not uncommon for small projects (few software people, small product size), small companies.
Teil 1: Grundlagen des V-Modells

V-Modell® XT

V-Model XT
- There are different "V-shaped" process models, we discuss the (German) "V-Modell".
- "V-Modell":
  - developed by company IABG in cooperation with the Federal Office for Defence Technology and Procurement (Bundesministerium für Verteidigung), released 1998
  - (German) government as customer often requires usage of the V-Modell
- 2012: "V-Modell XT" Version 1.4 (Extreme Tailoring) (V-Modell XT, 2006)
V-Modell XT considers four different project types:

- **AG**: project from the perspective of the customer (create call for bids, choose developer, accept product)
- **AN**: project from the perspective of the developer (create offer, develop system, hand over system to customer)
- **AG/AN**: customer and developer from same organisation
- **PM**: introduction or improvement of a process model

Project type variants: one/many customer(s); development/improvement/migration, maintenance
V-Modell XT: Procedure Building Blocks
V-Modell XT: Procedure Building Blocks

- A role may be responsible for a product or contribute.
- A product may be external (E) or initial (I), i.e., created always and exactly once (e.g., project plan).
- An activity creates a product and belongs to a discipline.
- A product may depend on other products.
- An activity may consist of steps.
- Each product has at most one responsible role.
- An activity (Aktivität) and step (Arbeitsabschnitt) have parts of activities.
- A role (Rolle) and discipline (Disziplin) consist of a set of related products / activities.

V-Modell XT: Example Building Block & Product State

- SW-Development ('SW-Entwicklung')
- VS.
V-Modell XT: (Lots of) Disciplines and Products
**Project Roles:**


**Organisation Roles:**

Akquisiteur, Datenschutzbeauftragter (Organisation), Einkäufer, IT-Sicherheitsbeauftragter (Organisation), Qualitätsmanager

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**V-Modell XT: Tailoring Instance**

**Building Blocks**

**Plan**
V-Modell XT mainly supports three strategies, i.e. principal sequences between decision points, to develop a system:

- Incremental
- Component based
- Prototypical

V-Modell XT: Discussion

Advantages:
- Certain management related building block are part of each project, thus they may receive increased attention of management and developers
- Publicly available, can be used free of license costs
- Very generic, support for tailoring
- Comprehensive, low risk of forgetting things

Disadvantages:
- Comprehensive, tries to cover everything; tailoring is supported, but may need high effort
- Tailoring is necessary, otherwise a huge amount of useless documents is created
- Description/presentation leaves room for improvement

Needs to prove in practice, in particular in small/medium sized enterprises (SME).
“Agile – denoting ‘the quality of being agile; readiness for motion; nimbleness, activity, dexterity in motion’ – software development methods are attempting to offer an answer to the eager business community asking for lighter weight along with faster and nimbler software development processes.

This is especially the case with the rapidly growing and volatile Internet software industry as well as for the emerging mobile application environment.” (Abrahamsson et al., 2002)

The Agile Manifesto (2001):

We are uncovering better ways of developing software by doing it and helping others do it. Through this work we have come to value:

| Individuals and interactions | over | processes and tools |
| Working software              | over | comprehensive documentation |
| Customer collaboration        | over | contract negotiation |
| Responding to change          | over | following a plan |

that is, while there is value in the items on the right, we value the items on the left more.
Agile Principles

- **Our highest priority is to satisfy the customer** through early and continuous delivery of valuable software.
- **Business people and developers must work together** daily throughout the project.
- Agile processes promote **sustainable development**. The sponsors, developers, and users should be able to maintain a constant pace indefinitely.
- **Welcome changing requirements**, even late in development. Agile processes harness change for the customer’s competitive advantage.
- **Deliver working software frequently**, from a couple of weeks to a couple of months, with a preference to the shorter timescale.
- **Working software is the primary measure of progress**.
- **Simplicity** – the art of **maximizing the amount of work not done** – is essential.
- Continuous attention to technical excellence and good design enhances agility.
- Build projects around motivated individuals. Give them the environment and support they need, and trust them to get the job done.
- The most efficient and effective method of conveying information to and within a development team is **face-to-face conversation**.
- The best architectures, requirements, and designs emerge from **self-organizing teams**.
- At regular intervals, the team reflects on how to become more effective, then tunes and adjusts its behavior accordingly.

**Similarities of Agiles Process Models**

- **iterative**: cycles of a few weeks, at most three months.
- Work in small groups (6–8 people) proposed.
- Dislike the idea of large, comprehensive documentation (radical or with restrictions).
- Consider the customer important; recommend or request customer’s presence in the project.
- Dislike dogmatic rules.

(Ludewig and Lichter, 2013)
Extreme Programming (XP) (Beck, 1999)

XP values:
- simplicity, feedback, communication, courage, respect.

XP practices:
- management
  - integral team (including customer)
  - planning game (→ Delphi method)
  - short release cycles
  - stand-up meetings
  - assess in hindsight

- team:
  - joint responsibility for the code
  - coding conventions
  - acceptable workload
  - central metaphor
  - continuous integration

- programming
  - test driven development
  - refactoring
  - simple design
  - pair programming
**Scrum**

- First published 1995 (Schwaber, 1995), based on ideas of Takeuchi and Nonaka.
- Inspired by Rugby (yes, the “hooligan’s game played by gentlemen”): get the ball in a *scrum*, then *sprint* to score.
- Role-based; iterative and incremental: in contrast to XP no techniques proposed/required.

**Three roles:**

- **product owner:**  
  - representative of customer,  
  - maintains requirements in the **product backlog**,  
  - plans and decides which requirement(s) to realise in next sprint,  
  - (passive) participant of **daily scrum**,  
  - assesses results of sprints

- **scrum team:**  
  - members capable of developing autonomously,  
  - decides how and how many requirements to realise in next sprint,  
  - distribution of tasks self-organised, team decides who does what when,  
  - environment needs to support communication and cooperation, e.g. by spatial locality

- **scrum master:**  
  - helps to conduct scrum the right™ way,  
  - looks for adherence to process and rules,  
  - ensures that the team is not disturbed from outside,  
  - moderates **daily scrum**, responsible for keeping **product backlog** up-to-date,  
  - should be able to assess techniques and approaches
**Scrum Process**

**Product Backlog**
- Maintained by *product owner*
- Comprises all requirements to be realised
- Priority and effort estimation for requirements
- Collects tasks to be conducted

**Release Plan**
- Based on initial version of product backlog
- How many sprints, which major requirements in which sprint

**Release-burndown report**
- See sprint-burndown report

**Sprint Backlog**
- Requirements to be realised in next sprint, taken from product backlog
- More precise estimations
- Daily update (tasks done, new tasks, new estimations)

**Sprint-burndown report**
- Completed/open tasks from sprint backlog
- Should decrease linearly, otherwise remove tasks from sprint backlog

**Sprint Report**
- Which requirements (not) realised in last sprint
- Description of obstacles/problems during sprint

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**Scrum Process**

**Daily Scrum**
- Daily meeting, 15 min.
- Discuss progress, synchronise day plan, discuss and document new obstacles
- Team members, scrum master, product owner (if possible)

**Sprint**
- At most 30 days, usually shorter (initially longer)

**Sprint Review**
- Assess amount and quality of realisations; product owner accepts results

**Sprint Retrospective**
- Assess how well the scrum process was implemented
- Identify actions for improvement (if necessary)
Scrum: Discussion

- Has been used in many projects, experience in majority positive.
- Team size bigger 7–10 may need scrum of scrums.
- Competent product owner necessary for success.
- Success depends on motivation, competence, and communication skills of team members.
- Team members are responsible for planning, and for adhering to process and rules, thus intensive learning and experience necessary.
- Can (as other process models) be combined with techniques from XP.

Process Metrics
Assessment and Improvement of the Process

- **Idea** (for material goods): The quality of the (production) process influences **product quality**.

- **Plan**: Specify abstract criteria (metrics) to determine **good production processes** (e.g., to choose manufacturer).

- **Industry in general** (production!):
  - ISO 9001, ISO/TS 16949 (automotive), …

- **Software industry** (development!):
  - CMM(I), SPICE

- **Note**: a **good process** does not stop us from creating **bad products**; (the hope is, that) bad products are less likely when using a good process, i.e. that there is a correlation:

```
+-----------------+-----------------+
| process quality | product quality |
+-----------------+-----------------+
| low             | false positive  |
|                 | true negative   |
| high            | true positive   |
|                 | false negative  |
+-----------------+-----------------+
```

CMM® for Development, Version 1.3

CMMD-DEV. V1.3

CMM®-Process Team

Improving processes for developing other products and services

November 2010

TECHNICAL REPORT

Software Engineering Process Management Program

Software Engineering Institute

Supporting Research and Development

 Carnegie Mellon
• 1991: Capability Maturity Model (CMM), DoD/SEI/CMU; superseded by
• 1997: Capability Maturity Model Integration (CMMI) (Team, 2010);
  constellations: CMMI-DEV (development), CMMI-ACQ (acquisition), CMMI-SRV (service)

• Goals:
  • applicable to all organisations which develop software,
  • make strengths and weaknesses of the real process visible,
    to point out ways for improvement,
  • neutral wrt. technology employed in project,
  • levels: higher levels have lower levels as premise,
  • be consistent with ISO 15504 (SPICE)

• Assumptions:
  • better defined, described, and planned processes have higher maturity,
  • higher maturity levels require statistical control to support continuous improvement,
  • higher maturity level yields:
    • better time/cost/quality prediction;
    • lower risk to miss project goals;
    • higher quality of products.

**CMMI Levels**

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<thead>
<tr>
<th>level</th>
<th>level name</th>
<th>process areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>initial</td>
<td>-</td>
</tr>
<tr>
<td>2</td>
<td>managed</td>
<td>REQM, PP, PMC, MA, PPQA, CM, SAM</td>
</tr>
<tr>
<td>3</td>
<td>defined</td>
<td>+ RD, TS, PI, VER, VAL, OPF, OPD, OT, IPM, RSKM, DAR</td>
</tr>
<tr>
<td>4</td>
<td>quantitatively managed</td>
<td>+ OPP, QPM</td>
</tr>
<tr>
<td>5</td>
<td>optimising</td>
<td>+ OID, CAR</td>
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• initial – the process is not consciously designed, just evolved.
### CMMI Levels

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- **managed** (formerly: repeatable) – important areas of software development organised and prescribed to responsible people; each project may have own process
- **Areas**: requirements management (REQM), project planning (PP), project monitoring and control (PMC), measurement and analysis (MA), Process and Product Quality Assurance (PPQA), configuration management (CM), supplier agreement management (SAM)

### CMMI General/Specific Goals and Practices

- CMMI certificates can be obtained via a so-called **appraisal**
- There are three levels of review methods A, B, C; A is most thorough (and expensive).
- A certificate authority checks, to what amount **generic goals** GG.1, ..., GG.3 with their **generic practices** are reached.
  - **Example**: GG.2 (for level 2) includes
    - GG 2.1: create strategy for planning and installation of process
    - GG 2.2: plan the process
    - GG 2.3: allocate resources
    - ...
- Each **area**, like RD, has **specific goals** and **specific practices**, sometimes per level
  - **Example**: RD (requirements development) includes
    - SG 1: develop customer requirements
    - SG 2: develop product requirements
    - SG 3: analyse and validate requirements
  - That is, to reach CMMI level 2, an organisation has to reach GG.1, GG.2, and SG 1 and SG 2 for area RD.
CMMI: Discussion

- in CMMI, e.g. area RD requires that requirements are analysed, but does not state how – there are examples, but no particular techniques or approaches
- CMMI as such is not a process model (in the sense of the course)

- CMMI certificate is required by certain (U.S) government customers; may guide selection of sub-contractors (a certificate at least proves that they think about their process)
- CMMI can serve as an inspiration for important aspects of process models wrt. product quality

Criticism:
- CMM(I) assumptions are based on experience in specific projects; may not be present for all kinds of software
- CMMI certification applies to one particular state of process management; changed processes may require new (expensive) appraisal, in this sense CMMI certification may hinder innovation
- CMMI levels are chosen somewhat arbitrarily: "why is an area in level N and not already in level N − 1?"

SPICE / ISO 15504

Software Process Improvement and Capability Determination
- similar to CMM(I): maturity levels, assessment, certificates
- maturity levels: 0 (incomplete), …, 5 (optimizing);
  SPICE 0 corresponds to CMMI 1
- provides "process reference models" (in particular specific ones for automotive, aerospace, etc.)
- Literature: (Hörmann et al., 2006)
• **Waterfall Model**
  - very well-known, very abstract, of limited practical use.

• **Spiral Model**
  - iterated risk assessment, e.g., for very innovative projects.

• **Classification** of processes
  - prototyping: needs purposes and questions
  - evolutionary, iterative, incremental

• **V-Model XT**
  - slightly different vocabulary.
  - quite comprehensive.
  - may serve as inspiration for, e.g., definition of roles.
  - can be tailored in various ways

• **Agile approaches**
  - **XP**: proposes methods and approaches
  - **Scrum**: focuses on management aspects

• **Measure process quality**: CMMI, Spice

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**References**
References


