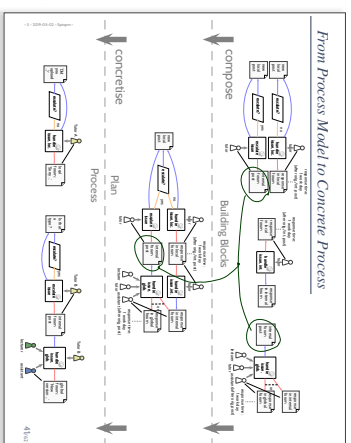


- Procedure and Process Models
 - ↳ Vocabulary:
 - ↳ linear / non-linear
 - ↳ evolutionary, iterative, incremental
 - ↳ prototyping
- Procedure Model Examples
 - ↳ The infamous Waterfall model
 - ↳ The famous Spiral model
- Process Model Examples
 - ↳ Code-and-Fix, Phase Model
 - ↳ V-Model, XT
 - ↳ Agile
 - ↳ Extreme Programming (XP)
 - ↳ Scrum
- Process Metrics
 - ↳ CMMI, Spise

Topic Area Project Management: Content

- VL 2 • Software Metrics
 - ↳ Metric, Properties of Metrics
 - ↳ Software Metrics
 - ↳ Software Metrics Issues
- ...
- VL 3 • Cost Estimation
 - ↳ (Software Economics) Nubel
 - ↳ Software Cost Estimation
 - ↳ Experts / Algorithmic Estimation
- ...
- VL 4 • Project Management
 - ↳ Project
 - ↳ Process and Process Modeling
 - ↳ Procedure Models
 - ↳ Process Models
- ...
- VL 4 • Process Metrics
 - ↳ CMMI, Spise
- ...



Content

Process vs. Procedure Models

...

Process vs. Procedure Model

- (Ludewig and Lichter, 2013) propose to distinguish process model and procedure model.
- A **Process model** (Prozessmodell) comprises
 - (i) **Procedure model** (Vorgehensmodell)
 - Example: "Waterfall Model" (70s/80s)
 - (ii) **Organisational structure** – comprising requirements on
 - project management and responsibilities,
 - quality assurance,
 - documentation, document structure,
 - review control.
 - Examples: V-Model, RUP, XP, ITIL, ISO 9001/ISO 9001
 - **Note:** In the literature process model and procedure model are often used as synonyms, there are (again) no universally agreed terms...
 - Anticipated **benefits** of using process models
 - "economy of thought"
 - clear responsibilities
 - fewer errors
 - quantification, reproducibility

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 - ↳ CMMI, Spine

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Procedure Model Examples

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Linear vs. Non-Linear Procedure Models

- linear: basically the strict Waterfall Model (without feedback between activities)
- non-linear: basically everything else (with feedback between activities)

9/29

Iterative, Incremental, Evolutionary

Iterative Development:

Incremental Development:

Evolutionary Development:

Iterative software development – software is developed in multiple iterative steps, all of them planned and controlled. Iterative development is typically used to develop systems that are highly complex and whose requirements are not fully understood at the beginning. Iterative development allows for frequent releases of software, which can be used to gather user feedback and to make adjustments to the system as needed. (IEEE 6001X (1993))

Incremental software development – The total system is developed in a series of increments. The first stage is the core system. Each stage of expansion expands the existing system and adds new features. The system is tested and validated at the end of each stage. The final stage is the complete system. (IEEE 6001X (1993))

evolutionary software development – an approach in which the evolution of the developed software is controlled by the changing requirements. New and changed requirements are considered by developing the software in sequential steps. (Ludewig & Ludewig (2010))

10/29

Iterative, Incremental, Evolutionary

Iterative Development:

Incremental Development:

Evolutionary Development:

Note (to maximize 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 6001X (1993))

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

10/29

Prototyping

prototyping – A preliminary type, form, or version of a system that serves as a model for the final, complete version of the system. (IEEE 6001X (1993))

prototyping – A hardware and software development technique in which a preliminary version of the system is developed and used to gather user feedback and to make adjustments to the system as needed. (IEEE 6001X (1993))

rapid prototyping – A type of prototyping in which emphasis is placed on developing prototypes early in the development process to permit early feedback and analysis in support of the development process. (IEEE 6001X (1993))

classification by usage:

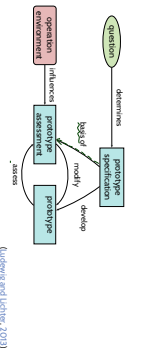
- demonstrator prototype
- functional prototype
- lab sample
- proof system, etc.

classification by supported activity:

- explorative p. (analysis)
- experimental p. (design)
- evolutionary p. (product & test proto-type)

10/29

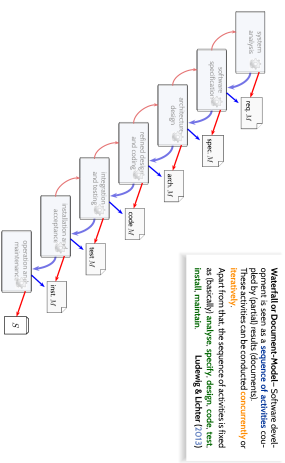
Prototyping Procedure Model



- Questions towards 'definition of done':
- Which **purpose** does the prototype have?
 - What are the **open questions**?
 - Which persons (roles) participate in **development**?
 - And, most important, who participates in **assessment of the prototype**?
 - What is the **time/cost budget** for prototype development?

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The (In)famous Waterfall Model (Rouse, 1967)



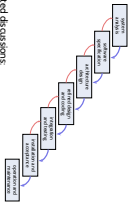
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Content

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13/29

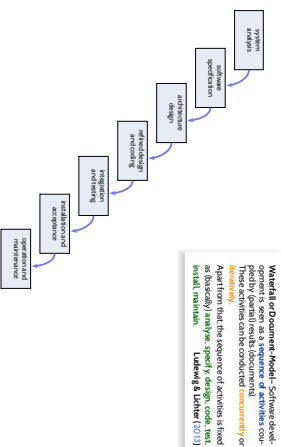
The Waterfall Model: Discussion



- (In)famous?**
- The waterfall model has been subject of heated discussions
 - Original model without feedback over the whole
 - Great room for many interpretations, very abstract
 - Considerable lack of references in most hand for project management to assess a project's progress
 - Maybe best appreciated in the context of its time
 - **software development** as a **sequence of activities** conducted by (small) teams (documental, sequential, **concurrently** or **iteratively**)
 - **software development** as a **sequence of activities** conducted by (small) teams (documental, sequential, **concurrently** or **iteratively**)
 - **Everybody knows it, at least the name...**

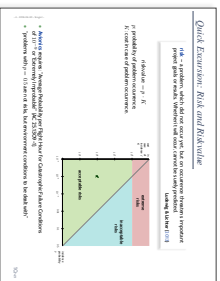
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The (In)famous Waterfall Model (Rouse, 1967)



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The Spiral Model (Boehm, 1988)



- Risks in the software development process 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!)
 - ...

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The Spiral Model (Boehm, 1988) Cont'd

Idea of the Spiral Model: iteratively address the (currently) highest risk (instead of planning ahead everything).

Repeat until end of project (successful completion or failure):

- 1) determine the set of risks which are threatening the project
- 2) analyze the project's risks and compute
- 3) a risk priority number (RPN) = $\max(r_i) \cdot r_i \in R_i$
- 4) find a way to eliminate this risk, and go this way
- 5) if there's no way to eliminate the risk, stop with project failure

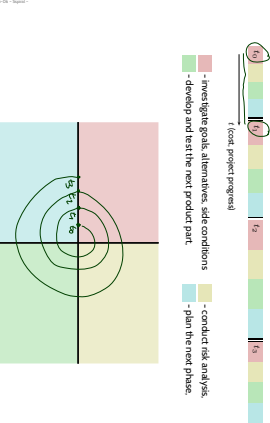
Advantages:

- * We know early if the project goal is unachievable
- * Knowing that the biggest risks are eliminated gives a good feeling

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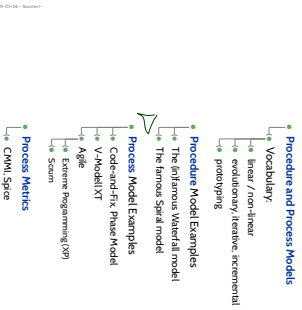
Wait, Where's the Spiral?

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



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Content



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Process Model Examples

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From Procedure to Process Model

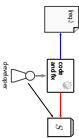
A process model may describe:

- steps to be conducted during development, their sequential arrangement, (the procedure model)
- organization, 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 (in particular for project management)

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

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Trivial Example: Code & Fix



• Code & Fix denotes an approach where coding (programming) or fixing (repairing defects) in alternation with ad-hoc testing are the only activities conducted iteratively.

Advantages:

- corresponds to the impulse to proceed quickly and solve the problem
- yields executable programs early
- simple activities

Disadvantages:

- project not-behaviorable
 - hard to distribute project over multiple persons or groups
 - often comes without serious requirements and program analysis
 - ad-hoc testing lacks expected values (SRI, WPI)
 - resulting programs often badly structured and hard to maintain
 - high effort (and cost) for corrections; issues often detected late
 - important concepts and decisions usually not documented
- **suboptimal** quality, overall **too expensive**

22/26

A phase is a continuous (i.e. not interrupted range of time in which certain works are performed) and sequential (i.e. not overlapping) range of time in which certain works are performed. A phase is successfully completed if the criteria defined by the milestones are satisfied. Ludwig & Ledner (2013)

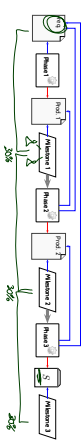
- Phases in this sense do not overlap
- Yet there may be different "threads of development" running in parallel, structured by different milestones.
- Splitting a project into phases makes controlling easier:
 - responsibility avoids the customer (except intermediate results) and trigger payments.
- The granularity of the phase structuring is critical:
 - very short phases may not be tolerated by a customer.
 - very long phases may mask significant delays longer than necessary.
- if necessary:**
 - define **internal** (customer not involved) and **external** (customer involved) milestones.

23.00

A phase is a continuous (i.e. not interrupted range of time in which certain works are performed) and sequential (i.e. not overlapping) range of time in which certain works are performed. A phase is successfully completed if the criteria defined by the milestones are satisfied. Ludwig & Ledner (2013)

- Whether a milestone is reached for successfully completed) must be assessable by
 - clear,
 - objective and
 - unambiguous
- criteria
- The definition of a milestones often comprises:
 - a definition of the results, which need to be achieved.
 - the required quality properties of these results.
 - the desired time for reaching the milestone (the deadline) and
 - the instance (person or committee) which decides whether the milestone is reached.
- Milestones can be part of the **development contract**
 - not including a defined milestones as planned can lead to **legal claims**.

24.00



- The project is planned by phases,
 - defined 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, and tasks **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), and small companies

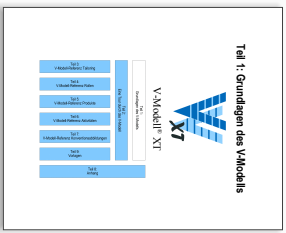
25.00

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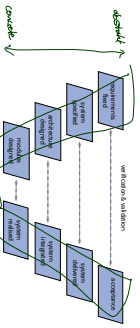
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V-Model XT

27.00

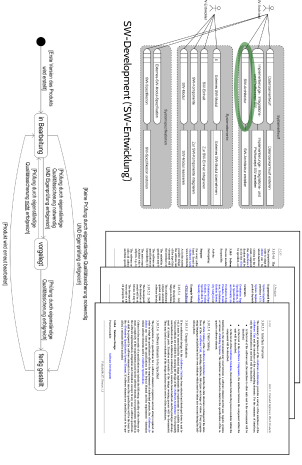


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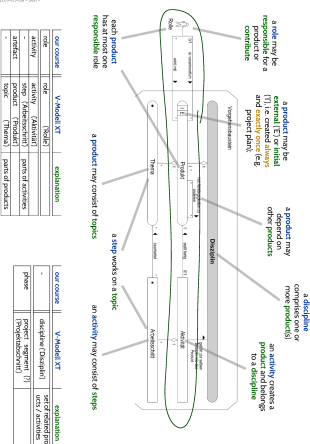


- There are different "V-shaped" process models, we focus the (German) "V-Modell"
- "V-Modell":
 - developed by company (AGS) in cooperation with the Federal Office for Defence Technology and Research (Bundesausschuss für Wehrtechnik und Beschaffung) released 1994
 - (German) government as customer of **CRONUS** stages of the V-Modell
- 2012 "V-Modell XT Version 4 (Extreme Tailoring) (V-Modell XT 2004)

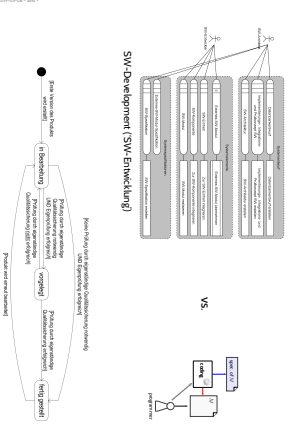
V-Modell XT: Example Building Block & Product State



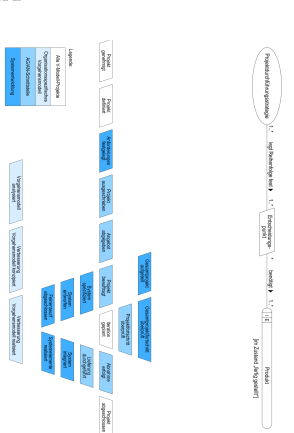
V-Modell XT: Procedure Building Blocks



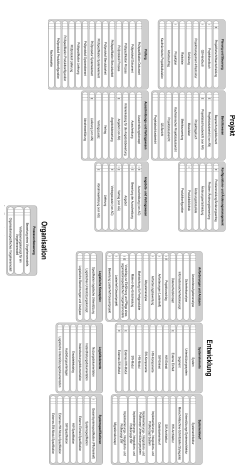
V-Modell XT: Example Building Block & Product State



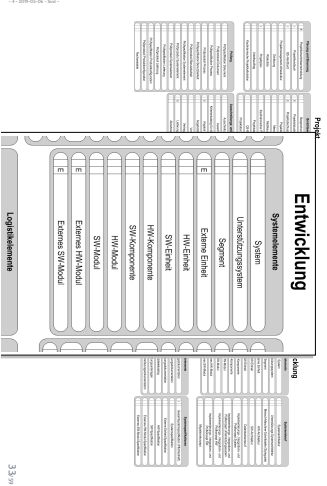
V-Modell XT: Decision Points



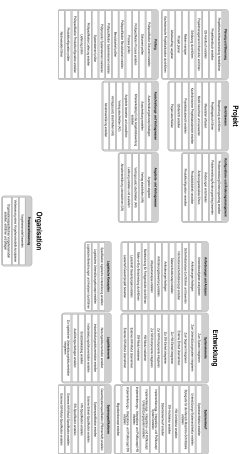
V-Modell XT: (Lens of) Disciplines and Products



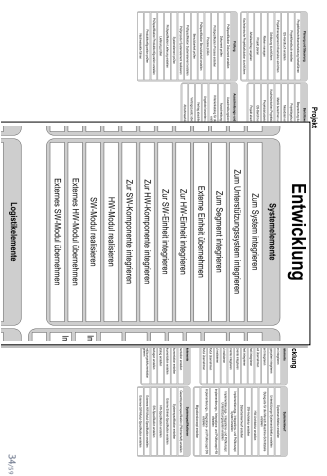
V-Modell XT: (Lots of) Disciplines and Products



V-Modell XT: Activities (as many?)



V-Modell XT: Activities (as many?)



V-Modell XT: Roles (even more?)

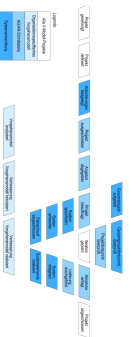
Project Roles:

- Anderungssteuergengruppe, Change Control Board, Änderungsverantwortlicher, Anforderungsanalytiker (Aa), Anforderungsanalytiker (An), **Entwickler**, Assessor, Ausschreibungsverantwortlicher, Qualitätssicherungsverantwortlicher, Fernwartungsverantwortlicher, Parkettanforderungsverantwortlicher, HW-Zustandsetzender, HW-Entwickler, Informationsrechtlicher Verantwortlicher, Projektanführer, **Projektbetriebs-/Zustandsetzer**, Logikentwickler, Logikbetriebsverantwortlicher, **Projektanführer**, **QV-/SW-Entwickler**, Prozessingenieur, **Prüfer/BS**-Verantwortlicher, SW-Analyst, SW-Entwickler, Systemfunkt. Systemingenieur, Technischer Autor, **Team**

Organisation Roles:

- Angestellte u. Dienstvertragsmitarbeiter (Organisation), Einhalter, IT-Sicherheitsbeauftragter (Organisation), Qualitätsmanager

What About the Colours?



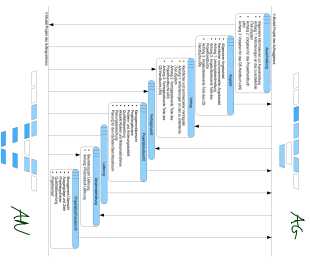
V-Modell XT: Project Types

V-Modell XT considers four different project types:

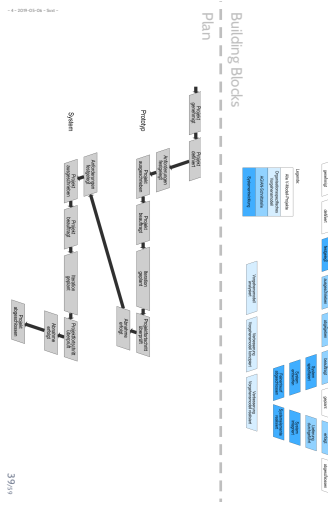
- Ac** project from the perspective of the customer (create call for bids, choose developer, accept product)
- An** project from the perspective of the developer (create offer, develop system, hand over system to customer)
- Ac/An** customer and developer from same organization
- PkI** introduction or improvement of a process model

Project type variants: one/multiple customer(s), development/improvement/migration/maintenance



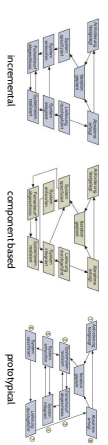


38.00



39.00

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



40.00

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 miscommunication

Needs to prove in practice, in particular in small/medium sized enterprises (SME).

41.00

Agile

The Agile Manifesto

"Agile - denoting the quality of being quick, readiness for motion, alertness, activity, dexterity in motion - software development methods are attempting to offer an answer to the major business community calling for agile weight along with faster and smaller. This is especially the case with the rapidly growing and volatile Internet software industry as well as for the emerging mobile application environment." (Kleinmann 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.

43.00

- **"continuous / sustainable delivery"**
 - Our highest priority is to satisfy the customer through early and continuous delivery of working software
 - Release working software frequently, from a couple of weeks to couple of months, with a preference to the shorter timeframe
 - **development** promotes sustainable development
 - The product, developer, and team should be able to maintain a constant pace indefinitely
- **"simplicity"**
 - Simplicity – the art of maximizing the amount of work not done – is essential
 - **Working software is the primary measure of progress**
- **"Changes"**
 - Welcome changing requirements, even late in development
 - Respond to change through iteration, not through a competitive advantage
- **"People"**
 - The best architectures, requirements, and designs emerge from **self-organizing teams**
 - **Building self-organizing teams**
 - Do not tell people what to do
 - Give them the information and opportunity they need to do the job
 - **Business people and developers must work together daily throughout the project**
 - **Maximize the amount of face-to-face conversation**
- **"Retrospective"**
 - Continuous attention to technical excellence and good design enhances agility
 - At regular intervals, the team reflects on how they can become more effective, and adjusts its behavior accordingly

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- Iterative cycles of a few weeks, at most three months
- Work in small groups (3-9 people) proposed
- Define the date of large, comprehensive documentation (if/when or with restrictions)
- Consider the customer important
- Respond to change through iteration, not through a competitive advantage or request customer's presence in the project
- Define organic roles

(Ludwig and Lechner, 2001)

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— Agile
Extreme Programming (XP) —

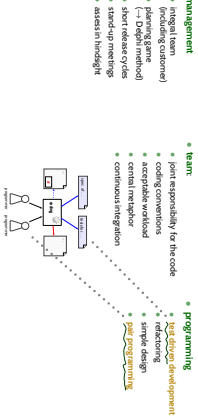
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Extreme Programming (XP) (Beck, 1999)

XP values:

- simplicity, feedback, communication, courage, respect

XP practices:



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— Agile
Scrum —

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Scrum

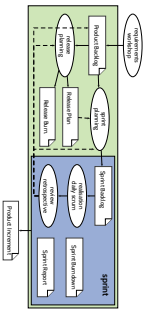
- First published 1995 (Schwaber, 1995), based on ideas of Takeuchi and Nonaka
- Inspired by Rugby (the "hooligan's game played by gentlemen"), get the ball in a scrum, then sprint to score
- Role-based, iterative and incremental
- In contrast to XP no techniques proposed/required

Three roles:

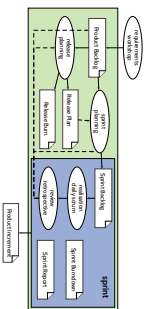
- **product owner:**
 - representative of customer
 - responsible for prioritizing items in the **product backlog**
 - plans and decides which items from the backlog to review in next sprint
 - based participant of **daily scrum**, **sprint review** & **sprint**
- **scrum ban:**
 - member capable of developing autonomously, decides how and how many items from the backlog to review in next sprint
 - distribution of tasks self-organized, team decides what to do
 - environment needs to support communication and collaboration (e.g. by spatial locality)
- **scrum master:**
 - helps to conduct scrum "the right" way
 - looks for adherence to scrum and team is not disturbed from outside
 - moderate **daily scrum**, **sprint review** & **product backlog** update
 - should be able to assist techniques and practices



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- **product backlog**
 - maintained by **product owner**
 - comprises all requirements to be realized
 - priority and/or estimation by requirements
 - **selects tasks to be conducted**
- **release plan**
 - based on initial version of product backlog
 - how many sprints, which major requirements in which sprint
- **release burn-down report**
 - see **sprint burn-down report**
- **sprint backlog**
 - requirements to be realized in next sprint
 - more precise estimations
 - **daily update** (tasks done, new tasks, lower estimations)
- **sprint burn-down report**
 - complete and open tasks from sprint backlog
 - should decrease linearly
 - otherwise remove tasks from sprint backlog
- **sprint report**
 - which requirements not realized in last sprint
 - description of obstacles/problems during sprint



- **daily scrum**
 - daily meeting, 15 min.
 - discuss progress, synchronize day plan, discuss and document new obstacles
 - team members, scrum master, product owner (if possible)
- **sprint**
 - at most 30 days, usually shorter (maximally longer)
- **sprint review**
 - assess amount and quality of realizations, product owner accepts results
- **sprint retrospective**
 - assess how well the scrum process was implemented
 - identify actions for improvement (if necessary)

- Has been used in many projects, experience in majority positive
- Team size bigger 7-10 may need **scrums 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 **intrinsic learning** and experience necessary
- Can (as other process models) be combined with techniques from XP

Process Metrics

Assessing Process Quality

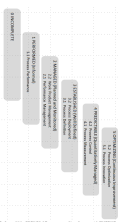
- A **good process**, in general, does not stop us from creating **bad products**.
- (the hope is, that) **bad products** are less likely when using a **good process**, i.e. that there is a correlation like:



- Some customers would like to only work with contractors with **good processes**.
- But **how to measure** the quality of a process?

SPICE (Hermann et al., 2006) and CMMI (Team, 2010)

- **SPICE / ISO 15504** **Software Process Improvement and Capability Determination**
- can be seen as a specification for process **spike-to-metrics**: ISO/IEC 15504 Part 5 gives one example implementation
- idea:
 - define **considered process areas**
 - **score** each process for so-called process attributes
 - map results to **maturity level**
- assessment (conducted by specially trained assessors) (= subjective metrics)



- **CMMI** (Capability Maturity Model Integration)
 - considers 5 process categories (project mgmt., support engineering, process mgmt.), each consisting of 5-7 process areas.
 - each process area can be assigned a **capability level** (0) **not applied**, 1 **performing**, 2 **planned**, 3 **defined**
 - **capability levels** can be **assigned** to organizations' **maturity level** (1 **initial**, 2 **beginning**, 3 **focused**, 4 **high performing**, 5 **optimizing**)
 - favours CMMI/DEI, CMMI/ACO, CMMI/SVC

- Procedure and Process Models
 - Vocabulary
 - linear /non-linear
 - evolutionary/iterative, incremental
 - prototyping
 - Procedure Model Examples
 - The infamous Spiral model
 - Process Model Examples
 - Code-and-fix, Phase Model
 - V-Model/XT
 - Agile
 - Extreme Programming (XP)
 - Scrum
- Process Metrics
 - CMMI, Spice

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Discussion

- Recall: Anticipated Benefits of Process Modeling
 - "economy of thought"
 - quantification, reproducibility
 - fewer errors
 - clear responsibilities
- Process modeling is easily **overdone** – it's the best process model is **worthless** (Your software people don't live it)
 - Before introducing a process model
 - understand what you have, understand what you need,
 - process-model as much as needed, not more (→ tailor[ng]).
 - assess whether the new/changed process model makes matters better or worse (→ metrics)
 - Note: customer may require a certain process model.

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Tell Them What You've Told Them...

- Classification of processes
 - linear, non-linear
 - evolutionary/iterative, incremental
 - prototyping, needs purposes and questions
- Procedure Models
 - Waterfall (very well known, very abstract, of limited practical use)
 - Spiral (iterated risk assessment, e.g. for very innovative projects)
- 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
 - Extreme Programming (XP) (proposes methods and approaches)
 - Scrum (focuses on management aspects)
- Measure process quality: CMMI, Spice

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