



# Guide to the Systems Engineering Body of Knowledge (SEBoK), version 2.7

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# Guide to the Systems Engineering Body of Knowledge

version 2.7

## DEDICATION



This release coincides with the 10th anniversary of the release of SEBoK v. 1.0. We would like to dedicate this edition to our friend and colleague, Barry Boehm. Barry was not only an exceptional software and systems engineer but a true gentleman. He was a key member of the team that kicked off work on SEBoK v. 0.25 in 2009 and he led the development of "Part 3", which covers the body of what many would think of as systems engineering, and continued to serve as an editor throughout his life. Sadly, Barry passed away in August of this year, but his contributions to the field - which include the spiral development model, COCOMO, and Boehm's law among many others - will live on, as will our fond memories of working with him.

Rest well, friend.



*Barry Boehm, third from left (Photo credit: Nicole Hutchison)*

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# Front Matter

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## Editor's Corner

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*The "Editor's Corner" provides perspective from the Editor in Chief on critical topics for systems engineering, either through their own words or by inviting a guest writer.*

**30 October 2022**

Let me point out before you begin reading, the purpose of this missive is not to point fingers, but rather to muse about whether we as a systems engineering community go back and reflect on previous prognostications. I feel it is important for individuals and organizations to reflect on the past, and see if we can learn anything to help us move forward as professionals. So, here goes ...

Have we developed a "resistance to change" – have we as a systems engineering community become slow and lethargic in responding to advances in tools and methodologies? A quick scan of the Internet shows that INCOSE has produced three vision documents since 2007. These vision documents represented the systems engineering vision for the years 2020, 2025, and the latest, for 2035. So let me ask – as a community, do we go back and look at those projections, determine what was correct, and what missed the mark? Do companies that support professional societies, or government agencies, go back and review these?

It is interesting that in 2007, INCOSE published a document titled Systems Engineering Vision 2020 (INCOSE-TP-2004-004-02). In the Executive Summary, it was stated that "In many respects, the future of systems engineering can be said to be model-based."

As I write this in September 2022, that original vision document was published 15 years ago. Yet, as the program director of a medium-sized systems engineering graduate program, I am approached regularly by companies, government agencies, and others looking for systems engineering talent. The number one skill these representatives are seeking is experience with model-based systems engineering (MBSE). The second ask is some exposure to modeling and simulation at the systems level.

In the INCOSE *Vision 2025*, released in 2014, one of the imperatives was cited as "Advancing the **tools** and **methods** to address complexity." (Emphasis added.) Today we are only 2+ years away from 2025. If I look at that vision document, and cherry-pick some of the statements from that 2025 vision around modeling, the authors of that document believed that by 2025:

- "Modeling and simulation is widely used to support integrated planning for a better representation of real-world constraints and solutions"
- "Systems engineering tools will facilitate systems engineering practices as part of a fully integrated engineering environment. Systems engineering tools will support high fidelity simulation, immersive technologies to support data visualization, semantic web technologies to support data integration, search, and reasoning, and communication technologies to support collaboration."



- "Model-based approaches will move engineering and management from paper documentation as a communications medium to a paperless environment, by permitting the capture and review of systems design and performance in digital form."

Last week, the University hosted a job fair. As I walked around talking to DoD and industry talent managers, every company hiring systems engineers was begging for graduates that are familiar with MBSE, SysML, modeling, and simulation. It is obvious there is an overwhelming need that we, as academics, may not be satisfying. One student, a mechanical engineer, that took my Fundamentals of SE course, and then applied SysML in his Aerospace Engineering Master's thesis, was hired within 20 minutes of talking to a DoD agency. So, the prognostication was correct, but it seems there are still not enough individuals with the necessary skills. There seems to be an opportunity here - our systems engineering graduate programs need to redouble the efforts in these areas. Additionally, have our companies and agencies fall short of providing the requisite training? Is it realistic to believe systems engineers will learn these skills on their own?

Another interesting prediction in that vision document stated that, "Use of technologies such as simulation, visualization, and gaming will lead to innovations in systems engineering education." This is consistent with the Editor's Corner musing from the last two releases of the SEBoK that addressed a/the metaverse.

As I look forward to retirement, allow me to reflect on my time as a young engineer working on the V-22 Osprey in the mid 80's. The Boeing Corporation had decided to move from paper drawings to CAD/CAM. They tried to convince the aerospace engineers to give up their drafting board and tools and move to the computer based modeling tool called CATIA. The response from those aero engineers was "you can have my drafting tools when you pull them from my cold, dead fingers". So, Boeing hired a large number of college graduate engineers and trained them in CATIA. Drawings would come off the senior design engineers drafting boards, and these new CAD/CAM engineers would recreate the drawings in CATIA. Those digital models were then available to the numerical control machines on the factory floor. They were "resistance to change". Fast forward to today – the only place you will find a drafting board in Boeing is in the Boeing Museum in Seattle. All of the senior engineers use CATIA (because they were the junior engineers in the 1980's. It took a generation or two to transition from paper-based to computer driven modeling.

Many of you reading this witnessed a similar story relative to the software engineering community. Even into the 90's, mainframe and Unix programming was performed using Vi and EMACS, or even using command line. Then, Borland introduced Turbo Pascal and their IDE (Integrated Development Environment) in 1983. Using this new IDE, programmers could program, compile, link, and execute a program all in one environment. For a decade or more, these IDE's were considered toys or crutches, and "real programmers" used Vi (or EMACS or command line, you get the idea). Again, an example of "resistance to change" by both the software engineering community, and the companies that would not pay for these new tools. Today, most software is written using IDE's... again, it took a generation or two.

I began this article stating that maybe the systems engineering community has become too lethargic and resistant to change – much like the aero engineers and software engineer were in the 80's/90's. Let's reflect on that claim. In 2007 it was identified by the INCOSE TechOps community that by 2020 our discipline would be "model-based". Yet, today, industry cannot find enough systems engineers with experience in model-based systems engineering. We had 15 years to prepare. Let's reflect on the other projection from that 2007 vision document that was identified earlier- "Use of technologies such as simulation, visualization, and gaming will lead to innovations in systems engineering education." This brings me back to the previous two Editor Corners – the metaverse. Has anyone in systems engineering taken this seriously and identified the requirements for such a system?

I feel that maybe this article has seemed like a random walk. So, what is really my destination? How do I wrap this up? If we are to look at the current systems engineering graduate education, I have been told that there are very few graduate SE programs right now that have integrated MBSE, digital engineering, and/or digital twin

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concepts woven into their curriculum. I am not talking about courses dedicated to these topics, but these topics simply integrated into the curriculum. In those programs that have done this, their students are being swept up months before they graduate with near six figure offers because they have used MBSE in several classes and maybe on a research project, not to mention their thesis or dissertation.

Many hundreds of hours went into the creation of these Vision documents by leaders in our field from all over the world. It is my opinion that we should take more time to consider, reflect, and act on those vision documents. We should also take a look at them retrospectively and determine where they were right, and where they missed the mark. Then, we need to ask ourselves as a community, what do we need to do moving forward.



## Governance and Editorial Boards

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### BKCASE Governing Board

The three SEBoK steward organizations – the International Council on Systems Engineering (INCOSE), the Institute of Electrical and Electronics Engineers Systems Council (IEEE-SYSC), and Stevens Institute of Technology – provide the primary funding and resources needed to sustain and evolve the SEBoK and make it available as a free and open resource to all. The stewards appoint the BKCASE Governing Board to be their primary agents to oversee and guide the SEBoK. The stewards appoint the SEBoK Editor in Chief to manage the SEBoK and oversee the Editorial Board.

The BKCASE Governing Board includes:

- Representing the **The International Council on Systems Engineering (INCOSE)**
  - Art Pyster (Governing Board Chair), Emma Sparks
- Representing the **Systems Engineering Research Center (SERC)**
  - Thomas McDermott, Cihan Dagli
- Representing the **IEEE Systems Council (IEEE-SYSC)**
  - Stephanie White, Bob Rassa

Past governors include Andy Chen, Richard Fairley, Kevin Forsberg, Paul Frenz, Richard Hilliard, John Keppler, Bill Miller, David Newbern, Ken Nidiffer, Dave Olwell, Massood Towhidnejad, Jon Wade, David Walden, and Courtney Wright. The governors would especially like to acknowledge Andy Chen and Rich Hilliard, IEEE Computer Society, who were instrumental in helping the governors to work within the IEEE CS structure and who supported the SEBoK transition to the IEEE Systems Council.

## Editorial Board

The SEBoK Editorial Board is chaired by the *Editor in Chief*, who provides the strategic vision for the SEBoK. The EIC is supported by a group of Editors, each of whom are responsible for a specific aspect of the SEBoK. The EIC and Editorial Board are supported by the Managing Editor, who handles all day-to-day operations. The EIC, Managing Editor, and Editorial Board are supported by a Student Editor, Madeline Haas, whose hard work and dedication are greatly appreciated.

### SEBoK Editor in Chief



#### Robert J. Cloutier

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**Student Editor**

Madeline Haas, a student at George Mason University, is currently supporting the SEBoK and we gratefully acknowledge her exemplary efforts. Ms. Haas has also taken responsibility for managing the Emerging Research knowledge area of the SEBoK. The EIC and Managing Editor are very proud of the work Madeline has done and look forward to continuing to work with her.

**Interested in Editing?**

The Editor in Chief is looking for additional editors to support the evolution of the SEBoK. Editors are responsible for maintaining and updating one to two knowledge areas, including recruiting and working with authors, ensuring the incorporation of community feedback, and maintaining the quality of SEBoK content. We are specifically interested in support for the following knowledge areas:

- Enabling Businesses and Enterprises
  - Systems Engineering and Software Engineering
-

- Procurement and Acquisition
- Systems Engineering and Quality Attributes
- Model-Based Systems Engineering (MBSE) and Digital Engineering

If you are interested in being considered for participation on the Editorial Board, please contact the SEBoK Staff directly at [sebok@incose.org](mailto:sebok@incose.org)<sup>[22]</sup>.

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# Acknowledgements and Release History

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This article describes the contributors to the current version of the SEBoK. For information on contributors to past versions of the SEBoK, please follow the links under "SEBoK Release History" below.

The BKCASE Project began in the fall of 2009. Its aim was to add to the professional practice of systems engineering by creating two closely related products:

- *Guide to the Systems Engineering Body of Knowledge (SEBoK)*
- *Graduate Reference Curriculum for Systems Engineering (GRCSE)*

## BKCASE History, Motivation, and Value

The **Guide to the Systems Engineering Body of Knowledge (SEBoK)** is a living authoritative guide that discusses knowledge relevant to Systems Engineering. It defines how that knowledge should be structured to facilitate understanding, and what reference sources are the most important to the discipline. The curriculum guidance in the **Graduate Reference Curriculum for Systems Engineering (GRCSE)** (Pyster and Olwell et al. 2015) makes reference to sections of the SEBoK to define its core knowledge; it also suggests broader program outcomes and objectives which reflect aspects of the professional practice of systems engineering as discussed across the SEBoK.

Between 2009 and 2012, BKCASE was led by Stevens Institute of Technology and the Naval Postgraduate School in coordination with several professional societies and sponsored by the U.S. Department of Defense (DoD), which provided generous funding. More than 75 authors and many other reviewers and supporters from dozens of companies, universities, and professional societies across 10 countries contributed many thousands of hours writing the SEBoK articles; their organizations provided significant other contributions in-kind.

The SEBoK came into being through recognition that the systems engineering discipline could benefit greatly by having a living authoritative guide closely related to those groups developing guidance on advancing the practice, education, research, work force development, professional certification, standards, etc.

At the beginning of 2013, BKCASE transitioned to a new governance model with shared stewardship between the Systems Engineering Research Center (SERC) <sup>[1]</sup>, the International Council on Systems Engineering (INCOSE) <sup>[2]</sup>, and the Institute of Electrical and Electronics Engineers Computer Society (IEEE-CS) <sup>[3]</sup>. This governance structure was formalized in a memorandum of understanding between the three stewards that was finalized in spring of 2013 and subsequently updated. In January 2020, the IEEE Systems Council <sup>[4]</sup> replaced the IEEE-CS in representing IEEE as a steward. The stewards have reconfirmed their commitment to making the SEBoK available at no cost to all users, a key principle of BKCASE.

As of May 2022, SEBoK articles have had over 6M pageviews from more than 2M unique visitors. We hope the SEBoK will regularly be used by thousands of systems engineers and others around the world as they undertake technical activities such as eliciting requirements, creating systems architectures, or analyzing system test results; and professional development activities such as developing career paths for systems engineers, and deciding new curricula for systems engineering university programs.

## Governance

The SEBoK is shaped by the SEBoK Editorial Board and is overseen by the BKCASE Governing Board. A complete list of members for each of these bodies can be found on the BKCASE Governance and Editorial Board page.

## Content and Feature Updates for version 2.7

This update to the SEBoK included:

- A new article around loss-driven systems engineering, which specifically looks at system quality attributes like safety, security, and resilience through the lens of loss prevention.
- A new article on the history of systems engineering, which provides background on the early SE work leading up to more recent trends.
- Updates to the article on systems and industrial engineering.
- Minor updates to improve resources and align with evolving practices throughout part 3, including in the articles around systems engineering standards.
- Minor updates to the articles in Part 5, particularly the addition of new resources.
- Improvements in the SEBoK wiki infrastructure, including improved redundancy and measures to improve resilience.

## Dedication

This release coincides with the 10th anniversary of the release of SEBoK v. 1.0. We would like to dedicate this edition to our friend and colleague, Barry Boehm. Barry was not only an exceptional software and systems engineer but a true gentleman. Barry was a key member of the team that kicked off work on SEBoK v. 0.25 in 2009. Sadly, Barry passed away in August of this year, but his contributions to the field - which include the spiral development model and COCOMO among many - will live on, as will our fond memories of working with him. Rest well, friend.

### BARRY PHOTO

Read more about Barry's contributions to systems engineering from his colleagues at the University of Southern California (USC)<sup>[5]</sup> and the Systems Engineering Research Center (SERC).<sup>[6]</sup>

## SEBoK Release History

There have been 24 releases of the SEBoK to date, collected into 16 main releases.

### Main Releases

- Version 2.7 - current version.
- Version 2.6 - this update included substantial evolution of Parts 2 and 3, the foundations of systems engineering and systems engineering approaches, methods, processes, and tools. The version also included more information on Model-Based Systems Engineering (MBSE) and Digital Engineering, refinement of systems science foundations of systems engineering, and a new article on agile approaches. In Part 6 there were many new articles and updates to existing articles on the relationships between systems engineering and other disciplines.
- Version 2.5 - This version included an update of the main page; creation of the Editor's Corner; new sponsors and sponsorship packages; new navigation in the left-hand menu; small edits to address the comments received from the community. This release also updated to the latest version of MediaWiki, tightened up the IT infrastructure, and made some adjustments to improve performance.
- Version 2.4 - This was a minor release, including reorganizations of Part 6 and 8 to handle new knowledge areas and topics. In addition, several new articles were added, including, Systems Engineering Heuristics, Diversity, Equity, and Inclusion, Systems Engineering and Geospatial/Geodetic Engineering Knowledge Area, System

Hardware Assurance, Socio-technical Systems, Verification and Validation of Systems in Which AI is a Key Element, and an introductory article on Artificial Intelligence. The content on Systems of Systems (SoS) was also updated.

- Version 2.3 - This was a minor release, including two new articles: Cycles and the Cyclic Nature of Systems and Portfolio Management. A number of additional minor edits, including a new overview graphic for the SEBoK, clean up of existing pages, software updates, etc. were incorporated.
- Version 2.2 - This was a significant release, including the first new Part to be added since v. 1.0 - Emerging Knowledge - which is a place to highlight new topics in systems engineering that are important but may not yet have a large body of literature. Recent dissertations around emerging topics are also included. A new case study on Apollo 1 was added to Part 7, which has also been reorganized around topics. Additional minor updates have occurred throughout.
- Version 2.1 - This was a significant release with new articles, new functionality, and minor updates throughout.
- Version 2.0 - This was a major release of the SEBoK which included incorporation of multi-media and a number of changes to the functions of the SEBoK.
- Version 1.9.1 - This was a micro release of the SEBoK which included updates to the editorial board, and a number of updates to the wiki software.
- Version 1.9 - This was a minor update which included updates to the System Resilience article in Part 6: Related Disciplines, as well as a major restructuring of Part 7: Systems Engineering Implementation Examples. A new example has been added around the use of model based systems engineering for the thirty-meter telescope.
- Version 1.8 - This was a minor update, including an update of the Systems of Systems (SoS) knowledge area in Part 4: Applications of Systems Engineering where a number of articles were updated on the basis of developments in the area as well as on comments from the SoS and SE community. Part 6: Related Disciplines included updates to the Manufacturability and Producibility and Reliability, Availability, and Maintainability articles.
- Version 1.7 - This was a minor update, including a new Healthcare SE Knowledge Area (KA), expansion of the MBSE area with two new articles, Technical Leadership and Reliability, Availability, and Maintainability and a new case study on the Northwest Hydro System.
- Version 1.6 - This was a minor update, including a reorganization of Part 1 SEBoK Introduction, a new article on the Transition towards Model Based Systems Engineering and a new article giving an overview of Healthcare Systems Engineering, a restructure of the "Systems Engineering and Specialty Engineering" (now Systems Engineering and Quality Attributes) KA.
- Version 1.5 - This was a minor update, including a restructure and extension of the Software Engineering Knowledge Area, two new case studies, and a number of corrections of typographical errors and updates of outdated references throughout the SEBoK.
- Version 1.4 - This was a minor update, including changes related to ISO/IEC/IEEE 15288:2015 standard, three new case studies and updates to a number of articles.
- Version 1.3 - This was a minor update, including three new case studies, a new use case, updates to several existing articles, and updates to references.
- Version 1.2 - This was a minor update, including two new articles and a revision of several existing articles.
- Version 1.1 - This was a minor update that made modest content improvements.
- Version 1.0 - This was the first official version of the SEBoK intended for broad use and was released 15 September 2012.

Click on the links above to read more information about each release.

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## References

- [1] <http://www.sercuarc.org>
- [2] <http://www.incose.org>
- [3] <http://www.computer.org>
- [4] <https://ieeesystems council.org/>
- [5] <https://viterbischool.usc.edu/news/2022/09/barry-boehm-a-living-legend-in-systems-and-software-engineering-dies-at-87/#:~:text=He%20was%20estimation%20and%20lifecycle%20modeling>
- [6] <https://sercuarc.org/barry-boehm-serc-chief-scientist-emeritus-retires/>

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**Sponsors provide critical funding that supports the infrastructure around the SEBoK. These organizations have demonstrated their commitment to systems engineering through their support of the SEBoK and we are very grateful for their support.**

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Sponsored Knowledge Area	Up to 2 (incl.)	1 (incl.)	\$250
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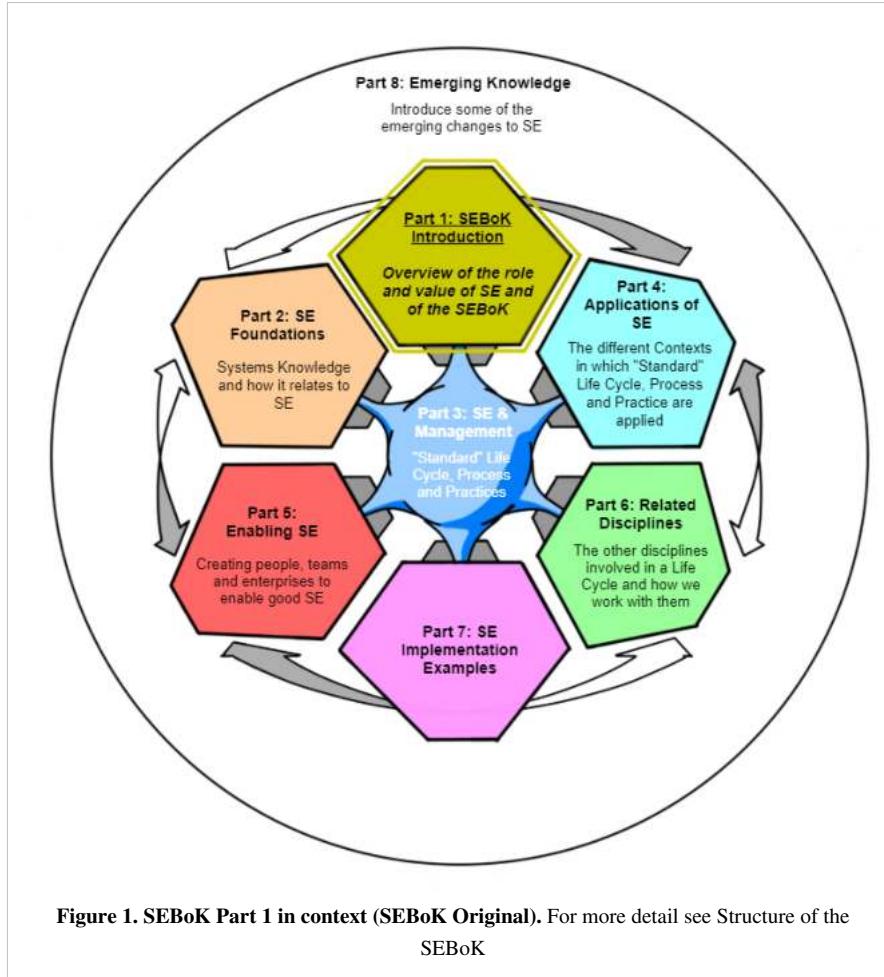
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**SEBoK v. 2.7, released 31 October 2022**

# Part 1: SEBoK Introduction

## SEBoK Introduction

The purpose of the *Guide to the Systems Engineering Body of Knowledge (SEBoK)* is to provide a widely accepted, community-based, and regularly updated baseline of systems engineering (SE) knowledge. SEBoK Part 1 contains an introduction to both the discipline of SE, and an introduction to and guide for the use of the SEBoK wiki.



Part 1 also includes an introduction to some of the emerging aspects of systems engineering and a discussion of how these are transforming the discipline. As this knowledge matures, it will be migrated into the main body of the SEBoK.

## Part 1 Knowledge Areas

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. Part 1 contains the following KAs:

- Introduction to the SEBoK
- Introduction to Systems Engineering
- Introduction to SE Transformation
- Digital Engineering
- Set Based Design
- SEBoK Users and Uses

## Scope and Context of the SEBoK

While Part 1 introduces Systems Engineering knowledge areas, the remaining SEBoK content (Parts 2 – 6) focuses on domain-independent information—that which is universal to systems engineering regardless of the domain in which it is applied. Part 7 includes examples from real projects. These illustrate the concepts discussed elsewhere in the SEBoK, while detailing considerations relevant to domains such as aerospace, medicine, and transportation.

SE in the context of engineered systems (ES) is the primary scope for the SEBoK, though general systems concepts are also discussed in Part 2. The SEBoK also covers considerations for the disciplines of software engineering and project management, which are strongly intertwined with the practice of SE (see Part 6).

## References

### Works Cited

None

### Primary References

None

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# Introduction to the SEBoK

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## Introduction to the SEBoK

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The SEBoK provides a widely accepted, community-based, and regularly updated baseline of systems engineering (SE) knowledge. Therefore, it is a curated body of knowledge which is updated on a semi-annual basis. This baseline strengthens the mutual understanding across the many disciplines involved in developing and operating systems.

### Topics

Each part of the SEBoK is divided into KAs (knowledge areas), which are groupings of information with a related theme. The KAs are divided into topics. This KA contains the following topics:

- Scope of the SEBoK
- Structure of the SEBoK

### References

#### Works Cited

None.

#### Primary References

INCOSE. 2015. *Systems Engineering Handbook: A Guide for System Life Cycle Processes and Activities*, Fourth Edition. San Diego, CA, USA: International Council on Systems Engineering (INCOSE). INCOSE-TP-2003-002-004.

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Sage, A. and W. Rouse, Eds. 2009. *Handbook of Systems Engineering and Management*, 2nd ed. Hoboken, NJ, USA: John Wiley and Sons, Inc.

#### Additional References

None.

# Scope of the SEBoK

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The SEBoK is a large, curated compendium of information about systems engineering. It:

- is a guide to the body of SE knowledge which provides references to detailed sources for additional information; it is not a self-contained knowledge resource
- focuses on Engineered Systems contexts, that is socio-technical systems with a recognized SE life cycle, while treating social and natural systems as relevant and important environmental considerations (see Part 2)
- describes generic SE life cycle and process knowledge (see Part 3)
- recognizes that SE principles can be applied differently to different types of products, services, enterprises, and systems of systems (SoS) context (see Part 4)
- provides resources for organization support of SE activities (see Part 5)
- explores the interaction between SE and other disciplines, highlighting what systems engineers need to know about these disciplines (see Part 6)
- is domain-independent, with implementation examples to provide domain-specific context (see Part 7)

Each of these considerations depends upon the definition and scope of SE itself, which is the subject of the next section.

## SEBoK Purposes

Ongoing studies of system cost and schedule failures (Gruhl & Stutzke 2005; Johnson 2006, GAO 2016) and safety failures (Leveson 2012) have shown that the failures have mostly come not from their domain disciplines, but from lack of adequate Systems Engineering (NDIA 2003, 2006, 2016). To provide a foundation for the mutual understanding of SE needed to reduce these failures, the SEBoK describes the boundaries, terminology, content, and structure of SE. In so doing, the SEBoK systematically and consistently supports six broad purposes, described in Table 1.

**Table 1. SEBoK Purposes. (SEBoK Original)**

#	Purpose	Description
1	Inform Practice	Inform systems engineers about the boundaries, terminology, and structure of their discipline and point them to useful information needed to practice SE in any application domain.
2	Inform Research	Inform researchers about the limitations and gaps in current SE knowledge that should help guide their research agenda.
3	Inform Interactors	Inform performers in interacting disciplines (system implementation, project and enterprise management, other disciplines) and other stakeholders of the nature and value of SE.
4	Inform Curriculum Developers	Inform organizations defining the content that should be common in undergraduate and graduate programs in SE.
5	Inform Certifiers	Inform organizations certifying individuals as qualified to practice systems engineering.
6	Inform SE Staffing	Inform organizations and managers deciding which competencies practicing systems engineers should possess in various roles ranging from apprentice to expert.

The SEBoK is a guide to the body of SE knowledge, not an attempt to capture that knowledge directly. It provides references to more detailed sources of knowledge, all of which are generally available to any interested reader. No proprietary information is referenced, but not all referenced material is free—for example, some books or standards must be purchased from their publishers. The criterion for including a source is simply that the authors & editors believed it offered the best generally available information on a particular subject.

The SEBoK is global in applicability. Although SE is practiced differently from industry to industry and country to country, the SEBoK is written to be useful to systems engineers anywhere. The authors & editors were chosen from diverse locales and industries, and have refined the SEBoK to broaden applicability based on extensive global reviews of several drafts.

The SEBoK aims to inform a wide variety of user communities about essential SE concepts and practices in ways that can be tailored to different enterprises and activities while retaining greater commonality and consistency than would be possible without the SEBoK. Because the world in which SE is being applied continues to evolve and is dynamic, the SEBoK is designed for easy, continuous updating as new sources of knowledge emerge.

## **SEBoK Uses**

The communities involved with SE include its various specialists, engineers from disciplines other than systems engineering, managers, researchers, and educators. This diversity means that there is no single best way to use the SEBoK. The SEBoK includes use cases that highlight potential ways that particular communities can draw upon the content of the SEBoK, identify articles of interest to those communities, and discuss primary users (those who use the SEBoK directly) and secondary users (those who use the SEBoK with assistance from a systems engineer). For more on this, see the article [SEBoK Users and Uses](#).

## **SEBoK Domain Independent Context**

The SEBoK uses language and concepts that are generally accepted for domain-independent SE. For example, the domain-independent conceptual foundations of SE are elaborated in Part 2: Foundations of Systems Engineering. However, each of the numerous domains in which SE is practiced — including telecommunications, finance, medicine, and aerospace — has its own specialized vocabulary and key concepts. Accordingly, the SEBoK is designed to show how its domain-independent material relates to individual domains in two ways.

Firstly, by means of examples that tell stories of how SE is applied in particular domains. Part 7: Systems Engineering Implementation Examples ) consists of examples (case studies and vignettes), each set in a particular domain such as aerospace, medicine, or software, and featuring vocabulary and concepts special to that domain. There are similar vignettes in some of the Use Cases in Part 1. These examples demonstrate the effect of domain on the application of SE and complement the domain-independent information elsewhere in the SEBoK. They show how a concept works in a given domain and provide a fair opportunity for reviewers to reflect on whether there are better ways to capture application-dependent aspects of SE knowledge.

In addition, the SEBoK will contain knowledge areas in Part 4: Applications of Systems Engineering which explicitly describe the domain specific language, approaches, specialized processes and tools, etc. of particular application domains. In this version of the SEBoK, there are a limited set of domain knowledge areas.

## **References**

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None.

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None.

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# Structure of the SEBoK

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The **Guide to the Systems Engineering Body of Knowledge (SEBoK)** is a living authoritative guide that discusses knowledge relevant to Systems Engineering. SEBoK does not contain all of this knowledge itself but provides a starting point and key resources to allow the reader to navigate the wider body of knowledge that exists in published sources. To do this, SEBoK:

- Defines relevant knowledge and structures it to facilitate understanding.
- Provides short discussions of key ideas, principles and concepts within that structure.
- Points to reference sources important to the discipline, which explore these ideas in more detail.

In doing this, it is inevitable that differences in terminology, alternative approaches, and even fundamentally different ways of thinking within the knowledge will appear. SEBoK attempts were possible to provide clarity of similar or overlapping ideas, or to highlight real differences and the reasons behind them. In particular, the SEBoK Glossary of Terms contains the most used or generally agreed upon definitions of terms when it can, but may highlight more than one definition if needed to show breadth of current thinking.

## SEBoK Structure

Figure 1, below, illustrates the eight parts of the SEBoK and how they are related.

The scope of each part and the key relationships amongst them are briefly discussed below. For a more detailed discussion of how this structure was evolved, see (Adcock et al, 2016).

## Overview of Parts

### Part 1: SEBoK Introduction

This part explains the scope, context, and structure of the SEBoK, and of systems engineering (SE).

An overview of who should use the SEBoK, and for what purpose, is followed by detailed use cases. Systems engineering's economic value, history, and relationship to other disciplines are discussed. Part 1 also contains a section which discusses the future evolution of the SEBoK and allows for new areas of content to be introduced before being transitioned into other SEBoK parts.

### Part 2: Foundations of Systems Engineering

This part provides an introduction and overview of areas of knowledge which provide the foundations of SE.

A discussion of the definitions and basic concepts of systems is followed by an overview of the principles, concepts, methods, models and patterns of some of the key foundational areas of systems science. This includes a detailed consideration of the foundational knowledge related to systems models and modelling.

Part 2 looks in more detail at two aspects of this foundational knowledge of particular value to SE. The first is to discuss aspects of systems knowledge related to a systems approach to complex problems and opportunities. This approach provides foundations for how SE is defined and practiced (see Parts 3 and 5 below). The second is to describe the different ways in which system concepts are applied to real world concerns. The SEBoK defines an engineered system (ES) as the primary focus for the application of SE (see Part 4 below).

### Part 3: Systems Engineering and Management

This part describes generic knowledge on the practice of SE and related management activities.

Part 3 begins with the life cycle models common in SE and the general principles behind their application. It then moves on to SE management activities. It covers both technical activities such as requirements, architecture, test and evaluation; and management activities such as planning, measurement, and risk. Next is product and service life management, a distinct area of SE management that emphasizes the entire life cycle including retirement and disposal. An account of SE standards concludes this part.

Focused on what many think of as the main body of SE, including best practices and common pitfalls, this part constitutes a substantial proportion of the SEBoK. As already discussed, the knowledge in Part 3 is based on the systems approach from Part 2. The links between Part 3 and the other parts of the SEBoK are discussed below.

## **Part 4: Applications of Systems Engineering**

This part describes how to apply SE principles to different types of system context.

Part 4 focuses on four major engineered system contexts in turn: products, services, enterprises, and systems of systems (SoS). For each one, the system abstraction, commercial relationships and application of generic SE is described.

The generalized contexts above should be viewed as overlapping models of how SE can be applied in different kinds of situations. Combinations of one or more of them are fully realized when applied in an application domain. Part 4 currently describes this application in a small number of such domains. This will be expanded in later updates. The applications of SE in this part describe the real-world practice of SE. The generalized knowledge in both Parts 2 and 3 evolves through what we learn from these applications. Part 2 includes a discussion of this relationship between theory and practice.

## **Part 5: Enabling Systems Engineering**

This part describes approaches to organization that may enable the successful performance of SE activities.

Part 4 covers knowledge at the enterprise, team, or individual level. The range of considerations extends from value proposition, business purpose, and governance, down to competency, personal development as a systems engineer, and ethics.

All of these relate to the baseline definitions of SE in Part 3, further generalized in the levels of application in Part 4. The systems approach in Part 2 should also form a foundation for this part. Since the practice of SE is transdisciplinary, Part 5 also has a link to Part 6 as discussed below.

## **Part 6: Related Disciplines**

This part describes the relationships between SE and other disciplines.

Part 6 covers the links between SE and software engineering (SwE), project management (PM), industrial engineering (IE) and procurement. It also describes how SE is related to specialty engineering, which describes the various system “-ilities” (like reliability, availability, and maintainability) that SE must balance and integrate.

The knowledge in this part provides an interface to other bodies of knowledge, focused on how it is linked to Parts 3, 4 and 5 above.

## **Part 7: Systems Engineering Implementation Examples**

A set of real-world examples of SE activities demonstrates implementations of the systems engineering knowledge in previous parts of the SEBoK. These examples come in two forms: case studies, which refer the reader to and summarize published examinations of the successes and challenges of SE programs, and vignettes, which are brief, self-contained wiki articles. This part is a key place to look within the SEBoK for lessons learned, best practices, and patterns. Many links connect material in the examples to the conceptual, methodological, and other content elsewhere in the SEBoK.

## **Part 8: Emerging Knowledge**

One of the challenges associated with a body of knowledge is that cutting edge and/or emerging ideas are difficult to include. Bodies of knowledge are based on existing literature and resources, and these often do not exist for new topics. To address this, Part 8 of the SEBoK contains those emerging ideas and items that are not easily covered in the other sections of the SEBoK. As these areas mature and as a body of literature is created around them, they will be moved into the other Parts of the SEBoK.

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## Addenda

The SEBoK contains a Glossary of Terms, which provides authoritatively-referenced definitions of key terms. This information is displayed when the reader hovers the mouse pointer over a glossary term within an article. It also contains a list of Primary References, with additional information about each reference. Quicklinks in the left margin provide additional background information, including a table of contents, a listing of articles by topic [1], and a list of Acronyms.

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None.

### Additional References

None.

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## References

[1] <http://sebokwiki.org/1.1.1/index.php?title=Category:Topic>

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# Introduction to Systems Engineering

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## Introduction to Systems Engineering

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The primary focus of the SEBoK is on the current baseline of knowledge describing the practice of domain independent systems engineering (SE). This Knowledge Area (KA) contains topic articles which provide an overview of SE practice and discuss its economic value, historic evolution and key relationships.

### Topics

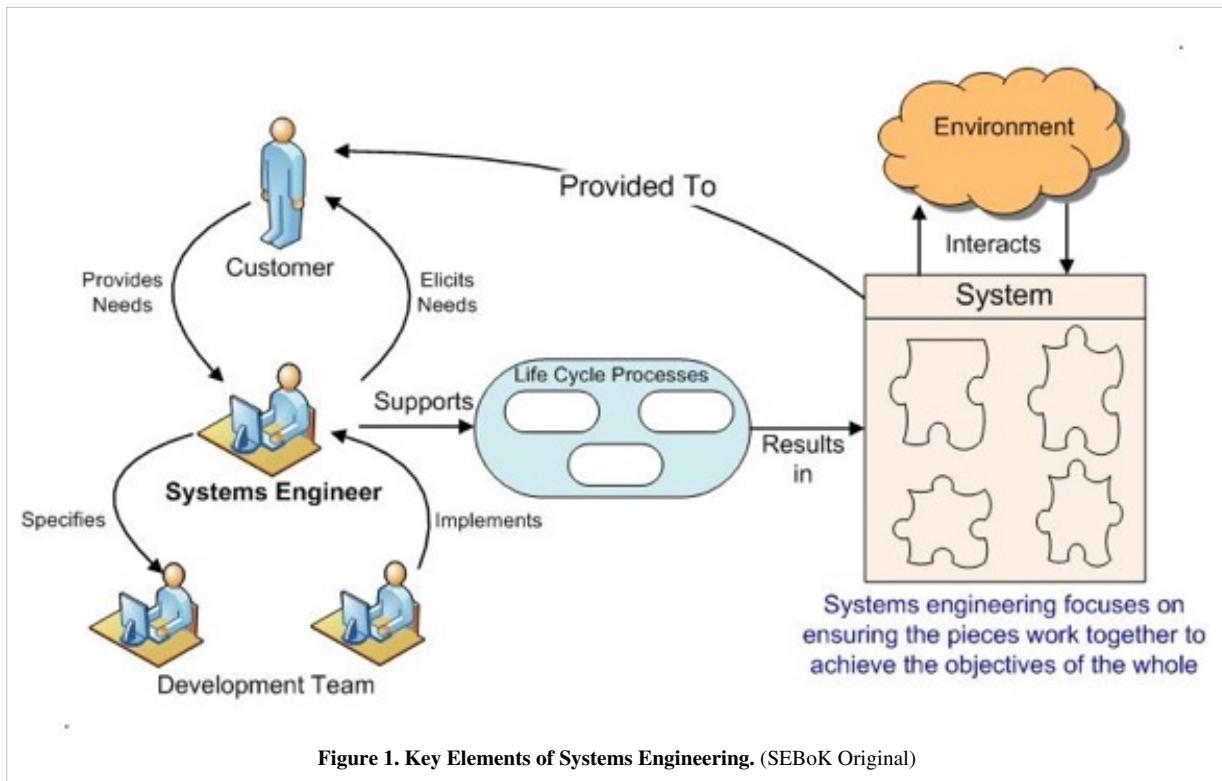
Each part of the SEBoK is divided into KAs, which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Systems Engineering Overview
- Economic Value of Systems Engineering
- Systems Engineering: Historic and Future Challenges
- Systems Engineering and Other Disciplines

### Systems Engineering

SE is a transdisciplinary approach and means to enable the realization of successful systems. Successful systems must satisfy the needs of their customers, users and other stakeholders. Some key elements of systems engineering are highlighted in Figure 1 and include:

- The principles and concepts that characterize a system, where a system is an interacting combination of system elements that accomplish a defined objective(s). The system interacts with its environment, which may include other systems, users, and the natural environment. The system elements that compose the system may include hardware, software, firmware, people, information, techniques, facilities, services, and other support elements.
- A systems engineer is a person or role who supports this transdisciplinary approach. In particular, the systems engineer often serves to elicit and translate customer needs into specifications that can be realized by the system development team.
- In order to help realize successful systems, the systems engineer supports a set of life cycle processes beginning early in conceptual design and continuing throughout the life cycle of the system through its manufacture, deployment, use and disposal. The systems engineer must analyze, specify, design, and verify the system to ensure that its functional, interface, performance, physical, and other quality characteristics, and cost are balanced to meet the needs of the system stakeholders.
- A systems engineer helps ensure the elements of the system fit together to accomplish the objectives of the whole, and ultimately satisfy the needs of the customers and other stakeholders who will acquire and use the system.



## References

None.

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# Systems Engineering Overview

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Systems engineering (SE) is a transdisciplinary approach and means to enable the realization of successful systems. Successful systems must satisfy the needs of their customers, users and other stakeholders. This article provides an overview of SE as discussed in the SEBoK and the relationship between SE and systems (for additional information on this, please see Part 2).

## Systems and Systems Engineering

In the broad community, the term “system” may mean a collection of technical, natural or social elements, or a combination of all three. This may produce ambiguities at times: for example, does “management” refer to management of the SE process, or management of the system being engineered? As with many special disciplines, SE uses terms in ways that may be unfamiliar outside the discipline. For example, in systems science and therefore SE, “open” means that a system is able to interact with its environment--as opposed to being “closed” to its environment. However, in the broader engineering world we would read “open” to mean “non-proprietary” or “publicly agreed upon.” In such cases, the SEBoK tries to avoid misinterpretation by elaborating the alternatives e.g. “system management” or “systems engineering management”.

The SEBoK seeks to position SE within the broader scope of knowledge which considers systems as part of its foundations. To do this without attempting to re-define general systems terminology, SEBoK introduces two related definitions specific to SE:

- An engineered system is a technical or socio-technical system which is the subject of an SE life cycle. It is a system designed or adapted to interact with an anticipated operational environment to achieve one or more intended purposes while complying with applicable constraints.
- An engineered system context centers around an engineered system but also includes in its relationships other engineered, social or natural systems in one or more defined environments.

Since the province of SE is engineered systems, most SE literature assumes this in its terminology. Thus, in an SE discussion, “system architecture” would refer to the architecture of the system being engineered (e.g., a spacecraft) and not the architecture of a natural system outside its boundary (e.g., the solar system). In fact, a spacecraft architecture would cover the wider system context including external factors such as changes in gravity and external air pressure and how these affect the spacecraft's technical and human elements. Thus, the term “system architecture” more properly refers to the engineered system context. The SEBoK tries to be more explicit about this, but may still make these kinds of assumptions when referring directly to other SE literature.

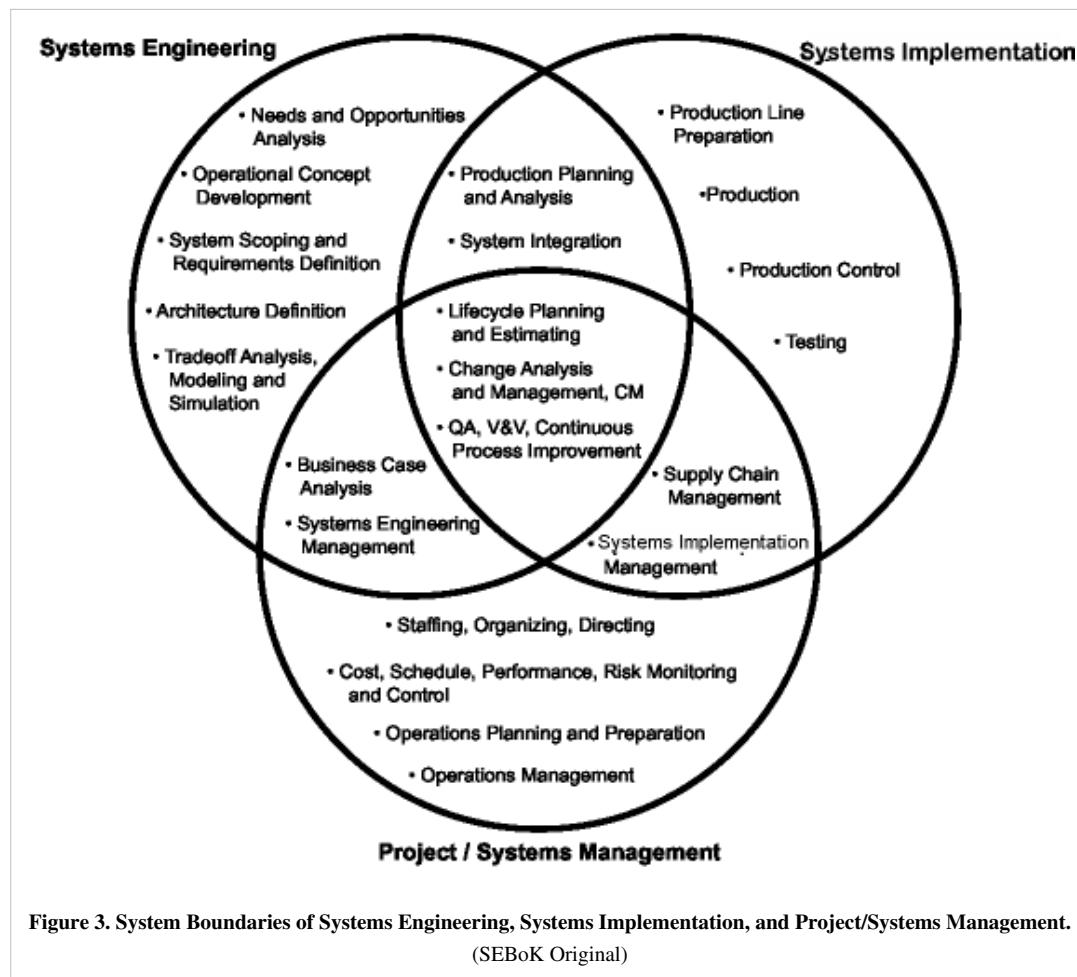
An extensive glossary of terms identifies how terms are used in the SEBoK and shows how their meanings may vary in different contexts. As needed, the glossary includes pointers to articles providing more detail.

For more about the definition of systems, see the article What is a System? in Part 2. The primary focus of SEBoK Part 3: Systems Engineering and Management and Part 4: Applications of Systems Engineering is on how to create or change an engineered system to fulfill the goals of stakeholders within these wider system contexts. The knowledge in Part 5: Enabling Systems Engineering and Part 6: Systems Engineering and Other Disciplines examines the need for SE itself to be integrated and supported within the human activity systems in which it is performed, and the relationships between SE and other engineering and management disciplines.

## Scope of Systems Engineering within the Engineered Systems Domain

The scope of SE does not include everything involved in the engineering and management of an engineered system. Activities can be part of the SE environment, but other than the specific management of the SE function, are not considered to be part of SE. Examples include system construction, manufacturing, funding, and general management. This is reflected in the International Council on Systems Engineering (INCOSE) top-level definition of systems engineering as, “A transdisciplinary and integrative approach to enable the successful realization, use, and retirement of engineered systems, using systems principles and concepts, and scientific, technological, and management methods” (Fellows 2019). Although SE can *enable* the realization of a successful system, if an activity that is outside the scope of SE, such as manufacturing, is poorly managed and executed, SE cannot *ensure* a successful realization.

A convenient way to define the scope of SE within engineering and management is to develop a Venn diagram. Figure 3 shows the relationship between SE, system implementation, and project/systems management. Activities, such as analyzing alternative methods for production, testing, and operations, are part of SE planning and analysis functions. Such activities as production line equipment ordering and installation, and its use in manufacturing, while still important SE environment considerations, stand outside the SE boundary. Note that as defined in Figure 3, system implementation engineering also includes the software production aspects of system implementation. Software engineering, then, is not considered a subset of SE.



Traditional definitions of SE have emphasized sequential performance of SE activities, e.g., “documenting requirements, then proceeding with design synthesis ...” (INCOSE 2012). Originally, the SEBoK authors & editors departed from tradition to emphasize the inevitable intertwining of system requirements definition and system design in the following revised definition of SE:

*Systems Engineering (SE) is an interdisciplinary approach and means to enable the realization of successful systems. It focuses on holistically and concurrently understanding stakeholder needs; exploring opportunities; documenting requirements; and synthesizing, verifying, validating, and evolving solutions while considering the complete problem, from system concept exploration through system disposal.* (INCOSE 2012, modified.)

More recently, the INCOSE Fellows have offered an updated definition of SE that has been adopted as the official INCOSE definition:

*A transdisciplinary and integrative approach to enable the successful realization, use, and retirement of engineered systems, using systems principles and concepts, and scientific, technological, and management methods.*

Part 3: Systems Engineering and Management elaborates on the definition above to flesh out the scope of SE more fully.

## Systems Engineering and Engineered Systems Project Life Cycle Context

SE is performed as part of a life cycle approach. Figure 2 summarizes the main agents, activities, and artifacts involved in the life cycle of SE, in the context of a project to create and evolve an engineered system.

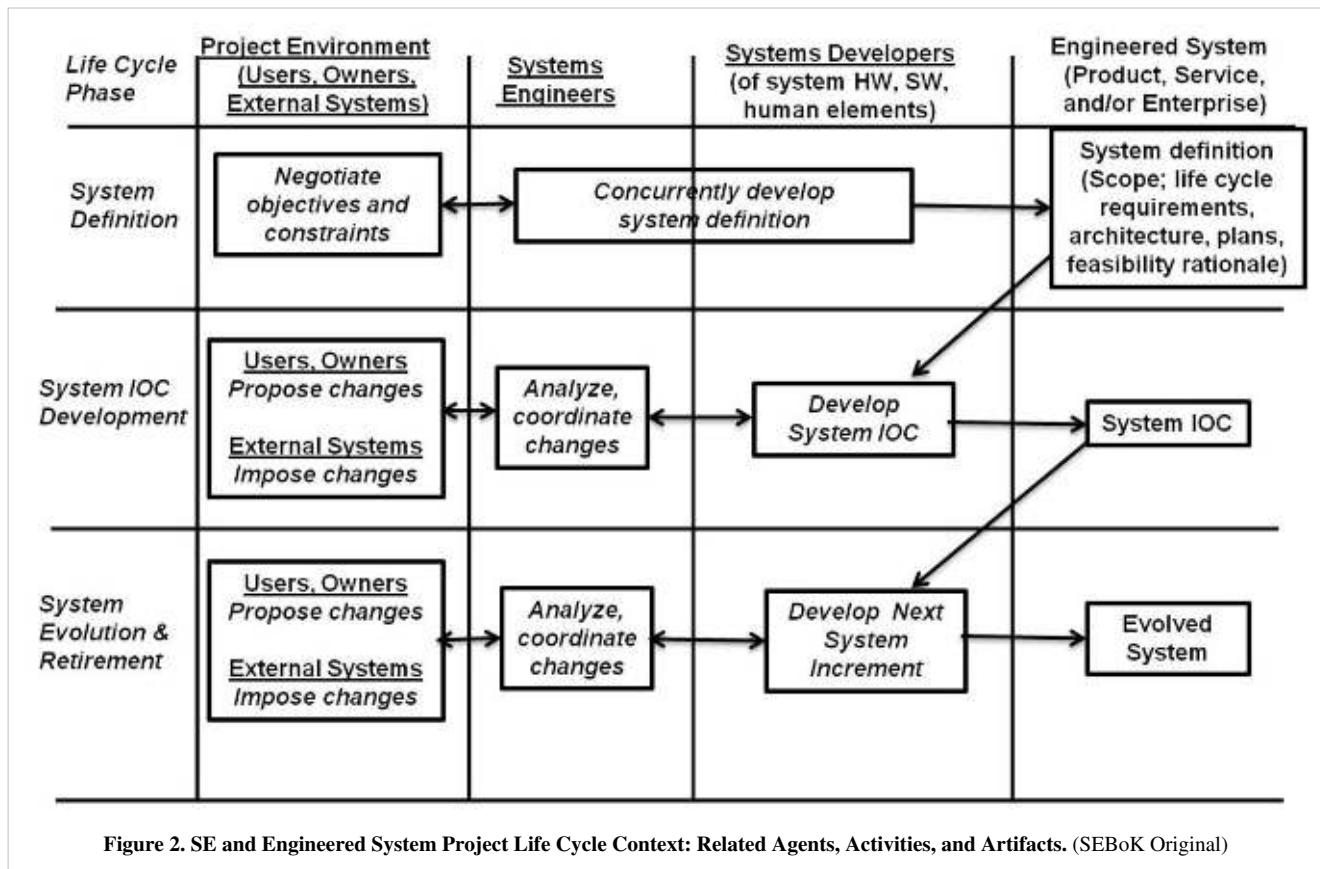


Figure 2. SE and Engineered System Project Life Cycle Context: Related Agents, Activities, and Artifacts. (SEBoK Original)

For each primary project life cycle phase, we see activities being performed by primary agents, changing the state of the ES.

- Primary project life cycle phases appear in the leftmost column. They are system definition, system initial operational capability (IOC) development, and system evolution and retirement.
- Primary agents appear in the three inner columns of the top row. They are systems engineers, systems developers, and primary project-external bodies (users, owners, external systems) which constitute the project environment.
- The ES, which appears in the rightmost column, may be a product, a service, and/or an enterprise.

In each row:

- boxes in each inner column show activities being performed by the agent listed in the top row of that column
- the resulting artifacts appear in the rightmost box.

Arrows indicate dependencies: an arrow from box A to box B means that the successful outcome of box B depends on the successful outcome of box A. Two-headed arrows indicate two-way dependencies: an arrow that points both from box A to box B and from box B to box A means that the successful outcome of each box depends on the successful outcome of the other.

For example, consider how the inevitable changes that arise during system development and evolution are handled:

- One box shows that the system's users and owners may propose changes.
- The changes must be negotiated with the systems developers, who are shown in a second box.
- The negotiations are mediated by systems engineers, who are shown in a third box in between the first two.
- Since the proposed changes run from left to right and the counter-proposals run from right to left, all three boxes are connected by two-headed arrows. This reflects the two-way dependencies of the negotiation.

An agent-activity-artifact diagram like Figure 1 can be used to capture complex interactions. Taking a more detailed view of the present example demonstrates that:

- The system's users and owners (stakeholders) propose changes to respond to competitive threats or opportunities, or to adapt to changes imposed by independently evolving external systems, such as Commercial-off-the-Shelf (COTS) products, cloud services, or supply chain enablers.
- Negotiation among these stakeholders and the system developers follows, mediated by the SEs.
- The role of the SEs is to analyze the relative costs and benefits of alternative change proposals and synthesize mutually satisfactory solutions.

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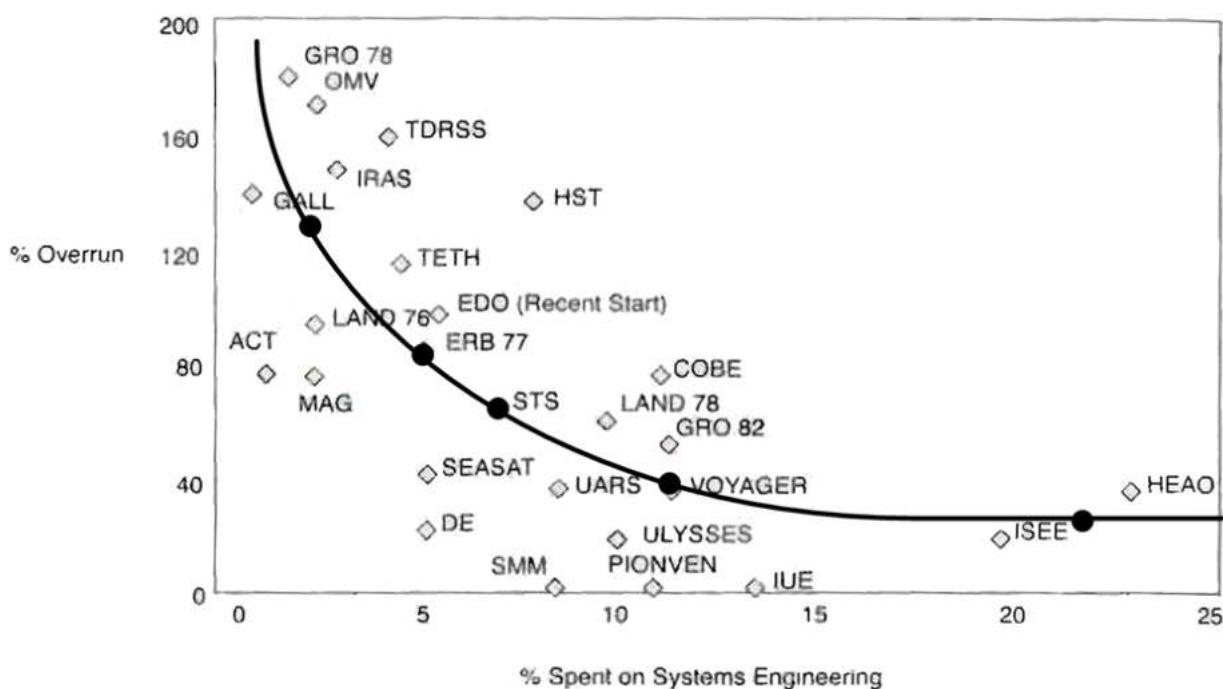
# Economic Value of Systems Engineering

## The Increasing Value of Systems Engineering

With traditional projects, such as railroads, reservoirs, and refrigerators, a systems engineer faced a self-contained system that typically had relatively stable requirements, a sound scientific base, and numerous previous precedents. As most modern systems become parts within one or more evolving systems of systems (SoS), the performance of effective SE now takes on an ever-higher economic value, as the systems feature a rapidly increasing scale, dynamism, interdependence, human-intensiveness, number of sources of vulnerability, and novelty.

This is corroborated by the implementation examples in Part 7. Shortfalls in SE lead to either cancellation of already expensive systems or even more expensive systems in terms of total cost of ownership or loss of human life. Part 7 presents the problems in the United States Federal Aviation Administration (FAA) Advanced Automation System (AAS), United States Federal Bureau of Investigation (FBI) Virtual Case File System, the Hubble Space Telescope Case Study, and the Therac-25 medical linear accelerator.

On the other hand, the Global Positioning System (GPS), Miniature Seeker Technology Integration Project (MSTI), and Next Generation Medical Infusion Pump Project all demonstrate that investment in thorough SE results in highly cost-effective systems. Figure 1 summarizes the analyses data by Werner Gruhl, which relates investment levels in SE to cost overruns of the United States National Aeronautics and Space Administration (NASA) projects (Stutzke 2005). The results indicate that there is a general correlation between the amount invested in SE within a program and cost overruns, demonstrating the critical role of properly allocating SE resources.

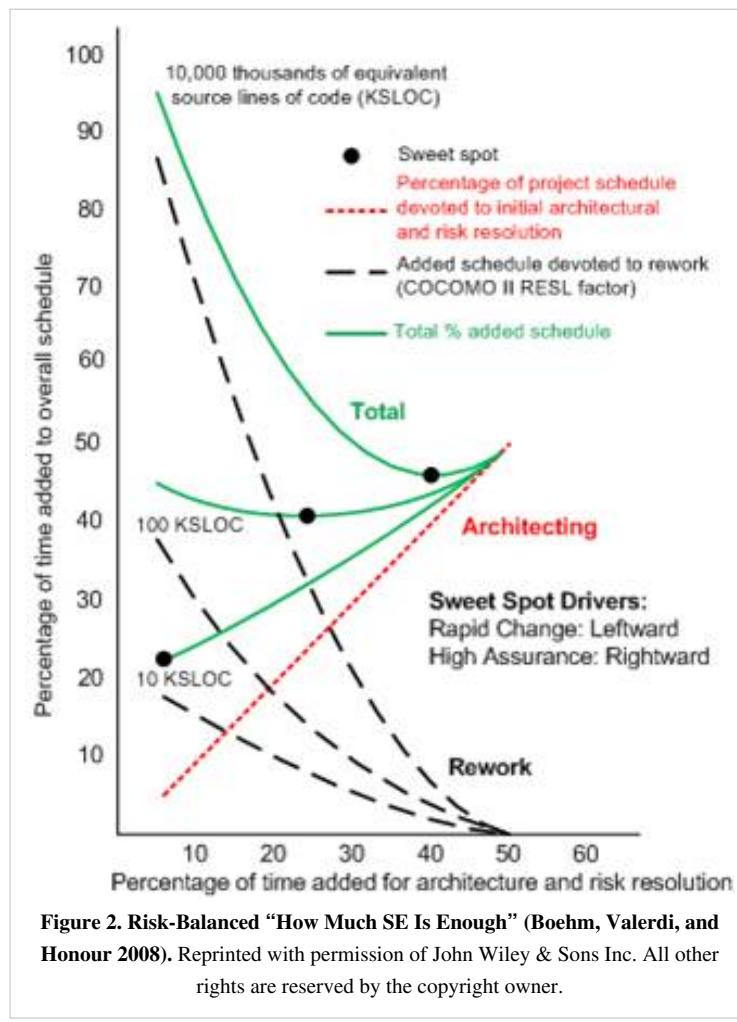


\*Source: Werner M. Gruhl, Chief Cost & Economics Analysis Branch, NASA Headquarters

Figure 1. Relation of SE Investments to NASA Program Cost Overruns (Stutzke 2005). Released by NASA HDQRT/Gruhl.

## Further Quantitative Evidence of the Value of Systems Engineering

Analysis of the effects of shortfalls in systems architecture and risk resolution (the results of insufficient SE) for software-intensive systems in the 161-project Constructive Cost Model II (COCOMO™ II) database shows a statistically significant increase in rework costs as a function of project size measured in source lines of code (SLOC): averages of 18% rework for ten-thousand-SLOC projects and 91% rework for ten-million-SLOC projects. This data has influenced many major system projects to reconsider initial underinvestment in SE (e.g., Boehm et al. 2004), as well as to address “how much SE is enough” by balancing the risks of under-investing in SE against those of over-investing (often called “analysis paralysis”), as shown in Figure 2 (Boehm, Valerdi, and Honour 2008).



Typically, small projects can quickly compensate for neglected SE interface definition and risk resolution; however, as projects grow larger and have more independently-developed components, the cost of late rework negates any savings in reduced SE effort. Additionally, medium-sized projects have relatively flat operating regions, while very large projects pay extremely large penalties for neglecting thorough SE. Extensive surveys and case study analyses corroborate these results.

Survey data on software cost and schedule overruns in *My Life Is Failure: 100 Things You Should Know to Be a Better Project Leader* (Johnson 2006) indicates that the primary sources of the roughly 50% of commercial projects with serious “software overruns” are the result of shortfalls in SE (lack of user input, incomplete requirements, unrealistic expectations, unclear objectives, and unrealistic schedules). The extensive survey of 46 government-contracted industry projects conducted by the Software Engineering Institute (SEI)/National Defense Industrial Association (NDIA) illustrated a strong correlation between higher project SE capability and higher project performance (Elm et al. 2007). Ongoing research that combined project data and survey data reported in

"Toward an Understanding of The Value of SE" (Honour 2003) and "Effective Characterization Parameters for Measuring SE" (Honour 2010) has provided additional evidence as to the economic value of SE and further insights on critical factors that affect SE success.

The Constructive Systems Engineering Cost Model (COSYSMO), a calibrated model for determining "how much SE is enough," has been developed and is discussed in (Valerdi 2008). It estimates the number of person-months that a project needs for SE as a function of system size (i.e., requirements, interfaces, algorithms, and operational scenarios), modified by 14 factors (i.e., requirements understanding, technology risk, personnel experience, etc.), which dictates the amount of SE effort needed. Other economic considerations of SE include the costs and benefits of reuse (Wang, Valerdi and Fortune 2010), the management of SE assets across product lines (Fortune and Valerdi 2013), the impact of SE on project risk (Madachy and Valerdi 2010), and the role of requirements volatility on SE effort (Pena and Valerdi 2010).

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# A Brief History of Systems Engineering

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Systems engineering may be a younger discipline than electrical or mechanical engineering, but it is by no means "new". This article provides a brief overview of the history of systems engineering as seen through the lens of published works.

## The Fifties (1950-1959)

Mervin J. Kelly worked for Bell Labs and became president of Bell Labs in 1951. In 1950 Kelly published the article "The Bell Telephone Laboratories—An Example of an Institute of Creative Technology" in the Proceedings of the Royal Society B. In that article Kelly discussed the progress of Bell Labs over the first half of the century. He stated that the organization "grew in size and matured in the scope and character of its work during the period of rapid expansion in research in the physical sciences". From there, he went on to describe the organization of their work. The first operational heading he described was described as research and fundamental research. The second general heading is of relevance to this article. That category of work was 'systems engineering'. He went on to describe that group of individuals by stating "...the major responsibility is the determination of new specific systems and facilities development projects – their operational and economic objectives and the broad technical plan to be followed. 'Systems engineering' controls and guides the use of the new knowledge obtained from the research and fundamental development programs in the creation of new telephone services and the improvement and lowering of cost of services already established...it attempts to insure that the technical objectives of the development projects undertaken can be realized within the framework of the new knowledge available in the reservoir and present engineering practice."

Another early writing directed toward the role of systems engineering appeared in 1956. Schlager wrote "Increased complexity of systems recently developed in the fields of communications, instruments, computation, and control has led to an emphasis on the field of systems engineering. Though engineers with system functions can be found in almost all phases of the modern electronics and aircraft industries, there seems to be no commonly agreed upon definition of the term systems engineering. This situation is not at all unusual, since most new fields of engineering pass through an initial period of uncertainty and confusion. Because of the importance of this field to modern system

development, this early period should be made as brief as possible. He went on to write that "the rise of systems engineering as a separate field has resulted in some organizational changes in the engineering departments of many companies... typical instance is that of a systems engineering group which has established itself on an equal level with other electrical and mechanical design groups in the engineering department."

E.W. Engstrom grew up in the Radio Corporation of America (RCA) Laboratories. He became the president and CEO of that organization in 1961 and 1966 respectively. However, in 1957 he published an article in Electrical Engineering. In the abstract, Engstrom promised to explain the concept of systems engineering in terms of its evolution and characteristics. The engineering of a color television system and of a specific weapons system are used to illustrate its application. In this article, he describes that the RCA had identified a group of individuals that "must supply a proper blending of competence and background in each of the three areas that it contacts: research and fundamental development, specific systems and facilities development, and operations." He went on to state that "the task of adapting our increasingly complex devices and techniques to the requirements and limitations of the people who must use them has presented modern engineering with its greatest challenge. To meet this challenge, we have come to rely increasingly during recent years upon the comprehensive and logical concept known as systems engineering." The first textbook on the subject of systems engineering appears to be Systems Engineering: An Introduction to the Design of Large-Scale Systems. It sold for \$10 when published in 1957.

## The Sixties and Seventies (1960-1979)

Arthur Hall also worked for Bell Telephone Laboratories. He began teaching one of the earliest Systems Engineering course at MIT. In his book "A Methodology for Systems Engineering", Hall identified 5 traits of the ideal systems engineer:

1. an affinity for the systems
2. faculty of judgment
3. Creativity
4. facility in human relations, and
5. facility for expression

He also wrote: "Systems engineering is most effectively conceived of as a process that starts with the detection of a problem and continues through problem definition, planning and designing of a system, manufacturing or other implementing section, its use, and finally on to its obsolescence. Further, Systems engineering is not a matter of tools alone; It is a careful coordination of process, tools and people."

Another interesting historical description of systems engineering appeared in a report to the committee on science and astronautics for the U.S. House of Representatives. Bode (1967) wrote: "...the systems engineer resembles an architect, who must generally have adequate substantive knowledge of building materials, construction methods, and so on, to ply his [or her] trade. Like architecture, systems engineering is in some ways an art as well as a branch of engineering. Thus, aesthetic criteria are appropriate for it also. For example, such essentially aesthetic ideas as balance, proportion, proper relation of means to ends, and economy of means are all relevant in a systems-engineering discussion. Many of these ideas develop best through experience. They are among the reasons why an exact definition of systems engineering is so elusive."

The U.S Department of Defense released MIL-STD-499, MILITARY STANDARD: SYSTEM ENGINEERING MANAGEMENT in July 1969. The intent of this Mil-Std was to provide program managers guidance for managing the systems engineering process. Later, in 1974, the DoD updated their guidance with MIL-STD-499A. It, too, covered the process, but added the guidelines for the Systems Engineering Management Plan (SEMP) and task statements that could be selectively applied to a DoD acquisition program.

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## The Eighties and Nineties (1980-1999)

The National Council on Systems Engineering (NCOSE) grew out of the need for formally trained systems engineers. Meetings between industry and academia began in 1989 and continued through 1991. Notable names included Jeffrey Grady (GD), Dr. David Swarder (UCSD), Dr. Brian Mar (U of Washington), Dr. Terry Bahill and Dr. Ron Askin (U of Arizona), and Gerald Chasko (DSMC Regional Director). The group grew to include industry and DoD representatives from the USAF, TRW, Lockheed, Martin Marietta, MacDonnell Douglas, Aerospace Corp, Bechtel, TI, Boeing, Unixyx, IBM and many others. In 1989, Dr. Brian Mar took the lead to begin the International Council on Systems Engineering and is recognized as the Father of INCOSE. (Grady, 2013).

In 1995, the NASA *Systems Engineering Handbook* (NASA/SP-6105) was published to bring the fundamental concepts and techniques of systems engineering to the National Aeronautics and Space Administration (NASA) personnel in a way that recognized the nature of NASA systems and the NASA environment.

## 21st Century

In 2005, the International Standards Organization published their first standard defining systems engineering application and management. The purpose of this ISO standard was to define the interdisciplinary tasks which are required throughout a system's life cycle to transform customer needs, requirements and constraints into a system solution. In addition, it defines the entire systems engineering lifecycle. A number of related standards followed, to include ISO/IEC TR 24748-1:2010, 15288 and 12207.

There are a many great articles documenting a more thorough history of systems engineering that are found in the References section of this brief article.

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# Systems Engineering: Historic and Future Challenges

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Humans have faced increasingly complex challenges and have had to think systematically and holistically in order to produce successful responses to these challenges. From these responses, generalists have developed generic principles and practices for replicating success. Some of these principles and practices have contributed to the evolution of systems engineering as a discipline.

## Historical Perspective

Some of the earliest relevant challenges were in organizing cities. Emerging cities relied on functions such as storing grain and emergency supplies, defending the stores and the city, supporting transportation and trade, providing a water supply, and accommodating palaces, citadels, afterlife preparations, and temples. The considerable holistic planning and organizational skills required to realize these functions were independently developed in the Middle East, Egypt, Asia, and Latin America, as described in Lewis Mumford's *The City in History* (Mumford 1961).

Megacities, and mobile cities for military operations, such as those present in the Roman Empire, emerged next, bringing another wave of challenges and responses. These also spawned generalists and their ideological works, such as Vitruvius and his *Ten Books on Architecture* (Vitruvius: Morgan transl. 1960). "Architecture" in Rome meant not just buildings, but also aqueducts, central heating, surveying, landscaping, and overall planning of cities.

The Industrial Revolution brought another wave of challenges and responses. In the nineteenth century, new holistic thinking and planning went into creating and sustaining transportation systems, including canal, railroad, and metropolitan transit. General treatises, such as *The Economic Theory of the Location of Railroads* (Wellington 1887), appeared in this period. The early twentieth century saw large-scale industrial enterprise engineering, such as the Ford automotive assembly plants, along with treatises like *The Principles of Scientific Management* (Taylor 1911).

The Second World War presented challenges around the complexities of real-time command and control of extremely large multinational land, sea, and air forces and their associated logistics and intelligence functions. The postwar period brought the Cold War and Russian space achievements. The U.S. and its allies responded to these challenges by investing heavily in researching and developing principles, methods, processes, and tools for military defense systems, complemented by initiatives addressing industrial and other governmental systems. Landmark results included the codification of operations research and SE in *Introduction to Operations Research* (Churchman et. al 1957), Warfield (1956), and Goode-Machol (1957) and the Rand Corporation approach as seen in *Efficiency in Government Through Systems Analysis* (McKean 1958). In theories of system behavior and SE, we see cybernetics (Weiner 1948), system dynamics (Forrester 1961), general systems theory (Bertalanffy 1968), and mathematical systems engineering theory (Wymore 1977).

Two further sources of challenge began to emerge in the 1960s and accelerated in the 1970s through the 1990s: awareness of the criticality of the human element, and the growth of software functionality in engineered systems.

Concerning awareness of the human element, the response was a reorientation from traditional SE toward "soft" SE approaches. Traditional hardware-oriented SE featured sequential processes, pre-specified requirements, functional-hierarchy architectures, mathematics-based solutions, and single-step system development. A Soft Systems approach to SE is characterized by emergent requirements, concurrent definition of requirements and solutions, combinations of layered service-oriented and functional-hierarchy architectures, heuristics-based solutions, and evolutionary system development. Good examples are societal systems (Warfield 1976), soft systems methodology (Checkland 1981), and systems architecting (Rechtin 1991 and Rechtin-Maier 1997). As with Vitruvius, "architecting" in this sense is not confined to producing blueprints from requirements, but instead extends

to concurrent work on operational concepts, requirements, structure, and life cycle planning.

The rise of software as a critical element of systems led to the definition of Software Engineering as a closely related discipline to SE. The Systems Engineering and Software Engineering knowledge area in Part 6: Related Disciplines describes how software engineering applies the principles of SE to the life cycle of computational systems (in which any hardware elements form the platform for software functionality) and of the embedded software elements within physical systems.

## **Evolution of Systems Engineering Challenges**

Since 1990, the rapidly increasing scale, dynamism, and vulnerabilities in the systems being engineered have presented ever-greater challenges. The rapid evolution of communication, computer processing, human interface, mobile power storage and other technologies offers efficient interoperability of net-centric products and services, but brings new sources of system vulnerability and obsolescence as new solutions (clouds, social networks, search engines, geo-location services, recommendation services, and electrical grid and industrial control systems) proliferate and compete with each other.

Similarly, assessing and integrating new technologies with increasing rates of change presents further SE challenges. This is happening in such areas as biotechnology, nanotechnology, and combinations of physical and biological entities, mobile networking, social network technology, cooperative autonomous agent technology, massively parallel data processing, cloud computing, and data mining technology. Ambitious projects to create smart services, smart hospitals, energy grids, and cities are under way. These promise to improve system capabilities and quality of life but carry risks of reliance on immature technologies or on combinations of technologies with incompatible objectives or assumptions. SE is increasingly needed but increasingly challenged in the quest to make future systems scalable, stable, adaptable, and humane.

It is generally recognized that there is no one-size-fits-all life cycle model that works best for these complex system challenges. Many systems engineering practices have evolved in response to this challenge, making use of lean, agile, iterative and evolutionary approaches to provide methods for simultaneously achieving high-effectiveness, high-assurance, resilient, adaptive, and life cycle affordable systems;. The emergence of system of systems (SoS) approaches have also been introduced, in which independent system elements developed and deployed within their own life cycle are brought together to address mission and enterprise needs.

Creating flexible and tailored life cycles and developing solutions using combinations of engineered systems, each with its own life cycle focus, creates its own challenges of life cycle management and control. In response to this, enterprise systems engineering (ESE) approaches have been developed, which consider the enterprise itself as a system to be engineered. Thus, many of the ambitious smart system projects discussed above are being delivered as a program of managed life cycles synchronized against a top down understanding of enterprise needs. It is important that within these approaches we create the flexibility to allow for bottom-up solutions developed by combining open, interoperable system elements to emerge and be integrated into the evolving solutions.

More recently, emerging technologies such as artificial intelligence, machine learning, deep learning, mechatronics, cyberphysical systems, cybersecurity, Internet of Things (IoT), additive manufacturing, digital thread, Factory 4.0, etc. are challenging approaches to SE.

Many of the challenges above, and the SE response to them, increase the breadth and complexity of the systems information being considered. This increases the need for up to date, authoritative and shared models to support life cycle decisions. This has led to the development and ongoing evolution of model-based systems engineering (MBSE) approaches.

## Future Challenges

The INCOSE Systems Engineering Vision 2025 (INCOSE 2014) considers the issues discussed above and from this gives an overview of the likely nature of the systems of the future. This forms the context in which SE will be practiced and give a starting point for considering how SE will need to evolve:

- Future systems will need to respond to an ever growing and diverse spectrum of societal needs in order to create value. Individual engineered system life cycles may still need to respond to an identified stakeholder need and customer time and cost constraint. However, they will also form part of a larger synchronized response to strategic enterprise goals and/or societal challenges. System life cycles will need to be aligned with global trends in industry, economy and society, which will, in turn, influence system needs and expectations.
- Future systems will need to harness the ever-growing body of technology innovations while protecting against unintended consequences. Engineered system products and services need to become smarter, self-organized, sustainable, resource efficient, robust and safe in order to meet stakeholder demands.
- These future systems will need to be engineered by an evolving, diverse workforce which, with increasingly capable tools, can innovate and respond to competitive pressures.

These future challenges change the role of software and people in engineered systems. The Systems Engineering and Software Engineering knowledge area considers the increasing role of software in engineered systems and its impact on SE. In particular, it considers the increasing importance of cyber-physical systems in which technology, software and people play an equally important part in the engineered systems solutions. This requires a SE approach able to understand the impact of different types of technology, and especially the constraints and opportunities of software and human elements, in all aspects of the life cycle of an engineered system.

All of these challenges, and the SE responses to them, make it even more important that SE continues its transition to a model-based discipline.

The changes needed to meet these challenges will impact the life cycle processes described in Part 3: Systems Engineering and Management and on the knowledge, skills and attitudes of systems engineers and the ways they are organized to work with other disciplines as discussed in Part 5: Enabling Systems Engineering and Part 6: Related Disciplines. The different ways in which SE is applied to different types of system context, as described in Part 4: Applications of SE, will be a particular focus for further evolution to meet these challenges. The Introduction to SE Transformation knowledge area in SEBoK Part 1 describes how SE is beginning to change to meet these challenges.

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# Systems Engineering and Other Disciplines

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As discussed in the Scope of the SEBoK article, there are many touch points and overlaps between systems engineering (SE) and other disciplines. Systems engineers should have a basic understanding of the nature of these other disciplines, and often need to understand aspects of another discipline in detail. This article describes the landscape of disciplines that are intertwined with SE. For a closer view of the individual disciplines, see Part 6.

## Engineering Disciplines Other than Systems Engineering

Engineering disciplines are mostly component-oriented and value-neutral in their intellectual content (Boehm and Jain 2006). Their underlying laws and equations, such as Ohm's Law, Hooke's Law, Newton's Laws, Maxwell's equations, the Navier-Stokes equations, Knuth's compendia of sorting and searching algorithms, and Fitts's Law of human movement, pertain to performance in a system-of-interest. They do not address how that performance contributes to the value propositions of stakeholders.

In contrast, SE is more holistic than component-oriented, and more stakeholder value-oriented than value-neutral, performance-oriented in its intellectual content. Realizing successful systems requires reasoning with stakeholders about the relative value of alternative realizations, and about the organization of components and people into a system that satisfies the often-conflicting value propositions of stakeholders. Stakeholders who are critical to the system's success include funders, owners, users, operators, maintainers, manufacturers, and safety and pollution regulators.

In some disciplines, the engineer evaluates and integrates design elements into a system that satisfies proxies of value. The wider the scope of the SoI, the broader the set of SE skills the engineer needs.

For example, an aeronautical engineer might integrate mechanical, electrical, fluid, combustion-chemical, software, and cockpit design elements into a system that satisfies proxies of value like flight range, payload capacity, fuel consumption, maneuverability, and cost of production and maintenance. In so doing, the engineer operates partly as a systems engineer. The SoI is the aircraft itself and the engineer applies aircraft-domain expertise.

However, the same engineer could participate in the engineering of passenger services, airport configurations, baggage handling, and local surface transportation options. All of these contribute to the value propositions of success-critical stakeholders. The SoIs are wider, and the engineer needs broader SE knowledge, skills, and abilities to operate as a systems engineer. The aircraft-domain expertise remains needed for effective engineering of the wider systems. As discussed in (Guest 1991), most good systems engineers are "T-shaped" people, with both a working knowledge of wider-system considerations, and a deep expertise in a relevant domain, such as aeronautical, manufacturing, software, or human factors engineering.

Engineering disciplines that are intertwined with SE include software engineering (SwE), human factors engineering, and industrial engineering. SwE and SE are not just allied disciplines, they are intimately intertwined (Boehm 1994). Most functionality of commercial and government systems is now implemented in software, and software plays a prominent or dominant role in differentiating competing systems in the marketplace. Software is usually prominent in modern systems architectures and is often the "glue" for integrating complex system components.

The scope of SwE includes both software SE and software construction, but does not include hardware SE. Thus, neither SwE nor SE is a subset of the other. See Figure 1 in Scope of the SEBoK. For a definition of the relationship between the SEBoK and the *Guide to the Software Engineering Body of Knowledge (SWEBOK)*, which is published by the Institute of Electrical and Electronics Engineers (IEEE) (Bourque and Fairley 2014), see Systems Engineering and Software Engineering.

Human factors engineering, from micro-ergonomics to macro-ergonomics, is intertwined with SE (Booher 2003; Pew and Mavor 2007). See Human Systems Integration in Part 6.

Industrial engineering overlaps significantly with SE in the industrial domain, but also includes manufacturing and other implementation activities outside of SE. See Systems Engineering and Industrial Engineering in Part 6.

Finally, to field a successful system, a systems engineer may need to know one or more of the many specialty fields in engineering, e.g., security, safety, reliability, availability, and maintainability engineering. Most of these are considered professional disciplines in their own right and many have their own bodies of knowledge. For explanations of how these disciplines relate to SE, overviews of what most systems engineers need to know about them, and references within their bodies of knowledge, see Systems Engineering and Specialty Engineering in Part 6.

## Non-Engineering Disciplines

SE is intimately intertwined with two non-technical disciplines: technical management (TM), and procurement and acquisition (also known as acquisition and procurement). TM often falls within the purview of a systems engineer. Many SE textbooks, competency models, and university programs include material about TM. TM is a specialization of project management (PM). SE and PM have significant common content in TM, but neither is a subset of the other. See Figure 1 in the article Scope of the SEBoK. For a definition of the relationship between the SEBoK and the *Guide to the Project Management Body of Knowledge (PMBOK)*, which is published by the Project Management Institute (PMI) (PMI 2013), see Systems Engineering and Project Management in Part 6.

Procurement and acquisition practitioners draw upon SE to determine the scope and overall requirements of the system to be procured or acquired. They then prepare requests for proposals and statements of work, determine evaluation criteria, and design source selection processes. Once a leading source is selected, they decide upon contracting options that encompass payments, reviews, audits, incentive fees, acceptance criteria, procedures, and the nature of deliverables. Finally, they monitor progress with respect to plans (including those for SE), and negotiate and execute changes and corrective actions. Many of these activities amount to specialty disciplines within procurement and acquisition. See the article Related Disciplines in Part 6.

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## Additional References

None.

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# Fundamentals for Future Systems Engineering

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This article forms part of the Systems Fundamentals knowledge area (KA). It considers future trends in SE and how these might influence the evolution of future fundamentals.

The SEBoK contains a guide to generalized knowledge about the practice of SE. It does not pass judgement on that knowledge. However, it can be useful in some cases to indicate which parts of the knowledge are rooted in existing practice and which point towards the future evolution of SE.

This article provides a sketch of how SE is changing and suggests how these changes may affect the future of systems engineering, the SEBoK, and the foundations in Part 2.

## INCOSE Vision

The INCOSE Vision 2025 statement (INCOSE 2014) depicts some future directions in:

### Broadening SE Application Domains

- SE relevance and influence will go beyond traditional aerospace and defense systems and extend into the broader realm of engineered, natural and social systems
- SE will be applied more widely to assessments of socio-physical systems in support of policy decisions and other forms of remediation

### More Intelligent and Autonomous Systems

- Systems of the future need to become smarter, self-organized, sustainable, resource-efficient, robust and safer
- The number of autonomous vehicles and transportation systems needs to increase
- Systems become more “intelligent” and dominate human-safety critical applications

### Theoretical Foundations

- SE will be supported by a more encompassing foundation of theory and sophisticated model-based methods and tools allowing a better understanding of increasingly complex systems and decisions in the face of uncertainty
- Challenge: A core body of systems engineering foundations is defined and taught consistently across academia and forms the basis for systems engineering practice

In this article we will consider how the fundamentals of SE might need to evolve to support this vision.

## How will SE Change?

In Types of Systems, we describe three general contexts in which a SE life cycle can be applied. In a product system context, the outputs of SE focus on the delivery of technological systems. While such systems are designed to be used by people and fit into a wider problem-solving context, this context has been seen as largely fixed and external to SE. The service system context allows SE to consider all aspects of the solution system as part of its responsibility. This is currently seen as a special case of SE application largely focused on software intensive solutions. The enterprise system context offers the potential for a direct application of SE to tackle complex socio-technical problems, by supporting the planning, development and use of combinations of service systems. While this is done, it can be difficult to connect to the product focused life cycles of many SE projects.

The role of the systems engineer has already begun to change somewhat due to the first two of the future trends above. Changes to the scope of SE application and the increased use of software intensive reconfigurable and autonomous solutions will make the service system context the primary focus of most SE life cycles. To enable this, most product systems will need to become more general and configurable, allowing them to be used in a range of service systems as needed. These life cycles are increasingly initiated and managed as part of an enterprise portfolio

of related life cycles.

In this evolution of SE, the systems engineer cannot consider as many aspects of the context to be fixed, making the problem and possible solution options more complex and harder to anticipate. This also means the systems engineer has greater freedom to consider solutions which combine existing and new technologies and in which the role of people and autonomous software can be changed to help deliver desired outcomes. For such systems to be successful, they will need to include the ability to change, adapt and grow both in operation and over several iterations of their life cycle. This change moves SE to be directly involved in enterprise strategy and planning, as part of an ongoing and iterative approach to tackling the kinds of societal problems identified in the INCOSE vision.

This evolution of both the role and scope of SE will also see the system of systems aspects of all system contexts increase. We can expect system of systems engineering to become part of the systems engineering of many, if not most, SE life cycles.

## Evolution of Fundamentals

These ongoing changes to SE place more emphasis on the role of autonomous agents in systems engineering, and agency will be an area of increased emphasis in the systems engineering and SEBoK of the future. Hybertson (2019) spells out in more detail the increased role of agents and agency in future SE. Moving from a total control model to a shared responsibility model changes the nature of engineering to something more like collective actualization, as proposed by Hybertson (2009 and 2019). Systems will represent a combination and interplay of technology and social factors, and they can range from technical product to service provider to social entity. In many cases they will be a socio-technical combination or hybrid.

The above trends have an impact on SE foundations, including technical aspects, social aspects, and ethical aspects. Inclusion of people in systems implies significant expansion of foundation sciences, to provide principles, theories, models, and patterns of the human, biological, social, and agent realm as well as the technical and physical realm. Emphasis on agents implies a revised conceptualization of system change, from the traditional model of mechanistic and controlled fixes and upgrades to a more organic change model that involves growth, self-learning, self-organizing, and self-adapting. Ethical considerations will include how to allocate responsibility for a system in a shared responsibility model. Further discussion of the expanded foundation and a list of foundation disciplines for future SE are presented in (Hybertson 2009 and 2019).

## References

### Works Cited

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- Hybertson, D. (2020 forthcoming). *Systems Engineering Science*. Chapter in G. S. Metcalf, H. Deguchi, and K. Kijima (editors in chief). Handbook of Systems Science. Tokyo: Springer.
- INCOSE (2014). “A world in motion: Systems engineering vision 2025.” International Council on Systems Engineering.

## Primary References

None.

## Additional References

None.

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# SEBoK Users and Uses

## SEBoK Users and Uses

The users and uses described in this article were identified based on the six SEBoK purposes described in the SEBoK Introduction.

Users can either be primary (those who use the SEBoK directly) or secondary (those who use the SEBoK with assistance from a systems engineer). Indicative, but not exhaustive, sets of example uses are shown in Tables 1 and 2 below.

### New to SEBoK or Systems Engineering?

The list of users and use cases below allow someone who has come to the SEBoK with a particular focus to identify quickly where to focus their reading. If you are completely new to systems engineering or have no clear view of how it is covered in the SEBoK, you should use Use Case 0 below to orient yourself and learn the basics before looking at the other use cases:

- Use Case 0: Systems Engineering Novices

### Primary Users

Primary users are those who use the SEBoK directly, as shown in Table 1. Hyperlinks in the second column link to the associated use case, where one has been written. The use cases are listed at the end of the topic, and may also be seen here.<sup>[1]</sup>

**Table 1. Primary SEBoK Users and Common Uses. (SEBoK Original)**

#	Users	Uses
1	Practicing Systems Engineers ranging from novice through expert	<ul style="list-style-type: none"> <li>• Taking on a new SE role in a project; preparing by finding references for study</li> <li>• Expanding SE expertise and specialization; preparing by finding references for study</li> <li>• Seeking to understand the principles of SE; seeking the best references to elaborate on those principles</li> <li>• Reviewing a project or mentoring a new SE performer; seeking to understand what best practices to look for</li> <li>• Pursuing professional development through study of SE topics, including new developments in SE</li> </ul>
2	Process engineers responsible for defining or implementing SE processes	<ul style="list-style-type: none"> <li>• Maintaining a library of SE process assets; seeking to understand which SE process models and standards are most relevant</li> <li>• Tailoring a process for a specific project; seeking to learn how others have tailored processes, or how a specific application domain affects tailoring</li> <li>• Measuring the effectiveness of an organization's SE processes; seeking to learn how others have implemented processes</li> <li>• Defining standards for a professional society or standards organization</li> </ul>
3	Faculty Members	<ul style="list-style-type: none"> <li>• Developing a new graduate program in SE and deciding what core knowledge all its students must master; the user should consult the <i>Graduate Reference Curriculum for Systems Engineering (GRCSE™)</i> in conjunction with the SEBoK</li> <li>• Developing a new SE course; seeking to identify course objectives, topics, and reading assignments</li> <li>• Incorporate SE concepts in courses or curricula focused on engineering disciplines other than SE</li> </ul>
4	GRCSE authors	<ul style="list-style-type: none"> <li>• As members of the GRCSE author team, deciding what knowledge to expect from all SE graduate students; see <i>Graduate Reference Curriculum for Systems Engineering (GRCSE™)</i> (Pyster et al. 2015)</li> </ul>

5 Certifiers	<ul style="list-style-type: none"> <li>Defining a company's in-house SE certification program; seeking to understand what others have done, how such programs are typically structured, and how to select the knowledge that each person seeking certification should master</li> <li>Defining certification criteria for a professional society or licensure program</li> </ul>
6 General Managers, Other Engineers, Developers, Testers, Researchers	<ul style="list-style-type: none"> <li>Mastering basic vocabulary, boundaries, and structure of SE; seeking a few primary references</li> <li>Learning what the scope of SE is, relative to the General Manager role</li> <li>Learning of what the role of the systems engineer consists, relative to others on a project or in an organization</li> <li>Learning to effectively perform a general manager role on an SE integrated product team</li> </ul>
7 Customers of Systems Engineering	<ul style="list-style-type: none"> <li>Providing resources to and receiving artifacts from systems engineers</li> <li>Seeking to better understand what to ask for, how to request it, how much to pay for it, and how to judge the quality of what is received</li> </ul>
8 SE Managers	<ul style="list-style-type: none"> <li>Evaluating possible changes in team processes and tools proposed by systems engineers on various teams; seeking independent information with which to evaluate the proposals</li> <li>Hiring systems engineers and developing competency-based job descriptions</li> </ul>
9 SE Researchers	<ul style="list-style-type: none"> <li>Looking for gaps are in SE knowledge to help guide a research agenda</li> <li>Familiarizing themselves with a research topic; seeking the most important articles about the topic</li> </ul>

## Secondary Users

Secondary users are those who use the SEBoK with assistance from a systems engineer, as shown in Table 2.

**Table 2. Secondary SEBoK Users and Common Usages. (SEBoK Original)**

#	Users	Uses
1	Human Resource Development Professionals	<ul style="list-style-type: none"> <li>Supporting the hiring and professional development of systems engineers</li> </ul>
2	Non-Technical Managers	<ul style="list-style-type: none"> <li>Augmenting understanding of central concerns with information about relevant SE topics, e.g., a contracting manager might want to better understand SE deliverables being called out in a contract</li> </ul>
3	Attorneys, Policy Makers	<ul style="list-style-type: none"> <li>Defining the impact of SE performance on central concerns, e.g., understanding the liability of a systems engineer for errors in judgment on a project, or the limitations of SE in guaranteeing the success of a project against actions of sponsors, managers, or developers</li> </ul>

## List of Use Cases

At this time, not every class of user has a use case developed. To illustrate the major uses, the following use cases are included:

- Use Case 1: Practicing Systems Engineers. This covers the first set of users from Table 1.
- Use Case 2: Other Engineers. This covers the second and sixth sets of users from Table 1.
- Use Case 3: Customers of Systems Engineering. This covers the seventh set of users from Table 1.
- Use Case 4: Educators and Researchers. This covers the third, fourth, and ninth sets of users from Table 1.
- Use Case 5: General Managers. This covers the sixth and eighth sets of users from Table 1.

While not exhaustive, the use cases show the utility of the SEBoK in various applications and contexts.

## References

### Works Cited

None.

### Primary References

None.

### Additional References

None.

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## References

[1] [http://sebokwiki.org/draft/Case\\_Studies](http://sebokwiki.org/draft/Case_Studies)

# Use Case 0: Systems Engineering Novices

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Some users of the Systems Engineering Body of Knowledge (SEBoK) may be new to the field. This article provides recommended readings for such a user.

### Learn the Basic Terms

As discussed in the Introduction to the SEBoK, there are four key terms that you should first understand when learning about systems engineering (SE):

- A system is “a collection of elements and a collection of inter-relationships amongst the elements such that they can be viewed as a bounded whole relative to the elements around them.” Open systems exist in an environment described by related systems with which they may interact and conditions to which they may respond. While there are many definitions of the word “system,” the SEBoK authors believe that this definition encompasses most of those which are relevant to SE.
- An engineered system is an open system of technical or sociotechnical elements that exhibits emergent properties not exhibited by its individual elements. It is created by and for people; has a purpose with multiple views; satisfies key stakeholders’ value propositions; has a life cycle and evolution dynamics; has a boundary and an external environment; and is part of a system-of-interest hierarchy.
- Systems engineering is “an interdisciplinary approach and means to enable the realization of successful (engineered) systems.” It focuses on holistically and concurrently understanding stakeholder needs; exploring opportunities; documenting requirements; and synthesizing, verifying, validating, and evolving solutions while considering the complete problem, from system concept exploration through system disposal.
- A systems engineer is “a person who practices systems engineering” as defined above, and whose systems engineering capabilities and experience include sustained practice, specialization, leadership, or authority over SE activities. These activities may be conducted by any competent person regardless of job title or professional affiliation.

## Get an Overview

The next step for someone new to SE is get an overview of the discipline. Part 1: SEBoK Introduction contains four articles particularly helpful to one new to SE.

- The article Systems Engineering Overview frames systems engineering inside the larger topic of ‘Systems Science.’
- The article Economic Value of Systems Engineering makes the business case for investing in systems engineering as a way to reduce total ownership cost.
- The article Systems Engineering and Other Disciplines discusses briefly how systems engineers and other engineers interact as they develop complex systems together.
- Finally, the article Systems Engineering: Historic and Future Challenges gives a quick history of the discipline and discusses what lies ahead.

## Learn About Systems

Engineering is often described as the application of science to develop new products or systems. Part 2: Foundations of Systems Engineering describes some of the underlying systems principles that form the foundation for systems engineering.

- The Knowledge Area on Systems Fundamentals contains five articles. What is a System? is recommended for a new user.
- The Knowledge Area on Systems Science presents two articles on its history and approaches. Both are recommended.
- The Knowledge Area on Systems Thinking has four articles. The first, What is Systems Thinking?, is recommended on a first reading.
- One of the most important current research and practice areas of SE is Model Based Systems Engineering (MBSE). The Knowledge Area Representing Systems with Models provides the foundation for MBSE. The first three of the five articles in the KA are recommended.

## Learn How the Systems Approach Is Applied to Engineered Systems

The Knowledge Area Systems Approach Applied to Engineered Systems describes how systems science and systems thinking lead to the practice of systems engineering. All eight articles are recommended.

- Overview of the Systems Approach
- Engineered System Context
- Identifying and Understanding Problems and Opportunities
- Synthesizing Possible Solutions
- Analysis and Selection between Alternative Solutions
- Implementing and Proving a Solution
- Deploying, Using, and Sustaining Systems to Solve Problems
- Stakeholder Needs and Requirements
- Applying the Systems Approach

## Explore the Methods of Systems Engineering

The SEBoK uses a life-cycle framework to describe the processes that comprise systems engineering. Part 3: SE and Management contains the plurality of the content of the SEBoK in eight knowledge areas. A new user should be familiar with the introductions to each of these Knowledge Areas, and should read further in those KAs of interest.

- Life Cycle Models
- Concept Definition
- System Definition
- System Realization
- System Deployment and Use
- Systems Engineering Management
- Product and Service Life Management
- Systems Engineering Standards

## Explore the Applications of Systems Engineering

The SEBoK partitions the body of knowledge between methods and areas of application. Areas of application are classified as:

- Product Systems Engineering
- Service Systems Engineering
- Enterprise Systems Engineering
- Systems of Systems (SoS)

A new user should read the introduction to Part 4: Applications of Systems Engineering and to the four knowledge areas listed above. The reader's interests can then suggest which further reading should be done.

## Read Case Studies

Finally, the new user should scan the case studies and vignettes in Part 7: SE Implementation Examples and read a few of those in areas that appeal to the reader. This will help reinforce the fundamentals as well as illustrate the practice of SE.

The following case studies are included:

- Successful Business Transformation within a Russian Information Technology Company
- Federal Aviation Administration Next Generation Air Transportation System
- How Lack of Information Sharing Jeopardized the NASA/ESA Cassini/Huygens Mission to Saturn
- Hubble Space Telescope Case Study
- Global Positioning System Case Study
- Medical Radiation Case Study
- FBI Virtual Case File System Case Study
- MSTI Case Study
- Next Generation Medical Infusion Pump Case Study

## For Later Reading

Part 6: Related Disciplines contains a broad selection of Knowledge Areas and Topics that describe how systems engineers work with other disciplines. The Knowledge Area on SE and Software Engineering is particularly important, as modern systems get much of their functionality from software.

Part 5: Enabling Systems Engineering has KAs describing how individuals, teams, and organizations can develop to practice effective systems engineering.

A person new to SE should become familiar with several references that are beyond the SEBoK. They include the INCOSE Handbook, several standards (listed in Relevant Standards), and the main journals of systems engineering (including but not limited to *Systems Engineering*, the *Journal of Enterprise Transformation*, and *Systems, Man, and Cybernetics*).

## References

### Works Cited

None.

### Primary References

None.

### Additional References

None.

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# Use Case 1: Practicing Systems Engineers

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Both for the entry-level systems engineer learning the discipline of systems engineering (SE), and the more experienced systems engineer seeking the knowledge required to accomplish a work activity, the SEBoK serves as a primary information source and a quick, comprehensive reference for SE information.

What these system engineers find in the SEBoK includes:

- definitions of terms,
- explanations of basic concepts and principles,
- useful discussions of topics,
- references to articles and textbooks that cover topics in-depth, and
- pointers to additional sources.

## How Systems Engineers Use Topics

Researching SE-related subjects, identifying educational resources, and connecting with individuals or organizations which offer specialized expertise are all part of the job for the practicing systems engineer. The time available to the SE for these activities can be quite limited. The SEBoK is designed to ease the pressure on the systems engineer in this situation, in several ways:

- Because its content is based on research, proven practices, and emerging knowledge, the SEBoK makes high-quality information available to the systems engineer right away.
- Being composed of articles of 2000 words or less in most cases, the SEBoK enables the systems engineer to quickly get an overview of relevant topics.
- By providing primary references, each topic offers a direct route to more detailed information.
- Even greater detail, breadth, and a sense of what's relevant in the SE literature are available through the additional references each topic provides.
- Since the SEBoK sources have been reviewed and vetted by a team of experts, the SEBoK helps the systems engineer avoid less reliable information which can be hard to eliminate within Internet search results.
- The systems engineer who needs to connect with educators and researchers can find relevant names and institutions in SEBoK topics and references.

Systems engineers using the SEBoK may choose one or more of several approaches:

- searching on keywords or article names, using the text field, Search<sup>[1]</sup> button, and Go<sup>[2]</sup> button at the top right of each SEBoK page
- scanning the Quick Links, Outline (where the table of contents is located), or Navigation indexes that appear at the left of each SEBoK page, and following links from there to articles that seem likely to be of interest
- searching on keywords using an Internet search engine
- reading through one or more of Parts 1 through 7 in sequence

Reading the SEBoK in sequence is especially suitable for the practicing engineer who is new to SE or is enrolled in an SE-related training course. For this engineer, SE (or some aspect of it) is a subject to be learned comprehensively. This is made easier by navigation links from each article to the previous, next, and parent articles as found in the Table of Contents.

For practicing systems engineers, having the SEBoK makes it possible to gain knowledge more quickly and reliably than they would otherwise. The goal is to spend less time searching for and compiling new information from disparate sources and more time getting work done.

For a team of practicing engineers, the gap in knowledge between more- and less-experienced engineers can be a major obstacle. The SEBoK serves as a tool for the team to build a framework of agreed-upon definitions and perspectives. The consistency of such a framework enhances communication across the team. New teams, especially,

can benefit from bridging the gap between legacy and more-recently-acquired knowledge. For more information, see Enabling Teams in Part 5.

## How Systems Engineers Use Implementation Examples

The SEBoK is written, for the most part, independent of any particular domain of practice. By design, parts 1 through 6 focus on the discipline of SE and not the numerous domains where SE can be applied.

This lack of domain-specific content is partly offset by Part 7, Systems Engineering Implementation Examples, which consists of case studies and examples drawn from a number of domains where SE is applied. Each example demonstrates the impact of a particular application domain upon SE activities. Examples are generally most useful to the systems engineer when they are aligned with the domain in which the he or she is working, but sometimes ideas from an example in one domain can be usefully applied to situations in another.

## Example: Model-Based Systems Engineering Practitioners

For practitioners of model-based systems engineering (MBSE), the Representing Systems with Models knowledge area is of central importance within the SEBoK.

Academic faculty who use the SEBoK to support curriculum development and assessment can refer to the same knowledge area to ensure that their curricula accurately cover the languages and/or methodologies such as System Modeling Language (SysML) and Object-Process Methodology (OPM).

SE researchers, too, can adopt an MBSE approach, making their research products more formal and rigorous by basing them on models.

In MBSE, models of systems support system life cycle activities, including requirements engineering, high-level architecture, detailed design, testing, usage, maintenance, and disposal.

## Vignette: Systems Engineering for Medical Devices

Tara Washington has worked as a engineer for the HealthTech medical device company for seven years. Besides continuing to improve her strong software skills, she has shown an aptitude for systems thinking. To better understand the products that her software supports, Tara has taken courses in electrical engineering, mechanical engineering, and physiology. The coursework has helped her to perform effectively as a software system analyst on the SE teams of her last two projects.

HealthTech's Research Division proposes a new concept for a highly programmable radiation therapy device that monitors the effects of the radiation on various parts of the body and adjusts the parameters of the radiation dosage to maximize its effectiveness, subject to a number of safety constraints. The software-intensiveness of the device leads Tara's project manager to recommend her as the lead systems engineer for the design and development of the product.

Tara welcomes the opportunity, knowing that she possesses enough domain knowledge to take the lead SE role. Even so, she realizes that she has picked up SE skills mainly by intuition and needs to build them up more systematically. Tara begins to consult some of HealthTech's lead systems engineers, and to study the SEBoK.

After reading the SEBoK Introduction, Tara feels that she has a solid overview of the SEBoK. Tara finds that the next topic, Scope and Context of the SEBoK, outlines the key activities that she expects to lead, along with others which will require her to collaborate with systems developers and project and systems management personnel.

The same topic identifies those parts of the SEBoK that Tara needs to study in preparation for her lead systems engineer role:

- SE concepts, principles, and modeling approaches in Part 2 (Representing Systems with Models knowledge area (KA))

- life cycle processes, management, technical practices, in Part 3 (Systems Engineering and Management KA)
- approaches for specifying, architecting, verifying and validating the hardware, software, and human factors aspects of the product, as well as common pitfalls to avoid and risks to manage, also in Systems Engineering and Management
- guidelines for the systems engineering of products, in Part 4: Applications of Systems Engineering, including references
- SE knowledge, skills, abilities, and attitudes (KSAs) needed for a project in Part 5: Enabling Systems Engineering including references
- specialty engineering disciplines that may be key to the project's success, in Part 6: Related Disciplines

Tara's awareness of the deaths caused by the Therac-25 radiation therapy device motivates her to study not only the System Safety topic in Part 6, but all of its key references as well.

While reading about SE life cycle process models in Systems Engineering and Management in Part 3, Tara notes the reference to the Next Generation Medical Infusion Pump Case Study in Part 7. This case study strikes Tara as highly relevant to her medical-device work, and she observes that it is organized into phases similar to those used at HealthTech. From the case study, Tara gains understanding of how a project such as hers would progress: by concurrently evaluating technology opportunities, by discovering the needs of various device stakeholders such as patients, nurses, doctors, hospital administrators, and regulatory agencies, and by working through increasingly detailed prototypes, specifications, designs, plans, business cases, and product safety analyses.

The case study mentions its source: *Human-System Integration in the System Development Process* [3] (Pew and Mavor 2007), published by the U.S. National Research Council. Tara obtains this book. In it, she finds numerous good practices for human-systems needs analysis, organizational analysis, operations analysis, prototyping, usability criteria formulation, hardware-software-human factors integration, process decision milestone review criteria, and risk management.

As a result of her SEBoK-based study, Tara feels better-qualified to plan, staff, organize, control, and direct the SE portion of the HealthTech radiation therapy device project and to help bring the project to a successful conclusion.

## Summary

In the SEBoK, practicing engineers have an authoritative knowledge resource that can be accessed quickly to gain essential high-level information, and to identify the best references for in-depth study and research into SE topics when an individual's initial level of understanding is not adequate to get the job done.

The SEBoK is also a resource for practicing engineers who teach, as well as those taking training courses.

## References

### Works Cited

Pew, R. and A. Mavor. 2007. *Human-System Integration in the System Development Process: A New Look*. Washington, DC, USA: The National Academies Press.

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## Primary References

None.

## Additional References

None.

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## References

- [1] <http://www.mediawiki.org/wiki/Help:Searching>
- [2] [http://meta.wikimedia.org/wiki/Help:Go\\_button](http://meta.wikimedia.org/wiki/Help:Go_button)
- [3] [http://www.nap.edu/catalog.php?record\\_id=11893](http://www.nap.edu/catalog.php?record_id=11893)

# Use Case 2: Other Engineers

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The realization of successful complex systems requires experts from many disciplines to work together. This makes the SEBoK useful to engineers with backgrounds in biomedical, civil, electrical, chemical, civil, materials, mechanical, software, and many other engineering disciplines.

Studying the SEBoK enables engineers from disciplines other than systems engineering (SE) to:

- see why good systems engineering practice must involve multiple disciplines,
- appreciate a broader view of systems beyond their specialties,
- understand how their contributions fit into the larger systems picture, and
- prepare to solve more difficult and encompassing problems.

In many cases, engineers who study systems engineering as a supplement to their area of specialization find their professional value enhanced when they put the new knowledge into practice.

## Use of Topics

For engineers from non-SE backgrounds, each part of the SEBoK contributes something to the experience of learning about systems engineering.

- Part 1: SEBoK Introduction provides an overview both of systems engineering and of the SEBoK itself
- Part 2: Foundations of Systems Engineering highlights the areas of systems knowledge most relevant to systems engineering, providing a foundation for the theory and practice of systems engineering as explained in Parts 3, 4 and 5
- Part 3: Systems Engineering and Management includes the knowledge areas of Life Cycle Models, System Definition, System Realization, and System Deployment and Use, all highly important when approaching the study of SE from another discipline
  - Also in Part 3, Systems Engineering Management includes such relevant topics as risk management, measurement, configuration management, and quality management
- Part 4: Applications of Systems Engineering identifies the SE activities for four kinds of engineered systems, namely products, services, enterprises, and systems of systems (SoS)
  - The primary references and glossary terms — not just the content — for a given type of system are essential reading for an engineer developing or modifying a system of that kind

- Part 5: Enabling Systems Engineering, especially Team Capability, explains how systems engineers and other types of engineers fit into the larger picture of enabling individuals and teams to perform systems engineering activities, and into the larger picture of systems engineering organizational strategies
- Part 6: Systems Engineering and Other Disciplines is key for engineers from non-SE backgrounds
  - Within Part 6, Systems Engineering and Project Management should be of interest to almost all readers, while Systems Engineering and Software Engineering and Systems Engineering and Specialty Engineering are naturally most essential for engineers in the respective disciplines
- Part 7: Systems Engineering Implementation Examples illustrates how systems engineering practices, principles, and concepts are applied in real settings, and contains much universally useful insight

Engineers may be tempted to skip over knowledge areas or topics which sound more like management than engineering stories, for example Systems Engineering Management in Part 3 or Part 5. This temptation should be resisted, because these topics are actually about how SE orchestrates the efforts of multiple disciplines, not management in the administrative sense.

Finally, the extensive lists of references throughout the SEBoK provide a basis for further readings.

## Vignette: Software Engineer

José Wilks is an entrepreneurial software engineer who wants to learn more about systems engineering principles applied to embedded systems for advanced document identification and verification. He wants to implement best practices in developing highly secure systems for real-time image processing and forensic verification of documents. His company provides a rapid, secure and cost-effective solution for verifying the authenticity of identification, travel, and financial documents, with technology that runs on proprietary tablet computers for portable and fixed locations.

José is knowledgeable about computer hardware engineering, low-level interfaces between hardware and software, and the related tradeoffs in embedded devices. His company has developed research prototypes, but without the stringent security requirements for actual field usage linked to government identification databases. The few experimental units which have been sold have fared well in limited testing, but José wants to expand into markets for government agencies, law enforcement departments and the private sector. To make headway into those diverse markets, he will need to confront abundant new constraints and challenges.

José begins his study of SE by skimming the SEBoK Introduction and the Scope and Context of the SEBoK to get an overview of the SEBoK contents. As he reads, he sometimes refers to the *Software Engineering Body of Knowledge (SWEBoK)* (Bourque and Fairley 2014), which José already knows from his many years of experience on software projects. In the SEBoK, José is looking for nuggets of knowledge and pointers that can help his enterprise expand. Here are his notes:

- Part 3: Systems Engineering and Management has concepts that are new to us and that may work. Extra system-level verification and validation (V&V) gates identified in Life Cycle Models can be incorporated in company processes, and the references can help with implementation details. There is also material about system-wide procedures beyond software V&V, and about where to find testing and regulation standards used by various government entities. Together with the traditional software testing already in place, these processes could ensure conformity to the regulations and expedite the product's approval for use.
- Though the system concept is proven, the company must still convince potential buyers of the system's financial benefits while demonstrating that all security criteria are satisfied. To do that, we must better understand the needs of the stakeholders. In expressing system requirements and benefits, we need to start using the terminology of users, corporate/government purchasers, and regulatory agencies. Stakeholder Needs and Requirements is relevant here. The company needs to quantify expected return on investment (ROI) for its products.
- System Realization addresses our broader V&V concerns. We need to demonstrate the measures we are taking to boost reliability of system performance. The standard models and measures for system reliability described in the

SEBoK are new to us — now staff must develop tests to quantify important attributes. We may want to model reliability and system adherence to regulations using a form of model-based systems engineering (MBSE). We can learn more about this from the references.

- Systems Engineering Management makes it clear that new configuration management (CM) and information management (IM) procedures need to be adopted for federal database controls and integrity. We can use the references in Systems Engineering Standards to learn how to define processes and develop test cases.
- Part 5: Enabling Systems Engineering makes a convincing case that having the right people for a new systems engineering culture is critical. We should probably hire a systems engineer or two to augment our engineering department expertise.
- Our application must deal with private data concerns, and Part 7: Systems Engineering Implementation Examples, particularly the FBI Virtual Case File System Case Study, could help us avoid pitfalls that have hurt others in similar situations. We can put this in context based on Security Engineering in Part 6: Related Disciplines, and then follow up with further study based on the references.

Now José feels that he is better prepared to adapt his processes for new system lifecycles and environments, and that he can see a clear path through the morass of agencies and regulations. His priorities are to quantify the value proposition for his technology innovations, make inroads into new markets, and strengthen his staff for the long-term enterprise.

## Vignette: Mechanical Engineer

Cindy Glass is a mechanical engineer whose experience in the petroleum industry has focused on large-scale oil extraction equipment in the field. Now Cindy is tasked with helping to manage the development of new offshore oil platforms featuring robotic technology and computer networks. This calls for incorporating SE principles from day one to cope with the systems considerations, which are broader than anything in Cindy's previous experience.

Some of the drilling is to be done with remote-controlled, unmanned underwater vehicles (UUVs). Along with safety, which was always a major concern, cybersecurity now takes center stage. Hostile state actors, "hacktivists," or others could cause havoc if they succeed in taking control of the remote vehicles or other infrastructure. Unfortunately, software system implementation is completely new to Cindy, who realizes that this entails dealing with many more engineering disciplines and dimensions of system constraints than she previously encountered.

Cindy is accustomed to implementing minor design changes in existing equipment, with automation and safety guidelines already in place. Now she is starting from scratch with the earliest stages of the platform lifecycle. While Cindy understands tradeoffs involving mechanical sub-systems like rigs and drilling materials, she must now broaden her system analysis to include new environmental constraints and system security.

Cindy consults the SEBoK and discovers that for her effort to understand system design with many "-ilities," System Realization is a good starting point and its references should provide the in-depth information she needs.

The project lifecycle requires pursuing several major activities concurrently:

- engineering platform sub-components
- evaluating technology opportunities
- understanding the needs of all stakeholders inside and outside the company
- progressing through increasingly detailed prototypes, working slices of software, system specifications, designs, plans, business cases, and security and safety analyses of the platform architecture and its operations.

To understand how to manage such a project lifecycle, Cindy turns to Part 3: Systems Engineering and Management. The planning section provides detailed advice for starting out. Cindy expects to conduct her management activities on a rigorous basis, to consider the interfaces between the engineering specialties, and to produce a project plan that calls for a broad set of integrated management and technical plans.

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Being new to the software development world, Cindy reads *The Nature of Software* and *Key Points a Systems Engineer Needs to Know about Software Engineering*, and consults the SWEBoK<sup>[1]</sup> for references on software engineering.

These readings show Cindy how closely systems engineering and software engineering are intertwined. For example, they remind her to include security specialists at both the software level and the systems level from the beginning.

From her initial plunge into study of the SEBoK, Cindy has gained an appreciation of the wide range of system constraints for which she must account, and the many engineering disciplines she must work with as a result. She plans to consult the references in the SEBoK on each unfamiliar subject that she encounters throughout the architecting, design, development and deployment of the new platforms.

## Summary

Engineers from disciplines other than systems engineering benefit from the insights about SE principles that the SEBoK provides. Studying the knowledge areas highlighted in this use case and the sources to which their references point can help such engineers become more interdisciplinary. Ultimately, they can consider broadening their work responsibilities, rendering them more valuable to their employers and society.

## References

### Works Cited

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### Primary References

None.

### Additional References

None.

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[1] <http://www.computer.org/portal/web/swebok>

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# Use Case 3: Customers of Systems Engineering

Customers of systems engineering (SE) provide resources to SE organizations and individuals, and receive SE products and services in return. They are among the stakeholders for a system-of-interest (SoI). They and other stakeholders express needs and expectations for results that systems engineers provide.

Although their main SE activity is helping to define the system, customers must take account of all life cycle aspects. The better they understand the activities that systems engineers perform, the better customers know what to request, how to request it, how much to pay for it, and how to judge the quality and value of the results of systems engineering. In short, what customers need to grasp is how systems engineers participate in the realization of engineered systems resulting in products, services, enterprises, and systems of systems (SoS).

The SEBoK assists the customers of systems engineering by providing a broad, comprehensive treatment of the concepts, principles, theory, and practice related to systems in general and SE in particular. Its references inform customers about books and articles that provide important perspectives on systems and SE.

Customers of SE include:

- sponsors of internal SE organizations,
- organizations that maintain long-term customer-domain relationships with external SE organizations, and
- organizations that outsource SE functions to general-purpose SE organizations.

The two vignettes below show how the SEBoK can assist SE customers. In one, the customer of an internal, corporate SE organization leads the transition to a mobile supply chain management system. In the other, the customer of a mixture of customer-domain and other SE organizations presides over the SE of a catastrophe-response SoS, which entails integration over multiple domains.

## Use of Topics

For customers of SE, most parts of the SEBoK offer immediately relevant knowledge about SE.

Part 1: SEBoK Introduction:

- explains the relationship between SE, system development, and project management,
- summarizes overall trends in the rate of growth of systems interdependency, complexity, assurance levels, and pace of change, and of the evolving nature of integrated hardware-software-human systems, and
- provides pointers to other parts of the SEBoK of interest to customers.

Part 3: Systems Engineering and Management:

- explains evolving system life cycle models and their elements, indicating which elements are SE-intensive (see Life Cycle Models),
- provides overall perspectives on customer participation in SE activity,
- identifies customer influence points on SE activity, and
- explains how customers can express their concerns in the form of needs, expectations, and requirements (see System Definition).

Part 4: Applications of Systems Engineering:

- explains how the SE function varies by class of system product, service, enterprise, and systems of systems engineering).

Part 6: Systems Engineering and Other Disciplines:

- explains how SE relates to project management, procurement and acquisition, and specialty engineering for such customer-intensive specialties as safety, security, maintainability, usability, and affordability.

Part 7: Systems Engineering Implementation Examples:

- provides case studies and examples to illustrate how the parts have been used in similar situations, presenting successes to emulate and failures to avoid.

If there is a central theme here, it is that the quality of customer input is critical. That is because the systems engineer evaluates customer input, then uses it in formulating an approach to defining and realizing the system. Part 3 addresses this, explaining that the customer should expect the systems engineer to provide:

- a well-architected product, service, enterprise, or system of systems that meets customer needs and expectations (again, this depends on high quality input from stakeholders — see System Definition)
- a managed life cycle model from the customer need and requirements to the delivered product, service, enterprise or system of systems (see Life Cycle Models)
- both verification that the system-of-interest (SoI) meets the needs and requirements of the stakeholders, and validation that the final result, when deployed in an operational environment, provides the value added that was desired are critical to systems engineering (see System Realization and System Deployment and Use).

## Implementation Examples

Good examples provide a basis for deeper understanding. In Part 7, the SEBoK provides summaries of and references to full case studies and examples. These are linked back to the appropriate areas of the SEBoK and a matrix is provided that shows the primary areas of the SEBoK addressed by each example. Readers can use the matrix to find case studies and examples- and through these, references - that relate to their concerns.

### Vignette: Mobile Supply Chain Management

Barbara Bradley is the Director of Supply Chain Management Systems for a large manufacturing company. Her main area of expertise is transportation logistics. She has led the evolution of a highly successful corporate supply chain management system based on desktop and mainframe technology, more by making incremental strategic choices than by applying formal SE.

Now, many of her suppliers and distributors adopt mobile devices and cloud services and Barbara sees that her own company must do the same. The company's status quo approach of incremental, ad hoc choices is clearly inadequate for a technology transition of this magnitude. Not only that, but the company must evolve to the new mode of operation while providing continuity of service to the supply chain stakeholders.

Barbara decides that these challenges require formal SE. As a first step, she plans to put together a Next-Generation Supply Chain Management System integrated product team (IPT). Members of the IPT will include Barbara's supply chain experts, her supply-chain success-critical stakeholders, and the corporate SE organization.

Barbara has never used the corporate SE organization before and wants to better understand an SE organization's overall capabilities and modes of operation. She turns to the SEBoK for answers to the questions about SE that are on her mind:

- How do we maintain continuity of service while pursuing incremental development?
  - What choices about life cycle models can make this possible?
- What is the role of the customer in defining systems of interest (SoIs)?
  - How do we provide guidance to the customer in expressing needs, concerns, and requirements?
- What is the role of the customer at early decision milestones?
  - How do we ensure that results of our interaction with the customer include well-architected products and thorough development plans, budgets, and schedules?
- What is the role of the customer in product acceptance, specifically when we verify stakeholder requirements and when we validate the final result?

Barbara seeks the answer to one question in Part 4: Applications of Systems Engineering:

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- Given that a supply chain management system combines product, service, enterprise, and SoS views, how do we understand what goes into all those views, and keep the overall picture clear?

Barbara's final question is addressed in Part 6: Systems Engineering and Other Disciplines:

- How do we integrate SE and software engineering (SwE)?

Once in command of the answers to these questions, Barbara is ready to lead the IPT in analyzing, negotiating, and defining an approach that is satisfactory to all of the success-critical stakeholders. By having the IPT members read the portions of the SEBoK that she has found most valuable, Barbara begins to build a shared vision within the IPT. As the IPT defines a Next-Generation Supply Chain Management System and prepares the transition from the old system to the new, the SEBoK is an important tool and resource.

## Vignette: Catastrophe-Response System of Systems

Ahmed Malik is the Information Systems Division General Manager in his country's Department of Natural Resources. The country suffers frequent wildfires that destroy crops, forests, villages, and parts of cities, and also cause problems with emergency care, crime prevention, and the water supply.

During a recent catastrophic wildfire, personnel responsible for firefighting, crime prevention, traffic control, water supply maintenance, emergency care facilities, and other key capabilities found themselves unable to communicate with each other. As a result, the Minister for Natural Resources has been tasked with improving the country's catastrophe response capabilities, and has named Ahmed as the SE customer lead for this effort.

The Minister suggests that Ahmed organize a workshop to scope the problem and explore candidate solutions to the communications problems. Ahmed invites the various actors involved in catastrophe response — medical, insurance, and news media organizations from both public and private sectors. He also invites SE organizations with SoS experience.

Ahmed has strong experience in information SE, but none in the development of SoSs. To come up to speed in his role as the SE customer lead, Ahmed turns to the SEBoK Part 3: Systems Engineering and Management. To better understand the challenges of SoS SE, he studies the SoS knowledge area in Part 4, and its references. Ahmed also schedules meetings with the leading SoS SE provider organizations, who are eager to tell him about their capabilities. Overall, Ahmed looks for both guidance and pointers to candidate solution sources in the SEBoK.

Thus prepared, Ahmed structures the workshop to address three key challenges:

- mutual understanding of organization roles, responsibilities, and authority
- summary analyses of previous catastrophe response communication gaps and needs
- candidate solution capabilities in communications, data access, geolocation services, public emergency warning systems, coordinating evacuation procedures, architectural connector approaches for improving interoperability, and sharable models for evaluating alternative solution approaches.

The workshop brings the primary organizations involved in catastrophe responses together with the most capable SoS SE provider organizations. The results of their discussions provide Ahmed and his Minister with sufficient information to prepare a phased plan, budget, and schedule for incremental development of improved catastrophe response capabilities, beginning with simple interoperability aids and analyses of architecture alternatives for performance, scalability, and feasibility of evolution from the initial simple fixes. The plan is then iterated with the key stakeholders and converged to a common-consensus approach for achieving strong, credible early improvements and a way forward to a much more scalable and cost-effective catastrophe-response SoS.

This vignette is based on the Regional Area Crisis Response SoS (RACRS) in (Lane and Bohn 2010).

## Summary

For the customers of SE, the SEBoK provides both general and specific knowledge that will help users gain important insight in relating to systems engineers. Key to this is learning about life cycles, the definition of SoIs, and how to provide guidance in expressing needs, concerns, and requirements. Further, customers need to know what to expect as a result of SE activities in the form of well-architected products, services, enterprises, or systems of systems and a managed life cycle. The results of verification of stakeholder requirements and the validation of the final result in respect to fulfilling the user needs are vital.

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# Use Case 4: Educators and Researchers

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For educators or researchers, the SEBoK should be used together with GRCSE (*Graduate Reference Curriculum for System Engineering*). The SEBoK is a guide to the knowledge that constitutes the systems engineering domain, while GRCSE<sup>[1]</sup> “describes a program for a professional master’s degree focused on developing student ability to perform systems engineering tasks and roles” (Pyster et al. 2012).

An educator, for purposes of this use case, is a university faculty member or a professional trainer. Educators use the SEBoK and the GRCSE to develop curricula or courses focused on systems engineering (SE) generally, on domain-centric systems engineering, or on another engineering discipline that touches on SE. The SEBoK and GRCSE are means to assure accuracy, completeness, and effective assessment at all levels, from lessons through objectives.

A researcher, for purposes of this use case, is a person actively contributing to the body of SE knowledge.

## The Use of Topics

Educators can use SEBoK topics and their primary and additional references as:

- assigned readings for courses,
- supplemental references for student research, and
- content for curriculum development.

Educators can also use the concepts, perspectives, and references to develop or refine course objectives and the techniques for assessing them.

Researchers can use SEBoK topics and their primary and additional references to learn about the state of the art in the subject areas of interest, for summaries of the literature, and to look for opportunities to advance those areas by further research.

A good course or research topic should reflect multiple perspectives, which the SEBoK provides. As well, cataloging the wide diversity in accepted practices across SE is an important function of the SEBoK from the researcher's perspective.

For both educators and researchers, the fact that the SEBoK provides both primary and additional references in each topic is useful. So is the fact that the SEBoK is a wiki, which allows frequent updates to keep pace with the dynamic evolution of the systems engineering domain. See Acknowledgements and Release History.

## Implementation Examples

Good examples make for good teaching. The Systems Engineering Implementation Examples in the SEBoK consist of relatively in-depth case studies and shorter examples, which are linked back to appropriate areas of the SEBoK. A matrix shows which SEBoK topics are addressed by each case study or vignette.

Each case study in the SEBoK is actually a summary of an original case found in the SE literature, and is accompanied by a reference to the full, published case study. Case study summaries or examples from the SEBoK may be incorporated in curricula.

## Educator

University faculty may use the SEBoK and GRCSE to develop:

- a complete SE curriculum,
- a single course in systems engineering, either for use in an SE curriculum, or in a curriculum that belongs to some other discipline, or
- assessment criteria for curricula or courses.

Likewise, professional trainers use the SEBoK to develop training material, or to evaluate or update existing training courses.

Both faculty and trainers pursue professional development, in the form of SE study, using the SEBoK.

## Vignette: Curriculum and Course Development

A university designates a faculty team to investigate the feasibility of developing a graduate degree in SE.

Results of preliminary feasibility analysis (including evaluating the market, competing degree programs, and so on) are encouraging. The faculty team then begins to design the program, by identifying:

- program constituents
- potential objectives, outcomes and entrance requirements, based on review of GRCSE
- one half of the curriculum content based on review of the typical curriculum architecture (GRCSE chapter 5) and the core body of knowledge (CorBoK) (chapter 6) of GRCSE and
- the other half of the curriculum content based on review of the SEBoK (Parts 2 through 7).

According to the GRCSE, 50% of the total knowledge conveyed in a graduate program should be based on the CorBoK, to ensure a common foundation among programs offered at different institutions. At the same time, restricting the CorBoK to no more than 50% encourages a healthy variety in those programs.

Once these steps are complete, the overall architecture and the content and scope of the curriculum are defined. Now the faculty designs the courses themselves, defining in turn:

- the prerequisites for each course
- the overall course sequencing for the curriculum, based on the course prerequisites
- the objectives and goals for each course and
- the expected outcomes of each course.

Finally, the faculty is ready to develop the content for each individual course.

Defining course content is done based on topics in the SEBoK that cover the subject of the course.

Using primary and additional references as much as the topics themselves, the faculty responsible for course design define:

- the scope of the course content
- the course coverage, that is, what within the course content scope is actually taught in the course.

Given the scope and coverage, the next and final step is to develop the course material.

A professional trainer designing the training material performs the same kinds of activities. To customize the training course for a specific industry or customer, the trainer may integrate domain-specific content as well.

## Researcher

Researchers use SEBoK topics and their primary and additional references to learn about the state of the art in the subject areas of topics, and to look for opportunities to advance those areas by further research.

### Vignette: Software Engineering Research

William McGregor, a software engineer, wants to learn more about software intensive systems (SIS). Initially, William wants to answer the question: Do the activities and practices used to develop SIS represent special treatments of standard activities and practices?

William has already reviewed the SWEBoK and its primary references extensively for an answer to his question. In the course of his research, William learns about the SEBoK and decides to look there, too.

William finds no specific discussion of the SIS within the SEBoK. As he looks through the SEBoK, though, he realizes that there are activities throughout the system development life cycle which can be adapted or customized for the development of SIS. Accordingly, William decides to replace his original question with two new ones: (a) what best practices are applied throughout the software development life cycle and (b) how can those practices be adapted to SIS?

William now focuses on Part 3 to learn about the system development life cycle and identify development activities and practices that he can customize for software intensive systems.

## Summary

Educators use the SEBoK as a framework or a resource which helps them:

- determine what subject matter should be included in a new curriculum
- identify gaps in an existing curriculum and craft plans to address those gaps, and
- design individual courses.

The case studies and vignettes in the SEBoK may be used by educators in the classroom.

To develop curricula at the program level, educators should use the SEBoK in tandem with the GRCSE.

Researchers use the SEBoK to learn about the state of the systems engineering discipline, and to look for opportunities to advance that state by further research.

## References

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## Additional References

None.

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## References

[1] <http://www.grcse.org>

# Use Case 5: General Managers

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General managers preside over system development projects, system acquisitions, product lines, systems of systems (SoSs), and commercial and government organizations. For general managers, the SEBoK serves as a primary information source and quick, comprehensive reference for systems engineering information.

In particular, the SEBoK helps the general manager understand:

- the boundaries and synergies among systems engineering (SE), systems development, project management (PM), and life cycle support
- how those boundaries and synergies are likely to evolve with increasing use of evolutionary development, lean and agile methods, and systems that provide purchased services as opposed to salable products
- how to best balance a mix of hardware, software, human factors, domain, and specialty-area systems engineers and
- how an organization can evolve to take advantage of the trend towards cross-discipline systems engineers.

## Use of Topics

For general managers, most parts of the SEBoK offer immediately relevant knowledge about SE.

Part 1:

- explains the relationship between SE, system development, and project management
- summarizes overall trends in the nature of systems interdependency, complexity, assurance levels, and pace of change
- describes the evolving nature of integrated hardware-software-human systems and
- provides pointers to other parts of the SEBoK of interest to general managers.

Part 3:

- explains evolving system life cycle models and their elements, indicating which elements are SE-intensive (see Life Cycle Models) and
- provides overall guidance on the management of SE activity.

Part 4:

- explains how the SE function varies by class of system product, service, enterprise, and systems of systems engineering).

Part 5:

- explains SE governance and competence development.

Part 6:

- explains how SE relates to software engineering, project management, industrial engineering, procurement and acquisition, and specialty engineering for such specialties as safety, security, maintainability, and usability.
-

**Part 7:**

- provides case studies and vignettes to illustrate how the parts have been used in similar situations in successes to emulate and failures to avoid.

**Vignette: Emerging Nation Satellite System**

Tom Lee is General Manager for Telecommunications in a ministry of a large emerging nation. The government does not have much existing capability for developing capital-intensive infrastructure projects. The government decides to use a major investment in technology as a vehicle to develop national enterprise capabilities.

To accomplish this, the minister assigns Tom to lead a project to develop a national satellite system for telecommunications and earth resources observation. Tom understands that this is a very complex system and decides to do some background research. During this research, Tom discovers the SEBoK and decides that it may be a useful resource.

Tom first reads:

- Part 1 for an overview and pointers to relevant sections of Parts 3 through 6,
- portions of Part 3, Part 4, Part 5, and Part 6 to learn about the life cycle, nature, scope, and management aspects of enterprise SE,
- the successful satellite system case studies in Part 7 (Global Positioning System, Miniature Seeker Technology Integration spacecraft) for approaches to emulate, and
- the satellite system case study in Part 7 which describes development and integration problems (Hubble Space Telescope) for pitfalls to avoid.

Tom continues by carefully reading Part 5. He realizes that he must simultaneously develop individuals, teams, and the enterprise. The knowledge areas (KAs) from Part 5 give useful background. For this project, Tom enlists both a proven multi-national satellite SE company and some of his brightest aerospace systems engineers. Tom expects his local systems engineers to learn from the SE company, and he plans to use them as the core group of the national satellite system as it ultimately develops and operates.

He realizes that correct problem definition and requirements setting will be critical first steps. He carefully reads the Concept Definition and System Definition KAs. As his team develops the Stakeholder Needs and Requirements and the System Requirements, he makes sure they follow good practices as listed in the SEBoK. Once architectural designs have been proposed and approved, he requires his team to perform cost-benefit tradeoff analyses of alternative solutions.

Thus prepared, Tom is confident that he can formulate and execute a successful approach.

**Vignette: Commercial Safety Equipment Company**

Maria Moreno is General Manager at Safety First Equipment Company, specialists in hardware-intensive safety equipment. Maria's background is in electromechanical systems. Safety First is highly successful but beginning to lose market share to competitors who offer software-intensive capabilities and user amenities.

Maria is preparing an initiative to make Safety First into a leading software-intensive safety equipment provider. She decides to make the SEBoK a primary resource for gathering concepts and insights for the initiative. She begins by skimming through all of Parts 1 through 6, both to become familiar with the SEBoK itself and to start organizing her thoughts on SE.

Now Maria is ready to focus on subjects of prime importance to her task. Here are those subjects, listed with the places in the SEBoK where she finds information about them.

In Systems Engineering and Software Engineering in Part 6:

- the nature of software,
- differences between hardware and software architectures and practices and

- key aspects of managing software teams.

In the article Human Systems Integration in the Systems Engineering and Quality Attributes knowledge area, also in Part 6:

- the SE of user amenities.

In the Next Generation Medical Infusion Pump Case Study in Part 7:

- the software aspects of safety practices, such as software fault tree analysis and failure modes and effects analysis and
- overall approaches for concurrent engineering of the hardware, software, and human factors aspects of safety-critical equipment.

In the Medical Radiation Case Study in Part 7:

- hardware-software pitfalls to avoid in safety-critical equipment.

Maria chose the last two items from among the case studies in Part 7 because being safety-critical, they contain lessons directly applicable to her initiative at Safety First.

With this framework of concepts and practical information in place, Maria begins assembling a core team of Safety First systems engineers, complemented by external experts in software and human factors engineering. Maria wants the team to begin by developing a shared vision. To that end, she asks them to read the portions of the SEBoK that she has found most valuable in assessing the challenges of transitioning Safety First into a leading software-intensive, user-friendly safety equipment provider.

## Summary

For the general manager whose organization includes systems engineers, the relationship between SE, systems development, project management, and life cycle support is a central concern. The SEBoK provides insights and guidance about this and other aspects of SE principle and practice, and explains the role of SE in a variety of management challenge areas and application domains.

The SEBoK complements the general management guidance available in sources such as the *PMBOK® Guide* (PMI 2013).

## References

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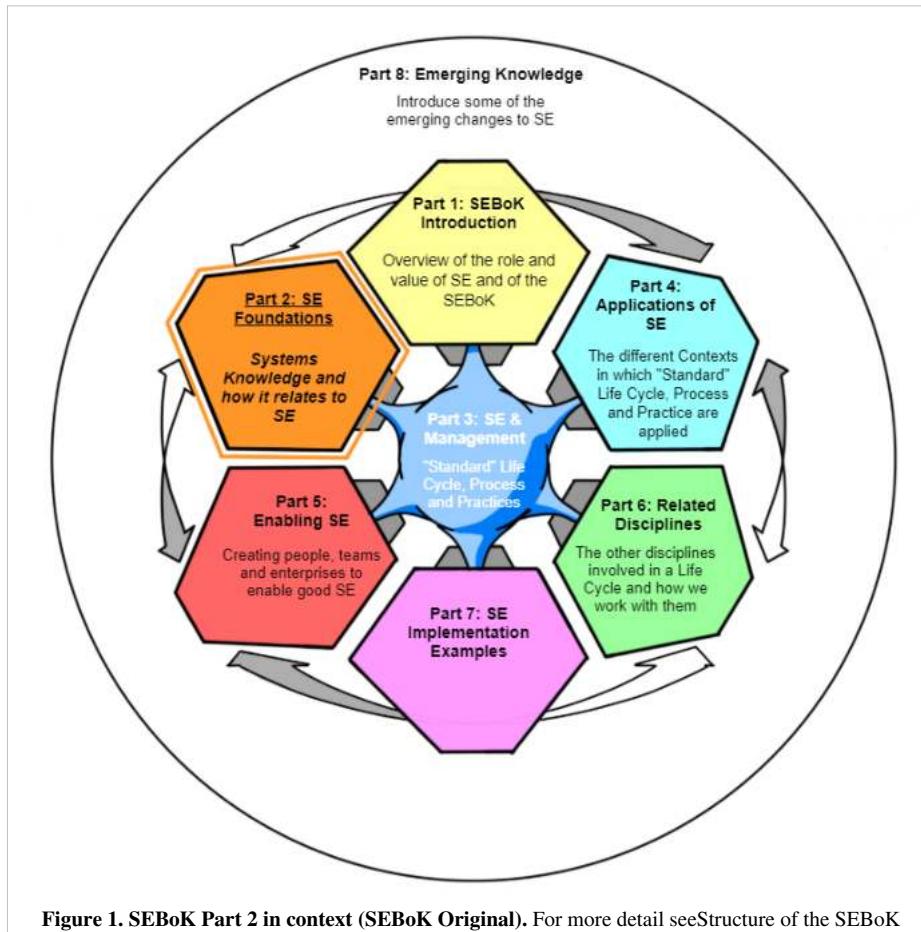
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# Part 2: Foundations of Systems Engineering

## Foundations of Systems Engineering

**Lead Author:** Rick Adcock, **Contributing Authors:** Scott Jackson, Janet Singer, Duane Hybertson, Gary Smith

Part 2 of the Guide to the SE Body of Knowledge (SEBoK) is a guide to foundational knowledge which is relevant or useful to systems engineering (SE).



**Figure 1. SEBoK Part 2 in context (SEBoK Original).** For more detail see Structure of the SEBoK

This knowledge is included in the SEBoK firstly to help systems engineers benefit from an understanding of the foundations of their discipline, and to provide them with access to some of the theories and practices of systems science and other fields of systems practice. Including this wider integrative systems science context in the SEBoK should also help to make SE knowledge more accessible to a wider audience outside of its traditional domains.

## Knowledge Areas in Part 2

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. Part 2 contains the following KAs:

- Systems Fundamentals
- The Nature of Systems
- Systems Science
- Systems Thinking
- Representing Systems with Models
- Systems Approach Applied to Engineered Systems

## Introduction

Most systems engineers are practitioners, applying processes and methods that have been developed and evolved over decades. SE is a pragmatic approach, inherently interdisciplinary, yet specialized. Systems engineers usually work within a specific domain using processes and methods that are tailored to their domain's unique problems, constraints, risks and opportunities. These processes and methods have evolved to capture domain experts' knowledge regarding the best approach to applying SE to the particular domain.

Specific domains in which systems approaches are used and adapted include:

- Technology products, integrating multiple engineering disciplines
- Information-rich systems, e.g. command & control, air traffic management, etc.
- Platforms, e.g. aircraft, civil airliners, cars, trains, etc.
- Organizational and enterprise systems, which may be focused on delivering service or capability
- Civil engineering/infrastructure systems, e.g. roads networks, bridges, builds, communications networks, etc.

The specific skill-sets for each domain, and the kinds and scales of system it considers, may be quite different. However, there are certain underlying unifying systems principles that can improve the effectiveness of the systems approach in any domain. In particular, shared knowledge of systems principles and terminology will enable communication and improve system engineers' ability to integrate complex systems that span traditional domain boundaries (Sillitto 2012). This integrated approach is increasingly needed to solve today's complex system challenges, but as these different communities come together, they may find that assumptions underpinning their worldviews are not shared.

## General Systems Engineering Foundations

To bridge the gap between different domains and communities of practice, it is important to first establish a well-grounded definition of the “intellectual foundations of systems engineering,” as well as a common language to describe the relevant concepts and paradigms. An integrated systems approach for solving complex problems needs to combine elements of systems theories and systems approaches to practice. This may range from the technical-systems focus that has been dominant in systems engineering to the learning-systems focus of social systems intervention. An integrated systems approach needs to provide a framework and language that allow different communities with highly divergent worldviews and skill sets to work together for a common purpose.

The SEBoK as a whole aims to provide principles and concepts which can be used to support all potential applications of systems engineering, and which can be easily translated to any particular application by the reader. Often the published knowledge related to systems engineering has been developed from particular application areas, typically combinations of applications like defense, transport, or medical, business models such as government, commercial or voluntary or technology domains such as mechanical, electrical or cyber. In publishing it, authors will make some effort to **specialize** it into knowledge which can be applied across related applications.

In the SEBoK, we seek to find or create **general** descriptions of SE knowledge. A general description should cover all applications of systems engineering and should include an explanation of the special cases it covers and how it applied to them. The generalization of knowledge can be informal, providing coverage of the most common specializations or being the domains current best understanding of the general case. A truly general description must be based upon stronger theoretical considerations and be in some sense proven to predict and cover all special cases. Knowledge described in the SEBoK will usually be informally generalized knowledge, with any specific knowledge being identified as such and related to the general as appropriate.

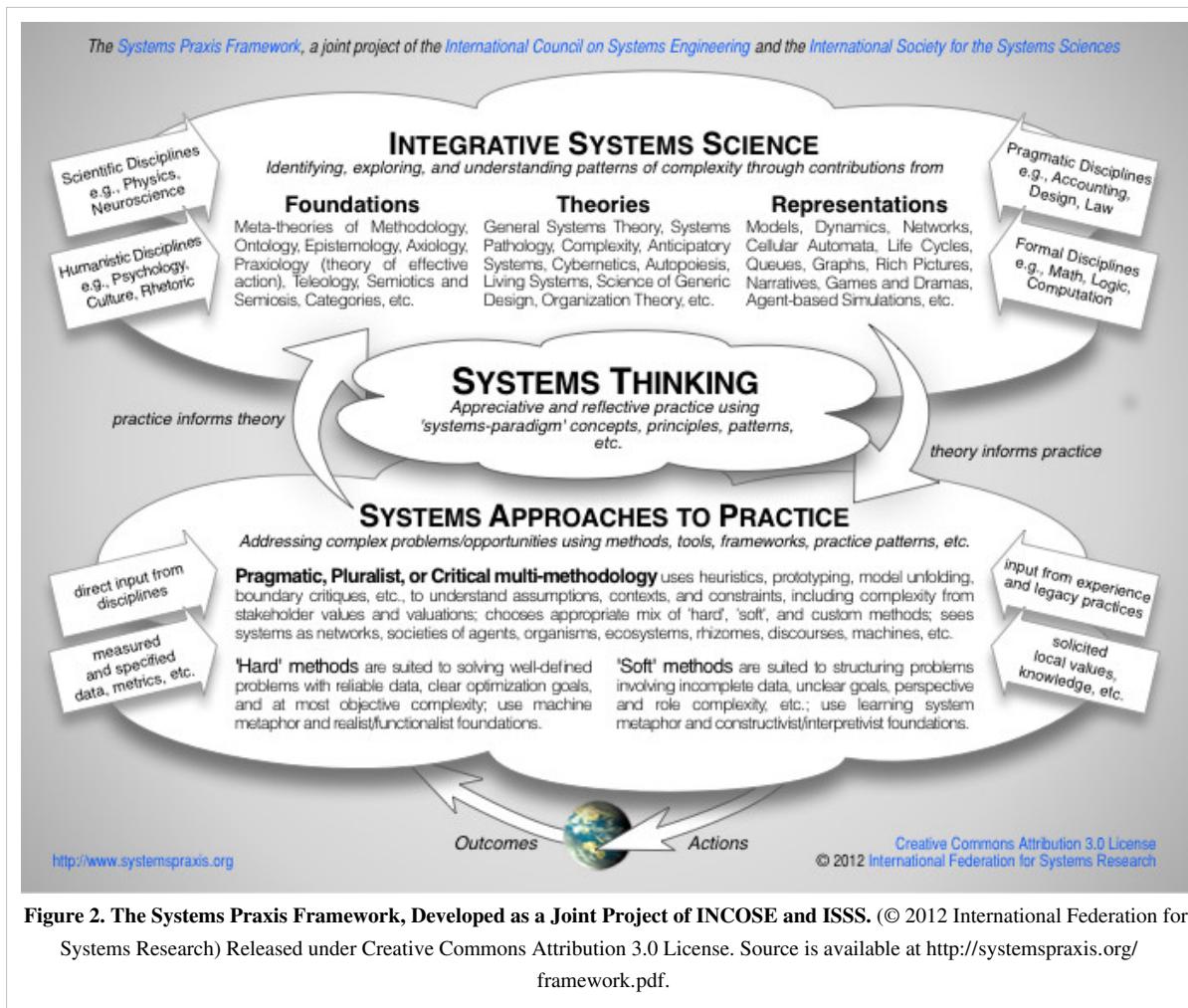
The INCOSE Vision 2025 includes an aim for systems engineering to become a discipline with a formally defined theoretical basis. Such a general theory of SE would be largely included in SEBoK Part 2. The current SEBoK part 2 does not include such a theory. It provides generalized descriptions of foundational knowledge which has a pragmatic value to help describe and improve the current and future practice of systems engineering. We would expect any emerging general theory of systems engineering to draw from and expand these foundations. As such a theory is defined, it will be included in Part 2 of the SEBoK.

## The Systems Praxis Framework

The term “**systems praxis**” refers to the entire intellectual and practical endeavor for creating holistic solutions to today’s complex system challenges. Praxis is defined as “translating an idea into action” (Wordnet 2012) and suggests that the best holistic approach to a given complex challenge may require integrating appropriate theory and appropriate practice from a wide variety of sources. Systems praxis requires many communities to work together. To work together we must first communicate; and to communicate, we must first connect.

A framework for unifying systems praxis was developed by members of International Council on Systems Engineering (INCOSE) and International Society for the System Sciences (ISSS) (International Federation for Systems Research (IFSR) 2012)) as the first step towards a “common language for systems praxis”. This **Systems Praxis Framework** is included here because it represents current thinking on the foundations and common language of systems engineering, making the concepts and principles of systems thinking and practice accessible to anyone applying a systems approach to engineered system problems. This framework and thinking have been used to help organize the guide to systems knowledge in the SEBoK.

The diagram below shows the flows and interconnections among elements of a “knowledge ecosystem” of systems theory and practice.



**Figure 2. The Systems Praxis Framework, Developed as a Joint Project of INCOSE and ISSS.** (© 2012 International Federation for Systems Research) Released under Creative Commons Attribution 3.0 License. Source is available at <http://systemspraxis.org/framework.pdf>.

In this framework, the following elements are connected:

**Systems Thinking** is the core integrative element of the framework. It binds the foundations, theories and representations of systems science together with the hard, soft and pragmatic approaches of systems practice. In systems praxis, as in any practical discipline underpinned by science, there is constant interplay between theories and practice, with theory informing practice and outcomes from practice informing theory. Systems thinking is the ongoing activity of assessing and appreciating the system context, and guiding appropriate adaptation, throughout the praxis cycle.

**Integrative Systems Science** has a very wide scope and is grouped into three broad areas:

- **Foundations**, which help to organize knowledge and promote learning and discovery. This area includes: meta-theories of methodology, ontology, epistemology, axiology, praxiology (theory of effective action), teleology, semiotics & semiosis, category theory, etc.
- **Theories** pertaining to systems are abstracted from domains and specialties, so as to be universally applicable: general system theory, systems pathology, complexity, anticipatory systems, cybernetics, autopoiesis, living systems, science of generic design, organization theory, etc.
- **Representations** and corresponding theories describe, explore, analyze, and make predictions about systems and their wider contexts, whether in terms of models, dynamics, networks, cellular automata, life cycles, queues, graphs, rich pictures, narratives, games and dramas, agent-based simulations, etc.

**Systems Approaches to Practice** aim to act on real world experiences to produce desired outcomes without adverse, unintended consequences; ergo, practice needs to draw on the wide range of knowledge appropriate to the system-of-interest and its wider context. No one branch of systems science or practice provides a satisfactory

explanation for all aspects of a typical system “problematique”; therefore, a more pragmatic approach is needed. Traditional systems approaches are often described to be either hard or soft:

- **Hard** approaches are suited to solving well-defined problems with reliable data and clear goals, using analytical methods and quantitative techniques. Strongly influenced by “machine” metaphors, they focus on technical systems, objective complexity, and optimization to achieve desired combinations of emergent properties. They are based on “realist” and “functionalist” foundations and worldview.
- **Soft** approaches are suited to structuring problems involving incomplete data, unclear goals, and open inquiries, using a “learning system” metaphor, focus on communication, intersubjective complexity, interpretations and roles, and draw on subjective and “humanist” philosophies with constructivist and interpretivist foundations.

**Pragmatic** (pluralist or critical) approaches judiciously select an appropriate set of tools and patterns that will give sufficient and appropriate insights to manage the issue at hand by applying multiple methodologies drawn from different foundations as appropriate to the situation. Heuristics, boundary critiques, model unfolding, etc, enable the understanding of assumptions, contexts, and constraints, including complexity due to different stakeholders’ values and valuations. An appropriate mix of “hard”, “soft”, and custom methods draws on both systems and domain-specific traditions. Systems may be viewed as networks, societies of agents, organisms, ecosystems, rhizomes, discourses, machines, etc.

The set of “clouds” that collectively represents systems praxis is part of a wider ecosystem of knowledge, learning, and action. Successful integration with this wider ecosystem is the key to success with real world systems. Systems science is augmented by “hard” scientific disciplines, such as physics and neuroscience, and by formal disciplines, such as mathematics, logic and computation. It is both enhanced by, and used in, humanistic disciplines, such as psychology, culture, and rhetoric, and pragmatic disciplines, such as accounting, design, and law. Systems practice depends on measured data and specified metrics relevant to the problem situation and domain, the solicitation of local values and knowledge, and the pragmatic integration of experience, legacy practices, and discipline knowledge.

In summary, **Integrative Systems Science** allows us to identify, explore, and understand patterns of complexity through contributions from the foundations, theories, and representations of systems science and other disciplines relevant to the “problematique”. **Systems Approaches to Practice** address complex problems and opportunities using methods, tools, frameworks, patterns, etc., drawn from the knowledge of integrative systems science, while the observation of the results of systems practice enhances the body of theory. **Systems Thinking** binds the two together through appreciative and reflective practice using systems concepts, principles, patterns, etc.

## Scope of Part 2

Part 2 of the SEBoK contains a guide to knowledge about systems, which is relevant to a better understanding of SE. It does not try to capture all of this systems knowledge here; rather, it provides an overview of a number of key aspects of systems theory and practice especially relevant to SE.

The organization of knowledge in Part 2 is based around the Praxis Framework discussed above (IFSR 2012). The need to develop a clear guide to the underpinning knowledge of SE is one of the motivations behind the praxis framework. It is expected that the coverage of systems knowledge will be significantly increased in future versions of the SEBoK as this work progresses.

The following diagram summarizes the way in which the knowledge in SEBoK Part 2 is organized.

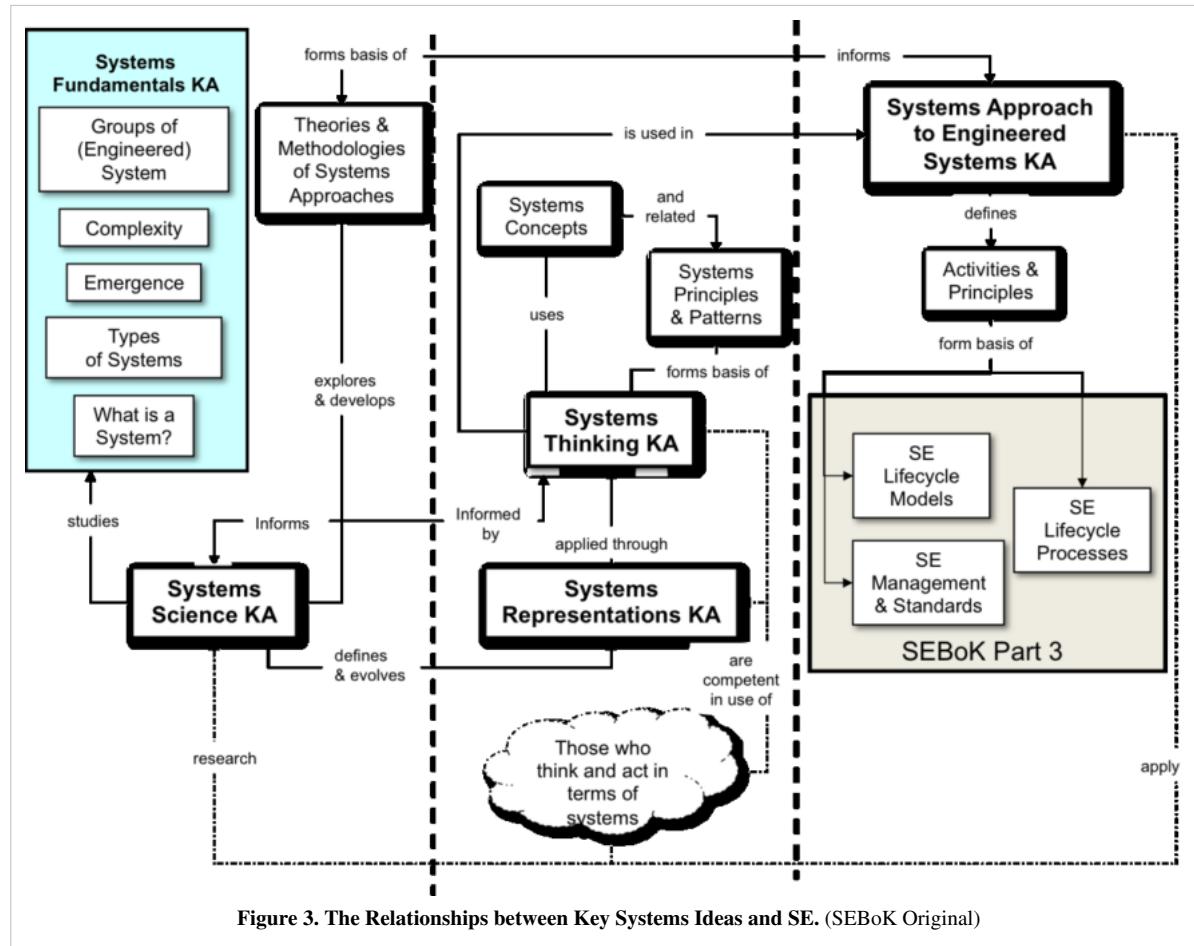


Figure 3. The Relationships between Key Systems Ideas and SE. (SEBoK Original)

The diagram is divided into five sections, each describing how systems knowledge is treated in the SEBoK.

1. The Systems Fundamentals Knowledge Area considers the question “What is a System?” from the perspective of System Engineers. It explores System Engineering Concepts, Principles and Heuristics and how these relate to the process of scientific development. A wide range of system definitions are introduced, including the distinctions between open systems, closed systems and the types of systems that are engineered. All of these ideas are particularly relevant to engineered systems and to the groupings of such systems associated with the systems approach applied to engineered systems (i.e. product system, service system, enterprise system and system of systems).
2. The Nature of Systems Knowledge Area provides an entry point into the rich landscape of systems (natural and engineered) in the universe. Across this diversity we give voice and make explicit observed patterns that are universal to all systems. It is the study of these patterns that form the premise for system science and the foundations upon which system thinking and system engineering will someday be fully grounded.
3. The Systems Science Knowledge Area presents some influential movements in systems science, including the chronological development of systems knowledge and underlying theories behind some of the approaches taken in applying systems science to real problems.
4. The Systems Thinking Knowledge Area describes key concepts, principles and patterns shared across systems research and practice. Systems thinking is a fundamental paradigm describing a way of looking at the world. People who think and act in a systems way are essential to the success of both the research and practice of system disciplines. In particular, individuals who have an awareness of and/or active involvements in both research and practice of system disciplines are needed to help integrate these closely related activities.
5. The Representing Systems with Models Knowledge Area considers the key role that abstract models play in both the development of system theories and the application of systems approaches.

6. The Systems Approach Applied to Engineered Systems Knowledge Area defines a structured approach to problem/opportunity discovery, exploration, and resolution, that can be applied to all engineered systems. The approach is based on systems thinking and utilizes appropriate elements of system approaches and representations. This KA provides principles that map directly to SE practice.

The knowledge presented in this part of the SEBoK has been organized into these areas to facilitate understanding; the intention is to present a rounded picture of research and practice based on system knowledge. These knowledge areas should be seen together as a “system of ideas” for connecting research, understanding, and practice, based on system knowledge which underpins a wide range of scientific, management, and engineering disciplines and applies to all types of domains.

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**SEBoK v. 2.7, released 31 October 2022**

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# Knowledge Area: Systems Engineering Fundamentals

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## Systems Engineering Fundamentals

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This knowledge area (KA) provides a guide to some of the most important knowledge about system engineering fundamentals. System Engineering benefits from systems thinking in combination with an essential understanding of The Nature of Systems. It applies systems approaches to practice grounded in systems science.

This is part of the wider systems knowledge, which can help to provide a common language and intellectual foundation and make practical systems concepts, principles, patterns and tools accessible to systems engineering (SE) as discussed in Part 2: Foundations of Systems Engineering.

### Topics

Each part of the SEBoK is divided into KAs, which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Introduction to System Fundamentals
- Systems Engineering Core Concepts
- Systems Engineering Principles
- Systems Engineering Heuristics
- Fundamentals for Future Systems Engineering

### Introduction

A concept is a mental representation that can be shared with a word or other media such as visualizations, pictures or displays of emotion (Daniel-Allegro B, Smith G.R. 2016). Systems Engineering Core Concepts provide the mental building blocks that when brought together can support an expression of principles. “A principle is a fundamental truth or proposition that serves as the foundation for a system of belief or behavior or for a chain of reasoning”. As an example, if you have three colors, red, blue, yellow (all words that serve as mental concepts). A principle is if you mix some yellow with some blue then you get green. A principle can provide guidance for acting with some certainty of the result. Principles learnt from practical experience that yet lack a scientific understanding as to the explanation of “why” are referred to as heuristics. Often in the progression of science these observations of ‘what is happening’ form the starting point for asking the question ‘why does this happen’ and prompts research into the underpinning scientific theory.

The evolution of Systems Engineering Heuristics and associated Systems Engineering Principles is described. The objective of system science is to provide the theoretical basis for these principles.

The word system is a concept used in many areas of human activity and at many levels. But what do System Engineers mean when they use the word system? The answer is surprisingly not as simple as you might think.

(Sillitto, Griego et al. 2018) established in their research that there are at least seven distinct, and to a considerable extent mutually incompatible, worldviews on systems within a relatively small population of systems engineering experts in the INCOSE Fellows’ and System Science Working Group (SSWG) communities. The worldviews

identified ranged from constructivist ("systems are purely a mental construct") to "extreme realist" ("systems only exist in the real world"). Some considered the threshold of systemness" to be as simple as "two or more inter-related elements"; while others demanded a wide range of attributes, including those of living systems, before considering something to be a system.

That such a wide range of worldviews was discovered within the Systems Engineering community was a surprising result. We might expect to find an even wider range of worldviews across a more diverse community; but a non-rigorous examination of the results of the survey and of the wider literature suggests that the range of "system" worldviews held by the surveyed group of Systems Engineers is broadly representative of the systems field. In the 2019 IFSR conversation "What is System Science?" (Metcalf, G.S., M.C. Edson, and G. Chroust, 2018), it was concluded that there would be great benefit to achieve a synthesis across the apparently conflicting worldviews of constructivism and realism, expressed in terms of these two key aspects: a) the nature of systems in the physical universe; and b) the way humans perceive and interact with systems.

In practical terms, in the Introduction to Systems Engineering Fundamentals, the concepts of open system and closed system are explored. Open systems, described by a set of elements and relationships, are used to describe many real world phenomena. Conceptually closed systems have no interactions with their environment.

Some systems classifications, characterized by type of element or by purpose, are presented.

An engineered system is defined within the SEBoK as encompassing combinations of technology and people in the context of natural, social, business, public or political environments, created, used and sustained for an identified purpose. The application of the Systems Approach Applied to Engineered Systems requires the ability to position problems or opportunities in the wider system containing them, to create or change a specific engineered system-of-interest, and to understand and deal with the consequences of these changes in appropriate wider systems. The concept of a system context allows all of the system elements and relationships needed to support this to be identified.

Two particular aspects of the system phenomena complexity and emergence, are described in the System Science KA. Between them, these two concepts represent many of the challenges which drive the need for systems thinking and an appreciation of systems science in SE. In The Nature of Systems KA, a rich portrayal of the landscape of systems and the system phenomena is provided.

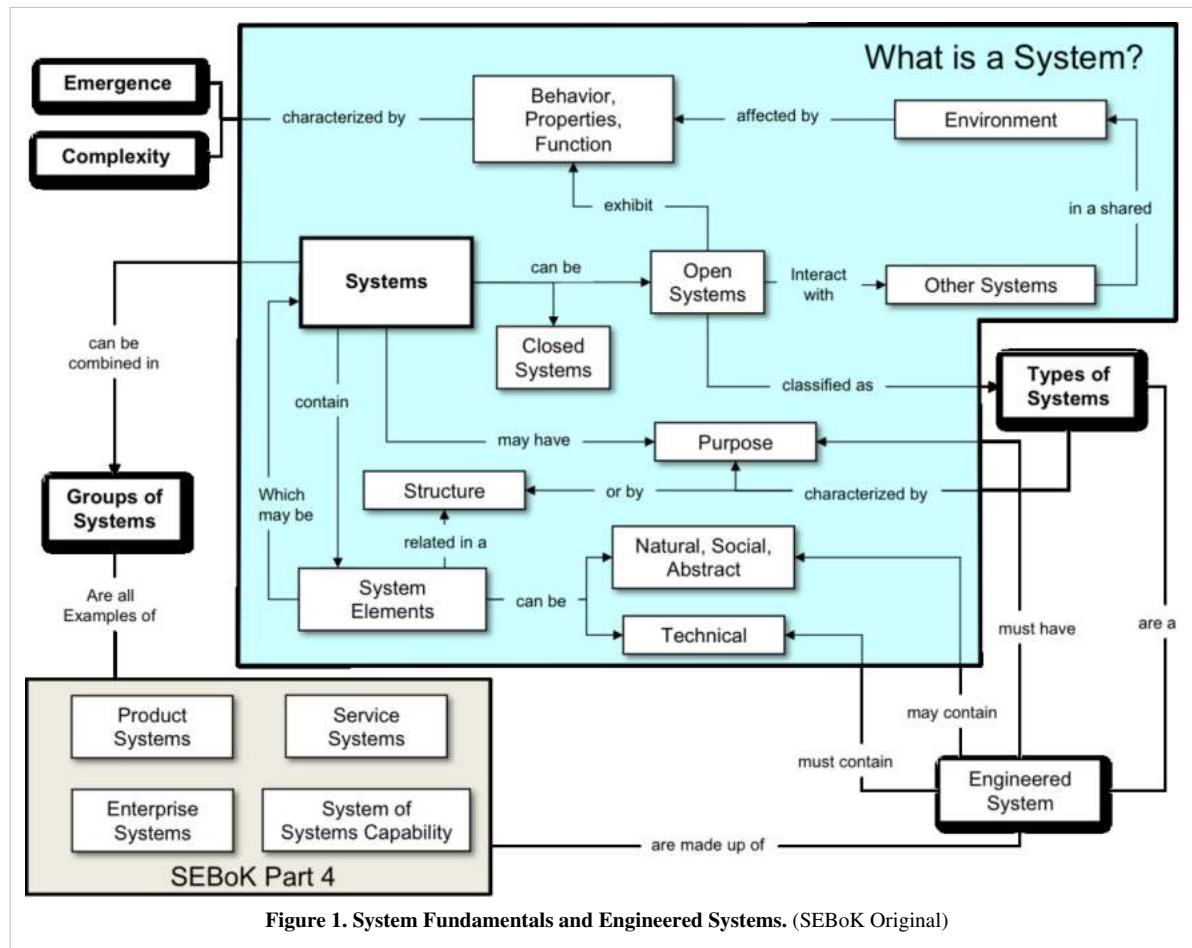


Figure 1. System Fundamentals and Engineered Systems. (SEBoK Original)

The discussions of engineered system contexts includes the general idea of groups of systems to help deal with situations in which the elements of an engineered system are themselves independent engineered systems. To help provide a focus for the discussions of how SE is applied to real world problems, four engineered system contexts are introduced in the KA:

1. product system context
2. service system context
3. enterprise system context
4. system of systems (sos) context

The details of how SE is applied to each of these contexts are described in Part 4: Applications of Systems Engineering.

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## Additional References

None.

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SEBoK v. 2.7, released 31 October 2022

# Introduction to Systems Engineering Fundamentals

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This article forms part of the Systems Fundamentals knowledge area (KA). It provides various perspectives on systems, including definitions, scope, and context.

This article provides a guide to some of the basic concepts of systems developed by systems science and discusses how these relate to the definitions to be found in systems engineering (SE) literature. The concept of an engineered system is introduced as the system context of critical relevance to SE.

## Overview

In the System Fundamentals KA we will define some terms and ideas which are foundational to the understanding and practice of Systems Engineering (SE). In particular, a number of views of system are explored; these are summarized below and described in more detail with links to relevant references in the rest of this article.

- A simple definition of **System** is any set of related parts for which there is sufficient coherence between the parts to make viewing them as a whole useful. If we consider more complex situations in which the parts of a system can also be viewed as systems, we can identify useful common systems concepts to aid our understanding. This allows the creation of systems theories, models and approaches useful to anyone trying to understand, create or use collections of related things, independent of what the system is made of or the application domain considering it.
- Many of these common systems ideas relate to complex networks or hierarchies of related system elements. A **System Context** is a set of system interrelationships associated with a particular system of interest (SoI) within a real world environment. One or more views of a context allow us to focus on the SoI but not lose sight of its broader, holistic relationships and influences. Context can be used for many kinds of system but is

particularly useful for scoping problems and enabling the creation of solutions which combine people and technology and operate in the natural world. These are referred to as socio-technical system contexts.

- Systems Engineering is one of the disciplines interested in socio-technical systems across their whole life. This includes where problems come from and how they are defined, how we identify and select candidate solutions, how to balance technology and human elements in the wider solution context, how to manage the complex organizational systems needed to develop new solutions, and how developed solutions are used, sustained and disposed of. To support this, we define an **Engineered System as a socio-technical system which is the focus of a Systems Engineering life cycle**.
- While SE is focused on the delivery of an engineered system of interest, an **SE should consider the full Engineered System Context so that the necessary understanding can be reached and the right systems engineering decisions can be made across each Life Cycle**.

## A General View of Systems

The idea of a system whole can be found in both Western and Eastern philosophy. Many philosophers have considered notions of holism, the concept that ideas, people or things must be considered in relation to the things around them to be fully understood (M'Pherson 1974).

One influential systems science definition of a system comes from general system theory (GST):

*A System is a set of elements in interaction.* (Bertalanffy 1968)

The parts of a system may be conceptual organizations of ideas in symbolic form or real objects. GST considers **abstract systems** to contain only conceptual elements and **concrete systems** to contain at least two elements that are real objects, e.g. people, information, software, and physical artifacts, etc.

Similar ideas of wholeness can be found in systems engineering literature. For example:

*We believe that the essence of a system is 'togetherness', the drawing together of various parts and the relationships they form in order to produce a new whole...* (Boardman and Sauser 2008).

The cohesive interactions between a set of parts suggest a system boundary and define what membership of the system means. For **closed systems**, all aspects of the system exist within this boundary. This idea is useful for abstract systems and for some theoretical system descriptions.

The boundary of an **open systems** defines elements and relationships which can be considered part of the system and describes how these elements interact across the boundary with related elements in the environment. The relationships among the elements of an open system can be understood as a combination of the systems structure and behavior. The structure of a system describes a set of system elements and the allowable relationships between them. System behavior refers to the effects or outcomes produced when an instance of the system interacts with its environment. An allowable configuration of the relationships among elements is referred to as a system state. A stable system is one which returns to its original, or another stable, state following a disturbance in the environment. *System wholes entities often exhibit emergence, behavior which is meaningful only when attributed to the whole, not to its parts* (Checkland 1999).

The identification of a system and its boundary is ultimately the choice of the observer. This may be through observation and classification of sets of elements as systems, through an abstract conceptualization of one or more possible boundaries and relationships in a given situation, or a mixture of this concrete and conceptual thinking. This underlines the fact that any particular identification of a system is a human construct used to help make better sense of a set of things and to share that understanding with others if needed.

Many natural, social and man made things can be better understood by viewing them as open systems. One of the reasons we find the idea of systems useful is that it is possible to identify shared concepts which apply to many system views. These recurring concepts or isomorphies can give useful insights into many situations, independently of the kinds of elements of which a particular system is composed. The ideas of structure, behavior, emergence and

state are examples of such concepts. The identification of these shared system ideas is the basis for systems thinking and their use in developing theories and approaches in a wide range of fields of study the basis for system sciences.

Systems Engineering (SE), and a number of other related disciplines use systems concepts, patterns and models in the creation of useful outcomes or things. The concept of a network of open systems created, sustained and used to achieve a purpose within one or more environments is a powerful model that can be used to understand many complex real world situations and provide a basis for effective problem solving within them.

## System Context

Bertalanffy (1968) divided open systems into nine real world types ranging from static structures and control mechanisms to socio-cultural systems. Other similar classification systems are discussed in the article Types of Systems.

The following is a simple classification of system elements which we find at the heart of many of these classifications:

- Natural system elements, objects or concepts which exist outside of any practical human control. Examples: the real number system, the solar system, planetary atmosphere circulation systems.
- Social system elements, either abstract human types or social constructs, or concrete individuals or social groups.
- Technological System elements, man-made artifacts or constructs; including physical hardware, software and information.

While the above distinctions can be made as a general abstract classification, in reality there are no hard and fast boundaries between these types of systems: e.g., natural systems are operated by, developed by, and often contain social systems, which depend on technical systems to fully realize their purpose. Systems which contain technical and either human or natural elements are often called socio-technical systems. The behavior of such systems is determined both by the nature of the technical elements and by their ability to integrate with or deal with the variability of the natural and social systems around them.

Many of the original ideas upon which GST and other branches of system study are based come from the study of systems in the natural and social sciences. Many natural and social systems are initially formed as simple structures through the inherent cohesion among a set of elements. Once formed, they will tend to stay in this structure, as well as combine and evolve further into more complex stable states to exploit this cohesion in order to sustain themselves in the face of threats or environmental pressures. Such complex systems may exhibit specialization of elements, with elements taking on roles which contribute to the system purpose, but losing some or all of their separate identity outside the system. Such roles might include management of resources, defense, self-regulation or problem solving, and control. Natural and social systems can be understood through an understanding of this wholeness, cohesion and specialization. They can also be guided towards the development of behaviors which not only enhance their basic survival, but also fulfill other goals of benefit to them or the systems around them. In *The Architecture of Complexity*, Simon (1962) has shown that natural or social systems which evolve via a series of stable "hierarchical intermediate forms" will be more successful and resilient to environmental change.

Thus, it is often true that the environment in which a particular system sits and the elements of that system can themselves be considered as open systems. It can be useful to consider collections of related elements as both a system and a part of one or more other systems. For example, a "holon" or system element was defined by Koestler as something which exists simultaneously as a whole and as a part (Koestler 1967). At some point, the nature of the relationships between elements within and across boundaries in a hierarchy of systems may lead to complex structures and emergent behaviors which are difficult to understand or predict. Such complexity can often best be dealt with not only by looking for more detail, but also by considering the wider open system relationships.

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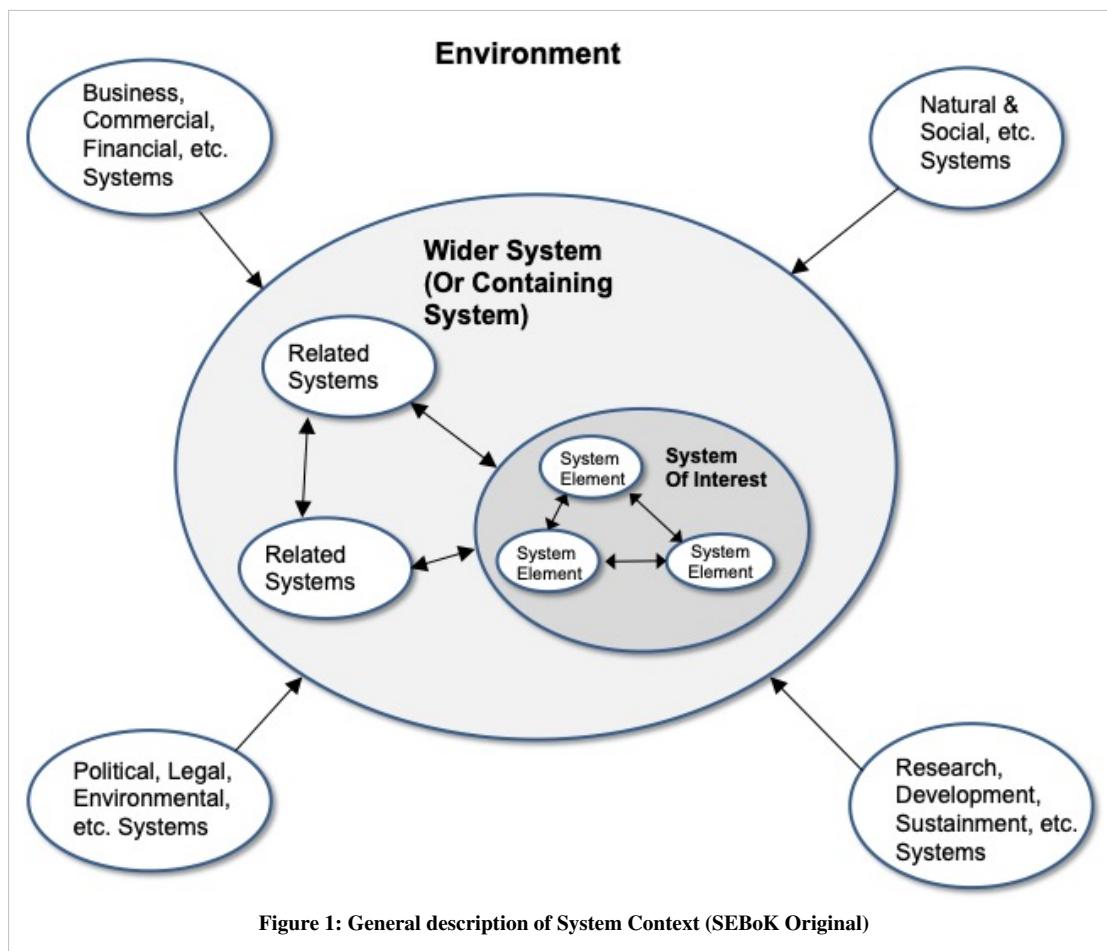


Figure 1: General description of System Context (SEBoK Original)

A system context describes all of the external elements which interact across the boundary of a particular system of interest (SoI) and a sufficient view of the elements within its boundary, to allow the SoI to be better understood as part of a wider systems whole. To fully understand the context, we also need to identify the environment in which the SoI and wider system sit and the systems in the environment which influence them.

Many man-made systems are designed as networks and hierarchies of related system elements to achieve desirable behaviors and the kinds of the resilience seen in natural systems. While such systems can be deliberately created to take advantage of system properties such as holism and stability, they must also consider system challenges such as complexity and emergence. Considering different views of a SoI and its context over its life can help enable this understanding. Considering systems in context allows us to focus on a SoI while maintaining the necessary wider, holistic systems perspective. This is one of the foundations of the Systems Approach described in SEBoK part 2, which forms a foundation of systems engineering.

## Systems and Systems Engineering

Some of the systems ideas discussed above form part of the systems engineering body of knowledge. Systems engineering literature, standards and guides often refer to “the system” to characterize a socio-technical system with a defined purpose as the focus of SE, e.g.

- “A system is a value-delivering object” (Dori 2002).
- “A system is an array of components designed to accomplish a particular objective according to plan” (Johnson, Kast, and Rosenzweig 1963).
- “A system is defined as a set of concepts and/or elements used to satisfy a need or requirement” (Miles 1973).

The International Council on Systems Engineering Handbook (INCOSE 2015) generalizes this idea, defining system as “an interacting combination of elements to accomplish a defined objective. These include hardware, software,

firmware, people, information, techniques, facilities, services, and other support elements." While these definitions cover the socio-technical systems created by SE, it is also necessary to consider the natural or social problem situations in which these systems sit, the social systems which developed, sustained and used them, and the commercial or public enterprises in which these all sit as systems (Martin 2004).

Hence, while many SE authors talk about systems and systems ideas, they are often based on a particular world view which related to engineered artifacts. It would also be useful to take a broader view of the context in which these artifacts sit, and to consider through life relationships as part of that context. To help promote this, the SEBoK will attempt to be more precise with its use of the word system, and distinguish between general systems principles and the specific socio-technical systems created by SE.

The term socio-technical system is used by many in the systems community and may have meanings outside of that relevant to SE. Hence, we will define an engineered system as a socio-technical system which forms the primary focus or system of interest (SoI) for an application of SE. A SE life cycle will consider an engineered system context, from initial problem formulation through to final safe removal from use (INCOSE 2015). A more detailed discussion of engineered system context and how it relates to the foundations of systems engineering practice can be found below.

## Introduction to Engineered Systems

An engineered system defines a context containing both technology and social or natural elements, developed for a defined purpose by an engineering life cycle.

Engineered system contexts:

- are created, used and sustained to achieve a purpose, goal or mission that is of interest to an enterprise, team, or an individual.
- require a commitment of resources for development and support.
- are driven by stakeholders with multiple views on the use or creation of the system, or with some other stake in the system, its properties or existence.
- contain engineered hardware, software, people, services, or a combination of these.
- exist within an environment that impacts the characteristics, use, sustainment and creation of the system.

Engineered systems typically:

- are defined by their purpose, goal or mission.
- have a life cycle and evolution dynamics.
- may include human operators (interacting with the systems via processes) as well as other social and natural components that must be considered in the design and development of the system.
- are part of a system-of-interest hierarchy.

Open systems are a useful way to understand many complex situations. Traditional engineering disciplines have become very good at building up detailed models and design practices to deal with the complexity of tightly integrated collections of elements within a technology domain. It is possible to model the seemingly random integration of lots of similar elements using statistical approaches. Systems Engineering makes use of both these aspects of system complexity, as discussed in the Complexity article.

SE also considers the complexity of relatively small numbers of elements taken from a range of design disciplines together with people who may not always be experienced or have detailed training in their use. Such engineered systems may be deployed in uncertain or changing environments and be used to help people achieve a number of loosely defined outcomes. Relatively small changes in the internal working of these engineered systems' elements, or in how those elements are combined, may lead to the emergence of complex or un-expected outcomes. It can be difficult to predict and design for all such outcomes during an engineered system's creation, or to respond to them during its use. Iterative life cycle approaches which explore the complexity and emergence over a number of cycles

of development and use are needed to deal with this aspect of complexity. The ways that system engineering deals with these aspects of complexity in the definition of life cycle and life cycle processes applied to an engineered system context is fully explored in Part 3

## Life Cycle Definitions

As well as being a kind of system, an engineered system is also the focus of a life cycle and hence part of a commercial transaction. Historically,

*Economists divide all economic activity into two broad categories, goods and services. Goods-producing industries are agriculture, mining, manufacturing, and construction; each of them creates some kind of tangible object. Service industries include everything else: banking, communications, wholesale and retail trade, all professional services such as engineering, computer software development, and medicine, nonprofit economic activity, all consumer services, and all government services, including defense and administration of justice.... (Encyclopedia Britannica 2011).*

The following diagram defines some terms related to an engineered system life cycle and the development of goods (products) and services.

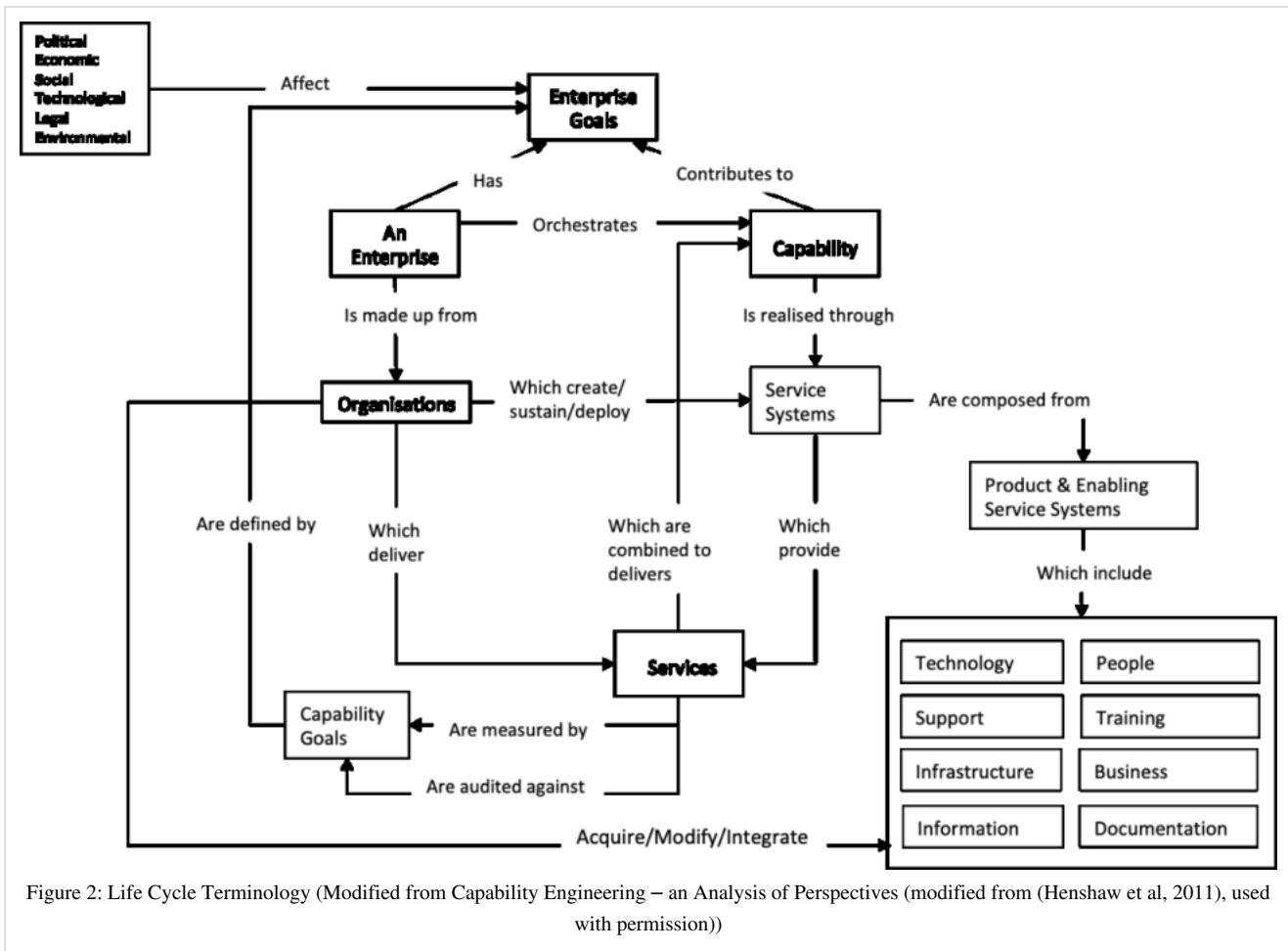


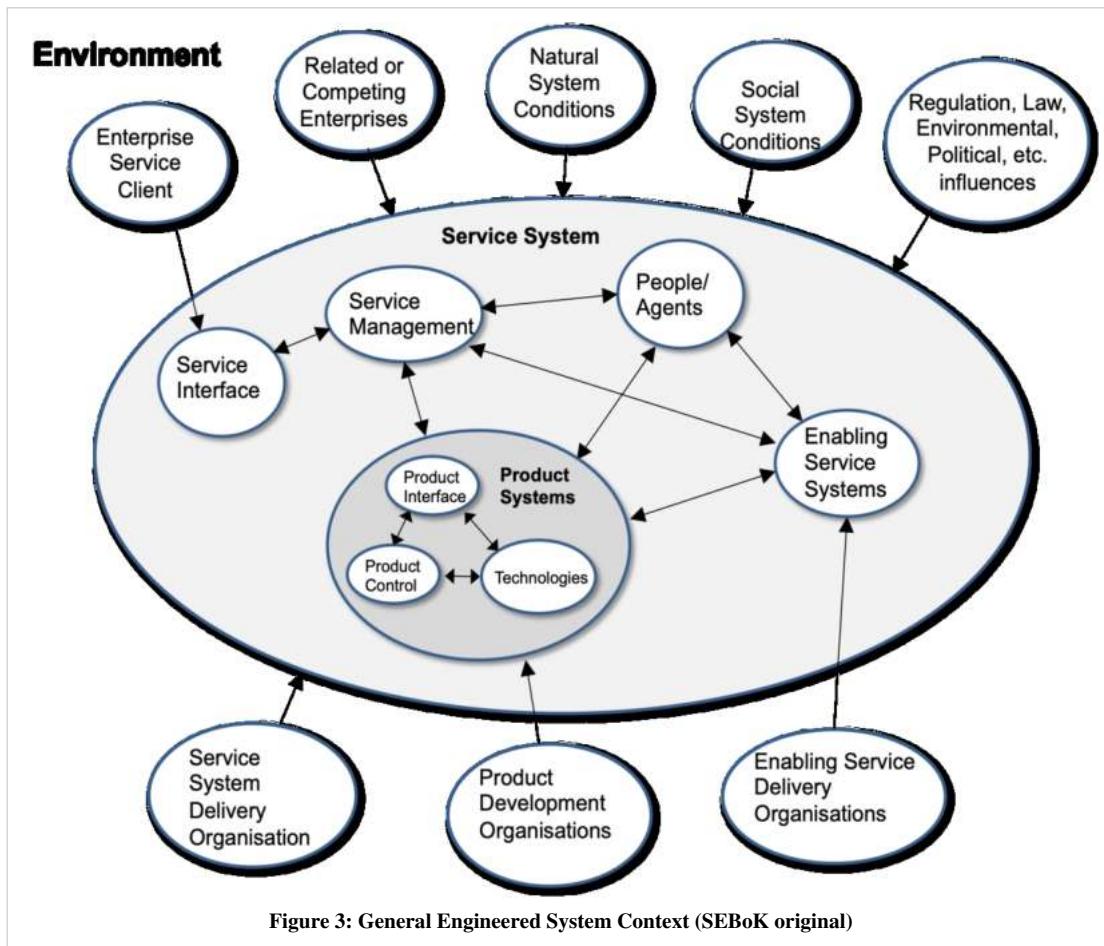
Figure 2: Life Cycle Terminology (Modified from Capability Engineering – an Analysis of Perspectives (modified from (Henshaw et al, 2011), used with permission))

In the above figure the capability needed to enable an enterprise to achieve its goals is delivered by the synchronized use of services. Those services are provided by a service system ,which is created, sustained and deployed by one or more organizations. A service system is composed of people, technology, information, and access to related services and other necessary resources. Some of these resources are provided by enabling services and the technological elements may be developed and supplied as product systems. An enterprise system describes a collection of related capabilities and associated services which together enable the achievement of the overall purpose of an enterprise as

a government, business or societal entity. Measurement and review of enterprise goals may define needs for change which require an organization to acquire or modify, and integrate the elements needed to evolve its service systems. The general terminology above is described briefly in the associated glossary definitions and expanded in related articles in Part 4: Applications of Systems Engineering.

## Engineered System Context

Engineered systems are developed as combinations of products and services within a life cycle. The figure below gives a general view of the full context for any potential application of a SE life cycle.



In this view a service system related directly to a capability need sets the overall boundary. This need establishes the problem situation or opportunity which encapsulates the starting point of any life cycle. Within this service system are the related services, products and people (or intelligent software agents) needed to fully deliver a solution to that need. The environment includes any people, organizations, rules or conditions which influence or constrain the service system or the things within it. The SoI for a particular SE life cycle may be defined at any level of this general context. While the focus of the context will vary for each life cycle it is important that some version of this general context is considered for all SE life cycles, to help maintain a holistic view of problem and solution. This is discussed in Types of Systems.

An engineered system context describes the context for a SoI so that the necessary understanding can be reached and the right systems engineering decisions can be made across the life of that SoI. This will require a number of different views of the context across a SE life cycle, both to identify all external influence on the SoI and to guide and constrain the systems engineering of the elements of the SoI. A full engineered systems context will include the problem situation from which a need for a SoI is identified, one or more socio technical solutions, the organizations needed to create and sustain new solutions and the operational environment within which those solutions must be

integrated, used and eventually disposed. The kinds of views which can be used to represent a SoI context over its life and how those views can be combined into models is discussed in the Representing Systems with Models KA in Part 2. The activities which use those models are described conceptually in the Systems Approach Applied to Engineered Systems KA in part 2 and related to more formal SE life cycle processes in Part 3.

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SEBoK v. 2.7, released 31 October 2022

# Systems Engineering Core Concepts

**Lead Author:** Gary Smith

Concepts are the fundamental building blocks for the construction of theories, principles, thoughts and beliefs. They play an important role in all aspects of cognition and communication.

## Purpose and Uses of the Systems Engineering Concept Model

The Systems Engineering Concept Model (SECM) captures the concepts that are referred to in the Systems Engineering Body of Knowledge. The SECM provides a means to evaluate the consistency and coverage across the broad set of Systems Engineering concepts, and can facilitate communication to better understand and evolve these concepts. Although the primary reference for the SECM was the SEBoK, the concepts were cross-checked against other industry references including ISO/IEC/IEEE 15288:2015 and the INCOSE Systems Engineering Handbook Version 4, enabling the SECM to be used to evaluate, understand, and evolve the concepts in these references as well. A small team developed the SECM to support the requirements for the next generation of the OMG Systems Modeling Language (OMG SysML™) to ensure SysML is consistent with the three leading industry standards.

## SECM Approach

A concept model, called the Concept Map, was developed by the original SEBoK team prior to release of the SEBoK v1.0 in 2012 and was used to support integration of the initial concepts across the SEBoK topic areas. The Concept Map included a concept model and a mapping of the concepts to the glossary terms and to the sections of the SEBoK.

The SECM captures the Systems Engineering concepts and their relationship that are contained in today's SEBoK. The small subset of UML constructs and symbols, shown in Figure 1, are used to represent the SECM model. The choice of notations is intended to balance simplicity, understandability, and precision.

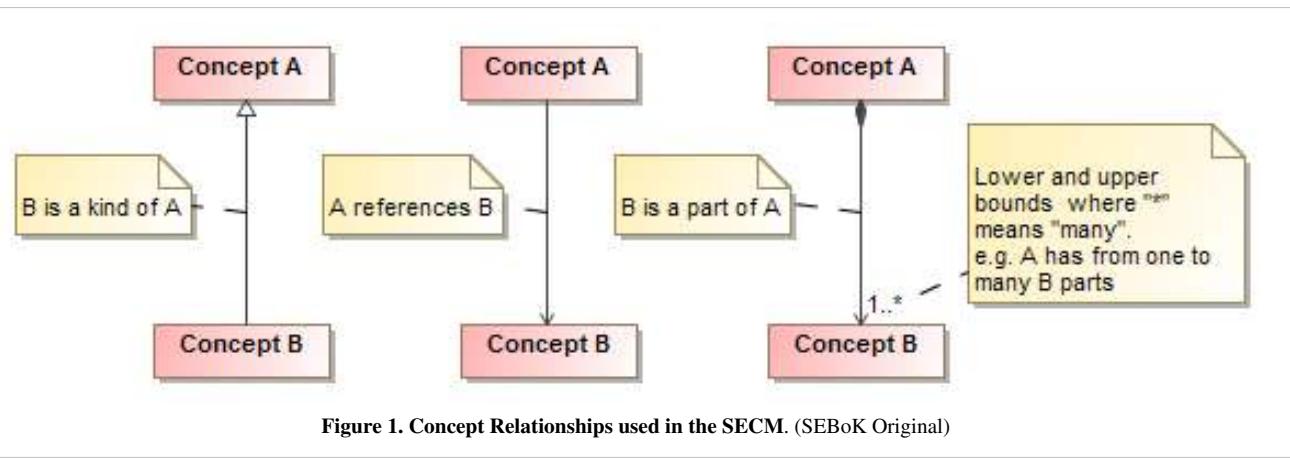
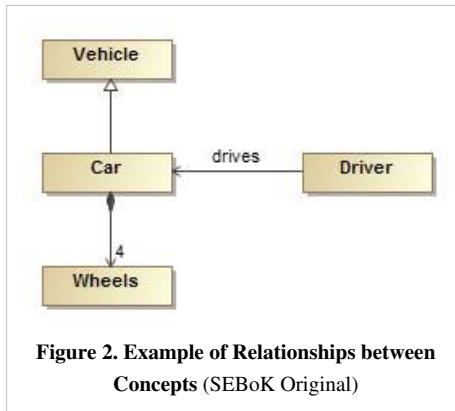


Figure 2 below shows a usage of these constructs and symbols when applied to a simple example of a Car. This diagram shows that a Car is kind of a Vehicle, and that the Driver drives the car (a reference relationship), and that there are four wheels that are parts of the Car.



The SECM is presented in a series of diagrams that generally represent concepts for particular knowledge areas and topics in the SEBoK, and also includes references to glossary terms in the SEBoK.

The approach used to capture the SECM content from the SEBoK is described in the following steps:

1. A topic within a SEBoK knowledge area is selected and the text is evaluated to identify key Systems Engineering concepts.
2. From the sentences containing the concepts, the subjects, i.e. the concepts, and the predicate, i.e. the relationship between concepts, are identified. The predicate is a statement that says something about the subject.
3. A search is conducted for this concept in other areas of the SEBoK, and the accompanying text is evaluated to further refine the concept and its relationships to other concepts.
4. The definition of the concept in the SEBoK glossary, if available, is evaluated.
5. The use and definition of this concept in the other two industry references is evaluated.
6. The concept and a derived definition from the above evaluation are added to the SECM.
7. The discovered relationships between the concepts are added to the model and to the relevant diagrams. The diagrams group related concepts that are often associated with a SEBoK Knowledge Area or Topic.
8. As new contributions are made to the SEBoK, this approach can be used to identify new concepts and relationships, and add them to the SECM.

## Introduction to Core Concepts

The SECM was developed independently of the BKCASE project to support the evolution of the SysML standard. These models can be used to identify inconsistencies and/or areas requiring additional coverage within the SEBoK to support future updates.

The Core Concept Diagram shown in Figure 3 provides a high-level view of some of the key concepts presented in the SEBoK. It should be emphasized that this figure is intended to be a representative interpretation of the current SEBoK without modifying or adding concepts, and no claim of the completeness of the SEBoK concepts is made. The colors correspond to logical groupings of concepts.

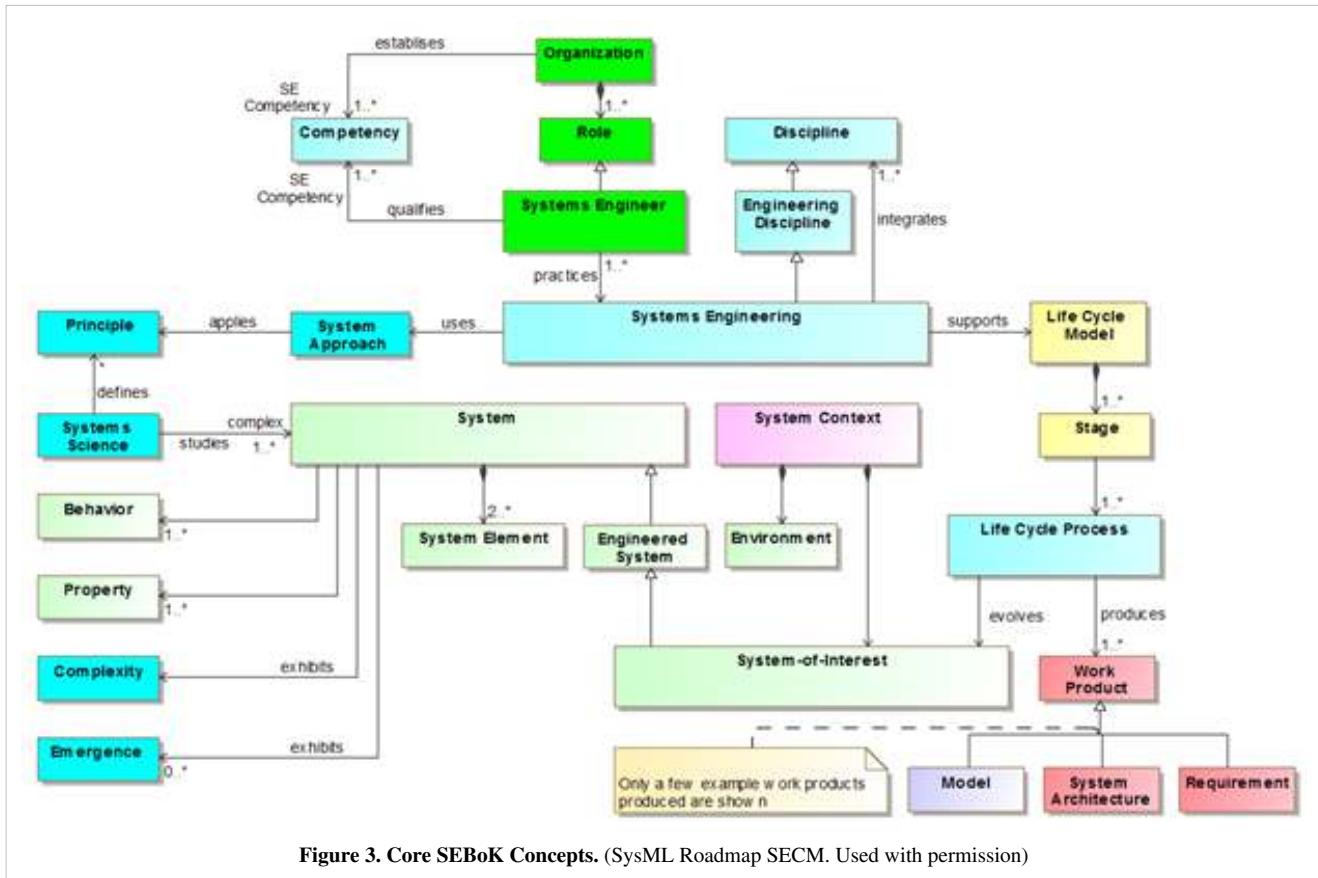


Figure 3. Core SEBoK Concepts. (SysML Roadmap SECM. Used with permission)

A brief description of the core concepts model is provided below.

A *Systems Engineer* is a role within an *Organization* that practices the *Engineering Discipline of Systems Engineering* (SE), and is qualified by a set of SE *Competencies*. *Systems Engineering* integrates other *Disciplines* to support the *Life Cycle Model*. The *Life Cycle Model* is composed of life cycle *Stages* that typically include conceptual, realization, production, support, utilization and retirement stages (not shown). Each life cycle *Stage* refers to *Life Cycle Processes* that produce various kinds of *Work Products*. The *Life Cycle Processes* evolve the *System-of-Interest* (SoI).

There are many kinds of systems, including natural systems, social systems, and technological systems (not shown). Systems that are created by and for people are referred to as *Engineered Systems*. An *Engineered System* whose life cycle is under consideration is referred to as a *System-of-Interest* (SoI).

A *System-of-Interest* is part of a broader *System Context*, which also includes an *Environment*. The *Environment* consists of other open systems (not shown) that can influence the SoI. Systems are composed of *System Elements* and have *Behavior* and *Properties*. Systems can exhibit *Emergence* and *Complexity*.

Systems Engineering uses a *System Approach* which applies established system *Principles*. *Systems Science* is an interdisciplinary field of science that studies complex systems and helps define and update the *Principles* that are applied by the *System Approach*, which is used by the discipline of Systems Engineering.

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### Additional References

None

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**SEBoK v. 2.7, released 31 October 2022**

# Systems Engineering Principles

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Every discipline has a set of underlying principles which fundamentally characterize it. Discipline knowledge and practice are either explicitly or implicitly derived from its principles. For example, one of the principles of physics is that the speed of light is constant. This specific principle has been validated countless times in practice and is broadly accepted as how the universe works. One common economic principle is that "Every choice has an opportunity cost". (University of Minnesota n.d.) Another is the principle of supply, which states that "The quantity of a good supplied rises as the market price rises and falls as the price falls". (Ehrbar 2007) Generally, disciplines do not have one authoritative complete set of principles. Different authors emphasize different aspects of a discipline in the principles they identify and explain. As fields mature, new principles emerge, and old principles may change. For example, Einstein's Theory of Relativity revealed that the principles underlying Newtonian physics were not absolutely true. Yet, they are still immensely valuable most of the time.

## Introduction

Systems engineering is a young discipline. The emergence of a set of systems engineering principles occurred over the past 30 years within the discipline. The development of these principles derives from many sources including heuristics Systems Engineering Heuristics (i.e., experience based), sociology, physical sciences, and mathematics. The INCOSE Systems Engineering Principles Action Team (SEPAT) reviewed various sources of systems principles and systems engineering principles identified in literature over this period. This article surveys this work and identifies a set of systems engineering principles based on this review.

Systems engineering principles are a form of guidance proposition which provide guidance in application of the systems engineering processes and a basis for the advancement of systems engineering. Systems engineering has many kinds of guidance propositions that can be classified by their sources, e.g. heuristics (derived from practical experience), conventions (derived from social agreements), values (derived from cultural perspectives), and models (based on theoretical mechanisms). Although these all support purposeful judgement or action in a context, they can vary greatly in scope, authority, and conferred capability. They can all be refined, and as they mature, they gain in their scope, authority, and capability, while the set becomes more compact. A key moment in their evolution occurs with gaining insight into why they work, at which point they become principles. Principles can have their origins associated in referring to them as "heuristic principles", "social principles", "cultural principles", and "scientific principles", although in practice it is usually sufficient to just refer to principles. Systems engineering principles are derived from principles of these various origins providing a diverse set of transcendent principles based on both practice and theory (Rousseau, Pennotti, & Brook 2022).

*System* principles differ from *systems engineering* principles differ in important ways (Watson 2018a). System principles address the behavior and properties of all kinds of systems, looking at the scientific basis for a system and characterizing this basis in a system context via specialized instances of a general set of system principles. SE principles are a specialized and contextualized instantiation of systems principles that address the approach to the realization, use, and retirement of systems. SE principles build on systems principles that are general for all kinds of systems (Rousseau, 2018a) and for all kinds of human activity systems (Senge 1990, Calvo-Amadio & Rousseau 2019). Hence, system principles guide the definition and application of SE processes – a strong systems engineer must be the master of both system principles and SE principles.

A number of people have proposed SE underlying principles, in part by building on system principles. Perhaps because of its youth, a consensus among the community is still developing on which SE principles are most central. Yet, it is valuable to examine a number of proposed SE principles as they offer insight into what some of the best

minds in the field think are fundamental to the discipline. In reviewing various published SE principles, a set of criteria emerged for valid SE principles. A principle:

- transcends a particular lifecycle model or phase
- transcends system types
- transcends a system context
- informs a world view on SE
- is not a “how to” statement
- is supported by literature or widely accepted by the community; i.e. has proven successful in practice across multiple organizations and multiple system types
- is focused, concise, and clearly worded

Thus, system type, the context in which the system is developed and operated, or a life cycle phase do not narrowly define systems engineering principles. Systems engineering principles transcend these system characteristics and inform a worldview of the discipline. Principles are not “how to” statements, which are embodied in the processes, but provide guidance in making decisions in applying the systems engineering processes. Principles should have a strong reference basis supported by literature, or widely accepted in practice (i.e. heuristic basis) (keeping in mind that this success must transcend the system characteristics mentioned above), or both. Principles are focused, concise, and clear in well-constructed principles statements.

Literature currently contains several good articles on system principles. These principles provide a basis for the functioning of a system and seek to group scientific axioms, laws, and principles into a set of system principles. The main themes seen in the literature on system principles include system governance, system theory axioms, and system pathologies with a focus on complex systems and system of systems. Complex System Governance provides a set of nine Metasystem functions “To provide control, communication, coordination, and integration of a complex system”. These functions provide a basis from which to understand the functions of complex systems and how to manage their acquisition (i.e., governance). (Keating et al. 2017a) These Metasystem functions also extend to systems of systems engineering (Keating et al. 2017b).

Advances in system theory produced a set of unified propositions stated as seven axioms “From which all other propositions in systems theory may be induced”. These seven axioms map to 30 scientific laws and principles (Adams et al. 2014). These axioms focus on the scientific basis of systems. Further work on these axioms provides an integration construct and a slightly different mapping to the underlying scientific laws and principles (Whitney et al. 2015). This work provides a strong integration and advancement in system theory, focusing on the principles behind the scientific basis of a system.

System science approaches also incorporate system theory leading to 10 concepts of systems theory and systems thinking (Sillitto 2014). These 10 concepts focus on system principles providing a definition of system characteristics. A further development in system sciences produced a list of 12 systems sciences principles that also focus on the characteristics of systems (Mobus and Kalton 2015). Rousseau formally derived a statement and derivation of three principles of systems (Rousseau 2018a). In addition, an architecture of systemology and typology of system principles provides a good classification of scientific principles spanning from system philosophy through system practice (Rousseau 2018b). This work led to a framework for understanding system science principles (Rousseau 2018c).

Other early work included a set of seven system science principles exhibited by systems (Hitchens 1992). Organizational principles were also defined as a set of 11 principles dealing with how to work successfully within an organization (Senge 1990). Principles of Systems Thinking describes a set of 20 system thinking principles captured and integrated from a variety of sources.

System pathologies is another interesting approach to understand “Circumstances that act to limit system performance or lessen system viability (continued existence) and as such they reduce the likelihood of a system meeting performance expectations”. These pathologies define diagnostics for understanding systems derived from a

set of 45 system laws and principles. (Katina et al. 2016)

INCOSE compiled an early list of principles. This list consisted of 8 principles and 61 sub-principles (Defoe 1993). These principles were important considerations in practice for the success of system developments and ultimately became the bases for SE processes. These principles are reflective of how SE works in general. Following this work, several early versions of SE principles were compiled leading up to one of the first documented sets of SE processes. Project Performance International (Halligan 2019) has a set of SE principles that follow along the model set by Defoe providing considerations in the practice of SE, focusing on specific aspects within life cycle phases.

The Korean Council on Systems Engineering provided a survey article of 8 works on SE principles spanning the time from Defoe's principles through 2004 (Han 2004), including an early version of the PPI principles. These 8 works showed evolution of systems engineering principles from practice focused to more transcendent focused principles. In 1997, the INCOSE Systems Engineering Principles Working Group (no longer active) generated a set of 8 principles building from the work of Defoe over the course of several years of discussions. These principles were a mixture of process basis, modeling guidelines, and an early world view of the SE focus. The Institute of Electrical Engineers (IEE 2000), now part of the Institution of Engineering and Technology (IET), produced a set of 12 principles that also provided some basis for the systems engineering processes which are no longer extant. Lawrence Berkley National Laboratory (LNBL 2001) produced a set of systems engineering principles that embody the concepts captured by the INCOSE SE processes. In England, the Defence Engineering Group (DEG 2002) produced an SE Handbook with a brief set of principles guiding their processes and capturing some aspects of systems principles. Iowa State University is reported to have produced an SE Student Handbook containing a short list of SE heuristic phrases stated as principles. The KCOSE paper also referenced a lecture on SE principles from a course at the University of Southern California (USC) (Jackson, 2003). This lecture defined a principle as "A statement or generalization of a truth reflected in the systems engineering process", showing the focus on processes in the early SE principle development.

Some early forms of SE principles were also contained in textbooks on complex system development. (Adamsen II 2000) This set of principles assume a hierarchical system representation (complex systems have since shown to be more networks than hierarchies) and include statements on SE processes. Finally, system architecting books also included some early SE heuristics (Maier and Rechtin 2002). These heuristics read as sayings about some aspect of systems engineering practice.

The KCOSE Technical Board reviewed these 8 sources and voted that 8 of the principles from these sources as a set of SE principles, leading to an early form of transcendent principles consistent with the criteria defined above. These sources all show the early evolution stages of the SE principles as people looked at both formal and informal (i.e., course notes and student handbooks) sources to try to understand SE principles. The definition of the SE processes in works such as the INCOSE Systems Engineering Handbook fulfilled some of the objectives of these early works on SE principles and consolidated a lot of the work in this area. Recently, the need for more transcendent SE principles has been recognized, as a guide for applying the processes, which is the focus of current work by the SEPAT.

Over the last several years, a fresh look at the set of SE principles has emerged from the SEPAT. (Watson, et al. 2019) (INCOSE 2022) Its effort is based on SE postulates, principles, and hypotheses from the NASA Systems Engineering Research Consortium. This consortium followed the approach of Ludwig Boltzmann in defining his postulates on gas distribution laws. Boltzmann's work is an early example of how to characterize the interactions of complex systems. A postulate is something assumed without proof to be true, real, or necessary. (Webster 1988) This led to the articulation of a set of postulates and hypotheses underlying SE which were expanded into a proposed set of SE principles. The underlying SE postulates and hypotheses matured over the course of 4 years (Watson et al. 2014; Watson et al. 2015; Watson & Farrington 2016). As the postulates matured so did the SE principles, providing more specifics in the application of SE, and the proof of a hypothesis becoming a principle (Watson et al. 2018; Watson 2018b). The final version of the principles is contained in a NASA Technical Publication on theory of systems engineering (Watson, et. al. 2020a) and a NASA Technical Publication on application of systems

engineering approaches in practice. (Watson, et. al. 2020b)

The SEPAT developed 15 principles and 3 hypotheses, some expanded by subprinciples, described in INCOSE (2022). These were peer reviewed by several professional societies and represent the firsts steps towards consensus on systems engineering principles. These principles are:

1. SE in application is specific to stakeholder needs, solution space, resulting system solution(s), and context throughout the system life cycle.
2. SE has a holistic system view that includes the system elements and the interactions amongst themselves, the enabling systems, and the system environment.
3. SE influences and is influenced by internal and external resources, and political, economic, social, technological, environmental, and legal factors.
4. Both policy and law must be properly understood to not overly constrain or under-constrain the system implementation.
5. The real system is the perfect representation of the system. (models are only representations of real systems)
6. A focus of SE is a progressively deeper understanding of the interactions, sensitivities, and behaviors of the system, stakeholder needs, and its operational environment.
7. Systems Engineering addresses changing stakeholder needs a over the system life cycle.
8. SE addresses stakeholder needs, taking into consideration budget, schedule, and technical needs, along with other expectations and constraints.
9. SE decisions are made under uncertainty accounting for risk.
10. Decision quality depends on knowledge of the system, enabling system(s), and interoperating system(s) present in the decision-making process.
11. SE spans the entire system life cycle.
12. Complex systems are engineered by complex organizations.
13. SE integrates engineering and scientific disciplines in an effective manner.
14. SE is responsible for managing the discipline interactions within the organization.
15. SE is based on a middle range set of theories.

The SEPAT's recent articulation of SE principles elaborates on points made earlier by Defoe and emphasizes additional aspects of current SE practices, but there is nothing inconsistent between the two sets.

Principles of SE such as those proposed by Defoe and more recently articulated by the SEPAT are domain independent; i.e. they apply independent of the type of system being built, whether it is for transportation, healthcare, communication, finance, or any other business or technical domain. As they are applied, these principles can take more specialized forms, and/or can be complemented by other context-specific principles. Indeed, general SE principles such as these have been successfully applied in virtually every domain.

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# Systems Engineering Heuristics

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**Author:** Peter Brook

Heuristics provide a way for an established profession to pass on its accumulated wisdom. This allows practitioners and others interested in how things are done to gain insights from what has been found to work well in the past and to apply the lessons learned. Heuristics will usually take the form of short expressions in natural language. These can be memorable phrases encapsulating rules of thumb, shortcuts or "words to the wise", giving general guidelines on professional conduct or rules, advice, or guidelines on how to act under specific circumstances. Common heuristics do not summarize all there is to know, yet they can act as useful entry points for learning more. This article overviews heuristics in general as well as some of those specifically supporting Systems Engineering practice.

## Overview

Heuristics have always played an important part in the history of engineering and shaped its progress, especially before science developed to the point when it could also assist engineers. Systems Engineering is still at a stage at which there is no sufficiently reliable scientific basis for many of the systems being built, which has triggered a renewed interest in heuristics to fill the gap. This is especially true as the practice of Systems Engineering is extended to provide solutions to inherently complex, unbounded, ill-structured, or "wicked" problems (Churchman 1967).

Using heuristics does not guarantee success under all circumstances, but usefulness of a heuristic can be maximized if the known extent of its applicability is made clear. At their best, heuristics can act as aids to decision making, value judgements, and assessments.

Heuristics have the potential to be useful in a number of ways:

- reduce the amount of thinking (or computation) needed to make a good decision or a choice
- help in finding an acceptable solution to a problem
- identify the most important factors to focus on while addressing a complex problem
- improve the quality of decisions by drawing on best practices

- avoid repeating avoidable mistakes
- act as an entry point to wider knowledge of what has been found to work

## Historical Background

Engineering first emerged as a series of skills acquired while transforming the ancient world, principally through buildings, cities, infrastructure, and machines of war. Since then, mankind has sought to codify the knowledge of "how to." Doing so allows each generation to learn from its predecessors, enabling more complex structures to be built with increasing confidence while avoiding repeated real-world failures. Setting out the aims for engineering in the 1st Century BCE, Vitruvius proposed a set of enduring principles: Strength, Utility and Beauty. He provided many examples of their applications to the fields of engineering of the time.

Vitruvius' writings were rediscovered in the Middle Ages, forming the basis of the twin professions of architecture and engineering. Early cathedral builders encapsulated their knowledge in a small number of rules of thumb, such as: "maintain a low centre of gravity," "put 80% of the mass in the pillars," and "observe empirical ratios between cross-section and span for cross-members.". Designs were conservative, with large margins, the boundaries of which were largely unknown. Numerous excellent structures resulted, many of which have endured to this day. When the design margins were exceeded, for example out of a desire to build higher and more impressive structures, a high price could be paid, with the collapse of a roof, a tower, or even a whole building. From such failures, new empirical rules emerged. Much of this took place before the science behind the strength of materials or building secure foundations was understood. Only in recent times has computer simulation revealed the contribution towards certain failures played by dynamic effects, such as those of wind shear on tall structures.

Since then, engineering and applicable sciences have co-evolved: science providing the ability to predict and explain performance of engineered artifacts with greater assurance, and engineering developing new and more complex systems, requiring new scientific explanations and driving research agendas. In the modern era, complex and adaptive systems are being built which challenge conventional engineering sciences, with the builders turning to social and behavioral sciences, management sciences, and increasingly systems science to deal with some of the new forms of complexity involved and to guide the profession accordingly.

Koen (1985), went further, and argued that the whole of engineering was essentially heuristic in nature, since engineers could never know everything about whether what they built would meet their original intent, and how it would interact with an uncertain world. According to Koen, we must do what we can to tie these things down but make allowances for what we cannot know. He defined the engineering method as: *the strategy for causing the best change in poorly understood or uncertain situation within available resources*. He further claimed that heuristics are the only way of guiding our actions in these circumstances, and that the set of all heuristics agreed or used by a profession at any one time represents its 'state of the art'. He also put forward a number of universal heuristic principles for the conduct of engineering, covering areas such as: rules of thumb, factors of safety, engineers' attitude towards their work, managing risk and allocating resources. Although much of what Koen (a chemical engineer by profession) had to say remains relevant to systems engineers today, there is renewed optimism that scientific SE principles can be uncovered to underpin the discipline, just as they have done through the ages. (see Systems Engineering Principles)

## Modern Interest

Renewed interest in the application of heuristics to the field of Systems Engineering stems from the seminal work of Rechtin and Maier (2009). Their book remains the best single repository of such knowledge, although efforts are now under way within INCOSE to update them for the 21st Century. Their motivation was to provide guidance for the emerging role of system architect as the person or team responsible for coordinating engineering effort towards devising solutions to complex problems and overseeing their implementation. Rechtin and Maier observed that it was in many cases better to apply "rules of thumb" than to attempt detailed analysis, especially when this was

precluded by the number of variables involved, the complexity of the interactions between stakeholders, and the internal dynamics of system solutions and the organizations responsible for their realization.

An argument in favor of the wider use of heuristics was also made by Mervyn King (2016), who was Governor of the Bank of England during the 2008 global financial crash. Looking back, he said "it is better to be roughly right than precisely wrong": banks which observed the old bankers' rule of maintaining capital assets equal to 70% of their loan book survived, while those who relied on complex (and flawed) mathematical models of derivatives failed. He has become a powerful advocate for the use of heuristics alongside formal economics to allow bankers and others to deal with the uncertainties of global financial affairs in the modern interconnected world.

Further backing for the contemporary use of heuristics comes from Simon (1957), who coined the term "satisficing" for a situation in which people seek solutions, or accept choices or judgments, that are "good enough" for their purposes, regardless of whether they can be further optimized by precise analysis. He made the point that some heuristics were scientifically derived from experiment or systematic collection and analysis of real-world data, while others were just rules of thumb based on real-world observation or experience.

This idea has been further developed over a number of years by Gigerenzer and co-workers (for example, Gigerenzer and Selten (2001)), who have conducted research on heuristics which assist in making rapid decisions in areas of limited predictability, when probability theory is no longer helpful. They have developed a series of what they call "fast and frugal" rules of general applicability which have outperformed more conventional analysis in such areas as medical diagnosis and performance science (Raab and Gigerenzer 2015). The application to Systems Engineering has so far been little explored.

## Practical Use

Experience of using heuristics suggests they should be memorable and can be most effective when phrased informally. The best examples are more than just literal expressions; they should resonate with the readers and suggest additional meaning, encouraging them to find out more about why and when to use them.

There is an underlying issue here: if you haven't experienced the situation for which the heuristic applies, it may mean little to you, and the inherent value may well be lost; but if you already have relevant experience, you may find it obvious. The use of heuristics is therefore linked to how we learn. In a world where experience is vital, but the number of opportunities to learn on the job is limited by the number of big projects one systems engineer works on in a lifetime, the learning process has to be accelerated. Heuristics can help here if linked to other knowledge sources and accessible at the right points in a career, as part of life-long learning.

A repository of heuristics can also act as a knowledge base in its own right, especially if other media, such as video clips or training materials, or even interactive media are added to encourage discussion and feedback. Such a repository might also link to other established knowledge sources or company websites. It can be organized to reflect accepted areas of practice or in a data base tagged with metadata to allow flexible retrieval. Maier and Rechtin (2009) suggested that a repository might also act as a "reading room," allowing users to move freely among associated subjects as if they were following their curiosity in a library or a bookshop. Such a repository could also allow users to assemble a set of heuristics most meaningful to them, relevant to their personal interest or professional sphere of activity.

A further possible use of heuristics was demonstrated by Beasley, et al (2014), who used a selection in a survey to uncover how key aspects of Systems Engineering were addressed within their organization. They asked their staff to mark the heuristics according to their importance to the business and whether they were observed in practice. Analysis of the answers allowed attention to be given to areas requiring improvement.

Broadly speaking, interest in heuristics now centers on their use in two main contexts: first, encapsulating engineering knowledge in an accessible form, where the practice is widely accepted and the underlying science understood; and second, overcoming the limitations of more analytical approaches, where the science is still of

limited use. In either case, a good set of heuristics requires active maintenance to reflect the evolution of practice and our constantly developing understanding of what works best. A well-curated collection of heuristics allows practitioners to retain and represent the accumulated practical wisdom of the community of the Systems Engineering profession.

This article finishes with a few simple examples applicable to early stages, with some commentary to suggest their hidden meanings and where they might lead.

- ***Don't assume that the original statement of the problem is necessarily the best, or even the right one.*** The same point is repeated in many heuristics, such as: "The hidden assumptions are likely to be the most damaging," and "The customer may know what he wants, but not what he needs." All this has to be handled with tact and respect for the user, but experience shows that failure to reach mutual understanding early on is a fundamental cause of failure, and strong relationships forged in the course of doing such work can pay off when solving more difficult issues which might arise later on.
- ***In the early stages of a project, unknowns are a bigger issue than known problems.*** Sometimes what is being asked for is obscure, and the whole context of the systems engineering remit difficult to know, especially in areas of high uncertainty. The starting question may be less 'What are the Requirements for this?' and more 'What's going on here?'. (Kay and King 2020) Unpeeling the layers of meaning behind the second question may require methods drawn from systems thinking – looking for root causes, for example – and can take a project into unexpected areas. Again, soft skills such as empathy and intuition may be more important than those of conventional engineering.
- ***Model before build, wherever possible.*** This heuristic draws one in to the deeper question of the general use and limitation of models as a way that systems engineering tries to predict desirable and undesirable emergent system properties before committing to build it. A related heuristic states "When you test a model of a system in the real world, you validate the model not the system," and a Theorem from System Science states "The only complete model of the system is the system itself." One heuristic leads to another, leading to reflection on how systems are built in the highly uncertain world of hyperconnected IT systems, where one might postulate that "The only complete model of the system in its environment is the system in its environment," which leads into using evolutionary lifecycles, rapid deployment of prototypes, agile life cycles, and so on. The original heuristic opens a door into 21st Century systems.
- ***Most of the serious mistakes are made early on.*** This heuristic summarizes much of what has just been said. Just to show that much what is believed now might have been known for some time, here is a quote from Plato: "The beginning is the most important part of the work." (Plato 375 BCE).

Finally a heuristic about heuristics – where they come from and what they are for – is taken from a fortune cookie and provides a summary: "The work will tell you how to do it." (Wilczek 2015) The serious point being made here – apart from showing that folk wisdom can have a part to play – is that the most important lessons about how to do Systems Engineering ultimately derive from the collective experience of the community of systems engineers as they undertake their profession. Even the science used to support heuristics must prove itself in practical situations.

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# Knowledge Area: The Nature of Systems

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## The Nature of Systems

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**Lead Authors:** Randall Anway, Paul McGahey, Curt McNamara, **Contributing Authors:** Gary Smith

This article introduces The Nature of Systems knowledge area (KA). Systems cannot be separated from their environment and human conceptions of system are contingent upon relations within specific (constrained) situations. Whilst the previous sections are concerned with the Introduction to System Fundamentals, or "The Engineering of Useful Artifacts" (Mobus, Kalton 2014); This section aims to illustrate the nature of systems, a compact description of essential themes relevant to a 'systems science' approach to this understanding, and to recognizing interdependencies between systems science and practices of systems engineering.

### Topics

This KA contains the following topics:

- Types of Systems
- Cycles and the Cyclic Nature of Systems

Additional articles illustrating general concepts, theories and principles universal to all systems shall be added over time

### System World Views

While a broad spectrum of perspectives on concrete systems derives from practices of Systems Engineering (Sillitto, et al 2018) and other systems-centered disciplines, the discipline of Systems Science seeks abstract, generalized, and universally applicable concepts, principles, and theories of systems. The overarching concept 'system' applies to any physical or conceptual subject of interest - including abstract domains of knowledge.

A system is a set of interrelated components. The components are variously linked to one another, and the system itself is connected to its surroundings. All systems have a boundary. In the case of designed or physical systems, the boundary is clear. In social and metaphysical systems, the boundary is typically more dynamic, less obvious, and more open to interpretation. In other words, observers are likely to perceive the boundary of a social or metaphysical system differently. According to Bogdanov (Bogdanov 1996), a system (or complex) is not simply a collection, aggregate (or vector) of components and their relationships. A system is a process, or continuous flux of independent granular processes, concatenated in self-triggering circles of buildup and degradation. Bogdanov's system cannot be separated from its environment, because it does not simply exist or interact with its environment: it is structurally coupled with its environment and thus evolves its own environment while co-evolving with it.

A common observation about systems is that they display properties which are not apparent from the properties of the components themselves. This is sometimes referred to as synergy, or as emergence.

While a system is often perceived as a structure, the unique properties come from the relations between the components within this structure. For example, trees provide shade from the sun and so can function as a refuge from heat. In the practice of systems engineering, a system is often identified with its functions. Designed systems exhibit one or more functions. Functions are useful properties in the context of a higher level system. The functions being an emergent property of the desired system's behavior, and the system's behavior enabled by the structure of the system.

Systems can be both 'physical' and / or 'conceptual' things. Conceptual things, mental processes, often correlate with physical causes (eg, events observed in brains) and may be considered to 'constitute' a separate class of relational processes. If 'conceptual' things can be grounded in relational processes correlated with physical causes, it stands to reason that communicating meaningfully about physical causes at various spatial and temporal scales provides a theoretical basis for including conceptual and physical things in the domain of 'concrete' systems.

In this narrow sense it may be said that all subjects of interest take part in a 'unitary' system of 'concrete' (physical) nature. That is, as an irreducible physical unity, the universe is composed of conceptual and physical things existing in interlocking and subsuming processes of interrelation that may be described in subjectively relatable terms, in other words, 'understood'.

This 'systemness' (existing understandably in relational processes) is a general characteristic of all things. System Science provides useful frames of reference for meaningful approaches to both realms generally (eg, physical and social).

## Definitions and Problems of terminology

In this overview article we recognize the (apparent) huge body of literature (a google scholar search on "nature of systems" returns 13,000 results) on the nature of systems. While a few basic definitions of systems (Sillitto, et al. 2018) are widely accepted in practice, significant differences in specialized usage exist.

Thus, here we try to use commonly understood terms meaningful to both both practitioners and scientists. While potentially useful to consider this diversity in terms of a more broadly organized taxonomy, it's helpful to appreciate that terminology is unlikely to be permanently 'fixed' or fully normalized; this contingent relation with human expression is a feature of the universe and dynamic interactions within it.

The dual nature of such contingency is notably paradoxical. On one hand, incommensurate terminology can present problems. On the other: opportunity. Together, in the open-ended relation between 'problem' and 'opportunity', interesting things can occur.

The available knowledge about systems is very rich indeed but it is yet chaotic (the system of system knowledge often yields more questions than answers) and the domain of system science relates variously with many knowledge domains (specializations) in the broader culture. One of the goals of system science, therefore, is to purposively help reconcile such 'geographical' concerns - literally and figuratively. This leads to validating questions of valuation and realization for systems knowledge and systems science pursuits.

## Value of systems knowledge

The nature of systems, as one of the most powerful and widely used paradigmatic conceptions is a common thread across human existence. Generally, systems in the universe do not embody human agency - humans and system scientists do. The validation, legitimization, and valuation of systems knowledge generally occurs in its relation between human situations. More specifically, system science in the service of systems engineering (or vice versa) recognizes and is capable of anticipating and delivering value for system stakeholders - who are typically situated in systems of other derivation (cultures that do not necessarily share a common system language).

Systems science (as an activity system) adds value by organizing and tailoring concepts, theories, principles and assets which render useful expressions of fact, concern, effect or degree pertaining to forms, functions, and fitness of systems in the landscape of systems competencies.

These patterns of expression help stakeholders anticipate complex dynamic situations and compose descriptions and sequences of action (eg, plans) in multiple relatable - and reliable - ways. System scientists must communicate with a range of stakeholders in order for systems to be engineered to operate predictably well. In turn, stakeholders must be conversant in the 'local' language(s) of their systemic interest; often this takes priority and the value of system science is in expressing knowledge in terms stakeholders understand rather than the other way around.

Clearly, the nature of systems can be elusive and pursuit of systems knowledge a great challenge. Future articles in this KA are continually being developed to complement (and also improve upon) existing articles. The concepts in the titles of the articles can always be improved upon but the essence of the content should be consistent with this compact description, as it captures foundational themes in our understanding of the relation between human minds and the universe we are present to.

## A Set of Systems Concerns

One of the aims of this section is to illustrate the wide array of concerns in systems science literature. Looking across the literature, there is a notable variety of useful categorical mappings and taxonomies. Here we introduce ten representative concerns of systems science; the list is intended to be illustrative rather than definitive.

1. Identity: Bounded networks of relations among simplified elements constitute a nominal and semantically meaningful unit, pragmatically speaking. This 'systemness' is a general characteristic of all things and can often be represented (expressed) as a non-random (informative) network of symbols.
2. Processes: layers, levels, and dimensions of dynamically *changing structure and function*.
3. Networks of relations between elements: connectivity, structure, and holistic properties such as resilience, criticality, efficiency.
4. Dynamics on multiple time scales: states and sequences of change such as growth, collapse, cycling, pattern-formation, criticality.
5. Complexity : variability in number of elements and dimensions of element relations including additivity, connectivity, and inter-adaptability (contingency, dependency).
6. Evolution: progression of qualitative, quantitative, and/or semantic change over time.
7. Information: matter and energy 'encoded' within network(s) of relation or exchange between senders and receivers.
8. Governance: modes of mutual regulation and adaptation between elements, typically involving synergetic co-operation or competitive interference.
9. Contingency: degrees of freedom within a network of constraints which the system is subject to.
10. Methods of interaction. Profoundly, every system has a kind of signature; a unique way of showing up to human cognition, through which it reveals or exchanges information and yields knowledge about its state and identity; Practically, this involves (human) stakeholders and their respective processes of attention. In regard to system science and engineering - attention to specific exchanges of energies *through* bounded interfaces (eg, scientific instrumentation; sensing/measuring systems), rather than narrowing-in on surface experience *of* limitations and boundaries. In other words, system science is a process of open ended learning.

## Gaining a 'feel' for systems

Systems are an ordinary occurrence; we are immersed in systems. It is a challenge, however to discover the unity in the immense diversity of ways systems manifest in experience. Some 'hard won' ways of thinking about systems seem to have been more consequential than others, however. Principles of electromagnetism and thermodynamics have formed much of the basis for industrialized systems, while principles of cybernetics and networks have been foundational for information systems. In mathematics, iterated function systems and complexity science have provided insights into the ontogeny of complex organic forms. An understanding of living systems seems to be served by a complex amalgam of these fundamental insights.

This is by no means a complete landscape of systems concepts, rather it may help to scaffold useful entry points into diverse inspirations and instrumental concepts for effective and innovative professional practice in systems engineering.

## Value of a Systems Science Foundation for Systems Engineers

The urgency of understanding common foundations of systems for practicing SE's can be summarized in three points:

1. Civilization depends upon highly evolved physical and conceptual systems and recent evidence from planetary science <https://www.ipcc.ch/reports><sup>[1]</sup> indicates that planetary support systems are changing significantly and relatively quickly. Civilization is an ongoing co-evolutionary System of Systems with Humankind's Planetary Support system, and recent evidence indicates that the rate of change is increasing; Civilization depends upon highly evolved planetary systems and recent evidence from planetary science (limits to growth update) indicates that these are changing significantly and relatively quickly;
2. The practice of Systems Engineering is embedded in and co-evolves with the proliferation of socio-technical systems that constitute modern civilization;
3. Designing, integrating, and evolving socio-technical systems becomes more complex and challenging as new technical specialists become involved in Systems Engineering processes. For instance, adding environmental, economic, social, and governance specialties increases workload for the key Systems Engineering role of System Integrator and Communicator.

The considerable value of Systems Science could be demonstrated in helping address these key Systems Engineering challenges by:

1. Framing common-view characteristics of all systems relevant to a given System of Interest and the environment of interacting System of Systems's so that appropriate tools, techniques, and processes can be employed and/or developed for efficiently working across the system design and development community;
2. Facilitating effective cooperation between diverse technical specialists bringing unique concepts, models, and vocabularies and promoting inclusive equity for enhanced project/program/system success: it's essential for all stakeholders to appreciate their specific situational role(s) in systems of interest co-evolution with interacting systems of systems, to more effectively engage in realizing critical shared objectives.

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None.

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# Types of Systems

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This article forms part of The Nature of Systems knowledge area (KA). It provides various perspectives on system classifications and types of systems, expanded from the definitions presented in What is a System?.

The modern world has numerous kinds of systems that influence daily life. Some examples include transport systems; solar systems; telephone systems; the Dewey Decimal System; weapons systems; ecological systems; space systems; etc. Indeed, it seems there is almost no end to the use of the word “system” in today’s society.

This article considers the different classification systems which some systems science authors have proposed in an attempt to extract some general principles from these multiple occurrences. These classification schemes look at either the kinds of elements from which the system is composed or its reason for existing.

The idea of an engineered system is expanded. Four specific types of engineered system context are generally recognized in systems engineering: product system, service system, enterprise system and system of systems.

## System Classification

A taxonomy is "a classification into ordered categories" (Dictionary.com 2011). Taxonomies are useful ways of organizing large numbers of individual items so their similarities and differences are apparent. No single standard systems taxonomy exists, although several attempts have been made to produce a useful classification taxonomy, e.g. (Bertalanffy 1968) and (Miller 1986).

Kenneth Boulding (Boulding 1956), one of the founding fathers of general system theory, developed a systems classification which has been the starting point for much of the subsequent work. He classifies systems into nine types:

1. Structures (Bridges)
2. Clock works (Solar system)
3. Controls (Thermostat)
4. Open (Biological cells)
5. Lower organisms (Plants)
6. Animals (Birds)
7. Man (Humans)
8. Social (Families)
9. Transcendental (God)

These approaches also highlight some of the subsequent issues with these kinds of classification. Boulding implies that physical structures are closed and natural while social ones are open. However, a bridge can only be understood by considering how it reacts to traffic crossing it, and it must be sustained or repaired over time (Hitchins 2007).

Boulding also separates humans from animals, which would not fit into more modern thinking.

Peter Checkland (Checkland 1999, 111) divides systems into five classes: natural systems, designed physical systems, designed abstract systems, human activity systems and transcendental systems. The first two classes are self-explanatory.

- **Designed abstract systems** – These systems do not contain any physical artifacts but are designed by humans to serve some explanatory purpose.
- **Human activity systems** – These systems are observable in the world of innumerable sets of human activities that are more or less consciously ordered in wholes as a result of some underlying purpose or mission. At one extreme is a system consisting of a human wielding a hammer. At the other extreme lies international political systems.
- **Transcendental systems** – These are systems that go beyond the aforementioned four systems classes, and are considered to be systems beyond knowledge.

Checkland refers to these five systems as comprising a “systems map of the universe”. Other, similar categorizations of system types can be found in (Aslaksen 1996), (Blanchard 2005) and (Giachetti 2009).

Magee and de Weck (Magee and de Weck 2004) provide a comprehensive overview of sources on system classification such as (Maier and Rechtin 2009), (Paul 1998) and (Wasson 2006). They cover some methods for classifying natural systems, but their primary emphasis and value to the practice of systems engineer is in their classification method for human-designed, or man-made, systems. They examine many possible methods that include: degree of complexity, branch of the economy that produced the system, realm of existence (physical or in thought), boundary, origin, time dependence, system states, human involvement / system control, human wants, ownership and functional type. They conclude by proposing a functional classification method that sorts systems by their process (transform, transport, store, exchange, or control), and by the entity on which they operate (matter, energy, information and value).

## Types of Engineered System

The figure below is a general view of the context for any potential application of an engineered system life cycle.

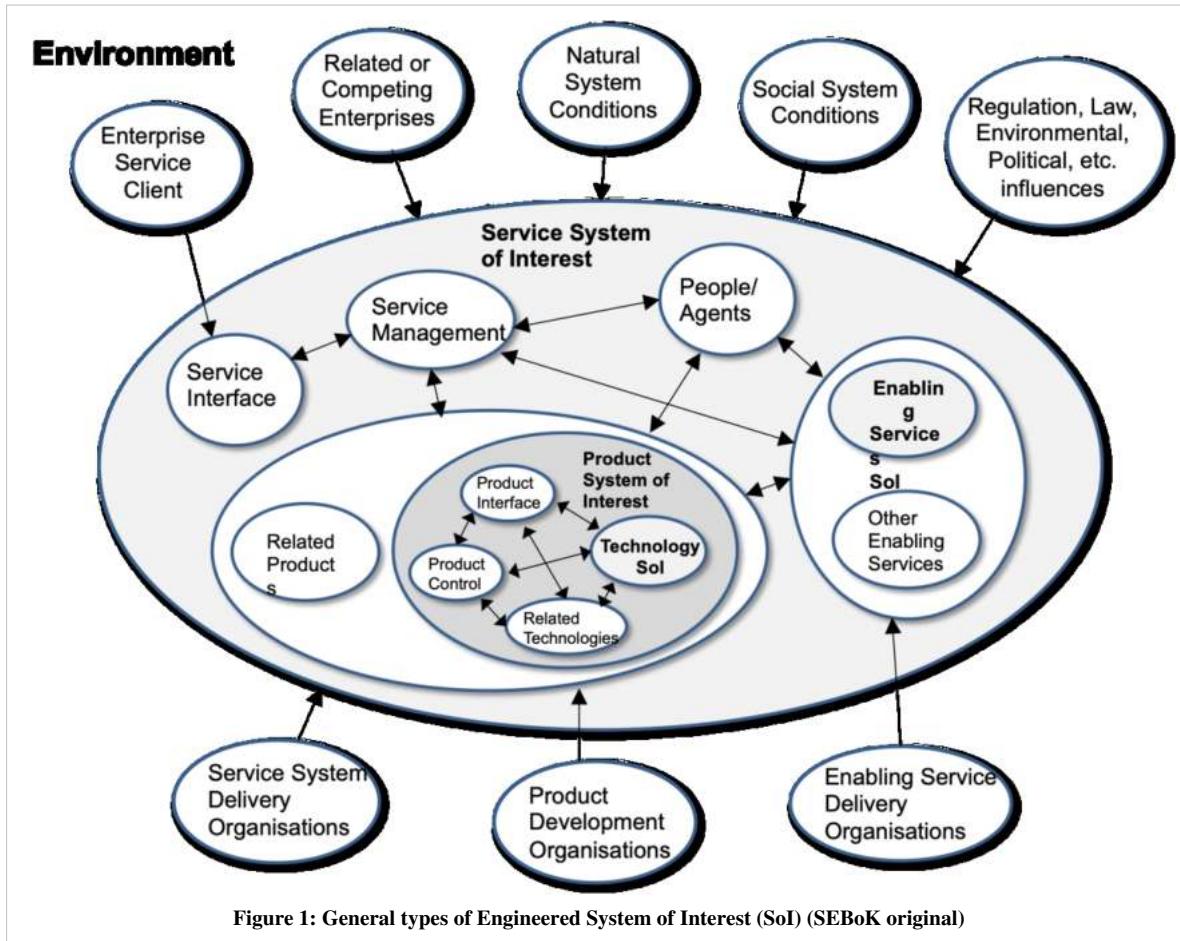


Figure 1 shows four general cases of system of interest (SoI) which might be the focus of a life cycle.

- A technology focused product system SoI embedded within one or more integrated products,
- An integrated multi-technology product system SoI used directly to help provide a service,
- An enabling service system SoI supporting multiple service systems
- A service system SoI created and sustained to directly deliver capability.

## Products and Product Systems

The word product is defined as "a thing produced by labor or effort; or anything produced" (Oxford English Dictionary). In a commercial sense a product is anything which is acquired, owned and sustained by an organization and used by an enterprise (hardware, software, information, personnel, etc.).

A product system is an engineered system in which the focus of the life cycle is to develop and deliver products to an acquirer for internal or external use to directly support the delivery of services needed by that acquirer.

A product systems life cycle context will describe a technology focused SoI plus the related products, people and services with which the SoI is required to interact. Note, the people associated with a product system over its life (e.g., operators, maintainers, producers, etc.) sit outside of the product SoI, since they are not delivered as part of the product. However, to develop a successful product, it is essential to fully understand its human interfaces and influences as part of its context. The product context will also define the service systems within which it will be deployed to help provide the necessary capability to the acquiring enterprise.

In a product life cycle, this wider context defines the fixed and agreed relationships within which the SoI must operate, and the environmental influences within which the life cycle must be delivered. This gives the product developer the freedom to make solution choices within that context and to ensure these choices fit into and do not disrupt the wider context.

A product life cycle may need to recommend changes to enabling services such as recruitment and training of people, or other infrastructure upgrades. Appropriate mechanisms for the implementation of these changes must be part of the agreement between acquirer and supplier and be integrated into the product life cycle. A product life cycle may also suggest changes in the wider context which would enhance the product's ownership or use, but those changes need to be negotiated and agreed with the relevant owners of the systems they relate to before they can be added to the life cycle outputs.

A more detailed discussion of the system theory associated with product systems can be found in History of Systems Science and an expansion of the application of systems engineering to service systems in the Product Systems Engineering KA in Part 4.

## Services and Service Systems

A service can be simply defined as an act of help or assistance, or as any outcome required by one or more users which can be defined in terms of outcomes and quality of service without detail to how it is provided (e.g., transport, communications, protection, data processing, etc.). Services are processes, performances, or experiences that one person or organization does for the benefit of another, such as custom tailoring a suit; cooking a dinner to order; driving a limousine; mounting a legal defense; setting a broken bone; teaching a class; or running a business's information technology infrastructure and applications. In all cases, service involves deployment of knowledge and skills (competencies) that one person or organization has for the benefit of another (Lusch and Vargo 2006), often done as a single, customized job. To be successful, service requires substantial input from the client and related stakeholder, often referred to as the co-creation of value (Sampson 2001). For example, how can a steak be customized unless the customer tells the waiter how the customer wants the steak prepared?

A service system (glossary) is an engineered system created and sustained by an organization that provides outcomes for clients within an enterprise. A service system context contains the same kinds of system elements as a product system context but allows greater freedom for what can be created or changed to deliver the required service.

A service system life cycle may deliver changes to how existing products and other services are deployed and used. It may also identify the need to modify existing products or create new products, in which case it may initiate a related product life cycle. In most cases the service developer will not have full freedom to change all aspects of the service system context without some negotiation with related system element owners. In particular, people and infrastructure are part of the service context and changes to how system elements are used to provide desired outcomes are part of the service life cycle scope.

The description of product system context above might be viewed as a special case of a service system context in which a specific product is created and integrated into a fixed service system by an organization and used by an enterprise directly related to the organization to provide a capability.

In a general service system context, it is not necessary to deliver all hardware or software products to the service provider. In some cases, some of the hardware, software or human elements may be owned by a third party who is not responsible for the service directly but provides enabling outputs to a number of such services. In other cases, the whole service may be provided by an organization that is completely separate to the enterprise which needs the service. Nor is it necessary for the exact versions of products or enabling services to be defined and integrated prior to service delivery. Some service system elements can be selected and integrated closer to the point of use. To allow for this late configuration of a service system, it will contain some method of discovery by which appropriate available elements can be found, and an overall service management element to implement and direct each instance of the service system. The use of a service system approach gives greater freedom for acquirers in how they obtain

and support all of the capital equipment, software, people, etc. in order to obtain the capabilities needed to satisfy users.

Services have been part of the language of systems engineering (SE) for many years, either as a way to describe the context of a product-focused life cycle or to describe commercial arrangements for the 'outsourcing' of product ownership and operation to others. The use of the term service system in more recent times is often associated with software configurable and information intensive systems, i.e.,

*...unique features that characterize services – namely, services, especially emerging services, are information-driven, customer-centric, e-oriented, and productivity-focused.* (Tien and Berg 2003, 13)

A more detailed discussion of the system theory associated with service systems can be found in History of Systems Science and an expansion of the application of systems engineering to service systems in the Service Systems Engineering KA in Part 4.

## Enterprises and Enterprise Systems

An enterprise is one or more organizations or individuals sharing a definite mission, goals, and objectives to offer an output such as a product or service.

An enterprise system consists of a purposeful combination (network) of interdependent resources (e.g., people; processes; organizations; supporting technologies; and funding) that interact with each other (e.g., to coordinate functions; share information; allocate funding; create workflows; and make decisions) and their environment(s), to achieve business and operational goals through a complex web of interactions distributed across geography and time (Rebovich and White 2011).

Both product and service systems require an enterprise system to create them and an enterprise to use the product system to deliver services, either internally to the enterprise or externally to a broader community.

Enterprise systems are unique, compared to product and service systems, in that they are constantly evolving; they rarely have detailed configuration controlled requirements; they typically have the goal of providing shareholder value and customer satisfaction, which are constantly changing and are difficult to verify; and they exist in a context (or environment) that is ill-defined and constantly changing.

While an enterprise system cannot be described using the general system context above, an enterprise may wish to create a model of the capabilities and services it needs to achieve its strategy and goals. Such a model can be extended to describe a baseline of service system and product system contexts related to its current capabilities, and to proposed future capabilities. These are referred to as enterprise architectures or enterprise reference architectures.

A more detailed discussion of the system theory associated with service systems can be found in History of Systems Science and an expansion of the application of systems engineering to service systems in the Enterprise Systems Engineering KA in Part 4. The notion of enterprises and enterprise systems also permeates Part 5 Enabling Systems Engineering.

## Systems of Systems

A product, service or enterprise context can be defined as a hierarchy of system elements, with the additional definition of which elements are part of a SoI solution, which form the related problem context and which influence any life cycle associated with that context.

The additional concepts of Systems of Systems (SoS) or Federations of Systems (FoS) is used for some contexts. In terms of the general description in Figure 1 above, this would apply to any life cycle context in which elements within the SoI have independent life cycle relationships. This concept could apply to any of the life cycle contexts above, although it is of particular relevance to the service and enterprise contexts.

It is important to understand that the term SoS is an addition to the general concept of system hierarchy that applies to all systems. Maier examined the meaning of System of Systems in detail and used a characterization approach which emphasizes the independent nature of the system elements (Maier 1998, 268). Maier describes both independence in how a system element operates (e.g. an element in the SoI also has its own separate mission or is part of another SoI) and in how an element is developed or sustained (e.g. an element is made available, modified or configured by a different organization to the one responsible for the rest of the SoI).

There are advantages to being able to have elements shared across a number of engineered systems and to being able to quickly create solutions to problems by combining existing engineered systems. As the technology to enable integration of independent systems becomes more common, this SoS approach becomes a common aspect of many SE life cycles.

Wherever system elements in an engineered system context have any degree of independence from the SoI life cycle, this adds a further complexity; specifically, by constraining how the resulting engineered system can be changed or controlled. This dimension of complexity affects the management and control aspects of the systems approach.

A more detailed discussion of the different system grouping taxonomies developed by systems science can be found in Part 4 Applications of Systems Engineering and an expansion of the ways we deal with SoS complexity can be found in the Systems of Systems KA in Part 4.

## Applying Engineered System Contexts

From the discussions of product and service contexts above, it should be clear that they require similar systems understanding to be successful and that the difference between them is more about the scope of life cycle choices and the authority to make changes than about what kinds of systems they are.

These contexts are presented here as generalizations of the system engineering approach. All real projects may have both product and service system dimensions to them. In this general view of engineered systems, there is always an enterprise system directly interested in the service system context and either directly owning and operating any product systems and enabling services or gaining access to them as needed. This enterprise system may be explicitly involved in initiating and managing an engineering system life cycle or may be implicit in the shared ownership of a problem situation. Any engineered system context may have aspects of the SoS independence discussed above. This may be part of the context in the wider system or environment or it may be related to the choice of elements within the SoI.

A real SE life cycle typically combines different aspects of these general contexts into a unique problem and solution context and associated acquirer and supplier commercial relationships. These must be identified by that life cycle as part of its SE activities. More details of these different life cycle contexts are given in part 2 and their applications to SE practice are expanded upon in Part 4.

A good example of a general description of the above is given by Ring (1998), who defines the overall context as the Problem Suppression System, describes a cycle by which an enterprise will explore its current needs, uses these to identify one or more life cycle interventions and relevant organizations, then conduct and deliver those life cycles and integrate their outputs into the PSS; the enterprise can then review the results in the environment and begin the cycle again.

This general systems approach is described in part 2 and used as a focus to identify areas of foundational knowledge. The current practices of SE described in the rest of the SEBoK reference these foundations as appropriate.

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## Additional References

None.

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# Cycles and the Cyclic Nature of Systems

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This article is part of The Nature of Systems knowledge area (KA). "Cycle" is one of many concepts within general system theory that have been studied within systems science. A cycle is "a series of events that are regularly repeated in the same order; or move in or follow a regularly repeated sequence of events" according to the Oxford English Dictionary (2020). Cycles "define and make things. Equally things contain Cycles." (Volk 1995) Mobus and Kalton describe a cycle as a temporary pattern (2015). The Foundation for the Study of Cycles describe a cycle as, "A series of events that is regularly repeated in the same order. The longer and more regular the series is repeated, the more predictable it becomes, until it cannot reasonably be considered a coincidence." (2020) "Circularity is the essence of the early notion of feedback (circular causality). The notion of circularity is found in recursive computation (the use of DO loops, for example)". (Krippendorf 1984)

This article illustrates a General System Concept and its patterns of measurable instantiation. Additionally a number of frameworks that incorporate cyclic behaviour are highlighted and the pattern of relationships between these models, the phases of system emergence and the practice of system engineering are illustrated.

## Introduction

Movement and evolution are fundamental in the dynamics of nature and thus cycles are evident, almost or even absolutely, everywhere. (Wikipedia.org 2020)

Due to its generality, "cycle" is a key concept for Systemists, in our communication, in our thinking, and our engagement with systems. The repetition of natural law and associated behaviour in mechanical systems, and other examples of objective-subjective or system-context cycles are important in systems science. Cyclical phenomena are studied in several different ways in different sciences, e.g. dynamics, biology, sociology, cosmology etc. Cyclical dynamics are ubiquitous and thoroughly characterized:

- Cycles of system renewal in ecology (Allen & Hoekstra 1992; Gunderson 2013)
- Cycles of planning and intervention in social science (Sankaran et al. 2015)
- Business (Senge 2006)

- Cybernetics (Krippendorff 1984)
- Environmental management and decision support (Bell 2012)
- Coherence/decoherence or entanglement cycles in quantum mechanics (Hsiang & Ford 2009)
- Modelling relations in living systems (Rosen 1991a; b)

Cycles are evident in a number of Archetypes both natural and engineered as summarized in the following diagram:

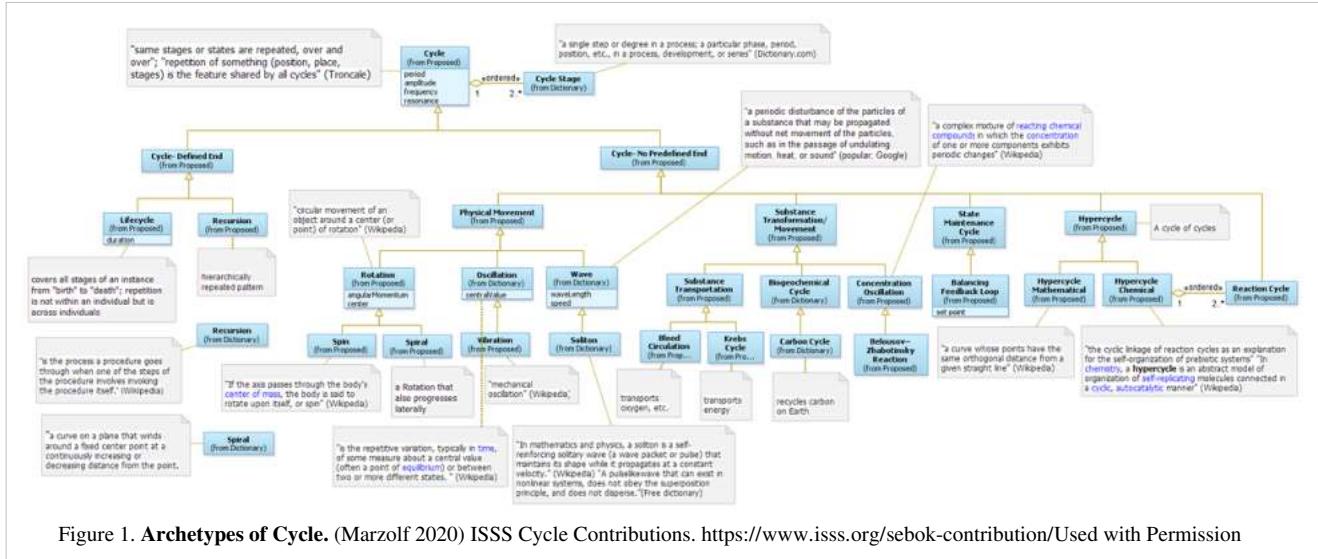
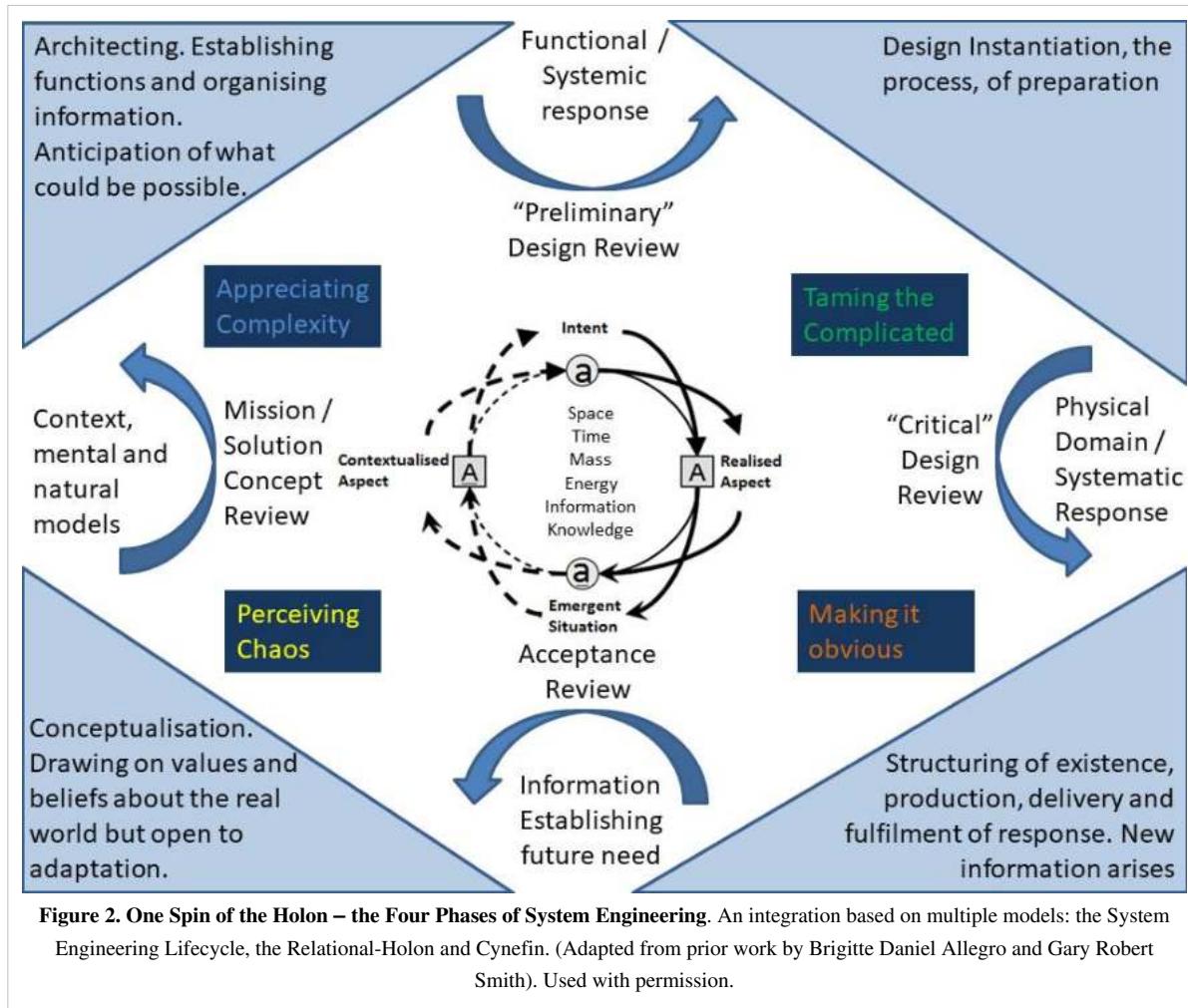


Figure 1. **Archetypes of Cycle.** (Marzolf 2020) ISSS Cycle Contributions. <https://www.issss.org/sebok-contribution/Used with Permission>

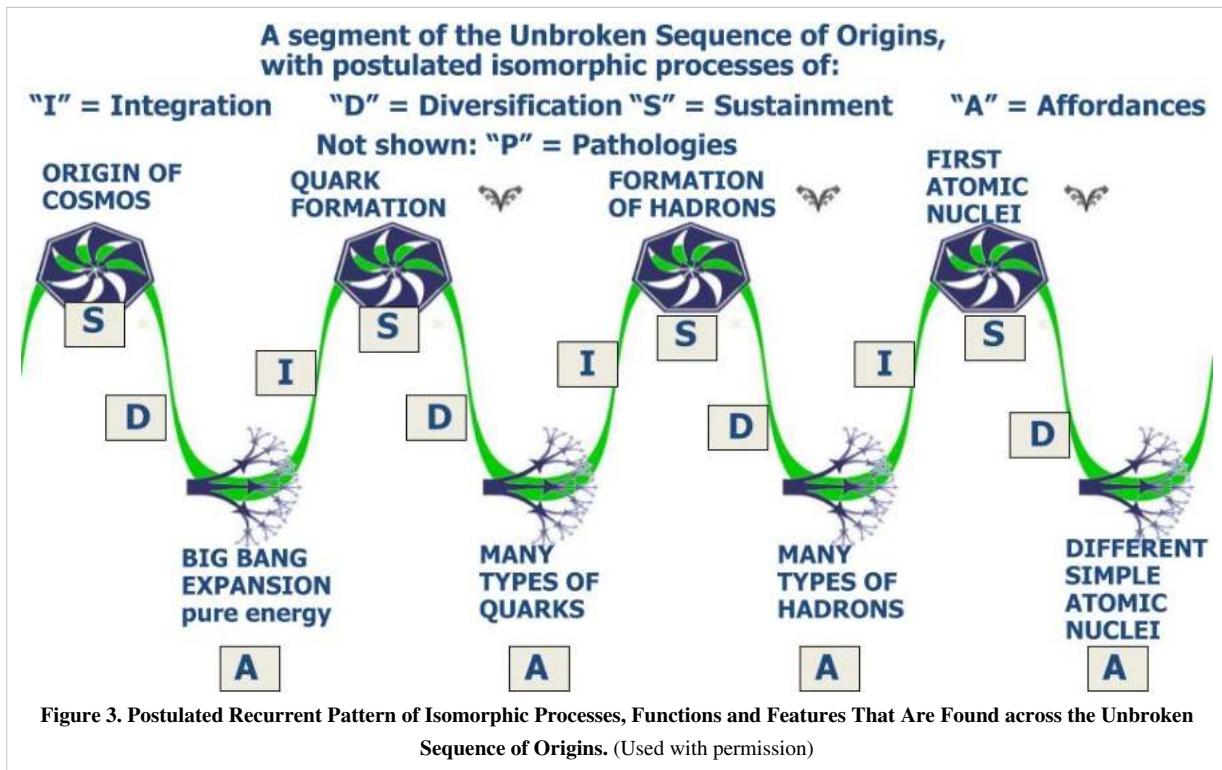
There are a number of well-established frameworks that incorporate cyclic phenomenon – Cynefin (situation), Panarchy (social/ecological), OODA (situation), Spiral Model (engineer development), The Problem / Solution System and Action Research (Plan, Act, Observe, Reflect). It is also evident in Peter Senge's first law of The Fifth Discipline, “today's problems come from yesterday's solutions. The problem you inherited today is likely the result of a series of solutions that seemed right at the time made by people that are probably no longer around.” (Senge 2006)

The work of Robert Rosen, taken forward by John Kineman on Relational Theory is working towards a mathematical underpinning of the dual-aspect (system and context in cyclical relation) “Holon” and as a framework for System Research (Kineman 2017).

Cycle is respected and instantiated in practice with the Lifecycle Management of software, physical artefacts, services and enterprises when Applying the System Approach. Indeed, it is evident in the very structure of the Scientific Method (iterative cycle) and underpins the application of technical management in the development of systems and solutions. Systems Engineering itself is a cycle consisting of various project cycle stages (Forsberg, Mooz and Cotterman 2005). Cycles of systems may affect other systems' cycles or be affected by those other systems' cycles. Therefore, understanding the design, creation and maintenance of cycles and understanding how they are affected by other systems' cycles is a key tool for managing complexity.



Within a cycle, a recurrent pattern of Isomorphic processes has been postulated and systematically studied (Troncale, 1978). Below is a diagram of the first 4 of 80 detailed Integration to Diversification cycles from the Big Bang to our societal cultural artefacts. Dr. Troncale has collected reprints from seven major conventional sciences that indicate that cycling (or its subtypes) is contained in over 250 natural phenomena studied by the sciences. Having an understanding of this pattern and the processes that result in the cyclic nature of systems may allow systemists to better identify, categorize, design for, maintain and utilize lifecycle processes with greater understanding of the underlying principles to guide our practice and consequently increase fidelity in application.



This diagram adapted from the work of Len Troncale ISSS Cycle Contributions, <https://www.issss.org/sebok-contribution> illustrates an observed recurrent waveform pattern that spans origins across the entire landscape of systems. “All living (even non-living) entities of the same class exhibit the same phases (form) in their life cycle – birth, maturation, death, dissolution” (Troncale 1978). Processes of “Affordances” – for new relationships, and “Sustainment” were added as a result of collaborative discussion.

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## Additional References

None.

## Videos

Video presentations on the unbroken sequence of origins by Len Troncale and on Cycles by Tyler Volk and Gary Smith are available ISSS Cycle Contributions. <https://www.issss.org/sebok-contribution/>

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# Knowledge Area: Systems Science

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## Systems Science

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**Lead Author:** Rick Adcock, **Contributing Authors:** Gary Smith

This knowledge area (KA) provides a guide to some of the major developments in systems science, which is an interdisciplinary field of science that studies the nature of complex systems in nature, society, and engineering.

This is part of the wider systems knowledge which can help to provide a common language and intellectual foundation, and make practical systems concepts, principles, patterns and tools accessible to systems engineering (SE) as discussed in the Introduction to Part 2.

### Topics

Each part of the SEBoK is divided into KAs, which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- History of Systems Science
- The origins of Systems Approaches
- Complexity
- Emergence

### Introduction

Systems science brings together research into all aspects of systems with the goal of identifying, exploring, and understanding patterns of complexity and emergence which cross disciplinary fields and areas of application. It seeks to develop interdisciplinary foundations which can form the basis of theories applicable to all types of systems, independent of element type or application; additionally, it could form the foundations of a meta-discipline unifying traditional scientific specialisms.

The History of Systems Science article describes some of the important multidisciplinary fields of research of which systems science is composed.

A second article presents and contrasts the underlying theories and origins behind some of the classic system approaches taken in applying systems science to real problems.

People who think and act in a systems way are essential to the success of both research and practice. Successful systems research will not only apply systems thinking to the topic being researched but should also consider a systems thinking approach to the way the research is planned and conducted. It would also be of benefit to have people involved in research who have, at a minimum, an awareness of system practice and ideally are involved in practical applications of the theories they develop.

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### Additional References

None.

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# History of Systems Science

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This article is part of the Systems Science knowledge area (KA). It describes some of the important multidisciplinary fields of research comprising systems science in historical context.

Systems science is an integrative discipline which brings together ideas from a wide range of sources which share a common systems theme. Some fundamental concepts now used in systems science have been present in other disciplines for many centuries, while equally fundamental concepts have independently emerged as recently as 40 years ago (Flood and Carson 1993).

### The “Systems Problem”

Questions about the nature of systems, organization, and complexity are not specific to the modern age. As International Council on Systems Engineering (INCOSE) pioneer and former International Society for System Sciences (ISSS) President John Warfield put it, “Virtually every important concept that backs up the key ideas emergent in systems literature is found in ancient literature and in the centuries that follow.” (Warfield 2006.) It was not until around the middle of the 20th Century, however, that there was a growing sense of a need for, and possibility of a scientific approach to problems of organization and complexity in a “science of systems” per se.

The explosion of knowledge in the natural and physical sciences during the 18th and 19th centuries had made the creation of specialist disciplines inevitable: in order for science to advance, there was a need for scientists to become expert in a narrow field of study. The creation of educational structures to pass on this knowledge to the next generation of specialists perpetuated the fragmentation of knowledge (M'Pherson 1973).

This increasing specialization of knowledge and education proved to be a strength rather than a weakness for problems which were suited to the prevailing scientific methods of experimental isolation and analytic reduction. However, there were areas of both basic and applied science that were not adequately served by those methods alone. The systems movement has its roots in two such areas of science: the biological-social sciences, and a mathematical-managerial base stemming first from cybernetics and operations research, and later from

organizational theory.

Biologist Ludwig von Bertalanffy was one of the first to argue for and develop a broadly applicable scientific research approach based on **Open System Theory** (Bertalanffy 1950). He explained the scientific need for systems research in terms of the limitations of analytical procedures in science.

These limitations, often expressed as emergent evolution or "the whole is more than a sum of its parts," are based on the idea that an entity can be resolved into and reconstituted from its parts, either material or conceptual:

*This is the basic principle of "classical" science, which can be circumscribed in different ways: resolution into isolable causal trains or seeking for "atomic" units in the various fields of science, etc.*

He stated that while the progress of "classical" science has shown that these principles, first enunciated by Galileo and Descartes, are highly successful in a wide realm of phenomena, but two conditions are required for these principles to apply:

*The first is that interactions between "parts" be non-existent or weak enough to be neglected for certain research purposes. Only under this condition, can the parts be "worked out," actually, logically, and mathematically, and then be "put together." The second condition is that the relations describing the behavior of parts be linear; only then is the condition of summativity given, i.e., an equation describing the behavior of the total is of the same form as the equations describing the behavior of the parts.*

*These conditions are not fulfilled in the entities called systems, i.e. consisting of parts "in interaction" and description by nonlinear mathematics. These system entities describe many real world situations: populations, eco systems, organizations and complex man made technologies. The methodological problem of systems theory is to provide for problems beyond the analytical-summative ones of classical science. (Bertalanffy 1968, 18-19)*

Bertalanffy also cited a similar argument by mathematician and co-founder of information theory Warren Weaver in a 1948 American Scientist article on "Science and Complexity." Weaver had served as Chief of the Applied Mathematics Panel at the U.S. Office of Scientific Research and Development during WWII. Based on those experiences, he proposed an agenda for what he termed a new "science of problems of organized complexity."

Weaver explained how the mathematical methods which had led to great successes of science to date were limited to problems where appropriate simplifying assumptions could be made. What he termed "problems of simplicity" could be adequately addressed by the mathematics of mechanics, while "problems of disorganized complexity" could be successfully addressed by the mathematics of statistical mechanics. But with other problems, making the simplifying assumptions in order to use the methods would not lead to helpful solutions. Weaver placed in this category problems such as, *how the genetic constitution of an organism expresses itself in the characteristics of the adult, and to what extent it is safe to rely on the free interplay of market forces if one wants to avoid wide swings from prosperity to depression*. He noted that these were complex problems which involved "analyzing systems which are organic wholes, with their parts in close interrelation."

*These problems-and a wide range of similar problems in the biological, medical, psychological, economic, and political sciences-are just too complicated to yield to the old nineteenth century techniques which were so dramatically successful on two-, three-, or four-variable problems of simplicity. These new problems, moreover, cannot be handled with the statistical techniques so effective in describing average behavior in problems of disorganized complexity [problems with elements exhibiting random or unpredictable behavior].*

These new critical global problems require science to make a third great advance,

*An advance that must be even greater than the nineteenth-century conquest of problems of simplicity or the twentieth-century victory over problems of disorganized complexity. Science must, over the next 50 years, learn to deal with these problems of organized complexity [problems for which complexity "emerges" from the coordinated interaction between its parts]. (Weaver 1948.)*

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Weaver identified two grounds for optimism in taking on this great challenge: 1.) developments in mathematical modeling and digital simulation, and 2.) the success during WWII of the “mixed team” approach of operations analysis, where individuals from across disciplines brought their skills and insights together to solve critical, complex problems.

The importance of modeling and simulation and the importance of working across disciplinary boundaries have been the key recurring themes in development of this “third way” science for systems problems of organized complexity.

## The Development of Systems Research

The following overview of the evolution of systems science is broadly chronological, but also follows the evolution of different paradigms in system theory.

### Open Systems and General Systems Theory

General system theory (GST) attempts to formulate principles relevant to all open systems (Bertalanffy 1968). GST is based on the idea that correspondence relationships (homologies) exist between systems from different disciplines. Thus, knowledge about one system should allow us to reason about other systems. Many of the generic system concepts come from the investigation of GST.

In 1954, Bertalanffy co-founded, along with Kenneth Boulding (economist), Ralph Gerard (physiologist) and Anatol Rapoport (mathematician), the Society for General System Theory (renamed in 1956 to the Society for General Systems Research, and in 1988 to the International Society for the Systems Sciences).

The initial purpose of the society was "*to encourage the development of theoretical systems which are applicable to more than one of the traditional departments of knowledge ... and promote the unity of science through improving the communication among specialists.*" (Bertalanffy 1968.)

This group is considered by many to be the founders of **System Age Thinking** (Flood 1999).

### Cybernetics

Cybernetics was defined by Wiener, Ashby and others as the study and modeling of communication, regulation, and control in systems (Ashby 1956; Wiener 1948). Cybernetics studies the flow of information through a system and how information is used by the system to control itself through feedback mechanisms. Early work in cybernetics in the 1940s was applied to electronic and mechanical networks, and was one of the disciplines used in the formation of early systems theory. It has since been used as a set of founding principles for all of the significant system disciplines.

Some of the key concepts of feedback and control from Cybernetics are expanded in the Concepts of Systems Thinking article.

### Operations Research

Operations Research (OR) considers the use of technology by an organization. It is based on the use of mathematical modeling and statistical analysis to optimize decisions on the deployment of the resources under an organization's control. An interdisciplinary approach based on scientific methods, OR arose from military planning techniques developed during World War II.

**Operations Research and Management Science** (ORMS) was formalized in 1950 by Ackoff and Churchman applying the ideas and techniques of OR to organizations and organizational decisions (Churchman et. al. 1950).

## Systems Analysis

Systems analysis was developed by RAND Corporation in 1948. It borrowed from and extended OR, including using black boxes and feedback loops from cybernetics to construct block diagrams and flow graphs. In 1961, the Kennedy Administration decreed that systems analysis techniques should be used throughout the government to provide a quantitative basis for broad decision-making problems, combining OR with cost analysis (Ryan 2008).

## Systems Dynamics

Systems dynamics (SD) uses some of the ideas of cybernetics to consider the behavior of systems as a whole in their environment. SD was developed by Jay Forrester in the 1960's (Forrester 1961). He was interested in modeling the dynamic behavior of systems such as populations in cities and industrial supply chains. See Systems Approaches for more details.

SD is also used by Senge (1990) in his influential book *The Fifth Discipline*. This book advocates a systems thinking approach to organization and also makes extensive use of SD notions of feedback and control.

## Organizational Cybernetics

Stafford Beer was one of the first to take a cybernetics approach to organizations (Beer 1959). For Beer, the techniques of ORMS are best applied in the context of an understanding of the whole system. Beer also developed a **Viable Systems Model** (Beer 1979), which encapsulates the effective organization needed for a system to be viable (to survive and adapt in its environment).

Works in cybernetics and ORMS consider the mechanism for communication and control in complex systems, and particularly in organizations and management sciences. They provide useful approaches for dealing with operational and tactical problems within a system, but do not allow consideration of more strategic organizational problems (Flood 1999).

## Hard and Soft Systems Thinking

Action research is an approach, first described by Kurt Lewin, as a reflective process of progressive problem solving in which reflection on action leads to a deeper understanding of what is going on and to further investigation (Lewin 1958).

Peter Checkland's action research program in the 1980's led to an Interpretative-Based Systemic Theory which seeks to understand organizations by not only observing the actions of people, but also by building understandings of the cultural context, intentions and perceptions of the individuals involved. Checkland, himself starting from a systems engineering (SE) perspective, successively observed the problems in applying a SE approach to the more fuzzy, ill-defined problems found in the social and political arenas (Checkland 1978). Thus, he introduced a distinction between hard systems and soft systems - see also Systems Approaches.

Hard systems views of the world are characterized by the ability to define purposes, goals, and missions that can be addressed via engineering methodologies in an attempt to, in some sense, "optimize" a solution.

In hard system approaches, the problems may be complex and difficult but they are known and can be fully expressed by the investigator. Such problems can be solved by selecting from the best available solutions (possibly with some modification or integration to create an optimum solution). In this context, the term "systems" is used to describe real world things; a solution system is selected, created and then deployed to solve the problem.

Soft systems views of the world are characterized by complex, problematical, and often mysterious phenomena for which concrete goals cannot be established and which require learning in order to make improvement. Such systems are not limited to the social and political arenas and also exist within and amongst enterprises where complex, often ill-defined patterns of behavior are observed that are limiting the enterprise's ability to improve.

Soft system approaches reject the idea of a single problem and consider **problematic** situations in which different people will perceive different issues depending upon their own viewpoint and experience. These problematic situations are not solved but managed through interventions which seek to reduce "discomfort" among the participants. The term system is used to describe systems of ideas, conceptual systems which guide our understanding of the situation, or help in the selection of intervention strategies.

These three ideas of "problem vs. problematic situation," "solution vs. discomfort reduction," and "the system vs. systems understanding" encapsulate the differences between hard and soft approaches (Flood and Carson 1993).

## Critical Systems Thinking

The development of a range of hard and soft methods naturally leads to the question of which method to apply in what circumstances (Jackson 1989). Critical systems thinking (CST), or **critical management science** (Jackson 1985), attempts to deal with this question.

The word **critical** is used in two ways. Firstly, critical thinking considers the limits of knowledge and investigates the limits and assumptions of hard and soft systems, as discussed in the above sections. The second aspect of critical thinking considers the ethical, political and coercive dimension and the role of system thinking in society; see also Systems Approaches.

## Service Science and Service Systems Engineering

The world economies have transitioned over the past few decades from manufacturing economies that provide goods, to service based economies. Harry Katzan defined the newly emerging field of service science: "Service science is defined as the application of scientific, engineering, and management competencies that a service-provider organization performs that creates value for the benefit of the client or customer" (Katzan 2008, vii).

The disciplines of service science and service engineering have developed to support this expansion and are built on principles of systems thinking but applied to the development and delivery of service systems.

Service Systems Engineering is described more fully in the Service Systems Engineering KA in Part 4 of the SEBoK.

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# Systems Approaches

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This article is part of the Systems Science knowledge area (KA). It presents issues in the comparison and analysis of classic systems approaches developed by the systems science community. Some of these ideas contribute to basic theory and methods that are used in systems thinking discussed in the Systems Thinking KA.

## What is a Systems Approach?

In Bertalanffy's introduction to his 1968 book *General System Theory* (GST), he characterizes a systems approach as:

*A certain objective is given; to find ways and means for its realization requires the system specialist (or team of specialists) to consider alternative solutions and to choose those promising optimization at maximum efficiency and minimum cost in a tremendously complex network of interactions.* (Bertalanffy 1968, 4)

He goes on to list as possible elements of a systems approach: "classical" systems theory (differential equations), computerization and simulation, compartment theory, set theory, graph theory, net theory, cybernetics, information theory, theory of automata, game theory, decision theory, queuing theory, and models in ordinary language.

This description is similar to what Warren Weaver identified as the methods used successfully by "mixed teams" during World War II (WWII) on "problems of organized complexity". However, some conditions that had contributed to success during wartime did not hold after the war, such as a clear focus on well-defined common goals that motivated participants to work across disciplinary boundaries.

By the early 1970's, there was growing disillusionment with the promise that a systems approach would provide easy solutions for all complex problems. There was particular criticism from some, including pioneers of Operations Research and Management Science (ORMS) like Ackoff and Churchman, that reliance on rote mathematical methods to identify optimal solutions among fixed alternatives had become just as inflexible and unimaginative an approach to complex problems as whatever it had replaced. Interest grew in examining and comparing methods and methodologies to better understand what could help ensure the best thinking and learning in terms of systems in systems approaches to practice.

## Issues in Systems Approaches

A systems approach is strongly associated with systems thinking and how it helps to guide systems practice. In What is Systems Thinking? the key ideas of considering a system holistically, setting a boundary for a problem/solution of interest, and considering the resulting system-of-interest from outside its boundary are identified (Churchman 1979; Senge 2006).

A systems approach can view a system as a "holon" – an entity that is itself a "whole system" that interacts with a mosaic of other holons in its wider environment (Hybertson 2009), while also being made up of interacting parts. We can use this model recursively – each part of the system may be a system in its own right, and can itself be viewed both as an entity as seen from outside, and as a set of interacting parts. This model also applies in upwards recursion, so the original "system-of-interest" is an interacting part of one or more wider systems.

This means that an important skill in a systems approach is to identify the "natural holons" in the problem situation and solution systems and to make the partitioning of responsibilities match the "natural holons," so as to minimize the coupling between parallel activities when applying a solution. This is the "cohesive/loose coupling" heuristic that has been around for a long time in many design disciplines.

Another consequence of the holistic nature of a systems approach is that it considers not only a problem situation and a solution system but also the system created and deployed to apply one to the other. A systems approach must consider both the boundary of the system of concern as well as the boundary of the system inquiry (or model). Real systems are always open, i.e., they interact with their environment or supersystem(s). On the other hand, real models are always “closed” due to resource constraints — a fixed boundary of consideration must be set. Thus, there is an ongoing negotiation to relate the two in systems practice and the judgment to do so is greatly helped by an appreciation of the difference between them.

Thus, a systems approach can be characterized by how it considers problems, solutions and the problem resolution process itself:

- Consider problems holistically, setting problem boundaries through understanding of natural system relationships and trying to avoid unwanted consequences.
- Create solutions based on sound system principles, in particular creating system structures which reduce organized complexity and unwanted emergent properties.
- Use understanding, judgment and models in both problem understanding and solution creation, while understanding the limitations of such views and models.

## Systems Methodologies

One topic that has received significant attention in the systems science community is the analysis and comparison of methodologies which implement a systems approach. A methodology is a body of tools, procedures, and methods applied to a problem situation, ideally derived from a theoretical framework. These describe structured approaches to problem understanding and/or resolution, making use of some of the concepts of systems thinking. These methodologies are generally associated with a particular system paradigm or way of thinking, which has a strong influence on the three aspects of a systems approach described above.

The most widely used groups of methodologies are as follows (see also History of Systems Science):

- Hard system methodologies (Checkland 1978) set out to select an efficient means to achieve a predefined and agreed end.
- Soft system methodologies (Checkland 1999) are interactive and participatory approaches to assist groups of diverse participants to alleviate a complex, problematic situation of common interest.
- Critical systems thinking methodologies (Jackson 1985) attempt to provide a framework in which appropriate hard and soft methods can be applied as appropriate to the situation under investigation.

## Systems Dynamics

Systems dynamics (SD) uses some of the ideas of cybernetics to consider the behavior of systems as a whole in their environment. SD was developed by Jay Forrester in the 1960's. He was interested in modeling the dynamic behavior of systems such as populations in cities, or industrial supply chains.

System dynamics (Forrester 1961) is an approach to understanding the behavior of complex systems over time. It deals with internal feedback loops and time delays that affect the behavior of the entire system. The main elements of SD are:

- The understanding of the dynamic interactions in a problem or solution as a system of feedback loops, modeled using a Causal Loop Diagram.
- Quantitative modeling of system performance as an accumulation of stocks (any entity or property which varies over time) and flows (representations of the rate of change of a stock).
- The creation of dynamic simulations, exploring how the value of key parameters change over time. A wide range of software tools are available to support this.

These elements help describe how even seemingly simple systems display baffling non-linearity.

## Hard Systems Methodologies

Checkland (1975) classifies hard system (glossary) methodologies, which set out to select an efficient means to achieve a predefined end, under the following headings:

- Systems Analysis - the systematic appraisal of the costs and other implications of meeting a defined requirement in various ways.
- Systems Engineering (SE) - the set of activities that together lead to the creation of a complex man-made entity and/or the procedures and information flows associated with its operation.

Operational Research is also considered a hard system approach, closely related to the systems analysis approach developed by the Rand Corporation, in which solutions are known but the best combinations of these solutions must be found. There is some debate as to whether system dynamics is a hard approach, which is used to assess the objective behavior of real situations. Many applications of SD have focused on the system, however it can and has also been used as part of a soft approach including the modeling of subjective perceptions (Lane 2000).

SE allows for the creation of new solution systems, based upon available technologies. This hard view of SE as a solution focused approach applied to large, complex and technology focused solutions, is exemplified by (Jenkins 1969; Hall 1962) and early defense and aerospace standards.

It should be noted that historically the SE discipline was primarily aimed at developing, modifying or supporting hard systems. More recent developments in SE have incorporated problem focused thinking and agile solution approaches. It is this view of SE that is described in the SEBoK.

All of these hard approaches can use systems thinking to ensure complete and viable solutions are created and/or as part of the solution optimization process. These approaches are appropriate to unitary problems, but not when the problem situation or solution technologies are unclear.

## Soft Systems and Problem Structuring Methods

Problem Structuring Methods (PSM) are interactive and participatory approaches to assist groups of diverse participants to alleviate a complex, problematic situation of common interest. Typically, the hardest element of the situation is framing the issues which constitute the problem (Minger and Resenhead 2004).

PSM use systems and systems thinking as an abstract framework for investigation, rather than a structure for creating solutions. Systems descriptions are used to understand the current situation and describe an idealized future. Interventions directly in the current organization to move towards the idea recognize that the assumptions and mental models of the participants are an important obstruction to change, and that these differing views cannot be dismissed but instead must form part of the intervention approach.

Peter Checkland's action research program (see Systems Science) in the 1980's forms the basis of work by Checkland, Wilson and others in the development of soft systems methodology (SSM) (Checkland 1999; Wilson 2001). SSM formalizes the idea of a soft approach using systemic thinking to expose the issues in a problem situation and guide interventions to reduce them. SSM provides a framework of ideas and models to help guide participants through this systemic thinking.

Other PSM approaches include interactive planning approach (Ackoff 1981), social systems design (Churchman 1968), and strategic assumptions surfacing and testing (Mason and Mitroff 1981).

SSM and other soft approaches use systems thinking to ensure problem situations are fully explored and resolved. These approaches are appropriate to pluralist problems. Critics of SSM suggest that it does not consider the process of intervention, and in particular how differences in power between individuals and social groups impact the effectiveness of interventions.

## Critical Systems Thinking and Multi-Methodology

The development of a range of hard and soft methods naturally leads to the question of which method to apply in what set of circumstances (Jackson 1989). Critical systems thinking (CST) or **Critical Management Science** (Jackson 1985) attempts to deal with this question.

The word critical is used in two ways. Firstly, critical thinking considers the limits of knowledge and investigates the limits and assumptions of hard and soft systems, as discussed in the above sections. From this comes frameworks and meta-methodology that establish when to apply different methods such as **total systems intervention** (TSI) (Flood and Jackson 1991). Critical, "pluralist," or "pragmatic" **multi-methodology** approaches take this aspect of critical thinking one stage further to recognize the value of combining techniques from several hard, soft, or custom methods as needed (Mingers and Gill 1997). Many in the systems science community believe that the multi-methodology approach has been accepted as the de facto systems approach and that the challenges now are in refining tools and methods to support it.

**Churchman** (1979) and others have also considered broader ethics, political and social questions related to management science, with regards to the relative power and responsibility of the participants in system interventions. The second aspect of critical thinking considers the ethical, political, and coercive dimension in Jackson's System of Systems Methodologies (SOSM) framework (Jackson 2003) and the role of system thinking in society.

## Selecting Systems Methodologies

Jackson proposes a frame for considering which approach should be applied (please see Jackson's Framework <sup>[1]</sup>). In Jackson's framework, the following definitions apply to the participants involved in solving the problem:

- Unitary: A problem situation in which participants "have similar values, beliefs and interests. They share common purposes and are all involved, in one way or another, in decision-making about how to realize their agreed objectives." (Jackson 2003, 19)
- Pluralist: A problem situation involving participants in which "although their basic interests are compatible, they do not share the same values and beliefs. Space needs to be made available within which debate, disagreement, even conflict, can take place. If this is done, and all feel they have been involved in decision-making, then accommodations and compromises can be found. Participants will come to agree, at least temporarily, on productive ways forward and will act accordingly." (Jackson 2003, 19)
- Coercive: A problem situation in which the participants "have few interests in common and, if free to express them, would hold conflicting values and beliefs. Compromise is not possible and so no agreed objectives direct action. Decisions are taken on the basis of who has most power and various forms of coercion employed to ensure adherence to commands." (Jackson 2003, 19)

Jackson's framework suggests that for simple and complex systems with unitary participants, hard and dynamic systems thinking applies, respectively. For simple and complex systems with pluralist participants, soft systems thinking applies. For simple and complex systems with coercive participants, **emancipatory** and postmodernist system thinking applies, respectively. These thinking approaches consider all attempts to look for system solutions to be temporary and ineffective in situations where the power of individuals and groups of people dominate any system structures we create. They advocate an approach which encourages diversity, free-thinking and creativity of individuals and in the organization's structures. Thus, modern systems thinking has the breadth needed to deal with a broad range of complex problems and solutions.

These ideas sit at the extreme of system thinking as a tool for challenging assumptions and stimulating innovative solutions in problem solving. Jackson (2003) identifies the work of some authors who have included these ideas into their systems approach.

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# Complexity

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This article is part of the Systems Science knowledge area (KA). It gives the background of and an indication of current thinking on complexity and how it influences systems engineering (SE) practice.

Complexity is one of the most important and difficult to define system concepts. Is a system's complexity in the eye of the beholder, or is there inherent complexity in how systems are organized? Is there a single definitive definition of complexity and, if so, how can it be assessed and measured? This topic will discuss how these ideas relate to the general definitions of a system given in What is a System?, and in particular to the different engineered system contexts. This article is closely related to the emergence topic that follows it.

## Defining System Complexity

Complexity has been considered by a number of authors from various perspectives; some of the discussions of complexity relevant to systems are described in the final section of this article. Sheard and Mostashari (Sheard and Mostashari 2011) synthesize many of these ideas to categorize complexity as follows:

1. **Structural Complexity** looks at the system elements and relationships. In particular, structural complexity looks at how many different ways system elements can be combined. Thus, it is related to the potential for the system to adapt to external needs.
2. **Dynamic Complexity** considers the complexity which can be observed when systems are used to perform particular tasks in an environment. There is a time element to dynamic complexity. The ways in which systems interact in the short term is directly related to system behavior; the longer-term effects of using systems in an environment is related to system evolution.
3. **Socio-Political Complexity** considers the effect of individuals or groups of people on complexity. People-related complexity has two aspects. One is related to the perception of a situation as complex or not complex, due to

multiple stakeholder viewpoints within a system context and social or cultural biases which add to the wider influences on a system context. The other involves either the “irrational” behavior of an individual or the swarm behavior of many people behaving individually in ways that make sense; however, the emergent behavior is unpredicted and perhaps counterproductive. This latter type is based on the interactions of the people according to their various interrelationships and is often graphed using systems dynamics formalisms.

Thus, complexity is a measure of how difficult it is to understand how a system will behave or to predict the consequences of changing it. It occurs when there is no simple relationship between what an individual element does and what the system as a whole will do, and when the system includes some element of adaptation or problem solving to achieve its goals in different situations. It can be affected by objective attributes of a system such as by the number, types of and diversity of system elements and relationships, or by the subjective perceptions of system observers due to their experience, knowledge, training, or other sociopolitical considerations.

This view of complex systems provides insight into the kind of system for which systems thinking and a systems approach is essential.

## Complexity and Engineered Systems

The different perspectives on complexity are not independent when considered across a systems context. The structural complexity of a system-of-interest (SoI) may be related to dynamic complexity when the SoI also functions as part of a wider system in different problem scenarios. People are involved in most system contexts, as part of the problem situation, as system elements and part of the operating environment. The human activity systems which we create to identify, design, build and support an engineered system and the wider social and business systems in which they sit are also likely to be complex and affect the complexity of the systems they produce and use.

Sheard and Mostashari (2011) show the ways different views of complexity map onto product system, service system and enterprise system contexts, as well as to associated development and sustainment systems and project organizations. Ordered systems occur as system components and are the subject of traditional engineering. It is important to understand the behaviors of such systems when using them in a complex system. One might also need to consider both truly random or chaotic natural or social systems as part of the context of an engineered system. The main focus for systems approaches is **organized complexity** (see below). This kind of complexity cannot be dealt with by traditional analysis techniques, nor can it be totally removed by the way we design or use solutions. A systems approach must be able to recognize and deal with such complexity across the life of the systems with which it interacts.

Sillitto (2014) considers the link between the types of system complexity and system architecture. The ability to understand, manage and respond to both objective and subjective complexity in the problem situation, the systems we develop or the systems we use to develop and sustain them is a key component of the Systems Approach Applied to Engineered Systems and hence to the practice of systems engineering.

## Origins and Characteristics of Complexity

This section describes some of the prevailing ideas on complexity. Various authors have used different language to express these ideas. While a number of common threads can be seen, some of the ideas take different viewpoints and may be contradictory in nature.

One of the most widely used definitions of complexity is the degree of difficulty in predicting the properties of a system if the properties of the system's parts are given (generally attributed to Weaver). This, in turn, is related to the number of elements and connections between them. Weaver (Weaver 1948) relates complexity to types of elements and how they interact. He describes simplicity as problems with a finite number of variables and interaction, and identifies two kinds of complexity:

1. **Disorganized Complexity** is found in a system with many loosely coupled, disorganized and equal elements, which possesses certain average properties such as temperature or pressure. Such a system can be described by "19th Century" statistical analysis techniques.
2. **Organized Complexity** can be found in a system with many strongly coupled, organized and different elements which possess certain emergent properties and phenomena such as those exhibited by economic, political or social systems. Such a system cannot be described well by traditional analysis techniques.

Weaver's ideas about this new kind of complex problem are some of the foundational ideas of systems thinking. (See also Systems Thinking.)

Later authors, such as Flood and Carson (1993) and Lawson (2010), expand organized complexity to systems which have been organized into a structure intended to be understood and thus amenable to engineering and life cycle management (Braha et al. 2006). They also suggest that disorganized complexity could result from a heterogeneous complex system evolving without explicit architectural control during its life (complexity creep). This is a different use of the terms "organized" and "disorganized" to that used by Weaver. Care should be taken in mixing these ideas. Complexity should not be confused with "complicated". Many authors make a distinction between ordered and disordered collections of elements.

Ordered systems have fixed relationships between elements and are not adaptable. Page (2009) cites a watch as an example of something which can be considered an ordered system. Such a system is complicated, with many elements working together. Its components are based on similar technologies, with clear mapping between form and function. If the operating environment changes beyond prescribed limits, or one key component is removed, the watch will cease to perform its function.

In common usage, chaos is a state of disorder or unpredictability characterized by elements which are not interconnected and behave randomly with no adaptation or control. Chaos Theory (Kellert 1993) is applied to certain dynamic systems (e.g., the weather) which, although they have structure and relationships, exhibit unpredictable behavior. These systems may include aspects of randomness but can be described using deterministic models from which their behavior can be described given a set of initial conditions. However, their structure is such that (un-measurably) small perturbations in inputs or environmental conditions may result in unpredictable changes in behavior. Such systems are referred to as deterministically chaotic or, simply, chaotic systems. Simulations of chaotic systems can be created and, with increases in computing power, reasonable predictions of behavior are possible at least some of the time.

On a spectrum of order to complete disorder, complexity is somewhere in the middle, with more flexibility and change than complete order and more stability than complete disorder (Sheard and Mostashari 2009).

Complex systems may evolve "to the edge of chaos," resulting in systems which can appear deterministic but which exhibit counter intuitive behavior compared to that of more ordered systems. The statistics of chance events in a complex system are often characterized by a power-law distribution, the "signature of complexity" (Sheard 2005). The power-law distribution is found in a very wide variety of natural and man-made phenomena, and it means that the probability of a low probability—large impact event is much higher than a Gaussian distribution would suggest. Such a system may react in a non-linear way to exhibit abrupt phase changes. These phase changes can be either reversible or irreversible. This has a major impact on engineered systems in terms of the occurrence, impact and public acceptance of risk and failure.

**Objective** complexity is an attribute of complex systems and is a measure of where a system sits on this spectrum. It is defined as the extent to which future states of the system cannot be predicted with certainty and precision, regardless of our knowledge of current state and history. Subjective complexity is a measure of how easy it is for an observer to understand a system or predict what it will do next. As such, it is a function of the perspective and comprehension of each individual. It is important to be prepared to mitigate subjective complexity with consistent, clear communication and strong stakeholder engagement (Sillitto 2009).

The literature has evolved to a fairly consistent definition of the characteristics of system elements and relationships for objective systems complexity. The following summary is given by Page (2009):

1. **Independence:** Autonomous system elements which are able to make their own decisions, influenced by information from other elements and the adaptability algorithms the autonomous elements carry with themselves (Sheard and Mostashari 2009).
2. **Interconnectedness:** System elements connect via a physical connection, shared data or simply a visual awareness of where the other elements are and what they are doing, as in the case of the flock of geese or the squadron of aircraft.
3. **Diversity:** System elements which are either technologically or functionally different in some way. For example, elements may be carrying different adaptability algorithms.
4. **Adaptability:** Self-organizing system elements which can do what they want to do to support themselves or the entire system in response to their environment (Sheard and Mostashari 2009). Adaptability is often achieved by human elements but can be achieved with software. Pollock and Hodgson (2004) describe how this can be done in a variety of complex system types, including power grids and enterprise systems.

Due to the variability of human behavior as part of a system and the perceptions of people outside the system, the inclusion of people in a system is often a factor in their complexity. People may be viewed as observing systems or as system elements which contribute to the other types of complexity (Axelrod and Cohen 1999). The rational or irrational behavior of individuals in particular situations is a vital factor in respect to complexity (Kline 1995). Some of this complexity can be reduced through education, training and familiarity with a system. Some is irreducible and must be managed as part of a problem or solution. Checkland (1999) argues that a group of stakeholders will have its own world views which lead them to form different, but equally valid, understandings of a system context. These differences cannot be explained away or analyzed out, and must be understood and considered in the formulation of problems and the creation of potential solutions.

Warfield (2006) developed a powerful methodology for addressing complex issues, particularly in the socio-economic field, based on a relevant group of people developing an understanding of the issue in the form of a set of interacting problems - what he called the "problematique". The complexity is then characterized via several measures, such as the number of significant problems, their interactions and the degree of consensus about the nature of the problems. What becomes clear is that how, why, where and by whom a system is used may all contribute to its perceived complexity.

Sheard and Mostashari (2011) sort the attributes of complexity into causes and effects. Attributes that cause complexity include being non-linear; emergent; chaotic; adaptive; tightly coupled; self-organized; decentralized; open; political (as opposed to scientific); and multi-scale; as well as having many pieces. The effects of those attributes which make a system be perceived as complex include being uncertain; difficult to understand; unpredictable; uncontrollable; unstable; unrepairable; unmaintainable and costly; having unclear cause and effect; and taking too long to build.

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# Emergence

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This topic forms part of the Systems Science knowledge area (KA). It gives the background to some of the ways in which emergence has been described, as well as an indication of current thinking on what it is and how it influences systems engineering (SE) practice. It will discuss how these ideas relate to the general definitions of systems given in What is a System?; in particular, how they relate to different engineered system contexts. This topic is closely related to the complexity topic that precedes it.

Emergence is a consequence of the fundamental system concepts of holism and interaction (Hitchins 2007, 27). System wholes have behaviors and properties arising from the organization of their elements and their relationships, which only become apparent when the system is placed in different environments.

Questions that arise from this definition include: What kinds of systems exhibit different kinds of emergence and under what conditions? Can emergence be predicted, and is it beneficial or detrimental to a system? How do we deal with emergence in the development and use of engineered systems? Can it be planned for? How?

There are many varied and occasionally conflicting views on emergence. This topic presents the prevailing views and provides references for others.

## Overview of Emergence

As defined by Checkland, emergence is “the principle that entities exhibit properties which are meaningful only when attributed to the whole, not to its parts.” (Checkland 1999, 314). Emergent system behavior can be viewed as a consequence of the interactions and relationships between system elements rather than the behavior of individual elements. It emerges from a combination of the behavior and properties of the system elements and the systems structure or allowable interactions between the elements, and may be triggered or influenced by a stimulus from the systems environment.

Emergence is common in nature. The pungent gas ammonia results from the chemical combination of two odorless gases, hydrogen and nitrogen. As individual parts, feathers, beaks, wings, and gullets do not have the ability to overcome gravity; however, when properly connected in a bird, they create the emergent behavior of flight. What we refer to as “self-awareness” results from the combined effect of the interconnected and interacting neurons that make up the brain (Hitchins 2007, 7).

Hitchins also notes that technological systems exhibit emergence. We can observe a number of levels of outcome which arise from interaction between elements in an engineered system context. At a simple level, some system outcomes or attributes have a fairly simple and well defined mapping to their elements; for example, center of gravity or top speed of a vehicle result from a combination of element properties and how they are combined. Other behaviors can be associated with these simple outcomes, but their value emerges in complex and less predictable ways across a system. The single lap performance of a vehicle around a track is related to center of gravity and speed; however, it is also affected by driver skill, external conditions, component wear, etc. Getting the ‘best’ performance from a vehicle can only be achieved by a combination of good design and feedback from real laps under race conditions.

There are also outcomes which are less tangible and which come as a surprise to both system developers and users. How does lap time translate into a winning motor racing team? Why is a sports car more desirable to many than other vehicles with performances that are as good or better?

Emergence can always be observed at the highest level of system. However, Hitchins (2007, 7) also points out that to the extent that the systems elements themselves can be considered as systems, they also exhibit emergence. Page (2009) refers to emergence as a “macro-level property.” Ryan (2007) contends that emergence is coupled to scope

rather than system hierarchical levels. In Ryan's terms, scope has to do with spatial dimensions (how system elements are related to each other) rather than hierarchical levels.

Abbott (2006) does not disagree with the general definition of emergence as discussed above. However, he takes issue with the notion that emergence operates outside the bounds of classical physics. He says that "such higher-level entities...can always be reduced to primitive physical forces."

Bedau and Humphreys (2008) and Francois (2004) provide comprehensive descriptions of the philosophical and scientific background of emergence.

## Types of Emergence

A variety of definitions of types of emergence exists. See Emmeche et al. (1997), Chroust (2003) and O'Connor and Wong (2006) for specific details of some of the variants. Page (2009) describes three types of emergence: "simple", "weak", and "strong".

According to Page, **simple emergence** is generated by the combination of element properties and relationships and occurs in non-complex or "ordered" systems (see Complexity) (2009). To achieve the emergent property of "controlled flight" we cannot consider only the wings, or the control system, or the propulsion system. All three must be considered, as well as the way these three are interconnected-with each other, as well as with all the other parts of the aircraft. Page suggests that simple emergence is the only type of emergence that can be predicted. This view of emergence is also referred to as synergy (Hitchins 2009).

Page describes **weak emergence** as expected emergence which is desired (or at least allowed for) in the system structure (2009). However, since weak emergence is a product of a complex system, the actual level of emergence cannot be predicted just from knowledge of the characteristics of the individual system components.

The term **strong emergence** is used to describe unexpected emergence; that is, emergence not observed until the system is simulated or tested or, more alarmingly, until the system encounters in operation a situation that was not anticipated during design and development.

Strong emergence may be evident in failures or shutdowns. For example, the US-Canada Blackout of 2003 as described by the US-Canada Power System Outage Task Force (US-Canada Power Task Force 2004) was a case of cascading shutdown that resulted from the design of the system. Even though there was no equipment failure, the shutdown was systemic. As Hitchins points out, this example shows that emergent properties are not always beneficial (Hitchins 2007, 15).

Other authors make a different distinction between the ideas of strong, or unexpected, emergence and unpredictable emergence:

- Firstly, there are the unexpected properties that could have been predicted but were not considered in a systems development: "Properties which are unexpected by the observer because of his incomplete data set, with regard to the phenomenon at hand" (Francois, C. 2004, 737). According to Jackson et al. (2010), a desired level of emergence is usually achieved by iteration. This may occur as a result of evolutionary processes, in which element properties and combinations are "selected for", depending on how well they contribute to a system's effectiveness against environmental pressures or by iteration of design parameters through simulation or build/test cycles. Taking this view, the specific values of weak emergence can be refined, and examples of strong emergence can be considered in subsequent iterations so long as they are amenable to analysis.
- Secondly, there are unexpected properties which cannot be predicted from the properties of the system's components: "Properties which are, in and of themselves, not derivable a priori from the behavior of the parts of the system" (Francois, C. 2004, 737). This view of emergence is a familiar one in social or natural sciences, but more controversial in engineering. We should distinguish between a theoretical and a practical unpredictability (Chroust 2002). The weather forecast is theoretically predictable, but beyond certain limited accuracy practically impossible due to its chaotic nature. The emergence of consciousness in human beings cannot be deduced from

the physiological properties of the brain. For many, this genuinely unpredictable type of complexity has limited value for engineering. (See **Practical Considerations** below.)

A type of system particularly subject to strong emergence is the system of systems (sos). The reason for this is that the SoS, by definition, is composed of different systems that were designed to operate independently. When these systems are operated together, the interaction among the parts of the system is likely to result in unexpected emergence. Chaotic or truly unpredictable emergence is likely for this class of systems.

## Emergent Properties

Emergent properties can be defined as follows: “A property of a complex system is said to be ‘emergent’ [in the case when], although it arises out of the properties and relations characterizing its simpler constituents, it is neither predictable from, nor reducible to, these lower-level characteristics” (Honderich 1995, 224).

All systems can have emergent properties which may or may not be predictable or amenable to modeling, as discussed above. Much of the literature on complexity includes emergence as a defining characteristic of complex systems. For example, Boccara (2004) states that “The appearance of emergent properties is the single most distinguishing feature of complex systems.” In general, the more ordered a system is, the easier its emergent properties are to predict. The more complex a system is, the more difficult predicting its emergent properties becomes.

Some practitioners use the term “emergence” only when referring to “strong emergence”. These practitioners refer to the other two forms of emergent behavior as synergy or “system level behavior” (Chroust 2002). Taking this view, we would reserve the term "Emergent Property" for unexpected properties, which can be modeled or refined through iterations of the systems development.

Unforeseen emergence causes nasty shocks. Many believe that the main job of the systems approach is to prevent undesired emergence in order to minimize the risk of unexpected and potentially undesirable outcomes. This review of emergent properties is often specifically associated with identifying and avoiding system failures (Hitchins 2007).

Good SE isn't just focused on avoiding system failure, however. It also involves maximizing opportunity by understanding and exploiting emergence in engineered systems to create the required system level characteristics from synergistic interactions between the components, not just from the components themselves (Sillitto 2010).

One important group of emergent properties includes properties such as agility and resilience. These are critical system properties that are not meaningful except at the whole system level.

## Practical Considerations

As mentioned above, one way to manage emergent properties is through iteration. The requirements to iterate the design of an engineered system to achieve desired emergence results in a design process are lengthier than those needed to design an ordered system. Creating an engineered system capable of such iteration may also require a more configurable or modular solution. The result is that complex systems may be more costly and time-consuming to develop than ordered ones, and the cost and time to develop is inherently less predictable.

Sillitto (2010) observes that “engineering design domains that exploit emergence have good mathematical models of the domain, and rigorously control variability of components and subsystems, and of process, in both design and operation.” The iterations discussed above can be accelerated by using simulation and modeling, so that not all the iterations need to involve building real systems and operating them in the real environment.

The idea of domain models is explored further by Hybertson in the context of general models or patterns learned over time and captured in a model space (Hybertson 2009). Hybertson states that knowing what emergence will appear from a given design, including side effects, requires hindsight. For a new type of problem that has not been solved, or a new type of system that has not been built, it is virtually impossible to predict emergent behavior of the solution or system. Some hindsight, or at least some insight, can be obtained by modeling and iterating a specific

system design; however, iterating the design within the development of one system yields only limited hindsight and often does not give a full sense of emergence and side effects.

True hindsight and understanding comes from building multiple systems of the same type and deploying them, then observing their emergent behavior in operation and the side effects of placing them in their environments. If those observations are done systematically, and the emergence and side effects are distilled and captured in relation to the design of the systems — including the variations in those designs — and made available to the community, then we are in a position to predict and exploit the emergence.

Two factors are discovered in this type of testing environment: what works (that is, what emergent behavior and side effects are desirable); and what does not work (that is, what emergent behavior and side effects are undesirable). What works affirms the design. What does not work calls for corrections in the design. This is why multiple systems, especially complex systems, must be built and deployed over time and in different environments - to learn and understand the relations among the design, emergent behavior, side effects, and environment.

These two types of captured learning correspond respectively to patterns and “antipatterns,” or patterns of failure, both of which are discussed in a broader context in the Principles of Systems Thinking and Patterns of Systems Thinking topics.

The use of iterations to refine the values of emergent properties, either across the life of a single system or through the development of patterns encapsulating knowledge gained from multiple developments, applies most easily to the discussion of strong emergence above. In this sense, those properties which can be observed but cannot be related to design choices are not relevant to a systems approach. However, they can have value when dealing with a combination of engineering and managed problems which occur for system of systems contexts (Sillitto 2010). (See Systems Approach Applied to Engineered Systems.)

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# Knowledge Area: Systems Thinking

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## Systems Thinking

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**Lead Author:** Rick Adcock

This knowledge area (KA) provides a guide to knowledge about systems thinking which is the integrating paradigm for systems science and systems approaches to practice.

This is part of the wider systems knowledge which can help to provide a common language and intellectual foundation, and make practical systems concepts, principles, patterns and tools accessible to systems engineering (SE), as discussed in the Introduction to Part 2.

### Topics

Each part of the Guide to the SE Body of Knowledge (SEBoK) is divided into KAs, which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- What is Systems Thinking?
- Concepts of Systems Thinking
- Principles of Systems Thinking
- Patterns of Systems Thinking

## Introduction

Systems thinking is concerned with understanding or intervening in problem situations, based on the principles and concepts of the systems paradigm. This KA offers some basic definitions of systems thinking. The following diagram summarizes how the knowledge is presented.

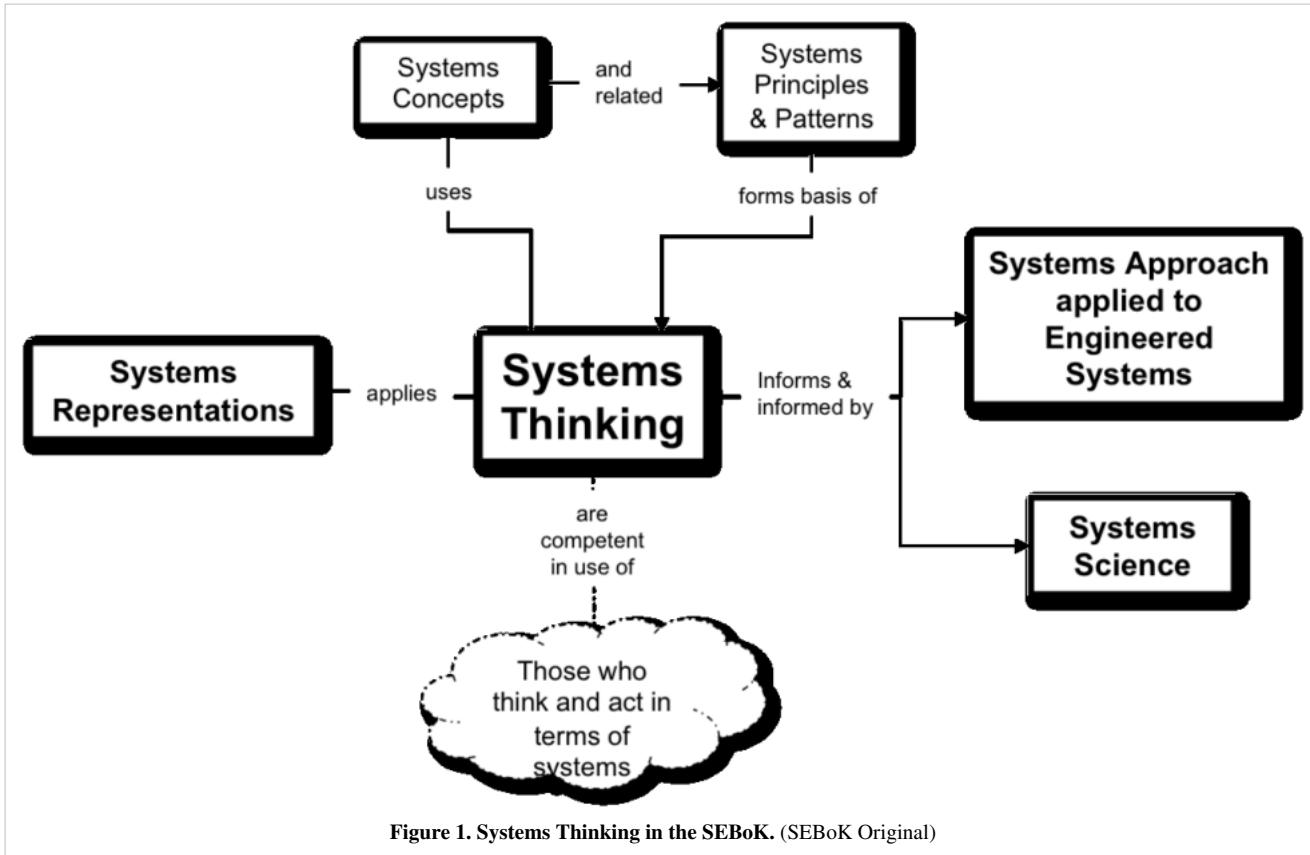


Figure 1. Systems Thinking in the SEBoK. (SEBoK Original)

Systems thinking considers the similarities between systems from different domains in terms of a set of common systems concepts, principles and patterns:

- A principle is a rule of conduct or behavior. To take this further, a principle is a “basic generalization that is accepted as true and that can be used as a basis for reasoning or conduct” (WordWeb.com).
- A concept is an abstraction, or a general idea inferred or derived from specific instances.

Principles depend on concepts in order to state a “truth.” Hence, principles and concepts go hand in hand; principles cannot exist without concepts and concepts are not very useful without principles to help guide the proper way to act (Lawson and Martin 2008).

Many sources combine both concepts and the principles based on them. The Concepts of Systems Thinking article presents concepts extracted from a variety of theory and practice sources. The Principles of Systems Thinking article, in turn, presents a summary of important principles referring back to the concepts upon which they are based.

A pattern is an expression of observable similarities found in systems from different domains. Patterns exist in both natural and man-made systems and are used in systems science and systems engineering. A summary of the different classes of patterns and the use of patterns to support a systems approach is discussed in the final Patterns of Systems Thinking article.

The practical application of systems thinking often employs the use of abstract system representations or models. Some mention of models is made in this KA; additionally, a more complete guide is provided in Representing Systems with Models.

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# What is Systems Thinking?

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This topic is part of the Systems Thinking knowledge area (KA). The scope of systems thinking is a starting point for dealing with real world situations using a set of related systems concepts discussed in the Concepts of Systems Thinking topic, systems principles discussed in the Principles of Systems Thinking topic, and system patterns discussed in the Patterns of Systems Thinking topic.

## Introduction

The concepts, principles, and patterns of systems thinking have arisen both from the work of systems scientists and from the work of practitioners applying the insights of systems science to real-world problems.

Holism has been a dominant theme in systems thinking for nearly a century, in recognition of the need to consider a system as a whole because of observed phenomena such as emergence. Proponents have included Wertheimer, Smuts, Bertalanffy, Weiss, (Ackoff 1979), (Klir 2001), and (Koestler 1967) among many others.

A more detailed discussion of the most important movements in systems theory can be found in History of Systems Science.

## Identifying Systems of Interest

When humans observe or interact with a system, they allocate boundaries and names to parts of the system. This naming may follow the natural hierarchy of the system, but will also reflect the needs and experience of the observer to associate elements with common attributes of purposes relevant to their own. Thus, a number of systems of interest (SoIs) (Flood and Carson 1993) must be identified and they must be both relevant and include a set of elements which represent a system whole. This way of observing systems wherein the complex system relationships are focused around a particular system boundary is called **systemic resolution**.

Systems thinking requires an ongoing process of attention and adaptation to ensure that one has appropriately identified boundaries, dependencies, and relationships. Churchman (1968) and others have also considered broader ethical, political, and social questions related to management science with regards to the relative power and responsibility of the participants in system interventions. These are seen by critical systems thinkers as key factors to be considered in defining problem system boundaries.

A system context can be used to define a SoI and to capture and agree on the important relationships between it, such as the systems which it works with directly and the systems which influence it in some way. When this approach is used to focus on part of a larger system, a balance of reductionism and holism is applied. This balance sits at the heart of a systems approach. A systems context provides the tool for applying this balance and is thus an essential part of any systems approach and hence, of systems engineering (SE) as well. Approaches for describing the context of the different types of engineered systems are discussed in the Engineered System Context topic within the Systems Approach Applied to Engineered Systems KA.

## Thoughts on Systems Thinking

Senge (1990) discusses systems thinking in a number of ways as

*a discipline for seeing wholes ... a framework for seeing interrelationships rather than things ... a process of discovery and diagnosis ... and as a sensibility for the subtle interconnectedness that gives living systems their unique character.*(Senge 2006, 68-69)

Churchman came to define a systems approach as requiring consideration of a system from the viewpoint of those outside its boundary (Churchman 1979). There are many demonstrations that choosing too narrow a boundary, either in terms of scope or timeline, results in the problem of the moment being solved only at the expense of a similar or bigger problem being created somewhere else in space, community, or time (Senge 2006) and (Meadows 1977). This is the "shifting the burden" archetype described in Patterns of Systems Thinking topic.

Churchman believes that an important component of system knowledge comes from "others" or "enemies" outside the system; the systems approach begins when first you see the world through the eyes of another (Churchman 1968). In this famous phrase, Churchman suggests that people can step outside a system they are in and mentally try to consider it through the lenses of other people's values. Churchman (1979) identified four main enemies of the systems approach namely: politics, morality, religion and aesthetics.

To Churchman, the "enemies" of the systems approach provide a powerful way of learning about the systems approach, precisely because they enable the rational thinker to step outside the boundary of a system and to look at it. It means that systems thinkers are not necessarily just involved within a system but are essentially involved in reasoning and decisions "outside" of systems rationality.

Some additional perspectives on systems thinking definitions are as follows:

- "Systems thinking requires the consciousness of the fact that we deal with models of our reality and not with the reality itself." (Ossimitz 1997, 1)
- "...what is often called 'systemic thinking' ...is ...a bundle of capabilities, and at the heart of it is the ability to apply our normal thought processes, our common sense, to the circumstances of a given situation." (Dörner 1996, 199)
- "Systems thinking provides a powerful way of taking account of causal connections that are distant in time and space." (Stacey 2000, 9)

Chaos and complexity theories have also impacted the development of systems thinking, including the treatment of such concepts as emergence. According to Gharajedaghi:

*Systems thinking is the art of simplifying complexity. It is about seeing through chaos, managing interdependency, and understanding choice. We see the world as increasingly more complex and chaotic because we use inadequate concepts to explain it. When we understand something, we no longer see it as chaotic or complex.* (Gharajedaghi 1999, 283)

Kasser considers systems thinking to be one element in a wider system of holistic thinking. Kasser defines holistic thinking as follows: "...the combination of analysis [in the form of elaboration], systems thinking and critical thinking" (Kasser 2010).

## Systems Thinking and the Guide to the Systems Engineering Body of Knowledge

From these discussions, one can see systems thinking as both a set of founding ideas for the development of systems theories and practices and also as a pervasive way of thinking needed by those developing and applying those theories.

The SEBoK is particularly focused on how systems thinking can support a systems approach to engineered systems.

In order to examine a SoI in more detail, to understand, use, or change it in some way, practitioners are faced with an apparent “systems thinking paradox.” One can only truly understand a system by considering all of its possible relationships and interactions, inside and outside of its boundary and in all possible future situations (of both system creation and life), but this makes it apparently impossible for people to understand a system or to predict all of the consequences of changes to it.

If this means that all possible system relationships and environmental conditions must be considered to fully understand the consequences of creating or changing a system, what useful work can be done?

In many ways this is the essence of all human endeavors, whether they are technical, managerial, social or political, the so-called *known knowns* and *unknown unknowns*. The systems approach is a way of tackling real world problems and making use of the concepts, principles and patterns of systems thinking to enable systems to be engineered and used.

The systems principles of encapsulation and separation of concerns in Principles of Systems Thinking relate to this issue. Some of the detail of complex situations must be hidden to allow focus on changes to a system element. The impact must be considered of any changes that might be made across sufficient related system components to fit within the acceptable commercial and social risks that must be considered. Engineering and management disciplines deal with this by gathering as much knowledge as necessary to proceed at a risk level acceptable to the required need. The assessment of what is enough and how much risk to take can, to some extent, be codified with rules and regulations, and managed through processes and procedures; however, it is ultimately a combination of the skill and judgment of the individuals performing the work.

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# Concepts of Systems Thinking

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This article forms part of the Systems Thinking knowledge area (KA). It describes systems concepts, knowledge that can be used to understand problems and solutions to support systems thinking.

The concepts below have been synthesized from a number of sources, which are themselves summaries of concepts from other authors. Ackoff (1971) proposed a system of system concepts as part of general system theory (GST); Skyttner (2001) describes the main GST concepts from a number of systems science authors; Flood and Carlson (1993) give a description of concepts as an overview of systems thinking; Hitchins (2007) relates the concepts to systems engineering practice; and Lawson (2010) describes a system of system concepts where systems are categorized according to fundamental concepts, types, topologies, focus, complexity, and roles.

## Wholeness and Interaction

A system is defined by a set of elements which exhibit sufficient cohesion, or "togetherness," to form a bounded whole (Hitchins 2007; Boardman and Sauser 2008).

According to Hitchins, interaction between elements is the "key" system concept (Hitchins 2009, 60). The focus on interactions and holism is a push-back against the perceived reductionist focus on parts and provides recognition that in complex systems, the interactions among parts is at least as important as the parts themselves.

An open system is defined by the interactions between system elements within a system boundary and by the interaction between system elements and other systems within an environment (see What is a System?). The remaining concepts below apply to open systems.

## Regularity

Regularity is a uniformity or similarity that exists in multiple entities or at multiple times (Bertalanffy 1968). Regularities make science possible and engineering efficient and effective. Without regularities, we would be forced to consider every natural and artificial system problem and solution as unique. We would have no scientific laws, no categories or taxonomies, and each engineering effort would start from a clean slate.

Similarities and differences exist in any set or population. Every system problem or solution can be regarded as unique, but no problem/solution is in fact entirely unique. The nomothetic approach assumes regularities among entities and investigates what the regularities are. The idiographic approach assumes each entity is unique and investigates the unique qualities of entities, (Bertalanffy 1975).

A very large amount of regularity exists in both natural systems and engineered systems. Patterns of systems thinking capture and exploit that regularity.

## State and Behavior

Any quality or property of a system element is called an attribute. The state of a system is a set of system attributes at a given time. A **system event** describes any change to the environment of a system, and hence its state:

- **Static** - A single state exists with no events.
- **Dynamic** - Multiple possible stable states exist.
- **Homeostatic** - System is static but its elements are dynamic. The system maintains its state by internal adjustments.

A stable state is one in which a system will remain until another event occurs.

State can be monitored using state variables, values of attributes which indicate the system state. The set of possible values of state variables over time is called the "state space". State variables are generally continuous but can be modeled using a finite state model (or "state machine").

Ackoff (1971) considers "change" to be how a system is affected by events, and system behavior as the effect a system has upon its environment. A system can

- **react** to a request by turning on a light,
- **respond** to darkness by deciding to turn on the light, or
- **act** to turn on the lights at a fixed time, randomly or with discernible reasoning.

A stable system is one which has one or more stable states within an environment for a range of possible events:

- **Deterministic** systems have a one-to-one mapping of state variables to state space, allowing future states to be predicted from past states.
- **Non-Deterministic** systems have a many-to-many mapping of state variables; future states cannot be reliably predicted.

The relationship between determinism and system complexity, including the idea of chaotic systems, is further discussed in the Complexity article.

## Survival Behavior

Systems often behave in a manner that allows them to sustain themselves in one or more alternative viable states. Many natural or social systems have this goal, either consciously or as a "self organizing" system, arising from the interaction between elements.

Entropy is the tendency of systems to move towards disorder or disorganization. In physics, entropy is used to describe how organized heat energy is "lost" into the random background energy of the surrounding environment (the 2nd Law of Thermodynamics). A similar effect can be seen in engineered systems. What happens to a building or garden left unused for any time? Entropy can be used as a metaphor for aging, skill fade, obsolescence, misuse, boredom, etc.

"Negentropy" describes the forces working in a system to hold off entropy. Homeostasis is the biological equivalent of this, describing behavior which maintains a "steady state" or "dynamic equilibrium." Examples in nature include human cells, which maintain the same function while replacing their physical content at regular intervals. Again, this can be used as a metaphor for the fight against entropy, e.g. training, discipline, maintenance, etc.

Hinchins (2007) describes the relationship between the viability of a system and the number of connections between its elements. Hinchins's concept of connected variety states that stability of a system increases with its connectivity (both internally and with its environment). (See variety.)

## Goal Seeking Behavior

Some systems have reasons for existence beyond simple survival. Goal seeking is one of the defining characteristics of engineered systems:

- A **goal** is a specific outcome which a system can achieve in a specified time
- An **objective** is a longer-term outcome which can be achieved through a series of goals.
- An **ideal** is an objective which cannot be achieved with any certainty, but for which progress towards the objective has value.

Systems may be single-goal seeking (perform set tasks), multi-goal seeking (perform related tasks), or reflective (set goals to tackle objectives or ideas). There are two types of goal seeking systems:

- Purposive systems have multiple goals with some shared outcome. Such a system can be used to provide pre-determined outcomes within an agreed time period. This system may have some freedom to choose how to achieve the goal. If it has memory, it may develop processes describing the behaviors needed for defined goals. Most machines or software systems are purposive.
- Purposeful systems are free to determine the goals needed to achieve an outcome. Such a system can be tasked to pursue objectives or ideals over a longer time through a series of goals. Humans and sufficiently complex machines are purposeful.

## Control Behavior

Cybernetics, the science of control, defines two basic control mechanisms:

- **Negative feedback**, maintaining system state against set objectives or levels.
- **Positive feedback**, forced growth or contraction to new levels.

One of the main concerns of cybernetics is the balance between stability and speed of response. A black-box system view looks at the whole system. Control can only be achieved by carefully balancing inputs with outputs, which reduces speed of response. A white-box system view considers the system elements and their relationships; control mechanisms can be embedded into this structure to provide more responsive control and associated risks to stability.

Another useful control concept is that of a "meta-system", which sits over the system and is responsible for controlling its functions, either as a black-box or white-box. In this case, behavior arises from the combination of system and meta-system.

Control behavior is a trade between:

- **Specialization**, the focus of system behavior to exploit particular features of its environment, and
- Flexibility, the ability of a system to adapt quickly to environmental change.

While some system elements may be optimized for specialization, a temperature sensitive switch, flexibility, or an autonomous human controller, complex systems must strike a balance between the two for best results. This is an example of the concept of dualism, discussed in more detail in Principles of Systems Thinking.

Variety describes the number of different ways elements can be controlled and is dependent on the different ways in which they can then be combined. The Law of Requisite Variety states that a control system must have at least as much variety as the system it is controlling (Ashby 1956).

## Function

Ackoff defines functions as outcomes which contribute to goals or objectives. To have a function, a system must be able to provide the outcome in two or more different ways. (This is called **equifinality**.)

This view of function and behavior is common in systems science. In this paradigm, all system elements have behavior of some kind; however, to be capable of functioning in certain ways requires a certain richness of behaviors.

In most hard systems approaches, a set of functions are described from the problem statement and then associated with one or more alternative element structures (Flood and Carson 1993). This process may be repeated until a system component (implementable combination of function and structure) has been defined (Martin 1997). Here, function is defined as either a task or activity that must be performed to achieve a desired outcome or as a transformation of inputs to outputs. This transformation may be:

- **Synchronous**, a regular interaction with a closely related system, or
- **Asynchronous**, an irregular response to a demand from another system that often triggers a set response.

The behavior of the resulting system is then assessed as a combination of function and effectiveness. In this case, behavior is seen as an external property of the system as a whole and is often described as analogous to human or organic behavior (Hitchins 2009).

## Hierarchy, Emergence and Complexity

System behavior is related to combinations of element behaviors. Most systems exhibit **increasing variety**; i.e., they have behavior resulting from the combination of element behaviors. The term "synergy," or weak emergence, is used to describe the idea that the whole is greater than the sum of the parts. This is generally true; however, it is also possible to get **reducing variety**, in which the whole function is less than the sum of the parts (Hitchins 2007).

Complexity frequently takes the form of hierarchies. Hierarchic systems have some common properties independent of their specific content, and they will evolve far more quickly than non-hierarchic systems of comparable size (Simon 1996). A natural system hierarchy is a consequence of wholeness, with strongly cohesive elements grouping together forming structures which reduce complexity and increase robustness (Simon 1962).

Encapsulation is the enclosing of one thing within another. It may also be described as the degree to which it is enclosed. System encapsulation encloses system elements and their interactions from the external environment, and usually involves a system boundary that hides the internal from the external; for example, the internal organs of the human body can be optimized to work effectively within tightly defined conditions because they are protected from extremes of environmental change.

Socio-technical systems form what are known as control hierarchies, with systems at a higher level having some ownership of control over those at lower levels. Hitchins (2009) describes how systems form "preferred patterns" which can be used to enhance the stability of interacting systems hierarchies.

Looking across a hierarchy of systems generally reveals increasing complexity at the higher level, relating to both the structure of the system and how it is used. The term emergence describes behaviors emerging across a complex system hierarchy.

## Effectiveness, Adaptation and Learning

Systems effectiveness is a measure of the system's ability to perform the functions necessary to achieve goals or objectives. Ackoff (1971) defines this as the product of the number of combinations of behavior to reach a function and the efficiency of each combination.

Hitchens (2007) describes effectiveness as a combination of **performance** (how well a function is done in ideal conditions), **availability** (how often the function is there when needed), and **survivability** (how likely is it that the system will be able to use the function fully).

System elements and their environments change in a positive, neutral or negative way in individual situations. An adaptive system is one that is able to change itself or its environment if its effectiveness is insufficient to achieve its current or future objectives. Ackoff (1971) defines four types of adaptation, changing the environment or the system in response to internal or external factors.

A system may also **learn**, improving its effectiveness over time without any change in state or goal.

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# Principles of Systems Thinking

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This topic forms part of the Systems Thinking knowledge area (KA). It identifies systems principles as part of the basic ideas of systems thinking.

Some additional concepts more directly associated with engineered systems are described, and a summary of systems principles associated with the concepts already defined is provided. A number of additional "laws" and heuristics are also discussed.

## Systems Principles, Laws, and Heuristics

A principle is a general rule of conduct or behavior (Lawson and Martin 2008). It can also be defined as a basic generalization that is accepted as true and that can be used as a basis for reasoning or conduct (WordWeb 2012c). Thus, systems principles can be used as a basis for reasoning about systems thinking or associated conduct (systems approaches).

## Separation of Concerns

A systems approach is focused on a systems-of-interest (SoI) of an open system. This SoI consists of open, interacting subsystems that as a whole interact with and adapt to other systems in an environment. The systems approach also considers the SoI in its environment to be part of a larger, wider, or containing system (Hitchins 2009).

In the What is Systems Thinking? topic, a "systems thinking paradox" is discussed. How is it possible to take a holistic system view while still being able to focus on changing or creating systems?

Separation of concerns describes a balance between considering parts of a system problem or solution while not losing sight of the whole (Greer 2008). Abstraction is the process of taking away characteristics from something in order to reduce it to a set of base characteristics (SearchCIO 2012). In attempting to understand complex situations, it is easier to focus on bounded problems, whose solutions still remain agnostic to the greater problem (Erl 2012). This process sounds reductionist, but it can be applied effectively to systems. The key to the success of this approach is ensuring that one of the selected problems is the concern of the system as a whole. Finding balance between using abstraction to focus on specific concerns while ensuring the whole is continually considered is at the center of

systems approaches. A view is a subset of information observed of one or more entities, such as systems. The physical or conceptual point from which a view is observed is the viewpoint, which can be motivated by one or more observer concerns. Different views of the same target must be both separate, to reflect separation of concerns, and integrated such that all views of a given target are consistent and form a coherent whole (Hybertson 2009). Some sample views of a system are internal (Of what does it consist?), external (What are its properties and behavior as a whole?), static (What are its parts or structures?); and dynamic (interactions).

encapsulation, which encloses system elements and their interactions from the external environment, is discussed in Concepts of Systems Thinking. Encapsulation is associated with modularity, the degree to which a system's components may be separated and recombined (Griswold 1995). Modularity applies to systems in natural, social, and engineered domains. In engineering, encapsulation is the isolation of a system function within a module; it provides precise specifications for the module (IEEE Std. 610.12-1990).

Dualism is a characteristic of systems in which they exhibit seemingly contradictory characteristics that are important for the system (Hybertson 2009). The yin yang concept in Chinese philosophy emphasizes the interaction between dual elements and their harmonization, ensuring a constant dynamic balance through a cyclic dominance of one element and then the other, such as day and night (IEP 2006).

From a systems perspective, the interaction, harmonization, and balance between system properties is important. Hybertson (2009) defines **leverage** as the duality between:

- **Power**, the extent to which a system solves a specific problem, and
- **Generality**, the extent to which a system solves a whole class of problems.

While some systems or elements may be optimized for one extreme of such dualities, a dynamic balance is needed to be effective in solving complex problems.

## Summary of Systems Principles

A set of systems principles is given in Table 1 below. The "Names" segment points to concepts underlying the principle. (See Concepts of Systems Thinking). Following the table, two additional sets of items related to systems principles are noted and briefly discussed: prerequisite laws for design science, and heuristics and pragmatic principles.

**Table 1. A Set of Systems Principles. (SEBoK Original)**

Name	Statement of Principle
Abstraction	A focus on essential characteristics is important in problem solving because it allows problem solvers to ignore the nonessential, thus simplifying the problem (Sci-Tech Encyclopedia 2009; SearchCIO 2012; Pearce 2012).
Boundary	A boundary or membrane separates the system from the external world. It serves to concentrate interactions inside the system while allowing exchange with external systems (Hoagland, Dodson, and Mauck 2001).
Change	Change is necessary for growth and adaptation, and should be accepted and planned for as part of the natural order of things rather than something to be ignored, avoided, or prohibited (Bertalanffy 1968; Hybertson 2009).
Dualism	Recognize dualities and consider how they are, or can be, harmonized in the context of a larger whole (Hybertson 2009).
Encapsulation	Hide internal parts and their interactions from the external environment (Klerer 1993; IEEE 1990).
Equifinality	In open systems, the same final state may be reached from different initial conditions and in different ways (Bertalanffy 1968). This principle can be exploited, especially in systems of purposeful agents.
Holism	A system should be considered as a single entity, a whole, not just as a set of parts (Ackoff 1979; Klir 2001).
Interaction	The properties, capabilities, and behavior of a system are derived from its parts, from interactions between those parts, and from interactions with other systems (Hitchens 2009 p. 60).
Layer Hierarchy	The evolution of complex systems is facilitated by their hierarchical structure (including stable intermediate forms) and the understanding of complex systems is facilitated by their hierarchical description (Pattee 1973; Bertalanffy 1968; Simon 1996).

Leverage	Achieve maximum leverage (Hybertson 2009). Because of the power versus generality tradeoff, leverage can be achieved by a complete solution (power) for a narrow class of problems, or by a partial solution for a broad class of problems (generality).
Modularity	Unrelated parts of the system should be separated, and related parts of the system should be grouped together (Griswold 1995; Wikipedia 2012a).
Network	The network is a fundamental topology for systems that forms the basis of togetherness, connection, and dynamic interaction of parts that yield the behavior of complex systems (Lawson 2010; Martin et al. 2004; Sillitto 2010).
<b>Parsimony</b>	One should choose the simplest explanation of a phenomenon, the one that requires the fewest assumptions (Cybernetics 2012). This applies not only to choosing a design, but also to operations and requirements.
Regularity	Systems science should find and capture regularities in systems, because those regularities promote systems understanding and facilitate systems practice (Bertalanffy 1968).
<b>Relations</b>	A system is characterized by its relations: the interconnections between the elements. Feedback is a type of relation. The set of relations defines the network of the system (Odum 1994).
<b>Separation of Concerns</b>	A larger problem is more effectively solved when decomposed into a set of smaller problems or concerns (Erl 2012; Greer 2008).
<b>Similarity/Difference</b>	Both the similarities and differences in systems should be recognized and accepted for what they are (Bertalanffy 1975 p. 75; Hybertson 2009). Avoid forcing one size fits all, and avoid treating everything as entirely unique.
<b>Stability/Change</b>	Things change at different rates, and entities or concepts at the stable end of the spectrum can and should be used to provide a guiding context for rapidly changing entities at the volatile end of the spectrum (Hybertson 2009). The study of complex adaptive systems can give guidance to system behavior and design in changing environments (Holland 1992).
Synthesis	Systems can be created by “choosing (conceiving, designing, selecting) the right parts, bringing them together to interact in the right way, and in orchestrating those interactions to create requisite properties of the whole, such that it performs with optimum effectiveness in its operational environment, so solving the problem that prompted its creation” (Hitchins 2009: 120).
View	Multiple views, each based on a system aspect or concern, are essential to understand a complex system or problem situation. One critical view is how concern relates to properties of the whole (Edson 2008; Hybertson 2009).

The principles are not independent. They have synergies and tradeoffs. Lipson (2007), for example, argued that “scalability of open-ended evolutionary processes depends on their ability to exploit functional modularity, structural regularity and hierarchy.” He proposed a formal model for examining the properties, dependencies, and tradeoffs among these principles. Edson (2008) related many of the above principles in a structure called the conceptagon, which he modified from the work of Boardman and Sauser (2008). Edson also provided guidance on how to apply these principles. Not all principles apply to every system or engineering decision. Judgment, experience, and heuristics (see below) provide understanding into which principles apply in a given situation.

Several principles illustrate the relation of view with the dualism and yin yang principle, for example, holism and separation of concerns. These principles appear to be contradictory but are in fact dual ways of dealing with complexity. Holism deals with complexity by focusing on the whole system, while separation of concerns divides a problem or system into smaller, more manageable elements that focus on particular concerns. They are reconciled by the fact that both views are needed to understand systems and to engineer systems; focusing on only one or the other does not give sufficient understanding or a good overall solution. This dualism is closely related to the systems thinking paradox described in What is Systems Thinking?.

Rosen (1979) discussed “false dualisms” of systems paradigms that are considered incompatible but are in fact different aspects or views of reality. In the present context, they are thus reconcilable through yin yang harmonization. Edson (2008) emphasized viewpoints as an essential principle of systems thinking; specifically, as a way to understand opposing concepts.

Derick Hitchins (2003) produced a systems life cycle theory described by a set of seven principles forming an integrated set. This theory describes the creation, manipulation and demise of engineered systems. These principles consider the factors which contribute to the stability and survival of man made systems in an environment. Stability

is associated with the principle of **connected variety**, in which stability is increased by variety, plus the **cohesion** and **adaptability** of that variety. Stability is limited by allowable relations, resistance to change, and patterns of interaction. Hitchins describes how interconnected systems tend toward a **cyclic progression**, in which variety is generated, dominance emerges to suppress variety, dominant modes decay and collapse and survivors emerge to generate new variety.

Guidance on how to apply many of these principles to engineered systems is given in the topic Synthesizing Possible Solutions, as well as in System Definition and other knowledge areas in Part 3 of the SEBoK.

## Prerequisite Laws of Design Science

John Warfield (1994) identified a set of laws of generic design science that are related to systems principles. Three of these laws are stated here:

1. "Law of Requisite Variety": A design situation embodies a variety that must be matched by the specifications. The variety includes the diversity of stakeholders. This law is an application of the design science of the Ashby (1956) Law of Requisite Variety, which was defined in the context of cybernetics and states that to successfully regulate a system, the variety of the regulator must be at least as large as the variety of the regulated system.
2. "Law of Requisite Parsimony": Information must be organized and presented in a way that prevents human information overload. This law derives from Miller's findings on the limits of human information processing capacity (Miller 1956). Warfield's structured dialog method is one possible way to help achieve the requisite parsimony.
3. "Law of Gradation": Any conceptual body of knowledge can be graded in stages or varying degrees of complexity and scale, ranging from simplest to most comprehensive, and the degree of knowledge applied to any design situation should match the complexity and scale of the situation. A corollary, called the Law of Diminishing Returns, states that a body of knowledge should be applied to a design situation at the stage at which the point of diminishing returns is reached.

## Heuristics and Pragmatic Principles

A heuristic is a common sense rule intended to increase the probability of solving some problem (WordWeb 2012b). In the present context, it may be regarded as an informal or pragmatic principle. Maier and Rechtin (2000) identified an extensive set of heuristics that are related to systems principles. A few of these heuristics are stated here:

- Relationships among the elements are what give systems their added value. This is related to the "Interaction" principle.
- Efficiency is inversely proportional to universality. This is related to the "Leverage" principle.
- The first line of defense against complexity is simplicity of design. This is related to the "Parsimony" principle.
- In order to understand anything, you must not try to understand everything (attributed to Aristotle). This is related to the "Abstraction" principle.

An International Council on Systems Engineering (INCOSE) working group (INCOSE 1993) defined a set of "pragmatic principles" for systems engineering (SE). They are essentially best practice heuristics for engineering a system. For example:

- Know the problem, the customer, and the consumer
- Identify and assess alternatives to converge on a solution
- Maintain the integrity of the system

Hitchins defines a set of SE principles which include principles of holism and synthesis as discussed above, as well as principles describing how systems problems that are of particular relevance to a Systems Approach Applied to Engineered Systems should be resolved (Hitchins 2009).

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# Patterns of Systems Thinking

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This topic forms part of the Systems Thinking knowledge area (KA). It identifies systems patterns as part of the basic ideas of systems thinking. The general idea of patterns and a number of examples are described. A brief conclusion discusses the maturity of systems science from the perspective of principles and patterns.

## Systems Patterns

This section first discusses definitions, types, and pervasiveness of patterns. Next, samples of basic patterns in the form of hierarchy and network patterns, metapatterns, and systems engineering (SE) patterns are discussed. Then samples of patterns of failure (or “antipatterns”) are presented in the form of system archetypes, along with antipatterns in software engineering and other fields. Finally, a brief discussion of patterns as maturity indicators is given.

### Pattern Definitions and Types

The most general definition of pattern is that it is an expression of an observed regularity. Patterns exist in both natural and artificial systems and are used in both systems science and systems engineering (SE). Theories in science are patterns. Building architecture styles are patterns. Engineering uses patterns extensively.

Patterns are a representation of similarities in a set or class of problems, solutions or systems. In addition, some patterns can also represent uniqueness or differences, e.g., uniqueness pattern or unique identifier, such as automobile vehicle identification number (VIN), serial number on a consumer product, human fingerprints, DNA. The pattern is that a unique identifier, common to all instances in a class (such as a fingerprint), distinguishes between all instances in that class.

The term pattern has been used primarily in building architecture and urban planning (Alexander et al. 1977, Alexander 1979) and in software engineering (e.g., Gamma et al. 1995; Buschmann et al. 1996). Their definitions portray a pattern as capturing design ideas as an archetypal and reusable description. A design pattern provides a generalized solution in the form of templates to a commonly occurring real-world problem within a given context. A design pattern is not a finished design that can be transformed directly into a specific solution. It is a description or template for how to solve a problem that can be used in many different specific situations (Gamma et al. 1995; Wikipedia 2012b). Alexander placed significant emphasis on the pattern role of reconciling and resolving competing forces, which is an important application of the yin yang principle.

Other examples of general patterns in both natural and engineered systems include: conventional designs in engineering handbooks, complex system models such as evolution and predator-prey models that apply to multiple application domains, domain taxonomies, architecture frameworks, standards, templates, architecture styles, reference architectures, product lines, abstract data types, and classes in class hierarchies (Hybertson 2009). Shaw and Garlan (Garlan 1996) used the terms *pattern* and *style* interchangeably in discussing software architecture. Lehmann and Belady (Lehmann 1985) examined a set of engineered software systems and tracked their change over time and observed regularities that they captured as evolution laws or patterns.

Patterns have been combined with model-based systems engineering (MBSE) to lead to pattern-based systems engineering (PBSE) (Schindel and Smith 2002, Schindel 2005).

Patterns also exist in systems practice, both science and engineering. At the highest level, Gregory (1966) defined science and design as behavior patterns:

*The scientific method is a pattern of problem-solving behavior employed in finding out the nature of what exists, whereas the design method is a pattern of behavior employed in inventing things of value which do not yet exist.*

Regularities exist not only as positive solutions to recurring problems, but also as patterns of failure, i.e., as commonly attempted solutions that consistently fail to solve recurring problems. In software engineering these are called antipatterns, originally coined and defined by Koenig (1995). An antipattern is just like a pattern, except that instead of a solution it gives something that looks superficially like a solution but isn't one. Koenig's rationale was that if one does not know how to solve a problem, it may nevertheless be useful to know about likely blind alleys. Antipatterns may include patterns of pathologies (i.e., common diseases), common impairment of normal functioning, and basic recurring problematic situations. These antipatterns can be used to help identify the root cause of a problem and eventually lead to solution patterns. The concept was expanded beyond software to include project management, organization, and other antipatterns (Brown et al. 1998; AntiPatterns Catalog 2012).

Patterns are grouped in the remainder of this section into basic foundational patterns and antipatterns (or patterns of failure).

## Basic Foundational Patterns

The basic patterns in this section consist of a set of hierarchy and network patterns, followed by a set of metapatterns and SE patterns.

### Hierarchy and Network Patterns

The first group of patterns are representative types of hierarchy patterns distinguished by the one-to-many relation type (extended from Hybertson 2009, 90), as shown in the table below. These are presented first because hierarchy patterns infuse many of the other patterns discussed in this section.

**Table 1. Hierarchy Patterns.** (SEBoK Original)

Relation	Hierarchy Type or Pattern
<b>Basic: Repeating One-to-Many Relation</b>	General: Tree structure
<b>Part of a Whole</b>	Composition (or Aggregation) hierarchy
<b>Part of + Dualism: Each element in the hierarchy is a holon, i.e., is both a whole that has parts and a part of a larger whole</b>	Hierarchy (composition hierarchy of holons) (Koestler 1967) - helps recognize similarities across levels in multi-level systems
<b>Part of + Interchangeability: The parts are clonons, i.e., interchangeable</b>	Composition Hierarchy of Clonons (Bloom 2005). Note: This pattern reflects horizontal similarity.
<b>Part of + Self-Similarity: At each level, the shape or structure of the whole is repeated in the parts, i.e., the hierarchy is self-similar at all scales.</b>	Fractal. Note: This pattern reflects vertical similarity.
<b>Part of + Connections or Interactions among Parts</b>	System composition hierarchy
<b>Control of Many by One</b>	Control hierarchy—e.g., a command structure
<b>Subtype or Sub-Class</b>	Type or specialization hierarchy; a type of generalization
<b>Instance of Category</b>	Categorization (object-class; model-metamodel...) hierarchy; a type of generalization

Network patterns are of two flavors. First, traditional patterns are network topology types, such as bus (common backbone), ring, star (central hub), tree, and mesh (multiple routes) (ATIS 2008). Second, the relatively young science of networks has been investigating social and other complex patterns, such as percolation, cascades, power law, scale-free, small worlds, semantic networks, and neural networks (Bocchetti 2004; Neumann et al. 2006).

## Metapatterns

The metapatterns identified and defined in the table below are from (Bloom 2005), (Volk and Bloom 2007), and (Kappraff 1991). They describe a metapattern as convergences exhibited in the similar structures of evolved systems across widely separated scales (Volk and Bloom 2007).

**Table 2. Metapatterns.** (SEBoK Original)

Name	Brief Definition	Examples
<b>Spheres</b>	Shape of maximum volume, minimum surface, containment	Cell, planet, dome, ecosystem, community
<b>Centers</b>	Key components of system stability	Prototypes, purpose, causation; Deoxyribonucleic acid (DNA), social insect centers, political constitutions and government, attractors
<b>Tubes</b>	Surface transfer, connection, support	Networks, lattices, conduits, relations; leaf veins, highways, chains of command
<b>Binaries Plus</b>	Minimal and thus efficient system	Contrast, duality, reflections, tensions, complementary/symmetrical/reciprocal relationships; two sexes, two-party politics, bifurcating decision process
<b>Clusters, Clustering</b>	Subset of webs, distributed systems of parts with mutual attractions	Bird flocks, ungulate herds, children playing, egalitarian social groups
<b>Webs or Networks</b>	Parts in relationships within systems (can be centered or clustered, using clonons or holons)	Subsystems of cells, organisms, ecosystems, machines, society
<b>Sheets</b>	Transfer surface for matter, energy, or information	Films; fish gills, solar collectors
<b>Borders and Pores</b>	Protection, openings for controlled exchange	Boundaries, containers, partitions, cell membranes, national borders
<b>Layers</b>	Combination of other patterns that builds up order, structure, and stabilization	Levels of scale, parts and wholes, packing, proportions, tiling

<b>Similarity</b>	Figures of the same shape but different sizes	Similar triangles, infant-adult
<b>Emergence</b>	General phenomenon when a new type of functionality derives from binaries or webs.	Creation (birth), life from molecules, cognition from neurons
<b>Holarchies</b>	Levels of webs, in which successive systems are parts of larger systems	Biological nesting from biomolecules to ecosystems, human social nesting, engineering designs, computer software
<b>Holons</b>	Parts of systems as functionally unique	Heart-lungs-liver (holons) of body
<b>Clonons</b>	Parts of systems as interchangeable	Skin cells (clonons) of the skin; bricks in constructing a house
<b>Arrows</b>	Stability or gradient-like change over time	Stages, sequence, orientation, stress, growth, meanders, biological homeostasis, growth, self-maintaining social structures
<b>Cycles</b>	Recurrent patterns in systems over time	Alternating repetition, vortex, spiral, turbulence, helices, rotations; protein degradation and synthesis, life cycles, power cycles of electricity generating plants, feedback cycles
<b>Breaks</b>	Relatively sudden changes in system behavior	Transformation, change, branching, explosion, cracking, translations; cell division, insect metamorphosis, coming-of-age ceremonies, political elections, bifurcation points
<b>Triggers</b>	Initiating agents of breaks, both internal and external	Sperm entering egg or precipitating events of war
<b>Gradients</b>	Continuum of variation between binary poles	Chemical waves in cell development, human quantitative and qualitative values

## Systems Engineering Patterns

Some work has been done on various aspects of explicitly applying patterns to SE. A review article of much of this work was written by Bagnulo and Addison (2010), covering patterns in general, capability engineering, pattern languages, pattern modeling, and other SE-related pattern topics. Cloutier (2005) discussed applying patterns to SE, based on architecture and software design patterns. Haskins (2005), and Simpson and Simpson (2006) discussed the use of SE pattern languages to enhance the adoption and use of SE patterns. Simpsons identified three high-level, global patterns that can be used as a means of organizing systems patterns:

- Anything can be described as a system.
- The problem system is always separate from the solution system.
- Three systems, at a minimum, are always involved in any system activity: the environmental system, the product system, and the process system.

Haskins (2008) also proposed the use of patterns as a way to facilitate the extension of SE from traditional technological systems to address social and socio-technical systems. Some patterns have been applied and identified in this extended arena, described as patterns of success by Rebovich and DeRosa (2012). Stevens (2010) also discussed patterns in the engineering of large-scale, complex “mega-systems.”

A common SE activity in which patterns are applied is in system design, especially in defining one or more solution options for a system-of-interest. See Synthesizing Possible Solutions for a discussion. The more specific topic of using patterns (and antipatterns, as described below) to understand and exploit emergence is discussed in the Emergence topic.

## Patterns of Failure: Antipatterns

### System Archetypes

The system dynamics community has developed a collection of what are called system archetypes. The concept was originated by Forrester (1969), while Senge (1990) appears to have introduced the system archetype term. According to Braun (2002), the archetypes describe common patterns of behavior that help answer the question, "Why do we keep seeing the same problems recur over time?" They focus on behavior in organizations and other complex social systems that are repeatedly but unsuccessfully used to solve recurring problems. This is why they are grouped here under antipatterns, even though the system dynamics community does not refer to the archetypes as antipatterns. The table below summarizes the archetypes. There is not a fixed set, or even fixed names for a given archetype. The table shows alternative names for some archetypes.

**Table 3. System Archetypes. (SEBoK Original)**

Name (Alternates)	Description	Reference**
<b>Counterintuitive Behavior</b>	Forrester identified three "especially dangerous" counter-intuitive behaviors of social systems, which correspond respectively to three of the archetypes discussed below: (1) Low-Leverage Policies: Ineffective Actions; (2) High Leverage Policies: Often Wrongly Applied; and (3) Long-Term vs. Short-Term Trade-offs	F1, F2
<b>Low-Leverage Policies: Ineffective Actions (Policy Resistance)</b>	Most intuitive policy changes in a complex system have very little leverage to create change; this is because the change causes reactions in other parts of the system that counteract the new policy.	F1, F3, M
<b>High Leverage Policies: Often Wrongly Applied (High Leverage, Wrong Direction)</b>	A system problem is often correctable with a small change, but this high-leverage solution is typically counter-intuitive in two ways: (1) the leverage point is difficult to find because it is usually far removed in time and place from where the problem appears, and (2) if the leverage point is identified, the change is typically made in the wrong direction, thereby intensifying the problem.	F1, F3, M
<b>Long-Term vs. Short-Term Trade-offs (Fixes that Fail, Shifting the Burden, Addiction)</b>	Short-term solutions are intuitive, but in complex systems there is nearly always a conflict or tradeoff between short-term and long-term goals. Thus, a quick fix produces immediate positive results, but its unforeseen and unintended long-term consequences worsen the problem. Furthermore, a repeated quick fix approach makes it harder to change to a more fundamental solution approach later.	F1, F3, M, S, B
<b>Drift to Low Performance (Eroding Goals, Collapse of Goals)</b>	There is a strong tendency for complex system goals to drift downward. A gap between current state and goal state creates pressure to lower the goal rather than taking difficult corrective action to reach the goal. Over time the continually lowered goals lead to crisis and possible collapse of the system.	F1, F3, M, B
<b>Official Addiction – Shifting the Burden to the Intervener</b>	The ability of a system to maintain itself deteriorates when an intervener provides help and the system then becomes dependent on the intervener.	M, S
<b>Limits to Growth (a.k.a. Limits to Success)</b>	A reinforcing process of accelerating growth (or expansion) will encounter a balancing process as the limit of that system is approached and continuing efforts will produce diminishing returns as one approaches the limits.	S, B
<b>Balancing Process with Delay</b>	Delay in the response of a system to corrective action causes the correcting agent to either over-correct or to give up due to no visible progress.	S
<b>Escalation</b>	Two systems compete for superiority, with each escalating its competitive actions to get ahead, to the point that both systems are harmed.	B
<b>Success to the Successful</b>	Growth leads to decline elsewhere. When two equally capable systems compete for a limited resource, if one system receives more resources, it is more likely to be successful, which results in its receiving even more resources, in a reinforcing loop.	S, B
<b>Tragedy of the Commons</b>	A shared resource is depleted as each system abuses it for individual gain, ultimately hurting all who share it.	H, S, B

<b>Growth and Underinvestment</b>	In a situation where capacity investments can overcome limits, if such investments are not made, S, B then growth stalls, which then rationalizes further underinvestment.	B
<b>Accidental Adversaries</b>	Two systems destroy their relationship through escalating retaliations for perceived injuries.	B
<b>Attractiveness Principle</b>	In situations where a system faces multiple limiting or impeding factors, the tendency is to consider each factor separately to select which one to address first, rather than a strategy based on the interdependencies among the factors.	B

\*\* **B**—(Braun 2002); **F1**—(Forrester 1969); **F2**—(Forrester 1995); **F3**—(Forrester 2009); **H**—(Hardin 1968); **M**—(Meadows 1982); **S**—(Senge 1990).

Relations among system archetypes were defined by Goodman and Kleiner (1993/1994) and republished in Senge et al. (1994).

### Software and Other Antipatterns

Antipatterns have been identified and collected in the software community in areas that include: architecture, development, project management, user interface, organization, analysis, software design, programming, methodology, and configuration management (AntiPatterns Catalog 2012, Wikibooks 2012). A brief statement of three of them follows; the first two are organization and the third is software design.

- Escalation of commitment - Failing to revoke a decision when it proves wrong.
- Moral hazard - Insulating a decision-maker from the consequences of his or her decision.
- Big ball of mud - A system with no recognizable structure.

A link between the software community and the system archetypes is represented in a project at the Software Engineering Institute (SEI) (2012), which explores the system archetypes in the context of identifying recurring software acquisition problems as “acquisition archetypes.” They refer to both types of archetypes as patterns of failure.

Another set of antipatterns in the general systems arena has been compiled by Troncale (2010; 2011) in his systems pathologies project. Sample pathology types or patterns include:

- Cyberpathologies - Systems-level malfunctions in feedback architectures.
- Nexopathologies - Systems-level malfunctions in network architectures or dynamics.
- Heteropathologies - Systems-level malfunctions in hierarchical, modular structure & dynamics.

Some treatments of antipatterns, including Senge (1990) and SEI (2012), also provide some advice on dealing with or preventing the antipattern.

### Patterns and Maturity

Patterns may be used as an indicator of the maturity of a domain of inquiry, such as systems science or systems engineering. In a mature and relatively stable domain, the problems and solutions are generally understood and their similarities are captured in a variety of what are here called patterns. A couple of observations can be made in this regard on the maturity of systems science in support of systems engineering.

In the arenas of physical systems and technical systems, systems science is relatively mature; many system patterns of both natural physical systems and engineered technical systems are reasonably well defined and understood.

In the arena of more complex systems, including social systems, systems science is somewhat less mature. Solution patterns in that arena are more challenging. A pessimistic view of the possibility of science developing solutions to social problems was expressed by Rittel and Webber (1973) in their classic paper on wicked problems: “The search for scientific bases for confronting problems of social policy is bound to fail, because . . . they are ‘wicked’ problems, whereas science has developed to deal with ‘tame’ problems.” A more optimistic stance toward social problems has characterized the system dynamics community. They have been pointing out for over 40 years the problems with conventional solutions to social problems, in the form of the system archetypes and associated feedback loop

models. That was an important first step. Nevertheless, they have had difficulty achieving the second step; producing social patterns that can be applied to solve those problems. The antipatterns characterize problems, but the patterns for solving those problems are elusive.

Despite the difficulties, however, social systems do exhibit regularities, and social problems are often solved to some degree. The social sciences and complex systems community have limited sets of patterns, such as common types of organization structures, common macro-economic models, and even patterns of insurgency and counter-insurgency. The challenge for systems science is to capture those regularities and the salient features of those solutions more broadly and make them explicit and available in the form of mature patterns. Then perhaps social problems can be solved on a more regular basis. As systems engineering expands its scope from the traditional emphasis on technical aspects of systems to the interplay of the social and technical aspects of socio-technical systems, such progress in systems science is becoming even more important to the practice of systems engineering.

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# Knowledge Area: Representing Systems with Models

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## Representing Systems with Models

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A model is a simplified representation of a system at some particular point in time or space intended to promote understanding of the real system. As an abstraction of a system, it offers insight about one or more of the system's aspects, such as its function, structure, properties, performance, behavior, or cost.

### Overview

The modeling of systems as holistic, value-providing entities has been gaining recognition as a central process of systems engineering. The use of modeling and simulation during the early stages of the system design of complex systems and architectures can:

- document system functions and requirements,
- assess the mission performance,
- estimate costs,
- evaluate tradeoffs, and
- provide insights to improve performance, reduce risk, and manage costs.

Modeling and analysis can complement testing and evaluations which occur later in the life cycle. In some systems, modeling and simulation may be the only way to fully evaluate performance (e.g., ballistic missile defense) or to evaluate system performance in severe scenarios (e.g., response to weapons of mass destruction attacks on the homeland). Furthermore, advanced simulations, e.g. flight simulators, and command and control center simulations, can be a cost-effective technique for personnel training in accompaniment with operational system training (INCOSE 2012).

Modeling serves to make concepts concrete and formal, enhance quality, productivity, documentation, and innovation, as well as to reduce the cost and risk of systems development.

Modeling occurs at many levels: component, subsystem, system, and systems-of-systems; and throughout the life cycle of a system. Different types of models may be needed to represent systems in support of the analysis, specification, design, and verification of systems. This knowledge area provides an overview of models used to represent different aspects of systems.

Modeling is a common practice that is shared by most engineering disciplines, including:

- electrical engineering, which uses electrical circuit design models
- mechanical engineering, which uses three-dimensional computer-aided design models
- software engineering, which uses software design and architecture models.

Each of these disciplines has its own language with its syntax and semantics, serving as a means of communication among professionals in that discipline. Analytic models are used to support power, thermal, structural, and embedded real-time analysis.

Modeling Standards play an important role in defining system modeling concepts that can be represented for a particular domain of interest and enable the integration of different types of models across domains of interest.

## Topics

Each part of the Guide to the Systems Engineering Body of Knowledge (SEBoK) is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- What is a Model?
- Why Model?
- Types of Models
- System Modeling Concepts
- Integrating Supporting Aspects into System Models
- Modeling Standards

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# What is a Model?

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This topic provides foundational concepts, such as definitions of a model and a modeling language, and expresses their relationships to modeling tools and model-based systems engineering (MBSE).

## Definition of a Model

There are many definitions of the word *model*. The following definitions refer to a model as a representation of selected aspects of a domain of interest to the modeler:

- a physical, mathematical, or otherwise logical representation of a system, entity, phenomenon, or process (DoD 1998);
- a representation of one or more concepts that may be realized in the physical world (Friedenthal, Moore, and Steiner 2009);
- a simplified representation of a system at some particular point in time or space intended to promote understanding of the real system (Bellinger 2004);
- an abstraction of a system, aimed at understanding, communicating, explaining, or designing aspects of interest of that system (Dori 2002); and
- a selective representation of some system whose form and content are chosen based on a specific set of concerns; the model is related to the system by an explicit or implicit mapping (Object Management Group 2010).

In the context of systems engineering, a model that represents a system and its environment is of particular importance to the system engineer who must specify, design, analyze, and verify systems, as well as share information with other stakeholders. A variety of system models are used to represent different types of systems for different modeling purposes. Some of the purposes for modeling systems are summarized in the topic Why Model?, and a simple taxonomy of the different types of models are described in the topic Types of Models. The modeling standards topic refers to some of the standard system modeling languages and other modeling standards that support MBSE.

A model can have different forms as indicated in the first definition above, including a physical, mathematical, or logical representation. A physical model can be a mockup that represents an actual system, such as a model airplane. A mathematical model may represent possible flight trajectories in terms of acceleration, speed, position, and orientation. A logical model may represent logical relationships that describe potential causes of airplane failure, such as how an engine failure can result in a loss of power and cause the airplane to lose altitude, or how the parts of the system are interconnected. It is apparent that many different models may be required to represent a system-of-interest (SoI).

## Modeling Language

A physical model is a concrete representation of an actual system that can be felt and touched. Other models may be more abstract representations of a system or entity. These models rely on a modeling language to express their meaning as explained in “On Ontology, Ontologies, Conceptualizations, Modeling Languages, and (Meta)Models” (Guizzardi 2007).

Just as engineering drawings express the 3D structure of mechanical and architectural designs, conceptual models are the means by which systems are conceived, architected, designed, and built. The resulting models are the counterparts of the mechanical design blueprint. However, the difference is that, while blueprints are exact representations of physical artifacts with a precise, agreed-upon syntax and long tradition of serving as a means of communication among professionals, conceptual models are just beginning to make headway toward being a complete and unambiguous representation of a system under development. The articles in the special section of Communications of the Association for Computing Machinery (ACM) (Dori 2003) present the abstract world of systems analysis and architecting by means of conceptual modeling, and how to evaluate, select, and construct models.

Modeling languages are generally intended to be both human-interpretable and computer-interpretable, and are specified in terms of both syntax and semantics.

The abstract syntax specifies the model constructs and the rules for constructing the model. In the case of a natural language like English, the constructs may include types of words such as verbs, nouns, adjectives, and prepositions, and the rules specify how these words can be used together to form proper sentences. The abstract syntax for a mathematical model may specify constructs to define mathematical functions, variables, and their relationships. The abstract syntax for a logical model may also specify constructs to define logical entities and their relationships. A well-formed model abides by the rules of construction, just as a well-formed sentence must conform to the grammatical rules of the natural language.

The concrete syntax specifies the symbols used to express the model constructs. The natural language English can be expressed in text or Morse code. A modeling language may be expressed using graphical symbols and/or text statements. For example, a functional flow model may be expressed using graphical symbols consisting of a combination of graphical nodes and arcs annotated with text, while a simulation modeling language may be expressed using a programming language text syntax such as the C programming language.

The semantics of a language define the meaning of the constructs. For example, an English word does not have explicit meaning until the word is defined. Similarly, a construct that is expressed as a symbol, such as a box or arrow on a flow chart, does not have meaning until it is defined. The language must give meaning to the concept of a verb or noun, and must give specific meaning to a specific word that is a verb or noun. The definition can be established by providing a natural language definition or by mapping the construct to a formalism whose meaning is defined. As an example, a graphical symbol that expresses  $\sin(x)$  and  $\cos(x)$  is defined using a well-defined mathematical formalism for the sine and cosine function. If the position of a pendulum is defined in terms of  $\sin(\theta)$  and  $\cos(\theta)$ , the meaning of the pendulum position is understood in terms of these formalisms.

## Modeling Tools

Models are created by a modeler using modeling tools. For physical models, the modeling tools may include drills, lathes, and hammers. For more abstract models, the modeling tools are typically software programs running on a computer. These programs provide the ability to express modeling constructs using a particular modeling language. A word processor can be viewed as a tool used to build text descriptions using natural language. In a similar way, modeling tools are used to build models using modeling languages. The tool often provides a tool palette to select symbols and a content area to construct the model from the graphical symbols or other concrete syntax. A modeling tool typically checks the model to evaluate whether it conforms to the rules of the language and enforces such rules

to help the modeler create a well-formed model. This is similar to the way a word processor checks the text to see that it conforms to the grammar rules for the natural language.

Some modeling tools are commercially available products, while others may be created or customized to provide unique modeling solutions. Modeling tools are often used as part of a broader set of engineering tools which constitute the systems development environment. There is increased emphasis on tool support for standard modeling languages that enable models and modeling information to be interchanged among different tools.

## Relationship of Model to Model-Based Systems Engineering

The International Council of Systems Engineering (INCOSE) (INCOSE Systems Engineering Vision 2020 2007) defines MBSE as “the formalized application of modeling to support system requirements, design, analysis, verification, and validation activities beginning in the conceptual design phase and continuing throughout development and later life cycle phases.” In MBSE, the models of the system are primary artifacts of the systems engineering process, and are managed, controlled, and integrated with other parts of the system technical baseline. This contrasts with the traditional document-centric approach to systems engineering, where text-based documentation and specifications are managed and controlled. Leveraging a model-based approach to systems engineering is intended to result in significant improvements in system specification and design quality, lower risk and cost of system development by surfacing issues early in the design process, enhanced productivity through reuse of system artifacts, and improved communications among the system development and implementation teams.

In addition to creating models, the MBSE approach typically includes methods for model management, which aim to ensure that models are properly controlled, and methods for model validation, which aim to ensure that models accurately represent the systems being modeled.

The jointly sponsored INCOSE/Object Management Group (OMG) MBSE Wiki<sup>[1]</sup> provides additional information on the INCOSE MBSE Initiative, including some applications of MBSE and some key topics related to MBSE such as sections on Methodology and Metrics, and Model Management.

The Final Report of the Model Based Engineering (MBE) Subcommittee, which was generated by the the National Defense Industrial Association (NDIA) Modeling and Simulation Committee of the Systems Engineering Division, highlights many of the benefits, risks, and challenges of a model-based approach, and includes many references to case studies of MBE (NDIA 2011).

## Brief History of System Modeling Languages and Methods

Many system modeling methods and associated modeling languages have been developed and deployed to support various aspects of system analysis, design, and implementation. Functional modeling languages include the data flow diagram (DFD) (Yourdon and Constantine 1979), Integration Definition for Functional Modeling (IDEF0) (Menzel and Maier 1998), and enhanced functional flow block diagram (eFFBD). Other behavioral modeling techniques include the classical state transition diagram, statecharts (Harel 1987), and process flow diagrams. Structural modeling techniques include data structure diagrams (Jackson 1975), entity relationship diagrams (Chen 1976), and object modeling techniques (Rumbaugh et al. 1991), which combine object diagrams, DFDs, and statecharts.

In 2008, Estefan conducted an extensive survey of system modeling methods, processes, and tools and documented the results in A Survey of Model-Based Systems Engineering (MBSE) Methodologies (Estefan 2008). This survey identifies several candidate MBSE methodologies and modeling languages that can be applied to support an MBSE approach. Additional modeling methods are available from the MBSE Wiki<sup>[1]</sup> under the section on Methodology and Metrics<sup>[2]</sup>. The modeling standards section refers to some of the standard system modeling languages and other modeling standards that support MBSE. Since Estefan's report, a number of surveys have been conducted to understand the acceptance and barriers to model-based systems engineering (Bone and Cloutier 2010, 2014; Cloutier 2015).

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# Why Model?

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System models can be used for many purposes. This topic highlights some of those purposes, and provides indicators of an effective model in the context of model-based systems engineering (MBSE).

## Purpose of a Model

Models are representations that can aid in defining, analyzing, and communicating a set of concepts. System models are specifically developed to support analysis, specification, design, verification, and validation of a system, as well as to communicate certain information. One of the first principles of modeling is to clearly define the purpose of the model. Some of the purposes that models can serve throughout the system life cycle are:

- **Characterizing an existing system:** Many existing systems are poorly documented and modeling the system can provide a concise way to capture the existing system design. This information can then be used to facilitate system maintenance or to assess the system with the goal of improving it. This is analogous to creating an architectural model of an old building with overlays for electrical, plumbing, and structure before proceeding to upgrade it to new standards to withstand earthquakes.
- **Mission and system concept formulation and evaluation:** Models can be applied early in the system life cycle to synthesize and evaluate alternative mission and system concepts. This includes clearly and unambiguously defining the system's mission and the value it is expected to deliver to its beneficiaries. Models can be used to explore a trade-space by modeling alternative system designs and assessing the impact of critical system parameters such as weight, speed, accuracy, reliability, and cost on the overall measures of merit. In addition to bounding the system design parameters, models can also be used to validate that the system requirements meet stakeholder needs before proceeding with later life cycle activities such as synthesizing the detailed system design.
- **System design synthesis and requirements flowdown:** Models can be used to support architecting system solutions, as well as flow mission and system requirements down to system components. Different models may be required to address different aspects of the system design and respond to the broad range of system requirements. This may include models that specify functional, interface, performance, and physical requirements, as well as other non-functional requirements such as reliability, maintainability, safety, and security.
- **Support for system integration and verification:** Models can be used to support integration of the hardware and software components into a system, as well as to support verification that the system satisfies its requirements. This often involves integrating lower level hardware and software design models with system-level design models which verify that system requirements are satisfied. System integration and verification may also include replacing selected hardware and design models with actual hardware and software products in order to incrementally verify that system requirements are satisfied. This is referred to as hardware-in-the-loop testing and software-in-the-loop testing. Models can also be used to define the test cases (glossary) and other aspects of the test program to assist in test planning and execution.
- **Support for training:** Models can be used to simulate various aspects of the system to help train users to interact with the system. Users may be operators, maintainers, or other stakeholders. Models may be a basis for developing a simulator of the system with varying degrees of fidelity to represent user interaction in different usage scenarios.
- **Knowledge capture and system design evolution:** Models can provide an effective means for capturing knowledge about the system and retaining it as part of organizational knowledge. This knowledge, which can be reused and evolved, provides a basis for supporting the evolution of the system, such as changing system requirements in the face of emerging, relevant technologies, new applications, and new customers. Models can

also enable the capture of families of products.

## Indicators of an Effective Model

When modeling is done well, a model's purposes are clear and well-defined. The value of a model can be assessed in terms of how effectively it supports those purposes. The remainder of this section and the topics Types of Models, System Modeling Concepts, and Modeling Standards describe indicators of an effective model (Friedenthal, Moore, and Steiner 2012).

### Model Scope

The model must be scoped to address its intended purpose. In particular, the types of models and associated modeling languages selected must support the specific needs to be met. For example, suppose models are constructed to support an aircraft's development. A system architecture model may describe the interconnection among the airplane parts, a trajectory analysis model may analyze the airplane trajectory, and a fault tree analysis model may assess potential causes of airplane failure.

For each type of model, the appropriate breadth, depth, and fidelity should be determined to address the model's intended purpose. The model breadth reflects the system requirements coverage in terms of the degree to which the model must address the functional, interface, performance, and physical requirements, as well as other non-functional requirements, such as reliability, maintainability, and safety. For an airplane functional model, the model breadth may be required to address some or all of the functional requirements to power up, take off, fly, land, power down, and maintain the aircraft's environment.

The model's depth indicates the coverage of system decomposition from the system context down to the system components. For the airplane example, a model's scope may require it to define the system context, ranging from the aircraft, the control tower, and the physical environment, down to the navigation subsystem and its components, such as the inertial measurement unit; and perhaps down to lower-level parts of the inertial measurement unit.

The model's fidelity indicates the level of detail the model must represent for any given part of the model. For example, a model that specifies the system interfaces may be fairly abstract and represent only the logical information content, such as aircraft status data; or it may be much more detailed to support higher fidelity information, such as the encoding of a message in terms of bits, bytes, and signal characteristics. Fidelity can also refer to the precision of a computational model, such as the time step required for a simulation.

### Indicators of Model Quality

The quality of a model should not be confused with the quality of the design that the model represents. For example, one may have a high-quality, computer-aided design model of a chair that accurately represents the design of the chair, yet the design itself may be flawed such that when one sits in the chair, it falls apart. A high quality model should provide a representation sufficient to assist the design team in assessing the quality of the design and uncovering design issues.

Model quality is often assessed in terms of the adherence of the model to modeling guidelines and the degree to which the model addresses its intended purpose. Typical examples of modeling guidelines include naming conventions, application of appropriate model annotations, proper use of modeling constructs, and applying model reuse considerations. Specific guidelines are different for different types of models. For example, the guidelines for developing a geometric model using a computer-aided design tool may include conventions for defining coordinate systems, dimensioning, and tolerances.

## Model-Based Metrics

Models can provide a wealth of information that can be used for both technical and management metrics to assess the modeling effort, and, in some cases, the overall systems engineering (SE) effort. Different types of models provide different types of information. In general, models provide information that enables one to:

- assess progress;
- estimate effort and cost;
- assess technical quality and risk; and
- assess model quality.

Models can capture metrics similar to those captured in a traditional document-based approach to systems engineering, but potentially with more precision given the more accurate nature of models compared to documents. Traditional systems engineering metrics are described in *Metrics Guidebook for Integrated Systems and Product Development* (Wilbur 2005).

A model's progress can be assessed in terms of the completeness of the modeling effort relative to the defined scope of the model. Models may also be used to assess progress in terms of the extent to which the requirements have been satisfied by the design or verified through testing. When augmented with productivity metrics, the model can be used to estimate the cost of performing the required systems engineering effort to deliver the system.

Models can be used to identify critical system parameters and assess technical risks in terms of any uncertainty that lies in those parameters. The models can also be used to provide additional metrics that are associated with its purpose. For example, when the model's purpose is to support mission and system concept formulation and evaluation, then a key metric may be the number of alternative concepts that are explored over a specified period of time.

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## Additional References

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# Types of Models

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There are many different types of models expressed in a diverse array of modeling languages and tool sets. This article offers a taxonomy of model types and highlights how different models must work together to support broader engineering efforts.

## Model Classification

There are many different types of models and associated modeling languages to address different aspects of a system and different types of systems. Since different models serve different purposes, a classification of models can be useful for selecting the right type of model for the intended purpose and scope.

### Formal versus Informal Models

Since a system model is a representation of a system, many different expressions that vary in degrees of formalism could be considered models. In particular, one could draw a picture of a system and consider it a model. Similarly, one could write a description of a system in text and refer to that as a model. Both examples are representations of a system. However, unless there is some agreement on the meaning of the terms, there is a potential lack of precision and the possibility of ambiguity in the representation.

The primary focus of system modeling is to use models supported by a well-defined modeling language. While less formal representations can be useful, a model must meet certain expectations for it to be considered within the scope of model-based systems engineering (MBSE). In particular, the initial classification distinguishes between informal and formal models as supported by a modeling language with a defined syntax and the semantics for the relevant domain of interest.

### Physical Models versus Abstract Models

The United States “Department of Defense Modeling and Simulation (M&S) Glossary” asserts that “a model can be [a] physical, mathematical, or otherwise logical representation of a system” (1998). This definition provides a starting point for a high-level model classification. A physical model is a concrete representation that is distinguished from the mathematical and logical models, both of which are more abstract representations of the system. The abstract model can be further classified as descriptive (similar to logical) or analytical (similar to mathematical). Some example models are shown in Figure 1.

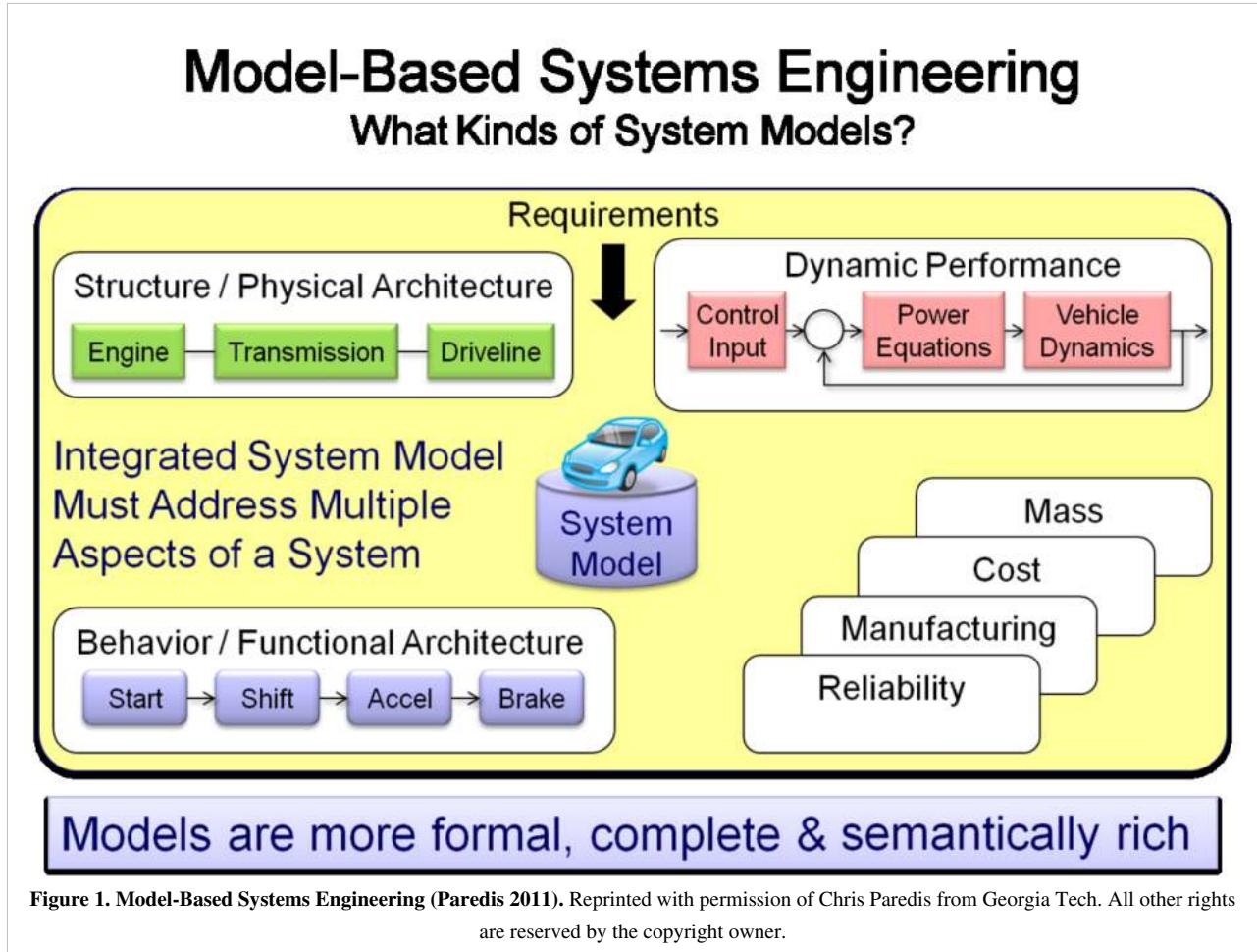


Figure 1. Model-Based Systems Engineering (Paredis 2011). Reprinted with permission of Chris Paredis from Georgia Tech. All other rights are reserved by the copyright owner.

## Descriptive Models

A descriptive model describes logical relationships, such as the system's whole-part relationship that defines its parts tree, the interconnection between its parts, the functions that its components perform, or the test cases that are used to verify the system requirements. Typical descriptive models may include those that describe the functional or physical architecture of a system, or the three-dimensional geometric representation of a system.

## Analytical Models

An analytical model describes mathematical relationships, such as differential equations that support quantifiable analysis about the system parameters. Analytical models can be further classified into dynamic and static models. Dynamic models describe the time-varying state of a system, whereas static models perform computations that do not represent the time-varying state of a system. A dynamic model may represent the performance of a system, such as the aircraft position, velocity, acceleration, and fuel consumption over time. A static model may represent the mass properties estimate or reliability prediction of a system or component.

## Hybrid Descriptive and Analytical Models

A particular model may include descriptive and analytical aspects as described above, but models may favor one aspect or the other. The logical relationships of a descriptive model can also be analyzed, and inferences can be made to reason about the system. Nevertheless, logical analysis provides different insights than a quantitative analysis of system parameters.

## Domain-Specific Models

Both descriptive and analytical models can be further classified according to the domain that they represent. The following classifications are partially derived from the presentation on *OWL, Ontologies and SysML Profiles: Knowledge Representation and Modeling* (Web Ontology Language (OWL) & Systems Modeling Language (SysML)) (Jenkins 2010):

- properties of the system, such as performance, reliability, mass properties, power, structural, or thermal models;
- design and technology implementations, such as electrical, mechanical, and software design models;
- subsystems and products, such as communications, fault management, or power distribution models; and
- system applications, such as information systems, automotive systems, aerospace systems, or medical device models.

The model classification, terminology and approach are often adapted to a particular application domain. For example, when modeling an organization or business, the behavioral model may be referred to as a workflow or process model, and the performance modeling may refer to the cost and schedule performance associated with the organization or business process.

A single model may include multiple domain categories from the above list. For example, a reliability, thermal, and/or power model may be defined for an electrical design of a communications subsystem for an aerospace system, such as an aircraft or satellite.

## System Models

System models can be hybrid models that are both descriptive and analytical. They often span several modeling domains that must be integrated to ensure a consistent and cohesive system representation. As such, the system model must provide both general-purpose system constructs and domain-specific constructs that are shared across modeling domains. A system model may comprise multiple views to support planning, requirements, design, analysis, and verification.

Wayne Wymore is credited with one of the early efforts to formally define a system model using a mathematical framework in *A Mathematical Theory of Systems Engineering: The Elements* (Wymore 1967). Wymore established a rigorous mathematical framework for designing systems in a model-based context. A summary of his work can be found in *A Survey of Model-Based Systems Engineering (MBSE) Methodologies*.

## Simulation versus Model

The term simulation, or more specifically computer simulation, refers to a method for implementing a model over time (DoD 1998). The computer simulation includes the analytical model which is represented in executable code, the input conditions and other input data, and the computing infrastructure. The computing infrastructure includes the computational engine needed to execute the model, as well as input and output devices. The great variety of approaches to computer simulation is apparent from the choices that the designer of a computer simulation must make, which include:

- stochastic or deterministic;
- steady-state or dynamic;
- continuous or discrete; and

- local or distributed.

Other classifications of a simulation may depend on the type of model that is being simulated. One example is an agent-based simulation that simulates the interaction among autonomous agents to predict complex emergent behavior (Barry 2009). There are many other types of models that could be used to further classify simulations. In general, simulations provide a means for analyzing complex dynamic behavior of systems, software, hardware, people, and physical phenomena.

Simulations are often integrated with the actual hardware, software, and operators of the system to evaluate how actual components and users of the system perform in a simulated environment. Within the United States defense community, it is common to refer to simulations as live, virtual, or constructive, where live simulation refers to live operators operating real systems, virtual simulation refers to live operators operating simulated systems, and constructive simulations refers to simulated operators operating with simulated systems. The virtual and constructive simulations may also include actual system hardware and software in the loop as well as stimulus from a real systems environment.

In addition to representing the system and its environment, the simulation must provide efficient computational methods for solving the equations. Simulations may be required to operate in real time, particularly if there is an operator in the loop. Other simulations may be required to operate much faster than real time and perform thousands of simulation runs to provide statistically valid simulation results. Several computational and other simulation methods are described in *Simulation Modeling and Analysis* (Law 2007).

## Visualization

Computer simulation results and other analytical results often need to be processed so they can be presented to the users in a meaningful way. Visualization techniques and tools are used to display the results in various visual forms, such as a simple plot of the state of the system versus time to display a parametric relationship. Another example of this occurs when the input and output values from several simulation executions are displayed on a response surface showing the sensitivity of the output to the input. Additional statistical analysis of the results may be performed to provide probability distributions for selected parameter values. Animation is often used to provide a virtual representation of the system and its dynamic behavior. For example, animation can display an aircraft's three-dimensional position and orientation as a function of time, as well as project the aircraft's path on the surface of the Earth as represented by detailed terrain maps.

## Integration of Models

Many different types of models may be developed as artifacts of a MBSE effort. Many other domain-specific models are created for component design and analysis. The different descriptive and analytical models must be integrated in order to fully realize the benefits of a model-based approach. The role of MBSE as the models integrate across multiple domains is a primary theme in the International Council on Systems Engineering (INCOSE) INCOSE Systems Engineering Vision 2020 (INCOSE 2007).

As an example, system models can be used to specify the components of the system. The descriptive model of the system architecture may be used to identify and partition the components of the system and define their interconnection or other relationships. Analytical models for performance, physical, and other quality characteristics, such as reliability, may be employed to determine the required values for specific component properties to satisfy the system requirements. An executable system model that represents the interaction of the system components may be used to validate that the component requirements can satisfy the system behavioral requirements. The descriptive, analytical, and executable system models each represent different facets of the same system.

The component designs must satisfy the component requirements that are specified by the system models. As a result, the component design and analysis models must have some level of integration to ensure that the design

model is traceable to the requirements model. The different design disciplines for electrical, mechanical, and software each create their own models representing different facets of the same system. It is evident that the different models must be sufficiently integrated to ensure a cohesive system solution.

To support the integration, the models must establish semantic interoperability to ensure that a construct in one model has the same meaning as a corresponding construct in another model. This information must also be exchanged between modeling tools.

One approach to semantic interoperability is to use model transformations between different models. Transformations are defined which establish correspondence between the concepts in one model and the concepts in another. In addition to establishing correspondence, the tools must have a means to exchange the model data and share the transformation information. There are multiple means for exchanging data between tools, including file exchange, use of application program interfaces (API), and a shared repository.

The use of modeling standards for modeling languages, model transformations, and data exchange is an important enabler of integration across modeling domains.

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# System Modeling Concepts

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A system model represents aspects of a system and its environment. There are many different types of models, as there are a variety of purposes for which they are built. It is useful to have a common way to talk about the concepts underlying the many different types of models (e.g., many modeling techniques enable the understanding of system behavior, while others enable the understanding of system structure). This article highlights several concepts used for modeling systems.

## Abstraction

Perhaps the most fundamental concept in systems modeling is abstraction, which concerns hiding unimportant details in order to focus on essential characteristics. Systems that are worth modeling have too many details for all of them to reasonably be modeled. Apart from the sheer size and structural complexity that a system may possess, a system may be behaviorally complex as well, with emergent properties, non-deterministic behavior, and other difficult-to-characterize properties. Consequently, models must focus on a few vital characteristics in order to be computationally and intellectually tractable. Modeling techniques address this complexity through various forms of abstraction. For example, a model may assume that structural characteristics of many individual components of a particular type are all the same, ignoring the small order differences between individuals in instances that occur in real life. In that case, those differences are assumed to be unimportant to modeling the structural integrity of those components. Of course, if that assumption is wrong, then the model could lead to false confidence in that structural integrity. There are two key concepts that are applied in regard to modeling different levels of abstraction, which are: view and viewpoint, and black-box and white-box modeling, which are described below. Although these two modeling methods are the most widely recognized, different modeling languages and tools employ other techniques as well.

## View and Viewpoint

IEEE 1471, a standard for architecture modeling, defines "view" and "viewpoint" as follows:

- **View** - A representation of a whole system from the perspective of a related set of concerns.
- **Viewpoint** - A specification of the conventions necessary for constructing and using a view; a pattern or template from which to develop individual views by establishing the purposes and audience for a view and the techniques for its creation and analysis.

Even though IEEE 1471 is focused on architecture models, the concepts of view and viewpoint are general and could apply to models for other purposes as well (IEEE 2000). The viewpoint addresses the concerns of the stakeholders and provides the necessary conventions for constructing a view to address those concerns; therefore, the view represents aspects of the system that address the concerns of the stakeholder. Models can be created to represent the different views of the system. A systems model should be able to represent multiple views of the system to address a range of stakeholder concerns. Standard views may include requirements, functional, structural, and parametric views, as well as a multitude of discipline-specific views to address system reliability, safety, security, and other quality characteristics.

## Black-Box and White-Box Models

A very common abstraction technique is to model the system as a black-box, which only exposes the features of the system that are visible from an external observer and hides the internal details of the design. This includes externally visible behavior and other physical characteristics, such as the system's mass or weight. A white-box model of a system, on the other hand, shows the internal structure and displays the behavior of the system. Black-box and white-box modeling can be applied to the next level of design decomposition in order to create a black-box and white-box model of each system component.

## Conceptual Model

A conceptual model is the set of concepts within a system and the relationships among those concepts (e.g., view and viewpoint). A system conceptual model describes, using one diagram type (such as in Object-Process Methodology (OPM)) or several diagram types (such as in Systems Modeling Language (SysML)), the various aspects of the system. The conceptual model might include its requirements, behavior, structure, and properties. In addition, a system conceptual model is accompanied by a set of definitions for each concept. Sometimes, system concept models are defined using an entity relationship diagram, an object-process diagram (OPD), or a Unified Modeling Language (UML) class diagram.

A preliminary conceptual (or concept) model for systems engineering (Systems Engineering Concept Model) was developed in support of the integration efforts directed toward the development of the Object Management Group (OMG) SysML and the International Organization for Standardization (ISO) AP233 *Data Exchange Standard for Systems Engineering* (ISO 2010). The concept model was originally captured in an informal manner; however, the model and associated concepts were rigorously reviewed by a broad representation of the systems engineering community, including members from the International Council on Systems Engineering (INCOSE), AP233, and SysML development teams.

A fragment from the top level systems engineering concept model is included in Figure 1. This model provides concepts for requirements, behavior, structure and properties of the system, as well as other concepts common to systems engineering and project management, such as the stakeholder. The concept model is augmented by a well-defined glossary of terms called the semantic dictionary. The concept model and the semantic dictionary contributed greatly to the requirements for the OMG Systems Modeling Language written in the UML for Systems Engineering Request for Proposal.

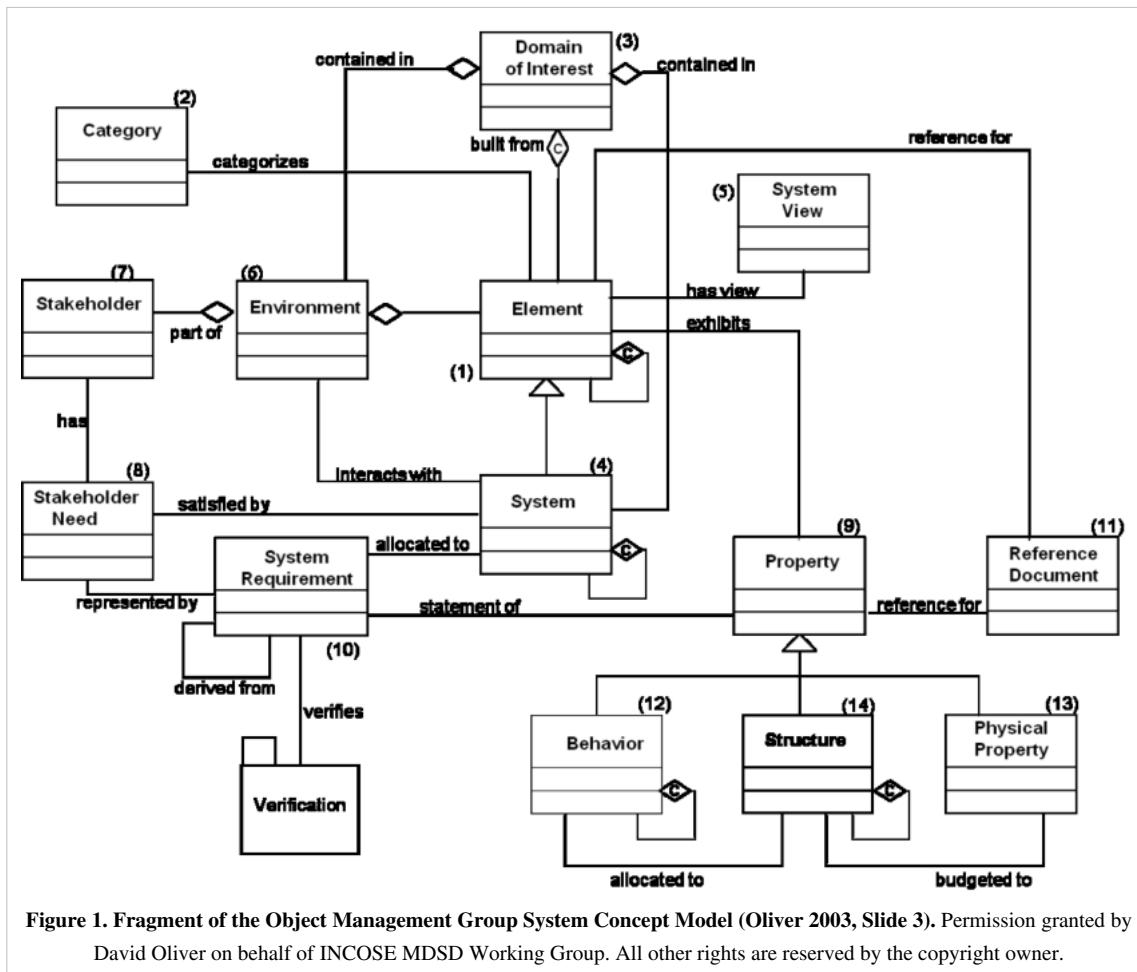


Figure 1. Fragment of the Object Management Group System Concept Model (Oliver 2003, Slide 3). Permission granted by David Oliver on behalf of INCOSE MDS Working Group. All other rights are reserved by the copyright owner.

A concept model is sometimes referred to as a meta-model, domain meta-model, or schema, and can be used to specify the abstract syntax of a modeling language (refer to the Model Driven Architecture (MDA®) Foundation Model (OMG 2010)). Several other systems engineering concept models have been developed but not standardized. Future standardization efforts should establish a standard systems engineering concept model. The model can then evolve over time as the systems engineering community continues to formalize and advance the practice of systems engineering.

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## Additional References

None.

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# Integrating Supporting Aspects into System Models

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This article discusses the integrated modeling of systems and supporting aspects using Model-Based Systems Engineering methodologies and frameworks. Supporting aspects of systems engineering include:

- Engineering Management
- Project Management
- Requirements Engineering and Management
- Risk Modeling, Analysis, and Management
- Quality Assurance, Testing, Verification, and Validation
- System Integration and Employment
- Analysis of "-ilities" (e.g., Reliability, Availability, Maintainability, Safety, And Security (RAMSS), Manufacturability, Extensibility, Robustness, Resilience, Flexibility, and Evolvability)

These aspects can pertain to physical facets, as well as to functional, structural, behavioral, social, and environmental facets of the core system model. The article focuses on three main aspects:

1. Project and Engineering Management
2. Risk Modeling, Analysis, and Management
3. Requirements Definition and Management

## Background

The model-based approach to systems engineering considers the system model as much more than a plain description of the system; the model is the central common basis for capturing, representing, and integrating the various system aspects listed above. The model is essential to the design and understanding of the system as well as to managing its life cycle and evolution. Modeling languages constitute the basis for standardized, formal descriptions of systems, just like natural languages form the basis for human communication.

As systems progressively become more complex and multidisciplinary, the conceptual modeling of systems needs to evolve and will become more critical for understanding complex design (Dori 2002). In addition to facilitating communication among clients, designers, and developers, conceptual modeling languages also assist in clearly describing and documenting various domains, systems, and problems, and define requirements and constraints for the design and development phases (Wand and Weber 2002). The importance of model-based analysis is demonstrated by the variety of conceptual modeling methodologies and frameworks, although *de facto* standards are slow to emerge. While certain disciplines of engineering design, such as structural analysis or circuit design, have established modeling semantics and notation, the conceptual modeling of complex systems and processes has not yet converged on a unified, consolidated modeling framework (Estefan 2007). The challenge is not only to integrate multiple aspects and support the various phases of the system's life cycle, but also to capture the multidisciplinary nature of the system, which has led to the creation of various frameworks. Nevertheless, the information systems analysis paradigm is currently the most widely used, perhaps due to the need to integrate complex systems via information-intensive applications and interactions.

## Integrated Modeling of Systems and Projects

This section discusses the integrated modeling of systems and projects and of the project-system relationship (often called Project-Product Integration). The fields of project management and systems engineering have been advancing hand-in-hand for the last two decades, due to the understanding that successful projects create successful systems. Many of the main systems engineering resources pay considerable attention to project management and consider it to be a critical process and enabler of systems engineering (INCOSE 2012; NASA 2007; Sage and Rouse 2011). The integration of system-related aspects and concepts into project plans is more common than the integration of project-related aspects and concepts into system models. Because the project is a means to an end, it is the process that is expected to deliver the system. Indeed, project activities are often named after or in accord with the deliverables that they are aimed at facilitating (e.g., "console design," "software development," "hardware acquisition," or "vehicle assembly"). Each is a function name, consisting of an object (noun), or the system to be attained, and a process (verb), being the project or part of the project aimed at attaining the end system.

The specific process associated with each of these examples refers to different stages or phases of the project and to different maturity levels of the system or sub-system to which it applies. Moreover, the mere inclusion of system and part names in activity names does not truly associate system model artifacts with these activities. Overall, it is not truly possible to derive the set of activities associated with a particular part or functionality of the system that will be delivered by the project. Project-Product integration is not straightforward, as project models and system models are traditionally disparate and hardly interface. A model-based approach to project-system integration follows a system-centric paradigm and focuses on incorporating project-related aspects and concepts into the core system model, as opposed to the project-centric approach described in the previous paragraph. Such aspects and concepts include schedule, budget and resources, deliverables, work-packages, constraints and previous relations. The integrated system-project model should provide useful information on the mutual effects of project activities and system components and capabilities. Some examples of integrated system-project modeling include the following:

- The set of project activities associated with a particular system component, feature, or capability.
- The set of resources required for performing a task of designing or developing a particular component of the system.

- The team or subcontractor responsible for delivering each system component.
- The preexisting dependencies between activities of system components deployment.
- The cost associated with each system component, feature, or capability.
- The parts of the system negotiated for each delivery, deployment, build, release, or version.

The Work Breakdown Structure (WBS) is designed to support the division of the project scope (work content) amongst the individuals and organizations participating in the project (Golany and Shtub 2001). The WBS is traditionally organization or activity-oriented; however, one of its main cornerstones focuses on the deliverable, which corresponds to the system, sub-system, component, or a capability or feature of one or more of these. A deliverable-oriented WBS, in which the high-level elements correspond to primary sub-systems, is advocated, as it is likely to allow the WBS to be more product-oriented (Rad 1999). An integrated approach to project planning and system modeling (Sharon and Dori 2009) merges the system model with the project's WBS using Object-Process Methodology (OPM) (Dori 2002). The unified OPM model captures both the project activities and the system components and functionalities.

The Design Structure Matrix (DSM) is a common method for enhancing and analyzing the design of products and systems. DSMs can be component-based, task-based, parameter-based, or team-based (Browning 2001). A DSM for an OPM-based project-product model derives a hybrid DSM of project activities and system building blocks from the unified OPM model, accounting for dependencies between project activities and system components, as well as replacing the two monolithic and separate component-based and task-based DSM views (Sharon, De-Weck, and Dori 2012). The underlying OPM model assures model consistency and traceability. The integrated project-product OPM model includes both a diagram and an equivalent auto-generated textual description. The DSM derived from this model visualizes a dependency loop comprising both system components and project activities.

Another model-based approach (Demoly et al. 2010) employs System Modeling Language (SysML) in order to create various views that meet the needs of various system stakeholders, such as the project/process manager. The approach includes both product-oriented and process-oriented views.

## Integrated Modeling of Systems and Requirements

Requirements are statements that describe operational, functional, or design-related aspects of a system. Requirements definition and management is an important SE process, as it both initiates and facilitates the entire SE effort by defining the expected functions and performance of the engineered system. Several challenges associated with requirements include:

- Defining the requirements in a structured, controlled manner.
- Tracing these requirements to system components, aspects, and decisions.
- Testing and verifying compliance of the system with these requirements.

The extension of conceptual system models to include requirements has several significant benefits:

1. Requirements provide the rationale for the system's architecture and design by making and justifying architectural and design decisions based on specific requirements.
2. Modeling the internal logic and the hierarchy and dependency relations among requirements enables identification and elimination of redundant and contradictory requirements.
3. Teams and persons responsible for delivering various system components can often take responsibility for satisfying specific requirements. While the advantages of having good requirements engineering is clear, it is often a challenge to directly trace requirements to specific system artifacts, especially when the requirements are defined in a holistic, solution-independent manner.

There are several methods to incorporate requirements into system models, including SysML Requirements Engineering and Object-Process Methodology (OPM)-based Requirements Engineering and Authoring.

## SysML-Based Requirements Engineering

The SysML requirements diagram makes it possible to capture the requirements and the relations among them in a visual manner, which is more intuitive than the textual manner in which requirements are traditionally edited and managed. The diagram was added to the basic set of UML diagrams that formed the basis for SysML (Friedenthal, Moore, and Steiner 2006), and is not a native UML diagram. Tracing requirements to the system blocks and artifacts satisfying them can be captured in the SysML Block Definition Diagram, which is primarily designated to capture the relations among types of system elements and components. The < > link between the block and the requirement captures the trace.

## OPM-Based Requirements Engineering

Object-Process Methodology (OPM) is a methodology and language for conceptual modeling of complex systems and processes with a bimodal textual and graphical representation (Dori 2002). OPM's textual representation is coordinated with the graphical representation; additionally, each visual model construct in the Object-Process Diagram (OPD) is described by a formal structured textual statement in Object-Process Language (OPL), which is a subset of natural English. OPM facilitates model-based requirements engineering, authoring, and specification, in three possible modes:

1. OPM can be used to generate conceptual models which initially focus on the requirements level—the problem domain, rather than the design level or the solution domain, which facilitates automated model-based requirements generation (Blekhman and Dori 2011). The requirements model is solution-neutral, and it can be the basis for one or more architectural solutions for achieving the functions specified in the requirements.
2. OPM can be utilized in order to generate requirement-oriented OPDs in a manner similar to how the SysML Requirements Diagram enables an engineer to capture the requirements specification as the skeleton for the system model. User-defined tagged structural relations, such as "is realized by" or is allocated to," provide for associating requirements with system model functions (objects and processes that transform them). This approach is similar to the SysML requirements diagram; however, instead of using a unique notation in a separate diagram type, the requirements are seamlessly incorporated into the single system model.
3. OPM can be used for the purpose of generating visual system models from formally specified requirements by tracing the textually authored requirements to system model inserts and artifacts (Dori et al. 2004).

## Integrating Risk into System Models

Risk is an expression and a measure of the negative or adverse impact of uncertainty. Risk exists whenever uncertainty can lead to several results, of which some may be negative (adverse) and some positive. A system faces risks from other systems or from the environment, and it can also pose risks to other systems or to the environment. Systems are characterized by such attributes, such as: goals, objectives, inputs, outputs, variables, parameters, processes, events, states, subsystems, interfaces, mechanisms, and methods. System vulnerability is the system's total potential to be harmed or negatively affected in any one of these attributes. Analogously, system harmfulness is the system's total potential to harm others or to generate negative effects, which can be manifested in one or more of these attributes (Haimes 2009). Model-based risk analysis (MBRA) enables structured analysis and risk-related process control. Several model-based risk analysis approaches are available in the literature. MBRA is presently more common in the information technology and information security domains than in the systems engineering domain; however, some of the methods are generally applicable to complex systems as well. The ISO-IEC-IEEE collaborative software development and operation lifecycle standard (ISO and IEC 2004) proposes a concurrent approach to IT Risk Management. This approach consists of six main activities:

- Plan and Implement Risk Management
- Manage the Project Risk Profile
- Perform Risk Analysis

- Perform Risk Monitoring
- Perform Risk Treatment
- Evaluate the Risk Management Process

These activities are executed concurrently, affect and provide feedback to each other, and interact with other software life cycle processes, such as the technical management and the design processes (ISO and IEC 2004).

The CORAS approach (Fredriksen et al. 2002; den Braber et al. 2006; Lund, Solhaug, and Stølen 2011) is a UML-derivative for IT security risk modeling and assessment. This framework consists mostly of the UML use case (UC) diagram, extended for misuse cases. Additional notation was added to the UC notation in order to capture risk sources, effects, and results (e.g., the “bad actor” icon, moneybag for asset-in-risk). A misuse diagram can include, for example, the risk of loss of legal protection of proprietary know-how due to information theft and distribution by an unfaithful employee. The treatment for the risk source of insufficient security policy, which contributes to the above risk, is illustrated in a separate treatment diagram.

A quantitative risk assessment method for component-based systems (Grunskie and Joyce 2008) supports component vulnerability analysis and specification using modular attack trees. In addition, it provides attacker profiling, which enables supporting econometric approaches to risk response. The methodology utilizes SysML as its underpinning language, especially the SysML block definition diagram and parametric diagram, in order to capture parametric relations and constraints as a means to defining risk profiles.

System-Theoretic Accident Model and Processes (STAMP) is a method for system and component design for safety (Leveson 2011). STAMP reformulates the safety problem as a control problem as opposed to a reliability problem. STAMP is optimized for safety-oriented systems engineering and design and for hazard avoidance and mitigation, specifically in complex socio-technical systems. A model-based adaptation of STAMP was also proposed (Leveson 2004) and was implemented in various safety-critical and mission-critical systems, including aircraft collision avoidance systems (CAS) (Leveson 2004) and ballistic missile defense systems (Pereira, Lee, and Howard 2006). Risk-Oriented Systems Engineering (ROSE) (Mordecai and Dori 2013) is a method based on Object-Process Methodology (OPM) for integrating risk into system models. Being system-centric, ROSE is responsible for capturing risk layers and aspects on top of and in sync with the core system model, while improving and immunizing it against captured risks, as well as for generating system robustness and resilience by design in response to various risk-posing scenarios. The risk handling meta-model includes risk mitigation during the design phase and risk response during the operational phase.

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# Modeling Standards

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Different types of models are needed to support the analysis, specification, design, and verification of systems. The evolution of modeling standards enables the broad adoption of Model-Based Systems Engineering (MBSE).

## Motivation for Modeling Standards

Modeling standards play an important role in defining agreed-upon system modeling concepts that can be represented for a particular domain of interest and enable the integration of different types of models across domains of interest. Modeling standards are extremely important to support MBSE, which aims to integrate various system aspects across various disciplines, products, and technologies.

Standards for system modeling languages can enable cross-discipline, cross-project, and cross-organization communication. This communication offers the potential to reduce the training requirements for practitioners who only need to learn about a particular system and enables the reuse of system artifacts. Standard modeling languages also provide a common foundation for advancing the practice of systems engineering, as do other systems engineering standards.

## Types of Modeling Standards

Many different standards apply to systems modeling. Modeling standards include standards for modeling languages, data exchange between models, and the transformation of one model to another to achieve semantic interoperability. Each type of model can be used to represent different aspects of a system, such as representing the set of system components and their interconnections and interfaces, or to represent a system to support performance analysis or reliability analysis.

The following is a partial list of representative modeling standards, which also includes the common acronym, when applicable, and a reference as to where additional information can be found on the topic.

### Modeling Languages for Systems

**Descriptive Models** - These standards apply to general descriptive modeling of systems:

- Functional Flow Block Diagram (FFBD) (Oliver, Kelliher, and Keegan 1997)
- Integration Definition for Functional Modeling (IDEF0) (NIST 1993)
- Object-Process Methodology (OPM) [[1]] (Dori 2002; ISO/PAS 19450:2015)
- Systems Modeling Language (SysML)(OMG 2010a)
- Unified Profile for United States Department of Defense Architecture Framework (DoDAF) and United Kingdom Ministry of Defence Architecture Framework (MODAF) (OMG 2011e)
- Web ontology language (OWL) (W3C 2004b)

**Analytical Models and Simulations** - These standards apply to analytical models and simulations:

- Distributed Interactive Simulation (DIS) (IEEE 1998)
- High-Level Architecture (HLA) (IEEE 2010)
- Modelica (Modelica Association 2010)
- Semantics of a Foundational Subset for Executable Unified Modeling Language (UML) Models (FUML) (OMG 2011d)

## Data Exchange Standards

These standards enable the exchange of information between models:

- Application Protocol for Systems Engineering Data Exchange (ISO 10303-233) (AP-233) (ISO 2005)
- Requirements Interchange Format (ReqIF) (OMG 2011c)
- Extensible Mark-Up Language - (XML) Metadata Interchange (XMI) (OMG 2003a)
- Resource Description Framework (RDF) (W3C 2004a)

## Model Transformations

These standards apply to transforming one model to another to support semantic interoperability:

- Query View Transformations (QVT) (OMG 2011b)
- Systems Modeling Language (SysML)-Modelica Transformation (OMG 2010c)
- OPM-to-SysML Transformation (Grobshtain and Dori 2011)

## General Modeling Standards

These standards provide general frameworks for modeling:

- Model-driven architecture (MDA®) (OMG 2003b)
- IEEE 1471-2000 - Recommended Practice for Architectural Description of Software-Intensive Systems (ANSI/IEEE 2000) (ISO/IEC 2007)

## Other Domain-Specific Modeling Standards

### Software Design Models

These standards apply to modeling application software and/or embedded software design:

- Architecture Analysis and Design Language (AADL) (SAE 2009)
- Modeling and Analysis for Real-Time and Embedded Systems (MARTE) (OMG 2009)
- Unified Modeling Language (UML) (OMG 2010b)

### Hardware Design Models

These standards apply to modeling hardware design:

- Very-High-Speed Integrated Circuit (VHSIC) Hardware Description Language (VHDL) (IEEE 2008)

### Business Process Models

These standards apply to modeling business processes:

- Business Process Modeling Notation (BPMN) (OMG 2011a)

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# Knowledge Area: Systems Approach Applied to Engineered Systems

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## Systems Approach Applied to Engineered Systems

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This knowledge area (KA) provides a guide for applying the systems approach as a means of identifying and understanding complex problems and opportunities, synthesizing possible alternatives, analyzing and selecting the best alternative, implementing and approving a solution, as well as deploying, using and sustaining engineered system solutions. The active participation of stakeholders during all the activities of the systems approach is the key to the success of the systems approach.

In an engineered system context, a systems approach is a holistic approach that spans the entire life of the system; however, it is usually applied in the development and operational/support life cycle stages. This knowledge area defines a systems approach using a common language and intellectual foundation to ensure that practical systems concepts, principles, patterns and tools are accessible to perform systems engineering (SE), as is discussed in the introduction to Part 2: Foundations of Systems Engineering.

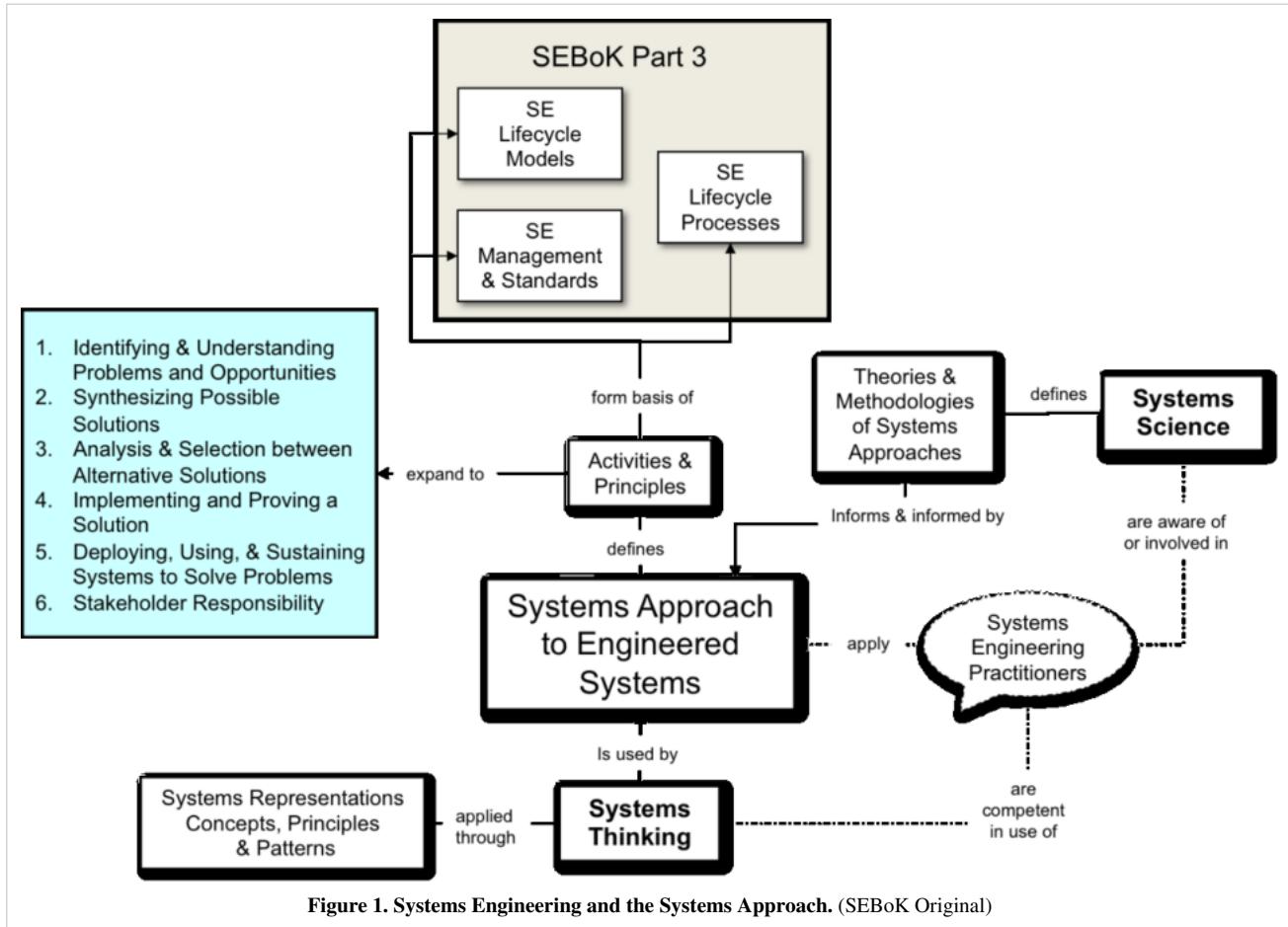
### Topics

Each part of the Guide to the SE Body of Knowledge (SEBoK) is divided into KAs, which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Overview of the Systems Approach
- Engineered System Context
- Identifying and Understanding Problems and Opportunities
- Synthesizing Possible Solutions
- Analysis and Selection between Alternative Solutions
- Implementing and Proving a Solution
- Deploying, Using, and Sustaining Systems to Solve Problems
- Applying the Systems Approach

## Systems Approach

This KA describes a high-level framework of activities and principles synthesized from the elements of the systems approach, as described earlier in Part 2 of the SEBoK, and is mapped to the articles Concepts of Systems Thinking, Principles of Systems Thinking, and Patterns of Systems Thinking. The concept map in Figure 1 describes how the knowledge is arranged in this KA and the linkage to the KA in Part 3.



According to Jackson et al. (2010, 41-43), the systems approach to engineered systems is a problem-solving paradigm. It is a comprehensive problem identification and resolution approach based upon the principles, concepts, and tools of systems thinking and systems science, along with the concepts inherent in engineering problem-solving. It incorporates a holistic systems view that covers the larger context of the system, including engineering and operational environments, stakeholders, and the entire life cycle.

Successful systems practice should not only apply systems thinking to the system being created but should also utilize systems thinking in consideration of the way in which work is planned and conducted. See Part 5: Enabling Systems Engineering for further discussions on how individuals, teams, businesses and enterprises may be enabled to perform systems engineering.

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# Overview of the Systems Approach

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This knowledge area (KA) considers how a systems approach relates to engineered systems and to systems engineering (SE). The article Applying the Systems Approach considers the dynamic aspects of how the approach is used and how this relates to elements of SE.

## Systems Approach and Systems Engineering

The term systems approach is used by systems science authors to describe a systems "*thinking*" approach, as it pertains to issues outside of the boundary of the immediate system-of-interest (Churchman 1979). This systems approach is essential when reductionist assumptions (the notion that the whole system has properties derived directly from the properties of their components) no longer apply to the system-of-interest (SoI) and when emergence and complexity at multiple levels of a system context necessitate a holistic approach.

The systems approach for engineered systems is designed to examine the "*whole system, whole lifecycle, and whole stakeholder community*" as well as to ensure that the purpose of the system (or systemic intervention) is achieved sustainably without causing any negative unintended consequences. This prevents the engineer from "*transferring the burden*" (in systems thinking terms) to some other part of the environment that unable to sustain that burden (Senge 2006). This also deters issues involving *sub-optimization* that could occur when whole systems are not kept in mind in achieving the purpose of the system (Sillitto 2012).

The systems approach (derived from systems thinking) and systems engineering (SE) have developed and matured, for the most part, independently; therefore, the systems science and the systems engineering communities differ in their views as to what extent SE is based on a systems approach and how well SE uses the concepts, principles, patterns and representations of systems thinking. These two views are discussed in the following sections.

## Systems Science View

As discussed in the Systems Science article, some parts of the systems movement have been developed as a reaction to the perceived limitations of systems engineering (Checkland 1999).

According to Ryan (2008):

*Systems engineering has a history quite separate to the systems movement. Its closest historical link comes from the application of systems analysis techniques to parts of the systems engineering process . . . The recent popularity of the SoS buzzword in the systems engineering literature has prompted the expansion of systems engineering techniques to include methods that can cope with evolving networks of semi-autonomous systems. This has led many systems engineers to read more widely across the systems literature, and is providing a re-conceptualization of systems engineering as part of the systems movement, despite its historical independence. This is reflected in the latest INCOSE hand-book [INCOSE 2011, page 52], which states “the systems engineering perspective is based on systems thinking”, which “recognizes circular causation, where a variable is both the cause and the effect of another and recognizes the primacy of interrelationships and non-linear and organic thinking—a way of thinking where the primacy of the whole is acknowledged. (emphases added)*

Thus, for many in the systems science community, systems thinking is *not* naturally embedded in either SE definitions or practice.

## Systems Engineering View

Many SE authors see a clear link between SE and systems thinking. For example, Hitchins (Hitchins 2007) describes generic models for the application of systems thinking to engineered system contexts. He suggests that these could form the foundation for descriptions and standards for the practices of SE. Hitchins also proposes a set of *guiding principles which have been the foundations of SE, apparently since its inception* (Hitchins 2009):

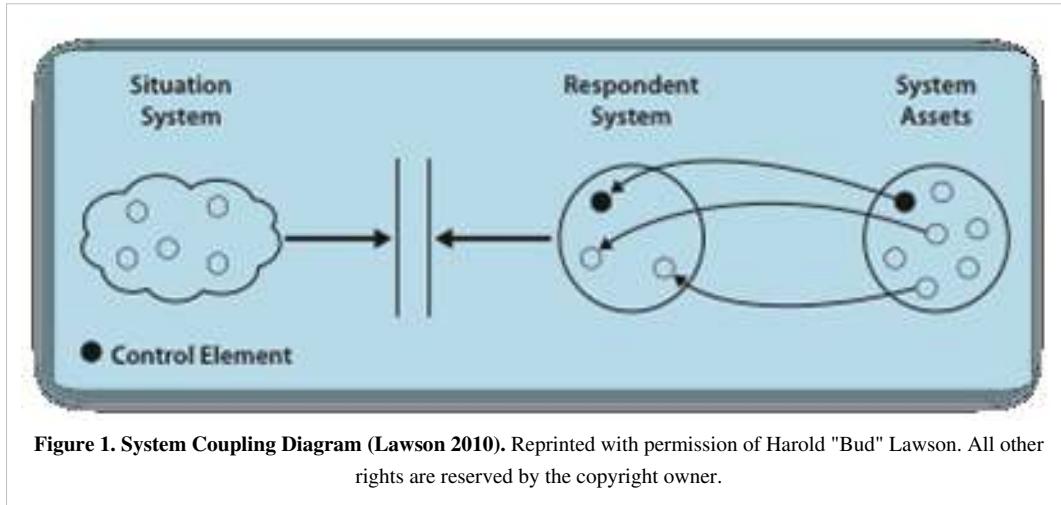
- **SE Principle A: The Systems Approach** - “*SE is applied to a system-of-interest (SoI) in a wider systems context*”
- **SE Principle B: Synthesis** - “*SE must bring together a collection of parts to create whole system solutions*”
- **SE Principle C: Holism** - “*Always consider the consequences on the wider system when making decisions about the system elements*”
- **SE Principle D: Organismic Analogy** - “*Always consider systems as having dynamic “living” behavior in their environment*”
- **SE Principle E: Adaptive Optimizing** - “*Solve problems progressively over time*”
- **SE Principle F: Progressive Entropy Reduction** - “*Continue to make systems work over time, through maintenance, sustainment and, upgrade activities.*”
- **SE Principle G: Adaptive Satisfying** - “*A system will succeed only if it makes winners of its success-critical stakeholders, so the lifecycle of a system must be driven by how well its outputs contribute to stakeholder purpose*”

Hitchins considers principles A-D as pillars of SE that identify key aspects of systems thinking which should underpin the practice of SE. Principles E-G consider the dynamics of SE life cycle thinking, the *why, when and how often* of SE.

The following sections consider the systems approach to engineered systems against four themes.

## 1. Whole System

The system coupling diagram (Figure 1), describes the scope of a systems approach to engineered systems (Lawson 2010).



- The **situation system** is the problem or opportunity either unplanned or planned. The situation may be natural, man-made, a combination of both, or a postulated situation used as a basis for deeper understanding and training (e.g. business games or military exercises).
- The **respondent system** is the system created to respond to the situation. The parallel bars indicate that this system interacts with the situation and transforms it to a new situation. Respondent systems have several names; project, program, mission, task force, or in a scientific context, experiment.
- **System assets** are the sustained assets of one or more enterprises to be used in response to situations. System assets must be adequately managed throughout the life of a system to ensure that they perform their function when instantiated in a respondent system. Examples include: value-added products or services, facilities, instruments and tools, and abstract systems, such as theories, knowledge, processes and methods.

Martin (Martin 2004) describes seven types of system, or "*the seven samurai of systems engineering*," all of which, system developers need to understand to develop successful systems:

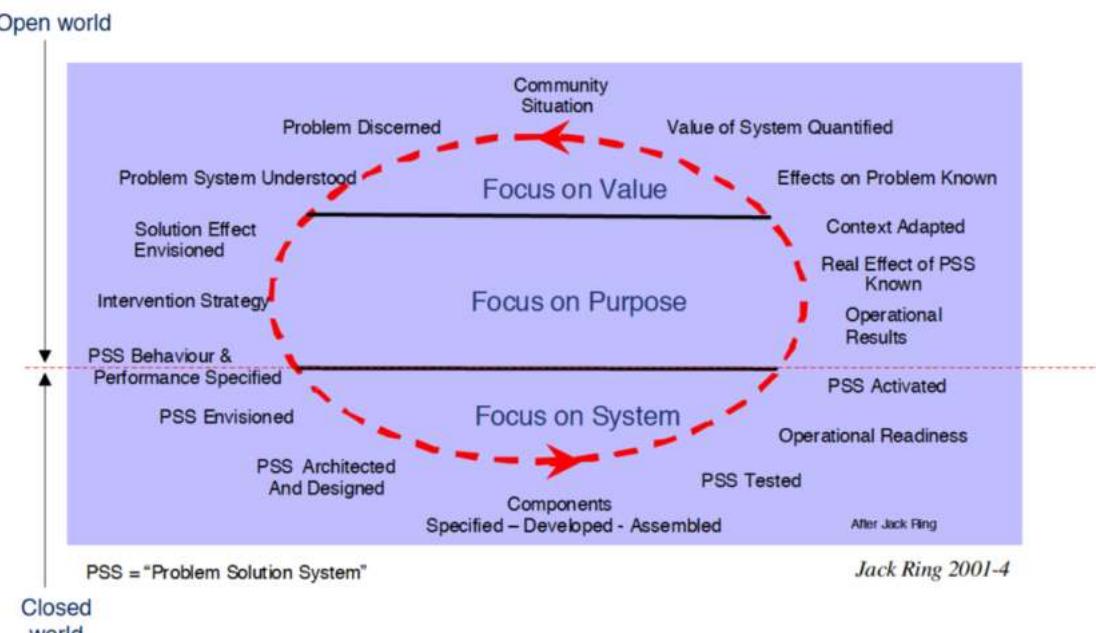
- the context system
- the intervention system
- the realization system
- the deployed system
- collaborating systems
- the sustainment system
- competing systems

Martin contends that all seven systems must be explicitly acknowledged and understood when engineering a solution for a complex adaptive situation.

These views, and others, describe one aspect of the systems approach when applied to engineered systems; in addition, it is applicable to understanding a problem, it organizes the resolution of that problem, and creates and integrates any relevant assets and capabilities to enable that solution.

## 2. Whole Lifecycle

Ring (Ring 1998) provides a powerful framework for the continuing management and periodic upgrade of long-life and “*immortal*” systems. It also accurately represents the “*continuous*” or very rapid product launch and refreshment cycle driven by market feedback and constant innovation that is seen in most product and service system consumer markets.



**Figure 2. Ellipse Graphic (Ring 1998).** © 1998 IEEE. Reprinted, with permission, from Jack Ring, Engineering Value-Seeking Systems, IEEE-SMC. Conference Proceedings. All other rights are reserved by the copyright owner.

Enterprise systems engineering may be considered in multiple concurrent instances of this model for different sub-sets of enterprise assets and services, in order to maintain a capability to pursue enterprise goals in a complex and dynamic external environment.

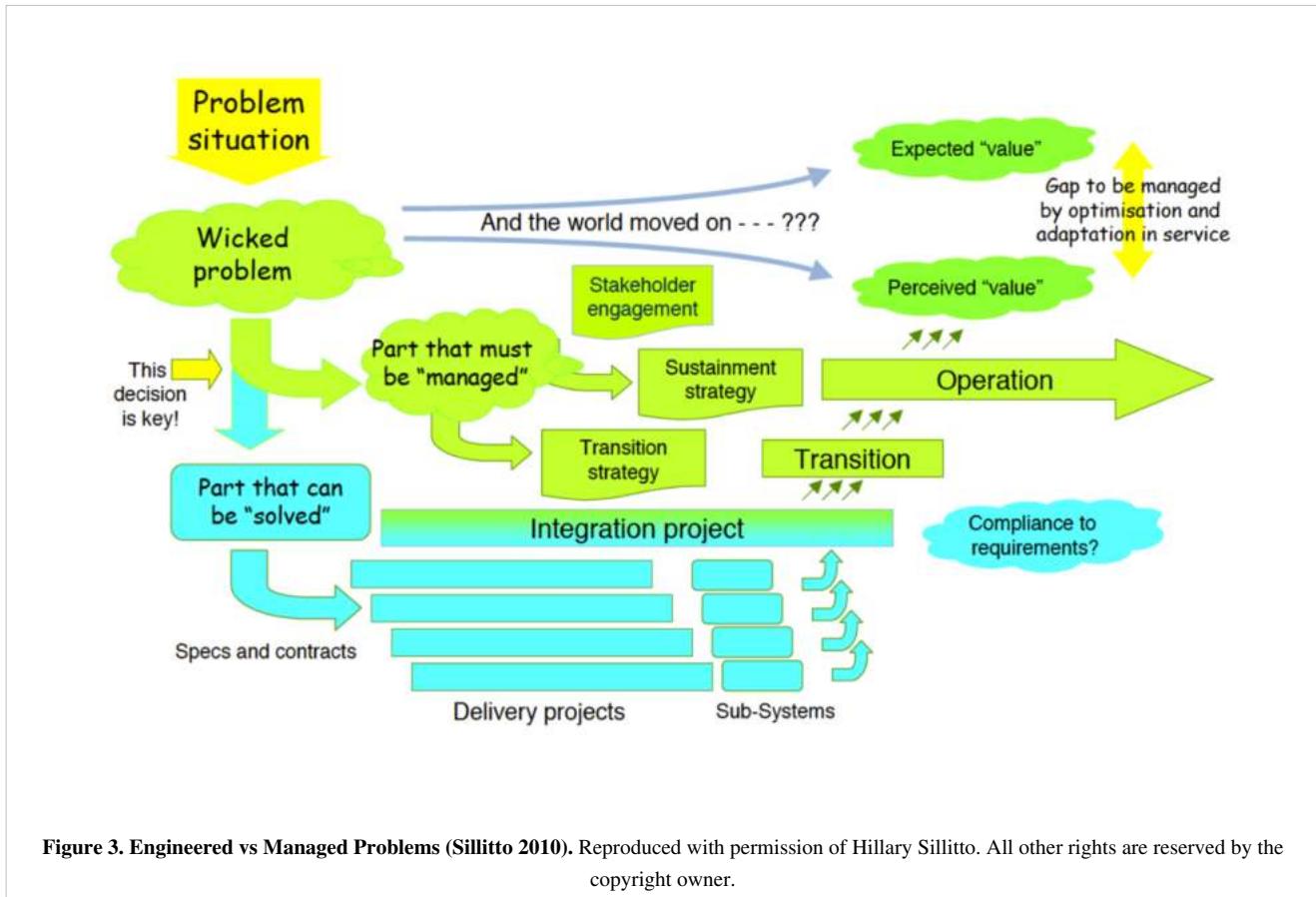
The dynamic nature of this cycle and its relationship to Life Cycle thinking is discussed in the article Applying the Systems Approach.

## 3. Whole Problem

The article Identifying and Understanding Problems and Opportunities considers the nature of problem situations. It discusses the relationship between hard system and soft system views of problems and how they relate to engineered systems. Engineered systems are designed to operate with and add value to a containing social and/or ecological system. The scope of problems is captured by frameworks, such as Political, Economic, Social, Technological, Legal and Environmental (PESTLE) (Gillespie 2007) or Social, Technical, Economic, Environmental, Political, Legal, Ethical and Demographic (STEEPLED).

The idea of a wicked problem (Rittel and Webber 1973) is also discussed. These problems cannot be quantified and solved in a traditional engineering sense.

Sillitto (Sillitto 2010) describes a lifecycle model in which the decision as to what parts of problems can be “*solved*” and what parts must be “*managed*” is the first key decision and emphasizes the need for a solution approach that provides flexibility in the solution to match the level of uncertainty and change in the problem and stakeholder expectations. It is now normal to view a problem as one that “*changes over time*” and to promote the belief that value is determined by the perceptions of key stakeholders.



**Figure 3. Engineered vs Managed Problems (Sillitto 2010).** Reproduced with permission of Hillary Sillitto. All other rights are reserved by the copyright owner.

Thus, a systems approach can be useful when addressing all levels of a problematic situation, from individual technologies to the complex socio-technical issues that come about in the area of engineered systems development.

#### 4. Multi-Disciplinary

As discussed by Sillitto (Sillitto 2012), the methods and thinking applied by many practicing systems engineers have become optimized to the domains of practice. While systems thinking concepts, patterns and methods are used widely, they are not endemic in SE practice. As a result, SE practitioners find it difficult to share systems ideas with others involved in a systems approach. Part 4: Applications of Systems Engineering describes traditional (product based) SE (Lawson 2010) and examines this against the SE approaches that are applicable to service, enterprise, and system of systems capability. These approaches require more use of problem exploration, a broader solution context, and a purpose driven life cycle thinking.

### SE and Systems Approach

From the above discussions, there are three ways in which SE could make use of a systems approach:

- in its overall problem- solving approach
- in the scope of problem and solution system contexts considered
- in the embedding of systems thinking and systems thinking tools and in all aspects of the conduct of that approach

The current SE standards and guides, as described in Part 3: Systems Engineering and Management, encapsulate many of the elements of a systems approach. However, they tend to focus primarily on the development of system solutions while the wider purpose-driven thinking of a full systems approach (Ring 1998) and the wider consideration of all relevant systems (Martin 2004) are embedded in the acquisition and operational practices of their application domains.

The inclusion of systems thinking in SE competency frameworks (INCOSE 2010) represents a general move toward a desire for more use of systems thinking in SE practice. There is a wide stakeholder desire to acquire the benefits of a systems approach through the application of SE, particularly in areas where current SE approaches are inadequate or irrelevant. Hence, there is a need for a better articulation of the *systems approach* and how to apply it to non-traditional problems.

## Synthesis for SEBoK

The systems approach presented in the SEBoK uses the following activities:

- identify and understand the relationships between the potential problems and opportunities in a real worldreal-world situation
- gain a thorough understanding of the problem and describe a selected problem or opportunity in the context of its wider system and its environment
- synthesize viable system solutions to a selected problem or opportunity situation
- analyze and choose between alternative solutions for a given time/cost/quality version of the problem.
- provide evidence that a solution has been correctly implemented and integrated
- deploy, sustain, and apply a solution to help solve the problem (or exploit the opportunity)

All of the above are considered within a life cycle (glossary) framework which may need concurrent, recursive (glossary) and iterative applications of some or all of the systems approach.

When the systems approach is executed in the real world of an engineered system (glossary), a number of engineering and management disciplines emerge, including SE. Part 3: Systems Engineering and Management and Part 4: Applications of Systems Engineering contain a detailed guide to SE with references to the principles of the systems approach, where they are relevant. Part 5: Enabling Systems Engineering provides a guide to the relationships between SE and the organizations and Part 6: Related Disciplines also offers a guide to the relationship between SE and other disciplines.

More detailed discussion of how the systems approach relates to these engineering and management disciplines is included in the article Applying the Systems Approach within this KA.

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# Engineered System Context

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This article is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It describes knowledge related to the further expansion of the ideas of an engineered system and engineered system context that were introduced in the Systems Fundamentals KA.

The single most important principle of the systems approach is that it is applied to an engineered system context and not just to a single system (INCOSE 2012). The systems approach includes models and activities useful for the understanding, creation, use, and sustainment of engineered systems to enable the realization of stakeholder needs. Disciplines that use a systems approach (like systems engineering (SE)) consider an engineered system context that defines stakeholder needs, and look for the best ways to provide value by applying managed technical activities to one or more selected engineered systems of interest (SoI).

Generally, four specific types of engineered system contexts are recognized in SE:

- product system
- service system
- enterprise system
- system of systems (SoS) capability

One of the key distinctions between these system contexts pertains to the establishment of how and when the SoI boundary is drawn.

## Engineered System-of-Interest

We use the idea of an engineered system context to define an engineered SoI and to capture and agree on the important relationships between it, the systems with which it works directly, and any other systems with which it works. All applications of a systems approach (and hence of SE) are applied in a system context rather than only to an individual system.

A system context can be constructed around the following set of open system relationships (Flood and Carson 1993):

- The **Narrower System-of-Interest** (NSoI) is the system of direct concern to the observer. The focus of this system is driven by the scope of authority or control with implicit recognition that this scope may not capture all related elements.
- The **Wider System-of-Interest** (WSoI) describes a logical system boundary containing all of the elements needed to fully understand system behavior. The observer may not have authority over all of the elements in the WSoI but will be able to establish the relationships between WSoI elements and NSoI elements.
- The WSoI exists in an **environment**. The immediate environment contains engineered, natural, and/or social systems, with which the WSoI (and thus some elements of the NSoI) directly interact for the purpose of exchanging material, information, and/or energy to achieve its goals or objective.
- A **Wider Environment** completes the context and contains systems that have no direct interaction with the SoI, but which might influence decisions related to it during its life cycle.
- "Some Theoretical Considerations of Mathematical Modeling" (Flood 1987) extends this context to include a **meta-system** (MS) that exists outside of the WSoI and exercises direct control over it.

The choice of the SoI boundary for particular activities depends upon what can be changed and what must remain fixed. The SoI will always include one or more NSoI but may also include WSoI and an MS if appropriate, such as when considering a service or an enterprise system.

## Applying the System Context

For lower-level and less-complex systems, the WSoI can represent levels of a product system hierarchy. An example of this would be an engine management unit as part of an engine, or an engine as part of a car. The WSoI in a system context may encapsulate some aspects of SoS ideas for sufficiently complex systems. In these cases, the WSoI represents a collection of systems with their own objectives and ownership with which the NSoI must cooperate in working towards a shared goal. An example of this would be a car and a driver contributing to a transportation service.

This view of a SoS context being used as a means to support the engineering of an NSoI product system is one way in which a systems approach can be applied. It can also be applied directly to the SoS. Examples of this include a flexible multi-vehicle transportation service or transportation as part of a commercial enterprise. In this case, the NSoI aspect of the context no longer applies. The WSoI will consist of a set of cooperating systems, each of which might be changed or replaced to aid in the synthesis of a solution. The context may also need to represent **loose coupling**, with some systems moving in or out of the context depending on the need, or **late binding** with systems joining the context only at, or close to, the delivery of the service.

Thus, a context allows a reductionist view of the SoI that is of direct concern to an observer, as it provides for the system relationships and influences that are needed to maintain a holistic view of the consequence of any actions taken.

## Product System Context

The distinction between a product and a product system is discussed in the article [Types of Systems](#).

A product system context would be one in which the SoI is the product itself. The wider system context for a product system can be a higher level of product hierarchy, a service, or an enterprise system that uses the product directly to help provide value to the user. A significant aspect of a product systems context is the clear statement of how the product is intended to be used and ensures that this information is given to the acquirer upon delivery. The customer will be required to accept the system, typically through a formal process, agreeing not to go against the terms of use. If a systems approach is applied to a product context, it is done with the purpose of engineering a narrow system product to be integrated and used in a wider system product hierarchy or to enable the delivery of a wider system service directly to a user by an enterprise.

This view of the relationship between product and service is specific to product systems engineering. While some engineering of the acquirer's static service system may occur, it is done with a product focus. The definition of service system in a service systems engineering context describes a more dynamic view of service systems.

## Service System Context

Services are activities that cause a transformation of the state of an entity (people, product, business, and region or nation) by mutually agreed terms between the service provider and the customer (Spohrer 2008). The distinction between service and a service system is discussed in the article [Types of Systems](#).

A service system context is one in which the SoI is the service system. This SoI contains all of the technology, infrastructure, people, resources, etc. that are needed to enable the service. The WSoI describes the enterprise providing the service as well as its relationship with other services that impact the success of the enterprise.

If a systems approach is applied to a service system, it is done with the purpose of engineering a service system to enable the outcomes required by an enterprise to satisfy its clients. When operating in the service system context, all options to provide the service must be considered, providing that they fit within the constraints of the enterprise. This will include interfaces to other services, people, and resources in the enterprise. If an option for providing the service makes use of existing products or resources within or outside of the enterprise, it must be ensured that they are

available for this use and that this does not adversely affect other services. Part of getting the right service may require the negotiation of changes to the wider enterprise context, but this must be by agreement with the relevant authority.

For a service system, and also when considering the service system context, the value is realized only through service transactions. The end-user co-creates value at the time of the request to use the service. For example, to make a flight reservation using a smart phone, the service system is composed of many service system entities (the caller, the person called, the smart phone, the access network, the core Internet Protocol (IP) network, the Internet Service provider (ISP), the World Wide Web (WWW), data centers, etc. All these are necessary to enable the service. When a caller makes a reservation and then books the flight, the value has been created.

This definition of a service system, as associated with dynamic Information Technology (IT) services, is discussed further in the article Service Systems Engineering.

## Enterprise System Context

The distinction between an enterprise and an enterprise system is discussed in the article Types of Systems.

An enterprise system context is one in which the SoI is the enterprise system. This system contains all of the technology, infrastructure, people, resources, etc. needed to enable the service. The WSoI describes the business environment within which the enterprise sits.

It is to be noted that an enterprise context is not equivalent to an **organization** according to this definition. An enterprise includes not only the organizations that participate in it, but also the people, knowledge, and other assets, such as processes, principles, policies, practices, doctrines, theories, beliefs, facilities, land, and intellectual property that compose the enterprise.

An enterprise may contain or employ service systems along with product systems. An enterprise might even contain sub-enterprises. Enterprise systems are unique when compared to product and service systems in that:

- they are constantly evolving
- they rarely have detailed configuration controlled requirements
- they typically have (constantly changing) goals of providing shareholder value and customer satisfaction
- they exist in a context (or environment) that is ill-defined and constantly changing

The enterprise systems engineer must consider and account for these factors in their processes and methods.

Both product and service systems require an enterprise system context to create them and an enterprise to use the product system and deliver services, either internally to the enterprise or externally to a broader community. Thus, the three types of engineered system contexts are linked in all instances, regardless of which type of system the developers consider as the object of the development effort that is delivered to the customer.

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# Identifying and Understanding Problems and Opportunities

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This topic is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It describes knowledge related to the identification and exploration of problems or opportunities in detail. The problem situations described by the activities in this topic may form a starting point for Synthesizing Possible Solutions. Any of the activities described below may also need to be considered concurrently with other activities in the systems approach at a particular point in the life of a system-of-interest (SoI).

The activities described below should be considered in the context of the Overview of the Systems Approach topic at the start of this KA. The final topic in this knowledge area, Applying the Systems Approach, considers the dynamic aspects of how these activities are used as part of the systems approach and how this relates in detail to elements of systems engineering (SE).

The phrase "problem or opportunity" used herein recognizes that the "problem" is not always a negative situation and can also be a positive opportunity to improve a situation.

## Introduction

According to Jenkins (1969), the first step in the systems approach is "the recognition and formulation of the problem." The systems approach described in the Guide to the SE Body of Knowledge (SEBoK) is predominantly a hard system approach. The analysis, synthesis, and proving parts of the approach assume a problem or opportunity has been identified and agreed upon and that a "new" engineered system solution is needed.

However, the systems approach does not have to apply to the development and use of a newly designed and built technical solution. Abstract or experimental solutions to potential problems might be explored to help achieve agreement on a problem context. Solutions may involve reorganizing existing systems of systems (SoS) contexts or the modification or re-use of existing products and services. The problem and opportunity parts of the approach overlap with soft system approaches. This is discussed in more detail below.

One thing that must be considered in relation to system complexity is that the opportunity situation may be difficult to fully understand; therefore, system solutions may not solve the problem the first time, but is still useful in increasing the understanding of both problem issues and what to try next to work toward a solution.

Hence, problem exploration and identification is often not a one-time process that specifies the problem, but is used in combination with solution synthesis and analysis to progress toward a more complete understanding of problems and solutions over time (see Applying the Systems Approach for a more complete discussion of the dynamics of this aspect of the approach).

## Problem Exploration

Soft system thinking does not look for "the problem," but considers a problematic situation. Forming systems views of this situation can help stakeholders better understand each other's viewpoints and provide a starting point for directed intervention in the current system context. If a full soft systems intervention is undertaken, such as a soft systems methodology (SSM) (Checkland 1999), it will not include formal analysis, synthesis, and proving. However, the SSM method was originally based on hard methodologies, particularly one presented by Jenkins (1969). It follows the basic principles of a systems approach: "analyzing" conceptual models of shared understanding, "synthesizing" intervention strategies, and "proving" improvements in the problematic situation.

Often, the distinction between hard and soft methods is not as clear cut as the theory might suggest. Checkland himself has been involved in applications of SSM as part of the development of information system design (Checkland and Holwell 1998). It is now agreed upon by many that while there is a role for a "pure soft system" approach, the service and enterprise problems now being tackled can only be dealt with successfully by a combination of soft problematic models and hard system solutions. Mingers and White (2009) give a number of relevant examples of this. In particular, they reference "Process and Content: Two Ways of Using SSM" (Checkland and Winters 2006). It is likely in the future that engineered system problems will be stated, solved, and used as part of a predominately soft intervention, which will place pressure on the speed of development needed in the solution space. This is discussed more fully in the topic Life Cycle Models.

The critical systems thinking and multi-methodology approaches (Jackson 1985) take this further by advocating a "pick and mix" approach, in which the most appropriate models and techniques are chosen to fit the problem rather than following a single methodology (Mingers and Gill 1997). Thus, even if the hard problem identification approach described below is used, some use of the soft system techniques (such as rich pictures, root definitions, or conceptual models) should be considered within it.

## Problem Identification

Hard system thinking is based on the premise that a problem exists and can be stated by one or more stakeholders in an objective way. This does not mean that hard systems approaches start with a defined problem. Exploring the potential problem with key stakeholders is still an important part of the approach.

According to Blanchard and Fabrycky (2006, 55-56), defining a problem is sometimes the most important and difficult step. In short, a system cannot be defined unless it is possible to clearly describe what it is supposed to accomplish.

According to Edson (2008, 26-29), there are three kinds of questions that need to be asked to ensure we fully understand a problem situation. First, how difficult or well understood is the problem? The answer to this question will help define the tractability of the problem. Problems can be "tame," "regular," or "wicked":

- For tame problems, the solution may be well-defined and obvious.
- Regular problems are those that are encountered on a regular basis. Their solutions may not be obvious, thus serious attention should be given to every aspect of them.
- Wicked problems (Rittel and Webber 1973) cannot be fully solved, or perhaps even fully defined. Additionally, with wicked problems, it is not possible to understand the full effect of applying systems to the problem.

Next, who or what is impacted? There may be elements of the situation that are causing the problem, elements that are impacted by the problem, and elements that are just in the loop. Beyond these factors, what is the environment and what are the external factors that affect the problem? In examining these aspects, the tools and methods of systems thinking can be productively applied.

Finally, what are the various viewpoints of the problem? Does everyone think it is a problem? Perhaps there are conflicting viewpoints. All these viewpoints need to be defined. Persons affected by the system, who stand to benefit from the system, or can be harmed by the system, are called stakeholders. Wasson (2006, 42-45) provides a

comprehensive list of stakeholder types. The use of soft systems models, as discussed above, can play an important part in this. Describing a problem using situation views can be useful when considering these issues, even if a single problem perspective is selected for further consideration.

Operations research is a hard systems method which concentrates on solving problem situations by deploying known solutions. The problem analysis step of a typical approach asks questions about the limitation and cost of the current system to identify efficiency improvements that need to be made (Flood and Carson 1993).

Traditional SE methods tend to focus more on describing an abstract model of the problem, which is then used to develop a solution that will produce the benefits stakeholders expect to see (Jenkins 1969). The expectation is often that a new solution must be created, although this need not be the case. Jenkins suggests that SE is just as applicable to a redesign of existing systems. A clear understanding of stakeholder expectations in this regard should produce a better understanding of part of the problem. Do stakeholders expect a new solution or modifications to their existing solutions, or are they genuinely open to solution alternatives which consider the pros and cons of either? Such expectations will influence suggestions of solution alternatives, as discussed in the Synthesizing Possible Solutions article.

An important factor in defining the desired stakeholder outcomes, benefits, and constraints is the operational environment, or scenario, in which the problem or opportunity exists. Armstrong (2009, 1030) suggests two scenarios: the first is the descriptive scenario, or the situation as it exists now, and the second is the normative scenario, or the situation as it may exist sometime in the future.

All of these aspects of problem understanding can be related to the concept of a system context.

## Problem Context

The Engineered System Context topic identifies a way by which a complex system situation can be resolved around a system-of-interest (SoI). The initial identification of a "problem context" can be considered as the outcome of this part of the systems approach.

The systems approach should not consider only soft or hard situations. More appropriately, a problem or opportunity should be explored using aspects of both. In general, the application of the systems approach with a focus on engineered system contexts will lead to hard system contexts in which an identified SoI and required outcome can be defined.

An initial description of the wider SoI and environment serves as the problem or opportunity problem scope. Desired stakeholder benefits are expressed as outcomes in the wider system and some initial expression of what the SoI is intended for may be identified. Jenkins (1969) defines a problem formulation approach where one:

- states the aim of the SoI
- defines the wider SoI
- defines the objectives of the wider SoI
- defines the objectives of the system
- defines economic, informational, and other conditions

In a hard system problem context, a description of a logical or ideal system solution may be included. This ideal system cannot be implemented directly, but describes the properties required of any realizable system solution.

To support this problem or opportunity description, a soft context view of the SoI will help ensure wider stakeholder concerns are considered. If a soft system context has been defined, it may include a conceptual model (Checkland 1999) which describes the logical elements of a system that resolve the problem situation and how they are perceived by different stakeholders. Unlike the hard system view, this does not describe the ideal solution, but provides an alternative view on how aspects of any solution would be viewed by potential stakeholders.

In problem contexts with a strong coercive dimension, the problem context should include an identification of the relative power and the importance of stakeholders.

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The problem context should include some boundaries on the cost, time to deployment, time in use, and operational effectiveness needed by stakeholders. In general, both the full problem context and an agreed version of the problem to be tackled next are described. (See Applying the Systems Approach.)

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### Additional References

None

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# Synthesizing Possible Solutions

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This topic is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It describes knowledge related to the synthesis of possible solution options in response to the problem situations described by activities from Identifying and Understanding Problems and Opportunities topic. The solution options proposed by the synthesis activities will form the starting point for the Analysis and Selection between Alternative Solutions. Any of the activities described below may also need to be considered concurrently with other activities in the systems approach at a particular point in the life of a system-of-interest (SoI).

The activities described below should be considered in the context of the Overview of the Systems Approach topic at the start of this KA. The final topic in this KA, Applying the Systems Approach, considers the dynamic aspects of how these activities are used as part of the systems approach and how this relates in detail to elements of systems engineering (SE).

## Synthesis Overview

System synthesis is an activity within the systems approach that is used to describe one or more system solutions based upon a problem context for the life cycle of the system to:

- Define options for a SoI with the required properties and behavior for an identified problem or opportunity context.
- Provide solution options relevant to the SoI in its intended environment, such that the options can be assessed to be potentially realizable within a prescribed time limit, cost, and risk described in the problem context.
- Assess the properties and behavior of each candidate solution in its wider system context.

The iterative activity of system synthesis develops possible solutions and may make some overall judgment regarding the feasibility of said solutions. The detailed judgment on whether a solution is suitable for a given iteration of the systems approach is made using the Analysis and Selection between Alternative Solutions activities.

Essential to synthesis is the concept of holism(Hitchins 2009), which states that a system must be considered as a whole and not simply as a collection of its elements. The holism of any potential solution system requires that the behavior of the whole be determined by addressing a system within an intended environment and not simply the accumulation of the properties of the elements. The latter process is known as reductionism and is the opposite of holism, which Hitchins (2009, 60) describes as the notion that “the properties, capabilities, and behavior of a system derive from its parts, from interactions between those parts, and from interactions with other systems.”

When the system is considered as a whole, properties called emergent properties often appear (see Emergence). These properties are often difficult to predict from the properties of the elements alone. They must be evaluated within the systems approach to determine the complete set of performance levels of the system. According to Jackson (2010), these properties can be considered in the design of a system, but to do so, an iterative approach is required.

In complex systems, individual elements will adapt to the behavior of the other elements and to the system as a whole. The entire collection of elements will behave as an organic whole. Therefore, the entire synthesis activity, particularly in complex systems, must itself be adaptive.

Hence, synthesis is often not a one-time process of solution design, but is used in combination with problem understanding and solution analysis to progress towards a more complete understanding of problems and solutions over time (see Applying the Systems Approach topic for a more complete discussion of the dynamics of this aspect of the approach).

## Problem or Opportunity Context

System synthesis needs the problem or opportunity that the system is intended to address to have already been identified and described and for non-trivial systems, the problem or opportunity needs to be identified and understood concurrently with solution synthesis activities.

As discussed in Identifying and Understanding Problems and Opportunities, the systems approach should not consider strictly soft or hard situations. In general, the application of the systems approach, with a focus on engineered system contexts, will lead to hard system contexts in which an identified SoI and required outcome are defined. Even in these cases, a soft context view of the SoI context will help ensure wider stakeholder concerns are considered.

The problem context should include some boundaries on the cost, time to deployment, time in use, and operational effectiveness needed by stakeholders. In general, the goal is not to synthesize the perfect solution to a problem, but rather to find the best available solution for the agreed version of the problem.

## Synthesis Activities

The following activities provide an outline for defining the SoI: grouping of elements, identification of the interactions among the elements, identification of interfaces between elements, identification of external interfaces to the SoI boundary and common sub-elements within the SoI boundary.

The activities of systems synthesis are built on the idea of a balanced reduction vs. holism approach as discussed in What is Systems Thinking? topic. It is necessary to divide system elements and functions to create a description of the SoI which is realizable, either through combinations of available elements or through the design and construction of new elements. However, if the system is simply decomposed into smaller and smaller elements, the holistic nature of systems will make it more and more difficult to predict the function and behavior of the whole. Thus, synthesis progresses through activities that divide, group, and allocate elements, and then assesses the complete system's properties in context relevant to the user need the SoI will fulfill. Hence, synthesis occurs over the entire life cycle of the system as the system and its environment change.

### Identification of the Boundary of a System

Establishing the boundary of a system is essential to synthesis, the determination of the system's interaction with its environment and with other systems, and the extent of the SoI. Buede (2009, 1102) provides a comprehensive discussion of the importance of, and methods of, defining the boundary of a system in a SE context.

### Identification of the Functions of the System

The function of a system at a given level of abstraction is critical to synthesis since the primary goal of the synthesis activity is to propose realizable system descriptions which can provide a given function. The function of a system is distinct from its behavior as it describes what the system can be used for or is asked to do in a larger system context.

Buede (2009, 1091-1126) provides a comprehensive description of functional analysis in a SE context.

## Identification of the Elements of a System

System synthesis calls for the identification of the elements of a system. Typical elements of an Engineered System Context may be physical, conceptual, or processes. Physical elements may be hardware, software, or humans. Conceptual elements may be ideas, plans, concepts, or hypotheses. Processes may be mental, mental-motor (writing, drawing, etc.), mechanical, or electronic (Blanchard and Fabrycky 2006, 7).

In addition to the elements of the system under consideration (i.e., a SoI), ISO 15288 (ISO/IEC/IEEE 15288 2015) also calls for the identification of the enabling systems. These are systems (or services) utilized at various stages in the life cycle, e.g., development, utilization or support stages, to facilitate the SoI in achieving its objectives.

Today's systems often include existing elements. It is rare to find a true "greenfield" system, in which the developers can specify and implement all new elements from scratch. "Brownfield" systems, wherein legacy elements constrain the system structure, capabilities, technology choices, and other aspects of implementation, are much more typical (Boehm 2009).

## Division of System Elements

System synthesis may require elements to be divided into smaller elements. The division of elements into smaller elements allows the systems to be grouped and leads to the SE concept of physical architecture, as described by Levin (2009, 493-495). Each layer of division leads to another layer of the hierarchical view of a system. As Levin points out, there are many ways to depict the physical architecture, including the use of wiring diagrams, block diagrams, etc. All of these views depend on arranging the elements and dividing them into smaller elements. According to the principle of recursion, these decomposed elements are either terminal elements, or are decomposable. The hierarchical view does not imply a top-down analytical approach to defining a system. It is simply a view. In the systems approach, levels of the hierarchy are defined and considered recursively with one level forming the context for the next.

## Grouping of System Elements

System synthesis may require that elements be grouped. This leads to the identification of the sub-systems that are essential to the definition of a system. Synthesis determines how a system may be partitioned and how each sub-system fits and functions within the whole system. The largest group is the SoI, also called the relevant system by Checkland (1999, 166). According to Hitchins, some of the properties of a SoI are as follows: the SoI is open and dynamic, the SoI interacts with other systems, and the SoI contains sub-systems (Hitchins 2009, 61). The SoI is brought together through the concept of synthesis.

## Identification of the Interactions among System Elements

System synthesis may require the identification of the interactions among system elements. These interactions lead to the SE process of interface analysis. Integral to this aspect is the principle of interactions. Interactions occur both with other system elements as well as with external elements and the environment. In a systems approach, interfaces have both a technical and managerial importance. Managerial aspects include the contracts between interfacing organizations. Technical aspects include the properties of the physical and functional interfaces. Browning provides a list of desirable characteristics of both technical and managerial interface characteristics (Browning 2009, 1418-1419).

System synthesis will include activities to understand the properties of system elements, the structure of proposed system solutions, and the resultant behavior of the composed system. A number of system concepts for describing system behavior are discussed in the Concepts of Systems Thinking topic. It should be noted that in order to fully understand a system's behavior, we must consider the full range of environments in which it might be placed and its allowable state in each. According to Page, in complex systems, the individual elements of the system are characterized by properties which enhance the systems as a whole, such as their adaptability (Page 2009).

## Defining the System-of-Interest

Flood and Carson provide two ways to identify system boundaries: a bottom-up, or **structural approach**, which starts with significant system elements and builds out, and a top down, or **behavioral approach**, in which major systems needed to fulfill a goal are identified and then the work flows downward (Flood and Carson 1993). They identify a number of rules proposed by Beishon (1980) and Jones (1982) to help in the selection of the best approach.

In either case, the ways in which system elements are refined, grouped, and allocated must be driven towards the synthesis of a realizable system solution description. A realizable solution must consider elements that are either already available, can be created from existing system elements, or are themselves described as system contexts which will need to be synthesized at a future point. In the third case, it is one of the outcomes of the Analysis and Selection between Alternative Solutions activities that is used to assess the risk that a given element may not be able to be synthesized in the required time limit or cost budget.

A top down approach might start with a system boundary and an overall description of system functions. Through the repeated application of element identification, division, grouping, and allocation of functions, a complete description of the elements needed for the SoI can be defined. In this case, the choice of system elements and allocation of functions may be guided by pre-defined ways of solving a given problem or by identified system patterns; both can support as well as insert bias into the synthesis. For example, one might start with the need to provide energy to a new housing project and propose solution options based around connections to an existing power grid, local power generators, renewable energy sources, increased energy efficiency, etc.

The iterative nature of analysis also reflects the need to change the solution as the life cycle progresses and changes the system's environment; thereby, possibly changing what a "best" solution is.

A bottom up approach starts with major elements and interactions. Again, division, grouping, and identification allows for the construction of a full system description that is capable of providing all the necessary functions, at which point the final SoI boundary can be set. In this case, the choice of system elements and groupings will be driven by the goal of ensuring that the major system elements can be formed together into a viable system whole. For example, there may be a need to replace an existing delivery vehicle and produce solution options that consider vehicle ownership/leasing, driver training, petrol, diesel or electric fuel, etc.

The systems approach aspect of synthesis leads to SE terms such as "design" and "development." Wasson describes synthesis from a SE point of view (Wasson 2006, 390-690). White provides a comprehensive discussion of methods of achieving design synthesis (White 2009, 512-515). The systems approach treats synthesis at the abstract level while the SE process definitions provide the concrete steps.

The SoI brings together elements, sub-systems and systems through the concept of synthesis to identify a solution option.

Synthesis of possible solutions may result in the development of artifacts documenting the synthesis itself and provide the basis for analysis and selection between alternative solutions. These artifacts are dynamic and will change as the SoI changes its environment throughout the system life cycle.

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## Additional References

None

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# Analysis and Selection between Alternative Solutions

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**Lead Author:** Rick Adcock, **Contributing Authors:** Brian Wells, Scott Jackson, Janet Singer, Duane Hybertson

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This topic is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It describes knowledge related to the analysis and selection of a preferred solution from the possible options, which may have been proposed by Synthesizing Possible Solutions. Selected solution options may form the starting point for Implementing and Proving a Solution. Any of the activities described below may also need to be considered concurrently with other activities in the systems approach at a particular point in the life of a system-of-interest (SoI).

The activities described below should be considered in the context of the Overview of the Systems Approach topic at the start of this KA. The final topic in this KA, Applying the Systems Approach, considers the dynamic aspects of how these activities are used as part of the systems approach and how this relates in detail to elements of systems engineering (SE).

## System Analysis

System analysis is an activity in the systems approach that evaluates one or more system artifacts created during the activities involved in Synthesizing Possible Solutions, such as:

- Defining assessment criteria based on the required properties and behavior of an identified problem or opportunity system situation.
- Assessing the properties and behavior of each candidate solution in comparison to the criteria.
- Comparing the assessments of the candidate solutions and identification of any that could resolve the problem or exploit the opportunities, along with the selection of candidates that should be further explored.

As discussed in Synthesizing Possible Solutions topic, the problem context for an engineered system will include a logical or ideal system solution description. It is assumed that the solution that “best” matches the ideal one will be the most acceptable solution to the stakeholders. Note, as discussed below, the “best” solution should include an understanding of cost and risk, as well as effectiveness. The problem context may include a soft system conceptual model describing the logical elements of a system to resolve the problem situation and how these are perceived by different stakeholders (Checkland 1999). This soft context view will provide additional criteria for the analysis process, which may become the critical issue in selecting between two equally effective solution alternatives.

Hence, analysis is often not a one-time process of solution selection; rather, it is used in combination with problem understanding and solution synthesis to progress towards a more complete understanding of problems and solutions over time (see Applying the Systems Approach topic for a more complete discussion of the dynamics of this aspect of the approach).

## Effectiveness Analysis

Effectiveness studies use the problem or opportunity system context as a starting point.

The effectiveness of a synthesized system solution will include performance criteria associated with both the system's primary and enabling functions. These are derived from the system's purpose, in order to enable the realization of stakeholder needs in one or more, wider system contexts.

For a product system, there are a set of generic non-functional qualities that are associated with different types of solution patterns or technology, e.g., safety, security, reliability, maintainability, usability, etc. These criteria are often explicitly stated as parts of the domain knowledge of related technical disciplines in technology domains.

For a service system or enterprise system, the criteria will be more directly linked to the identified user needs or enterprise goals. Typical qualities for such systems include agility, resilience, flexibility, upgradeability, etc.

In addition to assessments of the absolute effectiveness of a given solution system, systems engineers must also be able to combine effectiveness with the limitations of cost and timescales included in the problem context. In general, the role of system analysis is to identify the proposed solutions which can provide some effectiveness within the cost and time allocated to any given iteration of the systems approach (see Applying the Systems Approach for details). If none of the solutions can deliver an effectiveness level that justifies the proposed investment, then it is necessary to return to the original framing of the problem. If at least one solution is assessed as sufficiently effective, then a choice between solutions can be proposed.

## Trade-Off Studies

In the context of the definition of a system, a trade-off study consists of comparing the characteristics of each candidate system element to those of each candidate system architecture in order to determine the solution that globally balances the assessment criteria in the best way. The various characteristics analyzed are gathered in cost analysis, technical risks analysis, and effectiveness analysis (NASA 2007). To accomplish a trade off study, there are a variety of methods, often supported by tooling. Each class of analysis is the subject of the following topics:

- Assessment criteria are used to classify the various candidate solutions. They are either absolute or relative. For example, the maximum cost per unit produced is c\$, cost reduction shall be x%, effectiveness improvement is y%, and risk mitigation is z%.
- **Boundaries** identify and limit the characteristics or criteria to be taken into account at the time of analysis (e.g., the kind of costs to be taken into account, acceptable technical risks, and the type and level of effectiveness).
- **Scales** are used to quantify the characteristics, properties, and/or criteria and to make comparisons. Their definition requires knowledge of the highest and lowest limits, as well as the type of evolution of the characteristic (linear, logarithmic, etc.).
- An assessment score is assigned to a characteristic or criterion for each candidate solution. The goal of the trade-off study is to succeed in quantifying the three variables (and their decomposition in sub-variables) of cost, risk, and effectiveness for each candidate solution. This operation is generally complex and requires the use of models.
- The **optimization** of the characteristics or properties improves the scoring of interesting solutions.

A decision-making process is not an accurate science; ergo, trade-off studies have limits. The following concerns should be taken into account:

- Subjective Criteria – personal bias of the analyst; for example, if the component has to be beautiful, what constitutes a "beautiful" component?
- Uncertain Data – for example, inflation has to be taken into account to estimate the cost of maintenance during the complete life cycle of a system; how can a systems engineer predict the evolution of inflation over the next five years?

- Sensitivity Analysis – A global assessment score that is designated to every candidate solution is not absolute; thus, it is recommended that a robust selection is gathered by performing a sensitivity analysis that considers small variations of assessment criteria values (weights). The selection is robust if the variations do not change the order of scores.

A thorough trade-off study specifies the assumptions, variables, and confidence intervals of the results.

## Systems Principles of System Analysis

From the discussions above, the following general principles of systems analysis can be defined:

- Systems analysis is an iterative activity consisting of trade studies made between various solution options from the systems synthesis activity.
- Systems analysis uses assessment criteria based upon a problem or opportunity system description.
  - These criteria will be based around an ideal system description that assumes a hard system problem context can be defined.
  - The criteria must consider required system behavior and properties of the complete solution in all of the possible wider system contexts and environments.
  - Trade studies require equal consideration to the primary system and the enabling system working as a single system to address the user need. These studies need to consider system requirements for Key Performance Parameters (KPPs), systems safety, security, and affordability across the entire life cycle.
  - This ideal system description may be supported by soft system descriptions from which additional “soft” criteria may be defined (e.g., a stakeholder preference for or against certain kinds of solutions and relevant social, political, or cultural conventions to be considered in the likely solution environment, etc.).
- At a minimum, the assessment criteria should include the constraints on cost and time scales acceptable to stakeholders.
- Trade studies provide a mechanism for conducting analysis of alternative solutions.
  - A trade study should consider a “system of assessment criteria,” designating special attention to the limitations and dependencies between individual criteria.
  - Trade studies need to deal with both objective and subjective criteria. Care must be taken to assess the sensitivity of the overall assessment to particular criteria.

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## Additional References

None.

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# Implementing and Proving a Solution

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This topic is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It describes knowledge related to the implementation and proving of a preferred solution that may have been selected by activities described in the Analysis and Selection between Alternative Solutions topic. The activities that apply to an implemented solution during its operational life are described in Deploying, Using, and Sustaining Systems to Solve Problems topic, and how systems fit into commercial and acquisition relationships is discussed in the Introduction to System Fundamentals topic. Any of the activities described below may also need to be considered concurrently with other activities in the systems approach at a particular point in the life of a system-of-interest (SoI).

The activities described below should be considered in the context of the Overview of the Systems Approach topic at the start of this KA. The final topic in this KA, Applying the Systems Approach, considers the dynamic aspects of how these activities are used as part of the systems approach and how this relates in detail to elements of systems engineering (SE).

## Proving the System Overview

This topic covers both the sub-topics of verification and validation.

### Verification

Verification is the determination that each element of the system meets the requirements of a documented specification (see principle of elements). Verification is performed at each level of the system hierarchy. In the systems approach, this topic pertains to the more abstract level of providing evidence that the system will accomplish what it was meant to do. In SE, this topic pertains to providing quantitative evidence from tests and other methods for verifying the performance of the system.

### Validation

Validation is the determination that the entire system meets the needs of the stakeholders. Validation only occurs at the top level of the system hierarchy. In the systems approach, this topic pertains to the more abstract level of ensuring the system meets the needs of the stakeholders. In SE, this topic pertains to the detailed demonstrations and other methods that are used to promote stakeholder satisfaction.

In a SE context, Wasson provides a comprehensive guide to the methods of both system verification and system validation (Wasson 2006, 691-709).

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# Deploying, Using, and Sustaining Systems to Solve Problems

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This topic is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It describes knowledge related to the deployment, sustainment, and use of a solution that may have been developed through the activities described in the Implementing and Proving a Solution topic. Discussion of how a deployed system fits into commercial and acquisition relationships is present in Introduction to System Fundamentals. Any of the activities described below may also need to be considered concurrently with other activities in the systems approach at a particular point in the life of a system-of-interest (SoI).

The activities described below should be considered in the context of the Overview of the Systems Approach topic at the start of this KA. The final topic in this KA, Applying the Systems Approach, considers the dynamic aspects of how these activities are used as part of the systems approach and how this relates in detail to elements of systems engineering (SE).

## Introduction

Part 3, Systems Engineering and Management, of the Guide to the SE Body of Knowledge (SEBoK) provides two additional KAs that address the engineering aspects of these steps of the systems approach. KAs Product and Service Life Management and System Deployment and Use in Part 3 explain the SE aspects of deployment, operation, maintenance, logistics, service life extension, updates, upgrades, disposal and the retirement of systems.

A systems approach considers the total system and the total life cycle of the system. This includes all aspects of the system and the system throughout its life until the day users dispose of the system and the external enterprises complete the handling of the disposed system products. Creation of the system is rarely the step that solves the stakeholders' problems. It is the use of the system solution that solves the problem. From this perspective the deployment, use and sustainment of the system are important concepts that must be a part of the systems approach.

Engineered systems are eventually owned by an individual, team, or enterprise. Those who own the system during development may not be the ones who own the system when it is in operation. Moreover, the owners may not be the users; e.g., service systems may be used by the general public but owned by a specific business that offers the service. The transition of a system from development to operations is often itself a complex task, involving such activities as training those who will operate the system, taking legal actions to complete the transfer, and establishing logistical arrangements so that the operators can keep the system running once the transition is completed.

A complete systems approach must also consider the many enterprises involved in the system from initial conception through the completion of the disposal process. These enterprises are all stakeholders with requirements, which all have interfaces that must be considered as part of a total systems approach.

There is very little in the literature pertaining to the application of the systems approach to these phases of the life cycle. However, a basic premise of this KA is that the systems approach pertains to all phases of a system's life cycle. Hence, to properly build systems to solve problems or for other uses, it can be inferred that the systems approach pertains to the deployment, use, and the sustainment of the systems. Many of the available references in this topic area are from SE literature rather than from literature associated with the systems approach; the reader should also see Part 3 of the SEBoK, Systems Engineering and Management.

## Deployment: The Transition from Development to Operation

Transferring custody of the SoI and responsibility for its support from one organization to another occurs during deployment and is often called transition (INCOSE 2011). Transition of a product system includes the integration of the system into the acquiring organization's infrastructure. Deployment and transition involves the activity of moving the system from the development to the operational location(s), along with the support systems necessary to accomplish the relocation.

Transition includes the initial installation of a system and the determination that it is compatible with the wider system and does not cause any significant wider system issues. This process of acceptance and release for use varies between domains and across businesses and enterprises, and can be thought of as an initial assessment of the system's effectiveness (Hitchins 2007). Generally, transition may be considered as having two parts: 1.) ensuring that the new system interoperability with the systems around it and 2.) ensuring the resulting system is safe and possesses other critical operational properties.

It is particularly important to consider emergent properties when a new system is added to the existing organization's system of systems (SoS) network, as well as the complexity of the organization into which the new system is transitioned (see also Complexity). The more complex the receiving organization is, the more challenging the transition will be, and the greater the likelihood of unintended interactions and consequences from the new system's insertion. Dealing with the consequences of this complexity starts in transition and continues into operation, maintenance, and disposal.

Transition of a service system is often performed in two stages. First, the service system infrastructure is accepted and released. Second, each realization of the service is accepted and released. There can be significant problems during the second stage if the required responsiveness of the service does not leave sufficient time to ensure that the service meets necessary functional and quality attributes, including interoperability, safety, and security. (See Service Systems Engineering.)

Transition and deployment of a system may introduce unique requirements that are not necessary for operation or use. These requirements can influence the design of the system; therefore, must be considered during the initial requirements and design stages. The most common examples are related to the need to transport the system or system elements, which often limits the size and weight of the system elements.

Transition can also require its own enabling systems, each of which can be realized using a systems approach.

## Use: Operation

Use of the system to help enable delivery of user services is often called “operations” (INCOSE 2011). A system’s effectiveness is normally considered throughout the operational life of a system. For a complex system, emergent behavior should be considered in three ways:

- to identify and plan for emergent properties within the system realization process (See System Realization KA in Part 3, Systems Engineering and Management)
- to incorporate mechanisms for identifying and handling unexpected emergent properties within the system during its use
- to provide necessary procedures for dealing with wider system consequences of unexpected emergent properties in the enterprise (e.g., emergency responses or medical first aid)

Operations require their own enabling systems, each of which can be realized using a systems approach.

## System Sustainment and Maintenance

System sustainment requires maintenance of the system throughout its useful life (INCOSE 2011). In system terms, maintenance implements systems that handle entropy and maintaining the SoI in a viable state. Since an open system maintains its existence by continual exchange of energy, information, and materiel with its environment, one aspect of its maintenance must be the management of resources in the environment.

Hitchens (2007) describes generic approaches to resource management and viability management based on systems concepts. Resource management identifies the need to consider the acquisition, storage, distribution, conversion, and disposal of resources. Viability management should consider systems to maintain homeostasis and a means for ensuring resilience to environmental disturbance and adaptability to environmental change.

Maintenance will require its own enabling systems, each of which can be realized using a systems approach. Maintenance success is more likely if it is considered as part of the system concept and design well before the system enters service.

## Disposal

A total life cycle systems approach cannot be considered complete without consideration of how disposal of the system will be accomplished. The purpose of disposal is to remove a system element from the operational environment with the intent of permanently terminating its use, and remove any hazardous or toxic materials or waste products (INCOSE 2011).

During disposal, the entirety of the open system crosses the boundary from the system side to the environment. A complete systems approach must consider how it crosses the boundary and what remains that must be managed by enterprises other than the ones that developed, used or sustained the system. Including disposal in the system approach expands the stakeholders, the enterprises and the external systems that must be considered.

Disposal requires its own enabling systems, each of which can be realized using a systems approach. Some of these may be contained within the system boundaries and others may be external to the system. For the external disposal systems, the interface where the handover occurs must be considered. As with maintenance, a large part of successful disposal requires related issues to have been considered early on in the system’s life cycle.

The topic Disposal and Retirement in Part 3, Systems Engineering and Management, of the SEBoK provides information on the engineering aspects of system disposal.

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# Applying the Systems Approach

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The systems approach relates to both the dynamics of problem resolution and stakeholder value over time, as well as to the levels of system relationship, detailed management, and the engineering activities this implies.

This article builds on the concepts introduced in Overview of the Systems Approach topic. It is part of the Systems Approach Applied to Engineered Systems knowledge area (KA), which describes, primarily through five groups of activities, the application of an approach based around systems thinking to engineered system contexts throughout their lives.

## Life Cycle

Engineered Systems provide outcomes which deliver benefits to stakeholders by helping them achieve something of value in one or more problem situations. Ultimately, a system is successful only if it enables successful outcomes for its stakeholders (Boehm and Jain 2006). In complex real world situations, value can best be provided through a continuing process of adapting the system needs and developing associated solutions in response to changing circumstances, according to the principle of **Progressive Satisfying** (Hitchins 2009).

A value cycle associating the systems approach to the delivery of real world stakeholder benefits is discussed in the Overview of the Systems Approach topic. A greater understanding of the value of an engineered system within its context enables agreement on the problem situation and appropriate system interventions to be created, deployed, and used overall, in turn enabling a more effective application of the systems approach. Value is fully realized only when considered within the context of time, cost, funding and other resource issues appropriate to key stakeholders (Ring 1998).

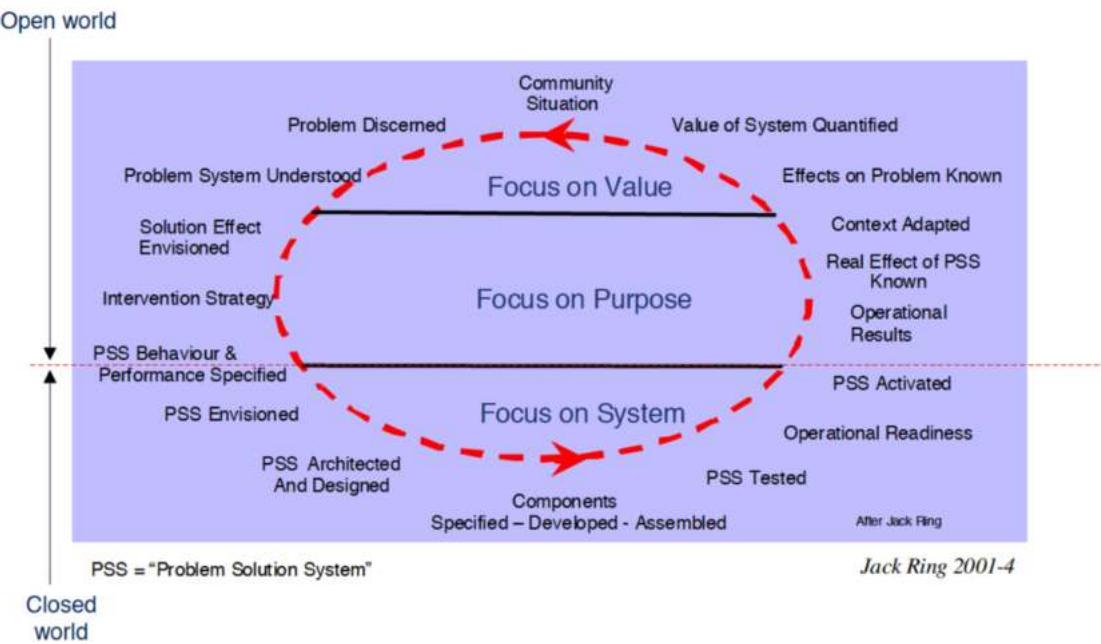


Figure 1. Ellipse Graphic (Ring 1998). © 1998 IEEE. Reprinted, with permission, from Jack Ring, Engineering Value-Seeking Systems, IEEE-SMC. Conference Proceedings. All other rights are reserved by the copyright owner.

The views in Figure 1 apply the idea of **Systemic Intervention** to the resolution of problem situations in which one or more engineered system solutions might be required. For each turn of the cycle, an agreement is made between stakeholders and developers that an Engineered System to solve problem X with effectiveness Y in agreed conditions Z has a chance of delivering value A for which they are willing to invest cost B and other resources C.

It is in the nature of wicked problems that this proposition cannot be a certainty. life cycle approaches to understand and manage the shared risk of tackling such problems are discussed in Life Cycle Models. The idea of Systemic Intervention comes from soft systems thinking (see Systems Approaches).

For each of the engineered system problems, the solutions agreed above must be developed such that they are effective in terms of cost, performance and other properties relevant to the problem domain. A developer must consider not only what to do, but when and how much to do to provide real value (Senge 1990). In systems engineering (SE) and management practices, this leads to the two key concepts (INCOSE 2011):

- **Life Cycles:** Stakeholder value and problem resolution described as a set of life cycle stages over which problems can be explored and resolved, and resources can be managed.
- **Life Cycle Processes:** Systems of activities focused on creation and sharing of knowledge associated with the systems approach, that can be employed to promote a holistic approach over a life cycle.

Life cycle management provides the framework in which to take a systems approach to all aspects of an engineered system context, which includes not only the system product or service but also the systems to create, deploy and support it (Martin 2004). The following sections consider how the systems approach should be applied to an identified problem statement, within the context of the overall value cycle discussed above.

## Application Principles

### Concurrency

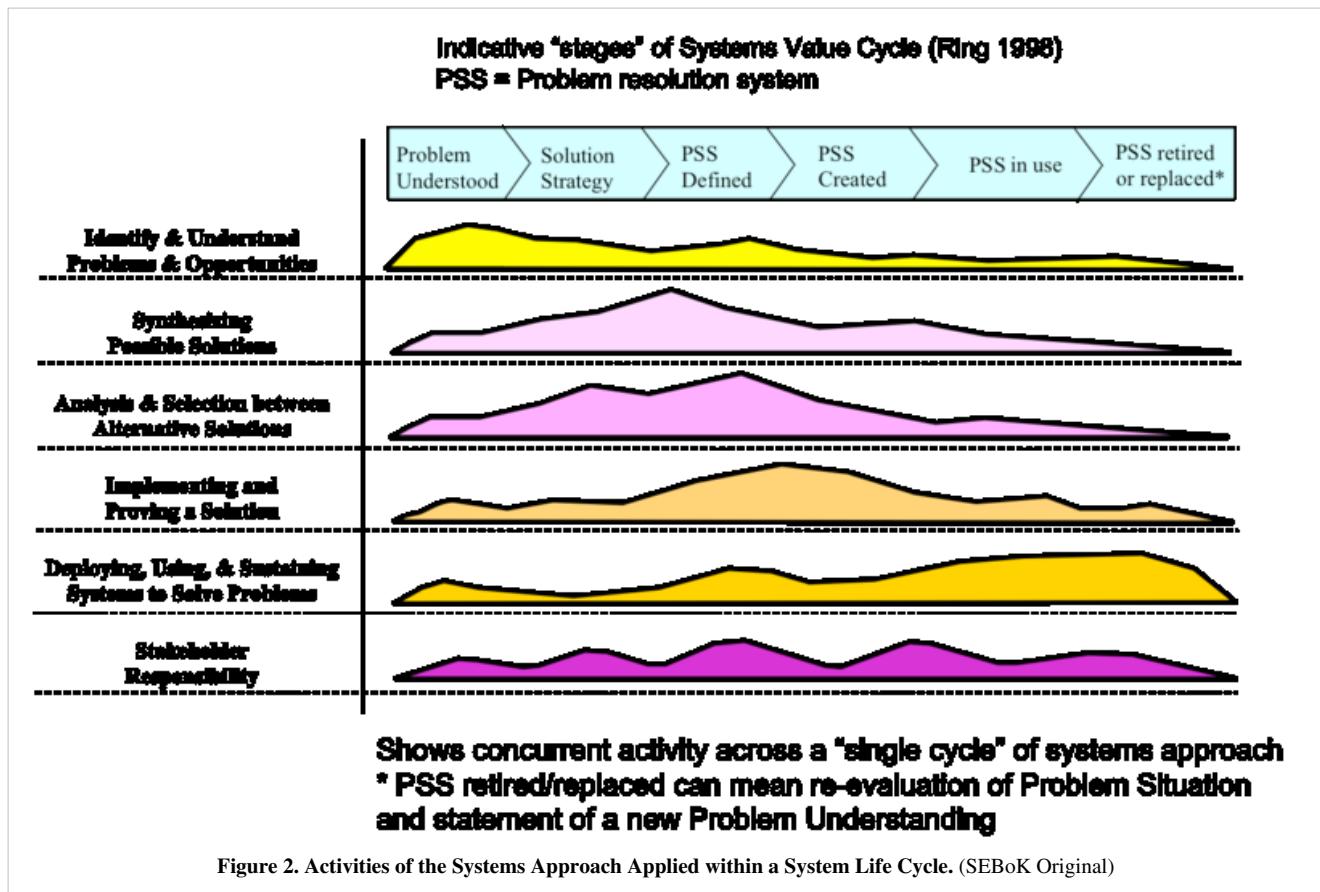
Within any application of the systems approach, the activities of problem identification, solution synthesis and selection, solution implementation and proving, and deployment, sustainment, and use should be applied concurrently, reflecting their interrelationships and dependencies.

The system value cycle (Ring 1998) can be taken as a generic model of the life of an engineered system within a problem resolution cycle driven by stakeholder value. For practical reasons, it is necessary to break this life down into a set of finite stages to allow activities to be organized. We can express the value cycle as six groups of questions to cycle around value, problem, and solution questions that are related to the systems approach:

1. What values do stakeholders want/need?
2. What system outcomes could improve this value?
3. What system can provide these outcomes?
4. How do we create such a system?
5. How do we deploy and use the system to achieve the outcomes?
6. Do these outcomes provide the expected improvement in value?

The above questions focus on each iteration of the systems approach to deliver stakeholder goals within an enterprise context. Activities 1 and 6 are part of the business cycles of providing stakeholder value within an enterprise, whereas activities 2 through 5 can be mapped directly to product, service, and enterprise engineering life cycles. A distinction is made here between the normal business of an enterprise and the longer-term strategic activities of Enterprise Systems Engineering.

The following diagram illustrates the concurrent nature of the activities of a systems approach over time.



The lines on Figure 2 represent activity in each of the activity areas over a simple (not to scale) life cycle based on the questions above. Activities may have a primary focus in certain stages but need to span the whole of life to ensure a holistic approach. For example, problem identification has a large input during the Problem Understanding stage, but problems are refined, reviewed, and reassessed over the rest of the life cycle. Similarly, Implement and Proving activities are conducted during the transition from Create to Use. This is only possible if proving issues, strategies, and risks are considered in earlier stages. This diagram is a schematic representation of these activity mappings, sometimes called a hump diagram (Kruchten 2003).

For the generic systems approach, the following fundamental life cycle principles apply:

- A life cycle has groups of stages which cover understanding stakeholder value; exploration of a problem situation (see System Definition); creation of a system solution (see System Realization); and System Deployment and Use.
- Life cycle processes define a system of engineering and management activities based on the detailed information needed to ensure a systems approach across a life cycle (e.g., requirements, architecture, verification, and validation).
- Activities in any of the processes may be employed in all of the stages to allow for appropriate concurrency.
- The sequence and control of the life cycle stages and concurrent process activities must be tailored to the problem situation and commercial environment (Lawson 2010), thus leading to the selection of an appropriate life cycle model.
- Appropriate management activities must be included in the life cycle to ensure consideration of time, cost, and resource drivers.
- In focusing on the creation of a specific system-of-interest (SoI) to provide solutions within the cycle, it is important to recognize the need to employ the right balance between reductionism and holism by considering the appropriate system context.

The ways in which this idea of concurrent process activity across a life cycle has been implemented in SE are discussed in Systems Engineering and Management.

## Iteration

The systems approach can be applied in an iterative way to move towards an acceptable solution to a problem situation within a larger cycle of stakeholder value.

The systems approach can be applied to multiple systems within an engineered system context, as discussed below. At each level, the approach may be applied iteratively to cycle between what is needed and versions of the solutions within a life cycle model.

Hitchens (2009) defines two principles related to iterations:

- **Adaptive Optimizing:** Continual redesign addresses the problem space, detecting and addressing changes in situation, operational environment, other interacting systems, and other factors; it continually conceives, designs, and implements or reconfigures the whole solution system to perform with optimal effectiveness in the contemporary operational environment.
- **Progressive Entropy Reduction:** Continual performance and capability improvement of systems in operation may be undertaken by customer or user organizations with or without support from industry, as they seek to “get the best” out of their systems in demanding situations. In terms of knowledge or information, this process involves progressively reducing entropy, going from a condition of high entropy (that is, disorder) at the outset to low entropy (order) at the finish.

In general, these two cycles of iterations can be realized from combinations of three life cycle types (Adcock 2005):

- Sequential: With iteration between the stages to solve detailed issues as they arise, a single application of the systems approach is sufficient.

- Incremental: Successive versions of the sequential approach are necessary for a solution concept. Each increment adds functionality or effectiveness to the growing solution over time.
- Evolutionary: A series of applications of the sequential approach for alternative solutions intended to both provide stakeholder value and increase problem understanding. Each evolutionary cycle provides an opportunity to examine how the solution is used so the lessons learned can be incorporated in the next iteration.

These aspects of the systems approach form the basis for life cycle models in Life Cycle Models.

## Recursion

The stakeholder value, problem resolution, and system creation aspects of the system value cycle may each require the use of a focused systems approach. These might be soft systems to prove a better understanding of a situation, product systems and/or service systems solutions to operational needs, enabling systems to support an aspect of the product or service life cycle, or enabling systems used directly by the enterprise system.

Each of these systems may be identified as a system-of-interest (SoI) and require the application of the systems approach. This application may be sequential (the start of one system approach dependent on the completion of another) or parallel (independent approaches which may or may not overlap in time), but will often be recursive in nature.

Recursion is a technique borrowed from computer science. In computer science, recursion occurs when a function calls itself repeatedly to logically simplify an algorithm. In a recursive application applied to systems, the systems approach for one system-of-interest is nested inside another. Examples include cases where:

- trades made at one level of the system require trades to be made for system elements;
- the analysis of a system requires analysis of a system element;
- the synthesis of a solution system requires one or more sub-system elements; and
- the verification of a product system requires verification of system elements.

In each case, the “outer” system approach may continue in parallel with the “inner” to some extent but depends on key outcomes for its own progress.

As with all recursive processes, at some stage the application of the approach must reach a level at which it can be completed successfully. This then “rolls up” to allow higher levels to move forward and eventually complete all nested applications successfully.

The INCOSE *Systems Engineering Handbook* (INCOSE 2011) describes a recursive application of SE to levels of system element with each application representing a system project. Martin (1997) describes the recursive application of SE within a product system hierarchy until a component level is reached, at which point procurement of design and build processes can be used to create solution elements.

The principle of recursive application and how it relates to life cycle models is described in Life Cycle Models. This topic is part of the Systems Approach Applied to Engineered Systems knowledge area (KA). It summarizes various aspects of stakeholder responsibility for acquisition and ownership during the system life cycle processes covered by such sources as the International Council on Systems Engineering Handbook (INCOSE 2012). Any of the activities described below may also need to be considered concurrently with other activities in the systems approach at a particular point in the life of a system-of-interest (SoI).

The activities described below should be considered in the context of the Overview of the Systems Approach topic at the start of this KA. The final topic in this KA, Applying the Systems Approach, considers the dynamic aspects of how these activities are used as part of the systems approach and how this relates in detail to elements of systems engineering (SE).

## Stakeholder Responsibilities

The general principles of life cycle application discussed above apply as necessary to each application of SE. The following sections clarify the different kinds of stakeholder and the roles they take for the different system contexts discussed in the SEBoK.

## Products, Services, and Enterprises

Most often, the terms "product" and "service" describe the effects that are exchanged in a customer and supplier agreement. This may be a commercial agreement, one funded publicly by a charity, or provided by a government agency. The difference between a product and a service is that a product is an artifact acquired to achieve an outcome while a service is an outcome supplied directly to a user.

The terms "customer" and "user" are often used interchangeably in engineering and management disciplines. The INCOSE *Systems Engineering Handbook* (INCOSE 2012) makes the following specific distinctions among the stakeholders associated with a system:

- The acquirer is the stakeholder that acquires or procures a product or service from a supplier.
- The supplier is an organization or individual that enters into an agreement with the acquirer to supply a product or service.
- The operator is an individual or organization that uses knowledge, skills and procedures to perform the functions of the system to provide the product or service.
- The user or customer is the individual or group that benefit from the operation of the system.

These terms define the roles stakeholders take; however, they may not always lie within these distinct entities (e.g. the acquirer may also be the user). This also applies to service systems, as some of the entities may also overlap in roles. Parnell et al. (2011) offer an alternative list of stakeholders that include decision authority, client, owner, user, consumer, and interconnected.

Product systems consist of hardware, software, and humans, and they have traditionally been the focus of SE efforts. These systems are delivered to the acquirer and operated to accomplish the goals that led to the requirements for the system. These requirements were derived from the need to provide products and services to one or more users as part of an enterprise.

The delivery (supplying) of a service is indicative of the direct delivery of an outcome, which is often related to the delivery of products (e.g., a maintenance, training, or cleaning service). This is not the same as the delivery of a service system (see the discussion below).

In traditional SE, the term "service" or "service system" refers to the wider system context that describes the acquirer's need to deliver user value. In this case, the service system is a fixed system definition that dictates the manner in which the acquiring enterprise will utilize the products to enable the delivery of services to users. Product systems are designed to be integrated and operated as appropriate to enable this service to be maintained or improved as required. In this view, a service system is static and contains dedicated products, people, and resources; that is, hierarchies of products are engineered to provide acquirers with the ability to offer predefined services to users or customers.

More recently, the term "service systems" has been used to describe a system that is engineered in a manner that allows enterprises to offer services directly to users, bypassing the need to hold all of the necessary products and services within the enterprise itself. This requires the expansion of the definition of a "supplier" as follows:

- A **product supplier** is an organization or individual that enters into an agreement with an acquirer to supply a product or related product support services.
- A **service system supplier** is an organization or individual that enters into an agreement with an acquirer to supply a service system.
- A **service supplier** is an organization or individual that enters into an agreement with a user to supply a service.

These service systems tend to be configured dynamically to deal with problems that traditional static services find challenging to address. This view of a service system employs "late binding" with product systems that are not owned by the enterprise but are used to enable the service to be offered as closely to given time demands as possible. This is the definition of a service system used in the Service Systems Engineering topic in Part 4, Applications of Systems Engineering.

## Stakeholder Needs

One of the most critical stakeholder responsibilities is to identify the needs and requirements for the system that provides the products or services (INCOSE 2012). These needs and requirements are expressed in agreements between acquirers and suppliers.

There are other stakeholders who shape system requirements based on their needs, but who are not necessarily acquirers or suppliers. The stakeholders and the requirements engineers share the responsibility to identify their needs during the requirements process.

## Acquirer/Supplier Agreements

Lawson (2010) provides a perspective on what it means to own systems, trade in system products and services, and the implications of supply chains in respect to the value added and ownership of the systems, its products and services. INCOSE (2012) defines two life cycle processes related to acquisition and supply. The acquisition process includes activities to identify, select, and reach commercial agreements with a product or service supplier.

In many larger organizations, there is a tradition of system ownership vested in individuals or, in some cases, enterprise entities (groups or teams). Ownership implies the authority and responsibility to create, manage, and dispose of a system-of-interest (SoI), as well as sometimes to operate the SoI.

## Product Acquire/Supply

In some industries, a supplier works directly with an acquirer to help understand the acquirer's needs and then engineer one or more products to satisfy those needs. In certain cases, a single supplier will provide the complete worthy product system. In other cases, a supply chain will be formed to deliver product systems with a system integrator to ensure they fit together and integrate into the wider context. This is a theoretical view of product systems engineering in which the context is fixed and the product is designed to fit into it. A good systems engineer may suggest changes to the enterprise as a better way to solve the problem and then modify the product system's requirements accordingly. However, at some point, an agreed context will be set and a product system developed to work within it.

For many commercial products, such as mobile phones, a supplier creates a representative user profile to generate the requirement and then markets the product to real users once it is realized. In these cases, the other elements of the systems approach are performed by the acquirer/user and may not follow formal SE processes. It is important that a product supplier takes this into account when considering the best manner in which to engineer a system, as additional help or support services may need to be offered with the purchased product. The idea of a supplier offering support services for users with a type of product purchased elsewhere (e.g., an auto-mechanic servicing different makes of cars) begins to overlap with the service systems context, as discussed in the next topic.

For an institutionalized infrastructure in which SoIs are entirely owned by an enterprise or parties thereof, the entire responsibility of life cycle management, including operation, is often vested with the system owners. These systems belong to the system asset portfolio of an enterprise or multiple enterprises and provide the system resources, including the planned systems that are developed during life cycle management.

### Service Acquire/Supply

Organizations providing service systems need not own the individual products and services that they deliver to their users and customers. With this viewpoint, the supplied service system includes the means to identify and gain access to appropriate products or services when needed. The service systems would then be the bundle of products and services assembled for the user; for example, assembling software applications and service agreements for a mobile phone already owned by a user. The enterprises providing service systems may, in turn, offer infrastructure services to a wide range of different technologies or application domains. This can mean that the transition, operation, maintenance and disposal activities associated with system ownership may not be embedded in the acquiring service system enterprise, and will therefore need to be treated as separate system services. More detail can be found in Product Systems Engineering, Service Systems Engineering, and Enterprise Systems Engineering, in Part 4, Applications of Systems Engineering in the *Guide to the Systems Engineering Body of Knowledge* (SEBoK).

The service systems engineer helps the service supplier create and sustain the service system that can be used to discover, integrate, and use specific versions of generic products or services when needed. The realization of service systems requires the ability to make use of product systems; however, these product systems are developed and owned outside of the service system. The service system must be able to gain access to a product or service when needed, as well as to interface with it effectively. The use of open interface standards, such as standard power supplies, interface connections (e.g., Universal Serial Bus (USB)), or file formats (e.g., Portable Document Format (PDF)) can help make this easier.

### Enterprise Evolution

A useful distinction between product system design and enterprise system design is that “enterprise design does not occur at a single point in time like the design of most systems. Instead, enterprises evolve over time and are constantly changing, or are constantly being designed” (Giachetti 2010, xiii).

The enterprise developer may also aim to optimize backstage processes (the internal operations) of an organization or an institution by exploiting advances in technology, particularly information technology (IT) and associated processes. In these cases, the engineered systems are considered to be enterprise systems.

Enterprise systems may offer products (goods) and/or services. From an enterprise engineering viewpoint, an enterprise concurrent with its product SE must not only look at the development and delivery of the products but also look at the alignment and optimization of the product delivery within the enterprise objectives. Similarly, in service SE, the main focus is on an intangible value delivery to the end-customer (externally focused: front stage), in which internal and external processes must be synchronized. However, with the rapid advances in information and communications technologies (ICT), in many cases the boundaries between internal and external processes are quite blurred. Current SE research is extending product methods, processes, and tools into the enterprise transformation and service innovation fields to exploit advances in business process methodologies and technologies.

Enterprise SE must not only do the engineering of the enterprise itself but may also be involved in the engineering of the service systems and product systems that are necessary for the enterprise to achieve its goals.

## Activity Mapping

This topic belongs to the Systems Approach Applied to Engineered Systems KA from Part 2, Foundations of Systems Engineering. Other topics about activities, from the same KA, relate to high level technical processes defined in KAs in Part 3, Systems Engineering and Management, in the following way:

- Identifying and Understanding Problems and Opportunities topic relates to the Concept Definition KA.
- Synthesizing Possible Solutions and Analysis and Selection between Alternative Solutions topics relate to the System Definition KA.
- Implementing and Proving a Solution topic relates to the System Realization KA.
- Deploying, Using, and Sustaining Systems to Solve Problems topic relates to the Product and Service Life Management KA.

Part 3 discusses the principles defined in each of the systems approach activities, and how they help shape the technical processes to which they are mapped.

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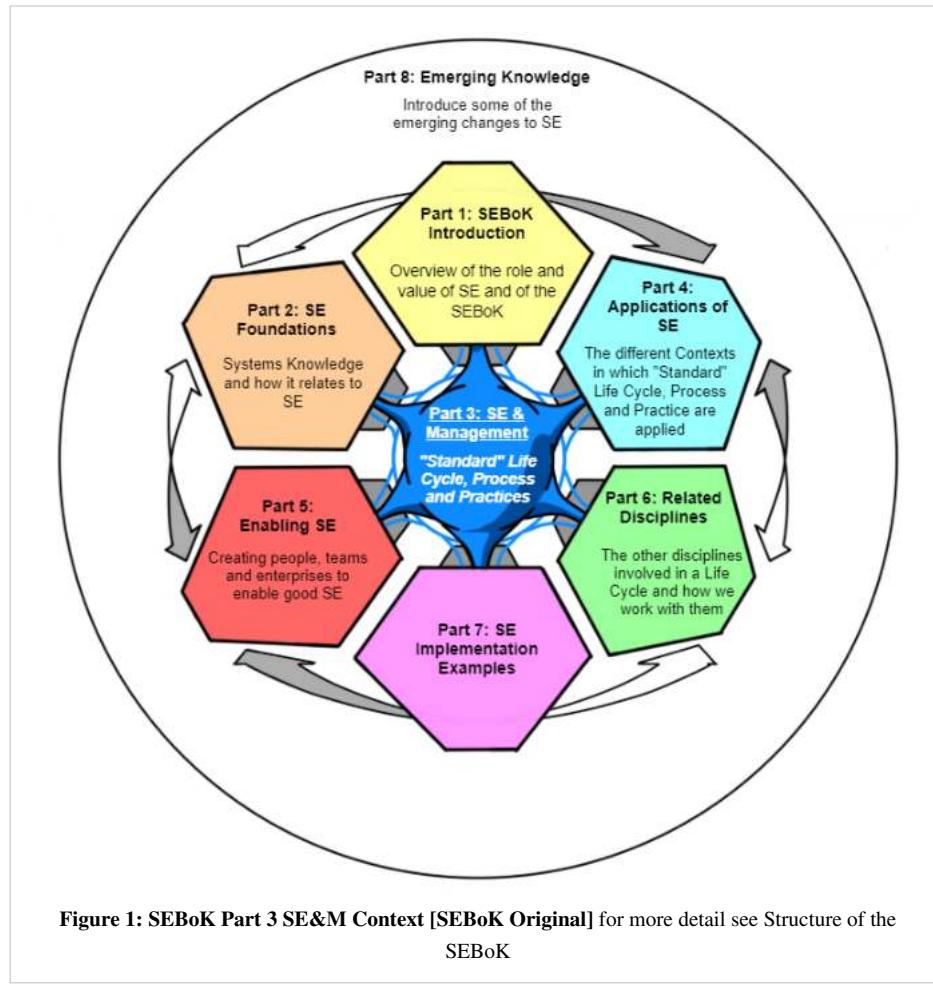
**SEBoK v. 2.7, released 31 October 2022**

# Part 3: Systems Engineering and Management

## Systems Engineering and Management

**Lead Authors:** Jeffrey Carter and Caitlyn Singham

Systems Engineering and Management (SE&M) articles provide system lifecycle best practices for defining and executing interdisciplinary processes to ensure that customer needs are satisfied with a technical performance, schedule, and cost compliant solution. The figure below depicts the context of SE&M processes and practices guidance within the SEBoK.



The SE&M materials are currently being updated to provide system design practitioners with Digital Engineering [DE] and Model-Based Systems Engineering [MBSE] implementation guidance employing the Systems Modeling Language (SysML).

- DE conducts Agile system-software development based on industry open standards by employing MBSE.
- MBSE develops and integrates SysML design models with simulation capabilities for cross-domain collaboration across the lifecycle.

- SysML is an industry standard graphical notation with formal semantics (meaning) to define system requirements, constraints, allocations, behavior and structure characteristics

## SE&M Knowledge Areas

The SE&M articles are organized into the following Knowledge Areas [KAs].

- Systems Engineering STEM Overview
- Model-Based Systems Engineering (MBSE)
- Systems Lifecycle Approaches
- System Lifecycle Models
- Systems Engineering Management
- Business and Mission Analysis
- Stakeholder Needs Definition
- System Architecture Definition
- Detailed Design Definition
- System Analysis
- System Realization
- System Implementation
- System Integration
- System Verification
- System Transition
- System Validation
- System Operation
- System Maintenance
- System Specialty Engineering
- Logistics
- Service Life Management
- Systems Engineering Standards

The SE&M articles provide exemplar processes and practices which are tailorable for an engineering organization to satisfy strategic business goals and individual project objectives including:

- How engineering conducts system development
- The purpose of each engineering artifact generated
- How systems are integrated, and requirements verified
- How new product designs are transitioned to production operations
- How the resulting system is employed and sustained to satisfy customer needs

## Systems Engineering & Management Overview

The role of Systems Engineering [SE] is to define system requirements, constraints, allocations, behavior and structure characteristics to satisfy customer needs. The system is defined in terms of hierarchical structural elements and their behavior interactions. The interactions include the exchange of data, energy, force, or mass which modifies the state of the cooperating elements resulting in emergent, discrete, or continuous behaviors. The behaviors are at sequential levels of aggregation [bottoms-up] or decomposition [top-down] to satisfy requirements, constraints, and allocations. SE collaborates within an integrated product team with electrical, mechanical, software, and specialty engineering to define the subsystem and component detailed design implementations to develop a holistic technical solution.

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SE has traditionally applied intuitive domain-specific practices emphasizing processes and procedures with good writing skills to manually organize information in a disparate collection of documents including textual system requirement specifications, analysis reports, system design descriptions, and interface specifications. Traditional SE is often referred to as a document-centric approach. System design practitioners have cultivated model-based techniques since the late 1990s to facilitate communications, manage design complexity, improve product quality, enhance knowledge capture and reuse. MBSE is defined as the formalized application of graphical modeling with precise semantic definitions for operational analysis, requirements definition, system design development and verification activities beginning in the conceptual phase and continuing throughout later lifecycle phases [INCOSE, 2015]. MBSE conducts system development employing an engineering ecosystem consisting of commercially available tools to create a system design model with SysML compliant semantics that represents the system requirements, constraints, allocations, behavior and structure characteristics. The system design model provides an Authoritative Source of Truth [ASoT] for the project technical baseline with integrated end-to-end simulation capabilities to evaluate system key performance parameters in digital computing environments. MBSE includes the creation, development, and utilization of digital design models with domain product-specific analyses including aerospace, automobile, consumer, defense, and software.

The recent adoption of DE practices [Roper, 2020] broadens the MBSE transformation based on the following principals:

- Agile System and Software Development to prioritize capability development and respond to evolving threats, environments, and challenges.
- Modular Open System Approach [MOSA] to develop product-lines based on industry standards that can adapt to evolving customer needs with new, modified, and existing [reuse] capabilities.
- Digital Engineering [DE] to develop, integrate, and employ MBSE design models with simulation capabilities to realistically emulate systems in digital computing environments for cross-domain collaboration across the system design development, verification, production, and sustainment lifecycle.

The system design model includes functional, logical, and physical system design representations with capabilities that are integrated with electrical, mechanical, software, and specialty design disciplines for system functional and performance assessments. Design model scripts can export functional (SSS, B1, B2, B5) specifications, interface (IRS, ICD, IDD) specifications, design & requirements traceability reports, and design descriptions (SADD, SSDD, SWDD). The integrated simulations provide a digital twin with digital threads of system key performance parameters to evaluate design alternatives in digital computing environments to discover and resolve design defects before the expense of producing physical prototypes.

- Digital threads are analytical frameworks providing end-to-end system simulations to evaluate logical operations and key performance parameters in digital computing environments by exchanging information between different engineering modeling tools across the lifecycle. Evaluation of the digital thread simulations ensure that requirements, interactions, and dependencies are commonly understood across engineering disciplines. Design changes are automatically reflected in all design model usages to assess compliance, with any issue(s) flagged for corrective action.
- Digital twins are authoritative representations of physical systems including the digital thread end-to-end connections with all the data, models, and infrastructure needed to define and optimize a system's lifecycle digitally. Digital twins enable project team collaboration, system simulation functional performance assessments, design change impact evaluations, and product-line management reuse libraries

MBSE enhances the ability to capture, analyze, share, and manage authoritative information associated with the complete specification of a product compared to traditional document-based approaches. MBSE provides the capability to consolidate information in an accessible, centralized source, enabling partial or complete automation of many systems engineering processes, and facilitating interactive representation of system components and behaviors. The legacy SE&M materials are all impacted by the adoption of MBSE practices, and the SEBoK is updating its

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materials accordingly to reflect best practices and principles in an integrated model-based engineering environment. The updated materials to specify system behavior and structure characteristics with traceability to the associated requirements are organized in accordance with the ISO/IEC/IEEE-15288:2015 *Systems Lifecycle Processes* Standard shown in the figure below.

Figure 3 depicts a generic example of the model-based system design process. The approach is consistent with INCOSE's Systems Engineering Handbook guidance with the addition of a system design model repository to manage the project technical baseline. The MBSE design process is independent of any specific design methodology (e.g., structured analysis, object orientated, etc.) employed. Each design model element has a single definition with multiple instantiations on various diagrams depicting system structure and behavior characteristics including traceability to the associated requirements. The model-based design process may be tailored for projects dependent on the domain-area, development, and lifecycle approaches.

Product domain-area system design knowledge and expertise are still mandatory with the implementation of an MBSE approach, which employs integrated modeling tools instead of legacy drawing tools (e.g., PowerPoint, Visio), textual-based specifications (e.g., DOORS), and engineering analysis reports and design descriptions (Word).

The SE&M model-based system design guidance enables a multi-disciplinary team to manage a project's technical baseline within a single, consistent, and unambiguous system design model. The integrated MBSE design model contains system functional and logical representations with the physical detailed design implementation to specify, analyze, design, and verify that requirements are satisfied. The guidance defines conventions for developing design models to specify system behavior and structure characteristics with traceability to the project's requirements. The design models provide a digital authoritative source of truth information repository for a project's technical baseline. Model simulation with test cases facilitate initial design verification in digital computing environments to discover and resolve design defects before incurring the expense of producing physical prototypes.

MBSE practices transform SE from the current document-based approach to employing computer aided design tools comparable to the evolution of the EE, ME, SW, and SP disciplines years ago. The value-added benefit is employment of integrated modeling tools instead of traditional static drawing tools [e.g., PowerPoint, Visio] for product development, integration, and verification across the system lifecycle. The SE&M model-based system design guidance provides MBSE best practices for implementing a digital engineering strategy to develop system design models for specifying and simulating behavior / structure characteristics with traceability to the associated requirements based on the following principles:

1. Develop, integrate, and employ digital system design models for cross-domain collaboration throughout the product lifecycle [i.e., engineering development, production, and sustainment].
2. Manage product-lines based on industry open standards with libraries of customized variants adapted for customers with new, modified, and existing [reuse] system design capabilities.
3. Maintain a digital authoritative source of truth information repository for each product variant's approved technical baseline throughout the product lifecycle to facilitate collaboration and inform decision making.
4. Conduct model simulations with verification test cases to evaluate system behavior and structure in digital computing environments to discover design defects before the expense of producing physical prototypes.
5. Define digital threads of technical key performance parameters and synchronize information across SE, EE, ME, SW, and SP design modeling tools to ensure system requirements, interactions, and dependencies are commonly understood. Design changes are automatically reflected in all model usages across engineering discipline tools and assessed for compliance, with any issue(s) flagged for corrective action.
6. Utilize "Agile" development processes to provide consistent methods for developing system design models and identifying digital threads for data synchronization across engineering disciplines within the integrated model-based engineering environment.

The SE&M model-based system design approach has a theoretical scientific foundation based on the system phenomenon defined by Hamilton's Principle: a system is composed of hierarchical elements which interact by

exchanging data, energy, force, or mass to modify the state of cooperating elements resulting in emergent, discrete, or continuous behaviors at progressive levels of aggregation or decomposition as shown in Figure 4.

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# Systems Engineering STEM Overview

**Lead Author:** Bill Schindel

Engineering disciplines (ME, EE, CE, ChE) sometimes argue their fields have “real physical phenomena”, “hard science” based laws, and first principles, claiming Systems Engineering lacks equivalent phenomenological foundation. Here we argue the opposite, and how replanting systems engineering in MBSE/PBSE supports emergence of new hard sciences and phenomena-based domain disciplines with deep historical roots. Supporting this perspective is the System Phenomenon, wellspring of engineering opportunities and challenges. Governed by Hamilton’s Principle, it is a traditional path for derivation of equations of motion or physical laws of so-called “fundamental” physical phenomena of mechanics, electromagnetics, chemistry, and thermodynamics.

We argue that laws and phenomena of traditional disciplines are less fundamental than the System Phenomenon from which they spring—an historical fact that was well-known and equally remarkable 200 years earlier to the pioneers of mathematical physics. This is a practical reminder of emerging higher disciplines, with their own phenomena, first principles, and physical laws. Contemporary examples include ground vehicles, aircraft, marine vessels, and biochemical networks; ahead are health care, distribution networks, market systems, ecologies, and the IoT.

## Introduction

As a formal body of knowledge and practice, Systems Engineering is much younger than the more established engineering disciplines, such as Civil, Mechanical, Chemical, and Electrical Engineering. Comparing their underlying scientific foundations to some equivalent in Systems Engineering sometimes arises as a dispute, concerning whose profession is “real” engineering based on (or at least later explained by) hard science, with tangible physical phenomena, and accompanied by physical laws and first principles. This paper summarizes the argument for a different perspective altogether (Figure 1), and the reader exploring this paper is warned to avoid the trap of the seemingly familiar in parsing the message. A more complete discussion is provided in (Schindel 2016) and (Schindel 2019).

Beyond that argument, this paper addresses a more pragmatic goal—the means of identifying and representing the tangible physical phenomena that emerge in new system domains, along with their respective physical laws and first principles. This is of more than philosophical or professional significance. Challenged by numerous issues in emerging systems, society has an interest in organizing successful approaches to the scientific understanding of laws and first principles about, and engineering harnessing of, the related phenomena. Individuals entering or navigating the technical professions likewise have personal interests in this evolving roadmap.

While recognizing the formidable works of systems theorists in these still early days of systems engineering (Ashby 1956; Bertalanffy 1969; Braha et al 2006; Cowan et al 1994; Holland 1998; Prigogine 1980; Warfield 2006; Wymore 1967), this paper focuses on even earlier contributions of science and mathematics to the flowering of engineering’s impact over the last three centuries. We will extract the “System Phenomenon” at the center of that foundation and consider its impacts and implications for systems engineering practice. This perspective helps us understand the phase change that Systems Engineering is going through, as model-based representations enable the framework that has already had profound impact in the traditional science/engineering paired disciplines.

## Phase Change Evidence: Efficacy of Hard Science, Phenomena-Based, STEM Disciplines

### Science, Technology, Engineering, and Mathematics [STEM] —300 Years of Impact

Our pragmatic argument is based on assessing the impact of the physical sciences and mathematics on engineering by their joint efficacy in improving the human condition. In a matter of 300 years (from around Newton), the accelerating emergence of Science, Technology, Engineering, and Mathematics (STEM) has lifted the possibility, quality, and length of life for a large portion of humanity, while dramatically increasing human future potential (Mokyr 2009; Morris 2012; Rogers 2003). By the close of the Twentieth Century, the learning and impacts of STEM along with other factors (e.g., market capitalism as a driver of prosperity, as in (Friedman 1980)) were increasingly recognized as critical to individual and collective human prosperity. During that same period, the human-populated world has become vastly more interconnected, complex, and challenging. New opportunities and threats have emerged, in part out of less positive impacts of human applications of STEM. Understanding and harnessing the possibilities have become even more important than before, from the smallest known constituents of matter and life to the largest scale complexities of networks, economies, the natural environment, and living systems

### "Phase Changes": Emergence of Science and Engineering as Phenomena-Based Disciplines

Over those three centuries, the "hard sciences", along with the engineering disciplines and technologies based on those sciences, are credited with much of this amazing societal progress, as well as some related challenges (Mokyr 2009; Morris 2012; Rogers 2003). Our point here is the enormous impact of these "traditional" (at least, over 300 short years) disciplines, as their foundations emerged in understanding of physical phenomena and related predictive and explanatory models.

How can the foundational roots of Systems Engineering be compared to engineering disciplines already seen as based on the "hard sciences"? The traditional engineering disciplines (ME, EE, ChE, CE) have their technical bases and quantitative foundations in what emerged as physical sciences of what came to be understood as physical phenomena.

It wasn't always this way, as seen from the shift that began to occur just three centuries ago. It is informative to remember the "phase changes" that occurred in what are now considered the traditional disciplines, by recalling the history of physics before Newton, chemistry before Lavoisier and Mendeleev, and electrical science before Faraday, Hertz, and Maxwell, versus what followed for each. (Cardwell 1971; Forbes et al 2014; Pauling 1960; Servos 1996; Westfall 1980) All of these domains had earlier, less effective, bodies of thought, generated by those attempting to answer questions and, in some cases, provide practical benefits. Instead of dismissing alchemy, astrology, pre-Copernican cosmology, and their counterparts, we can instead see them as grappling with phenomena without the benefit of sufficiently powerful physical-mathematical representation and the verification mechanisms of experiment and refutation to test against reality what we would now call models.

### Systems Engineering is Still Young

Contemporary specialists in individual engineering disciplines (e.g., ME, EE, CE, ChE) sometimes argue that their fields are based on "real physical phenomena", founded on physical laws based in the "hard sciences" and first principles. One sometimes hears claims that Systems Engineering lacks the equivalent phenomena-based theoretical foundations. In that telling, Systems Engineering is instead critically portrayed as emphasizing (1) process and procedure, (2) critical and systems thinking and good writing skills, and (3) organizing and accounting for information and risk in particular ways—valuable, but not as based on an underlying "hard science".

That view is understandable, given the initial trajectory of the first 50 years of Systems Engineering. (Adcock 2015; Checkland 1981; Walden et al 2015) "Science" or "phenomenon" of generalized systems have for the most part been

described on an intuitive or qualitative basis, with limited reference to a “physical phenomenon” that might be called the basis of systems science and systems engineering. Some systemic phenomena (e.g., requisite variety, emergence of structure, complexity, chaos theory, etc.) have received attention, but it is challenging to argue that these insights have had as great an impact (yet) on the human condition and engineering practice as the broader STEM illustrations cited above for the most recent three centuries of physical sciences and mathematics. However, INCOSE’s own stated vision (Friedenthal et al 2014) calls upon systems engineering for such a result.

Respectful of the contributions of those early thinkers in systems engineering, we also note that their contributions can in some cases be expressed as manifestations of the modeled System Phenomenon described below, advancing the scientific foundations of systems engineering.

## **MBSE, PBSE: Enabling a Phase Change in Systems Engineering**

In the case of systems engineering, a key part of the story is that the role that quantitative system models have played, or not played, during its initial history. Most recently, the broader INCOSE-encouraged role for model-based methods offers to eventually accelerate the “phase change” that the successful earlier history of science, mathematics, and other engineering disciplines suggest is now in progress.

Models are certainly not new to segments of engineering practice. However, we are representing an increasingly fraction of our overall understanding of systems, from stakeholder trade space, to required functionality and performance, to design, and to risk, using explicit and increasingly integrated system models. As in Newton’s day, this also puts pressure on the approaches to model representations, in order that they effectively represent the key ideas concerning the real things they are intended to describe. “Effective” meant these models described observable phenomena, offered explanatory theories of cause, provided verifiable (or falsifiable) predictions, and increased human understanding. In many cases, this understanding was harnessed by practicing engineers to improve human life. The progress of physical sciences did not arise from models that only could describe single unique instances of systems, but instead represented what came to be understood as more general patterns that recur across broad families of systems. Likewise, there is an increasing effort in systems engineering to recognize that these models must often describe patterns of similarity and parameterized variation. The increasing use of explicit model-based patterns in these representations is a part of this phase change (INCOSE Patterns WG 2015; INCOSE MBSE Initiative 2015). Pattern-Based Systems Engineering (PBSE) as an extension of Model-Based Systems Engineering (MBSE) increases emphasis on representation.

This is a more significant change than just the emergence of standards for systems modeling languages and IT toolsets, even though those are valuable steps. We need underlying model structures that are strong enough--remember physics before the calculus of Newton & Leibniz. As a test of “strong enough”, we suggest the ability to have the kinds of impact on humankind summarized in Section 2—beginning with clearer focus on what phenomena are being represented.

Although this sounds challenging, it is not necessary for emerging systems models to “start from scratch” in their search for new system phenomena, and further argue that what is already known from the earlier phase change of Section 2 helps suggest what aspects of our systems models need to be strengthened during the phase change in systems engineering. PBSE further reminds us of a practical lesson from the STEM revolution. Once validated patterns emerge, we (mostly) need to learn and apply those patterns (laws, principles), not how to re-derive them from earlier knowledge. Examples include the Periodic Table and the Gas Laws. While it may be controversial, “learn the model, not modeling” is advice worth considering, in a time when modeling from scratch seems carry more excitement.

## The System Phenomenon

The perspective used in this paper defines a system as a collecting of interacting components, where interactions involve the exchange of energy, force, mass, or information, through which one component impacts the state of another component, and in which the state of a component impacts its behaviour in future interactions (Schindel 2011).

In this framework, all behaviour is expressed through physical interactions (Figure 2). This perspective emphasizes physical interactions as the context in which all the laws of the hard sciences are expressed. (Schindel 2013)

The traditional “Phenomena” of the hard sciences are all cases of the following System Phenomenon:

1. Each component has a specific behavior during a given interaction type, determined by the component’s state.  
(See (4) below for the source of that component’s behavioral characteristics.)
  2. The combined behaviors of the set of interacting components determine a combined system state space trajectory.
  3. That trajectory is a collective property of the system components and interaction, and accordingly is not simply the description of possible behaviors of the individual components. For the systems discussed in this paper, by Hamilton’s Principle (Levi 2014; Sussman et al 2001; Hankins 2004), the emergent interaction-based behavior of the larger system is a “stationary” trajectory  $X = X(t)$  of the action integral, based on the Lagrangian  $L$  of the combined system:
1. The behavioural characteristics of each interacting component in (1) above are in turn determined by its internal (“subsystem”) components, themselves interacting.

Reduced to simplest forms, the resulting equations of motion (or if not known or solvable, empirically observed paths) provide “physical laws” (or recurring observable behaviors) subject to verification.

Instead of Systems Engineering lacking the kind of theoretical foundation that the “hard sciences” bring to other engineering disciplines, we therefore assert that:

- It turns out that all those other engineering disciplines’ foundations are themselves dependent upon the System Phenomenon, and emerge from it.
- The related underlying math and science of systems (dating to at least Hamilton) provides the theoretical basis already used by all the hard sciences and their respective engineering disciplines.
- It is not Systems Engineering that lacks its own foundation—instead, it has been providing the foundation for the other disciplines! (Refer to Figure 6.)
- This insight was well-known and remarkable to the sciences 200 years ago, and has continued to be remarked upon by leading scientists for its surprising coverage ever since: “It [science] has as its highest principle and most coveted aim the solution of the problem to condense all natural phenomena which have been observed and are still to be observed into one simple principle, that allows the computation of past and more especially of future processes from present ones. ...Amid the more or less general laws which mark the achievements of physical science during the course of the last centuries, the principle of least action is perhaps that which, as regards form and content, may claim to come nearest to that ideal final aim of theoretical research.” (Kline, 1981)

## Historical Domain Example 1: Chemistry

Chemists, and Chemical Engineers, justifiably consider their disciplines to be based on the “hard phenomena” of Chemistry (Pauling 1960; Servos 1996):

- This perspective emerged from the scientific discovery and verification of phenomena and laws of Chemistry.
- Prominent among these was the discovery of the individual Chemical Elements and their Chemical Properties, organized by the discovered patterns of the Periodic Table.
- Emerging understanding of related phenomena and behaviors included Chemical Bonds, Chemical Reactions, Reaction Rates, Chemical Energy, and Conservation of Mass and Energy.
- Upon that structure grew further understanding of Chemical Compounds and their Properties:

Even though these chemical phenomena and laws seemed very fundamental:

- All those chemical properties and behaviors are emergent consequences of interactions that occur between atoms' orbiting electrons (or their quantum equivalents), along with limited properties (e.g., atomic weights) of the rest of the atoms they orbit.
- These lower interactions give rise to visible higher-level Chemical behaviour patterns, their own higher-level properties and relationships, expressing "hard science" laws of Chemistry.

This illustrates:

- The "fundamental phenomena" of Chemistry, along with the scientifically-discovered / verified "fundamental laws / first principles" are in fact . . .
- Higher level emergent system patterns and . . .
- Chemistry and Chemical Engineering study and apply those system patterns.

## Historical Domain Example 2: The Gas Laws and Fluid Flow

Illustrated by Figure 4, the discovered and verified laws of gases and of compressible and incompressible fluid flow by Boyle, Avogadro, Charles, Gay-Lussac, Bernoulli, and others are rightly viewed as fundamental to science and engineering disciplines. (Cardwell 1971) However, all those fluid and gaseous properties and behaviors are emergent consequences of interactions that occur between atoms or molecules, the containers they occupy, and their external thermal environment. These lower-level interactions give rise to patterns that have their own higher-level properties and relationships, expressed as "hard sciences" laws. So, the "fundamental phenomena" of gases, along with the scientifically-discovered and verified "fundamental laws and first principles" are in fact higher level emergent system patterns. And so, Mechanical Engineers, Thermodynamicists, and Aerospace Engineers can study and apply those system patterns.

[[File: |thumb|center|750px|Figure 4: Gas, Fluid Interactions, Phenomena, Principles. (SEBoK Original)]]

## Examples from More Recent History

The practical point of this paper is to emphasize the constant emergence of new scientific and engineering disciplines, in domains arising from higher level system interactions. These include domains that have been important to society, even though they arose later than the more fundamental domains from which they spring. The discovery and exploitation of these higher-level phenomena, principles, and laws is important to future progress and innovation, including enterprises, careers of individuals, and society. These more recent emergent domains, in which formal system patterns are being recognized as describing higher-level phenomena and laws, are illustrated by examples of Figure 8:

1. Ground Vehicles: As in the dynamical laws of vehicle stability that enable vehicular stability controls (Guiggiani 2014)
2. Aircraft: Including the dynamical laws at the aircraft level that enable advanced aircraft design for dynamic performance and top-level flight controls (Pratt 2000)
3. Marine Vessels: Facilitating the design of more efficient hulls and special purpose craft, as well as bulk transports (Perez et al 2007)
4. Biological Regulatory Networks: Advancing our understanding of immune reactions and other regulatory paths in connection with pathologies as well as therapies (Davidson and Levine 2005).

For example, in the case of ground vehicles, dynamical laws of vehicle stability arise from the interactions, modulated through control algorithms, of the distributed mass of the vehicle in motion with the driving surface, transmitted through tractional forces of braking, acceleration, or steering, as further impacted by road surface and tire conditions, along with other factors. It is the overall system interaction of all these domain elements that leads to emergent vehicular laws of motion.

Students of complexity (Cowan et al 1994) will note that nonlinearity, the onset of chaos, and extreme interdependencies are not reasons to avoid representing the interactions manifesting that behavior. Indeed, they provide further reasons to understand those very interactions.

Examples that call out for improved future efficacy in systems engineering include:

1. Utility and other distribution networks: Society depends upon rapidly evolving, often global, networks for distribution of goods and services, in the form of materials, energy, communication, and information services. What are the network-level phenomena, laws, and principles of these networks, bearing on their effectiveness and resiliency? (Perez-Arriaga et al 2013)
2. Market systems, economies, and human-imposed regulatory frameworks: These systems clearly have direct impact on society and individuals. The “designed” systems of top-down regulation imposed upon them include such prominent examples as regulation of banking, securities markets, development of medical devices and compounds, and delivery of health care. What are the system-level phenomena, laws, and principles of these systems, bearing on their effectiveness and resiliency? (Friedman 1980)
3. Living ecologies: The emergent habitats of living things include rain forests, coral reefs, the human microbiome, and the biosphere as a whole. These demonstrate characteristics that include regulatory stability within limits, along with pathologies. What are the system-level phenomena, laws, and principles of these systems? (MacArthur & Wilson 2001)
4. Health care delivery: These systems, including a number of important challenges, are much in the public eye. The very definition of effective health care is necessarily dynamic because of the evolving frontiers of medical science. The means of effectively delivering care, financing its costs, and (Hippocratically) protecting patients from harm are all subject of study as to system-level phenomena and principles. (Holdren et al 2014)
5. Product development, general innovation, and related agility: This system domain is the “home court” of INCOSE and our systems engineering profession. While there is a large body of descriptions of the related systems, the study of these systems as modelled technical systems is mostly new or in the future. One such project is the INCOSE Agile Systems Engineering Life Cycle Model Project. (Braha et al 2007; Schindel and Dove 2016; Hoffman 2015)

## Strengthening the Foundations of MBSE

Like mechanics pre-Newton, models of MBSE require an underlying framework to effectively describe the System Phenomenon in domains of practice. MBSE requires a strong enough underlying Metamodel to support phenomenon-based systems science. As discussed in (Schindel 2013), Interactions play a central role in such frameworks, inspired by Hamilton and three hundred years of pioneers in the emergence of science and engineering. Interactions are acknowledged by and can be modelled in some current system modelling frameworks, but typical practice and underlying structures need related improvement. Figure 9 illustrates a related, Interaction-centric, extract from the S\*Metamodel (Schindel 2011).

This is more than model semantics or ontology alone. It means recognizing that the models we pursue are models of the real physical systems they are about, and not just models of information about business processes concerned with those systems. While that might seem obvious to the physical scientist, a different perspective than that is embedded in forty years of enterprise information system practice. In that history, the traditional (and relatively successful) paradigm is construction of information models that describe information transactions or documents (e.g., purchase of air travel tickets). Symptomatic of that paradigm, today we still encounter MBSE models and human interpretations of them that include notions of databases, “calls”, “methods”, and other successful software notions that are not the same as modeling physical systems.

## Conclusions and Implications for Future Action

1. Like the other engineering disciplines, Systems Engineering can be viewed as founded on “real” physical phenomena—the System Phenomenon—for which experimentally verified, mathematically modeled hard science, laws, and first principles have existed for over 150 years, dating to Hamilton, or earlier, to Newton.
2. Systems Engineering not only has its own phenomenon, but the phenomena upon which the traditional engineering disciplines (ME, CE, ChE, EE) are based can themselves all be seen to be derivable from the System Phenomenon. It is SE that has the more fundamental foundation, while the other disciplines are special cases of both the phenomena and mathematics.
3. The System Phenomenon supports the emergence of hard sciences, laws, and first principles for higher level phenomena of critical importance to humankind.
4. Systems Engineering, along with its related scientific foundations, is a young and still emerging discipline. The re-planting of Systems Engineering in a model-based framework is an important step toward strengthening the discipline, but requires a stronger model framework for that to occur, and the System Phenomenon points the way to a key part of that framework.
5. A practical implication for practicing systems engineers and their educators: All models of behavior should be based on interactions. Nature offers no “naked” behavior outside interactions, but current practice and training often seem to overlook this.
6. Systems research emphasis would benefit from more attention to specific emergent domains, each of which will have their own phenomena, instead of over-emphasizing abstract generic systems. This is a well-described but often overlooked observation, as noted in (Anderson 1972)
7. There are additional phenomena in this space. For a discussion of the Value Selection Phenomenon and Group Learning and Model Trust Phenomenon, see (Schindel 2020).

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# Model-Based Systems Engineering (MBSE)

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Model-based Systems Engineering [MBSE] is a paradigm that uses formalized representations of systems, known as models, to support and facilitate the performance of Systems Engineering [SE] tasks throughout a system's life cycle. MBSE is frequently contrasted with legacy document-based approaches where systems engineering captures system design information via multiple independent documents in various non-standardized formats. MBSE consolidates of system information in system design models, which provide primary SE artifacts. These system models, which are generally expressed in a standardized modelling language such as Systems Modeling Language [SysML®] express key system information in a concise, consistent, correct, and coherent format. When implemented properly, MBSE models permit the standardized consolidation and integration of system knowledge across engineering disciplines and subsystems and streamline key systems engineering tasks while also minimizing developmental risk.

This article provides an overview of key concepts underlying model-based approaches to systems engineering and highlights the benefits of utilizing MBSE on projects.

## System Models

During the systems engineering process, a substantial amount of information is collected, generated, and/or maintained regarding the characteristics of the system(s) of interest, composite elements, and interacting entities/environments. MBSE utilizes models as a means of aggregating and managing these disparate pieces of information about a system in a centralized repository that can serve as a ‘single source of truth’ and technical baseline regarding a system of interest.

### Definition of a model

Models are representations that are used to capture, analyze, and/or communicate information about a system or concept. They can vary in scope, purpose, and type, and can be utilized both individually as stand-alone entities as well as in concert with each other as part of an integrated set (Wymore 1993).

### Model Properties

A model can be described and classified with respect to the following properties:

- Scope: the range of relevance of a model. Models can range from capturing the characteristics and interactions of a system’s components (broad scope), to only focusing on the form and function of a single element in isolation (narrow scope).
- Domain: the ‘lens’ through which the model views a system. Models can be holistic in nature or can focus on only highlighting information relevant to certain domains. Domain-specific models generally are used to highlight certain “perspectives” of a system, whether from the lens of a particular application sector (e.g., aerospace, biomedicine), discipline (e.g., electrical, mechanical, thermal), subsystem, or system property (e.g., power, reliability, fault management).
- Formality: the model’s level of adherence to formalized standards for information expression. Models can express information about systems with varying degrees of precision. The most fundamental of models, which simply express a basic representation of a system in an unspecified format, do not convey information with precision and are considered informal. The most formal models comply with well-developed, pre-defined standards (formalisms) for content and organization, which collectively define ‘languages’ that enable consistent and precise interpretations of models.
- Abstraction: the degree to which a model suppresses or excludes out-of-scope, unimportant, or irrelevant details. Abstraction is a necessity with large and complex systems where it is impractical to replicate every aspect of a given system within a reasonable time and resource expenditure margin.
- Physical/conceptual: whether the model is concrete in nature (i.e., a physical model) or fully conceptual (i.e., an abstract model).
- Descriptive/analytical: whether a model details qualitative aspects of a system such as requirements, behaviors, or physical architecture (descriptive model), provides a representation of quantitative aspects of the system such as mass, reliability, power consumption via mathematical relationships (analytical model), or both (hybrid model).
- Fidelity: the degree to which a model comprehensively captures details about a system’s characteristics, ranging from models which only capture general information about a system to those which seek to faithfully capture as much detail about the system as possible.
- Completeness: the extent to which a model captures all relevant domain- information within its scope and at its intended level of detail.
- Integration: the extent to which a model interacts and interfaces with other relevant models describing the system of interest or other related/interacting entities.
- Quality: the degree to which the model (not the system it represents) meets the needs of the individuals performing systems engineering activities. A high-quality model should be readily usable, have minimal ambiguity, and provide accurate, relevant information needed to support tasks associated with the design,

development, operation, and/or maintenance of a system.

Of these properties, formalization and abstraction are generally the most frequently discussed in relation to MBSE (Vogelsang et al. 2017) as they have the greatest impact on whether a model can be effectively used as part of an MBSE workflow.

## Criteria for Effective MBSE Models

While a successful MBSE workflow can involve the use of several different interconnected or standalone models of various scopes and types based on user needs, the main system model in an MBSE projects generally should have the following characteristics:

1. A scope which matches the scope of the project (i.e., it should encompass the entire system of interest);
2. Representative of a holistic perspective from all relevant domains.
3. Strict compliance with a previously established standardized modeling language, whether that be an existing language such as SysML® or a custom formalism.
4. Fully abstracted, to only include relevant information appropriate for the system of interest and its desired use-case(s).
5. Conceptual in nature, to permit the capture of intangible information (e.g., system requirements)
6. Containing a description of the system functional and structural architecture at minimum and supplemented by integrated analytical/quantitative property descriptions as needed.
7. Demonstrating sufficient fidelity to capture relevant system elements and behavior.
8. Fully complete given its scope.
9. Integrated with any necessary auxiliary models.
10. Sufficiently high-quality as to meet the needs of those designing, developing, or otherwise working on the system.

In terms of content, effective system models are expected to capture key system information regarding requirements, system functionality/behavior, structure/form, properties, and interconnections between system components.

## Modeling Languages

Modeling languages are specifications which provide standardized guidelines and structures for expressing system information. These languages, which provide both the structures or 'syntax' in which the information can be expressed, as well as the 'semantics' that govern the way in which the information should be interpreted, can be selected based on user preferences and needs. Different languages utilize different formats to express information (e.g., visual or textual means), as well as different paradigms (e.g., object-oriented, functional, etc.) in order to group information. Visual languages are generally preferred for modeling due to being readily readable, and object-oriented modeling languages are frequently used in systems engineering contexts since they readily lend themselves to systems which can be decomposed, or otherwise thought of, in terms of objects.

SysML®, an extension of Unified Modeling Language [UML] for systems engineering, is one of the more frequently used modeling languages for MBSE. It is a graphical language that utilizes diagrams and tables in order to express system information, and provides a standard set of nine diagram types which can be used to organize and express system information (Friedenthal, Moore, and Steiner 2014). The collective diagrams (each of which can be considered a model in its own right), when interconnected, provide a means of representing system structure, behavior, and requirements in abstracted form. A number of other options have been proposed as architecture description languages [ADLs] for specifically modeling system architectures. ISO/IEC/IEEE 42010 (Systems and software engineering - Architecture description) specifies minimum requirements for a language to qualify as an ADL (ISO 2011).

MBSE users have the option of using SysML®, a similar graphical-language option like UML, a domain or framework specific language, or potentially developing a custom formalism for their team or organization (Bonnet et al. 2016). It is possible to formalize textual documents to create models, though doing so requires the establishment of a domain dictionary in order to remove the ambiguity inherent in diction choice, as well as the use of rigid grammatical structures which may limit readability.

Regardless of what modeling language is used for an MBSE project, it is important that the language be inherently scalable, standardized, readable, reusable, and abstractable to enable the development of effective MBSE models.

## Architecture Frameworks

A second layer of structure that exists overtop a modeling language is an architecture framework. Architecture frameworks are used to organize the information expressed via modeling language. Whereas a modeling language provides the structure needed to express multiple ‘views’ (diagrams) of system elements and their interactions, architecture frameworks enable the user to group those views based on the elements they represent, and organize them in a way that allows traceability, eases navigation through the model, and aids in the identification of missing information (e.g., an omitted element). Architecture frameworks are a specific type of pattern that frequently get defined and standardized for MBSE models. There are also organization- and domain-specific design patterns that can be employed in MBSE models to meet stakeholder needs in more specific model use-cases.

Architecture frameworks and model design patterns play an important role in enabling the re-use of MBSE models (Wu et al. 2019), as certain architectural design patterns may be frequently used across multiple projects even when the specifications of the individual components differ (e.g. building a house with the same structure but different décor). By organizing a system model in a sufficiently abstracted manner, it may be possible to identify the points of difference between an old project and a new one and make the appropriate changes to element properties in the model without having to redo the entire model development process.

## Process Frameworks

The MBSE model development workflow can be streamlined using pre-defined process frameworks, which provide tailorable guidelines and patterns for integrating MBSE into the generic systems engineering process. While process frameworks are typically defined on an organizational level, they generally all exhibit some form of configuration management process, access guidelines, practices for updating the model, and means of integrating the MBSE model into all or nearly all systems engineering lifecycle activities. The benefits of MBSE usage are limited when the system model falls out of date or otherwise becomes inaccurate, so regular model updates are a minimum requirement for MBSE process frameworks.

For smaller projects, the MBSE process framework may be as simple as utilizing the version control features that come included as part of many collaborative modeling software platforms and integrating model usage and periodic updates as checkpoints in the systems engineering process. More complex projects can formalize MBSE process frameworks in a manner that can be verified against configuration management and systems engineering management plans (Fisher et al. 2014).

## Benefits of MBSE

The MBSE workflow and the creation of a centralized system model emphasizes a holistic, standards-based approach to systems engineering (Madni and Sievers 2018). Since the creation of a system model requires reconciliation of information from multiple domains and subsystems, inconsistencies and defects are readily identifiable during the modeling process (Carroll and Malins 2016) and can be addressed or eliminated earlier on in the system lifecycle process than would otherwise be done in a document-based workflow. Similarly, the centralization and standardization of information ensures a reduction in miscommunications and other development

risks since all project team members are using the same source of information for reference. Format standardization also makes it easier to search for and extract information, compared to a document-based workflow where information is stored across multiple documents in different formats.

More broadly, MBSE provides a better means of managing complexity than document-based using formalized structures and abstraction. Cross-referencing within MBSE models makes it possible to begin design verification, requirements validation, and systems assurance earlier on in the system lifecycle, and to continue assessing system design quality throughout a project at minimum cost. Furthermore, models can be reused and adapted for similar systems, which enables accelerated system development with minimal risk.

## Digital Transformation

While DBSE has traditionally been the paradigm of preference for artifact generation and for supporting systems engineering efforts in the pre-digital age, digital transformation of the generic systems engineering workflow in recent years has catalyzed the widespread adoption of MBSE and broader model-based [MBx] approaches. Digital environments and software tools have made it easier and faster to generate, maintain, and use system models, especially in a collaborative setting (Ma et al. 2022). If implemented appropriately, digital MBSE models can be used to programmatically identify inconsistencies, enable interactive simulations of system behavior, simultaneously propagate changes across an entire project (rather than updating artifacts one-by-one), automatically generate document-based artifacts, and more. The advent of new software for supporting and automating systems engineering tasks has opened additional avenues for expanding the capabilities of system models, and for increasing the efficiency with which systems engineering tasks can be performed.

## Digital Twins

When MBSE models of physical systems are built with sufficient completeness and fidelity, it is possible for them to function as ‘digital twins’ of the systems they represent. Digital twins provide a means of accurately representing a system’s form and function throughout the system’s lifecycle, all within a digital environment. Creating such digital twins provides number of advantages, including allowing individuals to perform testing, analysis, and optimization of systems in a virtual environment at no risk to the actual system of interest and often at a greatly reduced cost/burden (Schluse, Atorf, and Rossmann 2017). Digital twins also make it possible to represent the behavior of systems under conditions which would be impractical or impossible to induce under experimental conditions, thereby making it possible to obtain information not obtainable via study of the original physical system.

## MBSE versus DBSE

Although MBSE and document-based approaches are usually presented as alternatives to each other, it is possible to use MBSE and document-based in conjunction with each other on the same project. In work environments where document-based is the norm, stakeholders may expect or require the submission of textual document artifacts, or there may be issues with a lack of familiarity with any modeling languages (Kim, Wagner, and Jimenez 2019); in such instances, it may be necessary to utilize a hybrid approach where documents are generated from the design model as static representations of the system for project milestones.

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# Knowledge Area: Systems Lifecycle Approaches

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## Systems Lifecycle Approaches

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**Lead Authors:** Rick Adcock, Sanford Friedenthal

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In this Knowledge Area, we introduce the following key principles: life cycle, life cycle model and life cycle processes. A generic SE paradigm is described; this forms a starting point for discussions of more detailed life cycle knowledge.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Generic Life Cycle Model
- Applying Life Cycle Processes
- Life Cycle Processes and Enterprise Need

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 to topics covered in Part 3.

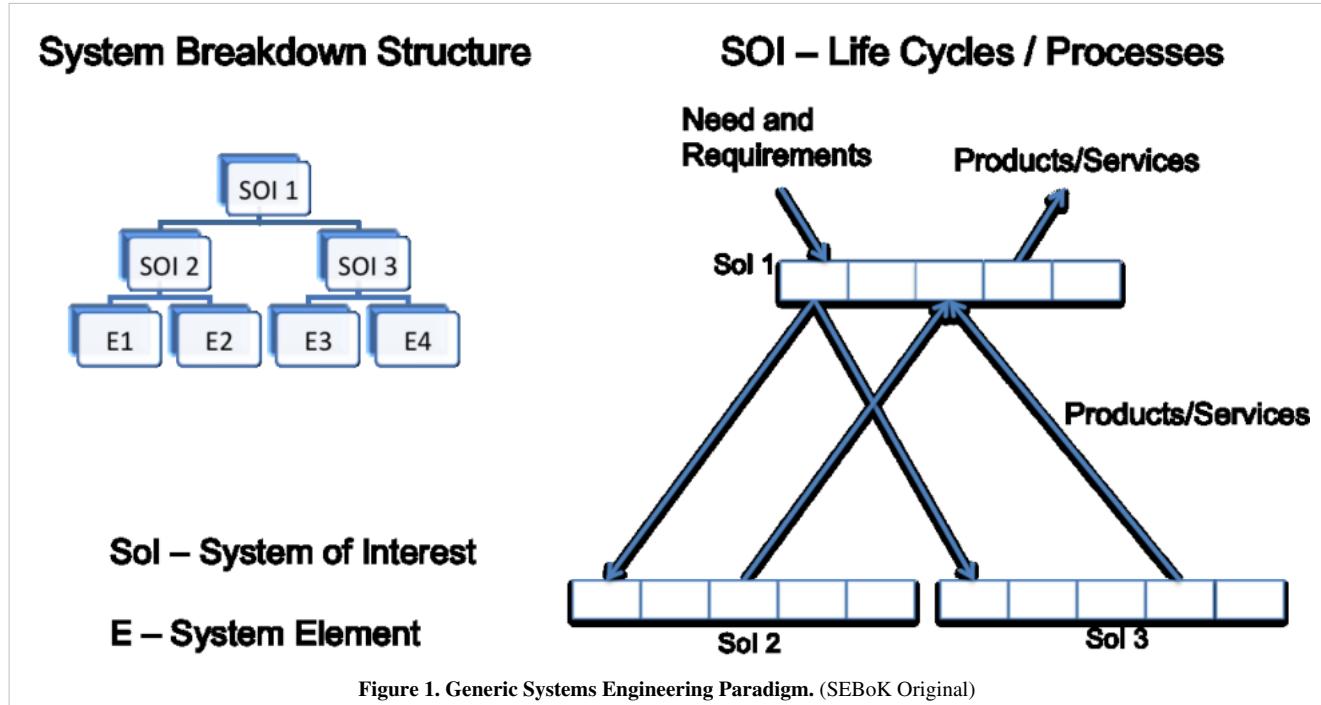
### Life Cycle Terminology

The term life cycle is one that engineering has borrowed from the natural sciences; it is used to describe both the changes a single organism goes through over its life and how the lives of multiple organisms interact to sustain or evolve a population. We use it in engineering in the same ways to describe the complete life of an instance of a system-of-interest (SoI); and the managed combination of multiple such instances to provide capabilities which deliver stakeholder satisfaction.

A life cycle model identifies the major stages that a specific SoI goes through, from its inception to its retirement. Life cycle models are generally implemented in development projects and are strongly aligned with management planning and decision making.

### Generic Systems Engineering Paradigm

Figure 1 identifies the overall goals of any SE effort, which are: the understanding of stakeholder value; the selection of a specific need to be addressed; the transformation of that need into a system (the product or service that provides for the need); and the use of that product or service to provide the stakeholder value. This paradigm has been developed according to the principles of the systems approach discussed in Part 2 and is used to establish a basis for the KAs in Part 3 and Part 4 of the SEBoK.



On the left side of Figure 1, there are SoI's identified in the formation of a system breakdown structure. SoI 1 is broken down into its basic elements, which in this case are systems as well (SoI 2 and SoI 3). These two systems are composed of system elements that are not refined any further.

On the right side of Figure 1, each SoI has a corresponding life cycle model which is composed of stages that are populated with processes. The function of these processes is to define the work that is to be performed and the associated artifacts to be produced. In a model-based approach, these artifacts are captured in the system model that represents the SoIs. Note that some of the requirements defined to meet the need are distributed in the early stages of the life cycle for SoI 1, while others are designated to the life cycles of SoI 2 or SoI 3. The decomposition of the system illustrates the fundamental concept of recursion as defined in the ISO/IEC/IEEE 15288 standard; with the standard being reapplied for each SoI (ISO 2015). It is important to point out that the requirements may be allocated to different system elements, which may be integrated in different life cycle stages of any of the three SoI's; however, together they form a cohesive system. For example, SoI 1 may be a simple vehicle composed of a chassis, motor and controls, SoI 2 an embedded hardware system, and SoI 3 a software intensive interface and control system. STOPPED HERE When performing SE processes in stages, iteration (glossary) between stages is often required (e.g. in successive refinement of the definition of the system or in providing an update or upgrade of an existing system). The work performed in the processes and stages can be performed in a concurrent manner within the life cycle of any of the systems of interest and also among the multiple life cycles.

This paradigm provides a fundamental framework for understanding generic SE (seen in Part 3), as well as for the application of SE to the various types of systems described in Part 4.

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None.

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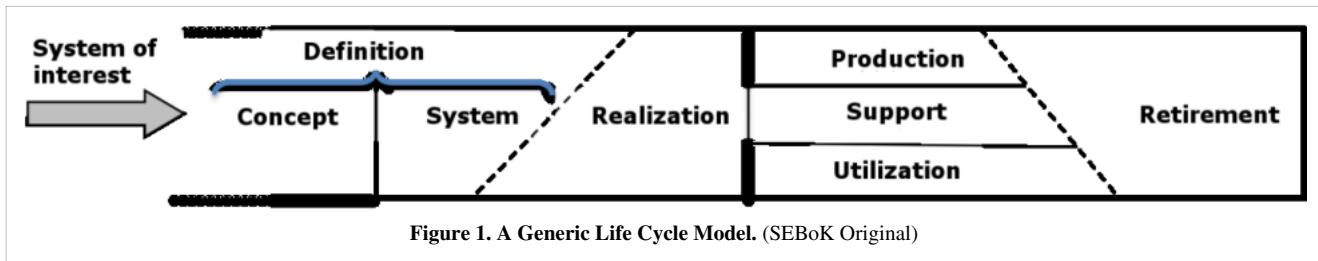
# Generic Life Cycle Model

**Lead Authors:** Kevin Forsberg, Richard Turner, **Contributing Author:** Rick Adcock

As discussed in the generic life cycle paradigm in Introduction to Life Cycle Processes, each system-of-interest (SoI) has an associated life cycle model. The generic life cycle model below applies to a single SoI. SE must generally be synchronized across a number of tailored instances of such life cycle models to fully satisfy stakeholder needs. More complex life cycle models which address this are described in Life Cycle Models.

## A Generic System Life Cycle Model

There is no single “one-size-fits-all” system life cycle model that can provide specific guidance for all project situations. Figure 1, adapted from (Lawson 2010, ISO 2015, and ISO 2010), provides a generic life cycle model that forms a starting point for the most common versions of pre-specified, evolutionary, sequential, opportunistic, and concurrent life cycle processes. The model is defined as a set of stages, within which technical and management activities are performed. The stages are terminated by decision gates, where the key stakeholders decide whether to proceed into the next stage, to remain in the current stage, or to terminate or re-scope related projects.



Elaborated definitions of these stages are provided in the glossary below and in various other ways in subsequent articles.

The **Concept Definition** stage begins with a decision by a protagonist (individual or organization) to invest resources in a new or improved engineered system. Inception begins with a set of stakeholders agreeing to the need for change to an engineered system context and exploring whether new or modified SoI can be developed, in which the life cycle benefits are worth the investments in the life cycle costs. Activities include: developing the concept of operations and business case; determining the key stakeholders and their desired capabilities; negotiating the stakeholder requirements among the key stakeholders and selecting the system's non-developmental items (NDIs).

The **System Definition** stage begins when the key stakeholders decide that the business needs and stakeholder requirements are sufficiently well defined to justify committing the resources necessary to define a solution options in sufficient detail to answer the life cycle cost question identified in concept definition and provide a basis of system realization if appropriate. Activities include developing system architectures; defining and agreeing upon levels of system requirements; developing systems-level life cycle plans and performing system analysis in order to illustrate the compatibility and feasibility of the resulting system definition. The transition into the system realization stage can lead to either single-pass or multiple-pass development.

It should be noted that the concept and system definition activities above describe activities performed by *systems engineers* when performing *systems engineering*. There is a very strong concurrency between proposing a problem situation or opportunity and describing one or more possible system solutions, as discussed in Systems Approach Applied to Engineered Systems. Other related definition activities include: prototyping or actual development of high-risk items to show evidence of system feasibility; collaboration with business analysts or performing mission effectiveness analyses to provide a viable business case for proceeding into realization; and modifications to realized systems to improve their production, support or utilization. These activities will generally happen through the system life cycle to handle system evolution, especially under multiple-pass development. This is discussed in more detail in the Life Cycle Models knowledge area.

The **System Realization** stage begins when the key stakeholders decide that the SoI architecture and feasibility evidence are sufficiently low-risk to justify committing the resources necessary to develop and sustain the initial operational capability (IOC) or the single-pass development of the full operational capability (FOC). Activities include: construction of the developmental elements; integration of these elements with each other and with the non-developmental item (NDI) elements; verification and validation of the elements and their integration as it proceeds; and preparing for the concurrent production, support, and utilization activities.

The **System Production, Support, and Utilization (PSU)** stages begin when the key stakeholders decide that the SoI life-cycle feasibility and safety are at a sufficiently low-risk level that justifies committing the resources necessary to produce, field, support, and utilize the system over its expected lifetime. The lifetimes of production, support, and utilization are likely to be different. After market support will generally continue after production is complete and users will often continue to use unsupported systems.

**System Production** involves the fabrication of instances or versions of an SoI and of associated after-market spare parts. It also includes production quality monitoring and improvement; product or service acceptance activities; and continuous production process improvement. It may include low-rate initial production (LRIP) to mature the production process or to promote the continued preservation of the production capability for future spikes in demand.

**Systems Support** includes various classes of maintenance: corrective (for defects), adaptive (for interoperability with independently evolving co-dependent systems), and perfective (for enhancement of performance, usability, or other key performance parameters). It also includes hot lines and responders for user or emergency support and the provisioning of needed consumables (gas, water, power, etc.). Its boundaries include some gray areas, such as the boundary between small system enhancements and the development of larger complementary new additions, and the boundary between rework/maintenance of earlier fielded increments in incremental or evolutionary development. *Systems Support* usually continues after *System Production* is terminated.

**System Utilization** includes the use of the SoI in its context by operators, administrators, the general public, or systems above it in the system-of-interest hierarchy. It usually continues after *Systems Support* is terminated.

The **System Retirement** stage is often executed incrementally as system versions or elements become obsolete or are no longer economical to support and therefore undergo disposal or recycling of their content. Increasingly affordable considerations make system re-purposing an attractive alternative.

## Applying the Life Cycle Model

Figure 1 shows just the single-step approach for proceeding through the stages of a SoI life cycle. In the Life Cycle Models knowledge area, we discuss examples of real-world enterprises and their drivers, both technical and organizational. These have led to a number of documented approaches for sequencing the life cycle stages to deal with some of the issues raised. The Life Cycle Models KA summarizes a number of incremental and evolutionary life cycle models, including their main strengths and weaknesses, and also discusses criteria for choosing the best-fit approach.

In Figure 1, we have listed key technical and management activities critical to successful completion of each stage. This is a useful way to illustrate the goals of each stage and gives an indication of how processes align with these stages. This can be important when considering how to plan for resources, milestones, etc. However, it is important to observe that the execution of process activities is not compartmentalized to particular life cycle stages (Lawson 2010). In Applying Life Cycle Processes, we discuss a number of views on the nature of the inter-relationships between process activities within a life cycle model. In general, the technical and management activities are applied in accordance with the principles of concurrency, iteration and recursion described in the generic life cycle paradigm.

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### Additional References

- None.

# Applying Life Cycle Processes

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**Lead Author:** Rick Adcock

The Generic Life Cycle Model describes a set of life cycle stages and their relationships. In defining this we described some of the technical and management activities critical to the success of each stage. While this association of activity to stage is important, we must also recognize the through life relationships between these activities to ensure we take a systems approach.

Systems Engineering technical and management activities are defined in a set of life cycle processes. These group together closely related activities and allow us to describe the relationships between them. In this topic, we discuss a number of views on the nature of the inter-relationships between process activities within a life cycle model.

In general, the technical and management activities are applied in accordance with the principles of concurrency, iteration and recursion described in the generic systems engineering paradigm. These principles overlap to some extent and can be seen as related views of the same fundamental need to ensure we can take a holistic systems approach, while allowing for some structuring and sequence of our activities. The views presented below should be seen as examples of the ways in which different SE authors present these overlapping ideas.

## Life Cycle Process Terminology

### Process

A process is a series of actions or steps taken in order to achieve a particular end. Processes can be performed by humans or machines transforming inputs into outputs.

In the SEBoK, processes are interpreted in several ways, including: technical, life cycle, business, or manufacturing flow processes. Many of the Part 3 sections are structured along technical processes (e.g. design, verification); however, Life Cycle Models also describes a number of high-level program life cycle sequence which call themselves processes (e.g. rational unified process (RUP), etc.).

Part 4: Applications of Systems Engineering and Part 5: Enabling Systems Engineering utilize processes that are related to services and business enterprise operations.

Systems Engineering life cycle processes define technical and management activities performed across one or more stages to provide the information needed to make life cycle decisions; and to enable realization, use and sustainment of a system-of-interest (SoI) across its life cycle model as necessary. This relationship between life cycle models and process activities can be used to describe how SE is applied to different system contexts.

## Requirement

A requirement is something that is needed or wanted but may not be compulsory in all circumstances. Requirements may refer to product or process characteristics or constraints. Different understandings of requirements are dependent upon process state, level of abstraction, and type (e.g. functional, performance, constraint). An individual requirement may also have multiple interpretations over time.

Requirements exist at multiple levels of enterprise or systems with multiple levels of abstraction. This ranges from the highest level of the enterprise capability or customer need to the lowest level of the system design. Thus, requirements need to be defined at the appropriate level of detail for the level of the entity to which they apply. See the article Life Cycle Processes and Enterprise Needs for further detail on the transformation of needs and requirements from the enterprise to the lowest system element across concept definition and system definition.

## Architecture

An architecture refers to the organizational structure of a system, whereby the system can be defined in different contexts. Architecting is the art or practice of designing the structures. See below for further discussions on the use of levels of Logical and Physical architecture models to define related system and system elements; and support the requirements activities.

Architectures can apply for a system product, enterprise, or service. For example, Part 3 mostly considers product or service related architectures that systems engineers create, but enterprise architecture describes the structure of an organization. Part 5: Enabling Systems Engineering interprets enterprise architecture in a much broader manner than an IT system used across an organization, which is a specific instance of architecture.

Frameworks are closely related to architectures, as they are ways of representing architectures. See Architecture Framework for definition and examples.

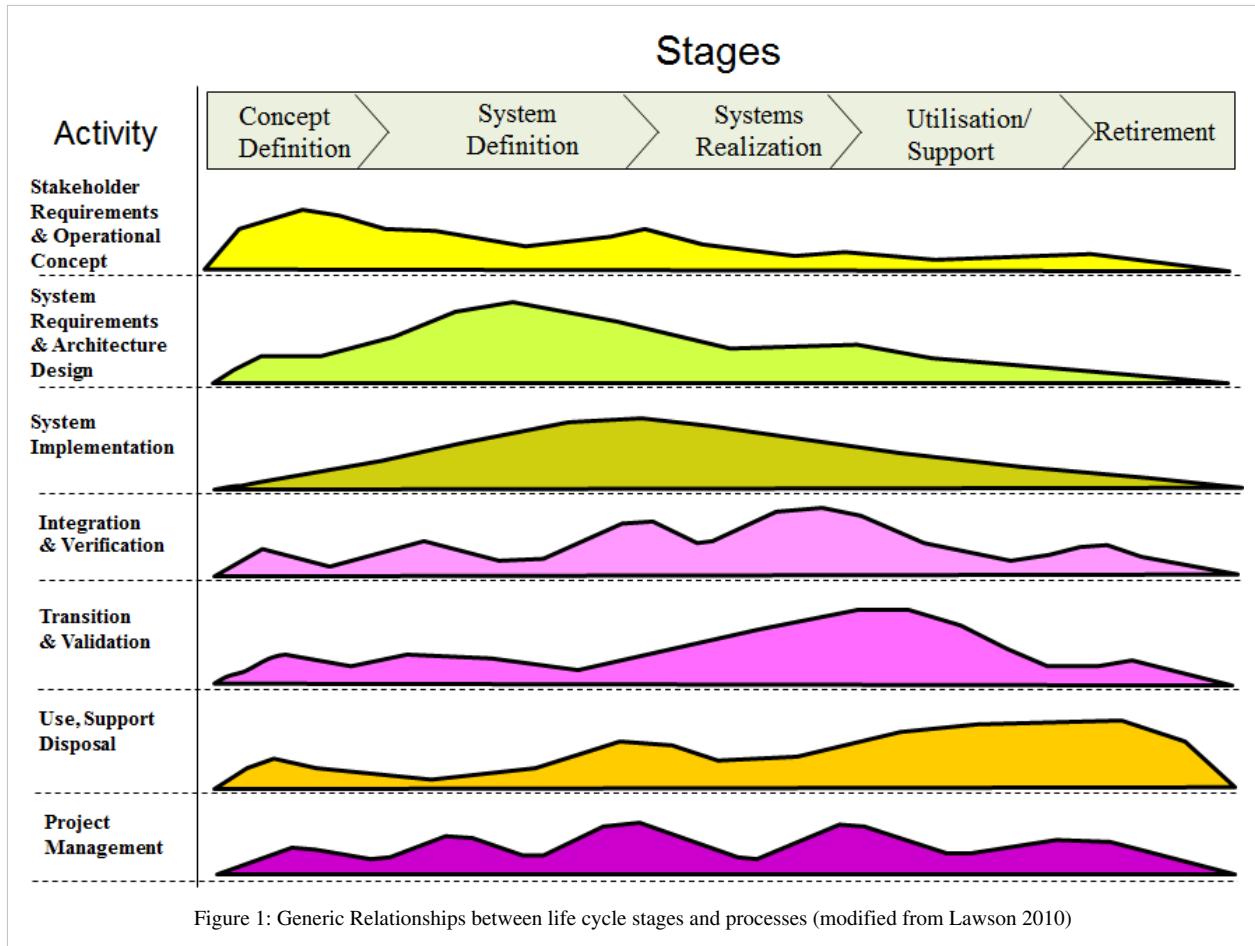
## Other Processes

A number of other life cycle processes are mentioned below, including system analysis, integration, verification, validation, deployment, operation, maintenance and disposal; they are discussed in detail in the System Realization and System Deployment and Use knowledge areas.

## Life Cycle Process Concurrency

In the Generic Life Cycle Model, we have listed key activities critical to successful completion of each stage. This is a useful way to illustrate the goals of each stage and gives an indication of how processes align with these stages. This can be important when considering how to plan for resources, milestones, etc. However, it is important to observe that the execution of process activities is not compartmentalized to particular life cycle stages (Lawson 2010).

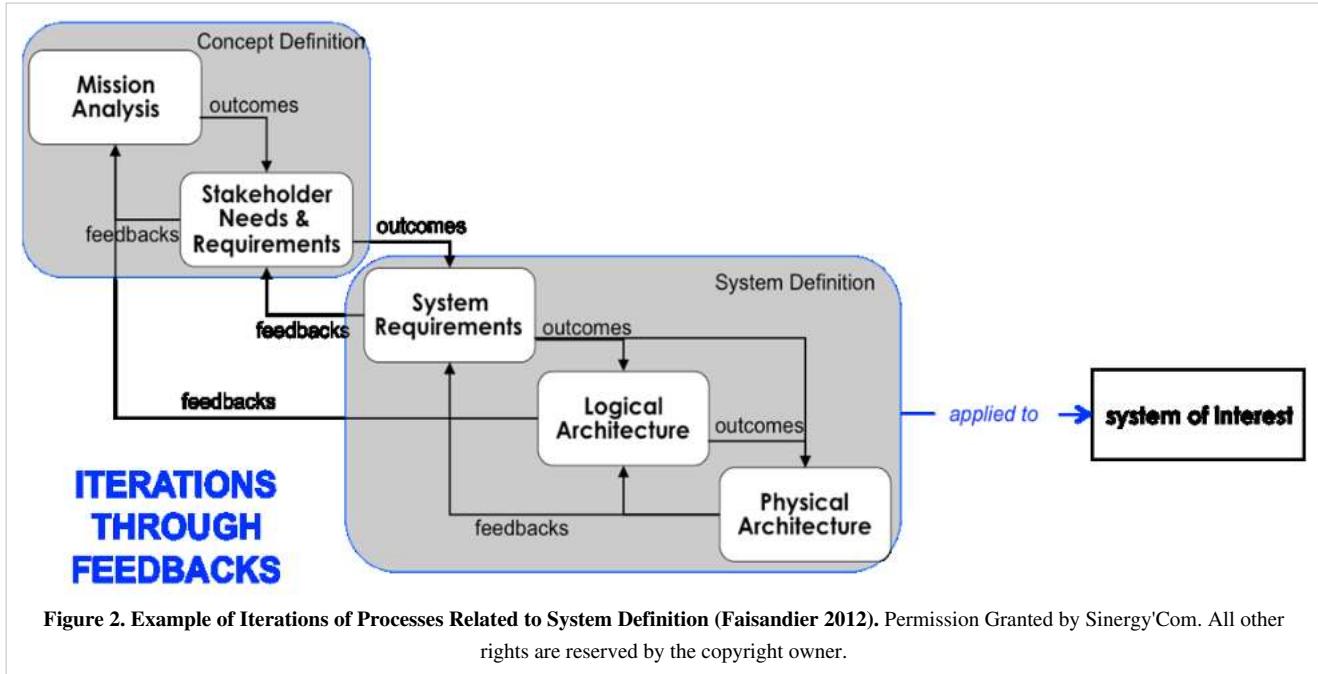
Figure 1 shows a simple illustration of the through life nature of technical and management processes. This figure builds directly on the "hump diagram" principles described in Systems Approach Applied to Engineered Systems.



The lines on this diagram represent the amount of activity for each process over the generic life cycle. The peaks (or humps) of activity represent the periods when a process activity becomes the main focus of a stage. The activity before and after these peaks may represent through life issues raised by a process focus, e.g. how likely maintenance constraints will be represented in the system requirements. These considerations help maintain a more holistic perspective in each stage, or they can represent forward planning to ensure the resources needed to complete future activities have been included in estimates and plans, e.g. all resources needed for verification are in place or available. Ensuring this hump diagram principle is implemented in a way which is achievable, affordable and appropriate to the situation is a critical driver for all life cycle models.

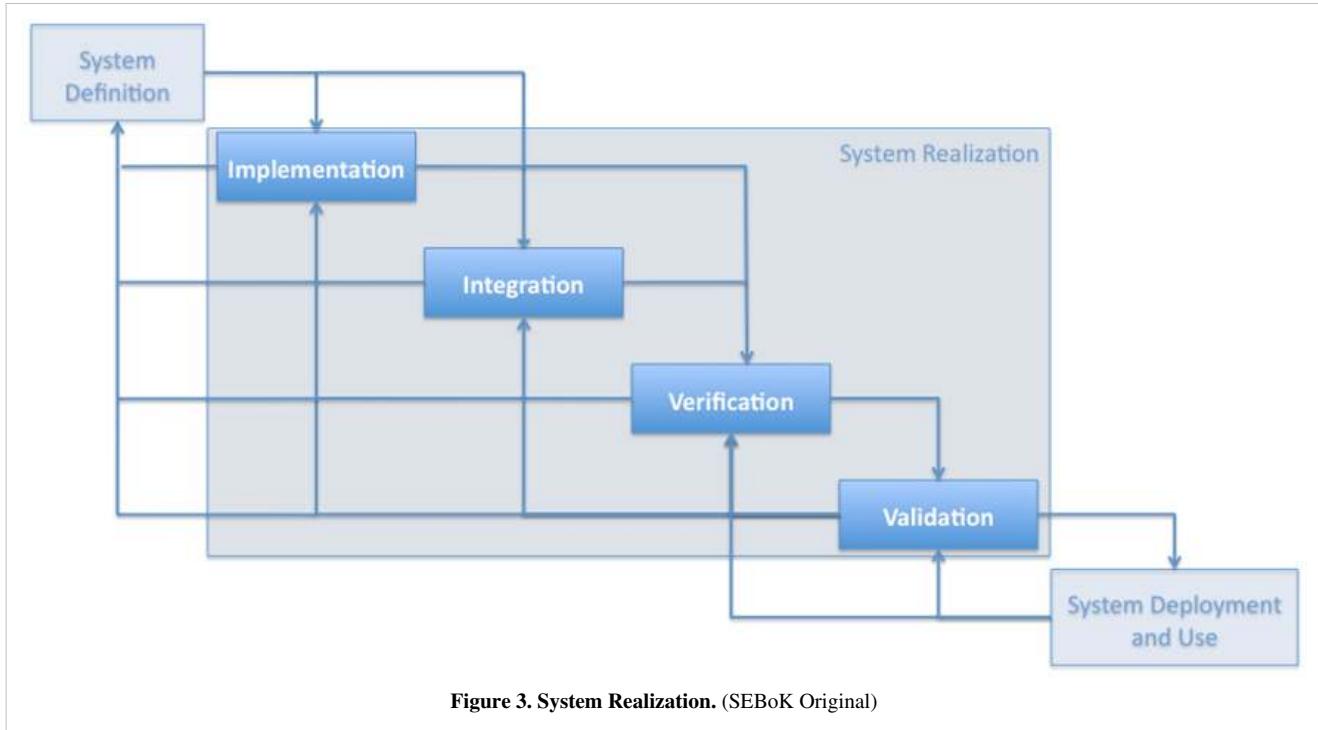
## Life Cycle Process Iteration

The concept of iteration applies to life cycle stages within a life cycle model, and also applies to processes. Figure 2 below gives an example of iteration in the life cycle processes associated with concept and system definition.



There is generally a close coupling between the exploration of a problem or opportunity and the definition of one or more feasible solutions; see Systems Approach to Engineered Systems. Thus, the related processes in this example will normally be applied in an iterative way. The relationships between these processes are further discussed in the System Definition KA.

Figure 3 below gives an example of the iteration between the other life cycle processes.

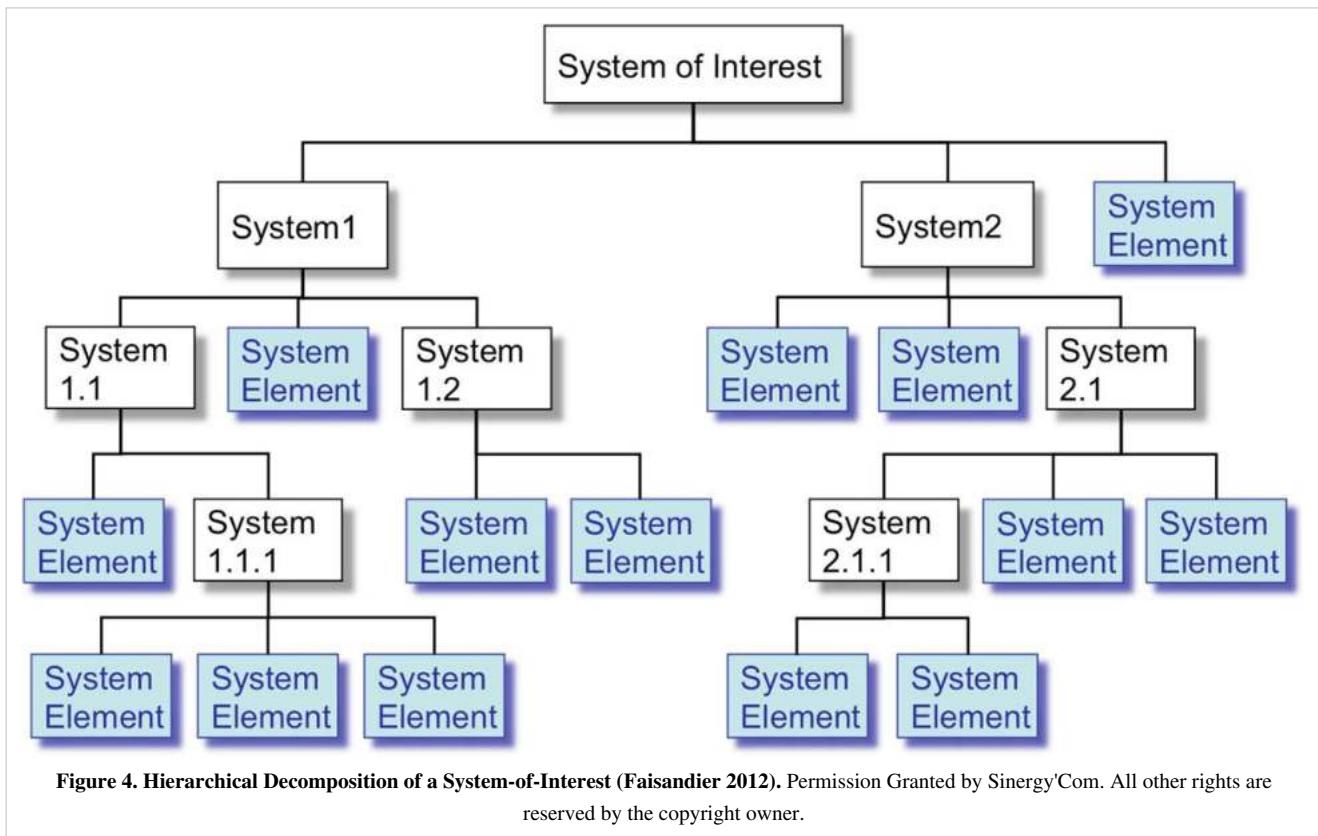


The iterations in this example relate to the overlaps in process outcomes shown in Figure 1. They either allow consideration of cross process issues to influence the system definition (e.g. considering likely integration or verification approaches might make us think about failure modes or add data collection or monitoring elements into the system) or they allow risk management and through life planning activities to identify the need for future activities.

The relationships between these processes are further discussed in system realization and system deployment and use.

## Life Cycle Process Recursion

The comprehensive definition of a SoI is generally achieved using decomposition layers and system elements. Figure 4 presents a fundamental schema of a system breakdown structure.



In each decomposition layer and for each system, the System Definition processes are applied recursively because the notion of "system" is in itself recursive; the notions of SoI, system, and system element are based on the same concepts (see Part 2). Figure 5 shows an example of the recursion of life cycle processes.

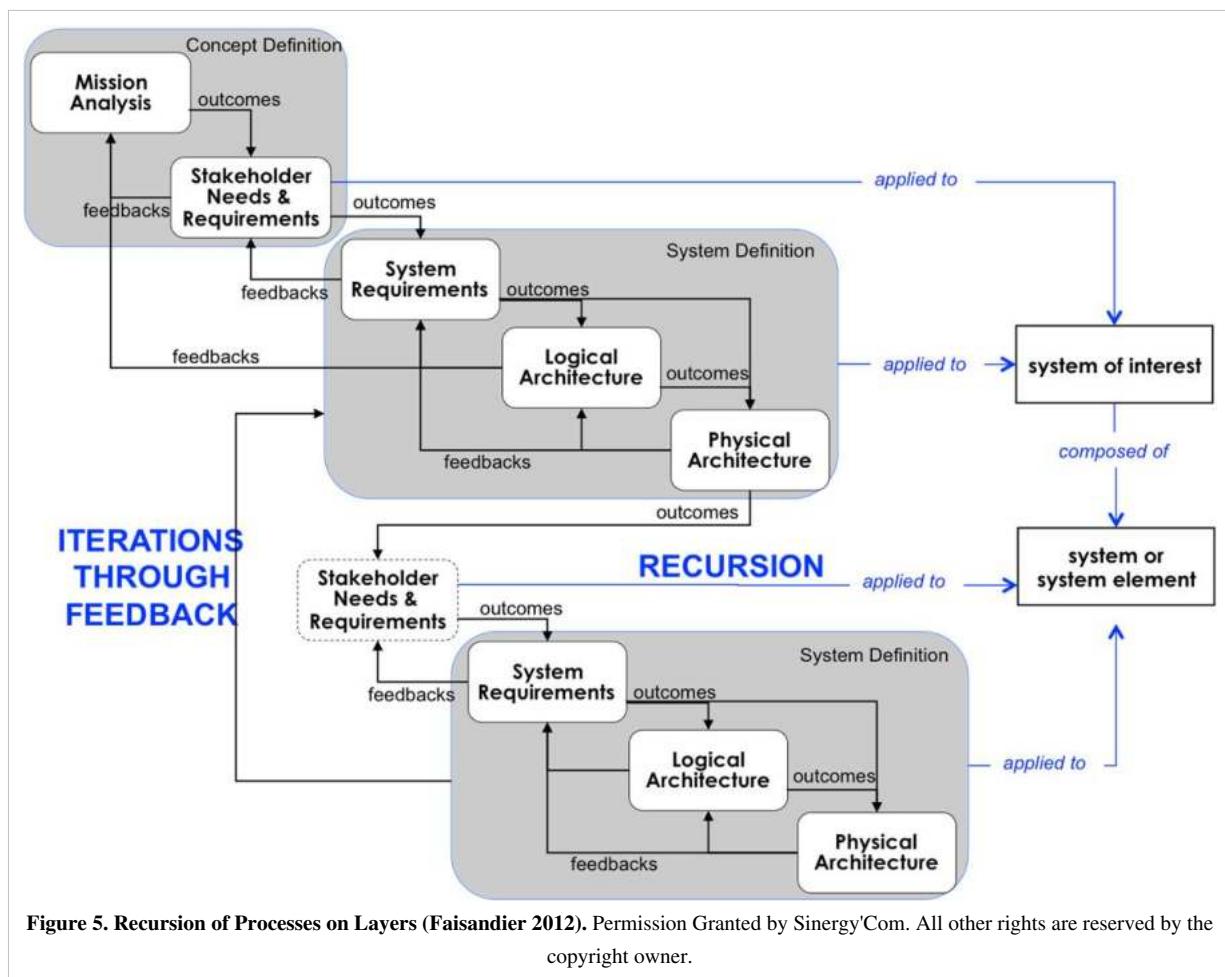


Figure 5. Recursion of Processes on Layers (Faisandier 2012). Permission Granted by Sinergy'Com. All other rights are reserved by the copyright owner.

## Systems Approach to Solution Synthesis

The sections above give different perspectives on how SE life cycle processes are related and how this shapes their application. Solution synthesis is described in Part 2 as a way of taking a systems approach to creating solutions. Synthesis is, in general, a mixture of top-down and bottom-up approaches as discussed below.

### Top-Down Approach: From Problem to Solution

In a top-down approach, concept definition activities are focused primarily on understanding the problem, the operational needs/requirements within the problem space, and the conditions that constrain the solution and bound the solution space. The concept definition activities determine the mission context, mission analysis, and the needs to be fulfilled in that context by a new or modified system (i.e. the SoI), and address stakeholder needs and requirements.

The system definition activities consider functional, behavioral, temporal, and physical aspects of one or more solutions based on the results of concept definition. System analysis considers the advantages and disadvantages of the proposed system solutions both in terms of how they satisfy the needs established in concept definition, as well as the relative cost, time scales and other development issues. This may require further refinement of the concept definition to ensure all legacy relationships and stakeholders relevant to a particular solution architecture have been considered in the stakeholder requirements.

The outcomes of this iteration between Concept Definition and System Definition define a required system solution and its associated problem context, which are used for System Realization, System Deployment and Use, and Product and Service Life Management of one or more solution implementations. In this approach, problem

understanding and solution selection activities are completed in the front-end portion of system development and design and then maintained and refined as necessary throughout the life cycle of any resulting solution systems. Top-down activities can be sequential, iterative, recursive or evolutionary depending upon the life cycle model.

## **Bottom-Up Approach: Evolution of the Solution**

In some situations, the concept definition activities determine the need to evolve existing capabilities or add new capabilities to an existing system. During the concept definition, the alternatives to address the needs are evaluated. Engineers are then led to reconsider the system definition in order to modify or adapt some structural, functional, behavioral, or temporal properties during the product or service life cycle for a changing context of use or for the purpose of improving existing solutions.

Reverse engineering is often necessary to enable system engineers to (re)characterize the properties of the system-of-interest (SoI) or its elements. This is an important step to ensure that system engineers understand the SoI before beginning modification. For more information on system definition, see the System Definition article.

A bottom-up approach is necessary for analysis purposes, or for (re)using existing elements in the design architecture. Changes in the context of use or a need for improvement can prompt this. In contrast, a top-down approach is generally used to define an initial design solution corresponding to a problem or a set of needs.

## **Solution Synthesis**

In most real problems, a combination of bottom-up and top-down approaches provides the right mixture of innovative solution thinking driven by need, and constrained and pragmatic thinking driven by what already exists. This is often referred to as a “middle-out” approach.

As well as being the most pragmatic approach, synthesis has the potential to keep the life cycle focused on whole system issues, while allowing the exploration of the focused levels of detail needed to describe realizable solutions; see Synthesising System Solutions for more information.

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### **Additional References**

None.

# Life Cycle Processes and Enterprise Need

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**Lead Author:** Rick Adcock

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The Generic Life Cycle Model describes a simple translation from a need to achieve an outcome to a proposal to realize a new or modified engineered system. This then forms the basis for the decision to invest time, money and other resources in the life cycle of that system-of-interest (SoI). A significant proportion of the SE activities involved in this transformation involve varying levels and types of requirements.

## Requirements and Life Cycle

During the concept definition stage of a life cycle, as the enterprise identifies new capabilities that are desired, the business or mission analysis develops a high level set of strategies and needs (which may be expressed as mission or business requirements) that reflect the problem space perspective. As the solution space is explored and solution classes are characterized, stakeholder needs are developed and transformed into stakeholder requirements (from a user perspective). After the solution class has been determined and the specific solution is sought, during the system definition stage of a life cycle, the stakeholder requirements are transformed into system requirements (from a solution perspective). As the system definition recursively defines the lower level detail of the solution, requirements are defined with lower levels of abstraction. At the highest level, the ideal requirement is implementation-independent, and therefore not specific to a solution, allowing for a range of possible solutions. At the lowest level, requirement statements may become more specific to the selected solution.

Concept Definition has further descriptions of business or enterprise and stakeholder needs and requirements. It discusses how the new capability for the business or enterprise is defined as part of the understanding of the problem space. It also discusses the development of the stakeholder needs and their transformation into requirements from the user perspective.

System Definition has further descriptions of requirements and their types (e.g. system requirement, stakeholder requirement, derived requirement). It discusses how different process roles/states, levels, and the nature of requirements apply to the understanding of requirements.

## Transforming Enterprise Needs to Requirements

Needs and requirements can exist at a number of levels and the terminology used to describe these levels will vary between application domains and the enterprises which serve them. This can make it difficult to associate generic SE life cycle processes with them. Ryan (2013) proposes a generic model (see Figure 1) in which an enterprise of some kind forms a focus for translating strategic intentions into a system definition. There is an enterprise view in which enterprise leadership sets the enterprise strategies, concepts and plans; a business management view in which business management derives business needs and constraints as well as formalizes their requirements; a business operations view in which stakeholders define their needs and requirements. In the systems view, an engineered system is defined, expanding to views at the lower level of system elements if needed. Note that an engineered system may comprise a number of elements including products, people, and processes. A system architecture can be created to define logical and physical views of how these elements together enable a needed capability for the organization.

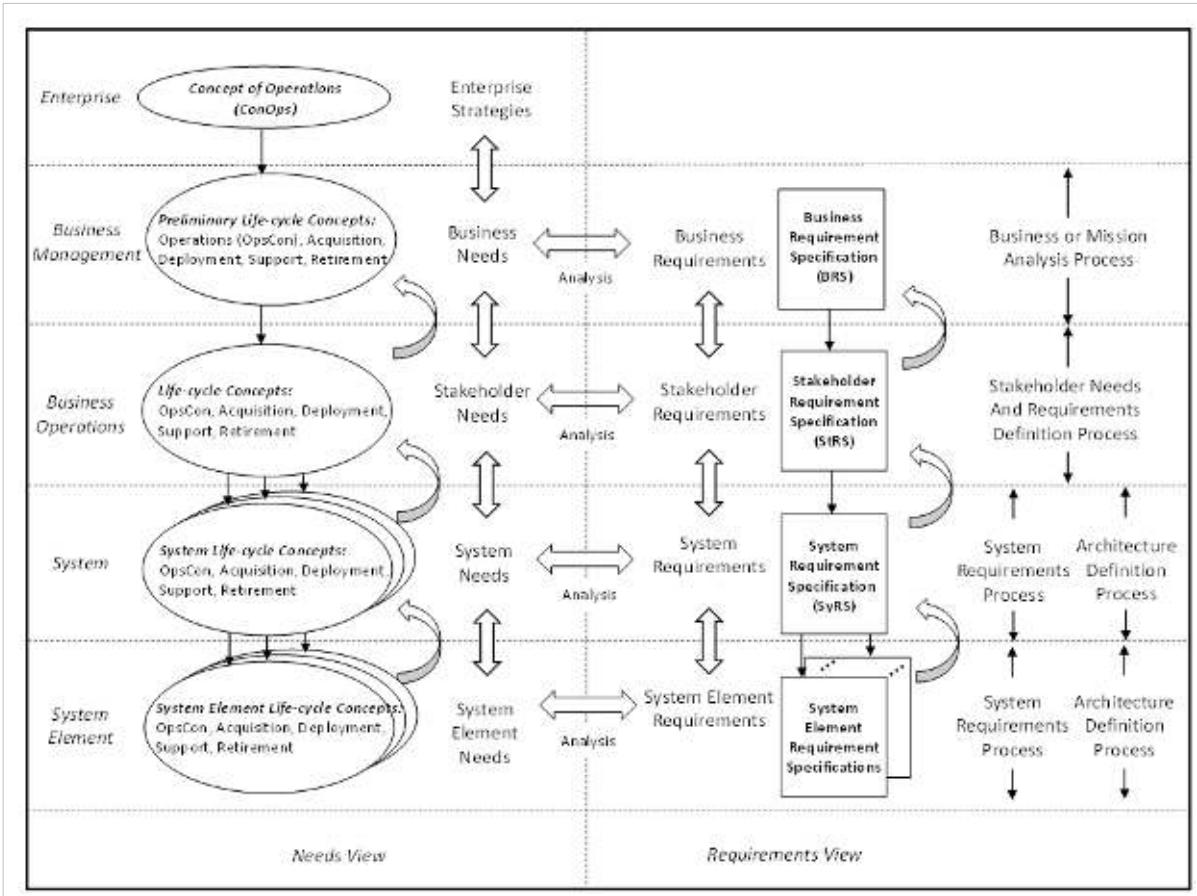


Figure 1. Transformation of needs into requirements (Ryan, 2013) Permission granted by M. Ryan. All other rights are reserved by the copyright owner.

In the following discussion, Ryan further defines a set of general terminology to define levels of need and requirements and associates them with generic organizational roles. For a discussion of how this general description might map onto different application contexts or organizational structures, see Part 4 and Part 5 respectively.

The various views in Figure 1 are referred to as layers. At the highest layer, the enterprise has a number of strategies that will guide its future. In the illustration above, for example, a system has its genesis in a Concept of Operations (ConOps) or Strategic Business Plan (SBP) that communicates the leadership's intentions with regard to the operation of the organization in terms of existing systems and systems to be developed. At this layer the ConOps or SBP defines the enterprise in terms of 'brand' and establishes a mission statement and corresponding goals and objectives, which clearly state the reason for the enterprise and its strategy for moving forward.

The Business or Mission Analysis Process begins with the organization's mission or vision statement, goals and objectives communicated by the ConOps or SBP. Business management uses this guidance to define business needs, largely in the form of life-cycle concepts, which capture the business management's concepts for acquisition, development, marketing, operations, deployment, support, and retirement. These concepts are then used to define specific needs for that layer.

The business needs contained in the life-cycle concepts are elaborated and formalized into business requirements, which are documented in the Business Requirements Specification (BRS) or Business Requirement Document (BRD). The process by which business needs are transformed into business requirements is called mission analysis or business analysis.

Once business management is satisfied their needs and requirements are reasonably complete, they pass them on to the business operations layer. Here, the Stakeholder Needs and Requirements (SNR) Definition Process uses the ConOps or SBP and concepts contained in the life-cycle concepts as guidance. The Requirements Engineer (RE) or

Business Analyst (BA) leads stakeholders from the business operations layer through a structured process to elicit stakeholder needs—in the form of a refined OpsCon or similar document and other life-cycle concepts (see Figure 1). The RE or BA uses a structured process to elicit specific needs, as documented in user stories, use cases, scenarios, system concepts, or operational concepts. For further discussion of the Concept of Operations and the Operational Concept Document, and their interplay, see ANSI/AIAA G-043-2012e, Guide to the Preparation of Operational Concept Documents.

Stakeholder needs are then transformed into a formal set of Stakeholder Requirements, which are documented in the Stakeholder Requirement Specification (StRS) or Stakeholder Requirement Document (StRD). That transformation is guided by a well-defined, repeatable, rigorous, and documented process of requirements analysis. This requirements analysis may involve the use of functional flow diagrams, timeline analysis, N2 Diagrams, design reference missions, modeling and simulations, movies, pictures, states and modes analysis, fault tree analysis, failure modes and effects analysis, and trade studies. In some cases, these requirements analysis methods may make use of views created as part of a high level logical architecture.

At the system layer, in the System Requirements Definition Process, the requirements in the StRS are then transformed by the RE or BA into System Requirements, which are documented in the System Requirement Specification (SyRS) or System Requirement Document (SyRD). As in the previous process, the RE or BA accomplishes the transformation of needs into requirements using the same requirements analysis methods described above to define the requirements. At each layer, the resulting requirements will be documented, agreed-to, baselined, and put under configuration management. As above, the system requirements analysis may also be linked to appropriate logical and physical architecture, either informally or under shared configuration control. Note that some organizations may prepare individual life-cycle concepts for each of a number of systems that are developed to meet the business needs.

Once a set of requirements has been documented, agreed-to, and baselined at one layer, they will flow down to the next layer as shown in Figure 1. At the next layer, the requirements are a result of the transformation process of the needs at that layer as well a result of the decomposition or derivation of the requirements from the previous layer. As such, a number of SyRS or SyRD requirements may be either decomposed from (that is, made explicit by the requirements of) or derived from (that is, implied by the requirements of) the StRS or StRD. The same is true at the subsystem or system element layer, where a number of the subsystem or system element requirements may be either decomposed or derived from the SyRS or SyRD. In all cases, for each layer shown in Figure 1, the set of requirements can be traced back to the requirements at the previous layer from which they were either decomposed or derived. This process continues for the next layer of system elements.

How requirements are expressed differs through these layers, and therefore so do the rules for expressing them. As requirements are developed – and solutions designed – down through the layers of abstraction, we expect statements of requirement to become more and more specific. At the highest level, the ideal requirement is not specific to a particular solution and permits a range of possible solutions. At the lowest level, statements of requirement will be entirely specific to the selected solution. It is important to note that the form of requirements at one layer may not be appropriate for another layer. For example, at the business management layer, there may be a requirement that all products are “safe”. While this is a poor system requirement, it is appropriate for the Business Management layer. At the next layer, business operations, there will be less ambiguous and more detailed requirements that define “safe.” These requirements apply across all product lines. At the system layer, more specific safety requirements will be developed for that specific system. These requirements will then be allocated to the system elements at the next lower layer.

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### Additional References

None.

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# Knowledge Area: System Lifecycle Models

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## System Lifecycle Models

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The life cycle model is one of the key concepts of systems engineering (SE). A life cycle for a system generally consists of a series of stages regulated by a set of management decisions which confirm that the system is mature enough to leave one stage and enter another.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- System Life Cycle Process Drivers and Choices
- System Life Cycle Process Models: Vee
- System Life Cycle Process Models: Iterative
- Integration of Process and Product Models
- Lean Engineering

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 to topics covered in Part 3.

### Type of Value Added Products/Services

The Generic Life Cycle Model shows just the single-step approach for proceeding through the stages of a system's life cycle. Adding value (as a product, a service, or both), is a shared purpose among all enterprises, whether public or private, for profit or non-profit. Value is produced by providing and integrating the elements of a system into a product or service according to the system description and transitioning it into productive use. These value considerations will lead to various forms of the generic life cycle management approach in Figure 1. Some examples are as follows (Lawson 2010):

- A manufacturing enterprise produces nuts, bolts, and lock washer products and then sells their products as value added elements to be used by other enterprises; in turn, these enterprises integrate these products into their more encompassing value-added system, such as an aircraft or an automobile. Their requirements will generally be pre-specified by the customer or by industry standards.
- A wholesaling or retailing enterprise offers products to their customers. Its customers (individuals or enterprises) acquire the products and use them as elements in their systems. The enterprise support system will likely evolve opportunistically, as new infrastructure capabilities or demand patterns emerge.
- A commercial service enterprise such as a bank sells a variety of *products* as services to their customers. This includes current accounts, savings accounts, loans, and investment management. These services add value and are incorporated into customer systems of individuals or enterprises. The service enterprise's support system will also likely evolve opportunistically, as new infrastructure capabilities or demand patterns emerge.
- A governmental service enterprise provides citizens with services that vary widely, but may include services such as health care, highways and roads, pensions, law enforcement, or defense. Where appropriate, these services become infrastructure elements utilized in larger encompassing systems of interest to individuals and/or

enterprises. Major initiatives, such as a next-generation air traffic control system or a metropolitan-area crisis management system (hurricane, typhoon, earthquake, tsunami, flood, fire), will be sufficiently complex enough to follow an evolutionary development and fielding approach. At the elemental level, there will likely be pre-specified single-pass life cycles.

- For aircraft and automotive systems, there would likely be a pre-specified multiple-pass life cycle to capitalize on early capabilities in the first pass, but architected to add further value-adding capabilities in later passes.
- A diversified software development enterprise provides software products that meet stakeholder requirements (needs), thus providing services to product users. It will need to be developed to have capabilities that can be tailored to be utilized in different customers' life-cycle approaches and also with product-line capabilities that can be quickly and easily applied to similar customer system developments. Its business model may also include providing the customer with system life-cycle support and evolution capabilities.

Within these examples, there are systems that remain stable over reasonably long periods of time and those that change rapidly. The diversity represented by these examples and their processes illustrate why there is no one-size-fits-all process that can be used to define a specific systems life cycle. Management and leadership approaches must consider the type of systems involved, their longevity, and the need for rapid adaptation to unforeseen changes, whether in competition, technology, leadership, or mission priorities. In turn, the management and leadership approaches impact the type and number of life cycle models that are deployed as well as the processes that will be used within any particular life cycle.

There are several incremental and evolutionary approaches for sequencing the life cycle stages to deal with some of the issues raised above. The Life Cycle Models knowledge area summarizes a number of incremental and evolutionary life cycle models, including their main strengths and weaknesses and also discusses criteria for choosing the best-fit approach.

## Categories of Life Cycle Model

The Generic System Life Cycle Model in Figure 1 does not explicitly fit all situations. A simple, precedential, follow-on system may need only one phase in the definition stage, while a complex system may need more than two. With build-upon systems (vs. throwaway) prototypes, a good deal of development may occur during the definition stage. System integration, verification, and validation may follow implementation or acquisition of the system elements. With software, particularly test-first and daily builds, integration, verification, and validation are interwoven with element implementation. Additionally, with the upcoming *Third Industrial Revolution* of three-dimensional printing and digital manufacturing (Whadcock 2012), not only initial development but also initial production may be done during the concept stage.

Software is a flexible and malleable medium which facilitates iterative analysis, design, construction, verification, and validation to a greater degree than is usually possible for the purely physical components of a system. Each repetition of an iterative development model adds material (code) to the growing software base, in which the expanded code base is tested, reworked as necessary, and demonstrated to satisfy the requirements for the baseline.

Software can be electronically bought, sold, delivered, and upgraded anywhere in the world within reach of digital communication, making its logistics significantly different and more cost-effective than hardware. It does not wear out and its fixes change its content and behavior, making regression testing more complex than with hardware fixes. Its discrete nature dictates that its testing cannot count on analytic continuity as with hardware. Adding 1 to 32767 in a 15-bit register does not produce 32768, but 0 instead, as experienced in serious situations, such as with the use of the Patriot Missile.

There are a large number of potential life cycle process models. They fall into three major categories:

1. primarily pre-specified and sequential processes (e.g. the single-step waterfall model)

2. primarily evolutionary and concurrent processes (e.g. lean development, the agile unified process, and various forms of the vee and spiral models)
3. primarily interpersonal and emergent processes (e.g. agile development, scrum, extreme programming (XP), the dynamic system development method, and innovation-based processes)

The emergence of integrated, interactive hardware-software systems made pre-specified processes potentially harmful, as the most effective human-system interfaces tended to emerge with its use, leading to further process variations, such as soft SE (Warfield 1976, Checkland 1981) and human-system integration processes (Booher 2003, Pew and Mavor 2007). Until recently, process standards and maturity models have tried to cover every eventuality. They have included extensive processes for acquisition management, source selection, reviews and audits, quality assurance, configuration management, and document management, which in many instances would become overly bureaucratic and inefficient. This led to the introduction of more lean (Ohno 1988; Womack et al. 1990; Oppenheim 2011) and agile (Beck 1999; Anderson 2010) approaches to concurrent hardware-software-human factors approaches such as the concurrent vee models (Forsberg 1991; Forsberg 2005) and Incremental Commitment Spiral Model (Pew and Mavor 2007; Boehm, et. al. 2014).

In the next article on System Life Cycle Process Drivers and Choices, these variations on the theme of life cycle models will be identified and presented.

## Systems Engineering Responsibility

Regardless of the life cycle models deployed, the role of the systems engineer encompasses the entire life cycle of the system-of-interest. Systems engineers orchestrate the development and evolution of a solution, from defining requirements through operation and ultimately until system retirement. They ensure that domain experts are properly involved, all advantageous opportunities are pursued, and all significant risks are identified and, when possible, mitigated. The systems engineer works closely with the project manager in tailoring the generic life cycle, including key decision gates, to meet the needs of their specific project.

Systems engineering tasks are usually concentrated at the beginning of the life cycle; however, both commercial and government organizations recognize the need for SE throughout the system's life cycle. Often this ongoing effort is to modify or change a system, product or service after it enters production or is placed in operation. Consequently, SE is an important part of all life cycle stages. During the production, support, and utilization (PSU) stages, for example, SE executes performance analysis, interface monitoring, failure analysis, logistics analysis, tracking, and analysis of proposed changes. All these activities are essential to ongoing support of the system. Maintaining the requirements and design within a model based systems engineering (MBSE) tool enables configuration management and analysis throughout the SOI life cycle.

All project managers must ensure that the business aspect (cost, schedule, and value) and the technical aspect of the project cycle remain synchronized. Often, the technical aspect drives the project. It is the systems engineers' responsibility to ensure that the technical solutions that are being considered are consistent with the cost and schedule objectives. This can require working with the users and customers to revise objectives to fit within the business bounds. These issues also drive the need for decision gates to be appropriately spaced throughout the project cycle. Although the nature of these decision gates will vary by the major categories above, each will involve in-process validation between the developers and the end users. In-process validation asks the question: "*Will what we are planning or creating satisfy the stakeholders' needs?*" In-process validation begins at the initialization of the project during user needs discovery and continues through daily activities, formal decision gate reviews, final product or solution delivery, operations, and ultimately to system closeout and disposal.

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Larman, C. and B. Vodde. 2009. *Scaling Lean and Agile Development*. New York, NY, USA: Addison Wesley.

The following three books are not referenced in the SEBoK text, nor are they systems engineering "texts"; however, they contain important systems engineering lessons, and readers of this SEBOK are encouraged to read them.

Kinder, G. 1998. *Ship of Gold in the Deep Blue Sea*. New York, NY, USA: Grove Press.

This is an excellent book that follows an idea from inception to its ultimately successful implementation. Although systems engineering is not discussed, it is clearly illustrated in the whole process from early project definition to alternate concept development to phased exploration and "thought experiments" to addressing challenges along the way. It also shows the problem of not anticipating critical problems outside the usual project and engineering scope. It took about five years to locate and recover the 24 tons of gold bars and coins from the sunken ship in the 2,500-meter-deep ocean, but it took ten years to win the legal battle with the lawyers representing insurance companies who claimed ownership based on 130-year-old policies they issued to the gold owners in 1857.

McCullough, D. 1977. *The Path Between the Seas: The Creation of the Panama Canal (1870 – 1914)*. New York, NY, USA: Simon & Schuster.

Although "systems engineering" is not mentioned, this book highlights many systems engineering issues and illustrates the need for SE as a discipline. The book also illustrates the danger of applying a previously successful concept (the sea level canal used in Suez a decade earlier) in a similar but different situation. Ferdinand de Lesseps led both the Suez and Panama projects. It illustrates the danger of lacking a fact-based project cycle and meaningful decision gates throughout the project cycle. It also highlights the danger of providing project status without visibility. After five years into the ten-year project investors were told the project was more than 50 percent complete when in fact only 10 percent of the work was complete. The second round of development under Stevens in 1904 focused on "moving dirt" rather than digging a canal, a systems engineering concept key to the completion of the canal. The Path Between the Seas won the National Book Award for history (1978), the Francis Parkman Prize (1978), the Samuel Eliot Morison Award (1978), and the Cornelius Ryan Award (1977).

Shackleton, Sir E.H. 2008. (Originally published in by William Heinemann, London, 1919). *South: The Last Antarctic Expedition of Shackleton and the Endurance*. Guilford, CT, USA: Lyons Press.

This is the amazing story of the last Antarctic expedition of Shackleton and the *Endurance* in 1914 to 1917. The systems engineering lesson is the continuous, daily risk assessment by the captain, expedition leader, and crew as they lay trapped in the arctic ice for 18 months. All 28 crew members survived.

## Relevant Videos

- NASA's Approach to Systems Engineering- Space Systems Engineering 101 w/ NASA <sup>[1]</sup>

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[1] [https://www.youtube.com/watch?v=jxT7\\_NPFjkA](https://www.youtube.com/watch?v=jxT7_NPFjkA)

# System Lifecycle Process Drivers and Choices

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**Lead Authors:** Kevin Forsberg, Rick Adcock

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As discussed in the Generic Life Cycle Model article, there are many organizational factors that can impact which life cycle processes are appropriate for a specific system. Additionally, technical factors will also influence the types of life cycle models appropriate for a given system. For example, system requirements can either be predetermined or they can be changing, depending on the scope and nature of the development for a system. These considerations lead to different life cycle model selections. This article discusses different technical factors which can be considered when selecting a life cycle process model and provides examples, guidance and tools from the literature to support life cycle model selection. The life cycle model selected can impact all other aspects of system design and development. (See the knowledge areas in Part 3 for a description of how the life cycle can impact systems engineering (SE) processes.)

## Fixed-Requirements and Evolutionary Development Processes

Aside from the traditional, pre-specified, sequential, single-step development process (identified as Fixed Requirements), there are several models of evolutionary development processes; however, there is no one-size-fits-all approach that is best for all situations. For rapid-fielding situations, an easiest-first, prototyping approach may be most appropriate. For enduring systems, an easiest-first approach may produce an unscalable system, in which the architecture is incapable of achieving high levels of performance, safety, or security. In general, system evolution now requires much higher sustained levels of SE effort, earlier and continuous integration and testing, proactive approaches to address sources of system change, greater levels of concurrent engineering, and achievement reviews based on evidence of feasibility versus plans and system descriptions.

Evolutionary development processes or methods have been in use since the 1960s (and perhaps earlier). They allow a project to provide an initial capability followed by successive deliveries to reach the desired system-of-interest (SoI). This practice is particularly valuable in cases in which

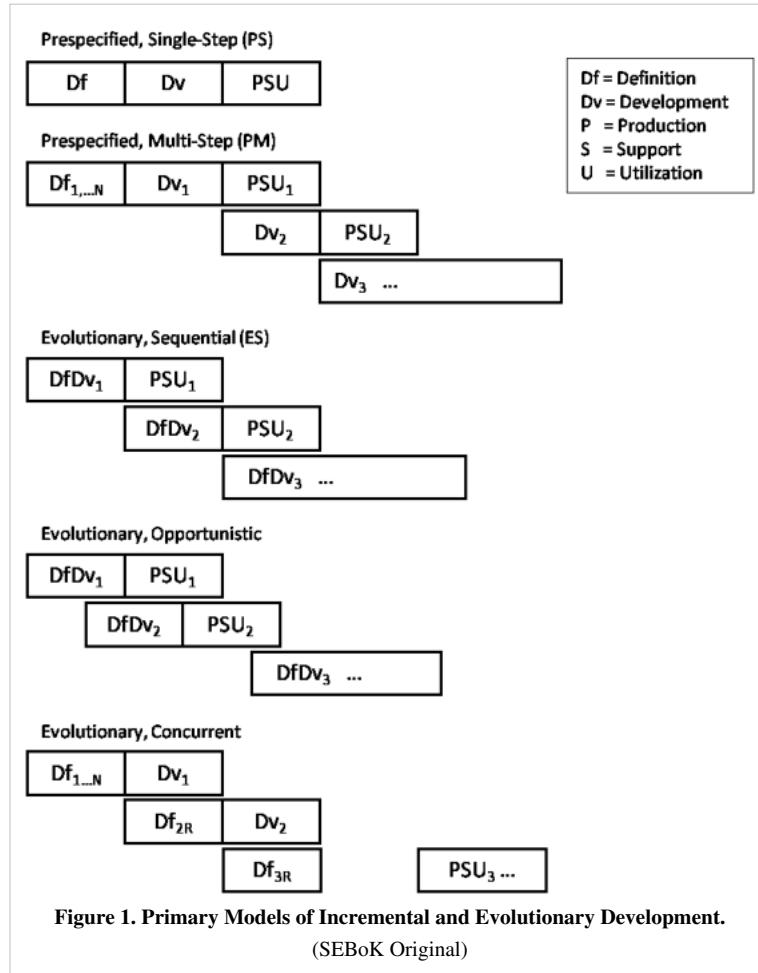
- rapid exploration and implementation of part of the system is desired;
- requirements are unclear from the beginning, or are rapidly changing;
- funding is constrained;
- the customer wishes to hold the SoI open to the possibility of inserting new technology when it becomes mature; and
- experimentation is required to develop successive versions.

In evolutionary development a capability of the product is developed in an increment of time. Each cycle of the increment subsumes the system elements of the previous increment and adds new capabilities to the evolving product to create an expanded version of the product in development. This evolutionary development process, that uses increments, can provide a number of advantages, including

- continuous integration, verification, and validation of the evolving product;
- frequent demonstrations of progress;
- early detection of defects;
- early warning of process problems; and
- systematic incorporation of the inevitable rework that may occur.

## Primary Models of Incremental and Evolutionary Development

The primary models of incremental and evolutionary development focus on different competitive and technical challenges. The time phasing of each model is shown in Figure 1 below in terms of the increment (1, 2, 3, ...) content with respect to the definition (Df), development (Dv), and production, support, and utilization (PSU) stages in Figure 1 (A Generic System Life Cycle Model) from the Life Cycle Models article.



The Figure 1 notations (Df<sub>1..N</sub> and Dv<sub>1..N</sub>) indicate that their initial stages produce specifications not just for the first increment, but for the full set of increments. These are assumed to remain stable for the pre-specified sequential model but are expected to involve changes for the evolutionary concurrent model. The latter's notation ( Dv<sub>1</sub> and Df<sub>2R</sub> ) in the same time frame, PSU<sub>1</sub>, Dv<sub>2</sub> and Df<sub>3R</sub> in the same time frame, etc.) indicates that the plans and specifications for the next increment are being re-baselined by a systems engineering team concurrently with the development of the current increment and the PSU of the previous increment. This offloads the work of handling the change traffic from the development team and significantly improves its chances of finishing the current increment on budget and schedule.

In order to select an appropriate life cycle model, it is important to first gain an understanding of the main archetypes and where they are best used. Table 1 summarizes each of the primary models of single-step, incremental and evolutionary development in terms of examples, strengths, and weaknesses, followed by explanatory notes.

**Table 1. Primary Models of Incremental and Evolutionary Development (Boehm, et. al. 2014, page 73).**

Model	Examples	Pros	Cons
<b>Pre-specified Single-step</b>	Simple manufactured products: Nuts, bolts, simple sensors	Efficient, easy to verify	Difficulties with rapid change, emerging requirements (complex sensors, human-intensive systems)
<b>Pre-specified Multi-step</b>	Vehicle platform plus value-adding pre-planned product improvements (PPPIs)	Early initial capability, scalability when stable	Emergent requirements or rapid change, architecture breakers
<b>Evolutionary Sequential</b>	Small: Agile Larger: Rapid fielding	Adaptability to change, smaller human-intensive systems	Easiest-first, late, costly fixes, systems engineering time gaps, slow for large systems
<b>Evolutionary Opportunistic</b>	Stable development, Maturing technology	Mature technology upgrades	Emergent requirements or rapid change, SysE time gaps
<b>Evolutionary Concurrent</b>	Rapid, emergent development, systems of systems	Emergent requirements or rapid change, stable development increments, SysE continuity	Overkill on small or highly stable systems

The *Pre-specified Single-step* and *Pre-specified Multi-step* models from Table 1 are not evolutionary. Pre-specified multi-step models split the development in order to field an early initial operational capability, followed by several pre-planned product improvements (PPIs). An alternate version splits up the work but does not field the intermediate increments. When requirements are well understood and stable, the pre-specified models enable a strong, predictable process. When requirements are emergent and/or rapidly changing, they often require expensive rework if they lead to undoing architectural commitments.

The *Evolutionary Sequential* model involves an approach in which the initial operational capability for the system is rapidly developed and is upgraded based on operational experience. Pure agile software development fits this model. If something does not turn out as expected and needs to be changed, it will be fixed in thirty days at the time of its next release. Rapid fielding also fits this model for larger or hardware-software systems. Its major strength is to enable quick-response capabilities in the field. For pure agile, the model can fall prey to an easiest-first set of architectural commitments which break when, for example, system developers try to scale up the workload by a factor of ten or to add security as a new feature in a later increment. For rapid fielding, using this model may prove expensive when the quick mash-ups require extensive rework to fix incompatibilities or to accommodate off-nominal usage scenarios, but the rapid results may be worth it.

The *Evolutionary Opportunistic* model can be adopted in cases that involve deferring the next increment until: a sufficiently attractive opportunity presents itself, the desired new technology is mature enough to be added, or until other enablers such as scarce components or key personnel become available. It is also appropriate for synchronizing upgrades of multiple commercial-off-the-shelf (COTS) products. It may be expensive to keep the SE and development teams together while waiting for the enablers, but again, it may be worth it.

The *Evolutionary Concurrent* model involves a team of systems engineers concurrently handling the change traffic and re-baselining the plans and specifications for the next increment, in order to keep the current increment development stabilized. An example and discussion are provided in Table 2, below.

## Incremental and Evolutionary Development Decision Table

The Table 2 provides some criteria for deciding which of the processes associated with the primary classes of incremental and evolutionary development models to use.

**Table 2. Incremental and Evolutionary Development Decision Table. (Boehm, et. al., 2014, page 74). Reprinted with permission.**

Model	Stable, pre-specifiable requirements?	OK to wait for full system to be developed?	Need to wait for next-increment priorities?	Need to wait for next-increment enablers*?
<b>Pre-specified Single-step</b>	Yes	Yes		
<b>Pre-specified Multi-step</b>	Yes	No		
<b>Evolutionary Sequential</b>	No	No	Yes	
<b>Evolutionary Opportunistic</b>	No	No	No	Yes
<b>Evolutionary Concurrent</b>	No	No	No	No

\*Example enablers: *Technology maturity; External-system capabilities; Needed resources; New opportunities*

The *Pre-specified Single-step* process exemplified by the traditional waterfall or sequential Vee model is appropriate if the product's requirements are pre-specifiable and have a low probability of significant change and if there is no value or chance to deliver a partial product capability. A good example of this would be the hardware for an earth resources monitoring satellite that would be infeasible to modify after it goes into orbit.

The *Pre-specified Multi-step* process splits up the development in order to field an early initial operational capability and several P3I's. It is best if the product's full capabilities can be specified in advance and are at a low probability of significant change. This is useful in cases when waiting for the full system to be developed incurs a loss of important and deliverable incremental mission capabilities. A good example of this would be a well-understood and well-prioritized sequence of software upgrades for the on-board earth resources monitoring satellite.

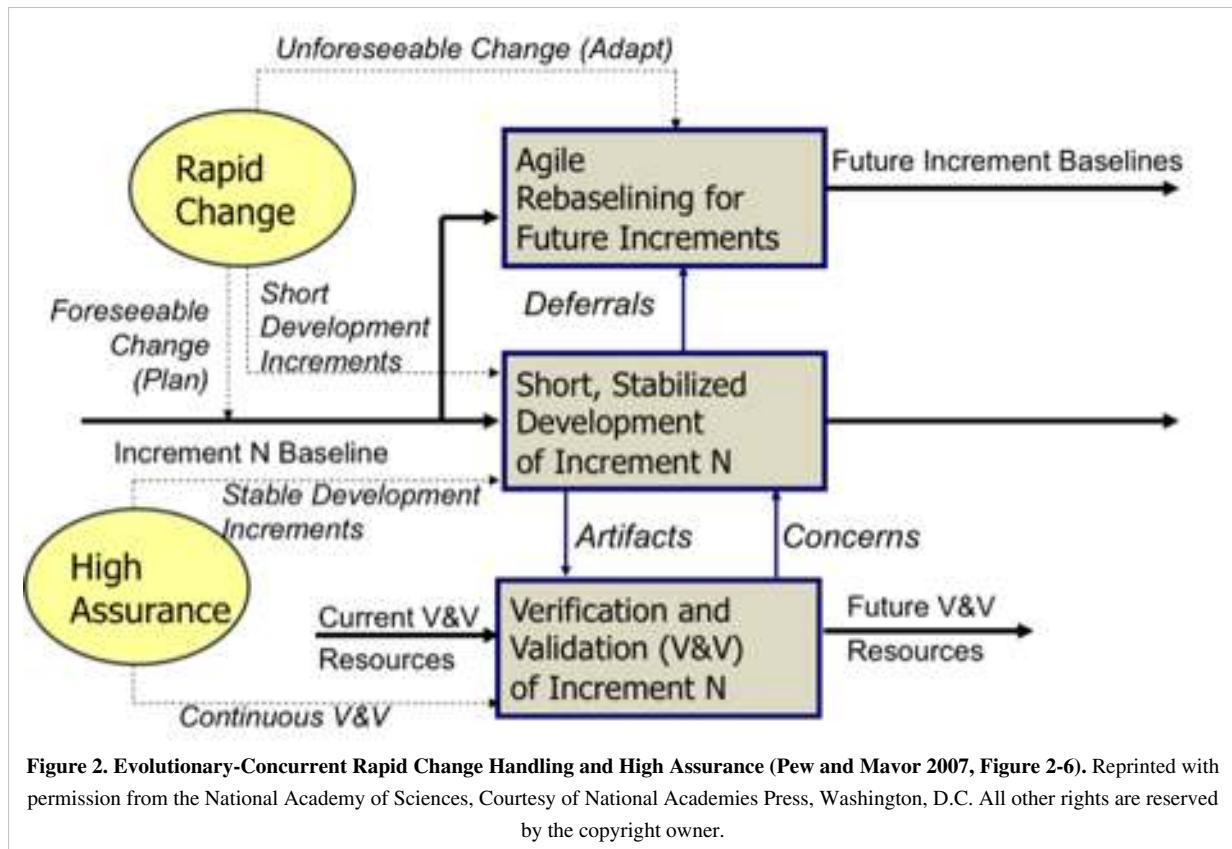
The *Evolutionary Sequential* process develops an initial operational capability and upgrades it based on operational experience, as exemplified by agile methods. It is most needed in cases when there is a need to obtain operational feedback on an initial capability before defining and developing the next increment's content. A good example of this would be the software upgrades suggested by experiences with the satellite's payload, such as what kind of multi-spectral data collection and analysis capabilities are best for what kind of agriculture under what weather conditions.

The *Evolutionary Opportunistic* process defers the next increment until its new capabilities are available and mature enough to be added. It is best used when the increment does not need to wait for operational feedback, but it may need to wait for next-increment enablers such as technology maturity, external system capabilities, needed resources, or new value-adding opportunities. A good example of this would be the need to wait for agent-based satellite anomaly trend analysis and mission-adaptation software to become predictably stable before incorporating it into a scheduled increment.

The *Evolutionary Concurrent* process, as realized in the incremental commitment spiral model (Pew and Mavor 2007; Boehm, et.al., 2014, page 75) and shown in Figure 2, has a continuing team of systems engineers handling the change traffic and re-baselining the plans and specifications for the next increment, while also keeping a development team stabilized for on-time, high-assurance delivery of the current increment and employing a concurrent verification and validation (V&V) team to perform continuous defect detection to enable even higher

assurance levels. A good example of this would be the satellite's ground-based mission control and data handling software's next-increment re-baselining to adapt to new COTS releases and continuing user requests for data processing upgrades.

The satellite example illustrates the various ways in which the complex systems of the future, different parts of the system, and its software may evolve in a number of ways, once again affirming that there is no one-size-fits-all process for software evolution. However, Table 2 can be quite helpful in determining which processes are the best fits for evolving each part of the system. Additionally, the three-team model in Figure 2 provides a way for projects to develop the challenging software-intensive systems of the future that will need both adaptability to rapid change and high levels of assurance.



**Figure 2. Evolutionary-Concurrent Rapid Change Handling and High Assurance (Pew and Mavor 2007, Figure 2-6).** Reprinted with permission from the National Academy of Sciences, Courtesy of National Academies Press, Washington, D.C. All other rights are reserved by the copyright owner.

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None.

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**SEBoK v. 2.7, released 31 October 2022**

# System Lifecycle Process Models: Vee

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**Lead Authors:** Dick Fairley, Kevin Forsberg, **Contributing Author:** Ray Madachy, Phyllis Marbach

There are a large number of life cycle process models. As discussed in the System Life Cycle Process Drivers and Choices article, those models described fall into three major categories: (1) primarily pre-specified single-step or multistep, also known as traditional or sequential processes; (2) evolutionary sequential (or the Vee Model) and (3) evolutionary opportunistic and evolutionary concurrent (or incremental agile). The concurrent processes are known by many names: the agile unified process (formerly the Rational Unified Process), the spiral models) and include some that are primarily interpersonal and unconstrained processes (e.g., agile development, Scrum, extreme programming (XP), the dynamic system development method, and innovation-based processes).

This article specifically focuses on the Vee Model as the primary example of pre-specified and sequential processes. In this discussion, it is important to note that the Vee model, and variations of the Vee model, all address the same basic set of systems engineering (SE) activities. The key difference between these models is the way in which they group and represent the aforementioned SE activities.

General implications of using the Vee model for system design and development are discussed below; for a more specific understanding of how this life cycle model impacts systems engineering activities, please see the other knowledge areas (KAs) in Part 3.

## A Primarily Pre-specified and Sequential Process Model: The Vee Model

The sequential version of the Vee Model is shown in Figure 1. Its core involves a sequential progression of plans, specifications, and products that are baselined and put under configuration management. The vertical, two-headed arrow enables projects to perform concurrent opportunity and risk analyses, as well as continuous in-process validation. The Vee Model encompasses the first two life cycle stages listed in the "Generic Life Cycle Stages their purposes, and decision gate options" table of the INCOSE *Systems Engineering Handbook*: concept, and development (INCOSE 2015).

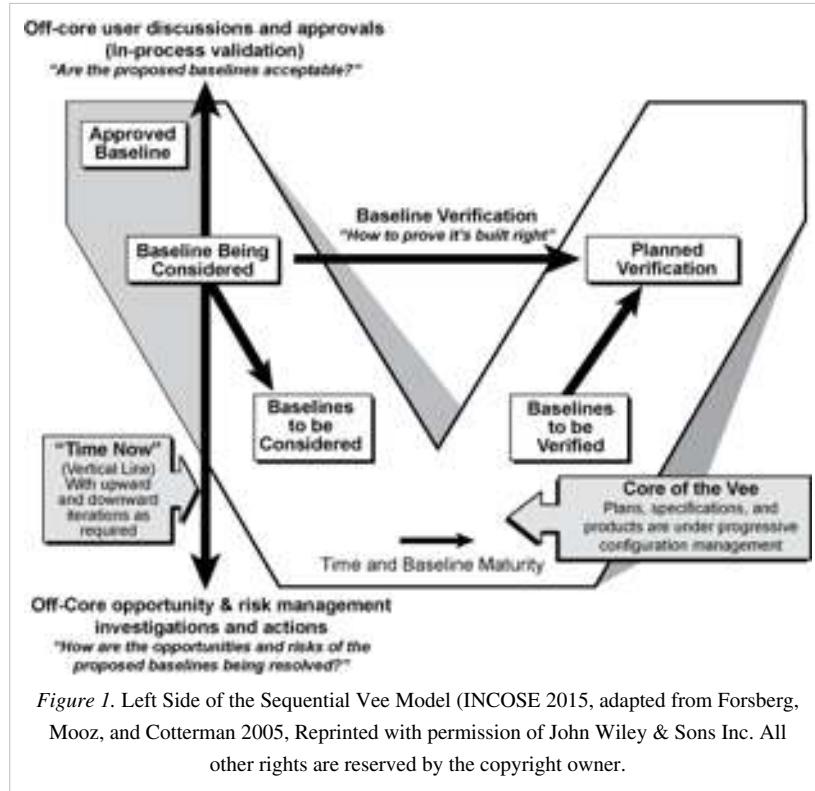


Figure 1. Left Side of the Sequential Vee Model (INCOSE 2015, adapted from Forsberg, Mooz, and Cotterman 2005, Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

The Vee Model endorses the INCOSE *Systems Engineering Handbook* (INCOSE 2015) definition of life cycle stages and their purposes or activities, as shown in Figure 2 below. Replace Figure 2 with the updated figure that removes the first Exploratory stage.

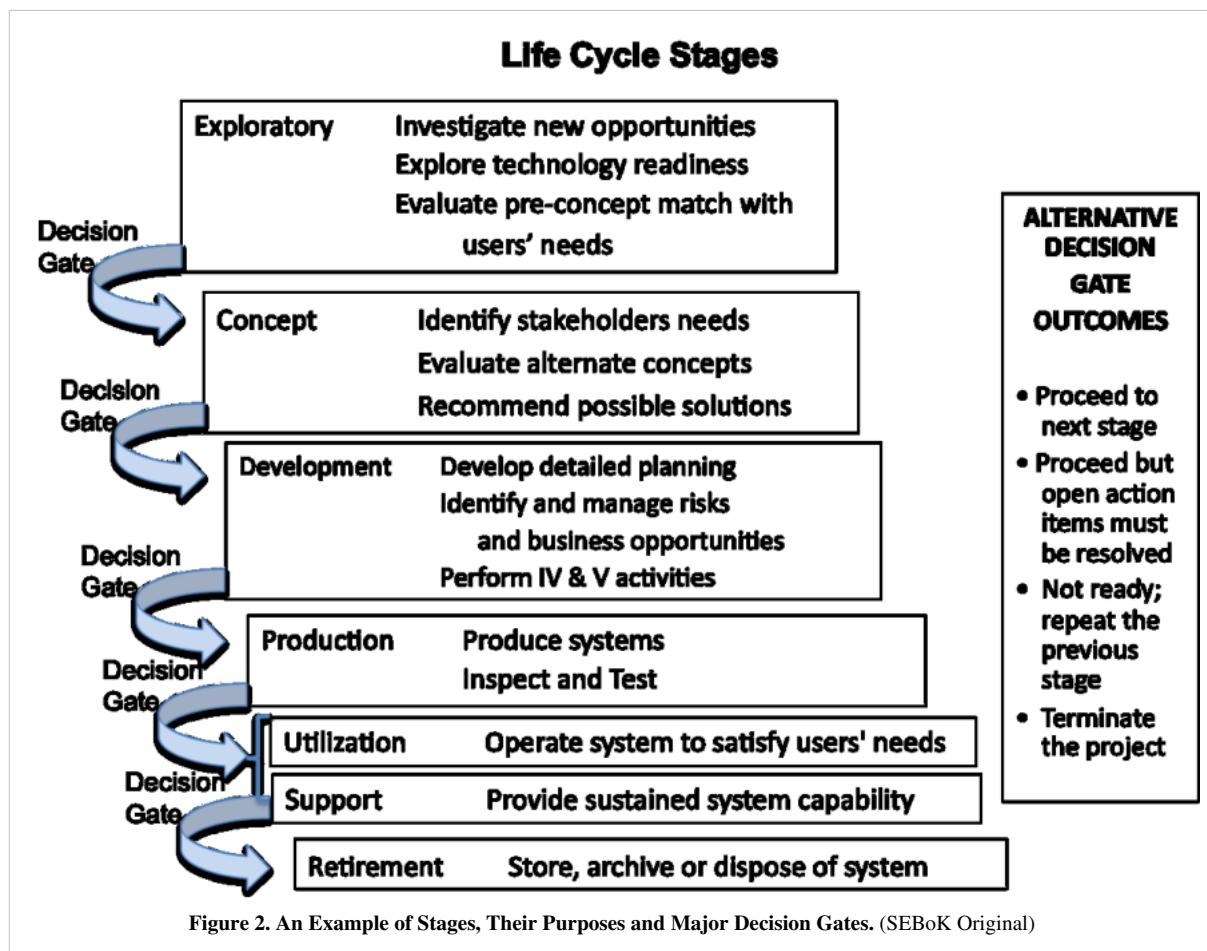


Figure 2. An Example of Stages, Their Purposes and Major Decision Gates. (SEBoK Original)

A more detailed version of the Vee diagram incorporates life cycle activities into the more generic Vee model. This Vee diagram, developed at the U.S. Defense Acquisition University (DAU), can be seen in Figure 3 below.

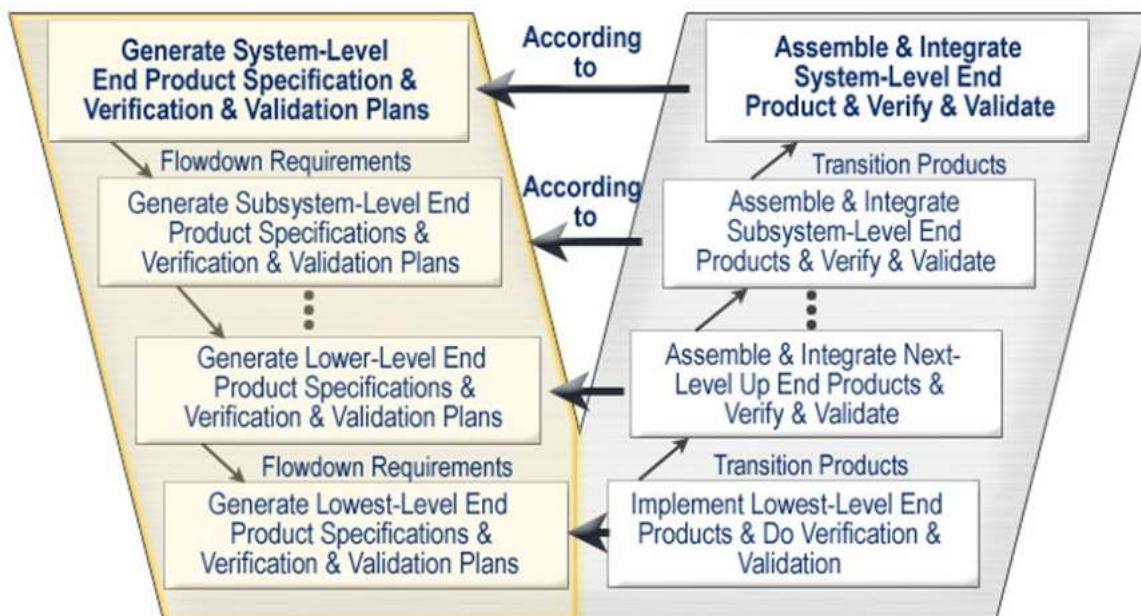


Figure 3. The Vee Activity Diagram (Prosnik 2010). Released by the Defense Acquisition University (DAU)/U.S. Department of Defense (DoD).

## Application of the Vee Model

Lawson (Lawson 2010) elaborates on the activities in each life cycle stage and notes that it is useful to consider the structure of a generic life cycle stage model for any type of system-of-interest (SoI) as portrayed in Figure 4. This (T) model indicates that one or more definition stages precede a production stage(s) where the implementation (acquisition, provisioning, or development) of two or more system elements has been accomplished.

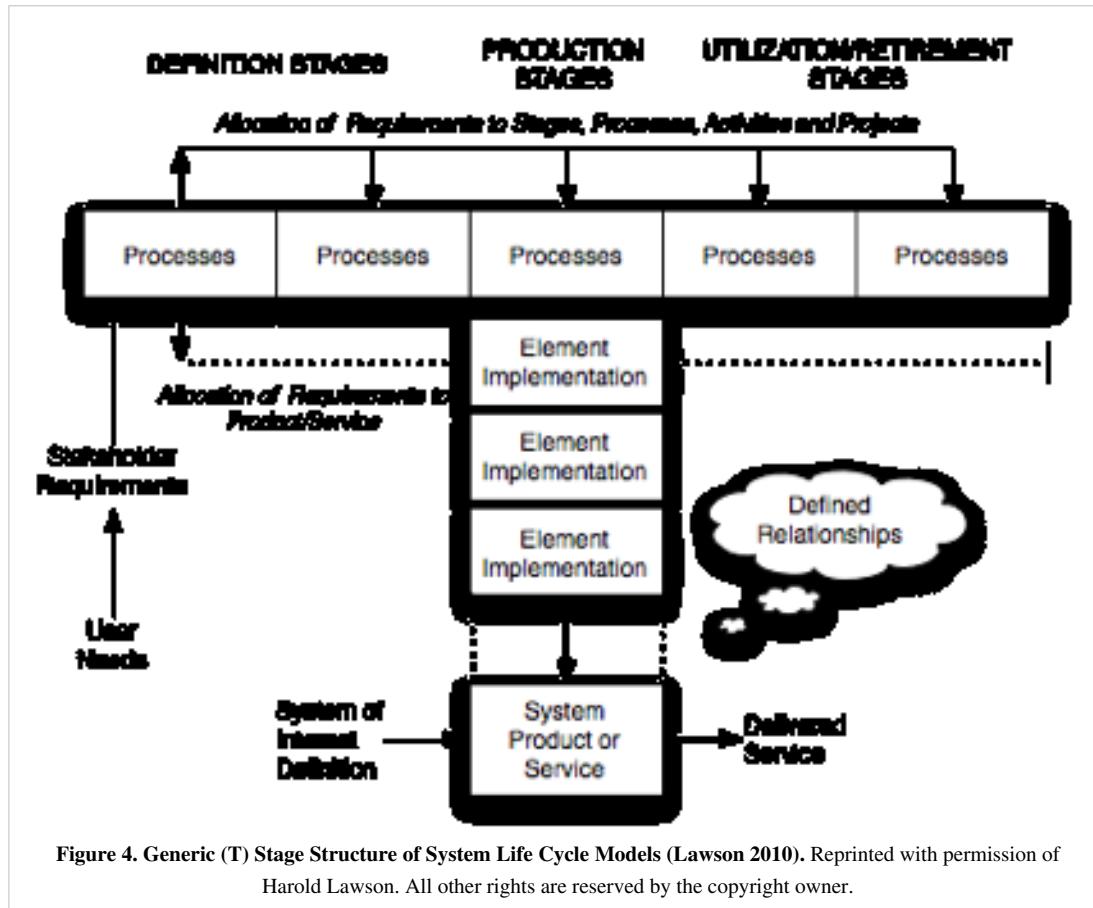
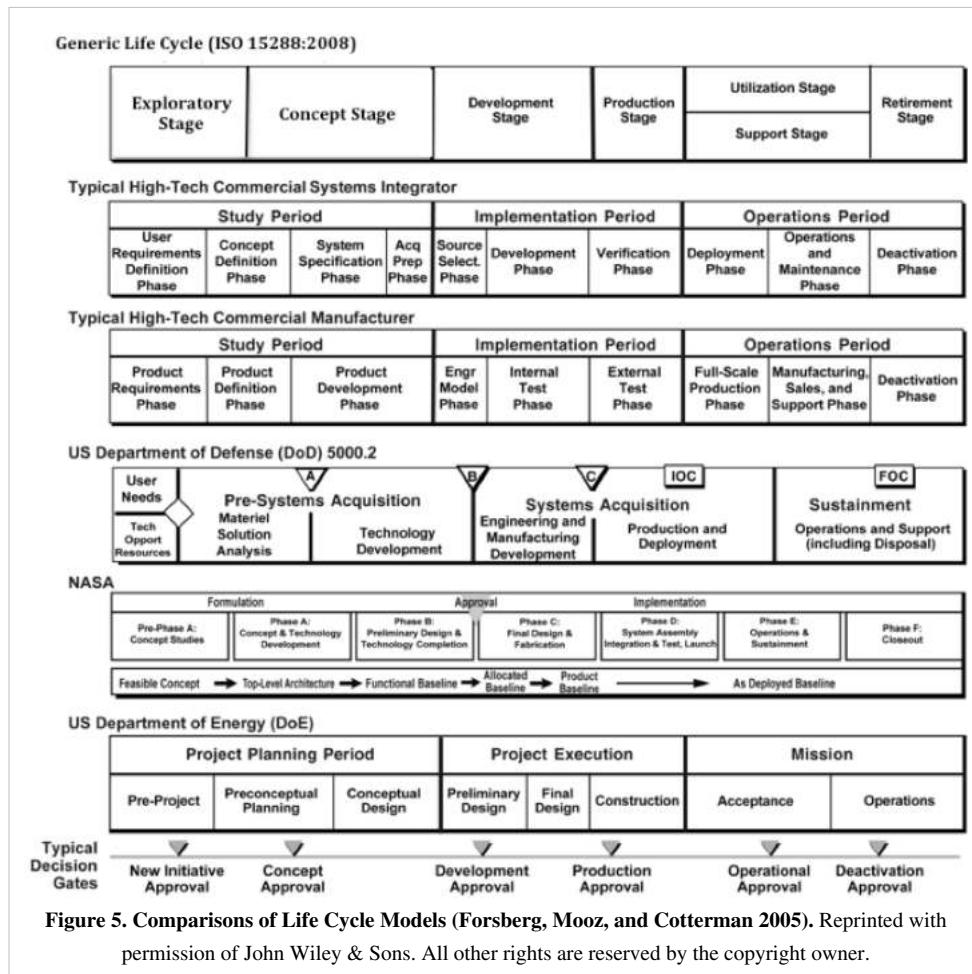


Figure 5 shows the generic life cycle stages for a variety of stakeholders, from a standards organization (ISO/IEC) to commercial and government organizations. Although these stages differ in detail, they all have a similar sequential format that emphasizes the core activities as noted in Table 1 (concept, production, and utilization/retirement).



It is important to note that many of the activities throughout the life cycle are iterated. This is an example of recursion as discussed in the Part 3 Introduction.

## Fundamentals of Life Cycle Stages and Program Management Phase

For this discussion, it is important to note that:

- The term **stage** refers to the different states of a system during its life cycle; some stages may overlap in time, such as the utilization stage and the support stage. The term “stage” is used in ISO/IEC/IEEE 15288.
- The term **phase** refers to the different steps of the program that support and manage the life of the system; the phases usually do not overlap. The term “phase” is used in many well-established models as an equivalent to the term “stage.”

Program management employs phases, milestones, and decision gates which are used to assess the evolution of a system through its various stages. The stages contain the activities performed to achieve goals and serve to control and manage the sequence of stages and the transitions between each stage. For each project, it is essential to define and publish the terms and related definitions used on respective projects to minimize confusion.

A typical program is composed of the following phases:

- The **feasibility or study phase** consists of studying the feasibility of alternative concepts to reach a second decision gate before initiating the execution stage. During the feasibility phase, stakeholders' requirements and system requirements are identified, viable solutions are identified and studied, and virtual prototypes (glossary) can be implemented. During this phase, the decision to move forward is based on:
  - whether a concept is feasible and is considered able to counter an identified threat or exploit an opportunity;

- whether a concept is sufficiently mature to warrant continued development of a new product or line of products; and
- whether to approve a proposal generated in response to a request for proposal.
- The **execution phase** includes activities related to four stages of the system life cycle: *development, production, utilization, and support*. Typically, there are two decision gates and two milestones associated with execution activities. The first milestone provides the opportunity for management to review the plans for execution before giving the go-ahead. The second milestone provides the opportunity to review progress before the decision is made to initiate production. The decision gates during execution can be used to determine whether to produce the developed SoI and whether to improve it or retire it.

These program management views apply not only to the SoI, but also to its elements and structure.

## Life Cycle Stages

Variations of the Vee model deal with the same general stages of a life cycle:

- New projects typically begin with an exploratory research phase which generally includes the activities of concept definition, specifically the topics of business or mission analysis and the understanding of stakeholder needs and requirements. These mature as the project goes from the exploratory stage to the concept stage to the development stage.
- The production phase includes the activities of system definition and system realization, as well as the development of the system requirements (glossary) and architecture (glossary) through verification and validation.
- The utilization phase includes the activities of system deployment and system operation.
- The support phase includes the activities of system maintenance, logistics, and product and service life management, which may include activities such as service life extension or capability updates, upgrades, and modernization.
- The retirement phase includes the activities of disposal and retirement, though in some models, activities such as service life extension or capability updates, upgrades, and modernization are grouped into the "retirement" phase.

Additional information on each of these stages can be found in the sections below (see links to additional Part 3 articles above for further detail). It is important to note that these life cycle stages, and the activities in each stage, are supported by a set of systems engineering management processes.

## Concept Stage

User requirements analysis and agreement is part of the concept stage and is critical to the development of successful systems. Without proper understanding of the user needs, any system runs the risk of being built to solve the wrong problems. The first step in the concept stage is to define the user (and stakeholder) requirements and constraints. A key part of this process is to establish the feasibility of meeting the user requirements, including technology readiness assessment. As with many SE activities this is often done iteratively, and stakeholder needs and requirements are revisited as new information becomes available.

A recent study by the National Research Council (National Research Council 2008) focused on reducing the development time for US Air Force projects. The report notes that, "simply stated, systems engineering is the translation of a user's needs into a definition of a system and its architecture through an iterative process that results in an effective system design." The iterative involvement with stakeholders is critical to the project success.

Except for the first and last decision gates of a project, the gates are performed simultaneously. See Figure 6 below.

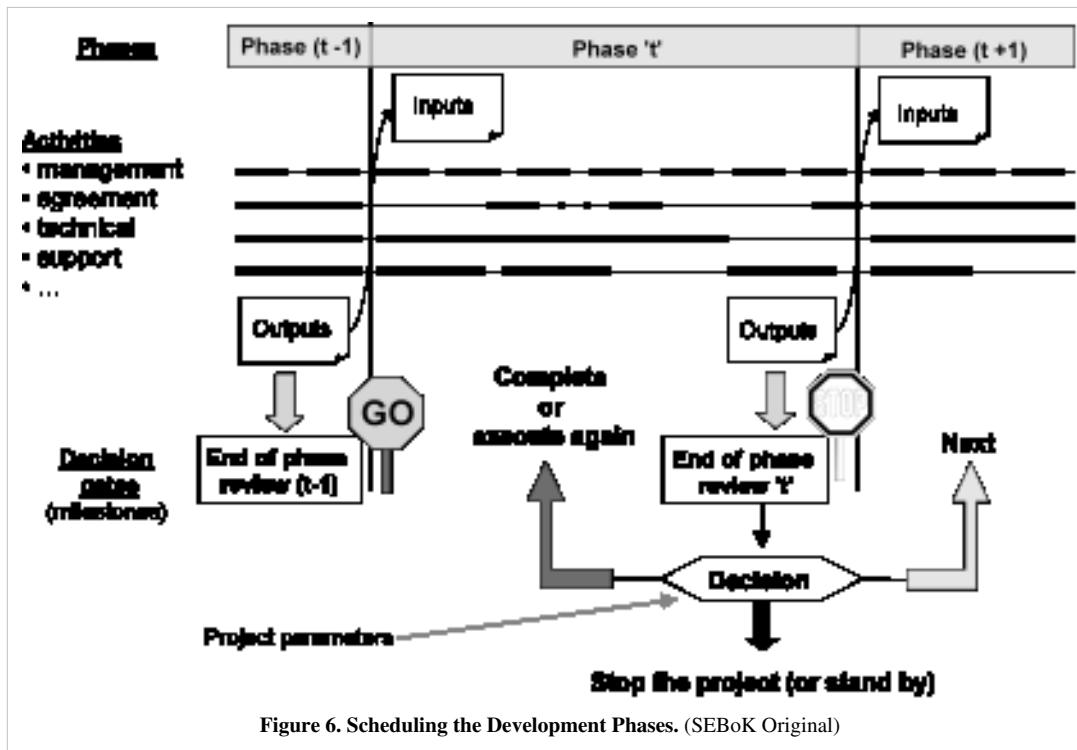


Figure 6. Scheduling the Development Phases. (SEBoK Original)

During the concept stage, alternate concepts are created to determine the best approach to meet stakeholder needs. By envisioning alternatives and creating models, including appropriate prototypes, stakeholder needs will be clarified and the driving issues highlighted. This may lead to an incremental or evolutionary approach to system development. Several different concepts may be explored in parallel.

## Development Stage

The selected concept(s) identified in the concept stage are elaborated in detail down to the lowest level to produce the solution that meets the stakeholder requirements. Throughout this stage, it is vital to continue with user involvement through in-process validation (the upward arrow on the Vee models). On hardware, this is done with frequent program reviews and a customer resident representative(s) (if appropriate). In agile development, the practice is to have the customer representative integrated into the development team.

## Production Stage

The production stage is where the SoI is built or manufactured. Product modifications may be required to resolve production problems, to reduce production costs, or to enhance product or SoI capabilities. Any of these modifications may influence system requirements and may require system re-qualification, re-verification, or re-validation. All such changes require SE assessment before changes are approved.

## Utilization Stage

A significant aspect of product life cycle management is the provisioning of supporting systems which are vital in sustaining operation of the product. While the supplied product or service may be seen as the narrow system-of-interest (NSOI) for an acquirer, the acquirer also must incorporate the supporting systems into a wider system-of-interest (WSOI). These supporting systems should be seen as system assets that, when needed, are activated in response to a situation that has emerged in respect to the operation of the NSOI. The collective name for the set of supporting systems is the integrated logistics support (ILS) system.

It is vital to have a holistic view when defining, producing, and operating system products and services. In Figure 7, the relationship between system design and development and the ILS requirements is portrayed.

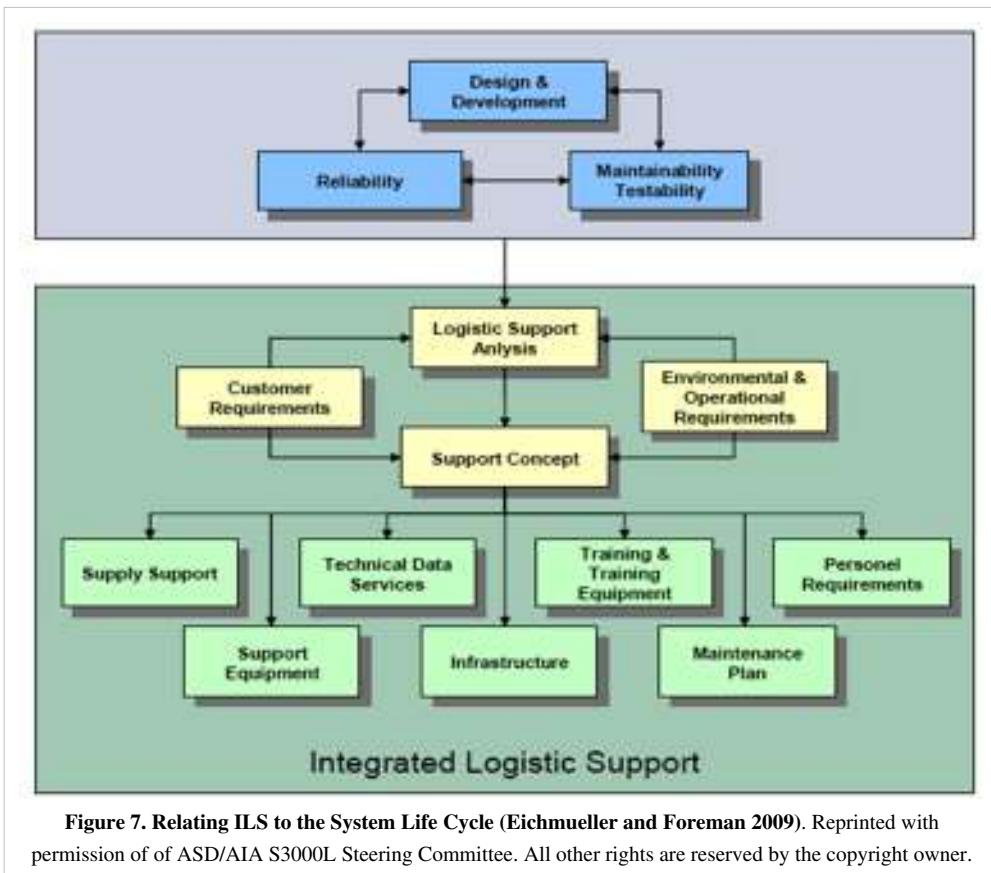


Figure 7. Relating ILS to the System Life Cycle (Eichmueller and Foreman 2009). Reprinted with permission of ASD/AIA S3000L Steering Committee. All other rights are reserved by the copyright owner.

The requirements for reliability, resulting in the need of maintainability and testability, are driving factors.

## Support Stage

In the support stage, the SoI is provided services that enable continued operation. Modifications may be proposed to resolve supportability problems, to reduce operational costs, or to extend the life of a system. These changes require SE assessment to avoid loss of system capabilities while under operation. The corresponding technical process is the maintenance process.

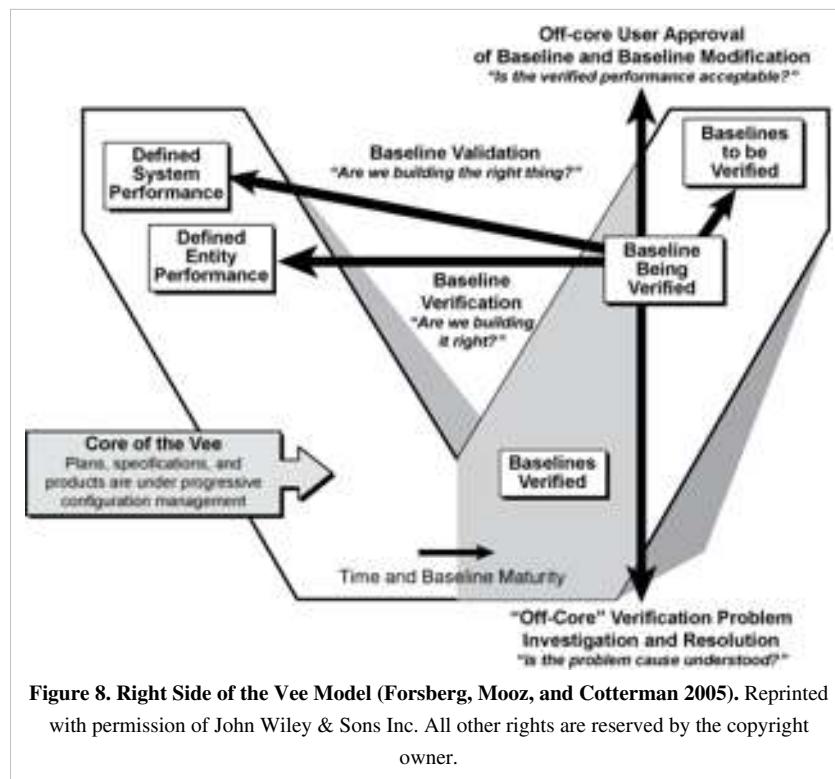
## Retirement Stage

In the retirement stage, the SoI and its related services are removed from operation. SE activities in this stage are primarily focused on ensuring that disposal requirements are satisfied. In fact, planning for disposal is part of the system definition during the concept stage. Experiences in the 20th century repeatedly demonstrated the consequences when system retirement and disposal was not considered from the outset. Early in the 21st century, many countries have changed their laws to hold the creator of a SoI accountable for proper end-of-life disposal of the system.

## Life Cycle Reviews

To control the progress of a project, different types of reviews are planned. The most commonly used are listed as follows, although the names are not universal:

- The **system requirements review (SRR)** is planned to verify and validate the set of system requirements before starting the detailed design activities.
- The preliminary design review (PDR) is planned to verify and validate the set of system requirements, the design artifacts, and justification elements at the end of the first engineering loop (also known as the "design-to" gate).
- The critical design review (CDR) is planned to verify and validate the set of system requirements, the design artifacts, and justification elements at the end of the last engineering loop (the "build-to" and "code-to" designs are released after this review).
- The integration, verification, and validation reviews are planned as the components are assembled into higher level subsystems and elements. A sequence of reviews is held to ensure that everything integrates properly and that there is objective evidence that all requirements have been met. There should also be an in-process validation that the system, as it is evolving, will meet the stakeholders' requirements (see Figure 7).
- The final validation review is carried out at the end of the integration phase.
- Other management related reviews can be planned and conducted in order to control the correct progress of work, based on the type of system and the associated risks.



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## Relevant Videos

- Basic Introduction of Systems Engineering (V-method) [Part 1 of 2]<sup>[1]</sup>
  - Basic Introduction to Systems Engineering (V-Method) Part 2 of 2<sup>[2]</sup>
- 

< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.7, released 31 October 2022**

## References

- [1] <https://www.youtube.com/watch?v=9b4GYQfUuGE&t=7s>  
[2] <https://www.youtube.com/watch?v=q8vJogfrAnE>

# System Lifecycle Process Models: Incremental

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**Contributing Author:** Kevin Forsberg

There are a large number of life cycle process models. As discussed in the System Life Cycle Process Drivers and Choices article pre-specified single-step is like traditional or waterfall with fixed requirements; pre-specified, multi-step will develop an early initial operational capability and then follow that by several pre-planned product improvement. The next 3 are incremental and evolutionary and range from rapid fielding to maturing technology to emergent development. We have grouped these models into three major categories: (1) primarily pre-specified single-step or multistep, also known as traditional or sequential processes; (2) evolutionary sequential (or the Vee model); and (3) evolutionary opportunistic and evolutionary concurrent (or incremental agile). The concurrent processes are known by many names: the agile unified process (formerly the Rational Unified Process), the spiral models and include some that are primarily interpersonal and unconstrained processes (e.g., agile development, Scrum, extreme programming (XP), dynamic system development methods, and innovation-based processes).

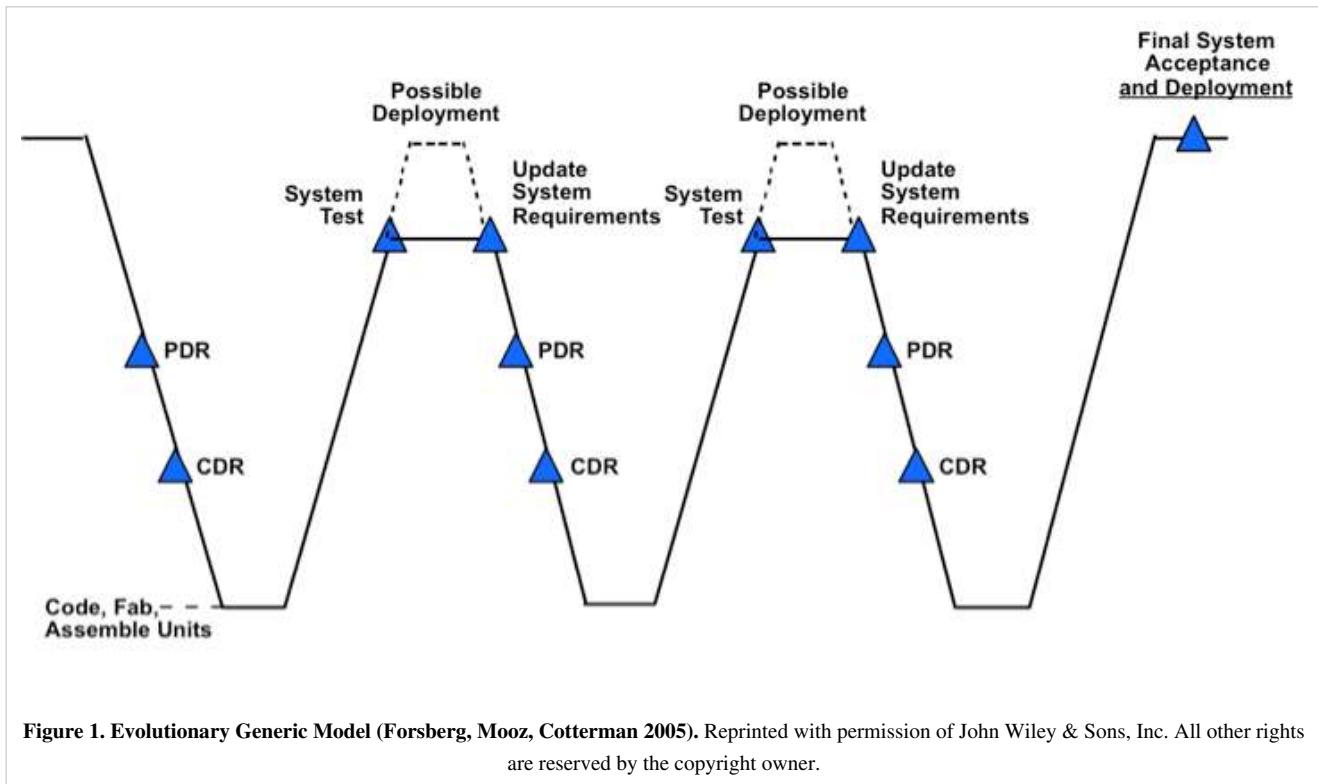
This article discusses evolutionary opportunistic and evolutionary concurrent, the third category listed above. While there are a number of different models describing the project environment, the spiral model and the Vee Model have become the dominant approaches to visualizing the development process. Both the Vee and the spiral are useful models that emphasize different aspects of a system life cycle.

General implications of using incremental models for system design and development are discussed below. For a more specific understanding of how this life cycle model impacts systems engineering activities, please see the other knowledge areas (KAs) in Part 3. This article is focused on the use of incremental life cycle process models in systems engineering. (See Systems Engineering and Software Engineering in Part 6 for more information on life cycle implications in software engineering.)

## Evolutionary and Incremental Development

### Overview of the Evolutionary Approach

A specific methodology called evolutionary development is common in research and development (R&D) environments in both the government and commercial sector. Figure 1 illustrates this approach, which was used in the evolution of the high temperature tiles for the NASA Space Shuttle (Forsberg 1995). In the evolutionary approach, the end state of each phase of development is unknown, though the goal is for each phase to result in some sort of useful product.



**Figure 1. Evolutionary Generic Model (Forsberg, Mooz, Cotterman 2005).** Reprinted with permission of John Wiley & Sons, Inc. All other rights are reserved by the copyright owner.

The real-world development environment is complex and difficult to map because many different project cycles are underway simultaneously.

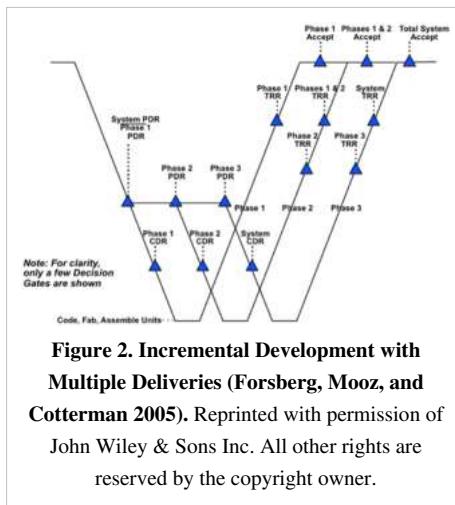
### Overview of the Incremental Approach

Incremental development methods have been in use since the 1960s (and perhaps earlier). They allow a project to provide an initial capability followed by successive deliveries to reach the desired system-of-interest (SoI).

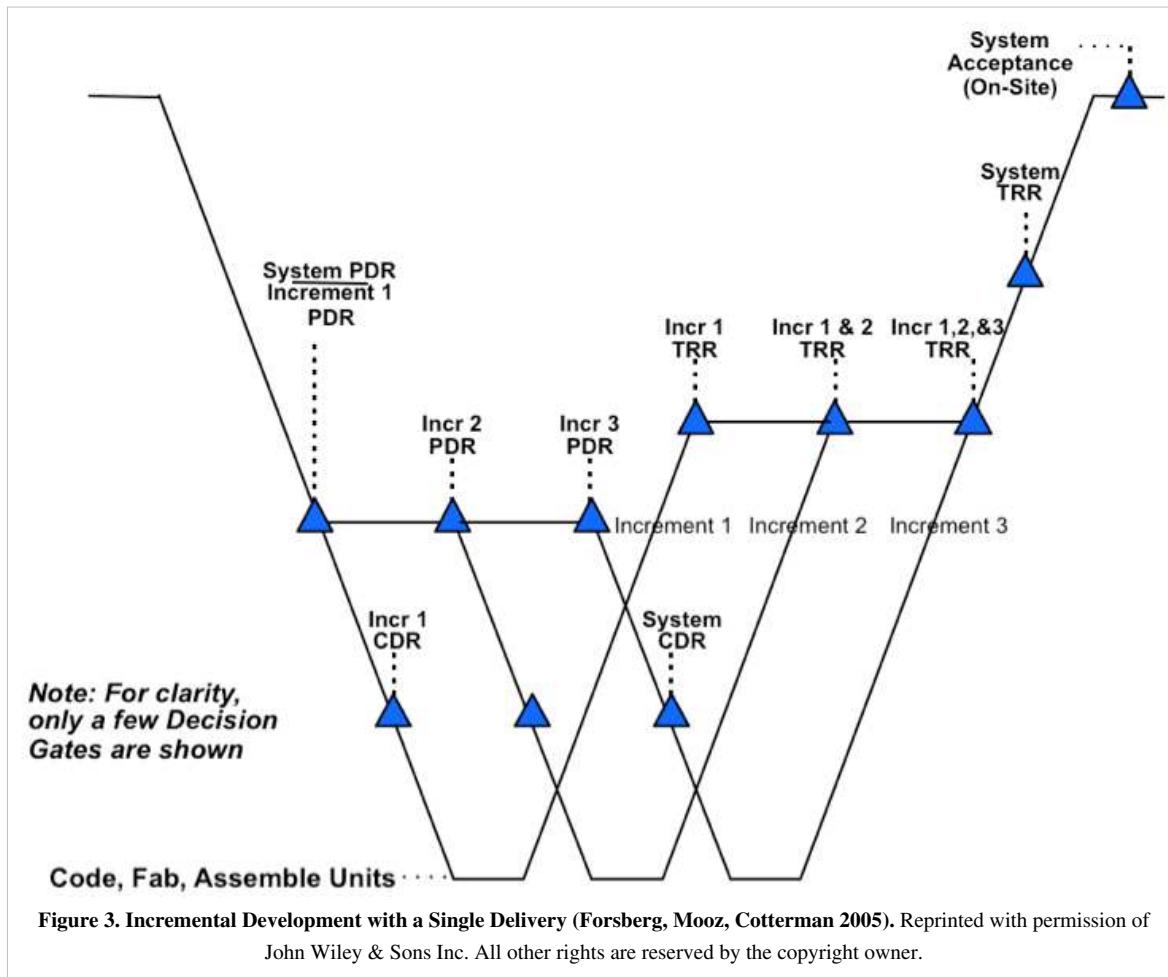
The incremental approach, shown in Figure 2, is used when:

- rapid exploration and implementation of part of the system is desired;
- the requirements are unclear from the beginning;
- funding is constrained;
- the customer wishes to hold the SoI open to the possibility of inserting new technology at a later time; and/or
- experimentation is required to develop successive prototype (glossary) versions.

The attributes that distinguish incremental from the single-pass, plan-driven approach are velocity and adaptability.



Incremental development may also be “plan-driven” in nature if the requirements are known early on in the life cycle. The development of the functionality is performed incrementally to allow for insertion of the latest technology or for potential changes in needs or requirements. Incremental development also imposes constraints. The example shown in Figure 3 uses the increments to develop high-risk subsystems (or components) early, but the system cannot function until all increments are complete.



Advise this figure and section be moved to the Case Study section of the SEBoK.--- Figure 4 shows the applied research era for the development of the space shuttle Orbiter and illustrates multi-levels of simultaneous development, trade-studies, and ultimately, implementation.

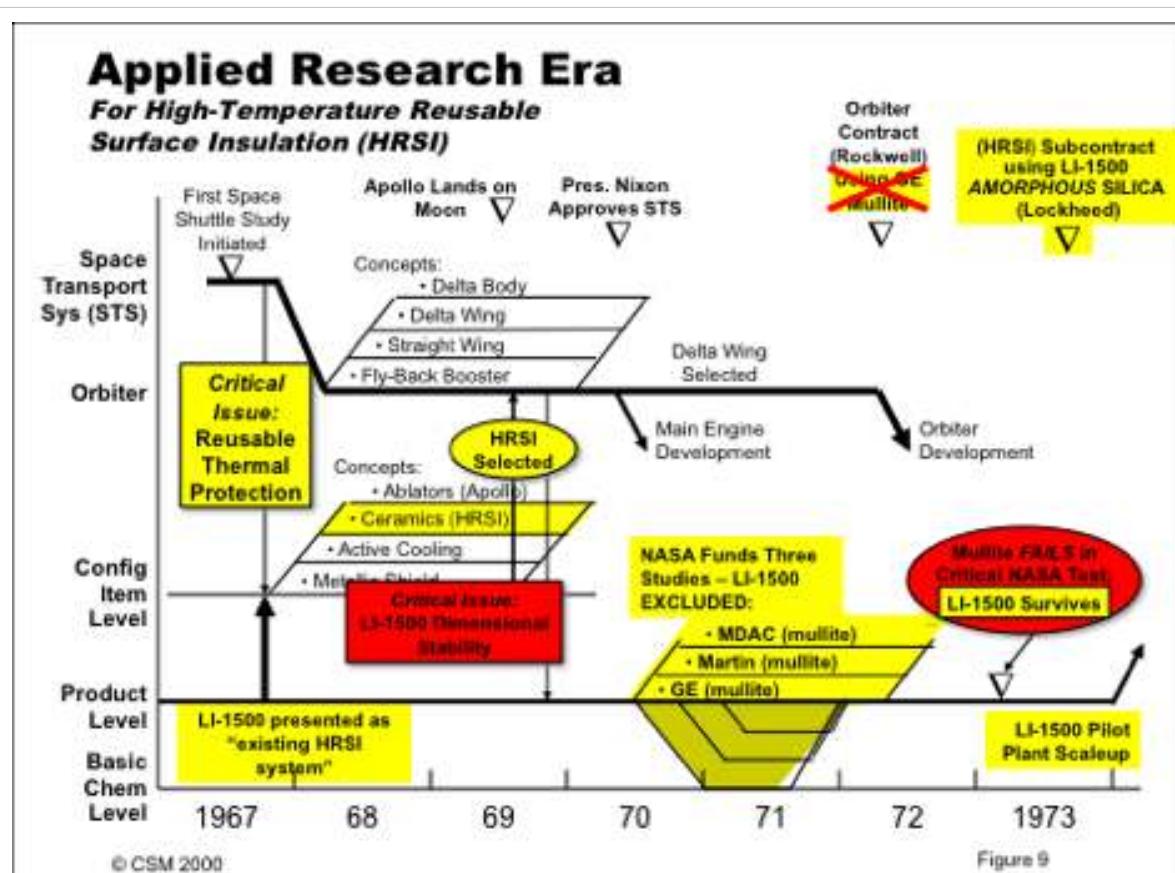


Figure 4. Evolution of Components and Orbiter Subsystems (including space shuttle tiles) During Creation of a Large "Single-Pass" Project (Forsberg 1995). Reprinted with permission of Kevin Forsberg. All other rights are reserved by the copyright owner.

Advise this information below be moved to Part 6, unless it is redundant or out of date.---

## Iterative Software Development Process Models

Software is a flexible and malleable medium which facilitates iterative analysis, design, construction, verification, and validation to a greater degree than is usually possible for the purely physical components of a system. Each repetition of an iterative development model adds material (code) to the growing software base; the expanded code base is tested, reworked as necessary, and demonstrated to satisfy the requirements for the baseline.

Process models for software development support iterative development on cycles of various lengths. Table 1 lists three iterative software development models which are presented in more detail below, as well as the aspects of software development that are emphasized by those models.

**Table 1. Primary Emphases of Three Iterative Software Development Models.**

Iterative Model	Emphasis
<b>Incremental-build</b>	Iterative implementation-verification-validations-demonstration cycles
<b>Spiral</b>	Iterative risk-based analysis of alternative approaches and evaluation of outcomes
<b>Agile</b>	Iterative evolution of requirements and code

Please note that the information below is focused specifically on the utilization of different life cycle models for software systems. In order to better understand the interactions between software engineering (SwE) and systems engineering (SE), please see the Systems Engineering and Software Engineering KA in Part 6.

## Overview of Iterative-Development Process Models

Developing and modifying software involves creative processes that are subject to many external and changeable forces. Long experience has shown that it is impossible to “get it right” the first time, and that iterative development processes are preferable to linear, sequential development process models, such as the well-known Waterfall model. In iterative development, each cycle of the iteration subsumes the software of the previous iteration and adds new capabilities to the evolving product to create an expanded version of the software. Iterative development processes provide the following advantages:

- Continuous integration, verification, and validation of the evolving product;
- Frequent demonstrations of progress;
- Early detection of defects;
- Early warning of process problems;
- Systematic incorporation of the inevitable rework that occurs in software development; and
- Early delivery of subset capabilities (if desired).

Iterative development takes many forms in SwE, including the following:

- An incremental-build process, which is used to produce periodic (typically weekly) builds of increasing product capabilities;
- Agile development, which is used to closely involve a prototypical customer in an iterative process that may repeat on a daily basis; and
- The spiral model, which is used to confront and mitigate risk factors encountered in developing the successive versions of a product.

## The Incremental-Build Model

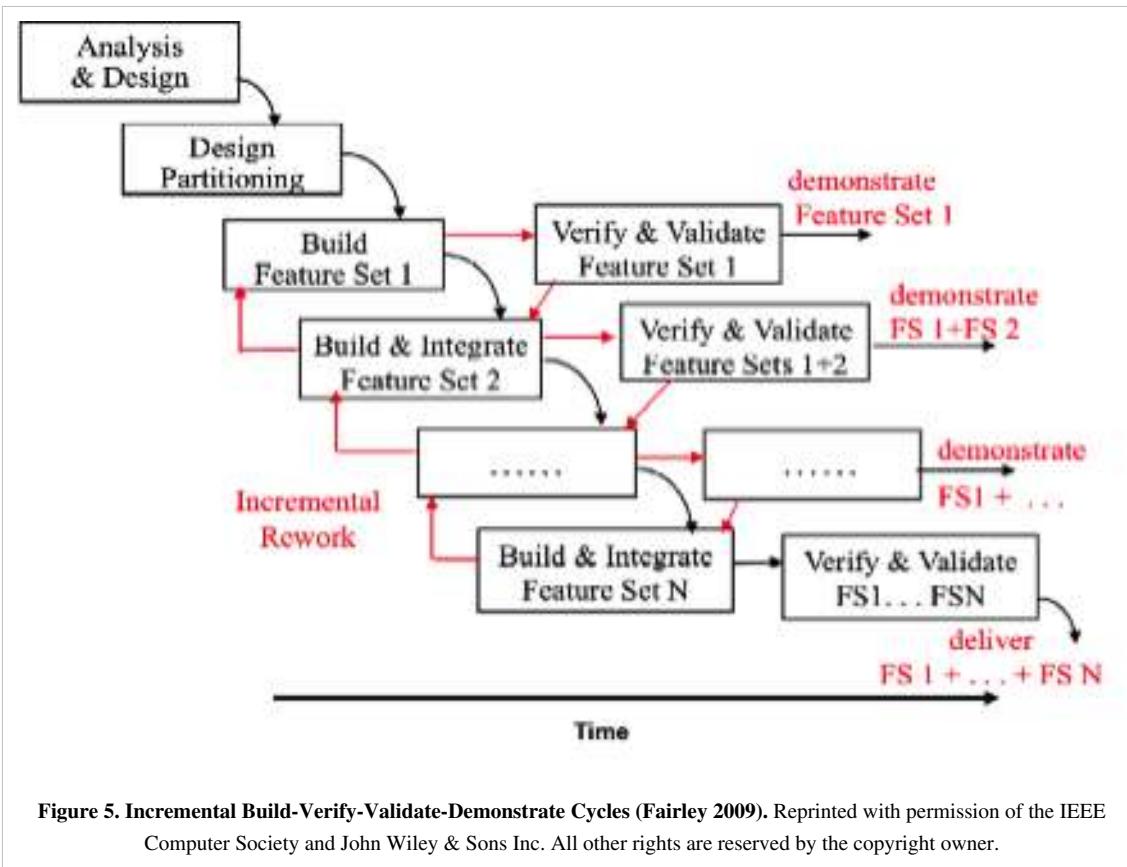
The incremental-build model is a build-test-demonstrated model of iterative cycles in which frequent demonstrations of progress, verification, and validation of work-to-date are emphasized. The model is based on stable requirements and a software architectural specification. Each build adds new capabilities to the incrementally growing product. The process ends when the final version is verified, validated, demonstrated, and accepted by the customer.

Table 2 lists some partitioning criteria for incremental development into incremental build units of (typically) one calendar week each. The increments and the number of developers available to work on the project determine the number of features that can be included in each incremental build. This, in turn, determines the overall schedule.

**Table 2. Some partitioning criteria for incremental builds (Fairley 2009). Reprinted with permission of the IEEE Computer Society and John Wiley & Sons Inc. All other rights are reserved by the copyright owner.**

Kind of System	Partitioning Criteria
Application package	Priority of features
Safety-critical systems	Safety features first; prioritized others follow
User-intensive systems	User interface first; prioritized others follow
System software	Kernel first; prioritized utilities follow

Figure 5 illustrates the details of the build-verify-validate-demonstrate cycles in the incremental build process. Each build includes detailed design, coding, integration, review, and testing done by the developers. In cases where code is to be reused without modification, some or all of an incremental build may consist of review, integration, and testing of the base code augmented with the reused code. It is important to note that development of an increment may result in reworking previous components developed for integration to fix defects.



**Figure 5. Incremental Build-Verify-Validate-Demonstrate Cycles (Fairley 2009).** Reprinted with permission of the IEEE Computer Society and John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

Incremental verification, validation, and demonstration, as illustrated in Figure 5, overcome two of the major problems of a waterfall approach by:

- exposing problems early so they can be corrected as they occur; and
- incorporating minor in-scope changes to requirements that occur as a result of incremental demonstrations in subsequent builds.

Figure 5 also illustrates that it may be possible to overlap successive builds of the product. It may be possible, for example, to start a detailed design of the next version while the present version is being validated.

Three factors determine the degree of overlap that can be achieved:

1. Availability of personnel;
2. Adequate progress on the previous version; and
3. The risk of significant rework on the next overlapped build because of changes to the previous in-progress build.

The incremental build process generally works well with small teams, but can be scaled up for larger projects.

A significant advantage of an incremental build process is that features built first are verified, validated, and demonstrated most frequently because subsequent builds incorporate the features of the earlier iterations. In building the software to control a nuclear reactor, for example, the emergency shutdown software could be built first, as it would then be verified and validated in conjunction with the features of each successive build.

In summary, the incremental build model, like all iterative models, provides the advantages of continuous integration and validation of the evolving product, frequent demonstrations of progress, early warning of problems, early delivery of subset capabilities, and systematic incorporation of the inevitable rework that occurs in software development.

## **The Role of Prototyping in Software Development**

In SwE, a prototype is a mock-up of the desired functionality of some part of the system. This is in contrast to physical systems, where a prototype is usually the first fully functional version of a system (Fairley 2009, 74).

In the past, incorporating prototype software into production systems has created many problems. Prototyping is a useful technique that should be employed as appropriate; however, prototyping is *not* a process model for software development. When building a software prototype, the knowledge gained through the development of the prototype is beneficial to the program; however, the prototype code may not be used in the deliverable version of the system. In many cases, it is more efficient and more effective to build the production code from scratch using the knowledge gained by prototyping than to re-engineer the existing code.

## **Life Cycle Sustainment of Software**

Software, like all systems, requires sustainment efforts to enhance capabilities, adapt to new environments, and correct defects. The primary distinction for software is that sustainment efforts change the software; unlike physical entities, software components do not have to be replaced because of physical wear and tear. Changing the software requires re-verification and re-validation, which may involve extensive regression testing to determine that the change has the desired effect and has not altered other aspects of functionality or behavior.

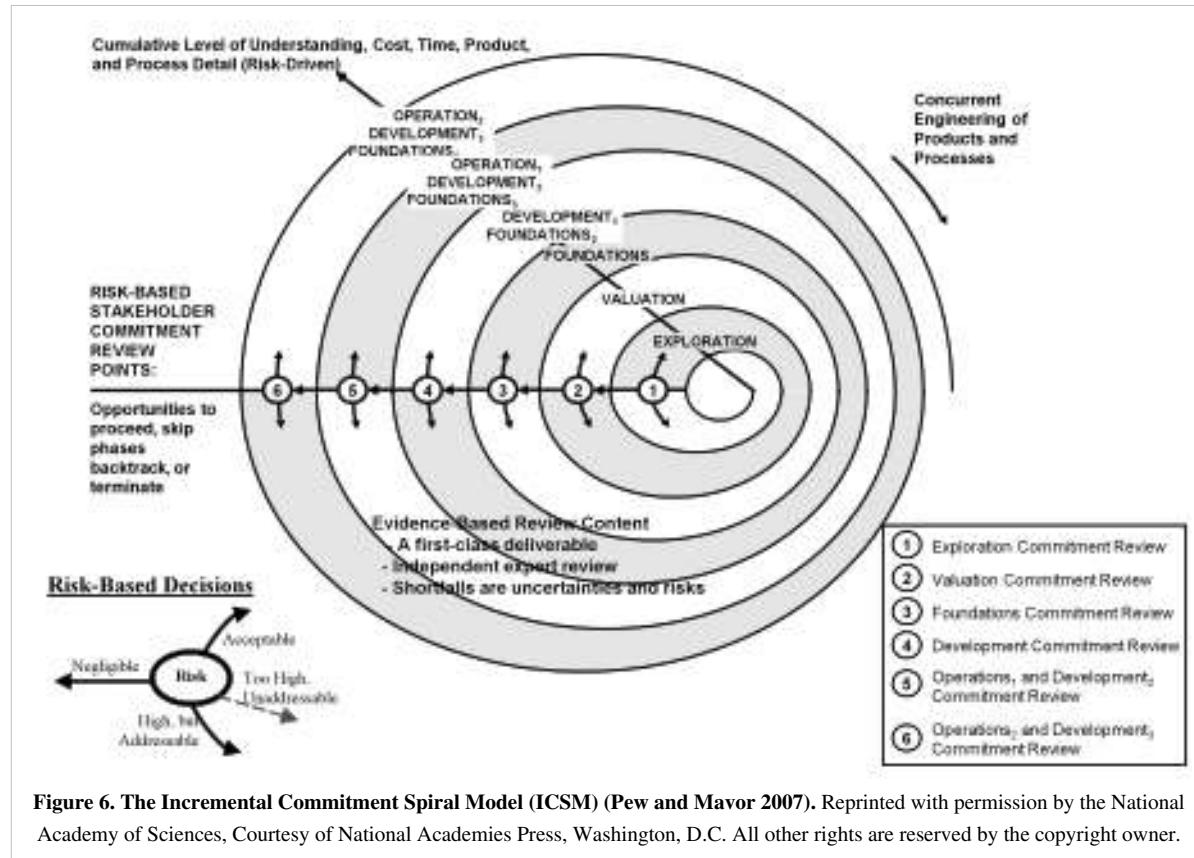
## **Retirement of Software**

Useful software is rarely retired; however, software that is useful often experiences many upgrades during its lifetime. A later version may bear little resemblance to the initial release. In some cases, software that ran in a former operational environment is executed on hardware emulators that provide a virtual machine on newer hardware. In other cases, a major enhancement may replace and rename an older version of the software, but the enhanced version provides all of the capabilities of the previous software in a compatible manner. Sometimes, however, a newer version of software may fail to provide compatibility with the older version, which necessitates other changes to a system.

## Primarily Evolutionary and Concurrent Processes: The Incremental Commitment Spiral Model

### Overview of the Incremental Commitment Spiral Model

A view of the Incremental Commitment Spiral Model (ICSM) is shown in Figure 6.



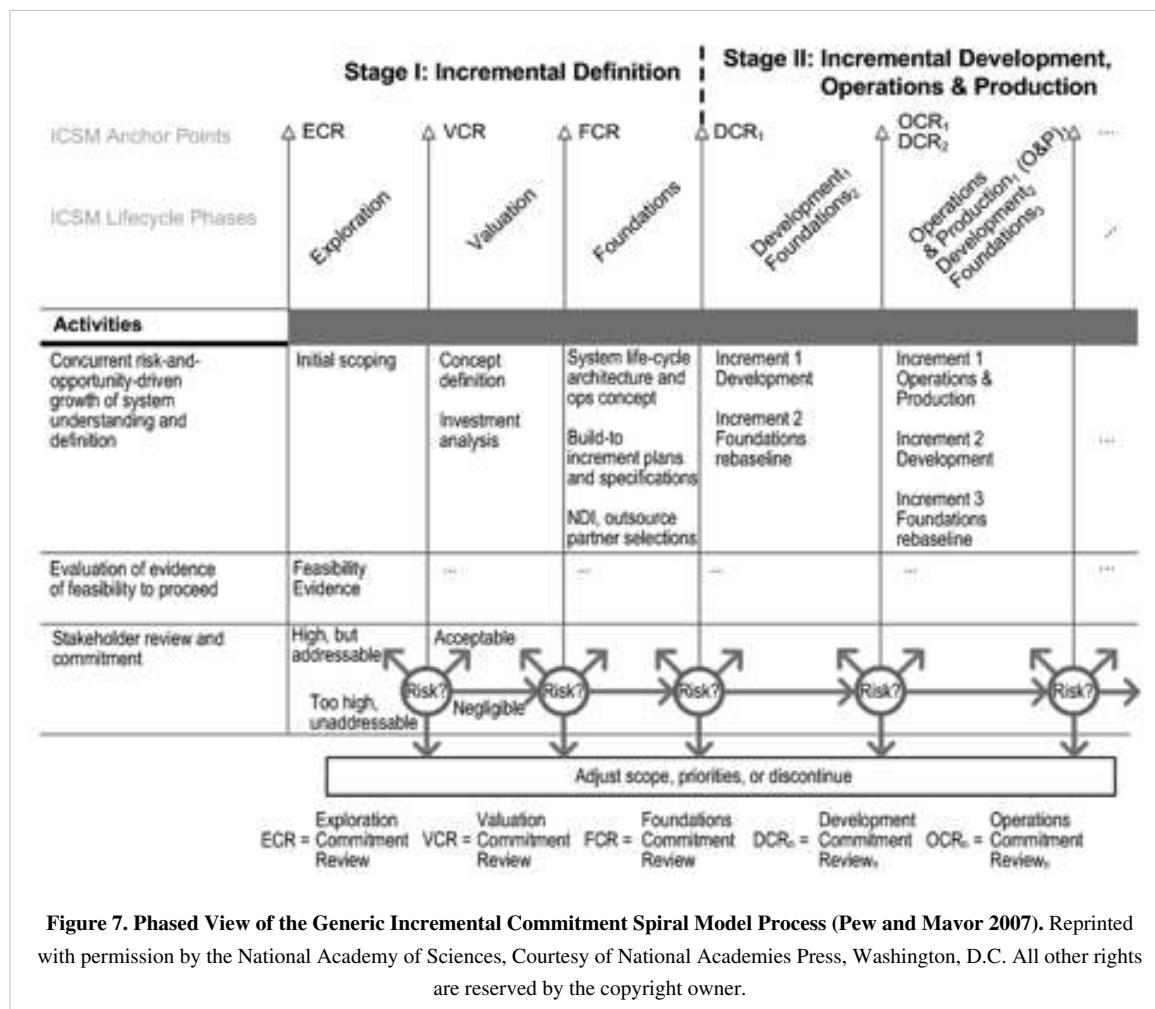
**Figure 6. The Incremental Commitment Spiral Model (ICSM) (Pew and Mavor 2007).** Reprinted with permission by the National Academy of Sciences, Courtesy of National Academies Press, Washington, D.C. All other rights are reserved by the copyright owner.

In the ICSM, each spiral addresses requirements and solutions concurrently, rather than sequentially, as well as products and processes, hardware, software, human factors aspects, and business case analyses of alternative product configurations or product line investments. The stakeholders consider the risks and risk mitigation plans and decide on a course of action. If the risks are acceptable and covered by risk mitigation plans, the project proceeds into the next spiral.

The development spirals after the first development commitment review follow the three-team incremental development approach for achieving both agility and assurance shown and discussed in Figure 2, "Evolutionary-Concurrent Rapid Change Handling and High Assurance" of System Life Cycle Process Drivers and Choices.

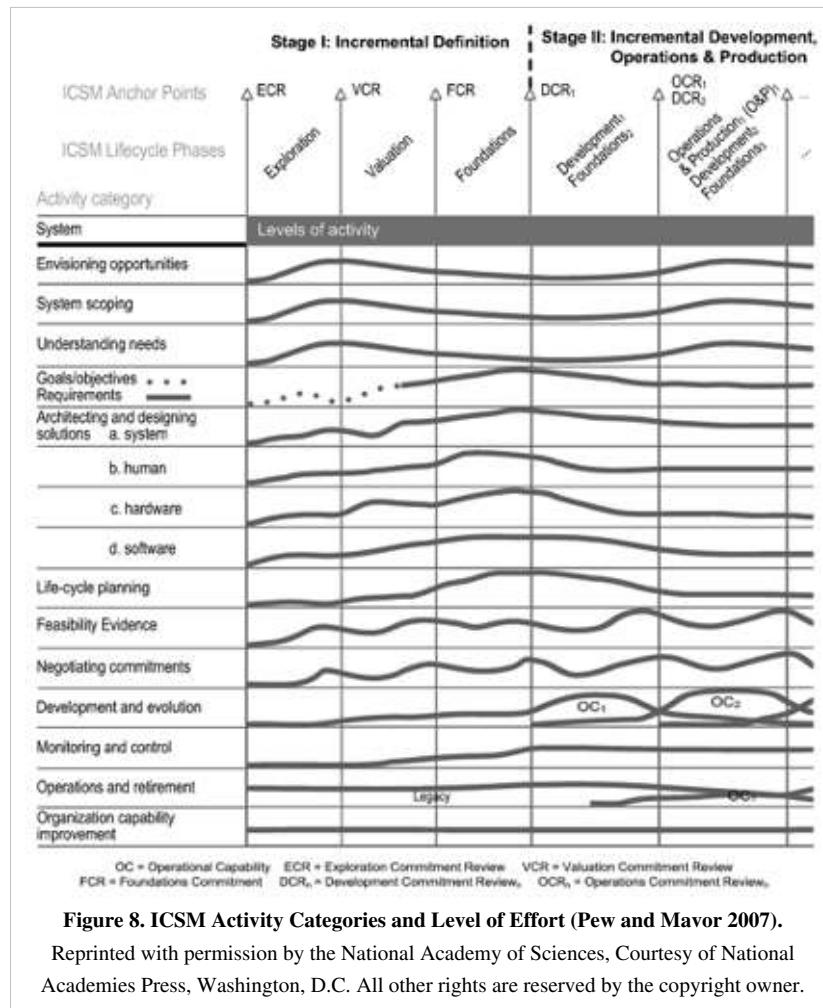
### Other Views of the Incremental Commitment Spiral Model

Figure 7 presents an updated view of the ICSM life cycle process recommended in the National Research Council *Human-System Integration in the System Development Process* study (Pew and Mavor 2007). It was called the Incremental Commitment Model (ICM) in the study. The ICSM builds on the strengths of current process models, such as early verification and validation concepts in the Vee model, concurrency concepts in the concurrent engineering model, lighter-weight concepts in the agile and lean models, risk-driven concepts in the spiral model, the phases and anchor points in the rational unified process (RUP) (Kruchten 1999; Boehm 1996), and recent extensions of the spiral model to address systems of systems (SoS) capability acquisition (Boehm and Lane 2007).



**Figure 7. Phased View of the Generic Incremental Commitment Spiral Model Process (Pew and Mavor 2007).** Reprinted with permission by the National Academy of Sciences, Courtesy of National Academies Press, Washington, D.C. All other rights are reserved by the copyright owner.

The top row of activities in Figure 7 indicates that a number of system aspects are being concurrently engineered at an increasing level of understanding, definition, and development. The most significant of these aspects are shown in Figure 8, an extension of a similar “hump diagram” view of concurrently engineered software activities developed as part of the RUP (Kruchten 1999).



**Figure 8. ICSM Activity Categories and Level of Effort (Pew and Mavor 2007).**

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As with the RUP version, the magnitude and shape of the levels of effort will be risk-driven and likely to vary from project to project. Figure 8 indicates that a great deal of concurrent activity occurs within and across the various ICSM phases, all of which need to be *"synchronized and stabilized,"* a best-practice phrase taken from *Microsoft Secrets* (Cusumano and Selby 1996) to keep the project under control.

The review processes and use of independent experts are based on the highly successful AT&T Architecture Review Board procedures described in "Architecture Reviews: Practice and Experience" (Maranzano et al. 2005). Figure 9 shows the content of the feasibility evidence description. Showing feasibility of the concurrently developed elements helps synchronize and stabilize the concurrent activities.

**Feasibility Evidence Description Content**

Evidence provided by developer and validated by independent experts that if the system is built to the specified architecture, it will:

- Satisfy the requirements: capability, interfaces, level of service, and evolution
- Support the operational concept
- Be buildable within the budgets and schedules in the plan
- Generate a viable return on investment
- Generate satisfactory outcomes for all of the success-critical stakeholders
- Resolve all major risks by risk management plans

**Figure 9. Feasibility Evidence Description Content (Pew and Mavor 2007).** Reprinted with permission by the National Academy of Sciences, Courtesy of National Academies Press, Washington, D.C. All other rights are reserved by the copyright owner.

The operations commitment review (OCR) is different in that it addresses the often-higher operational risks of fielding an inadequate system. In general, stakeholders will experience a two- to ten-fold increase in commitment level while going through the sequence of engineering certification review (ECR) to design certification review (DCR) milestones, but the increase in going from DCR to OCR can be much higher. These commitment levels are based on typical cost profiles across the various stages of the acquisition life cycle.

### **Underlying ICSM Principles**

ICSM has four underlying principles which must be followed:

1. Stakeholder value-based system definition and evolution;
2. Incremental commitment and accountability;
3. Concurrent system and software definition and development; and
4. Evidence and risk-based decision making.

### **Model Experience to Date**

The National Research Council Human-Systems Integration study (2008) found that the ICSM processes and principles correspond well with best commercial practices, as described in the Next Generation Medical Infusion Pump Case Study in Part 7. Further examples are found in *Human-System Integration in the System Development Process: A New Look* (Pew and Mavor 2007, chap. 5), *Software Project Management* (Royce 1998, Appendix D), and the annual series of "Top Five Quality Software Projects", published in CrossTalk (2002-2005).

Advise this information below be deleted or moved to Part 6 because some of it will be redundant to the new article Agile Systems Engineering and the Lean part if redundant to the Lean Engineering article. These moves will drive updates/clean-ups needed to the references. ---

### **Agile and Lean Processes**

According to the INCOSE Systems Engineering Handbook 3.2.2, "*Project execution methods can be described on a continuum from 'adaptive' to 'predictive.' Agile methods exist on the 'adaptive' side of this continuum, which is not the same as saying that agile methods are 'unplanned' or 'undisciplined,'*" (INCOSE 2011, 179). Agile development methods can be used to support iterative life cycle models, allowing flexibility over a linear process that better aligns with the planned life cycle for a system. They primarily emphasize the development and use of tacit interpersonal knowledge as compared to explicit documented knowledge, as evidenced in the four value propositions in the "Agile Manifesto":

*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; and
- **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 Alliance 2001)*

Lean processes are often associated with agile methods, although they are more scalable and applicable to high-assurance systems. Below, some specific agile methods are presented, and the evolution and content of lean methods is discussed. Please see "Primary References", "Additional References", and the Lean Engineering article for more detail on specific agile and lean processes.

## Scrum

Figure 10 shows an example of Scrum as an agile process flow. As with most other agile methods, Scrum uses the evolutionary sequential process shown in Table 1 (above) and described in Fixed-Requirements and Evolutionary Development Processes section in which systems capabilities are developed in short periods, usually around 30 days. The project then re-prioritizes its backlog of desired features and determines how many features the team (usually 10 people or less) can develop in the next 30 days.

Figure 10 also shows that once the features to be developed for the current Scrum have been expanded (usually in the form of informal stories) and allocated to the team members, the team establishes a daily rhythm of starting with a short meeting at which each team member presents a roughly one-minute summary describing progress since the last Scrum meeting, potential obstacles, and plans for the upcoming day.

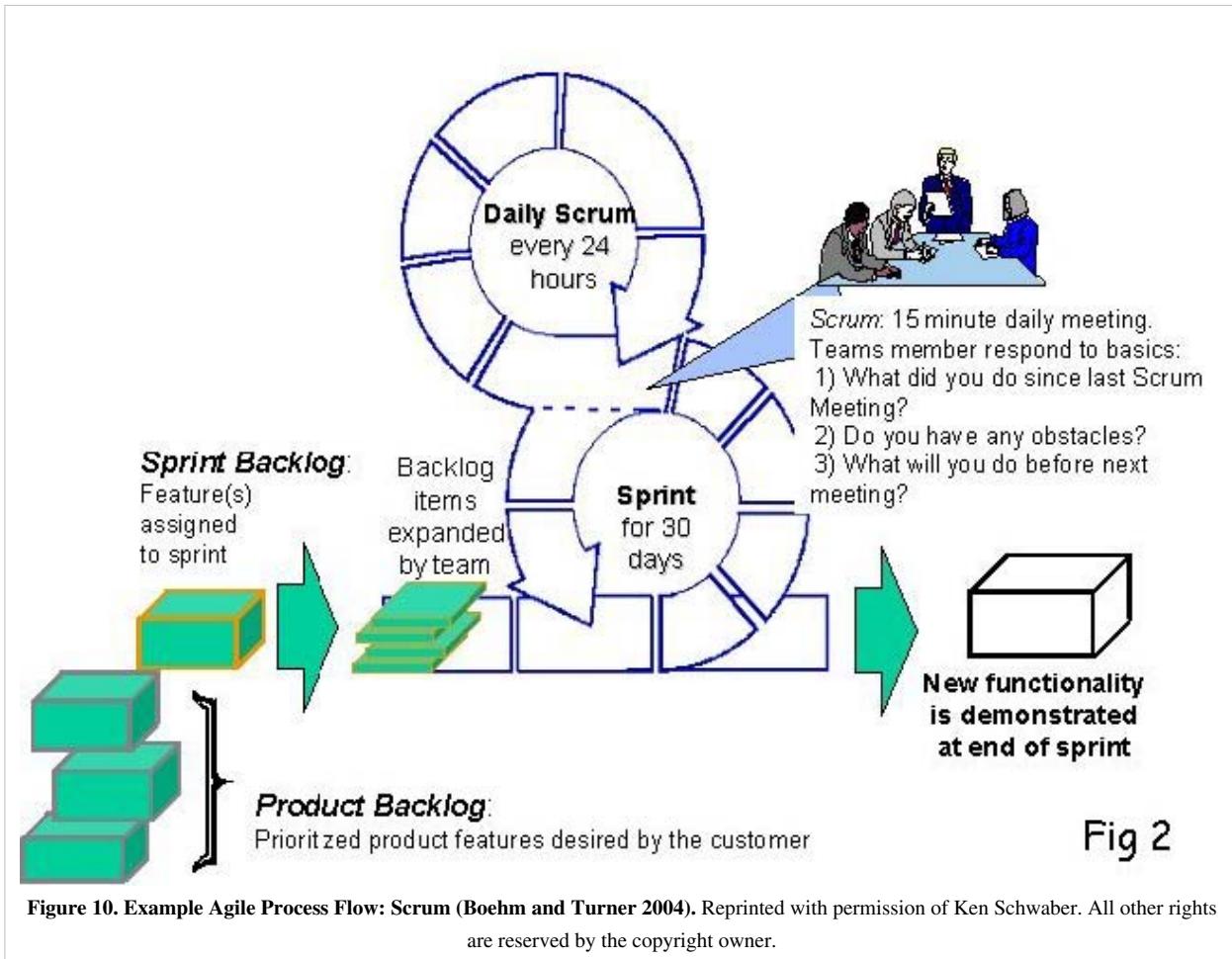
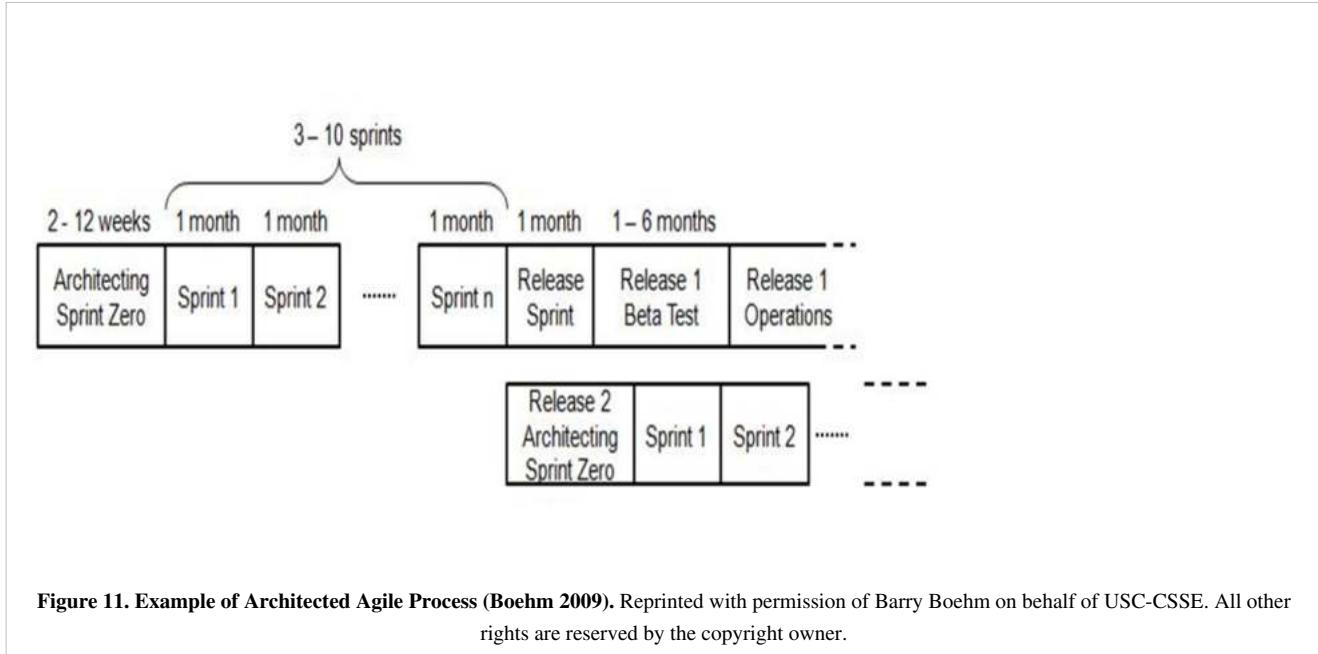


Fig 2

Figure 10. Example Agile Process Flow: Scrum (Boehm and Turner 2004). Reprinted with permission of Ken Schwaber. All other rights are reserved by the copyright owner.

### Architected Agile Methods

Over the last decade, several organizations have been able to scale up agile methods by using two layers of ten-person Scrum teams. This involves, among other things, having each Scrum team's daily meeting followed up by a daily meeting of the Scrum team leaders discussing up-front investments in evolving system architecture (Boehm et al. 2010). Figure 11 shows an example of the Architected Agile approach.



**Figure 11. Example of Architected Agile Process (Boehm 2009).** Reprinted with permission of Barry Boehm on behalf of USC-CSSE. All other rights are reserved by the copyright owner.

### Agile Practices and Principles

As seen with the Scrum and architected agile methods, "generally-shared" principles are not necessarily "uniformly followed". However, there are some general practices and principles shared by most agile methods:

- The project team understands, respects, works, and behaves within a defined SE process;
- The project is executed as fast as possible with minimum down time or staff diversion during the project and the critical path is managed;
- All key players are physically or electronically collocated, and "notebooks" are considered team property available to all;
- Baseline management and change control are achieved by formal, oral agreements based on "make a promise—keep a promise" discipline. Participants hold each other accountable;
- Opportunity exploration and risk reduction are accomplished by expert consultation and rapid model verification coupled with close customer collaboration;
- Software development is done in a rapid development environment while hardware is developed in a multi-disciplined model shop; and
- A culture of constructive confrontation pervades the project organization. The team takes ownership for success; it is never "someone else's responsibility."

Agile development principles (adapted for SE) are as follows (adapted from *Principles behind the Agile Manifesto* (Beedle et al. 2009)):

1. First, satisfy the customer through early and continuous delivery of valuable software (and other system elements).
2. Welcome changing requirements, even late in development; agile processes harness change for the customer's competitive advantage.

3. Deliver working software (and other system elements) frequently, from a couple of weeks to a couple of months, with a preference to the shorter timescale.
4. Business personnel and developers must work together daily throughout the project.
5. Build projects around motivated individuals; give them the environment, support their needs, and trust them to get the job done.
6. The most efficient and effective method of conveying information is face-to-face conversation.
7. Working software (and other system elements) is the primary measure of progress.
8. Agile processes promote sustainable development; the sponsors, developers, and users should be able to maintain a constant pace indefinitely.
9. Continuous attention to technical excellence and good design enhances agility.
10. Simplicity—the art of maximizing the amount of work not done—is essential.
11. The best architectures, requirements, and designs emerge from self-organizing teams.

A team should reflect on how to become more effective at regular intervals and then tune and adjust its behavior accordingly. This self-reflection is a critical aspect for projects that implement agile processes.

## Lean Systems Engineering and Development

### Origins

As the manufacturing of consumer products such as automobiles became more diversified, traditional pre-planned mass-production approaches had increasing problems with quality and adaptability. Lean manufacturing systems such as the Toyota Production System (TPS) (Ohno 1988) were much better suited to accommodate diversity, to improve quality, and to support just-in-time manufacturing that could rapidly adapt to changing demand patterns without having to carry large, expensive inventories.

Much of this transformation was stimulated by the work of W. Edwards Deming, whose Total Quality Management (TQM) approach shifted responsibility for quality and productivity from planners and inspectors to the production workers who were closer to the real processes (Deming 1982). Deming's approach involved everyone in the manufacturing organization in seeking continuous process improvement, or "Kaizen".

Some of the TQM techniques, such as statistical process control and repeatability, were more suited to repetitive manufacturing processes than to knowledge work such as systems engineering (SE) and software engineering (SwE). Others, such as early error elimination, waste elimination, workflow stabilization, and Kaizen, were equally applicable to knowledge work. Led by Watts Humphrey, TQM became the focus for the Software Capability Maturity Model (Humphrey 1987; Paulk et al. 1994) and the CMM-Integrated or CMMI, which extended its scope to include systems engineering (Chrissis et al. 2003). One significant change was the redefinition of Maturity Level 2 from "Repeatable" to "Managed".

The Massachusetts Institute of Technology (MIT) conducted studies of the TPS, which produced a similar approach that was called the "Lean Production System" (Krafcik 1988; Womack et al. 1990). Subsequent development of "lean thinking" and related work at MIT led to the Air Force-sponsored Lean Aerospace Initiative (now called the Lean Advancement Initiative), which applied lean thinking to SE (Murman 2003, Womack-Jones 2003). Concurrently, lean ideas were used to strengthen the scalability and dependability aspects of agile methods for software (Poppendieck 2003; Larman-Vodde 2009). The Kanban flow-oriented approach has been successfully applied to software development (Anderson 2010).

## Principles

Each of these efforts has developed a similar but different set of Lean principles. For systems engineering, the current best source is *Lean for Systems Engineering*, the product of several years' work by the INCOSE Lean SE working group (Oppenheim 2011). It is organized into six principles, each of which is elaborated into a set of lean enabler and sub-enabler patterns for satisfying the principle:

1. **Value.** Guide the project by determining the value propositions of the customers and other key stakeholders.  
Keep them involved and manage changes in their value propositions.
2. **Map the Value Stream (Plan the Program).** This includes thorough requirements specification, the concurrent exploration of trade spaces among the value propositions, COTS evaluation, and technology maturity assessment, resulting in a full project plan and set of requirements.
3. **Flow.** Focus on the project's critical path activities to avoid expensive work stoppages, including coordination with external suppliers.
4. **Pull.** Pull the next tasks to be done based on prioritized needs and dependencies. If a need for the task can't be found, reject it as waste.
5. **Perfection.** Apply continuous process improvement to approach perfection. Drive defects out early to get the system Right The First #Time, vs. fixing them during inspection and test. Find and fix root causes rather than symptoms.
6. **Respect for People.** Flow down responsibility, authority, and accountability to all personnel. Nurture a learning environment. Treat people as the organization's most valued assets. (Oppenheim 2011)

These lean SE principles are highly similar to the four underlying incremental commitment spiral model principles.

- **Principle 1: Stakeholder value-based system definition and evolution,** addresses the lean SE principles of value, value stream mapping, and respect for people (developers are success-critical stakeholders in the ICSM).
- **Principle 2: Incremental commitment and accountability,** partly addresses the pull principle, and also addresses respect for people (who are accountable for their commitments).
- **Principle 3: Concurrent system and software definition and development,** partly addresses both value stream mapping and flow.
- **Principle 4: Evidence and risk-based decision making,** uses evidence of achievability as its measure of success. Overall, the ICSM principles are somewhat light on continuous process improvement, and the lean SE principles are somewhat insensitive to requirements emergence in advocating a full pre-specified project plan and set of requirements.

See Lean Engineering for more information.

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# System Life Cycle Process Models: Agile Systems Engineering

**Lead Author:** Phyllis Marbach

For a system, a life cycle usually starts at the concept definition phase, moves through stages until completion of this system, as defined in the concept definition stage. A model of the life cycle may be a physical, data or graphic representation of that life cycle. The process describes the steps to accomplish each stage of the life cycle including input to and output from this stage. Today's complex and increasingly highly connected systems face rapid obsolescence under the stress of technological change, environmental change, and rapidly evolving mission needs. For these systems to remain robust against disruption they must be architected to agilely adapt. To meet these needs, the system must be assessed to apply the process that best serves the system, subsystem or component of the system of interest (SOI).

It is important to determine the best life cycle to use for the SOI early in the concept definition phase. On a program that is going to operate agilely, especially if it will be a hybrid model with agile, and other life cycle models it is important to define and harmonize them at key integration points based on hardware or other long-lead item maturity. An informative case study where the key integration points were identified across multiple life cycles in use by various significant components of the South African Radio Astronomy Observatory (SARAO) provides an excellent example of a methodology tailoring process (Kusel 2020).

In the Agile SE process, the systems engineer works in an iterative, incremental manner, continually modeling, analyzing, developing, and trading options to bring the definition of the system solution into focus. An example of this work will be analyzing and maintaining not only the requirements but also the architectural model of the higher-level requirements and the linkage from those high-level requirements to the analyzed lower-level requirements. In addition to the requirements and architecture representations, maintaining and verifying the interfaces are defined and followed as the development progresses are some of the systems engineers' tasks. These responsibilities of systems engineers are the same regardless of the life cycle, although sequencing and organization may be different. Program leadership, systems engineering, and all team members work in a culture that represents an Agile Mindset. The Agile Mindset is a combination of beliefs and actions from agile values that include focusing on delivering working capabilities often, trusting the knowledge workers to find the best solution, improving the product and process through regular demonstrations and retrospections, planning often to implement lessons learned.

## Principles for Agile Development

Principles for agile development (Marbach 2015) provide a foundation for the working relationship across cross-functional teams that include Systems and Software Engineers working on customer projects that include both hardware development and software development. These principles, in Table 1, are a modified version that originated from the Agile Manifesto (Beck 2001) and were expanded to apply to systems engineering. Adopting these principles will enable teams of teams to produce high-value capabilities incrementally.

**Principles for Agile Development (Marbach 2015)**

First, satisfy the customer through early and continuous delivery of valuable capabilities.

2. Plan for evolving requirements, and retain as much flexibility as is valuable throughout development; agile processes harness change for the customer, especially when change leads to a competitive advantage.
3. Deliver working capabilities frequently, from a couple of weeks to a couple of months, with a preference to the shorter timescale.
4. Business personnel, customers or their advocates and implementers must work together daily throughout the project.
5. Build projects around motivated individuals. Give them the environment and support they need, and trust them to get the job done.
6. The most efficient and effective method of conveying information is personal conversation.
7. Working capabilities are the primary measure of progress.
8. Agile processes promote sustainable development. The sponsors, developers, and users should be able to maintain a constant pace indefinitely.
9. Continuous attention to technical excellence and good design enhances agility.
10. Simplicity “the art of maximizing the amount of work not done” is essential, especially within the implementation team. A truly agile development project does not force artificial reporting and process requirements on the implementation team.
11. The best architectures, requirements, and designs emerge from self-organizing teams, based on a minimal set of guiding principles.
12. At regular intervals, the team reflects on how to become more effective, then tunes and adjusts its behavior accordingly.

**SEBoK Traditional SE Principles**

1. SE in application is specific to stakeholder needs, solution space, resulting system solution(s), and context throughout the system life cycle.
8. SE addresses stakeholder needs, taking into consideration budget, schedule, and technical needs, along with other expectations and constraints.
7. Stakeholder needs can change and must be accounted for over the system life cycle.
9. SE decisions are made under uncertainty accounting for risk.
5. The real physical system is the perfect model of the system.
2. SE has a holistic system view that includes the system elements and the interactions amongst themselves, the enabling systems, and the system environment.
3. SE influences and is influenced by internal and external resources, and political, economic, social, technological, environmental, and legal factors.
13. SE integrates engineering disciplines in an effective manner.
14. SE is responsible for managing the discipline interactions within the organization.
6. A focus of SE is a progressively deeper understanding of the interactions, sensitivities, and behaviors of the system, stakeholder needs, and its operational environment.
13. SE integrates engineering disciplines in an effective manner.
5. The real physical system is the perfect model of the system.
8. SE addresses stakeholder needs, taking into consideration budget, schedule, and technical needs, along with other expectations and constraints.
9. SE decisions are made under uncertainty accounting for risk.
10. Decision quality depends on knowledge of the system, enabling system(s), and interoperating system(s) present in the decision-making process.
4. Both policy and law must be properly understood to not over-constrain or under-constrain the system implementation.
10. Decision quality depends on knowledge of the system, enabling system(s), and interoperating system(s) present in the decision-making process.
4. Both policy and law must be properly understood to not over-constrain or under-constrain the system implementation.

The Principles for Agile Development emphasize focusing on working capabilities and keeping work in progress small. Table 1 maps the Principles for Agile Development to traditional SE Principles elaborated elsewhere in the SEBoK. The Principles for Agile Development are complementary to the traditional SE Principles and in some cases very similar. Click here for the complete set of the SEBoK Systems Engineering Principles.

Agile Systems Engineering Life Cycle Model for Mixed Discipline Engineering (Dove 2019) describes principles that facilitate operational agility in action: Sense, Respond and Evolve (SRE). A large program over the entire life

cycle will benefit from applying these principles. In addition, the Scaled Agile Framework® (SAFe®) describes principles that facilitate developmental agility on large programs with teams of teams including systems engineering. The Operational Agility Principles and the SAFe Lean-Agile Principles are mapped in Table 2 to show the consistency between them. There is value in starting from an agile mindset and applying a set of principles.

<b>Operational Agility Principles (Dove, et al)</b>	<b>Scaled Agile Framework (SAFe) Lean-Agile Principles</b>
Sensing: External awareness (proactive alertness)	- Take an Economic view - Apply Systems Thinking
Sensing: Internal awareness (proactive alertness)	- Visualize and limit WIP, reduce batch sizes, and manage queue length
Sensing: Sense making (risk analysis, trade space analysis)	- Apply Systems Thinking
Responding: Decision making (timely, informed)	- Decentralize decision-making - Apply cadence, synchronize with cross-domain planning - Organize around value - Assume variability; preserve option
Responding: Action making (invoke/configure process activity to address the situation)	- Unlock the intrinsic motivation of knowledge workers - Base milestones on objective evaluation of working system
Responding: Action evaluation (verification and validation)	- Apply cadence, synchronize with cross-domain planning - Visualize and limit WIP, reduce batch sizes, and manage queue length - Base milestones on objective evaluation of working system
Evolving: Experimentation (variations on process ConOps)	- Base milestones on objective evaluation of working system
Evolving: Evaluation (internal and external judgement)	- Base milestones on objective evaluation of working system - Build incrementally with fast, integrated learning cycles
Evolving: Memory (evolving culture, response capabilities, and process ConOps)	- Assume variability; preserve option - Base milestones on objective evaluation of working system

Table 2. Comparison (or mapping) of Principles for cross-discipline teams. The SAFe Lean-Agile Principles <sup>[1]</sup> are copyrighted material of Scaled Agile, Inc.

Using the Agile Mindset aligned with the Agile Values, the Principles of Agile Development and SAFe Lean-Agile Principles can be applied to the stages of the Agile SE Life Cycle.

A Generic Life Cycle Model shows a Definition stage, a Realization Stage and a Retirement Stage. Within each stage are further stages. Each SOI has a corresponding life cycle model which is composed of stages that are populated with processes. The processes within each stage may be the Vee, Iterative or Agile depending on the assessment of the SOI performed during the Definition stage. Several process models have been presented in literature and may be called Agile Systems Engineering Process, Model or Framework.

There are six system life cycle stages “commonly encountered” according to ISO/IES/IEEE 24748-1 Systems and Software Engineering – Life Cycle Management – Part 1: Guide for Life Cycle Management (ISO/IES/IEEE 2018). Dove describes an “asynchronous and concurrent life-cycle stage and process activity” that adds a seventh life-cycle stage, Situational Awareness (Dove 2019). This representation, Figure 1, was developed as part of four case studies of organizations who were using agile practices effectively in their systems development. Using this Agile Systems Engineering Life Cycle Model (ASELCM) the path may start at the “Concept” stage, move into the Situational Awareness phase, then move into the Development phase, back to the Situational Awareness phase and so forth around the circle. This situational awareness phase allows for a demonstration, review, and continuous improvement before shifting attention back to the next appropriate phase, such as back to concept or into development.

The life cycle model represented in Figure 1 can be depicted visually using the S\*Pattern Class Hierarchy shown in Figure 2. In this hierarchy the top level shows an entity relationship paradigm, “the minimum conceptual content necessary to model any system for purposes of engineering or science.” (Schindel 2016). As one moves to the more specific model representations the ASELCM Pattern inherits content from parent patterns.

The “General ASELCM Pattern” shown at about the middle of Figure 2 is enlarged in Figure 3. In developing a systems of interest (SOI) one must consider not only the SOI we can think of as the target system, System 1 in Figure 3, but also consider the process that produces the target system, System 2 in Figure 3. Besides systems 1 and 2 there is a third system shown as the System of Innovation. This System 3 is the meta-view of that which influences the design, development, and operation of the target system, the embedded behavioral framework of System 1 and 2.

In modeling the target system the other influencing systems 2 and 3 should be considered.

Other system engineering models, the Traditional (or waterfall), the Vee, Incremental, and spiral are described in those SEBoK articles.

## Frameworks

The Agile Systems Engineering process steps that are performed in each of the stages often include:

1. Define the highest priority and/or highest risk item to work first, keeping design options open, until the last responsible moment. This produces a list of work items with the highest work item on top. This prioritized list of work items is called a program backlog.
2. During development iterations engineers analyze the requirement, design the solutions to meet those requirements, develop their products, perform tests of that product, and demonstrate that product. For the systems engineering products these records are best retained in tools such as a requirements management tool, a model-based system engineering tool, and a configuration-controlled repository, to name a few. The development iteration is a short period of time, usually from two weeks to four weeks in duration.
3. For large products in development where multiple teams integrate their work items together to show a demonstratable product, several iterations may be needed to get to that point. This multiple iteration period is often referred to as an increment and frequently takes about three months.
4. Prior to starting an increment, all teams working to produce demonstrable products, should meet to plan their work, identify dependencies between the teams and establish commitments to meet the plan. This planning is called different things depending on the framework used by the program. Some call it the big room planning, some call it the Program Increment Planning.
5. At the end of the set of iterations the demonstrable product may be “released” to the stakeholders. Then all members of the program meet to plan the next increment of work.

A visual representation of teams working to this described cadence is shown in Figure 4 (Rosser et al. 2014).

This Agile Systems Engineering (SE) Framework (Rosser 2014) aligns with the Scaled Agile Framework (SAFe)<sup>[2]</sup> depiction of teams working program and team backlogs using iterative development. SAFe is a framework that implements the principles of iterative development. It represents how a large system may have multiple life cycle processes being followed in parallel over time. Key decision points need to be aligned between the multiple life cycle processes. There are many agile approaches that a program could use as is or combined to adapt to what works best for a given domain. The AgileAlliance (2017, 100) illustrates many of the “agile approaches based on their depth of guidance and breadth of their life cycles”.

For a complex system with changing requirements the assessment may result in the decision to use an incremental, iterative approach for development. Regardless of which model or framework is selected a program starts with a vision, a budget and usually a period of performance. Then the program’s stakeholders identify the highest value capability to develop first. The list of capabilities is prioritized so that the long-term development is visible. However, this prioritized order may change as work progresses. What is known about the intended product may have well defined requirements and architecture representations and what is conceptual will have those requirements and designs developed incrementally as time progresses. This incremental method of development is enabled by the use of an open system architecture, Model Based System Engineering (MBSE) tools, Set-based design, design thinking, continuous integration, continuous development, architecture patterns, microservice architecture, and Lean engineering.

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**SEBoK v. 2.7, released 31 October 2022**

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- [1] <https://www.scaledagileframework.com/safe-lean-agile-principles/>
- [2] <https://www.scaledagileframework.com/>

# Process Integration

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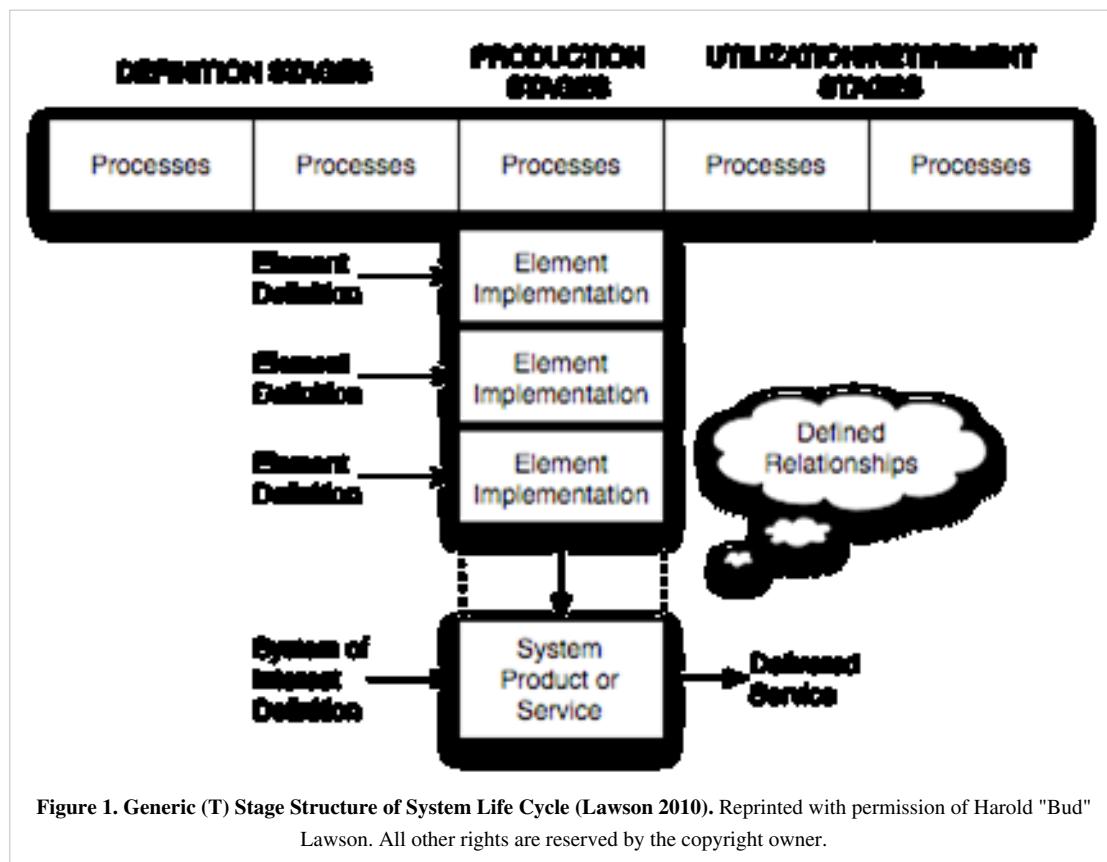
**Lead Authors:** Kevin Forsberg, Bud Lawson

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When performing systems engineering activities, it is important to consider the mutual relationship between processes and the desired system. The type of system (see Types of Systems) being produced will affect the needed processes, as indicated in system life cycle process drivers and choices. This may cause the tailoring of defined processes as described in application of systems engineering standards.

## Process and Product Models

Figure 1 of life cycle models introduced the perspective of viewing stage work products provided by process execution as versions of a system-of-interest (SoI) at various life stages. The fundamental changes that take place during the life cycle of any man-made system include definition, production, and utilization. When building upon these, it is useful to consider the structure of a generic process and product life cycle stage model as portrayed in Figure 1 below.



**Figure 1. Generic (T) Stage Structure of System Life Cycle (Lawson 2010).** Reprinted with permission of Harold "Bud" Lawson. All other rights are reserved by the copyright owner.

The (T) model indicates that a definition stage precedes a production stage where the implementation (acquisition, provisioning, or development) of two or more system elements has been accomplished. The system elements are integrated according to defined relationships into the SoI. Thus, both the process and product aspects are portrayed. The implementation and integration processes are followed in providing the primary stage results—namely, in assembled system product or service instances. However, as noted in life cycle models, the definition of the SoI when provided in a development stage can also be the result of first versions of the system. For example, a prototype, which may be viewed as a form of production or pre-production stage. Following the production stage is a utilization stage. Further relevant stages can include support and retirement. Note that this model also displays the important distinction between definition versus implementation and integration.

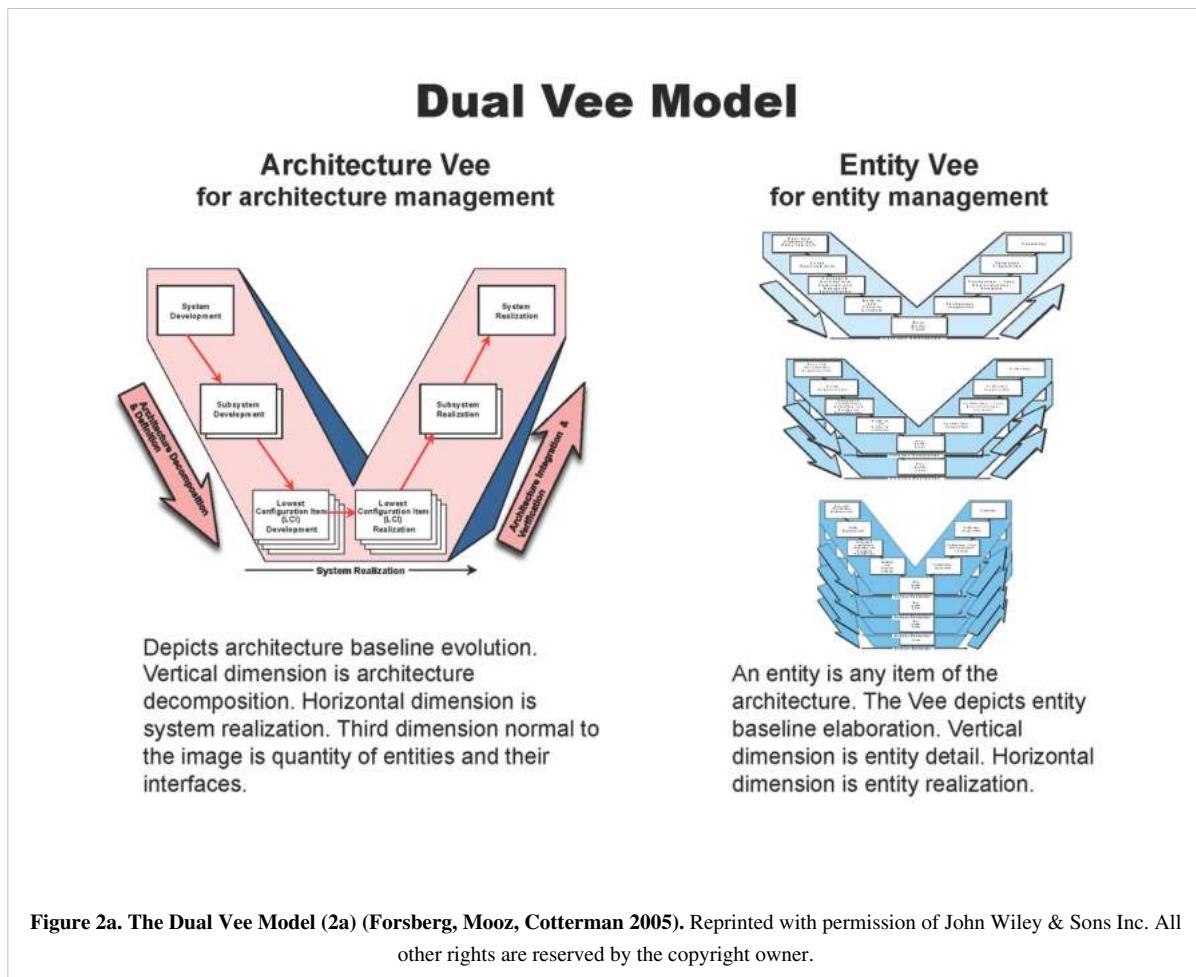
According to ISO/IEC/IEEE 15288 (2015), this structure is generic for any type of man-made SoI to undergo life cycle management. The production stage thus becomes the focal point of the (T) model at which system elements are implemented and integrated into system product or service instances based upon the definitions. For defined physical systems, this is the point at which product instances are manufactured and assembled (singularly or mass-produced). For non-physical systems, the implementation and integration processes are used in service preparation (establishment) prior to being instantiated to provide a service. For software systems, this is the point at which builds that combine software elements into versions, releases, or some other form of managed software product are produced.

Using recursive decomposition, the implementation of each system element can involve the invocation of the standard again at the next lowest level, thus treating the system element as a SoI in its own right. A new life cycle structure is then utilized for the lower level SoIs.

This is illustrated in the Dual Vee model (Figures 2a and 2b). The Dual Vee model is a three-dimensional system development model that integrates product and process in the creation of the system and component architectures. It emphasizes

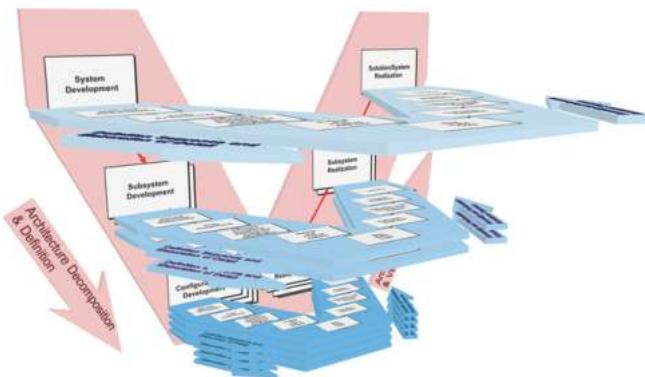
- concurrent opportunity and risk management;
- user in-process validation;
- integration, verification, and validation planning; and
- verification problem resolution.

When decomposition terminates according to the practical need and risk-benefit analysis, system elements are then implemented (acquired, provisioned, or developed) according to the type of element involved.



## Concurrent Architecture and Entity Development

- Depicts concurrent architecture and entity development:
  - There is one architecture Vee
  - There is one entity Vee for each entity within the architecture
  - The architecture Vee depicts architecture baseline evolution
  - The entity Vees depict baseline evolution for each entity



Ref: VPM p 350

**Figure 2b. The Dual Vee Model (2b) (Forsberg, Mooz, Cotterman 2005).** Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

A practical aspect that can impact the process and product aspect is the decision to use off-the-shelf elements in commercial-off-the-shelf (COTS) form. In this case, further decomposition of the element is not necessary. The use of COTS elements (and their internally created neighbor or non-development item (NDI)) has become widespread, and they have proven their value. However, developers must make sure that the COTS product is appropriate for their environment.

A known flaw which occurs infrequently in normal use of the product in its intended environment may be benign and easily dealt with. In a new situation, it could have dramatic adverse consequences, such as those that occurred on the USS Yorktown Cruiser in 1998 (Wired News Contributors 1998). The customer mandated that Windows NT be used as the primary operating system for the ship. A *divide by zero* fault caused the operating system to fail, and the ship was dead in the water. It had to be towed back to port on three occasions.

Spiral models concurrently engineer not only process and product models, but also property and success models. Figure 3 shows how these models provide checks and balances, both at milestone reviews and as individual model choices are made. Methods and tools supporting this concurrent engineering are provided in “When Models Collide: Lessons from Software System Analysis” (Boehm and Port 1999), “Avoiding the Software Model-Clash Spiderweb” (Boehm, Port, and Al-Said 2000), and “Detecting Model Clashes During Software Systems Development” (Al-Said 2003).

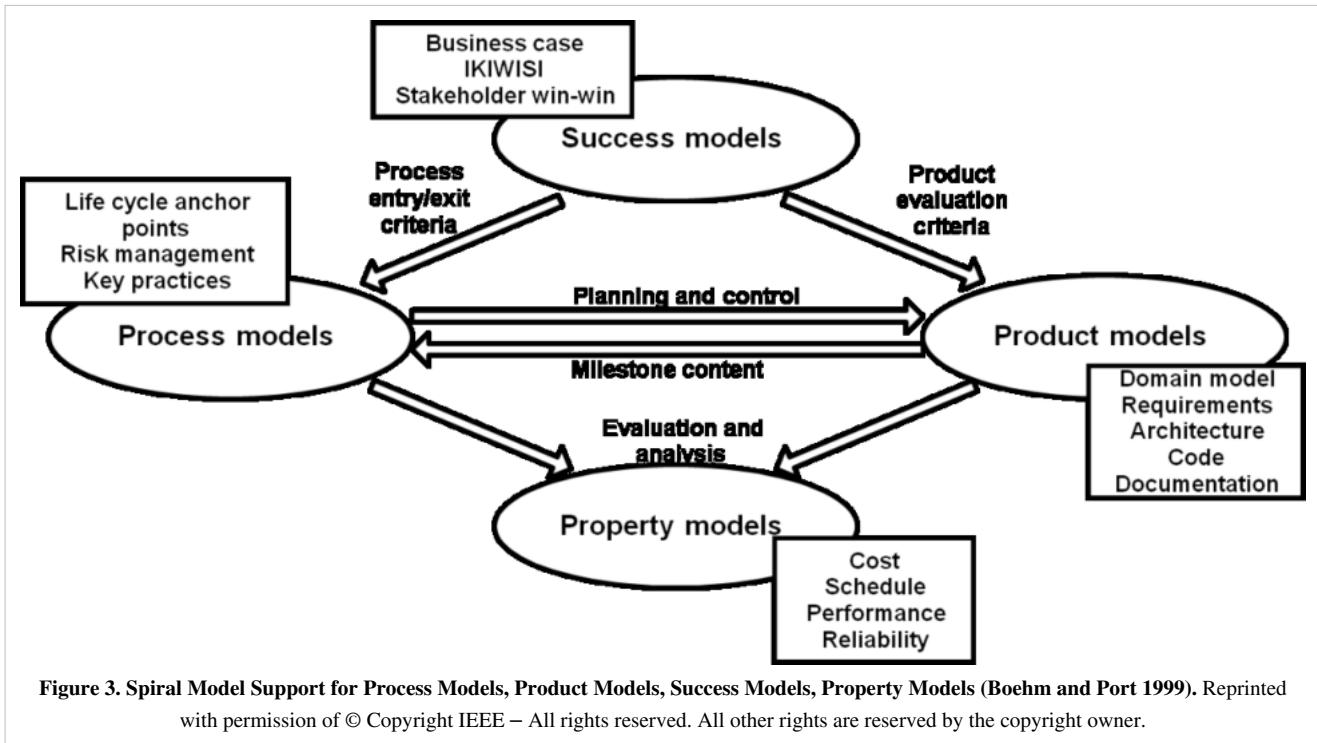


Figure 3. Spiral Model Support for Process Models, Product Models, Success Models, Property Models (Boehm and Port 1999). Reprinted with permission of © Copyright IEEE – All rights reserved. All other rights are reserved by the copyright owner.

For software systems, entry into the production stages is the point at which builds that combine software elements (code modules) into versions, releases, or some other form of managed software product are created. Thus, the major difference between systems in general and software systems is the slight variant of the generic model as presented in Figure 4.

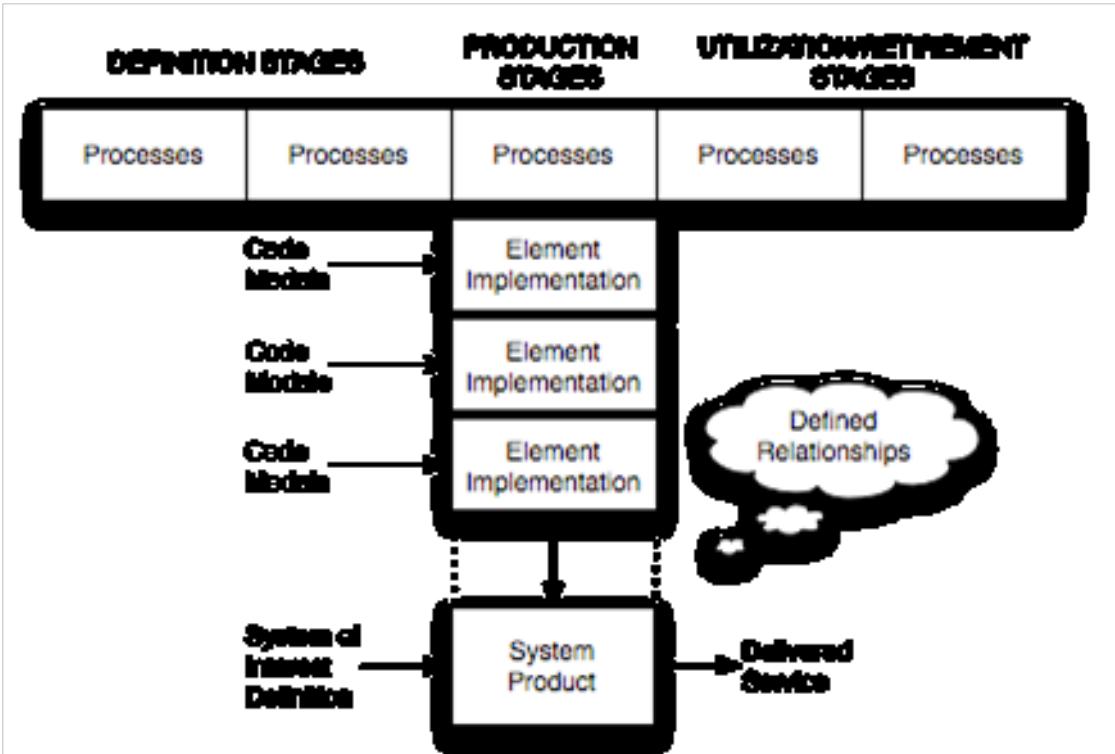
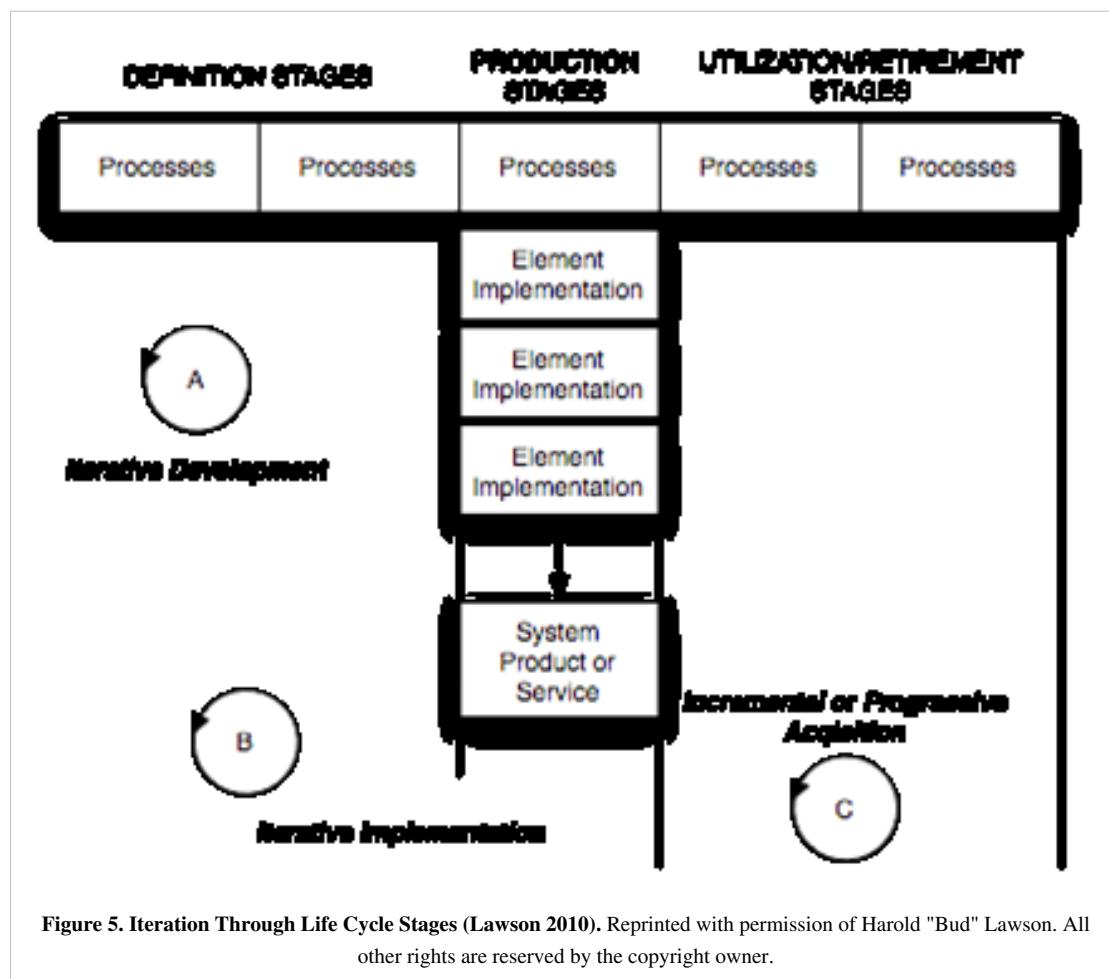


Figure 4. T-Model for Software System (Lawson 2010). Reprinted with permission of Harold "Bud" Lawson. All other rights are reserved by the copyright owner.

## Stage Execution Order

A sequential execution of life cycle stages is the most straightforward. As presented in System Life Cycle Process Models: Vee and System Life Cycle Process Models: Iterative, variants of the Vee model and the spiral model provide non-sequential models when practical considerations require a non-linear execution of life cycle stages. Building upon these two models, it is important to note that various types of complex systems require that the stages of the life cycle model be revisited as insight (knowledge) is gained, as well as when stakeholder requirements change. The iterations may involve necessary changes in the processes and in the product or service system. Thus, within the context of the (T) stage model, various orderings of stage execution - reflecting forms of non-sequential stage ordering - can be conveniently described, as portrayed in Figure 5.



**Figure 5. Iteration Through Life Cycle Stages (Lawson 2010).** Reprinted with permission of Harold "Bud" Lawson. All other rights are reserved by the copyright owner.

Each pattern of stage execution involves iteration of the previous stages, perhaps with altered requirements for the processes or the system. The heavy lines in Figure 5 denote the demarcation of the revisited end points. Three are iterative forms, for which several variants can be extracted:

1. **Iterative development** is quite frequently deployed in order to assess stakeholder requirements, analyze the requirements, and develop a viable architectural design. Thus, it is typical that the concept stage may be revisited during the development stage. For systems where products are based upon physical structures (electronics, mechanics, chemicals, and so on), iteration after production has begun can involve significant costs and schedule delays. It is, therefore, important to get it *"right"* before going to production. The early stages are thus used to build confidence (verify and validate) that the solution works properly and will meet the needs of the stakeholders. Naturally, such an approach could be used for software and human activity systems as well; however, due to their soft nature, it can be useful to go further by experimenting and evaluating various configurations of the system.

2. **Iterative development and implementation** involves producing (defining, implementing, and integrating) various versions of the system, evaluating how well they meet stakeholder requirements, perhaps in the context of changing requirements, and then revisiting the concept and/or development stages. Such iterations are typical within software system development, where the cost of production is not as significant as for defined physical systems. A variant of this approach is the spiral model, where successive iterations fill in more detail (Boehm and May 1998). The use of this approach requires careful attention to issues related to baseline and configuration management. In this approach, significant verification (testing) should be performed on software systems in order to build confidence that the system delivered will meet stakeholder requirements.
3. **Incremental or progressive acquisition** involves releasing systems in the form of products and/or services to the consumers. This approach is appropriate when structural and capability (functions) changes are anticipated in a controlled manner after deployment. The use of this approach can be due to not knowing all of the requirements at the beginning, which leads to progressive acquisition/deployment, or due to a decision to handle the complexity of the system and its utilization in increments—namely, incremental acquisition. These approaches are vital for complex systems in which software is a significant system element. Each increment involves revisiting the definition and production stages. The utilization of these approaches must be based upon well-defined, agreed relationships between the supplying and acquiring enterprises. In fact, the iteration associated with each resulting product and/or service instance may well be viewed as a joint project, with actor roles being provided by both enterprises.

In all of the approaches it is wise to use modeling and simulation techniques and related tools to assist in understanding the effect of changes made in the complex systems being life cycle managed. These techniques are typically deployed in the earlier stages; however, they can be used in gaining insight into the potential problems and opportunities associated with the latter stages of utilization and maintenance (for example, in understanding the required logistics and help-desk aspects).

## **Allocating and Meeting Requirements - Integration of Process and Product Models**

Regardless of the order in which life cycle stages are executed, stakeholder requirements for the system, including changed requirements in each iteration, must be allocated into appropriate activities of the processes used in projects for various stages as well as to the properties of the elements of the product system or service system and their defined relationships. This distribution was illustrated in the fourth variant of Lawson's T-model as presented in System Life Cycle Process Models: Iterative and System Life Cycle Process Models: Vee.

Ideally, the project management team should implement proven processes that will integrate the technical process models with the project management product models to manage any of the processes discussed earlier, including incremental and evolutionary development. The processes shown are the project management flow, starting with the beginning of the development phase (Forsberg, Mooz, and Cotterman 2005, 201).

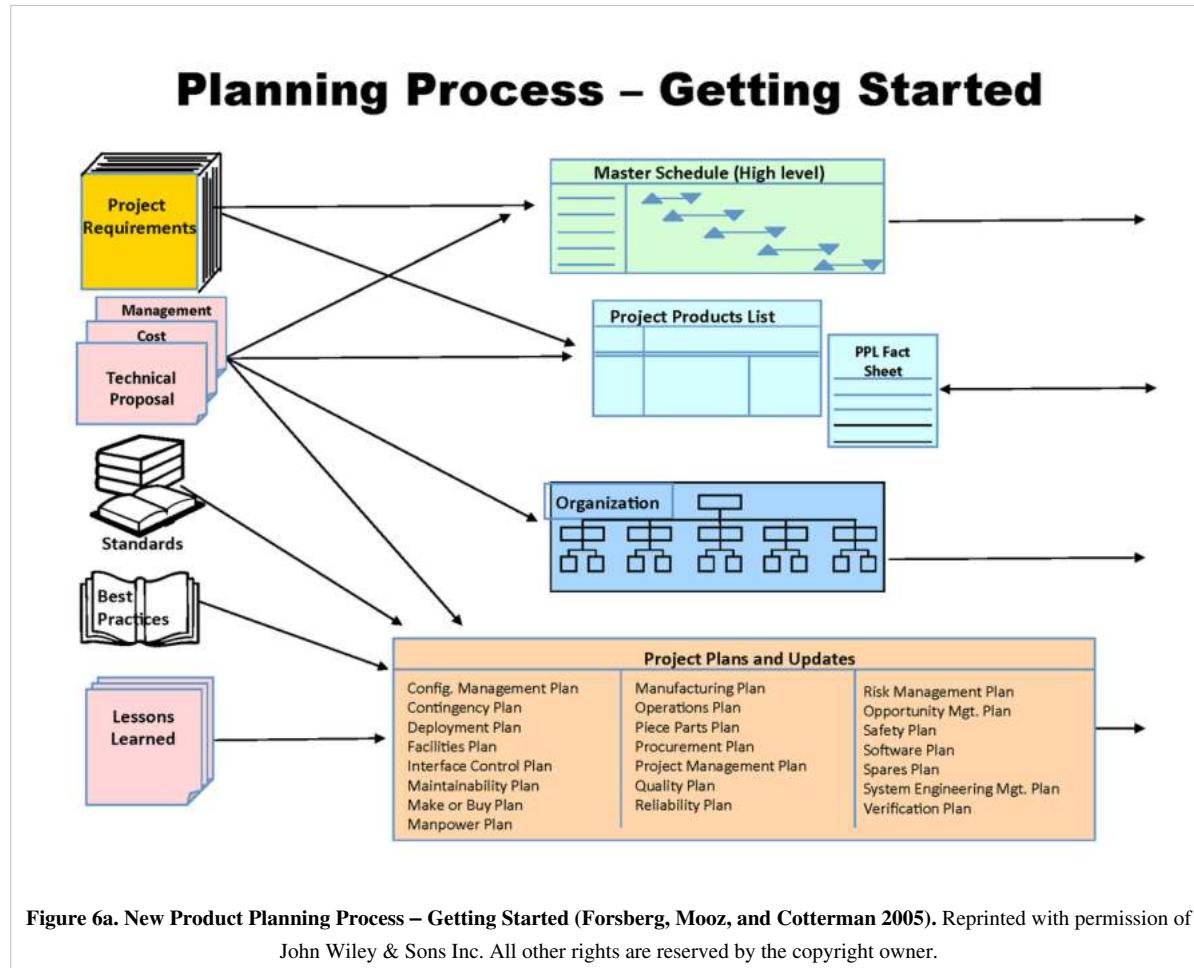
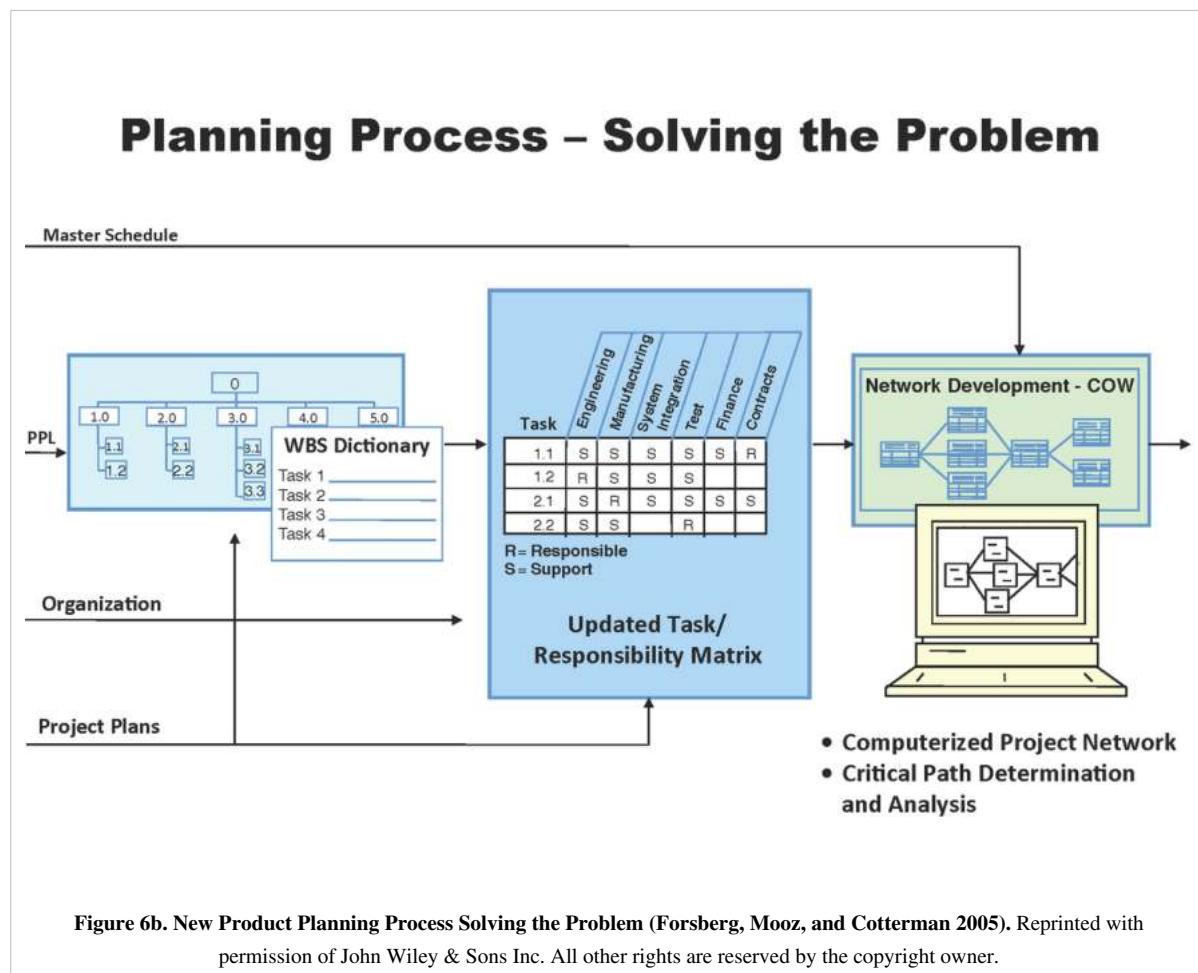


Figure 6a. New Product Planning Process – Getting Started (Forsberg, Mooz, and Cotterman 2005). Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.



**Figure 6b. New Product Planning Process Solving the Problem (Forsberg, Mooz, and Cotterman 2005).** Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

## Planning Process – Obtaining Commitment

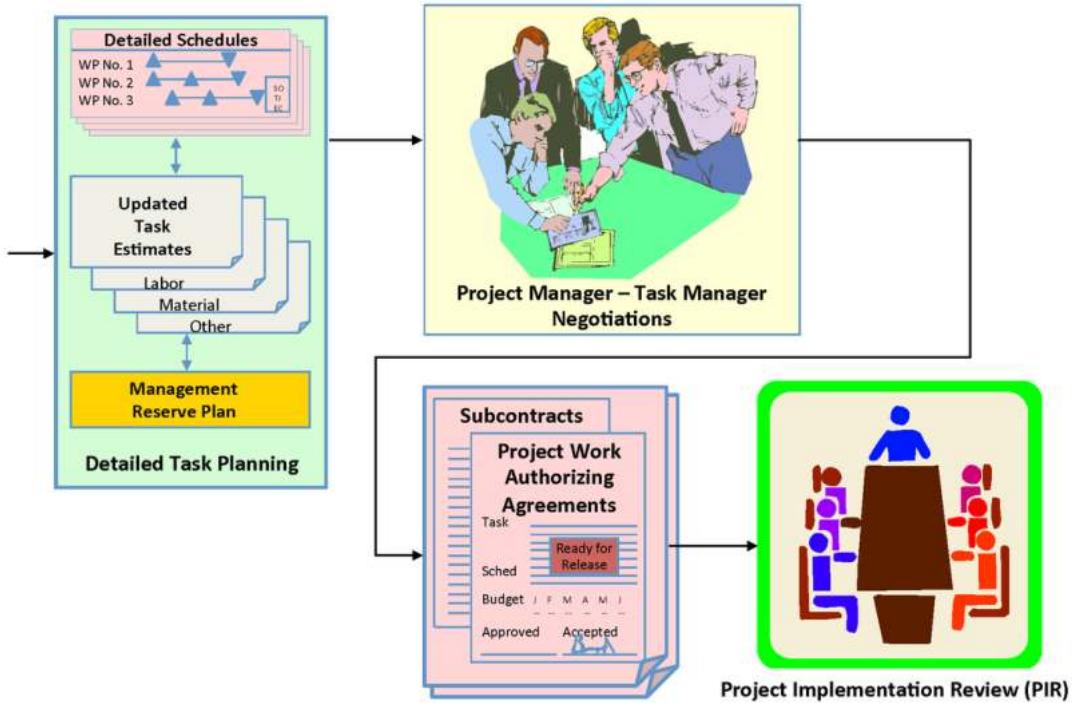


Figure 6c. New Product Planning Process – Getting Commitment (Forsberg, Mooz, and Cotterman 2005). Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

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# Lean Engineering

Lean Systems Engineering (LSE) is the application of lean thinking (Womack 2003) to systems engineering (SE) and related aspects of enterprise and project management. LSE is an approach that is applicable throughout the system life cycle. The goal of LSE is to deliver the best life-cycle value for technically complex systems with minimal waste. Lean engineering is relevant to all of the traditional SE technical processes (see concept definition, system definition, system realization, system deployment and use, etc.). Lean engineering also interacts with and utilizes many of the specialty engineering disciplines discussed in Part 6.

## Lean Systems Engineering

SE is an established, sound practice, but not always delivered effectively. Most programs are burdened with some form of waste such as: poor coordination, unstable requirements, quality problems, delays, rework, or management frustration. Recent U.S. Government Accountability Office (GAO), National Aeronautics and Space Association (NASA), and Massachusetts Institute of Technology (MIT) studies of government programs document major budget and schedule overruns and a significant amount of waste in government programs - some reaching seventy percent of charged time. This waste represents a productivity reserve in programs and major opportunities to improve program efficiency.

LSE is the application of lean thinking to systems engineering and related aspects of enterprise and project management. SE is focused on the discipline that enables development of complex technical systems. Lean thinking is a holistic paradigm that focuses on delivering maximum value to the customer and minimizing wasteful practices. It has been successfully applied in manufacturing, aircraft depots, administration, supply chain management, healthcare, and product development, which includes engineering. LSE is the area of synergy between lean thinking and SE, which aims to deliver the best life-cycle value for technically complex systems with minimal waste. LSE does not mean less SE. It means more and better SE with higher responsibility, authority, and accountability (RAA), leading to better, waste-free workflow with increased mission assurance. Under the LSE philosophy, mission assurance is non-negotiable and any task which is legitimately required for success must be included; however, it should be well-planned and executed with minimal waste.

## Lean Principles

Oppenheim (2011) describes the six lean principles for product development (PD) as follows:

1. **Capture the value defined by the customer.** One cannot over-emphasize the importance of capturing task or program value (requirements, CONOPS, etc.) with precision, clarity, and completeness before resource expenditures ramp up to avoid unnecessary rework.
2. **Map the value stream (plan the program) and eliminate waste.** Map all end-to-end linked tasks, control/decision nodes, and the interconnecting information flows necessary to realize customer value. During the mapping process, eliminate all non-value-added activities, and enable the remaining activities to flow (without rework, backflow or stopping). The term *information flow* refers to the packets of information (knowledge) created by different tasks and flowing to other tasks for subsequent value adding, such as: design, analysis, test, review, decision, or integration. Each task adds value if it increases the level of useful information and reduces risk in the context of delivering customer value.
3. **Flow the work through planned and streamlined value-adding steps and processes, without stopping or idle time, unplanned rework, or backflow.** To optimize flow, one should plan for maximum concurrency of tasks, up to near capacity of an enterprise. Legitimate engineering iterations are frequently needed in PD, but they tend to be time consuming and expensive if they extend across disciplines. Lean PD encourages efficient methodology of *fail early - fail often* through rapid architecting and discovery techniques during early design

phases. Lean flow also makes every effort to use techniques that prevent lengthy iterations, such as design frontloading, trade space explorations, set designs, modular designs, legacy knowledge, and large margins. Where detailed cross-functional iterations are indeed necessary, lean flow optimizes iteration loops for overall value.

4. **Let customers *pull* value.** In PD, the pull principle has two important meanings: (1) the inclusion of any task in a program must be justified by a specific need from an internal or external customer and coordinated with them, and (2) the task should be completed when the customer needs the output. Excessively early completion leads to "shelf life obsolescence" including possible loss of human memory or changed requirements and late completion leads to schedule slips. This is the reason that every task owner or engineer needs to be in close communication with their internal customers to fully understand their needs and expectations and to coordinate their work.
5. **Pursue *perfection* of all processes.** Global competition requires continuous improvements of processes and products. Yet, no organization can afford to spend resources improving everything all the time. Systems engineers must make a distinction between processes and process outputs. Perfecting and refining the *work output* in a given task must be bounded by the overall value proposition (system or mission success, program budget and schedule) which define when an output is "good enough." In contrast, engineering and other *processes* must be continuously improved for competitive reasons.
6. **Respect for people.** A lean enterprise is an organization that recognizes that its people are the most important resource. In a lean enterprise, people are not afraid to identify problems and imperfections honestly and openly in real time, brainstorm about root causes and corrective actions without fear, or plan effective solutions together by consensus to prevent a problem from occurring again.

## Lean Enablers for Systems

In 2009, the International Council on Systems Engineering's (INCOSE's) Lean SE Working Group (LSE WG) released an online product entitled *Lean Enablers for Systems Engineering (LEfSE)*. It is a collection of practices and recommendations formulated as "dos" and "don'ts" of SE, based on lean thinking. The practices cover a large spectrum of SE and other relevant enterprise management practices, with a general focus on improving the program value and stakeholder satisfaction and reduce waste, delays, cost overruns, and frustrations. LEfSE are grouped under the six lean principles outlined above. The LEfSE are not intended to become a mandatory practice but should be used as a checklist of good practices. LEfSE do not replace the traditional SE; instead, they amend it with lean thinking.

LEfSE were developed by fourteen experienced INCOSE practitioners, some recognized leaders in lean and SE from industry, academia, and governments (such as the U.S., United Kingdom, and Israel), with cooperation from the 160-member international LSE WG. They collected best practices from the many companies, added collective tacit knowledge, wisdom, and experience of the LSE WG members, and inserted best practices from lean research and literature. The product has been evaluated by surveys and comparisons with the recent programmatic recommendations by GAO and NASA.

Oppenheim (2011) includes a comprehensive explanation of the enablers, as well as the history of LSE, the development process of LEfSE, industrial examples, and other material. Oppenheim, Murman, and Secor (2011) provide a scholarly article about LEfSE. A short summary was also published by Oppenheim in 2009.

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# Knowledge Area: Systems Engineering Management

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## Systems Engineering Management

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**Lead Authors:** Ray Madachy, Garry Roedler

This knowledge area is about managing the resources and assets allocated to perform systems engineering, often in the context of a project or a service, but sometimes in the context of a less well-defined activity. Systems engineering management is distinguished from general project management by its focus on the technical or engineering aspects of a project. SEM also encompasses exploratory research and development (R&D) activities at the enterprise level in commercial or government operations.

### Topics

Each part of the SEBoK is composed of knowledge areas (KAs). Each KA groups topics together around a theme related to the overall subject of the part. This KA contains the following topics:

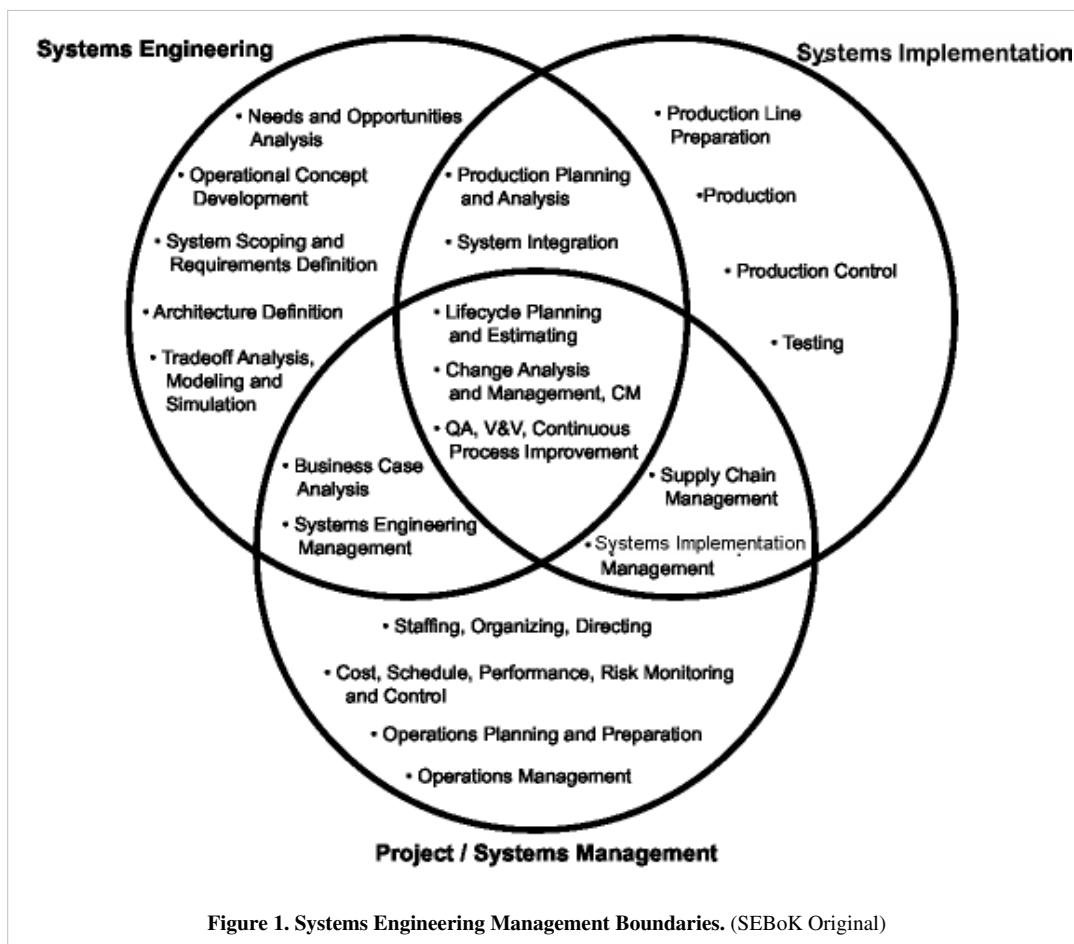
- Planning
- Assessment and Control
- Risk Management
- Measurement
- Decision Management
- Configuration Management
- Information Management
- Quality Management

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 to topics covered in Part 3.

### Discussion

Implementing systems engineering (SE) requires the coordination of technical and managerial endeavors. Success with the technical is not possible in the absence of the managerial. Management provides the planning, organizational structure, collaborative environment, and program controls to ensure that stakeholder needs are met.

The Venn diagram below provides some context for thinking about SEM. It shows that some functions are managed within the SE function, while others are managed in collaboration with the management of systems implementation and with overall project and systems management.



There is no one-size-fits-all way to define the details of where SEM functions are performed. An in-company SE organization does not run its own accounting system, but relies on the corporate management organization for this aspect of SEM. A company performing only SE *does* include the accounting functions as part of SEM. In all cases, the managers of the SE function must be actively involved in the management of all the activities within the SE system boundary, including working out what collaborative arrangements best fit their situation. They must also remain aware of management events in their environment outside the system boundary that may affect their ability to perform. Part 6 of the SEBoK includes relevant knowledge areas for collaborative management, including Systems Engineering and Software Engineering, Systems Engineering and Project Management, Systems Engineering and Industrial Engineering, Systems Engineering and Procurement/Acquisition, and Systems Engineering and Specialty Engineering.

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### Additional References

None.

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# Assessment and Control

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**Lead Authors:** Ray Madachy, Andy Pickard, Garry Roedler, **Contributing Author:** Richard Turner

The purpose of systems engineering assessment and control (SEAC) is to provide adequate visibility into the project's actual technical progress and risks with respect to the technical plans (i.e., systems engineering management plan (SEMP) or systems engineering plan (SEP) and subordinate plans). The visibility allows the project team to take timely preventive action when disruptive trends are recognized or corrective action when performance deviates beyond established thresholds or expected values. SEAC includes preparing for and conducting reviews and audits to monitor performance. The results of the reviews and measurement analyses are used to identify and record findings/discrepancies and may lead to causal analysis and corrective/preventive action plans. Action plans are implemented, tracked, and monitored to closure. (NASA 2007, Section 6.7; SEG-ITS, 2009, Section 3.9.3, 3.9.10; INCOSE, 2010, Clause 6.2; SEI, 2007)

## Systems Engineering Assessment and Control Process Overview

The SEAC process involves determining and initiating the appropriate handling strategies and actions for findings and/or discrepancies that are uncovered in the enterprise, infrastructure, or life cycle activities associated with the project. Analysis of the causes of the findings/discrepancies aids in the determination of appropriate handling strategies. Implementation of approved preventive, corrective, or improvement actions ensures satisfactory completion of the project within planned technical, schedule, and cost objectives. Potential action plans for findings and/or discrepancies are reviewed in the context of the overall set of actions and priorities in order to optimize the benefits to the project and/or organization. Interrelated items are analyzed together to obtain a consistent and cost-effective resolution.

The SEAC process includes the following steps:

- monitor and review technical performance and resource use against plans
- monitor technical risk, escalate significant risks to the project risk register and seek project funding to execute risk mitigation plans
- hold technical reviews and report outcomes at the project reviews

- analyze issues and determine appropriate actions
- manage actions to closure
- hold a post-delivery assessment (also known as a post-project review) to capture knowledge associated with the project (this may be a separate technical assessment or it may be conducted as part of the project assessment and control process).

The following activities are normally conducted as part of a project assessment and control process:

- authorization, release and closure of work
- monitor project performance and resource usage against plan
- monitor project risk and authorize expenditure of project funds to execute risk mitigation plans
- hold project reviews
- analyze issues and determine appropriate actions
- manage actions to closure
- hold a post-delivery assessment (also known as a post-project review) to capture knowledge associated with the project

Examples of major technical reviews used in SEAC are shown in Table 1 from DAU (2010).

**Table 1. Major Technical Review Examples (DAU 2012). Released by Defense Acquisition University (DAU)/U.S. Department of Defense (DoD).**

Name	Description
Alternative Systems Review	A multi-disciplined review to ensure the resulting set of requirements agrees with the customers' needs and expectations.
Critical Design Review (CDR)	A multi-disciplined review establishing the initial product baseline to ensure that the system under review has a reasonable expectation of satisfying the requirements of the capability development document within the currently allocated budget and schedule.
Functional Configuration Audit	Formal examination of the as-tested characteristics of a configuration item (hardware and software) with the objective of verifying that actual performance complies with design and interface requirements in the functional baseline.
In-Service Review	A multi-disciplined product and process assessment that is performed to ensure that the system under review is operationally employed with well-understood and managed risk.
Initial Technical Review	A multi-disciplined review that supports a program's initial program objective memorandum submission.
Integrated Baseline Review	A joint assessment conducted by the government program manager and the contractor to establish the performance measurement baseline.
Operational Test Readiness Review	A multi-disciplined product and process assessment to ensure that the system can proceed into initial operational test and evaluation with a high probability of success, and also that the system is effective and suitable for service introduction.
Production Readiness Review (PRR)	The examination of a program to determine if the design is ready for production and if the prime contractor and major subcontractors have accomplished adequate production planning without incurring unacceptable risks that will breach thresholds of schedule, performance, cost, or other established criteria.
Physical Configuration Audit	An examination of the actual configuration of an item being produced around the time of the full-rate production decision.
Preliminary Design Review (PDR)	A technical assessment establishing the physically allocated baseline to ensure that the system under review has a reasonable expectation of being judged operationally effective and suitable.
System Functional Review (SFR)	A multi-disciplined review to ensure that the system's functional baseline is established and has a reasonable expectation of satisfying the requirements of the initial capabilities document or draft capability development document within the currently allocated budget and schedule.

System Requirements Review (SRR)	A multi-disciplined review to ensure that the system under review can proceed into initial systems development and that all system requirements and performance requirements derived from the initial capabilities document or draft capability development document are defined and testable, as well as being consistent with cost, schedule, risk, technology readiness, and other system constraints.
System Verification Review (SVR)	A multi-disciplined product and process assessment to ensure the system under review can proceed into low-rate initial production and full-rate production within cost (program budget), schedule (program schedule), risk, and other system constraints.
Technology Readiness Assessment	A systematic, metrics-based process that assesses the maturity of critical technology elements, such as sustainment drivers.
Test Readiness Review (TRR)	A multi-disciplined review designed to ensure that the subsystem or system under review is ready to proceed into formal testing.

## Linkages to Other Systems Engineering Management Topics

The SE assessment and control process is closely coupled with the measurement, planning, decision management, and risk management processes. The measurement process provides indicators for comparing actuals to plans. Planning provides estimates and milestones that constitute plans for monitoring as well as the project plan, which uses measurements to monitor progress. Decision management uses the results of project monitoring as decision criteria for making control decisions.

## Practical Considerations

Key pitfalls and good practices related to SEAC are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing SE assessment and control are shown in Table 2.

**Table 2. Major Pitfalls with Assessment and Control. (SEBoK Original)**

Name	Description
No Measurement	Since the assessment and control activities are highly dependent on insightful measurement information, it is usually ineffective to proceed independently from the measurement efforts - what you get is what you measure.
"Something in Time" Culture	Some things are easier to measure than others - for instance, delivery to cost and schedule. Don't focus on these and neglect harder things to measure like quality of the system. Avoid a "something in time" culture where meeting the schedule takes priority over everything else, but what is delivered is not fit for purpose, resulting in the need to rework the project.
No Teeth	Make sure that the technical review gates have "teeth". Sometimes the project manager is given authority (or can appeal to someone with authority) to over-ride a gate decision and allow work to proceed, even when the gate has exposed significant issues with the technical quality of the system or associated work products. This is a major risk if the organization is strongly schedule-driven; it can't afford the time to do it right, but somehow it finds the time to do it again (rework).
Too Early Baseling	Don't baseline requirements or designs too early. Often there is strong pressure to baseline system requirements and designs before they are fully understood or agreed, in order to start subsystem or component development. This just guarantees high levels of rework.

## Good Practices

Some good practices gathered from the references are shown in Table 3.

**Table 3. Proven Practices with Assessment and Control. (SEBoK Original)**

Name	Description
Independence	Provide independent (from customer) assessment and recommendations on resources, schedule, technical status, and risk based on experience and trend analysis.
Peer Reviews	Use peer reviews to ensure the quality of a product's work before they are submitted for gate review.
Accept Uncertainty	Communicate uncertainties in requirements or designs and accept that uncertainty is a normal part of developing a system.
Risk Mitigation Plans	Do not penalize a project at gate review if they admit uncertainty in requirements - ask for their risk mitigation plan to manage the uncertainty.
Just In-Time Baselining	Baseline requirements and designs only when you need to - when other work is committed based on the stability of the requirement or design. If work must start and the requirement or design is still uncertain, consider how you can build robustness into the system to handle the uncertainty with minimum rework.
Communication	Document and communicate status findings and recommendations to stakeholders.
Full Visibility	Ensure that action items and action-item status, as well as other key status items, are visible to all project participants.
Leverage Previous Root Cause Analysis	When performing root cause analysis, take into account the root cause and resolution data documented in previous related findings/discrepancies.
Concurrent Management	Plan and perform assessment and control concurrently with the activities for Measurement and Risk Management.
Lessons Learned and Post-Mortems	Hold post-delivery assessments or post-project reviews to capture knowledge associated with the project – e.g., to augment and improve estimation models, lessons learned databases, gate review checklists, etc.

Additional good practices can be found in INCOSE (2010, Clause 6.2), SEG-ITS (2009, Sections 3.9.3 and 3.9.10), INCOSE (2010, Section 5.2.1.5), and NASA (2007, Section 6.7).

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# Decision Management

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Many systems engineering decisions are difficult because they include numerous stakeholders, multiple competing objectives, substantial uncertainty, and significant consequences. In these cases, good decision making requires a formal decision management process. The purpose of the decision management process is:

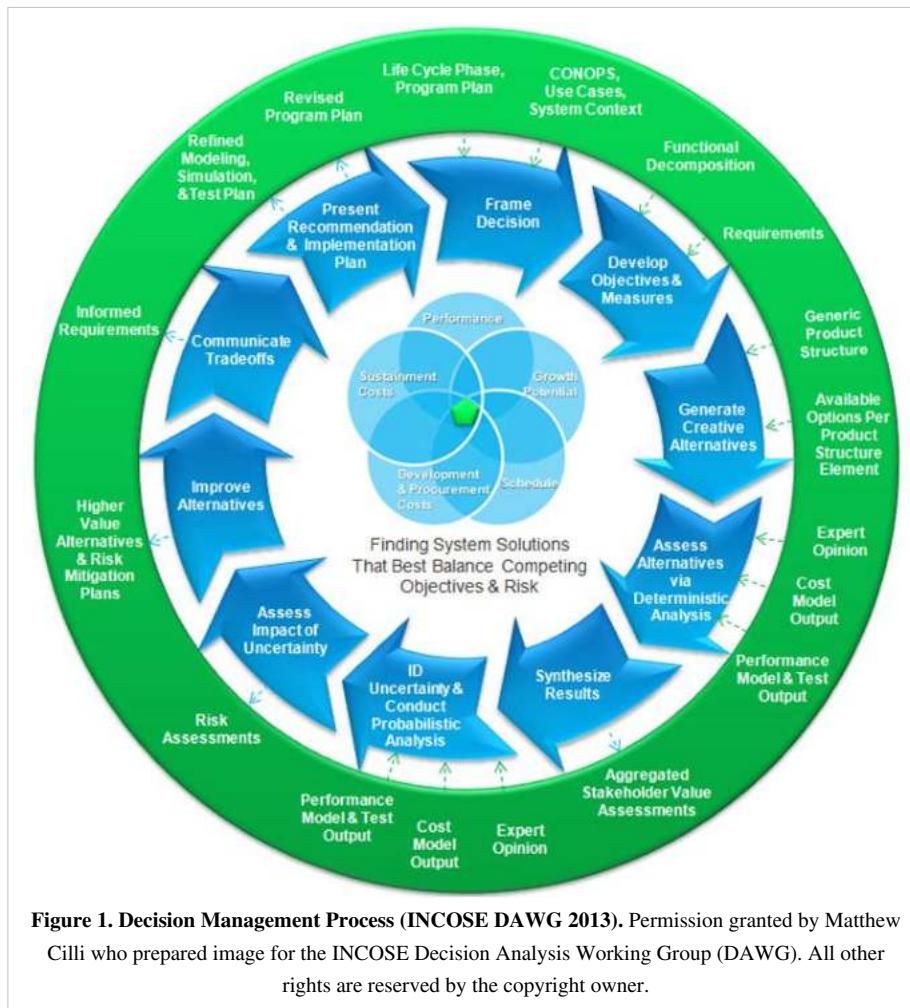
“...to provide a structured, analytical framework for objectively identifying, characterizing and evaluating a set of alternatives for a decision at any point in the life cycle and select the most beneficial course of action.”(ISO/IEC/IEEE 15288)

Decision situations (opportunities) are commonly encountered throughout a system’s lifecycle. The decision management method most commonly employed by systems engineers is the trade study. Trade studies aim to define, measure, and assess shareholder and stakeholder value to facilitate the decision maker’s search for an alternative that represents the best balance of competing objectives. By providing techniques for decomposing a trade decision into logical segments and then synthesizing the parts into a coherent whole, a decision management process allows the decision maker to work within human cognitive limits without oversimplifying the problem. Furthermore, by decomposing the overall decision problem, experts can provide assessments of alternatives in their area of expertise.

## Decision Management Process

The decision analysis process is depicted in Figure 1 below. The decision management process is based on several best practices, including:

- Utilizing sound mathematical technique of decision analysis for trade studies. Parnell (2009) provided a list of decision analysis concepts and techniques.
- Developing one master decision model, followed by its refinement, update, and use, as required for trade studies throughout the system life cycle.
- Using Value-Focused Thinking (Keeney 1992) to create better alternatives.
- Identifying uncertainty and assessing risks for each decision.



The center of the diagram shows the five trade space objectives (listed clockwise): Performance, Growth Potential, Schedule, Development & Procurement Costs, and Sustainment Costs . The ten blue arrows represent the decision management process activities and the white text within the green ring represents SE process elements. Interactions are represented by the small, dotted green or blue arrows. The decision analysis process is an iterative process. A hypothetical UAV decision problem is used to illustrate each of the activities in the following sections.

## Framing and Tailoring the Decision

To ensure the decision team fully understands the decision context, the analyst should describe the system baseline, boundaries and interfaces. The decision context includes: the system definition, the life cycle stage, decision milestones, a list of decision makers and stakeholders, and available resources. The best practice is to identify a decision problem statement that defines the decision in terms of the system life cycle.

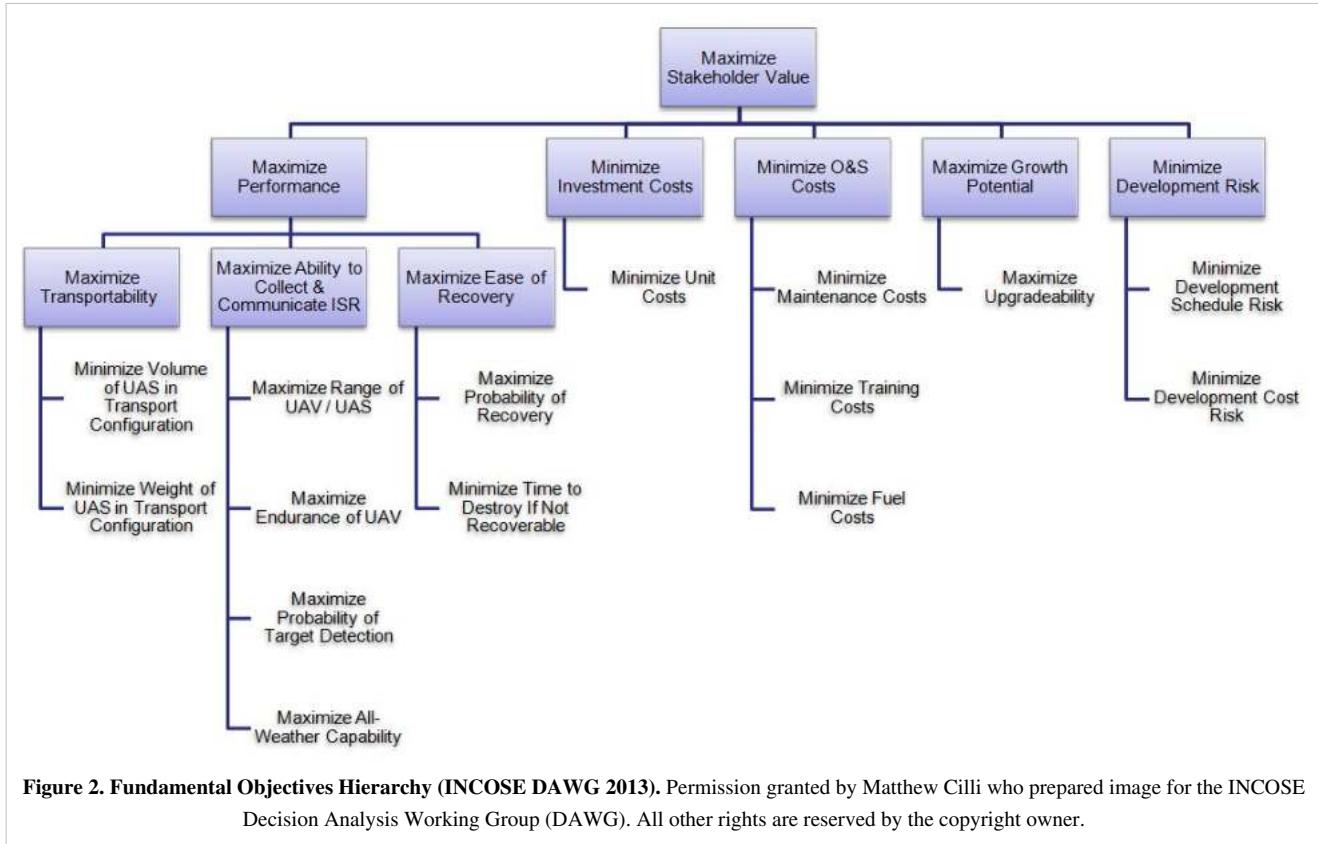
## Developing Objectives and Measures

Defining how an important decision will be made is difficult. As Keeney (2002) puts it:

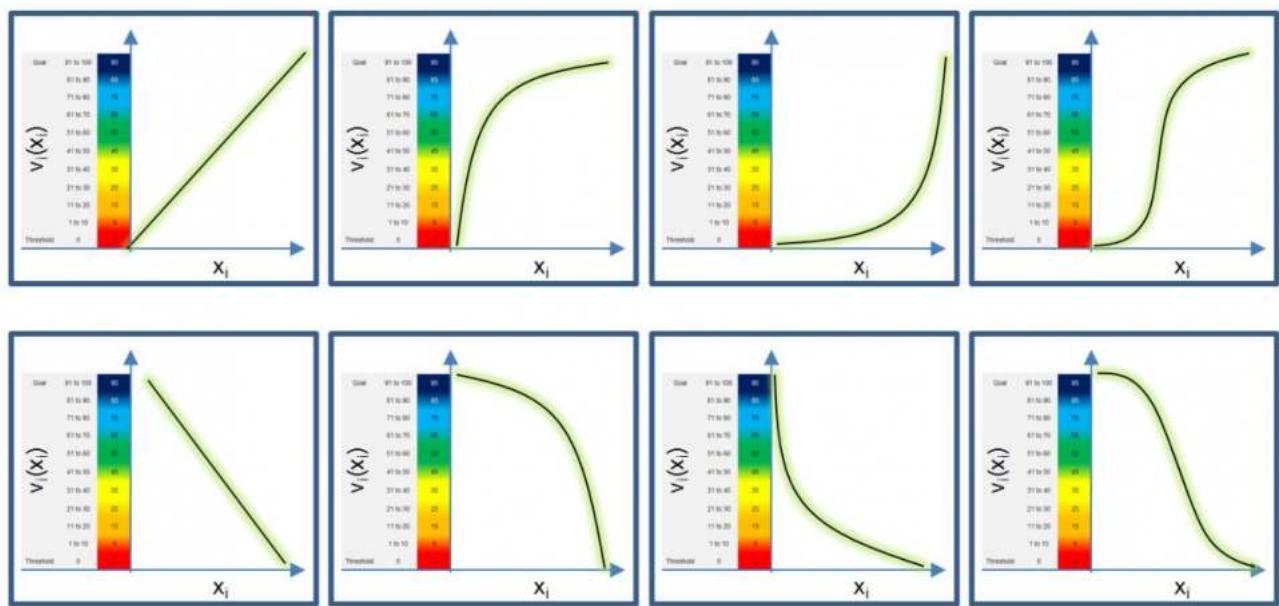
*Most important decisions involve multiple objectives, and usually with multiple-objective decisions, you can't have it all. You will have to accept less achievement in terms of some objectives in order to achieve more on other objectives. But how much less would you accept to achieve how much more?*

The first step is to develop objectives and measures using interviews and focus groups with subject matter experts (SMEs) and stakeholders. For systems engineering trade-off analyses, stakeholder value often includes competing objectives of performance, development schedule, unit cost, support costs, and growth potential. For corporate

decisions, shareholder value would also be added to this list. For performance, a functional decomposition can help generate a thorough set of potential objectives. Test this initial list of fundamental objectives by checking that each fundamental objective is essential and controllable and that the set of objectives is complete, non-redundant, concise, specific, and understandable (Edwards et al. 2007). Figure 2 provides an example of an objectives hierarchy.



For each objective, a measure must be defined to assess the value of each alternative for that objective. A measure (attribute, criterion, and metric) must be unambiguous, comprehensive, direct, operational, and understandable (Keeney & Gregory 2005). A defining feature of multi-objective decision analysis is the transformation from measure space to value space. This transformation is performed by a value function which shows returns to scale on the measure range. When creating a value function, the walk-away point on the measure scale (x-axis) must be ascertained and mapped to a 0 value on the value scale (y-axis). A walk-away point is the measure score where regardless of how well an alternative performs in other measures, the decision maker will walk away from the alternative. He or she does this through working with the user, finding the measure score beyond, at which point an alternative provides no additional value, and labeling it "stretch goal" (ideal) and then mapping it to 100 (or 1 and 10) on the value scale (y-axis). Figure 3 provides the most common value curve shapes. The rationale for the shape of the value functions should be documented for traceability and defensibility (Parnell et al. 2011).



**Figure 3. Value Function Examples (INCOSE DAWG 2013).** Permission granted by Matthew Cilli who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

The mathematics of multiple objective decision analysis (MODA) requires that the weights depend on importance of the measure and the range of the measure (walk away to stretch goal). A useful tool for determining priority weighting is the swing weight matrix (Parnell et al. 2011). For each measure, consider its importance through determining whether the measure corresponds to a defining, critical, or enabling function and consider the gap between the current capability and the desired capability; finally, put the name of the measure in the appropriate cell of the matrix (Figure 4). The highest priority weighting is placed in the upper-left corner and assigned an unnormalized weight of 100. The unnormalized weights are monotonically decreasing to the right and down the matrix. Swing weights are then assessed by comparing them to the most important value measure or another assessed measure. The swing weights are normalized to sum to one for the additive value model used to calculate value in a subsequent section.

		Level of importance of the value measure								
		Mission Critical	Swt	Mwt	Mission Effectiveness	Swt	Mwt	Mission Enhancing	Swt	Mwt
Capability gap	Large	UAV range in nm	100	0.285	All weather capability	50	0.142	UAV P[R]	10	0.028
		UAV endurance in minutes	80	0.228	UAS volume in ft <sup>3</sup>	40	0.114			
	Medium	UAV P[D]	50	0.142	UAS weight in pounds	20	0.057	UAV destruct time in seconds	1	0.003
	Small	Total swing weight	351		$f_i$ = swing weight			$w_i$ = measure weight		
$w_i = \frac{f_i}{\sum_{i=1}^n f_i}$										

**Figure 4. Swing Weight Matrix (INCOSE DAWG 2013).** Permission granted by Gregory Parnell who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

## **Generating Creative Alternatives**

To help generate a creative and comprehensive set of alternatives that span the decision space, consider developing an alternative generation table (also called a morphological box) (Buede, 2009; Parnell et al. 2011). It is a best practice to establish a meaningful product structure for the system and to be reported in all decision presentations (Figure 5).

Cardinal		Buzzard		Crow		Pigeon		Robin		Dove	
Subsystem		Design Choice		Design Choice		Design Choice		Design Choice		Design Choice	
Propulsion System	Electric 300W & Li P	Electric 300W w/ Li Ion	Electric 600W w/ Solar	Electric 600W w/ Fuel Cell	Piston Engine 2.5 HP	Piston Engine 4.0 HP					
Fuel	NA	NA	NA	NA	JP-8	JP-8					
Fuel Tank Capacity	NA	NA	NA	NA	5 liter	7 liter					
Propeller	18" Rear	20" rear	22" rear	24" Front	26" Front	28" Front					
Wing Configuration	5 ft., Conventional	6 ft., Canard	6 ft., Tandem Wing	7 ft., Three Surface	8 ft., Conventional	9 ft., Conventional					
Fin Configuration	Twin Boom Conv.	Inverted V	V Tail	Conventional	H Tail	Cruciform					
Actuators	Electromagnetic	Hydraulic	MEMS	Hydraulic	Hydraulic	Hydraulic					
Fuselage X Section	12" Diameter	14" Diameter	16" Diameter	18" Diameter	20" Diameter	22" Diameter					
Airframe Material	Graphite Epoxy	Graphite Epoxy	Aramid-epoxy	Boron-epoxy	Fiberglass-epoxy	Fiberglass-epoxy					
Avionics Arch.	Simplex	Simplex	Triplex	Triplex	Triplex	Triplex					
Navigation Sensor	MEMS GPS / INS	MEMS GPS / INS	MEMS GPS / INS	MEMS GPS / INS	MEMS GPS / INS	MEMS GPS / INS					
External Comms	LOS COMM Link	LOS COMM Link	LOS + SATCOM Link	LOS + SATCOM Link	LOS + SATCOM Link	LOS + SATCOM Link					
Internal Comms	MIL-STD-1553B	MIL-STD-1553B	MIL-STD-1553B	MIL-STD-1553B	MIL-STD-1553B	MIL-STD-1553B					
Autopilot	Pre-Programmed, Auto	Semi-Autonomous	Remotely Piloted	Pre-Programmed, Auto	Pre-Programmed, Auto	Pre-Programmed, Auto					
Launch / Recovery	Hand / Belly	Hand / Belly	Hand / Belly	Hand / Belly	Hand / Belly	Hand / Belly					
Acquisition Sensor	Un-cooled IR	Day Video	Day Video, Cooled IR	Day Video, Cooled IR	Day Video	SAR, Acoustic, Day, IR					
Sensor Actuation	Pan-tilt	Pan-tilt-roll	Roll-tilt	Pan-tilt	Pan tilt	Pan tilt					
Characteristics	Measurement	Measurement	Measurement	Measurement	Measurement	Measurement					
Weight	5 lbs	10 lbs	10 lbs	15 lbs	30 lbs	40 lbs					
Max Airspeed	60 kph	50 kph	80 kph	70 kph	60 kph	80 kph					
Climb Rate	200 m / minute	150 m / minute	250 m / minute	200 m / minute	200 m / minute	250 m / minute					

**Figure 5. Descriptions of Alternatives (INCOSE DAWG 2013).** Permission granted by Matthew Cilli who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

## Assessing Alternatives via Deterministic Analysis

With objectives and measures established and alternatives having been defined, the decision team should engage SMEs, equipped with operational data, test data, simulations, models, and expert knowledge. Scores are best captured on scoring sheets for each alternative/measure combination which document the source and rationale. Figure 6 provides a summary of the scores.

Raw Scorecard (expected performance values)			RELOCATE UAV		EMPLOY UAV			RECOVER UAV		GROWTH POT.	UNIT COST	DEVELOPMENT RISK		OPERATION & SUPPORT COST			
			Minimize UAV weight	Minimize UAV volume	Maximize all weather capability	Maximize UAV range	Maximize UAV probability of detection	Maximize UAV endurance	Maximize probability of recovery	Minimize time to destroy if not recoverable	Maximize upgradability	Minimize unit cost	Minimize development schedule risk	Minimize development cost	Minimize training risk	Minimize maintenance cost	Minimize fuel cost
ID	Name	Image	(lbs)	ft3	index	km	P[D]	hours	P[R]	sec	index	FY13\$K	index	index	FY13\$	FY13\$	FY13\$
1	Cardinal		5	12	3	10	0.92	0.5	0.6	1	0.3	250	0.9	0.9	300	300	0
2	Buzzard		10	15	1	10	0.9	1	0.7	2	0.6	300	0.8	0.8	300	300	0
3	Crow		10	20	3	70	0.92	1	0.8	2	0.6	350	0.7	0.7	300	300	0
4	Pigeon		15	30	3	80	0.92	1.5	0.9	2	0.6	400	0.6	0.6	300	300	0
5	Robin		30	40	1	90	0.9	2	0.9	2	0.6	500	0.5	0.5	500	500	300
6	Dove		40	50	5	100	0.94	2	0.9	3	0.9	700	0.4	0.4	500	500	500
7	Ideal		5	10	5	100	1	2	0.9	1	1	200	1	1	250	0	0

**Figure 6. Alternative Scores (INCOSE DAWG 2013).** Permission granted by Richard Swanson who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

Note that in addition to identified alternatives, the score matrix includes a row for the ideal alternative. The ideal is a tool for value-focused thinking, which will be covered later.

## Synthesizing Results

Next, one can transform the scores into a value table, by using the value functions developed previously. A color heat map can be useful to visualize value tradeoffs between alternatives and identify where alternatives need improvement (Figure 7).

Heat-indexed Value Scorecard			RELOCATE UAV		EMPLOY UAV			RECOVER UAV		GROWTH POT.	UNIT COST	DEVELOPMENT RISK		OPERATION & SUPPORT COST			
			Minimize UAV weight	Minimize UAV volume	Maximize all weather capability	Maximize UAV range	Maximize UAV probability of detection	Maximize UAV endurance	Maximize probability of recovery	Minimize time to destroy if not recoverable	Maximize log readability	Minimize unit cost	Minimize development schedule risk	Minimize development cost risk	Minimize training cost	Minimize maintenance cost	Minimize fuel cost
ID	Name	Image	0.06	0.11	0.14	0.28	0.14	0.23	0.03	0.01	1	1	0.5	0.5	0.33	0.33	0.33
1	Cardinal		100	97	90	13	59	5	47	100	31	94	93	93	89	85	100
2	Buzzard		86	92	3	13	42	60	77	90	61	88	67	67	85	85	100
3	Crow		86	85	90	83	59	60	90	75	61	82	50	50	83	85	100
4	Pigeon		72	57	90	90	59	80	100	75	61	76	34	34	85	85	100
5	Robin		29	29	3	95	42	100	100	60	61	56	18	18	17	67	51
6	Dove		1	3	100	100	75	100	100	1	91	1	1	1	17	67	18
7	Ideal		100	100	100	100	100	100	100	100	100	100	100	100	100	100	100

Figure 7. Value Scorecard with Heat Map (INCOSE DAWG 2013). Permission granted by Richard Swanson who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

The additive value model uses the following equation to calculate each alternative's value:

$$v(x) = \sum_{i=1}^n w_i v_i(x_i)$$

where

$v(x)$  is the alternative's value

$i = 1$  to  $n$  is the number of the measure

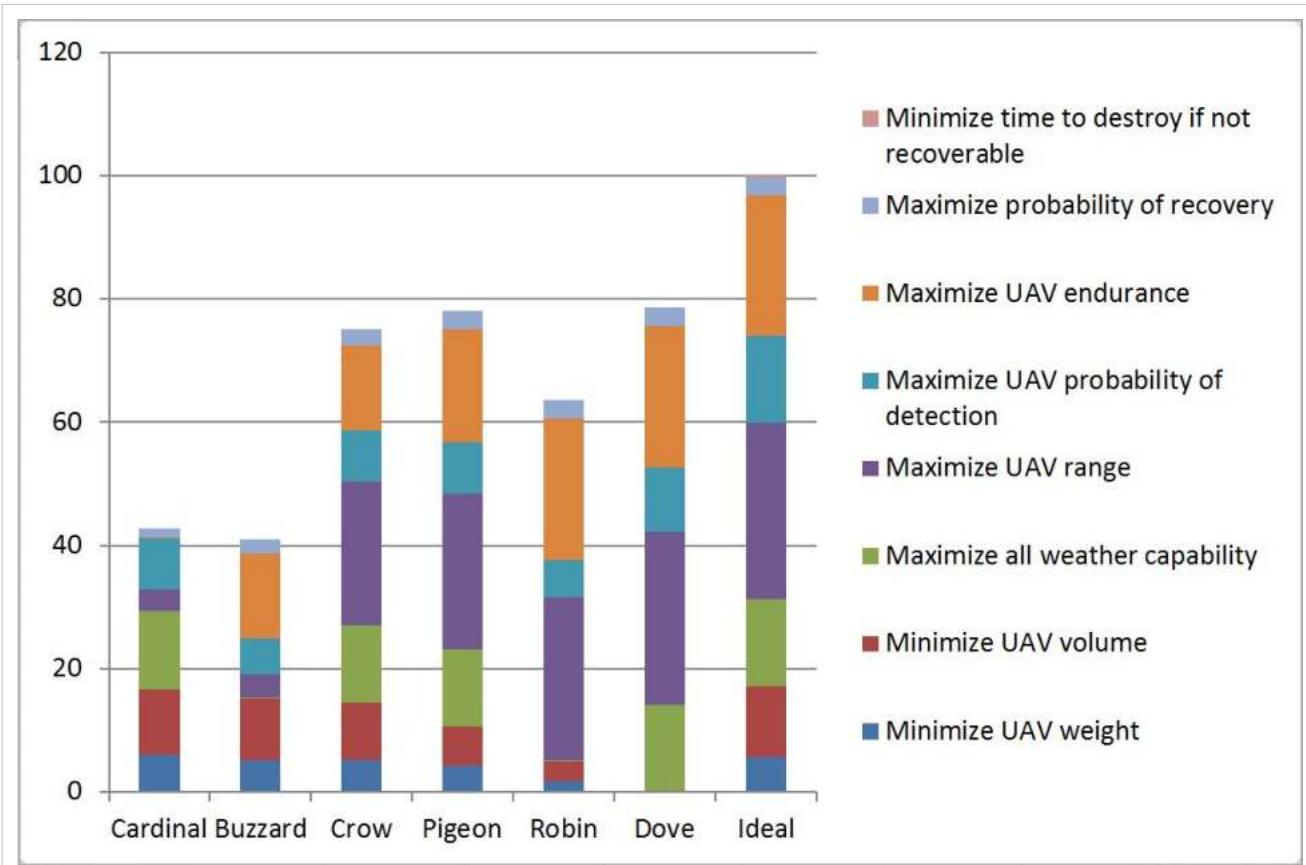
$x_i$  is the alternative's score on the  $i^{th}$  measure

$v_i(x_i)$  is the single dimensional value of a score of  $x_i$

$w_i$  is the weight of the  $i^{th}$  measure

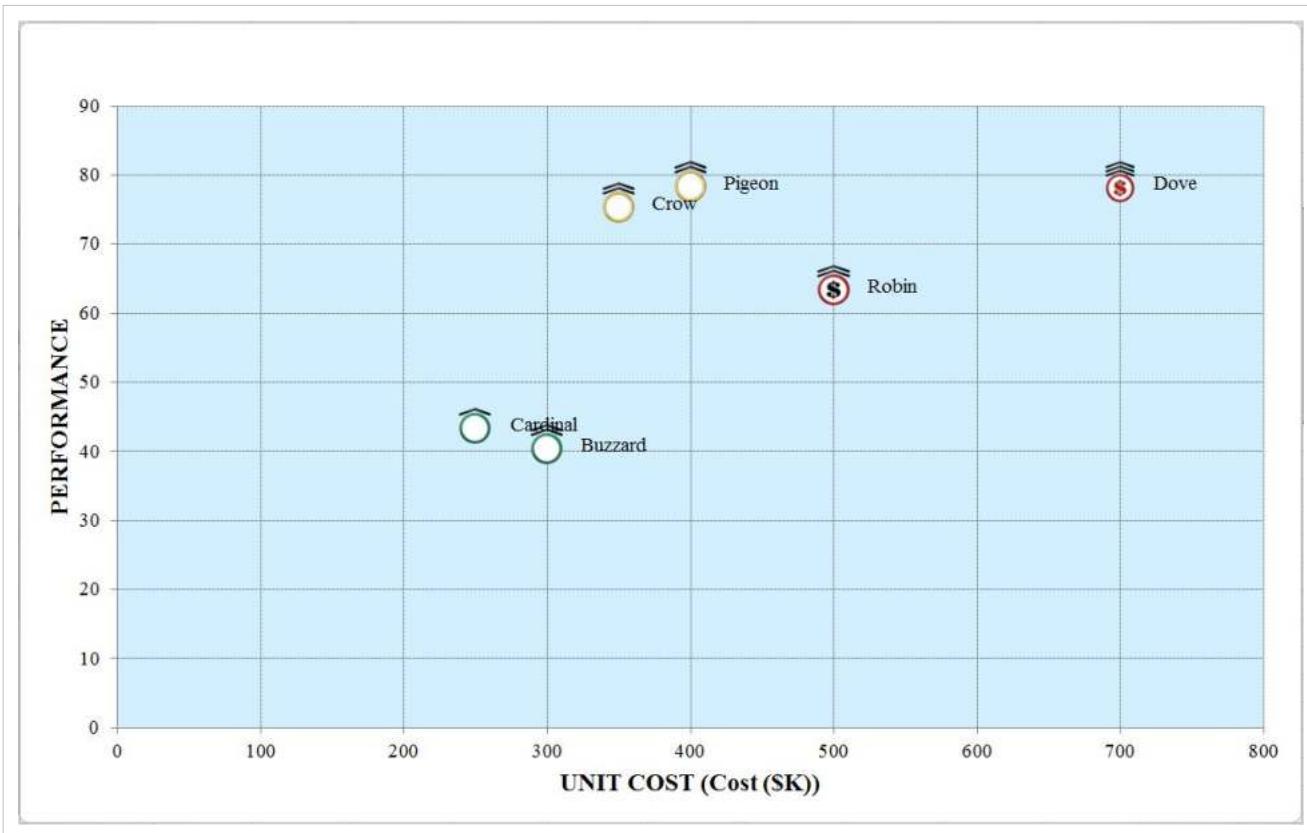
and  $\sum_{i=1}^n w_i = 1$  (all weights sum to one)

The value component chart (Figure 8) shows the total value and the weighted value measure contribution of each alternative (Parnell et al. 2011).



**Figure 8. Value Component Graph (INCOSE DAWG 2013).** Permission granted by Richard Swanson who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

The heart of a decision management process for system engineering trade off analysis is the ability to assess all dimensions of shareholder and stakeholder value. The stakeholder value scatter plot in Figure 9 shows five dimensions: unit cost, performance, development risk, growth potential, and operation and support costs for all alternatives.



**Figure 9. Example of a Stakeholder Value Scatterplot (INCOSE DAWG 2013).** Permission granted by Richard Swanson who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

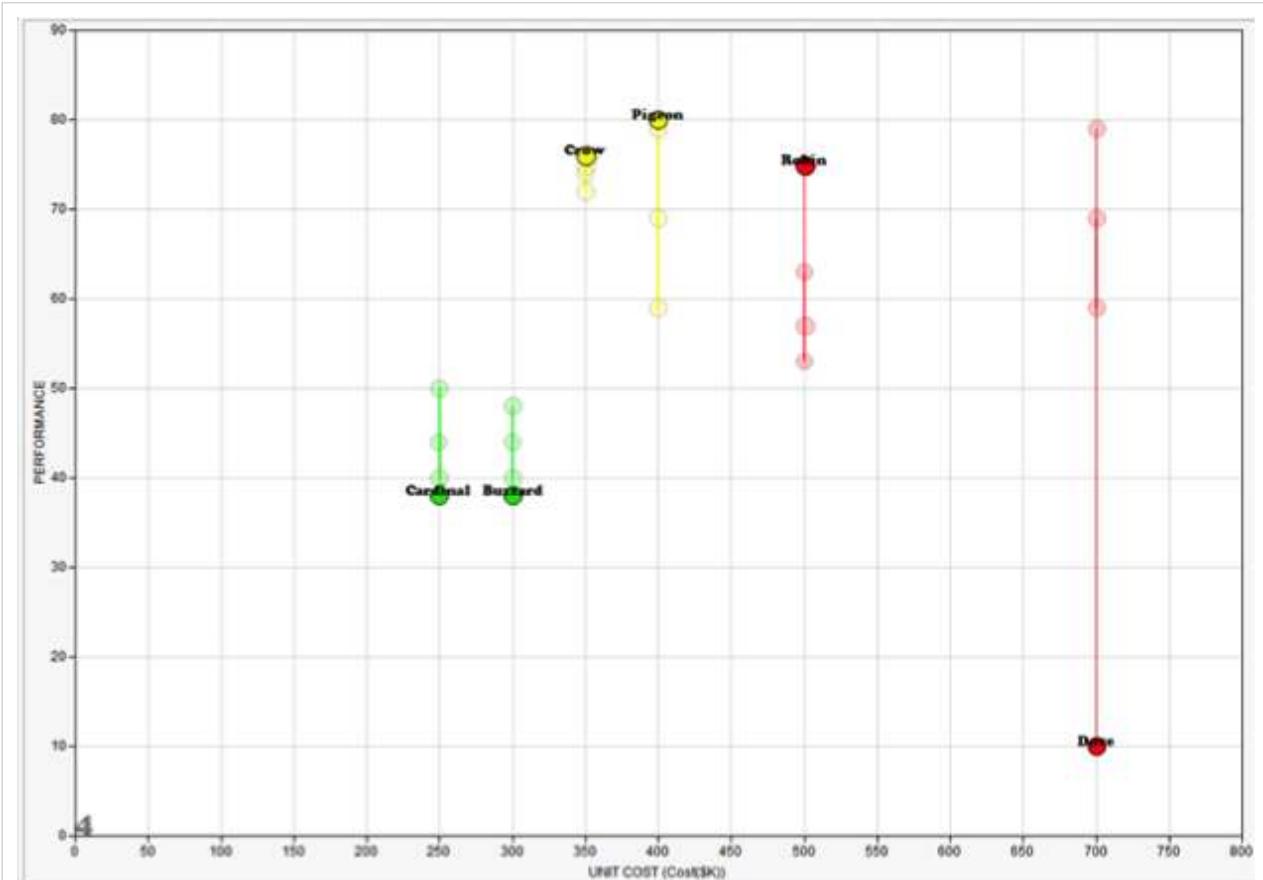
Each system alternative is represented by a scatter plot marker (Figure 9). An alternative's unit cost and performance value are indicated by x and y positions respectively. An alternative's development risk is indicated by the color of the marker (green = low, yellow= medium, red = high), while the growth potential is shown as the number of hats above the circular marker (1 hat = low, 2 hats = moderate, 3 hats = high).

### Identifying Uncertainty and Conducting Probabilistic Analysis

As part of the assessment, the SME should discuss the potential uncertainty of the independent variables. The independent variables are the variables that impact one or more scores; the scores that are independent scores. Many times the SME can assess an upper, nominal, and lower bound by assuming low, moderate, and high performance. Using this data, a Monte Carlo Simulation summarizes the impact of the uncertainties and can identify the uncertainties that have the most impact on the decision.

## Accessing Impact of Uncertainty - Analyzing Risk and Sensitivity

Decision analysis uses many forms of sensitivity analysis including line diagrams, tornado diagrams, waterfall diagrams and several uncertainty analyses including Monte Carlo Simulation, decision trees, and influence diagrams (Parnell et al. 2013). A line diagram is used to show the sensitivity to the swing weight judgment (Parnell et al. 2011). Figure 10 shows the results of a Monte Carlo Simulation of performance value.



**Figure 10. Uncertainty on Performance Value from Monte Carlo Simulation (INCOSE DAWG 2013).** Permission granted by Matthew Cilli who prepared image for the INCOSE Decision Analysis Working Group (DAWG). All other rights are reserved by the copyright owner.

## Improving Alternatives

Mining the data generated for the alternatives will likely reveal opportunities to modify some design choices to claim untapped value and/or reduce risk. Taking advantage of initial findings to generate new and creative alternatives starts the process of transforming the decision process from "alternative-focused thinking" to "value-focused thinking" (Keeney 1993).

## Communicating Tradeoffs

This is the point in the process where the decision analysis team identifies key observations about tradeoffs and the important uncertainties and risks.

## Presenting Recommendations and Implementing Action Plan

It is often helpful to describe the recommendation(s) in the form of a clearly-worded, actionable task-list in order to increase the likelihood of the decision implementation. Reports are important for historical traceability and future decisions. Take the time and effort to create a comprehensive, high-quality report detailing study findings and supporting rationale. Consider static paper reports augmented with dynamic hyper-linked e-reports.

## The Cognitive Bias Effect on Decisions

Research by (Kahneman 2011) and (Thaler and Sunstein 2008) has concluded that cognitive bias can seriously distort decisions made by any decision maker. Both Kahneman and Thaler were awarded the Nobel prize for their work. The cause of this distortion is called the cognitive bias (Glossary). These distorted decisions have contributed to major catastrophes, such as Challenger and Columbia. Other sources attributing major catastrophes are (Murata, Nakamura, and Karwowski 2015) and (Murata 2017).

(Kahneman 2011) and (Thaler and Sunstein 2008) have identified a large number of individual biases, the most well-known of which is the confirmation bias. This bias states that humans have a tendency to interpret new evidence as confirmation of one's existing beliefs or theories. Regarding mitigation of these biases, there is general agreement that self-mitigation by the decision-maker is not feasible for most biases. (Thaler and Sunstein 2008) provide methods to influence the mitigation of most biases. They refer to these influences as "nudges".

Considering cognitive biases in a systems engineering is discussed by (Jackson 2017, Jackson and Harel 2017), and (Jackson 2018). The primary theme of these references is that rational decisions are rarely possible and that cognitive bias must be taken into account.

## Decisions with Cognitive Bias

According to (INCOSE 2015) ideal decisions are made while "objectively identifying, characterizing, and evaluating a set of alternatives for a decision..." Research in the field of behavioral economics has shown that these decisions can be distorted by a phenomenon known as cognitive bias. Furthermore, most decision makers are unaware of these biases. The literature also provides methods for mitigating these biases.

According to (Haselton, Nettle, and Andrews 2005, p. 2) a cognitive bias represents a situation in which "human cognition reliably produces representations that are systematically distorted compared to some aspect of objective reality." Cognitive biases are typically stimulated by emotion and prior belief. The literature reveals large numbers of cognitive biases of which the following three are typical:

1. The rankism bias. According to (Fuller 2011), rankism is simply the idea that persons of higher rank in an organization are better able to assert their authority over persons of lower rank regardless of the decision involved. Rankism frequently occurs in aircraft cockpits. According to (McCreary et al. 1998), rankism was a factor in the famous Tenerife disaster.
2. The complacency bias. According to (Leveson 1995, pp. 54-55), complacency is the disregard for safety and the belief that current safety measures are adequate. According to (Leveson 1995, pp. 54-55), complacency played a role in the Three Mile Island and Bhopal disasters.
3. The optimism bias. According to (Leveson 1995, pp. 54-55), famous physicist Richard Feynman states that NASA "exaggerates the reliability of the system." This is an example of the optimism bias.

## Mitigation of Cognitive Bias

Various sources have suggested methods to mitigate the effects of cognitive bias. Following are some of the major ones.

1. Independent Review. The idea of independent review is that advice on decisions should come from an outside body, called by the Columbia Accident Investigation Board (CAIB) (NASA 2003, 227) as the Independent Technical Authority (ITA). This authority must be both organizationally and financially independent of the program in question. That is, the ITA cannot be subordinate to the program manager.
2. Crew Resource Management. Following a period of high accident rate, several airlines have adopted the crew resource management (CRM) method. The primary purposes of this method are first to assure that all crew members do their job properly and secondly that they communicate with the pilot effectively when they have a concern. The impetus for this method was the judgment that many pilots were experiencing the rankism bias or were preoccupied with other tasks and simple did not understand the concerns of the other crew members. The result is that this strategy has been successful, and that the accident rate has fallen.
3. The Premortem. (Kahneman 2011) (pp. 264-265) suggests this method of nudging in an organizational context. This method, like others, requires a certain amount of willingness on the part of the decision-maker to participate in this process. It calls for decision-makers to surround themselves with trusted experts in advance of major decisions. According to Kahneman the primary job of the experts is to present the negative argument against any decision. For example, the decision-maker should not authorize the launch now, perhaps later.

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# Risk Management

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The purpose of risk management is to reduce potential risks to an acceptable level before they occur, throughout the life of the product or project. Risk management is a continuous, forward-looking process that is applied to anticipate and avert risks that may adversely impact the project, and can be considered both a project management and a systems engineering process. A balance must be achieved on each project in terms of overall risk management ownership, implementation, and day-to-day responsibility between these two top-level processes.

For the SEBoK, risk management falls under the umbrella of Systems Engineering Management, though the wider body of risk literature is explored below.

## Risk Management Process Overview

Risk is a measure of the potential inability to achieve overall program objectives within defined cost, schedule, and technical constraints. It has the following two components (DAU 2003a):

1. the probability (or likelihood) of failing to achieve a particular outcome
2. the consequences (or impact) of failing to achieve that outcome

In the domain of catastrophic risk analysis, risk has three components: (1) threat, (2) vulnerability, and (3) consequence (Willis et al. 2005).

Risk management involves defining a risk management strategy, identifying and analyzing risks, handling selected risks, and monitoring the progress in reducing risks to an acceptable level (SEI 2010; DoD 2015; DAU 2003a; DAU 2003b; PMI 2013) (Opportunity and opportunity management is briefly discussed below).

The SE risk management process includes the following activities:

- risk planning
- risk identification
- risk analysis
- risk handling
- risk monitoring

ISO/IEC/IEEE 16085 provides a detailed set of risk management activities and tasks which can be utilized in a risk management process aligned with ISO 31000:2009, Risk management — Principles and Guidelines, and ISO Guide 73:2009,

Risk management — Vocabulary. ISO 9001:2008 standard provides risk-based preventive action requirements in subclause 8.5.3.

The Risk Management Process section of the INCOSE Systems Engineering Handbook: A Guide for Systems Life Cycle Processes and Activities, 4th Edition, provides a comprehensive overview of risk management which is intended to be consistent with the Risk Management Process section of ISO 15288.

## Risk Planning

Risk planning establishes and maintains a strategy for identifying, analyzing, handling, and monitoring risks within the project. The strategy, both the process and its implementation, is documented in a risk management plan (RMP).

The risk management process and its implementation should be tailored to each project and updated as appropriate throughout the life of the project. The RMP should be transmitted in an appropriate means to the project team and key stakeholders.

The risk management strategy includes as necessary the risk management process of all supply chain suppliers and describes how risks from all suppliers will be raised to the next level(s) for incorporation in the project risk process.

The context of the Risk Management process should include a description of stakeholders' perspectives, risk categories, and a description (perhaps by reference) of the technical and managerial objectives, assumptions and constraints. The risk categories include the relevant technical areas of the system and facilitate identification of risks across the life cycle of the system. As noted in ISO 31000 the aim of this step is to generate a comprehensive list of risks based on those events that might create, enhance, prevent, degrade, accelerate or delay the achievement of objectives.

The RMP should contain key risk management information; Conrow (2003) identifies the following as key components of RMP:

- a project summary
- project acquisition and contracting strategies
- key definitions
- a list of key documents
- process steps
- inputs, tools and techniques, and outputs per process step
- linkages between risk management and other project processes
- key ground rules and assumptions
- risk categories
- buyer and seller roles and responsibilities
- organizational and personnel roles and responsibilities

Generally, the level of detail in an RMP is risk-driven, with simple plans for low risk projects and detailed plans for high risk projects.

## Risk Identification

Risk identification is the process of examining the project products, processes, and requirements to identify and document candidate risks. Risk identification should be performed continuously at the individual level as well as through formerly structured events at both regular intervals and following major program changes (e.g., project initiation, re-baselining, change in acquisition phase, etc.).

Conrow (2009) states that systems engineers should use one or more top-level approaches (e.g., work breakdown structure (WBS), key processes evaluation, key requirements evaluation, etc.) and one or more lower-level approaches (e.g., affinity, brainstorming, checklists and taxonomies, examining critical path activities, expert judgment, Ishikawa diagrams, etc.) in risk identification. For example, lower-level checklists and taxonomies exist for software risk identification (Conrow and Shishido 1997, 83-89, p. 84; Boehm 1989, 115-125, Carr et al. 1993, p. A-2) and operational risk identification (Gallagher et al. 2005, p. 4), and have been used on a wide variety of programs. The top and lower-level approaches are essential but there is no single accepted method — all approaches should be examined and used as appropriate.

Candidate risk documentation should include the following items where possible, as identified by Conrow (2003 p.198):

- risk title
- structured risk description
- applicable risk categories
- potential root causes
- relevant historical information
- responsible individual and manager

It is important to use structured risk descriptions such as an *if-then* format: *if* (an event occurs--trigger), *then* (an outcome or affect occurs). Another useful construct is a *condition* (that exists) that leads to a potential *consequence* (outcome) (Gluch 1994). These approaches help the analyst to better think through the potential nature of the risk.

Risk analysis and risk handling activities should only be performed on approved risks to ensure the best use of scarce resources and maintain focus on the correct risks.

## Risk Analysis

Risk analysis is the process of systematically evaluating each identified, approved risk to estimate the probability of occurrence (likelihood) and consequence of occurrence (impact), and then converting the results to a corresponding risk level or rating.

There is no *best* analysis approach for a given risk category. Risk scales and a corresponding matrix, simulations, and probabilistic risk assessments are often used for technical risks, while decision trees, simulations and payoff matrices are used for cost risk; and simulations are used for schedule risk. Risk analysis approaches are sometimes grouped into qualitative and quantitative methods. A structured, repeatable methodology should be used in order to increase analysis accuracy and reduce uncertainty over time.

The most common qualitative method (typically) uses ordinal probability and consequence scales coupled with a risk matrix (also known as a risk cube or mapping matrix) to convert the resulting values to a risk level. Here, one or more probability of occurrence scales, coupled with three consequences of occurrence scales (cost, performance, schedule) are typically used. Mathematical operations should not be performed on ordinal scale values to prevent erroneous results (Conrow 2003, p. 187-364).

Once the risk level for each risk is determined, the risks need to be prioritized. Prioritization is typically performed by risk level (e.g., low, medium, high), risk score (the pair of max (probability), max (consequence) values), and other considerations such as time-frame, frequency of occurrence, and interrelationship with other risks (Conrow 2003, pp. 187-364). An additional prioritization technique is to convert results into an estimated cost, performance, and schedule value (e.g., probability budget consequence). However, the result is only a point estimate and not a distribution of risk.

Widely used quantitative methods include decision trees and the associated expected monetary value analysis (Clemen and Reilly 2001), modeling and simulation (Law 2007; Mun 2010; Vose 2000), payoff matrices (Kerzner 2009, p. 747-751), probabilistic risk assessments (Kumamoto and Henley 1996; NASA 2002), and other techniques. Risk prioritization can directly result from the quantitative methods employed. For quantitative approaches, care is needed in developing the model structure, since the results will only be as good as the accuracy of the structure, coupled with the characteristics of probability estimates or distributions used to model the risks (Law 2007; Evans, Hastings, and Peacock 2011).

If multiple risk facets exist for a given item (e.g., cost risk, schedule risk, and technical risk) the different results should be integrated into a cohesive three-dimensional *picture* of risk. Sensitivity analyses can be applied to both qualitative and quantitative approaches in an attempt to understand how potential variability will affect results. Particular emphasis should be paid to compound risks (e.g., highly coupled technical risks with inadequate fixed budgets and schedules).

## Risk Handling

Risk handling is the process that identifies and selects options and implements the desired option to reduce a risk to an acceptable level, given program constraints (budget, other resources) and objectives (DAU 2003a, 20-23, 70-78).

For a given system-of-interest (SoI), risk handling is primarily performed at two levels. At the system level, the overall ensemble of system risks is initially determined and prioritized and second-level draft risk element plans (REP's) are prepared for handling the risks. For more complex systems, it is important that the REP's at the higher SoI level are kept consistent with the system RMPs at the lower SoI level, and that the top-level RMP preserves continuing risk traceability across the SoI.

The risk handling strategy selected is the combination of the most desirable risk handling option coupled with a suitable implementation approach for that option (Conrow 2003). Risk handling options include assumption, avoidance, control (mitigation), and transfer. All four options should be evaluated and the best one chosen for each risk. An appropriate implementation approach is then chosen for that option. Hybrid strategies can be developed that include more than one risk handling option, but with a single implementation approach. Additional risk handling strategies can also be developed for a given risk and either implemented in parallel with the primary strategy or be made a contingent strategy that is implemented if a particular trigger event occurs during the execution of the primary strategy. Often, this choice is difficult because of uncertainties in the risk probabilities and impacts. In such cases, buying information to reduce risk uncertainty via prototypes, benchmarking, surveying, modeling, etc. will clarify risk handling decisions (Boehm 1981).

## Risk Handling Plans

A risk handling plan (RHP - a REP at the system level), should be developed and implemented for all *high* and *medium* risks and selected *low* risks as warranted.

As identified by Conrow (2003, 365-387), each RHP should include:

- a risk owner and management contacts
- selected option
- implementation approach
- estimated probability and consequence of occurrence levels at the start and conclusion of each activity
- specific measurable exit criteria for each activity
- appropriate metrics
- resources needed to implement the RHP

Metrics included in each RHP should provide an objective means of determining whether the risk handling strategy is on track and whether it needs to be updated. On larger projects these can include earned value, variation in schedule and technical performance measures (TPMs), and changes in risk level vs. time.

The activities present in each RHP should be integrated into the project's integrated master schedule or equivalent; otherwise there will be ineffective risk monitoring and control.

## Risk Monitoring

Risk monitoring is used to evaluate the effectiveness of risk handling activities against established metrics and provide feedback to the other risk management process steps. Risk monitoring results may also provide a basis to update RHPs, develop additional risk handling options and approaches, and re-analyze risks. In some cases, monitoring results may also be used to identify new risks, revise an existing risk with a new facet, or revise some aspects of risk planning (DAU 2003a, p. 20). Some risk monitoring approaches that can be applied include earned value, program metrics, TPMs, schedule analysis, and variations in risk level. Risk monitoring approaches should be updated and evaluated at the same time and WBS level; otherwise, the results may be inconsistent.

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## Opportunity and Opportunity Management

In principle, opportunity management is the duality to risk management, with two components: (1) probability of achieving an improved outcome and (2) impact of achieving the outcome. Thus, both should be addressed in risk management planning and execution. In practice, however, a positive opportunity exposure will not match a negative risk exposure in utility space, since the positive utility magnitude of improving an expected outcome is considerably less than the negative utility magnitude of failing to meet an expected outcome (Canada 1971; Kahneman-Tversky 1979). Further, since many opportunity-management initiatives have failed to anticipate serious side effects, all candidate opportunities should be thoroughly evaluated for potential risks to prevent unintended consequences from occurring.

In addition, while opportunities may provide potential benefits for the system or project, each opportunity pursued may have associated risks that detract from the expected benefit. This may reduce the ability to achieve the anticipated effects of the opportunity, in addition to any limitations associated with not pursuing an opportunity.

## Linkages to Other Systems Engineering Management Topics

The measurement process provides indicators for risk analysis. Project planning involves the identification of risk and planning for stakeholder involvement. Project assessment and control monitors project risks. Decision management evaluates alternatives for selection and handling of identified and analyzed risks.

## Practical Considerations

Key pitfalls and good practices related to systems engineering risk management are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in performing risk management are below in Table 1.

**Table 1. Risk Management Pitfalls. (SEBoK Original)**

Name	Description
Process Over-Reliance	<ul style="list-style-type: none"> <li>Over-reliance on the process side of risk management without sufficient attention to human and organizational behavioral considerations.</li> </ul>
Lack of Continuity	<ul style="list-style-type: none"> <li>Failure to implement risk management as a continuous process. Risk management will be ineffective if it's done just to satisfy project reviews or other discrete criteria. (Charette, Dwinnell, and McGarry 2004, 18-24 and Scheinin 2008).</li> </ul>
Tool and Technique Over-Reliance	<ul style="list-style-type: none"> <li>Over-reliance on tools and techniques, with insufficient thought and resources expended on how the process will be implemented and run on a day-to-day basis.</li> </ul>
Lack of Vigilance	<ul style="list-style-type: none"> <li>A comprehensive risk identification will generally not capture all risks; some risks will always escape detection, which reinforces the need for risk identification to be performed continuously.</li> </ul>
Automatic Mitigation Selection	<ul style="list-style-type: none"> <li>Automatically select the risk handling mitigation option, rather than evaluating all four options in an unbiased fashion and choosing the "best" option.</li> </ul>
Sea of Green	<ul style="list-style-type: none"> <li>Tracking progress of the risk handling plan, while the plan itself may not adequately include steps to reduce the risk to an acceptable level. Progress indicators may appear "green" (acceptable) associated with the risk handling plan: budgeting, staffing, organizing, data gathering, model preparation, etc. However, the risk itself may be largely unaffected if the handling strategy and the resulting plan are poorly developed, do not address potential root cause(s), and do not incorporate actions that will effectively resolve the risk.</li> </ul>
Band-Aid Risk Handling	<ul style="list-style-type: none"> <li>Handling risks (e.g., interoperability problems with changes in external systems) by patching each instance, rather than addressing the root cause(s) and reducing the likelihood of future instances.</li> </ul>

## Good Practices

Some good practices gathered from the references are below in Table 2.

**Table 2. Risk Management Good Practices. (SEBoK Original)**

Name	Description
Top Down and Bottom Up	<ul style="list-style-type: none"> <li>Risk management should be both “top down” and “bottom up” in order to be effective. The project manager or deputy need to own the process at the top level, but risk management principles should be considered and used by all project personnel.</li> </ul>
Early Planning	<ul style="list-style-type: none"> <li>Include the planning process step in the risk management process. Failure to adequately perform risk planning early in the project phase contributes to ineffective risk management.</li> </ul>
Risk Analysis Limitations	<ul style="list-style-type: none"> <li>Understand the limitations of risk analysis tools and techniques. Risk analysis results should be challenged because considerable input uncertainty and/or potential errors may exist.</li> </ul>
Robust Risk Handling Strategy	<ul style="list-style-type: none"> <li>The risk handling strategy should attempt to reduce both the probability and consequence of occurrence terms. It is also imperative that the resources needed to properly implement the chosen strategy be available in a timely manner, else the risk handling strategy, and the entire risk management process, will be viewed as a “paper tiger.”</li> </ul>
Structured Risk Monitoring	<ul style="list-style-type: none"> <li>Risk monitoring should be a structured approach to compare actual vs. anticipated cost, performance, schedule, and risk outcomes associated with implementing the RHP. When ad-hoc or unstructured approaches are used, or when risk level vs. time is the only metric tracked, the resulting risk monitoring usefulness can be greatly reduced.</li> </ul>
Update Risk Database	<ul style="list-style-type: none"> <li>The risk management database (registry) should be updated throughout the course of the program, striking a balance between excessive resources required and insufficient updates performed. Database updates should occur at both a tailored, regular interval and following major program changes.</li> </ul>

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# Configuration Management

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The purpose of configuration management (CM) is to establish and maintain the integrity of all of the identified outputs of a project or process and make them available to concerned parties (ISO/IEC/IEEE 2015). Unmanaged changes to system artifacts (such as those associated with plans, requirements, design, software, hardware, testing, and documentation) can lead to problems that persist throughout the system life cycle. Hence, one primary objective of CM is to manage and control the change to such artifacts.

## Configuration Management Process Overview

CM is the discipline of identifying and formalizing the functional and physical characteristics of a configuration item at discrete points in the product evolution for the purpose of maintaining the integrity of the product system and controlling changes to the baseline. The baseline for a project contains all of the technical requirements and related cost and schedule requirements that are sufficiently mature to be accepted and placed under change control by the project manager. The project baseline consists of two parts: the technical baseline and the business baseline. The systems engineer is responsible for managing the technical baseline and ensuring that it is consistent with the costs and schedules in the business baseline. Typically, the project control office manages the business baseline.

The ANSI/GEIA EIA-649-A standard presents CM from the viewpoint that configuration management practices are employed because they make good business sense rather than because requirements are imposed by an external customer (ANSI/GEIA 2005). The standard discusses CM principles and practices from an enterprise view; it does not prescribe which CM activities individual organizations or teams within the enterprise should perform. Each enterprise assigns responsibilities in accordance with its own management policy. See also the Implementation Guide for Configuration Management, which supports and provides further information on this standard (ANSI/GEIA October 2005).

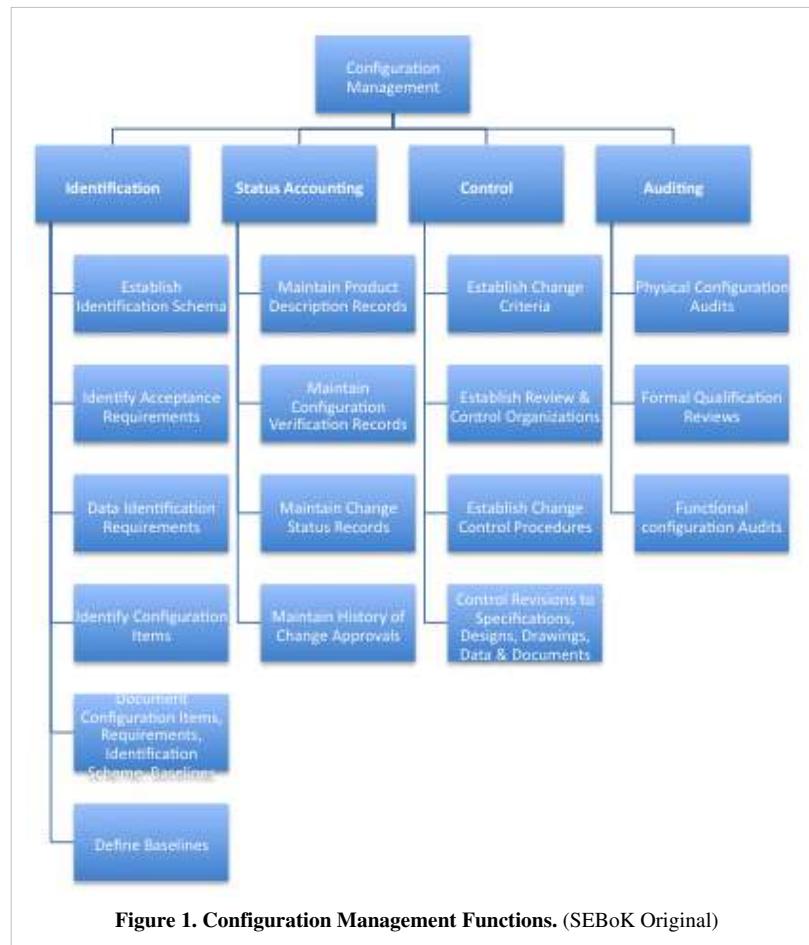
Effective CM depends on the establishment, maintenance, and implementation of an effective process. The CM process should include, but is not limited to, the following activities:

- identification and involvement of relevant stakeholders
- setting of CM goals and expected outcomes
- identification and description of CM tasks
- assignment of responsibility and authority for performing the CM process tasks
- establishment of procedures for monitoring and control of the CM process
- measurement and assessment of the CM process effectiveness

As a minimum the CM process should incorporate and detail the following tasks (SEI 2010):

- identifying the configuration of selected work products that compose the baselines at given points in time
- controlling changes to configuration items
- building or providing specifications to build work products from the configuration management system
- maintaining the integrity of baselines
- providing accurate status and current configuration data to developers, end users, and customers

Figure 1 below shows the primary functions of systems CM.



## Planning

The CM plan must be developed in consideration of the organizational context and culture; it must adhere to or incorporate applicable policies, procedures, and standards and it must accommodate acquisition and subcontractor situations. A CM plan details and schedules the tasks to be performed as part of the CM process including: configuration identification, change control, configuration status accounting, configuration auditing, and release management and delivery.

## Configuration Identification

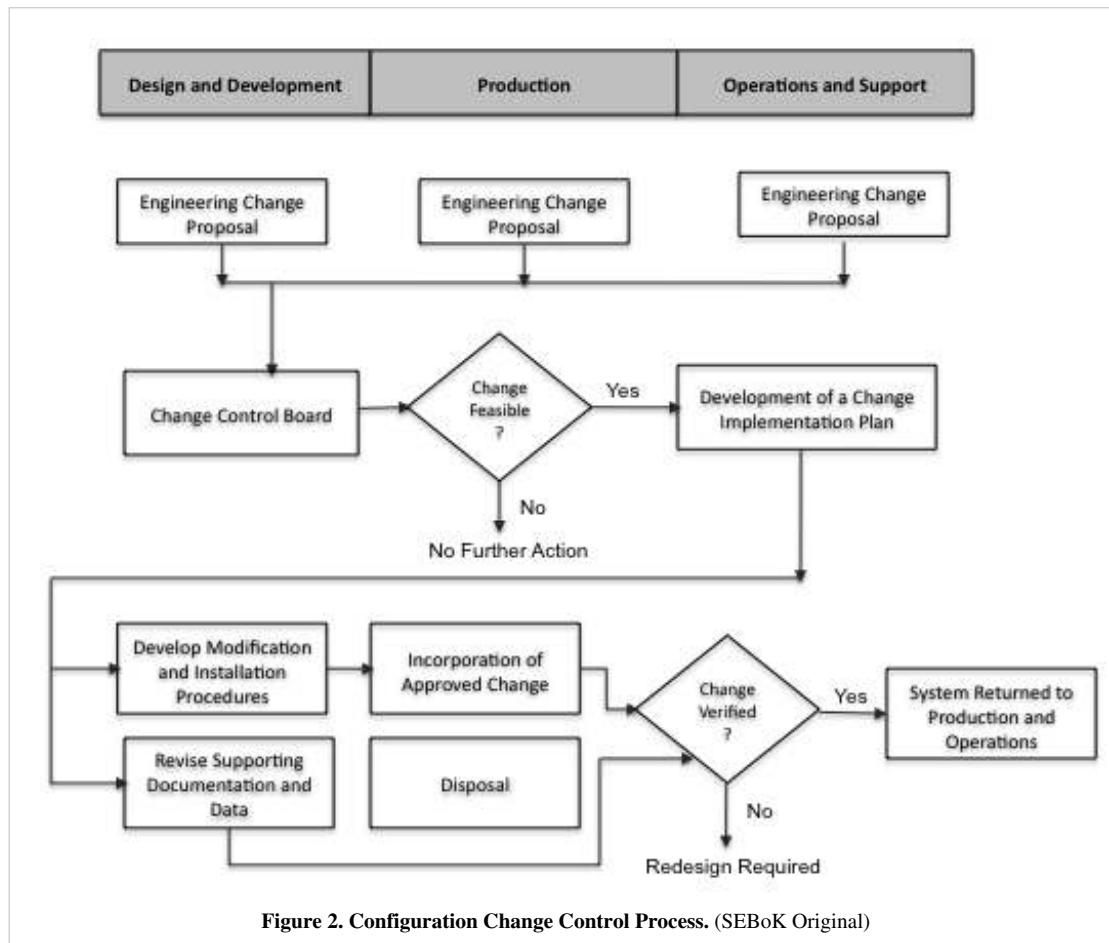
This activity is focused on identifying the configuration items which will be managed and controlled under a CM process. The identification activity involves establishing a procedure for labeling items and their versions. The labeling provides a context for each item within the system configuration and shows the relationship between system items.

## Establishing Baseline

Configuration items are typically assembled into a baseline which specifies how a system will be viewed for the purposes of management, control, and evaluation. This baseline is fixed at a specific point in time in the system life cycle and represents the current approved configuration. It generally can only be changed through formal change procedures.

## Change Control

A disciplined change control process is critical for systems engineering. A generalized change control process in response to an engineering change proposal (ECP) is shown in Figure 2 below, which is adapted from Systems Engineering and Analysis (Blanchard and Fabrycky 1999).



## Configuration Auditing

Audits are independent evaluations of the current status of configuration items and determine conformance of the configuration activities to the CM process. Adherence to applicable CM plans, regulations, and standards, is typically assessed during audits.

## Constraints and Guidance

Constraints affecting and guiding the CM process come from a number of sources. Policies, procedures, and standards set forth at corporate or other organizational levels might influence or constrain the design and implementation of the CM process. Also, the contract with an acquirer or supplier may contain provisions affecting the CM process. The system life cycle process adopted and the tools, methods, and other processes used in system development can affect the CM process (Bourque and Fairley 2014). There are a variety of sources for guidance on the development of a CM process. These include the ISO standards on system life cycle processes (ISO/IEC/IEEE 15288 2015) and configuration management guidelines (ISO 10007 2003), as well as the *Guide to The Software Engineering Body of Knowledge* (SWEBOK) (Bourque and Fairley 2014), and the CMMI for Development (SEI 2010).

## Organizational Issues

Successful CM planning, management, and implementation requires an understanding of the organizational context for the design and implementation of the CM process and why constraints are placed upon it. To plan a CM process for a project, it is necessary to understand the organizational context and the relationships among the organizational elements. CM interacts with other organizational elements, which may be structured in a number of ways. Although the responsibility for performing certain CM tasks might be assigned to other parts of the organization, the overall responsibility for CM often rests with a distinct organizational element or designated individual (Bourque and Fairley 2014).

## Measurement

In order to carry out certain CM functions, such as status accounting and auditing, as well as to monitor and assess the effectiveness of CM processes, it is necessary to measure and collect data related to CM activities and system artifacts. CM libraries and automated report tools provide convenient access and facilitation of data collection. Examples of metrics include the size of documentation artifacts, number of change requests, mean time to change to a configuration item, and rework costs.

## Tools

CM employs a variety of tools to support the process, for example:

- library management
- tracking and change management
- version management
- release management

The INCOSE Tools Database Working Group (INCOSE TDWG 2010) maintains an extensive list of tools including configuration management.

## Linkages to Other Systems Engineering Management Topics

Configuration management is involved in the management and control of artifacts produced and modified throughout the system life cycle in all areas of system definition, system realization, system deployment and use, and product and service life management. This includes CM application to the artifacts of all the other management processes (plans, analyses, reports, statuses, etc.).

## Practical Considerations

Key pitfalls and good practices related to systems engineering CM are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing CM are in Table 1.

**Table 1. Configuration Management Pitfalls. (SEBoK Original)**

Name	Description
Shallow Visibility	<ul style="list-style-type: none"> <li>Not involving all affected disciplines in the change control process.</li> </ul>
Poor Tailoring	<ul style="list-style-type: none"> <li>Inadequate CM tailoring to adapt to the project scale, number of subsystems, etc.</li> </ul>
Limited CM Perspective	<ul style="list-style-type: none"> <li>Not considering and integrating the CM processes of all contributing organizations including COTS vendors and subcontractors.</li> </ul>

## Good Practices

Some good practices gathered from the references are provided in Table 2 below.

**Table 2. Configuration Management Good Practices. (SEBoK Original)**

Name	Description
Cross-Functional CM	<ul style="list-style-type: none"> <li>Implement cross-functional communication and CM processes for software, hardware, firmware, data, or other types of items as appropriate.</li> </ul>
Full Lifecycle Perspective	<ul style="list-style-type: none"> <li>Plan for integrated CM through the life cycle. Do not assume that it will just happen as part of the program.</li> </ul>
CM Planning	<ul style="list-style-type: none"> <li>Processes are documented in a single, comprehensive CM plan early in the project. The plan should be a (systems) CM plan.</li> <li>Include tools selected and used.</li> </ul>
Requirements Traceability	<ul style="list-style-type: none"> <li>Initiate requirements traceability at the start of the CM activity.</li> </ul>
CCB Hierarchy	<ul style="list-style-type: none"> <li>Use a hierarchy of configuration control boards commensurate with the program elements.</li> </ul>
Consistent Identification	<ul style="list-style-type: none"> <li>Software CI and hardware CI use consistent identification schemes.</li> </ul>
CM Automation	<ul style="list-style-type: none"> <li>Configuration status accounting should be as automated as possible.</li> </ul>

Additional good practices can be found in ISO/IEC/IEEE (2009, Clause 6.4) and INCOSE (2010, sec. 5.4.1.5).

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# Information Management

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The information management (IM) process is a set of activities associated with the collection and management of information from one or more sources and the distribution of that information to one or more audiences. Information, in its most restricted technical sense, is an ordered sequence of symbols that record or transmit a message. The key idea is that information is a collection of facts that is organized in such a way that they have additional value beyond the value of the facts themselves. The systems engineer is both the generator and recipient of information products; thus, the systems engineer has a vital stake in the success of the development and use of the IM process and IM systems.

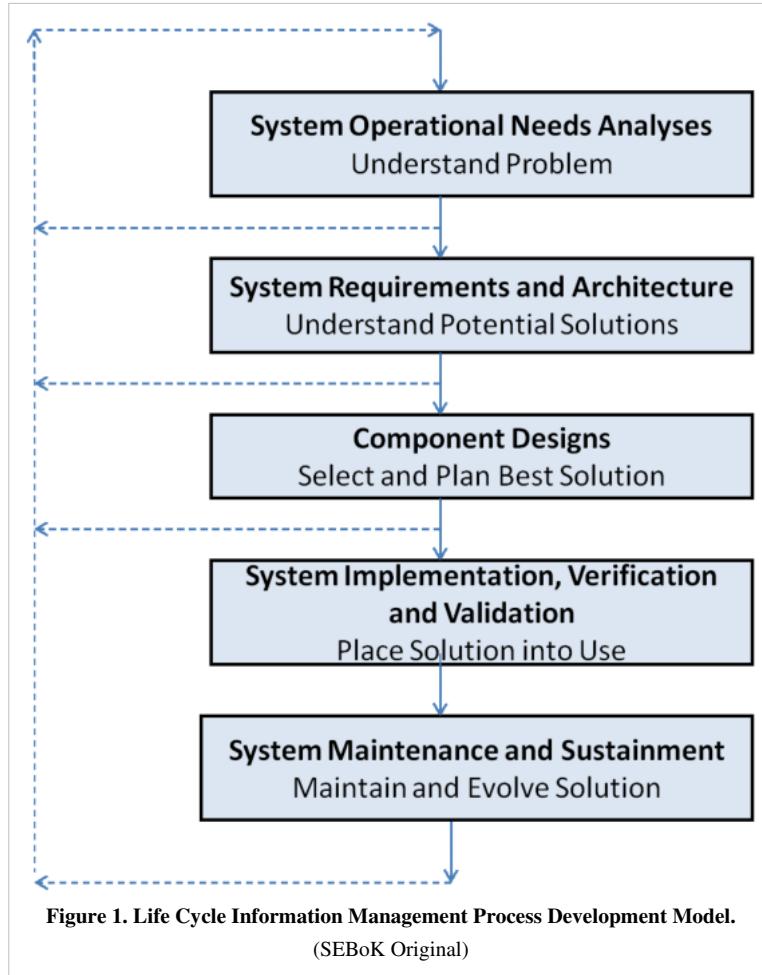
## Overview

Information can exist in many forms in an organization; some information is related to a specific system development program and some is held at an enterprise level and made available to programs as required. It may be held in electronic format or in physical form (for instance, paper drawings or documents, microfiche or other photographic records).

The IM process includes a set of interrelated activities associated with information systems, systems of systems (SoS), architectures, services, nested hardware/platforms, and people. Fundamentally, this process is a set of activities that are concerned with improvements in a variety of human problem-solving endeavors. This includes the design, development, and use of technologically based systems and processes that enhance the efficiency and effectiveness of information and associated knowledge in a variety of strategic/business, tactical, and operational situations.

Management refers to the organization of and control over process activities associated with the structure, processing, and delivery of information. For example, the organizational structure must have management processes capable of managing this information throughout the information life cycle regardless of source or format (e.g., data, paper documents, electronic documents, audio, video, etc.) for delivery through multiple channels that may include cell phones and web interfaces.

A computer-based IM system is an organized combination of people, hardware, software, communication networks, and the data resources that collect, transform, and disseminate information in an organization. From the perspective of the systems engineer, the IM process is a cycle of inter-related information activities to be planned for, designed, and coordinated. Numerous life cycle development process models exist. Figure 1 below is a high-level process model that emphasizes the role of systems engineering (SE) in IM.



The SE function in the development of an IM system is concerned with several rate-limiting architecture and design variables, (e.g., information sharing, quality, security, efficiency, compliance, etc.) that should be considered up-front in the life cycle development process. Each of these variables can be subdivided into architecture and design considerations for the information system-of-interest (SoI). For example, quality can be viewed in terms of data validity, consistency, and comprehensiveness. Figure 2 provides an overview of information management considerations.

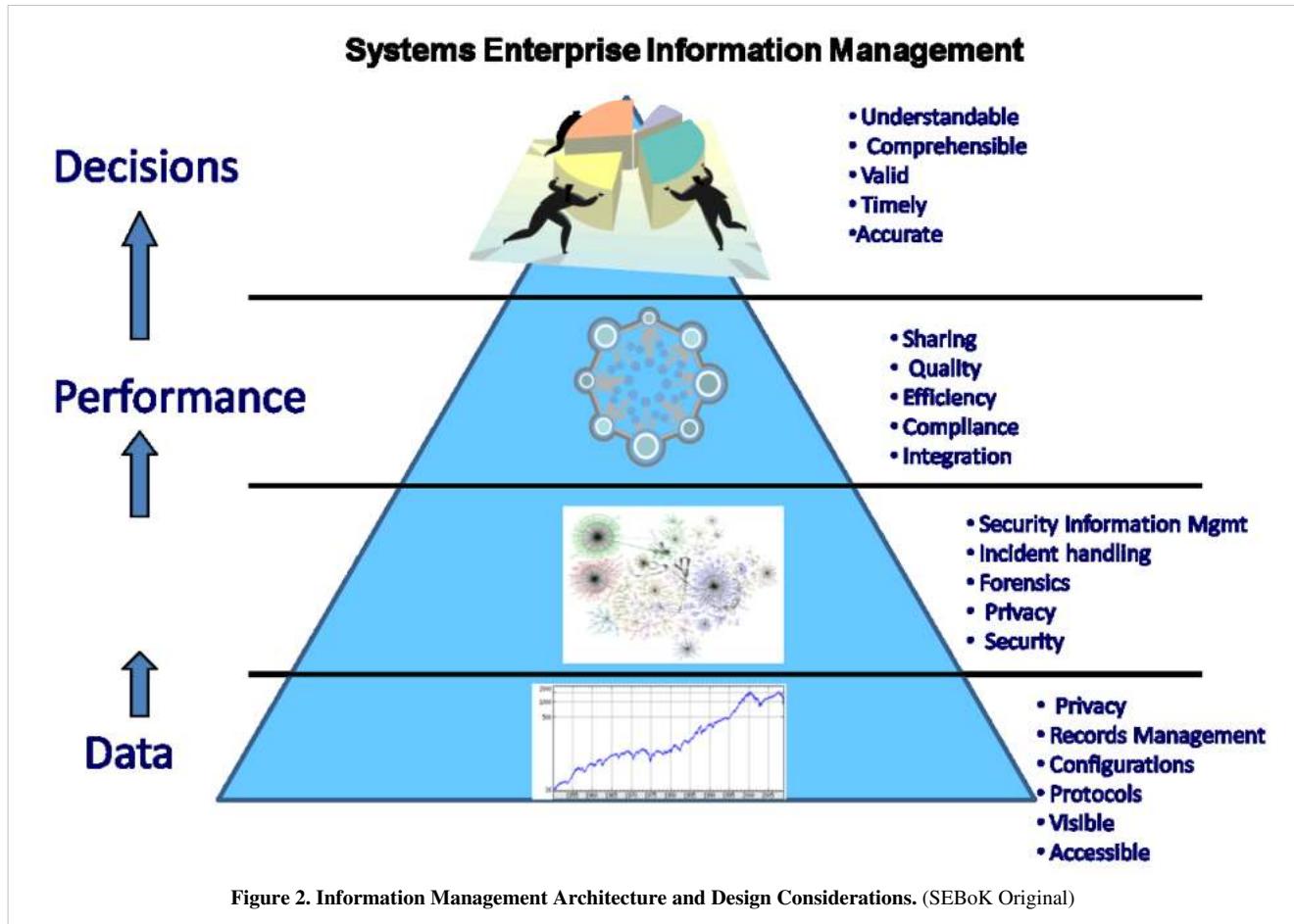


Figure 2. Information Management Architecture and Design Considerations. (SEBoK Original)

The effective and efficient employment of IM systems should solve business needs. These needs can center on several business objectives, such as efficiency, effectiveness, competitiveness, or profitability. From a business enterprise perspective, the systems engineer may be involved in several activities that support the development of IM systems, such as strategic planning, analyses of technology/business trends, development of applications, understanding operational disciplines, resource control techniques, and assessment of organization structures.

The IM process ensures that necessary information is created, stored, retained, protected, managed, and made easily available to those with a need and who are permitted access. It also ensures that information is disposed of when it is no longer relevant.

## The Information Management Process

To quote from ISO/IEC/IEEE 15288 (2015):

*The purpose of the Information Management Process is to generate, obtain, confirm, transform, retain, retrieve, disseminate and dispose of information, to designated stakeholders...*

*Information management plans, executes, and controls the provision of information to designated stakeholders that is unambiguous, complete, verifiable, consistent, modifiable, traceable, and presentable.*

The first step in the IM process is to plan IM. The output of this step is the IM strategy or plan. The second step is to perform IM. The outputs of this step are the creation, population and maintenance of one or more information repositories, together with the creation and dissemination of information management reports.

## Plan Information Management

Issues that should be considered when creating the IM strategy/plan include:

- Scope
  - What information has to be managed?
  - How long will the information need to be retained?
  - Is a system data dictionary required to be able to "tag" information for ease of search and retrieval?
  - Will the media that will be used for the management of the information be physical, electronic, or both?
  - Have a work in progress (WIP) and formally released information already been considered when establishing data repositories?
- Constraints
  - What level of configuration control must be applied to the information?
  - Are there any regulatory requirements relating to the management of information for this project, including export control requirements?
  - Are there any customer requirements or agreements relating to the management of project information?
  - Are there any industry standards relating to the management of project information?
  - Are there any organization/enterprise directives, procedures, or standards relating to the management of project information?
  - Are there any project directives, procedures, or standards relating to the management of project information?
- Control/Security
  - Who is allowed access to the information? This could include people working on the project, other members of the organization/enterprise, customers, partners, suppliers and regulatory authorities.
  - Are there requirements to protect the information from unauthorized access? This could include intellectual property (IP) rights that have to be respected - for instance, if information from suppliers is to be stored and there is the possibility of a supplier gaining access to information belonging to a competitor who is also a supplier for the project.
  - What data repository or repositories are to be used?
    - Has the volume of information to be stored been considered when selecting repositories?
    - Has speed of access and search been considered when selecting repositories?
    - If electronic information is to be stored, what file formats are allowed?
    - Have requirements been defined to ensure that the information being stored is valid?
    - Have requirements been defined to ensure that information is disposed of correctly when it is no longer required to be stored, or when it is no longer valid? For instance, has a review period been defined for each piece of information?
- Life Cycle
  - If electronic information is to be stored for a long time, how will it be "future-proofed?" For instance, are neutral file formats available, or will copies of the software that created or used the information be retained?
  - Have disaster recovery requirements been considered – e.g., if a server holding electronic information is destroyed, are there back-up copies of the information? Are the back-up copies regularly accessed to show that information recovery is flawless?
  - Is there a formal requirement to archive designated information for compliance with legal (including regulatory), audit, and information retention requirements? If so, has an archive and archiving method been defined?
  - Some information may not be required to be stored (e.g., the results files for analyses when the information occupies a large volume and can be regenerated by the analysis tool and the input file). However, if the cost to re-generate the information is high, consider doing a cost/benefit analysis for storage versus regeneration.

## Perform Information Management

Issues that should be considered when performing information management include:

- Is the information valid (is it traceable to the information management strategy/plan and the list of information to be managed)?
- Has the workflow for review and approval of information been defined to transfer information from "work in progress" to "released"?
- Are the correct configuration management requirements being applied to the information? Has the information been baselined?
- Have the correct "tags" been applied to the information to allow for easy search and retrieval?
- Have the correct access rules been applied to the information? Can users access the information that they are permitted to access, and only this information?
- If required, has the information been translated into a neutral file format prior to storage?
- Has a review date been set for assessing the continued validity of the information?
- Has the workflow for review and removal of unwanted, invalid, or unverifiable information (as defined in organization/enterprise policy, project policy, security or intellectual property requirements) been defined?
- Has the information been backed up and has the backup recovery system been tested?
- Has designated information been archived in compliance with legal (including regulatory), audit, and information retention requirements?
- Does the IM system satisfy defined performance requirements - for instance, speed of access, availability, and searchability?

## Linkages to Other Systems Engineering Management Topics

The systems engineering IM process is closely coupled with the system definition, planning, and CM processes. The requirements for IM are elicited from stakeholders as part of the system definition process. What/when information is to be stored in the systems engineering lifecycle is defined in the planning process and configuration control requirements are defined in the CM process.

## Practical Considerations

Key pitfalls and good practices related to IM are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing IM are provided in Table 1:

**Table 1. Information Management Pitfalls. (SEBoK Original)**

Pitfall Name	Pitfall Description
No Data Dictionary	<ul style="list-style-type: none"><li>• Not defining a data dictionary for the project may result in inconsistencies in naming conventions for information and proliferation of meta-data "tags", which reduces the accuracy and completeness of searches for information and adding search time performance.</li></ul>
No Metadata	<ul style="list-style-type: none"><li>• Not "tagging" information with metadata or tagging inconsistently may result in searches being based on metadata tags, which are ineffective and can overlook key information.</li></ul>
No Back-Up Verification	<ul style="list-style-type: none"><li>• Not checking that information can be retrieved effectively from a back-up repository when access to the back-up is needed may result in one discovering that the back-up information is corrupted or not accessible.</li></ul>
Access Obsolescence	<ul style="list-style-type: none"><li>• This refers to saving information in an electronic format which eventually ceases to be accessible and not retaining a working copy of the obsolete software to be able to access the information.</li></ul>

Inadequate Long-Term Retention	<ul style="list-style-type: none"> <li>This refers to the error of archiving information on an electronic medium that does not have the required durability to be readable through the required retention life of the information and not regularly accessing and re-archiving the information.</li> </ul>
Inadequate Validity Maintenance	<ul style="list-style-type: none"> <li>Not checking the continued validity of information results in outdated or incorrect information being retained and used.</li> </ul>

## Good Practices

Some good practices gathered from the references are provided in Table 2:

**Table 2. Information Management Good Practices. (SEBoK Original)**

Good Practice Name	Good Practice Description
Guidance	<ul style="list-style-type: none"> <li>The DAMA Guide to the Data Management Body of Knowledge provides an excellent, detailed overview of IM at both the project and enterprise level.</li> </ul>
Information as an Asset	<ul style="list-style-type: none"> <li>Recognize that information is a strategic asset for the organization and needs to be managed and protected.</li> </ul>
Information Storage Capacity	<ul style="list-style-type: none"> <li>Plan for the organization's information repository storage capacity to need to double every 12 to 18 months.</li> </ul>
Effective Information Access	<ul style="list-style-type: none"> <li>Information that sits in a repository adds no value. It only adds value when it is used, so the right people need to be able to access the right information easily and quickly.</li> </ul>
Data Modeling	<ul style="list-style-type: none"> <li>Invest time and effort in designing data models that are consistent with the underlying structure and information needs of the organization.</li> </ul>
Quality Management	<ul style="list-style-type: none"> <li>The cost impact of using poor quality information can be enormous. Be rigorous about managing the quality of information.</li> </ul>
Information Repository Design	<ul style="list-style-type: none"> <li>The impact of managing information poorly can also be enormous (e.g., violating intellectual property or export control rules).</li> <li>Make sure that these requirements are captured and implemented in the information repository, and that all users of the repository are aware of the rules that they need to follow and the penalties for infringement.</li> </ul>

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## Additional References

None.

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**SEBoK v. 2.7, released 31 October 2022**

# Quality Management

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**Lead Authors:** Quong Wang, Massood Towhidnejad, David Olwell, **Contributing Authors:** Dick Fairley, Garry Roedler

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Whether a systems engineer delivers a product, a service, or an enterprise, the deliverable should meet the needs of the customer and be fit for use. Such a deliverable is said to be of high quality. The process to assure high quality is called quality management.

## Overview

Over the past 80 years, a *quality movement* has emerged to enable organizations to produce high quality deliverables. This movement has gone through four stages:

1. **Acceptance Sampling** was developed to apply statistical tests to assist in the decision of whether or not to accept a lot of material based on a random sample of its content.
2. **Statistical Process Control (SPC)** was developed to determine if production processes were stable. Instead of necessarily measuring products, processes are measured instead. Processes that departed from a state of statistical control were far more likely to develop low quality deliverables.
3. **Design for Quality** focused on designing processes that were robust against causes of variation, reducing the likelihood that a process would go out of control, and accordingly reducing the monitoring requirements.
4. **Six sigma** methods are applied the tools and power of statistical thinking to improve other aspects of the organization.

## Definitions

The American Society for Quality <sup>[1]</sup> provides the following definitions:

- Acceptance Sampling involves the inspection of a sample to decide whether to accept the entire lot. There are two types of sampling:
  - In attributes sampling, the presence or absence of a characteristic is noted in each of the units inspected.
  - In variables sampling, the numerical magnitude of a characteristic is measured and recorded for each inspected unit. This involves reference to a continuous scale of some kind.
- SPC is the application of statistical techniques to control a process. It is often used interchangeably with the term “statistical quality control.”
- Quality is a subjective term for which each person or sector has its own definition. In technical usage, quality can have two meanings:

- The characteristics of a product or service that bear on its ability to satisfy stated or implied needs.
- A product or service free of deficiencies. According to Joseph Juran, quality means "fitness for use." According to Philip Crosby, it means "conformance to requirements."
- Six Sigma is a method that provides organizations with tools to improve the capability of their business processes. This increase in performance and decrease in process variation leads to defect reduction and improvement in profits, employee morale, and quality of products or services. Six Sigma quality is a term generally used to indicate a process is well controlled ( $\pm 6$  s from the centerline in a control chart).

## Quality Attributes

Quality attributes, also known as quality factors, quality characteristics, or non-functional requirements, are a set of system functional and non-functional requirements that are used to evaluate the system performance. There are a large number of system quality attributes identified in the literature (e.g. MSDN 2010, Barbacci et al. 1995). Depending on the type of the system being considered, some of these attributes are more prominent than others. Ideally, a system would be optimized for all the quality attributes that are important to the stakeholders, but this is an impossible task. Therefore, it is important to conduct a trade-off analysis to identify the relationship between the attributes and establish whether a change in one attribute would positively or negatively affect any other attributes. An example of such trade-off is shown in Table 1 below. (See SEBoK discussion on specialty engineering for additional information on quality attributes.)

**Table 1. Attribute Trade Off. (SEBoK Original)**

	Flexibility	Maintainability	Reliability
Flexibility	+	-	
Maintainability	+		+
Reliability	-	+	

Finding the right set of quality attributes is the first step in quality control and management. In order to achieve high quality, quality must be measured, monitored, managed, and improved on. Therefore, in order to increase the overall system quality, it is necessary to:

- identify and prioritize the quality attributes
- identify the metrics that can be used for these attributes
- measure and monitor the attributes
- validate the measurements
- analyze the result of those measurements
- establish processes and procedures that result in improved system quality, based on the analysis.

## Quality Attributes for Products

Quality attributes for a product focus on the conformance to the specifications for the product; frequently these are manufacturing specifications. Examples include physical characteristics (length, weight, finish, capacity, etc.) being inside a given tolerance range. The physical characteristics can be related to the function of the product or to aesthetic qualities.

A single product may have a vector of quality attributes of high dimension as well as an associated region in which the vector is expected to be. Often the quality is summarized by saying the item is "in compliance" (if the vector is in the acceptable region) or "defective" (if the vector is outside the acceptable region).

## Quality Attributes for Services

Quality of services plays a major role in customer satisfaction, which is the measurement of the overall system quality. Services can be divided into two major categories: primary and secondary. The city public transportation system, the U.S. postal service, or the medical services provided by a hospital are all examples of primary services. Services that provide help to a customer are secondary services, which are typically referred to as a *customer service*. Identifying the appropriate quality attributes is critical in the quality management of services. Some examples of service quality attributes include: affordability, availability, dependability, efficiency, predictability, reliability, responsiveness, safety, security, usability, etc. Again, depending on the type of the service, some of these attributes are more prominent than the others.

For example, in the case of services that are provided by the hospital, one may potentially be more interested in the availability, reliability, and responsiveness than the security (typically hospitals are assumed to be safe) and the affordability (typically insurance covers the majority of the cost). Of course, if the patient does not have a good insurance coverage, then the importance of affordability will increase (de Knoning, 2006).

## Quality Attributes for Enterprises

An enterprise typically refers to a large, complex set of interconnected entities that includes people, technologies, processes, financial, and physical elements. Clearly, a typical enterprise has a number of internal and external stakeholders, and as a result there are a large number of quality attributes that will define its quality. Identifying the right set of attributes is typically more challenging in such a complex system. An example of an enterprise is the air traffic management system that is mainly responsible for the safe and efficient operation of the civil aviation within a country or collection of countries. There are many stakeholders that are concerned about the overall quality of the system, some example of these stakeholders and some of the primary quality attributes that they are concerned with are identified in Table 2.

**Table 2. Enterprise Stakeholders and their Quality Attributes. (SEBoK Original)**

Stakeholders	Primary Quality Attributes
Passengers	Safety, affordability, and reliability
Airlines	Adaptability, efficiency, and profitability
Air Traffic Controller	Safety, reliability, and usability
Hardware & Software Developers	Reliability, fault tolerance, and maintainability
Government/Regulatory Agency	Safety, reliability, affordability, etc.

## Measuring Quality Attributes

Quality cannot be achieved if it cannot be measured. The Measurement System Analysis (MSA) (Wheeler and Lynday 1989) is a set of measuring instruments that provide an adequate capability for a team to conduct appropriate measurements in order to monitor and control quality. The MSA is a collection of:

- **Tools** - measuring instruments, calibration, etc.
- **Processes** - testing and measuring methods, set of specifications, etc.
- **Procedures** - policies and procedures and methodologies that are defined by the company and/or regulatory agency
- **People** - personnel (managers, testers, analysis, etc.) who are involved in the measurement activities
- **Environment** - both environmental setting and physical setting that best simulate the operational environment and/or the best setting to get the most accurate measurements

Once the quality attributes are identified and prioritized, then the MSA supports the monitor and control of overall system quality.

Additional details about measurement are presented in the measurement article.

## Quality Management Strategies

### Acceptance Sampling

In acceptance sampling many examples of a product are presented for delivery. The consumer samples from the lot and each member of the sample is then categorized as either *acceptable* or *unacceptable* based on an attribute (attribute sampling) or measured against one or more metrics (variable sampling). Based on the measurements, an inference is made as to whether the lot meets the customer requirements.

There are four possible outcomes of the sampling of a lot, as shown in Table 3.

**Table 3. Truth Table - Outcomes of Acceptance Sampling. (SEBoK Original)**

	Lot Meets Requirement	Lot Fails Requirement
Sample Passes Test	No error	Consumer risk
Sample Fails Test	Producer risk	No error

A sample acceptance plan balances the risk of error between the producer and consumer. Detailed ANSI/ISO/ASQ standards describe how this allocation is performed (ANSI/ISO/ASQ A3534-2-1993: *Statistics—Vocabulary and Symbols—Statistical Quality Control*).

### Statistical Process Control

SPC is a method that was invented by Walter A. Shewhart (1931) that adopts statistical thinking to monitor and control the behaviors and performances of a process. It involves using statistical analysis techniques as tools in appropriate ways, such as providing an estimate of the variation in the performance of a process, investigating the causes of this variation, and offering the engineer the means to recognize when the process is not performing as it should based on the data. (Mary et al. 2006, 441). In this context, *performance* is measured by how well the process is performed.

The theory of quality management emphasizes managing processes by fact and maintaining systematic improvement. All product developments are a series of interconnected processes that have variation in their results. Understanding variation with SPC technology can help the process executors understand the facts of their processes and find the improvement opportunities from a systematic view.

Control charts are common tools in SPC. The control chart is also called the Shewhart 3-sigma chart. It consists of 3 limit lines: the center line, which is the mean of statistical samples, and the upper and lower control limit lines, which are calculated using the mean and standard deviation of statistical samples. The observed data points or their statistical values are drawn in the chart with time or other sequence orders. Upper and lower control limits indicate the thresholds at which the process output will be considered as *unlikely*. There are two sources of process variation. One is common cause variation, which is due to inherent interaction among process components. Another is assignable cause, which is due to events that are not part of the normal process. SPC stresses bringing a process into a state of statistical control, where only common cause variation exists, and keeping it in control. A control chart is used to distinguish between variation in a process resulting from common causes and assignable causes.

If the process is in control, and if standard assumptions are met, points will demonstrate a normal distribution around the control limit. Any points outside either of the limits, or in systematic patterns, imply a new source of variation would be introduced. A new variation means increased quality cost. Additional types of control charts exist,

including: cumulative sum charts that detect small, persistent step change model departures and moving average charts, which use different possible weighting schemes to detect persistent changes (Hawkins and Olwell 1996).

## Design for Quality

Variation in the inputs to a process usually results in variation in the outputs. Processes can be designed, however, to be robust against variation in the inputs. Response surface experimental design and analysis is the statistical technique that is used to assist in determining the sensitivity of the process to variations in the input. Such an approach was pioneered by Taguchi.

## Six Sigma

Six sigma methodology (Pyzdek and Keller, 2009) is a set of tools to improve the quality of business processes; in particular, to improve performance and reduce variation. Six sigma methods were pioneered by Motorola and came into wide acceptance after they were championed by General Electric.

Problems resulting in variation are addressed by six sigma projects, which follow a five-stage process:

1. **Define** the problem, the stakeholders, and the goals.
2. **Measure** key aspects and collect relevant data.
3. **Analyze** the data to determine cause-effect relationships.
4. **Improve** the current process or **design** a new process.
5. **Control** the future state or **verify** the design.

These steps are known as **DMAIC** for existing processes and **DMADV** for new processes. A variant of six sigma is called lean six sigma wherein the emphasis is on improving or maintaining quality while driving out waste.

## Standards

Primary standards for quality management are maintained by ISO, principally the ISO 9000 series [2]. The ISO standards provide requirements for the quality management systems of a wide range of enterprises, without specifying how the standards are to be met. The key requirement is that the system must be audited. ISO standards have world-wide acceptance.

In the United States, the Malcolm Baldrige National Quality Award presents up to three awards in six categories: manufacturing, service company, small business, education, health care, and nonprofit. The Baldrige Criteria [3] have become de facto standards for assessing the quality performance of organizations.

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- [2] [http://www.iso.org/iso/iso\\_catalogue/management\\_and\\_leadership\\_standards/quality\\_management.htm](http://www.iso.org/iso/iso_catalogue/management_and_leadership_standards/quality_management.htm)
- [3] <http://www.nist.gov/baldridge/publications/criteria.cfm>

# Measurement

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**Lead Authors:** Garry Roedler, Ray Madachy

Measurement and the accompanying analysis are fundamental elements of systems engineering (SE) and technical management. SE measurement provides information relating to the products developed, services provided, and processes implemented to support effective management of the processes and to objectively evaluate product or service quality. Measurement supports realistic planning, provides insight into actual performance, and facilitates assessment of suitable actions (Roedler and Jones 2005, 1-65; Frenz et al. 2010).

Appropriate measures and indicators are essential inputs to tradeoff analyses to balance cost, schedule, and technical objectives. Periodic analysis of the relationships between measurement results and review of the requirements and attributes of the system provides insights that help to identify issues early, when they can be resolved with less impact. Historical data, together with project or organizational context information, forms the basis for the predictive models and methods that should be used.

## Fundamental Concepts

The discussion of measurement in this article is based on some fundamental concepts. Roedler et al. (2005, 1-65) states three key SE measurement concepts that are paraphrased here:

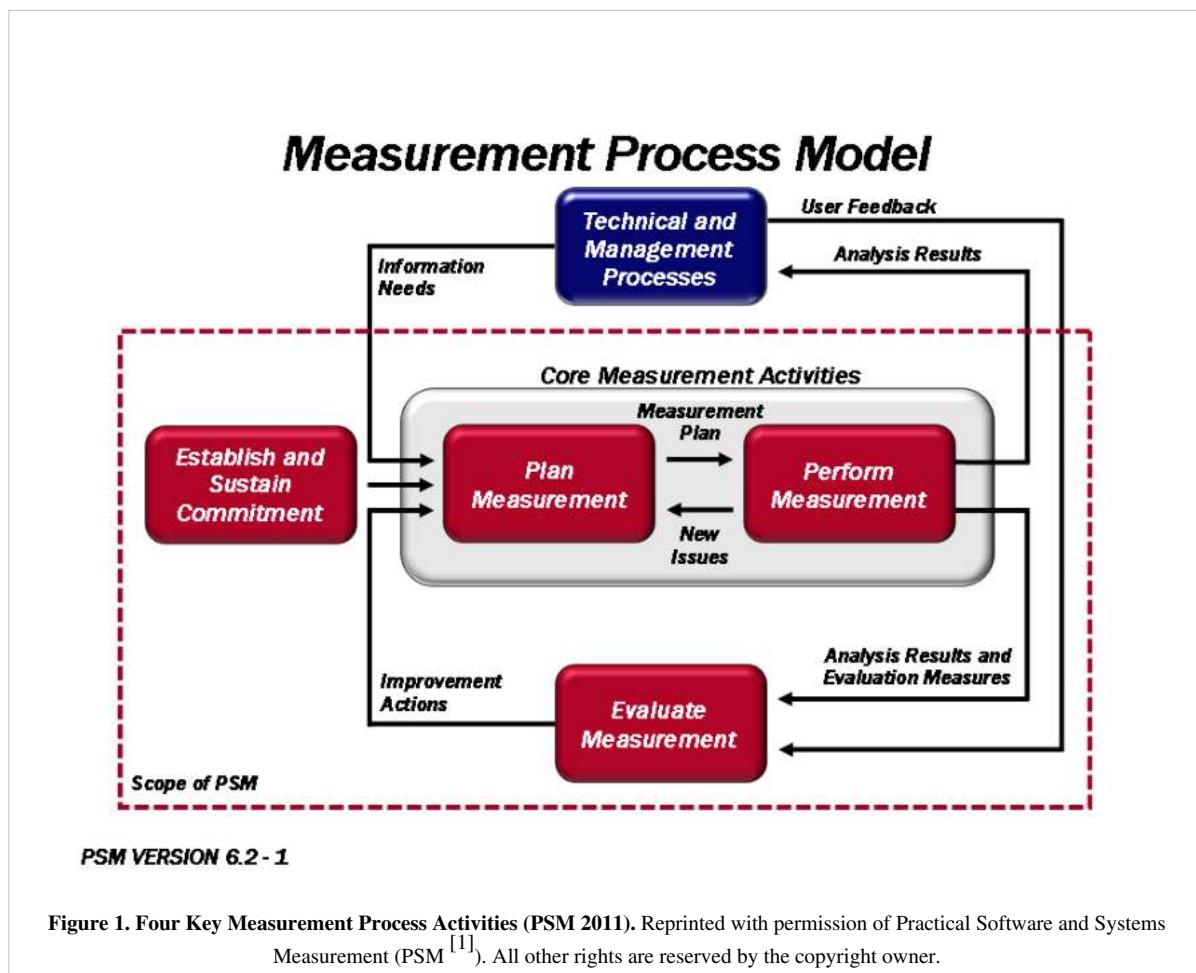
1. **SE measurement is a consistent but flexible process** tailored to the unique information needs and characteristics of a particular project or organization and revised as information needs change.
2. **Decision makers must understand what is being measured.** Key decision-makers must be able to connect *what is being measured* to *what they need to know* and *what decisions they need to make* as part of a closed-loop, feedback control process (Frenz et al. 2010).
3. **Measurement must be used to be effective.**

## Measurement Process Overview

The measurement process as presented here consists of four activities from Practical Software and Systems Measurement (PSM) (2011) and described in (ISO/IEC/IEEE 15939; McGarry et al. 2002):

1. establish and sustain commitment
2. plan measurement
3. perform measurement
4. evaluate measurement

This approach has been the basis for establishing a common process across the software and systems engineering communities. This measurement approach has been adopted by the Capability Maturity Model Integration (CMMI) measurement and analysis process area (SEI 2006, 10), as well as by international systems and software engineering standards (ISO/IEC/IEEE 15939; ISO/IEC/IEEE 15288, 1). The International Council on Systems Engineering (INCOSE) Measurement Working Group has also adopted this measurement approach for several of their measurement assets, such as the INCOSE SE Measurement Primer (Frenz et al. 2010) and Technical Measurement Guide (Roedler and Jones 2005). This approach has provided a consistent treatment of measurement that allows the engineering community to communicate more effectively about measurement. The process is illustrated in Figure 1 from Roedler and Jones (2005) and McGarry et al. (2002).



## Establish and Sustain Commitment

This activity focuses on establishing the resources, training, and tools to implement a measurement process and ensure that there is a management commitment to use the information that is produced. Refer to PSM (August 18, 2011) and SPC (2011) for additional detail.

## Plan Measurement

This activity focuses on defining measures that provide insight into project or organization information needs. This includes identifying what the decision-makers need to know and when they need to know it, relaying these information needs to those entities in a manner that can be measured, and identifying, prioritizing, selecting, and specifying measures based on project and organization processes (Jones 2003, 15-19). This activity also identifies the reporting format, forums, and target audience for the information provided by the measures.

Here are a few widely used approaches to identify the information needs and derive associated measures, where each can be focused on identifying measures that are needed for SE management:

- The PSM approach, which uses a set of information categories, measurable concepts, and candidate measures to aid the user in determining relevant information needs and the characteristics of those needs on which to focus (PSM August 18, 2011).
- The (GQM) approach, which identifies explicit measurement goals. Each goal is decomposed into several questions that help in the selection of measures that address the question and provide insight into the goal achievement (Park, Goethert, and Florac 1996).

- Software Productivity Center's (SPC's) 8-step Metrics Program, which also includes stating the goals and defining measures needed to gain insight for achieving the goals (SPC 2011).

The following are good sources for candidate measures that address information needs and measurable concepts/questions:

- PSM Web Site (PSM 2011)
- PSM Guide, Version 4.0, Chapters 3 and 5 (PSM 2000)
- SE Leading Indicators Guide, Version 2.0, Section 3 (Roedler et al. 2010)
- Technical Measurement Guide, Version 1.0, Section 10 (Roedler and Jones 2005, 1-65)
- Safety Measurement (PSM White Paper), Version 3.0, Section 3.4 (Murdoch 2006, 60)
- Security Measurement (PSM White Paper), Version 3.0, Section 7 (Murdoch 2006, 67)
- Measuring Systems Interoperability, Section 5 and Appendix C (Kasunic and Anderson 2004)
- Measurement for Process Improvement (PSM Technical Report), version 1.0, Appendix E (Statz 2005)

The INCOSE SE *Measurement Primer* (Frenz et al. 2010) provides a list of attributes of a good measure with definitions for each attribute; these attributes include *relevance*, *completeness*, *timeliness*, *simplicity*, *cost effectiveness*, *repeatability*, and *accuracy*. Evaluating candidate measures against these attributes can help assure the selection of more effective measures.

The details of each measure need to be unambiguously defined and documented. Templates for the specification of measures and indicators are available on the PSM website (2011) and in Goethert and Siviy (2004).

## Perform Measurement

This activity focuses on the collection and preparation of measurement data, measurement analysis, and the presentation of the results to inform decision makers. The preparation of the measurement data includes verification, normalization, and aggregation of the data, as applicable. Analysis includes estimation, feasibility analysis of plans, and performance analysis of actual data against plans.

The quality of the measurement results is dependent on the collection and preparation of valid, accurate, and unbiased data. Data verification, validation, preparation, and analysis techniques are discussed in PSM (2011) and SEI (2010). Per TL 9000, *Quality Management System Guidance, The analysis step should integrate quantitative measurement results and other qualitative project information, in order to provide managers the feedback needed for effective decision making* (QuEST Forum 2012, 5-10). This provides richer information that gives the users the broader picture and puts the information in the appropriate context.

There is a significant body of guidance available on good ways to present quantitative information. Edward Tufte has several books focused on the visualization of information, including *The Visual Display of Quantitative Information* (Tufte 2001).

Other resources that contain further information pertaining to understanding and using measurement results include

- PSM (2011)
- ISO/IEC/IEEE 15939, clauses 4.3.3 and 4.3.4
- Roedler and Jones (2005), sections 6.4, 7.2, and 7.3

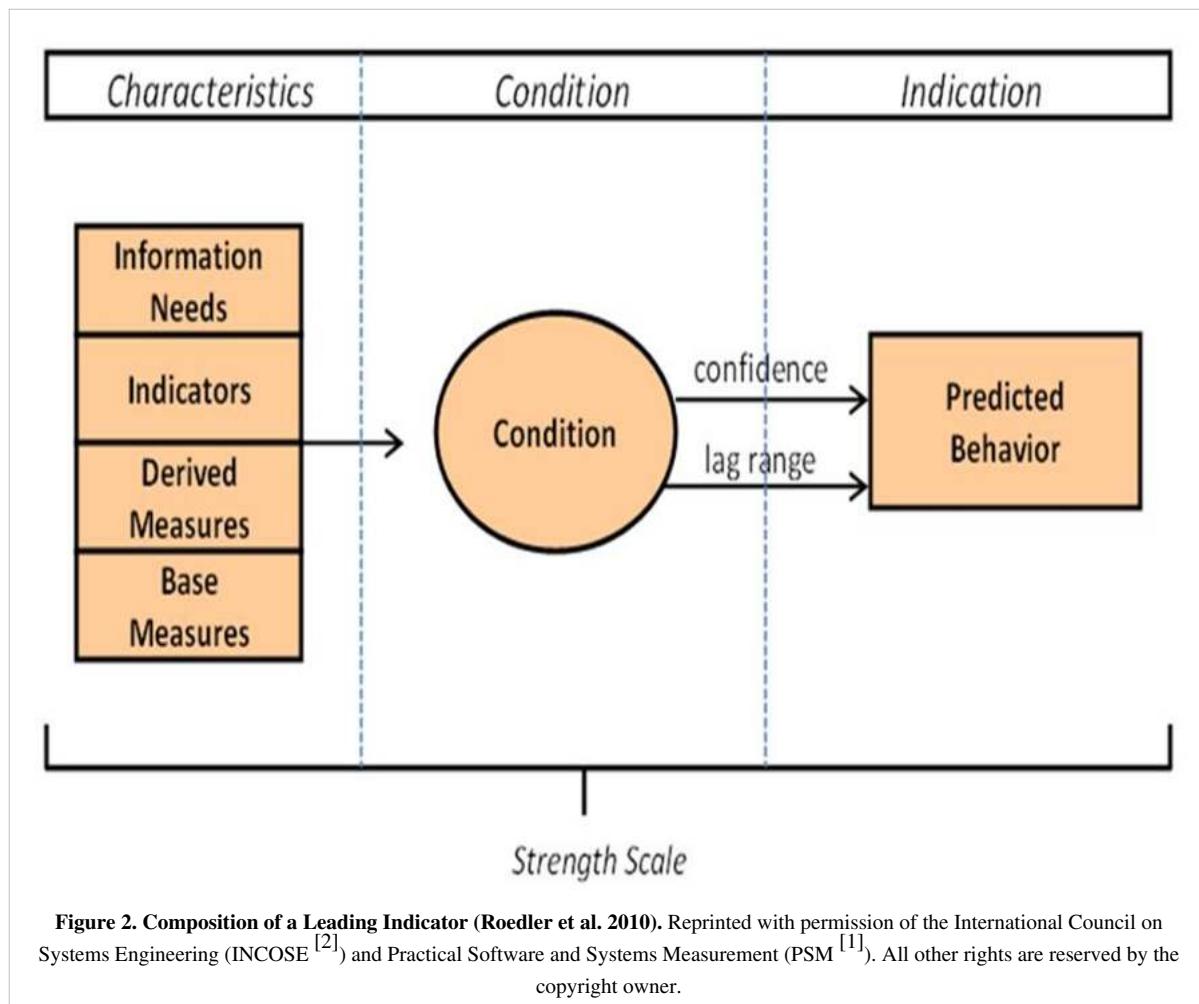
## Evaluate Measurement

This activity involves the analysis of information that explains the periodic evaluation and improvement of the measurement process and specific measures. One objective is to ensure that the measures continue to align with the business goals and information needs, as well as provide useful insight. This activity should also evaluate the SE measurement activities, resources, and infrastructure to make sure it supports the needs of the project and organization. Refer to PSM (2011) and *Practical Software Measurement: Objective Information for Decision Makers* (McGarry et al. 2002) for additional detail.

## Systems Engineering Leading Indicators

Leading indicators are aimed at providing predictive insight that pertains to an information need. A SE leading indicator is *a measure for evaluating the effectiveness of a how a specific activity is applied on a project in a manner that provides information about impacts that are likely to affect the system performance objectives* (Roedler et al. 2010). Leading indicators may be individual measures or collections of measures and associated analysis that provide future systems engineering performance insight throughout the life cycle of the system; they *support the effective management of systems engineering by providing visibility into expected project performance and potential future states* (Roedler et al. 2010).

As shown in Figure 2, a leading indicator is composed of characteristics, a condition, and a predicted behavior. The characteristics and conditions are analyzed on a periodic or as-needed basis to predict behavior within a given confidence level and within an accepted time range into the future. More information is also provided by Roedler et al. (2010).

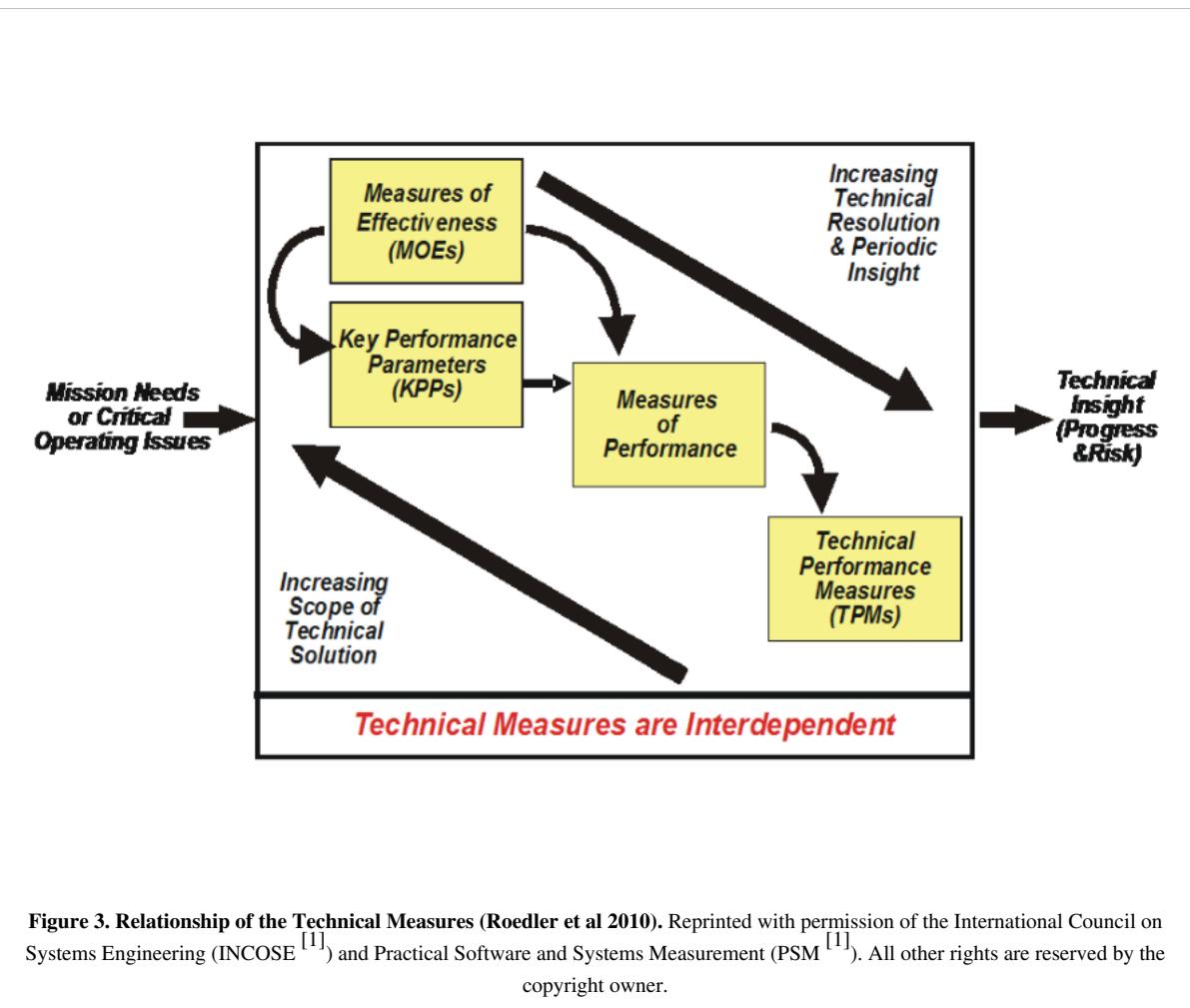


**Figure 2. Composition of a Leading Indicator (Roedler et al. 2010).** Reprinted with permission of the International Council on Systems Engineering (INCOSE [2]) and Practical Software and Systems Measurement (PSM [1]). All other rights are reserved by the copyright owner.

## Technical Measurement

Technical measurement is the set of measurement activities used to provide information about progress in the definition and development of the technical solution, ongoing assessment of the associated risks and issues, and the likelihood of meeting the critical objectives of the acquirer. This insight helps an engineer make better decisions throughout the life cycle of a system and increase the probability of delivering a technical solution that meets both the specified requirements and the mission needs. The insight is also used in trade-off decisions when performance is not within the thresholds or goals.

Technical measurement includes measures of effectiveness (MOEs), measures of performance (MOPs), and technical performance measures (TPMs) (Roedler and Jones 2005, 1-65). The relationships between these types of technical measures are shown in Figure 3 and explained in the reference for Figure 3. Using the measurement process described above, technical measurement can be planned early in the life cycle and then performed throughout the life cycle with increasing levels of fidelity as the technical solution is developed, facilitating predictive insight and preventive or corrective actions. More information about technical measurement can be found in the *NASA Systems Engineering Handbook, System Analysis, Design, Development: Concepts, Principles, and Practices*, and the *Systems Engineering Leading Indicators Guide* (NASA December 2007, 1-360, Section 6.7.2.2; Wasson 2006, Chapter 34; Roedler and Jones 2005).



**Figure 3. Relationship of the Technical Measures (Roedler et al 2010).** Reprinted with permission of the International Council on Systems Engineering (INCOSE<sup>[1]</sup>) and Practical Software and Systems Measurement (PSM<sup>[1]</sup>). All other rights are reserved by the copyright owner.

## Service Measurement

The same measurement activities can be applied for service measurement; however, the context and measures will be different. Service providers have a need to balance efficiency and effectiveness, which may be opposing objectives. Good service measures are outcome-based, focus on elements important to the customer (e.g., service availability, reliability, performance, etc.), and provide timely, forward-looking information.

For services, the terms critical success factors (CSF) and key performance indicators (KPI) are used often when discussing measurement. CSFs are the key elements of the service or service infrastructure that are most important to achieve the business objectives. KPIs are specific values or characteristics measured to assess achievement of those objectives.

More information about service measurement can be found in the *Service Design* and *Continual Service Improvement* volumes of BMP (2010, 1). More information on service SE can be found in the Service Systems Engineering article.

## Linkages to Other Systems Engineering Management Topics

SE measurement has linkages to other SEM topics. The following are a few key linkages adapted from Roedler and Jones (2005):

- Planning – SE measurement provides the historical data and supports the estimation for, and feasibility analysis of, the plans for realistic planning.
- Assessment and Control – SE measurement provides the objective information needed to perform the assessment and determination of appropriate control actions. The use of leading indicators allows for early assessment and control actions that identify risks and/or provide insight to allow early treatment of risks to minimize potential impacts.
- Risk Management – SE risk management identifies the information needs that can impact project and organizational performance. SE measurement data helps to quantify risks and subsequently provides information about whether risks have been successfully managed.
- Decision Management – SE Measurement results inform decision making by providing objective insight.

## Practical Considerations

Key pitfalls and good practices related to SE measurement are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing SE Measurement are provided in Table 1.

**Table 1. Measurement Pitfalls. (SEBoK Original)**

Name	Description
Golden Measures	<ul style="list-style-type: none"><li>• Looking for the one measure or small set of measures that applies to all projects.</li><li>• No one-size-fits-all measure or measurement set exists.</li><li>• Each project has unique information needs (e.g., objectives, risks, and issues).</li><li>• The one exception is that, in some cases with consistent product lines, processes, and information needs, a small core set of measures may be defined for use across an organization.</li></ul>
Single-Pass	<ul style="list-style-type: none"><li>• Viewing measurement as a single-pass activity.</li></ul>
Perspective	<ul style="list-style-type: none"><li>• To be effective, measurement needs to be performed continuously, including the periodic identification and prioritization of information needs and associated measures.</li></ul>
Unknown Information Need	<ul style="list-style-type: none"><li>• Performing measurement activities without the understanding of why the measures are needed and what information they provide.</li><li>• This can lead to wasted effort.</li></ul>
Inappropriate Usage	<ul style="list-style-type: none"><li>• Using measurement inappropriately, such as measuring the performance of individuals or making interpretations without context information.</li><li>• This can lead to bias in the results or incorrect interpretations.</li></ul>

## Good Practices

Some good practices gathered from the references are provided in Table 2.

**Table 2. Measurement Good Practices. (SEBoK Original)**

Name	Description
Periodic Review	<ul style="list-style-type: none"> <li>Regularly review each measure collected.</li> </ul>
Action Driven	<ul style="list-style-type: none"> <li>Measurement by itself does not control or improve process performance.</li> <li>Measurement results should be provided to decision makers for appropriate action.</li> </ul>
Integration into Project Processes	<ul style="list-style-type: none"> <li>SE Measurement should be integrated into the project as part of the ongoing project business rhythm.</li> <li>Data should be collected as processes are performed, not recreated as an afterthought.</li> </ul>
Timely Information	<ul style="list-style-type: none"> <li>Information should be obtained early enough to allow necessary action to control or treat risks, adjust tactics and strategies, etc.</li> <li>When such actions are not successful, measurement results need to help decision-makers determine contingency actions or correct problems.</li> </ul>
Relevance to Decision Makers	<ul style="list-style-type: none"> <li>Successful measurement requires the communication of meaningful information to the decision-makers.</li> <li>Results should be presented in the decision-makers' preferred format.</li> <li>Allows accurate and expeditious interpretation of the results.</li> </ul>
Data Availability	<ul style="list-style-type: none"> <li>Decisions can rarely wait for a complete or perfect set of data, so measurement information often needs to be derived from analysis of the best available data, complemented by real-time events and qualitative insight (including experience).</li> </ul>
Historical Data	<ul style="list-style-type: none"> <li>Use historical data as the basis of plans, measure what is planned versus what is achieved, archive actual achieved results, and use archived data as a historical basis for the next planning effort.</li> </ul>
Information Model	<ul style="list-style-type: none"> <li>The information model defined in ISO/IEC/IEEE (2007) provides a means to link the entities that are measured to the associated measures and the identified information need, and also describes how the measures are converted into indicators that provide insight to decision-makers.</li> </ul>

Additional information can be found in the *Systems Engineering Measurement Primer*, Section 4.2 (Frenz et al. 2010), and INCOSE *Systems Engineering Handbook*, Section 5.7.1.5 (2012).

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# Knowledge Area: Business and Mission Analysis

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## Business and Mission Analysis

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Concept Definition is the set of systems engineering (SE) activities in which the problem space and the needs and requirements of the business or enterprise and stakeholders are closely examined. The activities are grouped and described as generic processes which include Mission Analysis and Stakeholder Needs and Requirements. Concept Definition begins before any formal definition of the system-of-interest (SoI) is developed.

Mission Analysis focuses on the needs and requirements of business or enterprise — that is, on defining the problem or opportunity that exists (in what is often called the problem space or problem situation), as well as understanding the constraints on and boundaries of the selected system when it is fielded (in what is often called the solution space). The Stakeholder Needs and Requirements process explores and defines the operational aspects of a potential solution for the stakeholders from their point of view, independent of any specific solution. In these two Concept Definition activities, business or enterprise decision makers and other stakeholders describe *what* a solution should accomplish and *why* it is needed. Both *why* and *what* need to be answered before consideration is given to *how* the problem will be addressed (i.e., what type of solution will be implemented) and *how* the solution will be defined and developed.

If a new or modified system is needed, then System Definition activities are performed to assess the system. See Life Cycle Processes and Enterprise Need for further detail on the transformation of needs and requirements from the business or enterprise and stakeholder levels of abstraction addressed in Concept Definition to the system and system element level of abstraction addressed in System Definition.

The specific activities and sequence of Concept Definition activities and their involvement with the life cycle activities of any system, and in particular the close integration with System Definition activities, will be dependent upon the type of life cycle model being utilized. See Applying Life Cycle Processes for further discussion of the concurrent, iterative and recursive nature of these relationships.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Business or Mission Analysis
- Stakeholder Needs and Requirements

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 as well as topics covered in Part 3.

## Concept Definition Activities

There are two primary activities discussed under concept definition: Mission Analysis and the definition of Stakeholder Needs and Requirements:

1. Mission Analysis begins an iteration of the life cycle of a potential SoI that could solve a problem or realize an opportunity for developing a new product, service, or enterprise. These activities assist business or enterprise decision makers to define the problem space, identify the stakeholders, develop preliminary operational concepts, and distinguish environmental conditions and constraints that bound the solution space. In other words, mission analysis takes the enterprise capability gap or opportunity and defines the problem/opportunity in a manner that provides a common understanding encapsulated in what are referred to as "business or mission needs." Business or mission needs are then used to produce a clear, concise, and verifiable set of business requirements.
2. The Stakeholder Needs and Requirements activity works with stakeholders across the life cycle to elicit and capture a set of needs, expectations, goals, or objectives for a desired solution to the problem or opportunity, referred to as "stakeholder needs". The stakeholder needs are used to produce a clear, concise, and verifiable set of stakeholder requirements. Stakeholder needs and requirements identify and define the needs and requirements of the stakeholders in a manner that enables the characterization of the solution alternatives.

Mission Analysis takes the business and stakeholders' needs and requirements and carries the analysis down from problem space to solution space, including concept, mission, and boundary or context so that a solution concept (at the black-box level) can be selected from the alternatives. Figure 1 in the Mission Analysis topic depicts this interaction. The products and artifacts produced during Concept Definition are then used in System Definition.

The different aspects of how systems thinking is applicable to concept definition are discussed in SEBoK Part 2. In particular, the use of a combination of hard system and soft system approaches depending on the type of problem or class of solution is discussed in Identifying and Understanding Problems and Opportunities and the contrast between top-down and bottom-up approaches in Synthesizing Possible Solutions.

## Drivers of Solution on Problem Definition: Push Versus Pull

Problem definition and solution design depend on each other. Solutions should be developed to respond appropriately to well-defined problems. Problem definitions should be constrained to what is feasible in the solution space. System Analysis activities are used to provide the link between problems and solutions.

There are two paradigms that drive the ways in which concept definition is done: *push* and *pull*. The *pull* paradigm is based on providing a solution to an identified problem or gap, such as a missing mission capability for defense or infrastructure. The *push* paradigm is based on creating a solution to address a perceived opportunity, such as the emergence of an anticipated product or service that is attractive to some portion of the population (i.e. whether a current market exists or not). This can impact other life cycle processes, such as in verification and validation, or alpha/beta testing as done in some commercial domains.

As systems generally integrate existing and new system elements in a mixture of push and pull, it is often best to combine a bottom-up approach with a top-down approach to take into account legacy elements, as well as to identify the services and capabilities that must be provided in order to define applicable interface requirements and constraints. This is discussed in Applying Life Cycle Processes.

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# Business or Mission Analysis

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The starting point of engineering any system-of-interest (SoI) is understanding the socio-economic and technological context in which potential problems or opportunities reside. Then, the enterprise strategic goals and stakeholder needs, expectations, and requirements represent the problem or the opportunity from the viewpoint of business or enterprise decision makers while also taking into account the views of users, acquirers, and customers.

Mission Analysis (MA) is part of the larger set of concept definition activities - the set of systems engineering activities in which the problem space and the needs of the business or enterprise and stakeholders are closely examined. This occurs before any formal definition of the (SoI) is developed but may need to be revisited through the life cycle. In fact, the activities of Concept Definition determine whether the enterprise strategic goals and business needs will be addressed by a new system, a change to an existing system, a service, an operational change or some other solution. The MA activity focuses on the identification of the primary purpose(s) of the solution (its "mission"), while Stakeholder Needs and Requirements activity explores what capabilities stakeholders desire in accomplishing the mission and may include some detail on the performance of certain aspects of the solution. MA is often performed iteratively with the Stakeholder Needs and Requirements activity to better understand the problem (or opportunity) space, as well as the solution space.

## Purpose and Definition

The purpose of MA is to understand a mission/market problem or opportunity, analyze the solution space, and initiate the life cycle of a potential solution that could address the problem or take advantage of an opportunity. MA is a type of strategic or operations analysis related to needs, capability gaps, or opportunities and solutions that can be applied to any organization that evolves its strategy for its business objectives.

MA, in some domains called market analysis or business analysis, is the identification, characterization, and assessment of an operational problem or opportunity within an enterprise. The definition of a mission or business function in a problem space frames the solution, both in terms of the direct application to the mission or business function, and in terms of the context for the resulting solution.

MA is used to define needed (or desired) operational actions, not hardware/software functions; that is, it is focused on defining the problem space, not the solution space. MA begins with the business vision and Concept of Operations (ConOps) (IEEE. 1998), and other organization strategic goals and objectives including the mission (or business function). The primary products of MA are Business or Mission Needs, which are supported by preliminary life-cycle concepts—including a preliminary acquisition concept, a preliminary operational concept (OpsCon), a preliminary deployment concept, a preliminary support concept, and a preliminary retirement concept. Business or Mission Needs are then elaborated and formalized into Business or Mission Requirements. The preliminary operational concept includes the operational scenarios for the mission and the context in which the solution will exist.

MA may include mathematical analysis, modeling, simulation, visualization, and other analytical tools to characterize the intended mission and determine how to best achieve the needs/objectives. MA evaluates alternative approaches to determine which best supports the stakeholder needs (among both materiel and non-materiel solution alternatives, also known as product solutions and service/operational solutions). Thus, MA defines the problem space and analyzes the solution space alternatives using quality attribute constraints driven by the enterprise objectives.

## Principles and Concepts

### Mission Analysis and Concept of Operations

MA and the terms ConOps and OpsCon are broadly used in U.S. and UK defense and aerospace organizations to analyze and define how a system is intended to operate, as well as how the major operations or operational scenarios are intended to be performed. They take into account the strategic, operational, and tactical aspects of the identified scenarios. ANSI/AIAA G-043A-2012 (ANSI 2012) identifies that the terms ‘concept of operations’ and ‘operational concept’ are often used interchangeably but notes that an important distinction exists because each has a separate purpose and is used to meet different ends. The ConOps is at an organizational level, prepared by enterprise management and refined by business management:

*The ConOps, at the organization level, addresses the leadership's intended way of operating the organization. It may refer to the use of one or more systems (as black boxes) to forward the organization's goals and objectives. The ConOps document describes the organization's assumptions or intent in regard to an overall operation or series of operations within the business in regards to the system to be developed, existing systems, and possible future systems. This document is frequently embodied in long-range strategic plans and annual operational plans. The ConOps document serves as a basis for the organization to direct the overall characteristics of future business and systems.* (ISO/IEC 2011)

The ConOps informs the OpsCon, which is drafted by business management in the Mission Analysis activity and refined by stakeholders in the Stakeholder Needs and Requirements activity:

*A system OpsCon document describes what the system will do (not how it will do it) and why (rationale). An OpsCon is a user-oriented document that describes system characteristics of the to-be-delivered system from the user's viewpoint. The OpsCon document is used to communicate overall quantitative and qualitative system characteristics to the acquirer, user, supplier and other organizational elements.* (ISO/IEC 2011)

It should be noted that the OpsCon has an operational focus and should be supported by the development of other concepts, including a deployment concept, a support concept, and a retirement concept.

In order to determine appropriate technical solutions for evolving enterprise capabilities, systems engineering (SE) leaders interact with enterprise leaders and operations analysts to understand:

- the enterprise ConOps and future mission, business, and operational (MBO) objectives;
- the characterization of the operational concept and objectives (i.e., constraints, mission or operational scenarios, tasks, resources, risks, assumptions, and related missions or operations); and
- how specific missions or operations are currently conducted and what gaps exist in those areas.

They then conceptually explore and select from alternative candidate solutions. This interaction ensures a full understanding of both the problem space and the solution space. The alternative candidate solutions can include a wide range of approaches to address the need, as well as variants for an approach to optimize specific characteristics (e.g., using a different distribution of satellite orbit parameters to maximize coverage or events while minimizing the number of satellites). Analysis, modeling and simulation, and trade studies are employed to select alternative approaches (NDIA 2010).

The notions of mission analysis, ConOps and OpsCon are also used in industrial sectors, such as aviation administrations and aeronautic transportation, health care systems, and space with adapted definitions and/or terms, such as operational concepts, usage concepts and/or technological concepts. For example, “mission analysis” is the term used to describe the mathematical analysis of satellite orbits performed to determine how best to achieve the objectives of a space mission (ESA 2008).

In commercial sectors, MA is often primarily performed as market analysis. Wikipedia defines market analysis as a process that:

*. . . studies the attractiveness and the dynamics of a special market within a special industry. It is part of the industry analysis and this in turn of the global environmental analysis. Through all these analyses, the chances, strengths, weaknesses, and risks of a company can be identified. Finally, with the help of a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis, adequate business strategies of a company will be defined. The market analysis is also known as a documented investigation of a market that is used to inform a firm's planning activities, particularly around decisions of inventory, purchase, work force expansion/contraction, facility expansion, purchases of capital equipment, promotional activities, and many other aspects of a company.* (Wikipedia Contributors, 2012)

Anywhere these notions are used, it is evident that they are based on fundamental concepts, such as the operational mode (or state of the system), scenario (of actions), the enterprise level ConOps and the system level operational concepts, functions, etc. For more explanations about the ConOps and operational concept, refer to *Systems and Software Engineering - Requirements Engineering* (ISO/IEC 2011); useful information can be found in Annex A, "System Operational Concept," and Annex B, "Concept of Operations" (ISO/IEC 2011).

## Mission Analysis as Part of Enterprise Strategy Development

Periodically, most enterprises re-evaluate their strategy with respect to their mission, vision, and positioning to accomplish their goals. Figure 1 shows the interactions of the enterprise strategy development and the concept definition, including the MA and Stakeholder Needs and Requirements activities that are involved in an iterative manner to fully develop the strategy and define future capabilities and solutions.

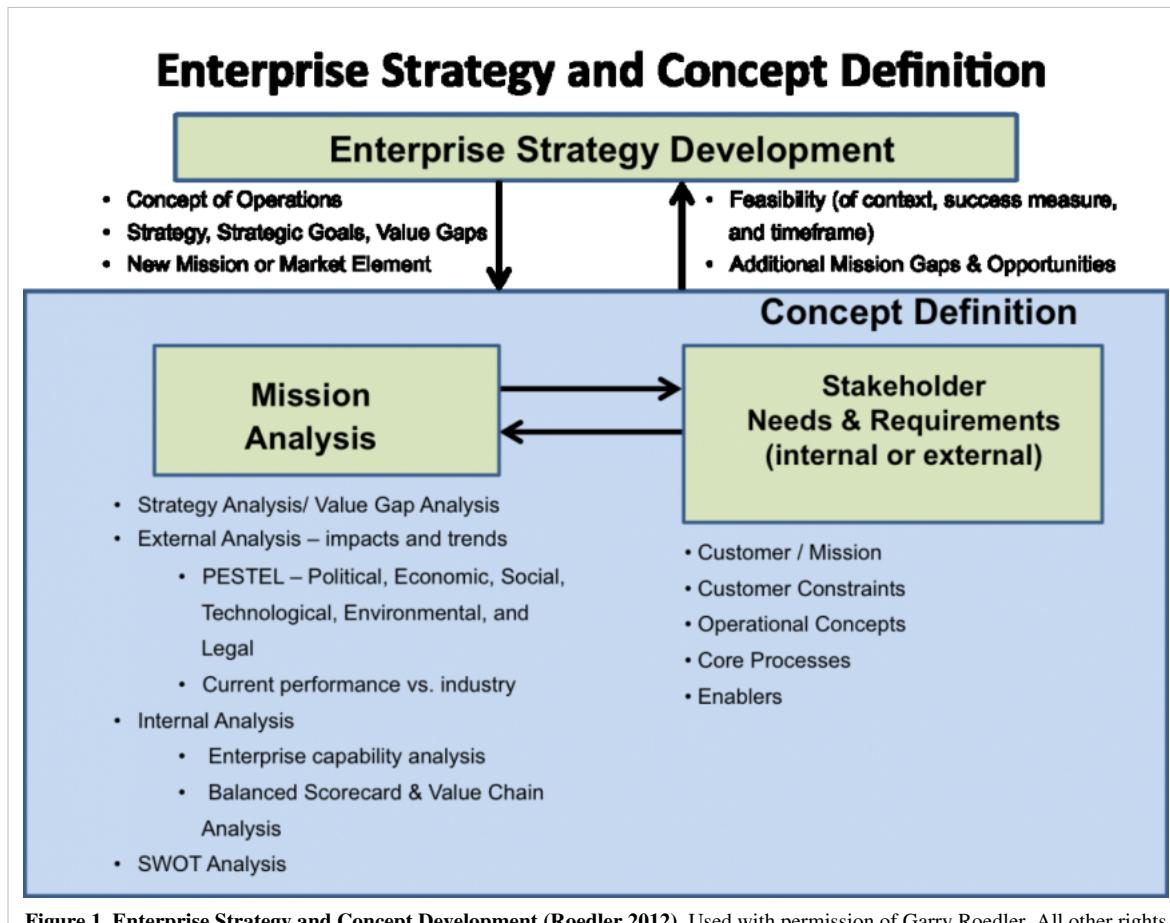


Figure 1. Enterprise Strategy and Concept Development (Roedler 2012). Used with permission of Garry Roedler. All other rights are reserved by the copyright owner.

As the enterprise evolves the strategy, it is essential to conduct the supporting MA or strategic analysis for each element of the enterprise to determine readiness to achieve future objectives. This analysis examines the current state to identify any problems or opportunities related to the objective achievement and aids the enterprise in fully understanding and defining the problem space. The analysis examines the external environment and interfaces in search of impacts and trends, as well as the internal enterprise to gauge its capabilities and value stream gaps. Additionally, a strengths, weaknesses, opportunities, and threats (SWOT) analysis may be performed. As the problem space is defined, the stakeholder needs are defined and transformed into stakeholder requirements that define the solutions needed. These requirements include those that address customer and mission needs, the future state of core processes and capabilities of the enterprise, and the enablers to support performance of those processes and capabilities. Finally, MA is engaged again to examine the solution space. Candidate solutions that span the potential solution space are identified, from simple operational changes to various system developments or modifications. Various techniques are applied to analyze the candidates, understand their feasibility and value, and select the best alternative.

## Process Approach

### Activities of the Process

It is necessary to perform the following major activities and tasks during the MA process:

1. Review and understand the enterprise mission, vision, and ConOps.
2. Identify and define any gaps and opportunities related to future evolution of the strategy:
  1. Examine the current state to identify any problems or opportunities related to the objective achievement, including any deficiencies of the existing system.
  2. Analyze the context of the actual political, economic, social, technological, environmental, and legal (PESTAL) factors, while studying sensitive factors such as cost and effectiveness, security and safety improvement, performance improvement or lack of existing systems, market opportunities, regulation changes, users' dissatisfaction, etc. External, internal, and SWOT analysis should be included as well. For the technological considerations, an appropriate architecture framework representation, such as the U.S. Department of Defense Architecture Framework (DoDAF) operations view (DoD 2010), the Zachman Framework (Rows 1 and 2) (Zachman 2008), and The Open Group Architecture Framework (TOGAF) Architecture Development Method (ADM) (The Open Group 2010) Phases A and B should be included within the concept definition when performing mission analysis and stakeholders needs and requirements.
  3. Define the mission, business, and/or operational problem or opportunity, as well as its context, and any key parameters, without focusing on a solution.
3. Examine and evaluate the solution space:
  1. Identify the main stakeholders (customers, users, administrations, regulations, etc.).
  2. Identify high level operational modes or states, or potential use cases.
  3. Identify candidate solutions that span the potential solution space, from simple operational changes to various system developments or modifications.
  4. Identify existing systems, products, and services that may address the need for operational or functional modifications.
  5. Deduce what potential expected services may be needed. The SoI is a potential and not yet existing product, service or enterprise. Additionally, the solution could be an operational change or a change to an existing product or service.
4. Perform appropriate modeling, simulation, and analytical techniques to understand the feasibility and value of the alternative candidate solutions. Model or simulate operational scenarios from these services and use cases, and enrich them through reviews with stakeholders and subject matter experts.

5. Define basic operational concept or market strategy, and/or business models.
  1. From previous modeled operational scenarios and operational modes, deduce and express the usage of operational concepts, or technical concepts.
  2. Collect and enrich needs, expectations, scenarios, and constraints.
  3. Validate the mission of any potential SoI in the context of any proposed market strategy or business model.
6. Evaluate the set of alternatives and select the best alternative.
  1. Perform a trade study of the alternatives to discriminate between the alternatives.
7. Provide feedback on feasibility, market factors, and alternatives for use in completion of the enterprise strategy and further actions.
8. Define preliminary deployment concept, preliminary support concept, and preliminary retirement concept.

## Mission Analysis Artifacts

This process may create several artifacts, such as:

- recommendations for revisions to the enterprise ConOps;
- preliminary operational concept document or inputs;
- mission analysis and definition reports (perhaps with recommendations for revisions of the mission);
- a set of business needs;
- preliminary life-cycle concepts (preliminary operational concept, preliminary deployment concept, preliminary support concept, and preliminary retirement concept);
- system analysis artifacts (e.g., use case diagrams, context diagrams, sequence/activity diagrams, functional flow block diagrams);
- trade study results (alternatives analysis);
- market study/analysis reports; and
- a set of business (or mission) requirements (often captured in a business requirement specification).

## Methods and Modeling Techniques

MA uses several techniques, such as:

- use case analysis;
- operational analysis;
- functional analysis;
- technical documentation review;
- trade studies;
- modeling;
- simulation;
- prototyping;
- workshops, interviews, and questionnaires;
- market competitive assessments;
- benchmarking; and
- organizational analysis techniques (e.g., strengths, weaknesses, opportunities, threats (SWOT analysis), and product portfolios).

## Practical Considerations

Major pitfalls encountered with mission analysis and marketing analysis are presented in Table 1.

**Table 1. Major Pitfalls for Mission Analysis. (SEBoK Original)**

Pitfall	Description
Wrong level of system addressed	When delineating the boundaries of the SoI and defining the mission and purpose of the system at the very beginning of systems engineering, a classic mistake is to place the system-of-interest at the wrong level of abstraction. The level of abstraction can be too high or too low (sitting respectively in the upper-system or in a sub-system). This is the consequence of the principle stating that a system is always included in a larger system and of confusing the purpose and the mission of the SoI.
Operational modes or scenarios missing	In commercial products or systems, the lack or insufficient description of operational modes and scenarios (how the SoI will be used, in which situations, etc.) is often encountered.

Proven practices with mission analysis and marketing analysis are presented in Table 2.

**Table 2. Mission Analysis Proven Practices. (SEBoK Original)**

Practice	Description
Models of operational scenarios	Using modeling techniques as indicated in sections above for operational scenarios in any kind of SoI (including commercial systems).
Models of the context	Consider the context of use as a system and force oneself to use modeling techniques for main aspects of the context (functional, behavioral, physical, etc.).

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# System Views

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Intro Paragraph

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None.

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None.

### Additional References

None.

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# Stakeholder Needs Definition

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Stakeholder needs and requirements represent the views of those at the business or enterprise operations level—that is, of users, acquirers, customers, and other stakeholders as they relate to the problem (or opportunity), as a set of requirements for a solution that can provide the services needed by the stakeholders in a defined environment. Using enterprise-level life cycle concepts (see Business or Mission Analysis for details) as guidance, stakeholders are led through a structured process to elicit stakeholder needs (in the form of a refined set of system-level life-cycle concepts). Stakeholder needs are transformed into a defined set of Stakeholder Requirements, which may be documented in the form of a model, a document containing textual requirement statements or both.

Stakeholder requirements play major roles in systems engineering, as they:

- Form the basis of system requirements activities.
- Form the basis of system validation and stakeholder acceptance .
- Act as a reference for integration and verification activities.
- Serve as means of communication between the technical staff, management, finance department, and the stakeholder community.

This topic describes the definition of stakeholder needs and requirements which involves the activities necessary to elicit and prioritize the needs of the stakeholder(s), and transform those needs into a set of defined stakeholder requirements. Defining the problem or the issue to be solved, identifying the opportunity for developing a new solution, or improving a system-of-interest (SoI) must begin prior to starting the activities necessary to define stakeholder needs and requirements. This means that an initial context of use of the new or modified mission, operation, or capability has already been characterized (see Business or Mission Analysis). System requirements are considered in detail during system definition. None of the above can be considered complete until consistency between the two has been achieved, as demonstrated by traceability, for which a number of iterations may be needed.

## Purpose and Definition

The purpose of the Stakeholder Needs and Requirements definition activities are to elicit a set of clear and concise needs related to a new or changed mission for an enterprise (see mission analysis (MA) for information relevant to identifying and defining the mission or operation), and to transform these stakeholder needs into verifiable stakeholder requirements.

Stakeholders may well begin with desires, and expectations that may contain vague, ambiguous statements that are difficult to use for SE activities. Care must be taken to ensure that those desires and expectations are coalesced into a set of clear and concise need statements that are useful as a start point for system definition. These need statements will then need to be further clarified and translated into more *engineering-oriented* language in a set of stakeholder requirements to enable proper architecture definition and requirement activities. As an example, a need or an expectation such as, *to easily manoeuvre a car in order to park*, will be transformed in a set of stakeholder requirements to a statement such as, *increase the drivability of the car, decrease the effort for handling, assist the piloting, protect the coachwork against shocks or scratches, etc.*

To allow a clear description of the activities of stakeholder needs and requirements to be described, a generic view of the business teams and roles involved in a typical enterprise has been used below., tThis includes teams such as business management and business operations;, and roles including requirements engineer and business analyst. For an overview of these roles and how they enable both stakeholder and business requirements across the layers of a typical enterprise see Life Cycle Processes and Enterprise Need.

## Principles and Concepts

### Identifying Stakeholders

Stakeholders of a SoI may vary throughout the life cycle. Thus, in order to get a complete set of needs and subsequent requirements, it is important to consider all stages of the life cycle model when identifying the stakeholders or classes of stakeholders.

Every system has its own stages of life, which typically include stages such as concept, development, production, operations, sustainment, and retirement (for more information, please see Life Cycle Models). For each stage, a list of all stakeholders having an interest in the future system must be identified. The goal is to get every stakeholder's point of view for every stage of the system life in order to consolidate a complete set of stakeholder needs that can be prioritized and transformed into the set of stakeholder requirements as exhaustively as possible. Examples of stakeholders are provided in Table 1.

**Table 1. Stakeholder Identification Based on Life Cycle Stages. (SEBoK Original)**

Life Cycle Stage	Example of Related Stakeholders
Engineering	Acquirer, panel of potential users, marketing division, research and development department, standardization body, suppliers, verification and validation team, production system, regulator/certification authorities, etc.
Development	Acquirer, suppliers (technical domains for components realization), design engineers, integration team, etc.
Transfer for Production or for Use	Quality control, production system, operators, etc.
Logistics and Maintenance	Supply chain, support services, trainers, etc.
Operation	Normal users, unexpected users, etc.
Disposal	Operators, certifying body, etc.

### Identifying Stakeholder Needs

Once business management is satisfied that their needs and requirements are reasonably complete, they pass them on to the business operations team. Here, the Stakeholder Needs and Requirements (SNR) Definition Process uses the ConOps, or Strategic Business Plan (SBP), and the life-cycle concepts as guidance. The requirements engineer (RE) or business analyst (BA) leads stakeholders from the business operations layer through a structured process to elicit stakeholder needs—in the form of a refined OpsCon (or similar document) and other life-cycle concepts. The RE or BA may use a fully or partially structured process to elicit specific needs, as described in models such as user stories, use cases, scenarios, system concepts, and operational concepts.

### Identifying Stakeholder Requirements

Stakeholder needs are transformed into a formal set of stakeholder requirements, which are captured as models or documented as textual requirements in and output typically called a Stakeholder Requirement Specification (StRS), Stakeholder Requirement Document (StRD) or similar. That transformation should be guided by a well-defined, repeatable, rigorous, and documented process of requirements analysis. This requirements analysis may involve the use of functional flow diagrams, timeline analysis, N2 Diagrams, design reference missions, modeling and simulations, movies, pictures, states and modes analysis, fault tree analysis, failure modes and effects analysis, and trade studies.

## Collecting Stakeholder Needs and Requirements

There are many ways to collect stakeholder needs and requirements. It is recommended that several techniques or methods be considered during elicitation activities to better accommodate the diverse set of sources, including:

- Structured brainstorming workshops
- Interviews and questionnaires
- Technical, operational, and/or strategy documentation review
- Simulations and visualizations
- Prototyping
- Modeling
- Feedback from verification and validation processes,
- Review of the outcomes from the system analysis process (ISO/IEC 2015)
- Quality function deployment (QFD) - can be used during the needs analysis and is a technique for deploying the "voice of the customer". It provides a fast way to translate customer needs into requirements. (Hauser and Clausing 1988)
- Use case diagrams (OMG 2010)
- Activity diagrams (OMG 2010)
- Functional flow block diagrams (Oliver, Kelliher, and Keegan 1997)

## From the Capture of Stakeholder Needs to the Definition of Stakeholder Requirements

Several steps are necessary to understand the maturity of stakeholder needs and to understand how to improve upon that maturity. Figure 1 presents the *cycle of needs* as it can be deduced from Professor Shoji Shiba's and Professor Noriaki Kano's works and courses, and is adapted here for systems engineering (SE) purposes.

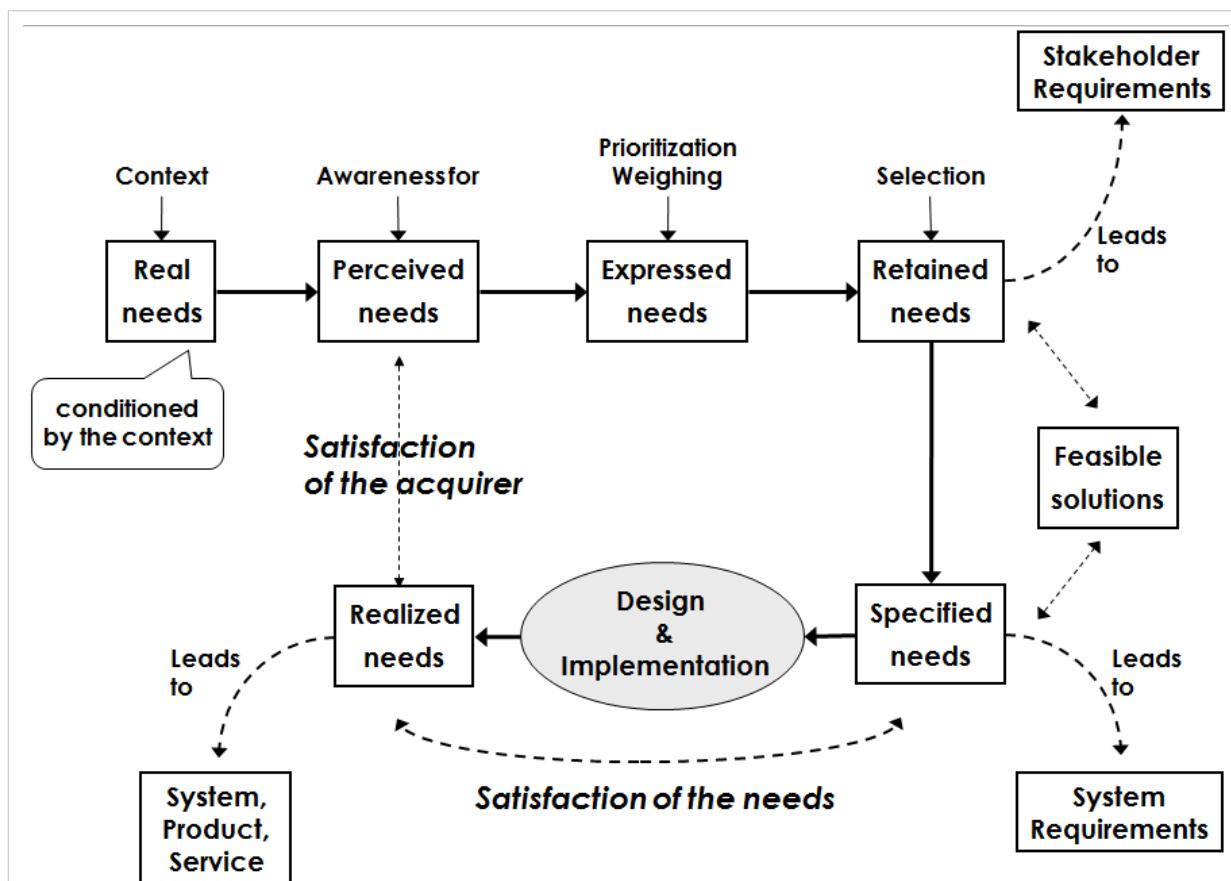


Figure 1. Cycle of Needs (Faisandier 2012). Permission granted by Sinergy'Com. All other rights are reserved by the copyright owner.

Figure 1 shows the steps and the position of the stakeholder requirements and system requirements in the engineering cycle. Below are explanations of each stage of requirements (Faisandier 2012); to illustrate this, consider this example of a system related to infectious disease identification:

- **Real needs** are those that lie behind any perceived needs (see below); they are conditioned by the context in which people live. As an example, a generic need could be the ability to *identify infectious diseases easily*. Often, real needs appear to be simple tasks.
- **Perceived needs** are based on a person's awareness that something is wrong, that something is lacking, that improvements could be made, or that there are business, investment, or market opportunities that are not being capitalized upon. Perceived needs are often presented as a list of organized expectations resulting from an analysis of the usage conditions for the considered action (see Business or Mission Analysis). Following from the infectious disease example above, the real need might be perceived as a need to *carry out medical tests in particular circumstances (laboratories, points of care, hospitals, and/or human dispensaries)*. Since the real need is seldom clearly expressed, richness of the knowledge of the perceived needs is used as a basis for potential solutions. This step has to be as complete as possible to cover all the contexts of use.
- **Expressed needs** originate from perceived needs in the form of generic actions or constraints, and are typically prioritized. In the example, if safety is the primary concern, the expressed need to *protect the operator against contamination* may take priority over other expressed needs such as *assist in the execution of tests*. When determining the expressed needs, the analysis of the expected mission or services in terms of operational scenarios takes place.
- **Retained needs** are selected from the expressed needs. The selection process uses the prioritization of expressed needs to achieve a solution or to make attaining solutions feasible. The retained needs allow the consideration of potential solutions for a SoI. These retained *stakeholder intentions do not serve as stakeholder requirements, since they often lack definition, analysis, and possibly consistency and feasibility*. Using the concept of operations to aid the understanding of the stakeholder intentions at the organizational level and the system operational concept from the system perspective, requirements engineering leads stakeholders from those initial intentions to structured and more formal stakeholder requirement statements, ISO/IEC/IEEE 29148 Systems and software engineering - Requirements engineering (ISO 2011). Characteristics of good requirements can be found in (ISO 2011). Exploration of potential solutions must start from this step. The various solutions suggested at this step are not yet products, but describe means of satisfying the stakeholder requirements. Each potential solution imposes constraints on the potential future SoI.
- **Specified needs**, are the translation of the stakeholder needs to represent the views of the supplier, keeping in mind the potential, preferred, and feasible solutions. Specified needs are translated into system requirements. Consistent practice has shown this process requires iterative and recursive steps in parallel with other life cycle processes through the system design hierarchy (ISO 2011).
- **Realized needs** are the product, service, or enterprise realized, taking into account every specified need (and hence, the retained needs).

Each class of needs listed above aligns with an area of the SE process. For example, the development of *specified needs* requirements is discussed in the System Requirements topic. For more information on how requirements are used in the systems engineering process, please see the System Definition knowledge area (KA).

## Classification of Stakeholder Requirements

Several classifications of stakeholder requirements are possible, e.g. ISO/IEC 29148, section 9.4.2.3 (ISO 2011) provides a useful set of elements for classification. Examples of classification of stakeholder requirements include: service or functional, operational, interface, environmental, human factors, logistical, maintenance, design, production, verification requirements, validation, deployment, training, certification, retirement, regulatory, environmental, reliability, availability, maintainability, design, usability, quality, safety, and security requirements. Stakeholders will also be faced with a number of constraints, including: enterprise, business, project, design,

realization, and process constraints.

## Process Approach

### Activities of the Process

Major activities and tasks performed during this process include the following:

- Identify the stakeholders or classes of stakeholders across the life cycle.
- Elicit, capture, or consolidate the stakeholder needs, expectations, and objectives as well as any constraints coming from the mission and business analysis processes.
- Refine the OpsCon and other life-cycle concepts (acquisition concept, deployment concept, support concept, and retirement concept).
- Prioritize the stakeholder needs.
- Transform the prioritized and retained stakeholder needs into stakeholder requirements.
- Verify the quality of each stakeholder requirement and of the set of stakeholder requirements using the characteristics of good requirements identified in the System Requirements article.
- Validate the content and the relevance of each stakeholder requirement with corresponding stakeholder representatives providing rationale (glossary) for the existence of the requirement.
- Identify potential risks (or threats and hazards) that could be generated by the stakeholder requirements (for further information, see Risk Management).
- Synthesize, record, and manage the stakeholder requirements and potential associated risks.

### Artifacts, Methods and Modeling Techniques

This process may create several artifacts, such as:

- Recommendations to refine the Business Requirement Specification (if necessary)
- Refined life-cycle concepts (OpsCon, acquisition concept, deployment concept, support concept, and retirement concept)
- Stakeholder requirements (in the form of a model or a document containing textual requirements, such as the Stakeholder Requirement Specification)
- Stakeholder interview reports
- Stakeholder requirements database
- Stakeholder requirements justification documents (for traceability purposes)
- Input for draft verification and validation plans

The content, format, layout and ownership of these artifacts will vary depending on who is creating them and in which domains they will be used. Between these artifacts and the outputs of the process, activities should cover the information identified in the first part of this article.

### Practical Considerations

Major pitfalls encountered with stakeholder requirements are presented in Table 3.

**Table 3. Major Pitfalls for Stakeholder Requirements. (SEBoK Original)**

Pitfall	Description
<b>Operator Role Not Considered</b>	Sometimes engineers do not take into account the humans acting as operators inside a system or those who use the system and are outside of the system. As a consequence, elements are forgotten (e.g. roles of operators).
<b>Exchanges with External Objects Forgotten</b>	The exhaustiveness of requirements can be an issue; in particular, the interfaces with external objects of the context of the system can be forgotten (exchanges of matter, energy, information).
<b>Physical Connections with External Objects Forgotten</b>	Within the interface issue, physical connections of the system-of-interest with external objects can be forgotten (technological constraints).
<b>Forgotten Stakeholders</b>	Stakeholders can be forgotten, as everyone thinks of direct users, customers, and suppliers; however, one may fail to consider those who do not want the system to exist and malevolent persons.

Proven practices with stakeholder requirements are presented in Table 4.

**Table 4. Stakeholder Requirements Proven Practices. (SEBoK Original)**

Practice	Description
<b>Involve Stakeholders</b>	Involve the stakeholders early in the stakeholder requirements development process.
<b>Presence of Rationale</b>	Capture the rationale for each stakeholder requirement.
<b>Analyze Sources before Starting</b>	Complete stakeholder requirements as much as possible before starting the definition of the system requirements.
<b>Modeling Techniques</b>	Use modeling techniques as indicated in sections above.
<b>Requirements Management Tool</b>	Consider using a requirements management tool. This tool should have the capability to trace linkages between the stakeholder requirements and the system requirements and to record the source of each stakeholder requirement.

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## Relevant Videos

- How to Get Project Requirements from Project Stakeholders <sup>[1]</sup>
- Requirements Engineering Challenges <sup>[2]</sup>
- Requirements Engineering Processes <sup>[3]</sup>
- User and System Requirements <sup>[4]</sup>

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## References

[1] <https://www.youtube.com/watch?v=YJ4wCbKJeXY>

[2] <https://www.youtube.com/watch?v=bK-y0CaGkhU>

[3] <https://www.youtube.com/watch?v=GSe4xIy-iBE>

[4] [https://www.youtube.com/watch?v=vpNnZDwC\\_vs](https://www.youtube.com/watch?v=vpNnZDwC_vs)

# Stakeholder Requirements Definition

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System requirements are all of the requirements at the *system level* that describe the functions which the system as a whole should fulfill to satisfy the stakeholder needs and requirements, and are expressed in an appropriate combination of textual statements, views, and non-functional requirements; the latter expressing the levels of safety, security, reliability, etc., that will be necessary.

System requirements play major roles in systems engineering, as they:

- Form the basis of system architecture and design activities.
- Form the basis of system integration and verification activities.
- Act as reference for validation and stakeholder acceptance.
- Provide a means of communication between the various technical staff that interact throughout the project.

Elicitation of stakeholder requirements starts in Concept Definition and will be initially developed through interview and mission analysis. System requirements are considered in detail during System Definition. Neither can be considered complete until consistency between the two has been achieved, as demonstrated by traceability, for which a number of iterations may be needed.

## Definition and Purpose of Requirements

A requirement is a statement that identifies a product or processes operational, functional, or design characteristic or constraint, which is unambiguous, testable, or measurable and necessary for product or process acceptability (ISO 2007).

To avoid confusion in the multitude of terms pertaining to *requirements*, consider the following classifications:

- **Process Role or State:** The role the requirement plays in the definition process; for instance, its position in the system block (e.g. translated, derived, satisfied) or its state of agreement (e.g. proposed, approved, cancelled).
- **Level of Abstraction:** The level within the definition process that the requirement stands; for instance, stakeholder requirement, system requirement, system element requirement.
- **Type of Requirement:** The nature of the requirement itself; for instance, functional, performance, constraint, etc.

Any single requirement may simultaneously be in a particular state, at a particular level of abstraction, and of a particular type. For additional explanations about differences between the types of requirements, refer to (Martin 1997, Chapter 2).

## Principles Governing System Requirements

### Relationship to Stakeholder Requirements and Logical Architecture

A set of stakeholder requirements are clarified and translated from statements of need into *engineering-oriented* language in order to enable proper architecture definition, design, and verification activities that are needed as the basis for system requirements analysis.

The system requirements are based around identification and synthesis of the functions required of any solution system associated with performance and other quality measures and provide the basis for the assessment of candidate solutions and verification of the completed system. The system requirements are expressed in technical language that is useful for architecture and design: unambiguous, consistent, coherent, exhaustive, and verifiable. Of course, close coordination with the stakeholders is necessary to ensure the translation is accurate and traceability is maintained. This results in a set of system functions and requirements specifying measurable characteristics which can form the

basis for system realization.

The logical architecture defines system boundary and functions, from which more detailed system requirements can be derived. The starting point for this process may be to identify functional requirements from the stakeholder requirements and to use this to start the architectural definition, or to begin with a high-level functional architecture view and use this as the basis for structuring system requirements. The exact approach taken will often depend on whether the system is an evolution of an already understood product or service, or a new and unprecedented solution (see Synthesizing Possible Solutions). However, when the process is initiated it is important that the stakeholder requirements, system requirements, and logical architecture are all complete, consistent with each other, and assessed together at the appropriate points in the systems life cycle model.

### **Traceability and the Assignment of System Requirements during Architecture and Design**

Requirements traceability provides the ability to track information from the origin of the stakeholder requirements, to the top level of requirements and other system definition elements at all levels of the system hierarchy (see Applying Life Cycle Processes). Traceability is also used to provide an understanding as to the extent of a change as an input when impact analyses are performed in cases of proposed engineering improvements or requests for change.

During architecture definition and design, the assignment of requirements from one level to lower levels in the system hierarchy can be accomplished using several methods, as appropriate - see Table 1.

**Table 1. Assessment Types for a System Requirement. (SEBoK Original)**

Assignment Type for a System Requirement	Description
<b>Direct Assignment</b>	The system requirement from the higher level is directly assigned to a system or a system element for a lower level (e.g. the color used to paint visible parts of the product).
<b>Indirect Assignment (Simply Decomposed)</b>	The system requirement is distributed across several systems or system elements and the sum of a more complex calculation for distribution is equal to the requirement of higher level (e.g. a mass requirement, power distribution, reliability allocation, etc.) with sufficient margin or tolerance. A documented and configuration-managed "assignment budget" for each assignment must be maintained.
<b>Indirect Assignment (Modeled and Decomposed)</b>	The system requirement is distributed to several systems or system elements using an analysis or mathematical modeling technique. The resulting design parameters are assigned to the appropriate systems or system elements (with appropriate margins). For example, in the case of a radar detection requirement that is being analyzed, these lower-level parameters for output power, beam size, frequencies, etc. will be assigned to the appropriate hardware and software elements. Again, the analysis (or model) must be documented and configuration-managed.
<b>Derived Requirement (from Design)</b>	Such system requirements are developed during the design activities as a result of the decision of the design team, not the stakeholder community. These requirements may include the use of commercial-off-the-shelf (COTS) items, existing systems or system elements in inventory, common components, and similar design decisions in order to produce a "best value" solution for the customer. As such, these derived requirements may not directly trace to a stakeholder requirement, but they do not conflict with a stakeholder requirement or a constraint.

## Classification of System Requirements

Several classifications of system requirements are possible, depending on the requirements definition methods and/or the architecture and design methods being applied. (ISO 2011) provides a classification which is summarized in Table 2 (see references for additional classifications).

**Table 2. Example of System Requirements Classification. (SEBoK Original)**

Types of System Requirement	Description
<b>Functional Requirements</b>	Describe qualitatively the system functions or tasks to be performed in operation.
<b>Performance Requirements</b>	Define quantitatively the extent, or how well and under what conditions a function or task is to be performed (e.g. rates, velocities). These are quantitative requirements of system performance and are verifiable individually. Note that there may be more than one performance requirement associated with a single function, functional requirement, or task.
<b>Usability Requirements</b>	Define the quality of system use (e.g. measurable effectiveness, efficiency, and satisfaction criteria).
<b>Interface Requirements</b>	Define how the system is required to interact or to exchange material, energy, or information with external systems (external interface), or how system elements within the system, including human elements, interact with each other (internal interface). Interface requirements include physical connections (physical interfaces) with external systems or internal system elements supporting interactions or exchanges.
<b>Operational Requirements</b>	Define the operational conditions or properties that are required for the system to operate or exist. This type of requirement includes: human factors, ergonomics, availability, maintainability, reliability, and security.
<b>Modes and/or States Requirements</b>	Define the various operational modes of the system in use and events conducting to transitions of modes.
<b>Adaptability Requirements</b>	Define potential extension, growth, or scalability during the life of the system.
<b>Physical Constraints</b>	Define constraints on weight, volume, and dimension applicable to the system elements that compose the system.
<b>Design Constraints</b>	Define the limits on the options that are available to a designer of a solution by imposing immovable boundaries and limits (e.g., the system shall incorporate a legacy or provided system element, or certain data shall be maintained in an online repository).
<b>Environmental Conditions</b>	Define the environmental conditions to be encountered by the system in its different operational modes. This should address the natural environment (e.g. wind, rain, temperature, fauna, salt, dust, radiation, etc.), induced and/or self-induced environmental effects (e.g. motion, shock, noise, electromagnetism, thermal, etc.), and threats to societal environment (e.g. legal, political, economic, social, business, etc.).
<b>Logistical Requirements</b>	Define the logistical conditions needed by the continuous utilization of the system. These requirements include sustainment (provision of facilities, level support, support personnel, spare parts, training, technical documentation, etc.), packaging, handling, shipping, transportation.
<b>Policies and Regulations</b>	Define relevant and applicable organizational policies or regulatory requirements that could affect the operation or performance of the system (e.g. labor policies, reports to regulatory agency, health or safety criteria, etc.).
<b>Cost and Schedule Constraints</b>	Define, for example, the cost of a single exemplar of the system, the expected delivery date of the first exemplar, etc.

## Requirements Management

Requirements management is performed to ensure alignment of the system and system element requirements with other representations, analyses, and artifacts of the system. It includes providing an understanding of the requirements, obtaining commitment, managing changes, maintaining bi-directional traceability among the requirements and with the rest of the system definition, and alignment with project resources and schedule.

There are many tools available to provide a supporting infrastructure for requirements management; the best choice is the one that matches the processes of the project or enterprise. Requirements management is also closely tied to configuration management for baseline management and control. When the requirements have been defined, documented, and approved, they need to be put under baseline management and control. The baseline allows the project to analyze and understand the impact (technical, cost, and schedule) of ongoing proposed changes.

## Process Approach

### Purpose and Principle of the Approach

The purpose of the system requirements analysis process is to transform the stakeholder, user-oriented view of desired services and properties into a technical view of the product that meets the operational needs of the user. This process builds a representation of the system that will meet stakeholder requirements and that, as far as constraints permit, does not imply any specific implementation. It results in measurable system requirements that specify, from the supplier's perspective, what performance and non-performance characteristics it must possess in order to satisfy stakeholders' requirements (ISO 2015).

### Activities of the Process

Major activities and tasks during this process include:

1. Analyzing the stakeholder requirements to check completeness of expected services and operational scenarios, conditions, operational modes, and constraints.
2. Defining the system requirements and their rationale.
3. Classifying the system requirements using suggested classifications (see examples above).
4. Incorporating the derived requirements (coming from architecture and design) into the system requirements baseline.
5. Establishing the upward traceability with the stakeholder needs and requirements.
6. Establishing bi-directional traceability between requirements at adjacent levels of the system hierarchy.
7. Verifying the quality and completeness of each system requirement and the consistency of the set of system requirements.
8. Validating the content and relevance of each system requirement against the set of stakeholder requirements.
9. Identifying potential risks (or threats and hazards) that could be generated by the system requirements.
10. Synthesizing, recording, and managing the system requirements and potential associated risks.
11. Upon approval of the requirements, establishing control baselines along with the other system definition elements in conjunction with established configuration management practices.

### Checking Correctness of System Requirements

System requirements should be checked to gauge whether they are well expressed and appropriate. There are a number of characteristics that can be used to check system requirements, such as standard peer review techniques and comparison of each requirement against the set of requirements characteristics, which are listed in Table 2 and Table 3 of the "Presentation and Quality of Requirements" section (below). Requirements can be further validated using the requirements elicitation and rationale capture described in the section "Methods and Modeling Techniques" (below).

## Methods and Modeling Techniques

### Requirements Elicitation and Prototyping

Requirements elicitation requires user involvement and can be effective in gaining stakeholder involvement and buy-in. Quality Function Deployment (QFD) and prototyping are two common techniques that can be applied and are defined in this section. In addition, interviews, focus groups, and Delphi techniques are often applied to elicit requirements.

QFD is a powerful technique to elicit requirements and compare design characteristics against user needs (Hauser and Clausing 1988). The inputs to the QFD application are user needs and operational concepts, so it is essential that the users participate. Users from across the life cycle should be included to ensure that all aspects of user needs are accounted for and prioritized.

Early prototyping can help the users and developers interactively identify functional and operational requirements as well as user interface constraints. This enables realistic user interaction, discovery, and feedback, as well as some sensitivity analysis. This improves the users' understanding of the requirements and increases the probability of satisfying their actual needs.

### Capturing Requirements Rationale

One powerful and cost-effective technique to translate stakeholder requirements to system requirements is to capture the rationale for each requirement. Requirements rationale is merely a statement as to why the requirement exists, any assumptions made, the results of related design studies, or any other related supporting information. This supports further requirements analysis and decomposition. The rationale can be captured directly in a requirements database (Hull, Jackson, and Dick 2010).

Some of the benefits of this approach include:

- **Reducing the total number of requirements** - The process aids in identifying duplicates. Reducing requirements count will reduce project cost and risk.
  - **Early exposure of bad assumptions**
  - **Removes design implementation** - Many poorly written stakeholder requirements are design requirements in disguise, in that the customer is intentionally or unintentionally specifying a candidate implementation.
  - **Improves communication with the stakeholder community** - By capturing the requirements rationale for all stakeholder requirements, the line of communication between the users and the designers is greatly improved.
- (Adapted from Chapter 8 of (Hooks and Farry 2000)).

### Modeling Techniques

Modeling techniques that can be used when requirements must be detailed or refined, or in cases in which they address topics not considered during the stakeholder requirements definition and mission analysis include:

- State-charts models (ISO 2011, Section 8.4)
- Scenarios modeling (ISO 2011, Section 6.2.3.1)
- Simulations, prototyping (ISO 2011, Section 6.3.3.2)
- Quality Function Deployment (INCOSE 2011, p. 83)
- Systems Modeling Language (SysML) sequence diagrams, activity diagrams, use cases, state machine diagrams, requirements diagrams (OMG 2010)
- Functional Flow Block Diagram for operational scenarios (Oliver, Kelliher, and Keegan 1997)

### Presentation and Quality of Requirements

Generally, requirements are provided in a textual form. Guidelines exist for writing good requirements; they include recommendations about the syntax of requirements statements, wording (exclusions, representation of concepts, etc.), and characteristics (specific, measurable, achievable, feasible, testable, etc.). Refer to (INCOSE 2011, Section 4.2.2.2) and (ISO 2011).

There are several characteristics of both requirements and sets of requirements that are used to aid their development and to verify the implementation of requirements into the solution. Table 3 provides a list and descriptions of the characteristics for individual requirements and Table 4 provides a list and descriptions of characteristics for a set of requirements, as adapted from (ISO 2011, Sections 5.2.5 and 5.2.6).

**Table 3. Characteristics of Individual Requirements. (SEBoK Original)**

Characteristic	Description
<b>Necessary</b>	The requirement defines an essential capability, characteristic, constraint, and/or quality factor. If it is not included in the set of requirements, a deficiency in capability or characteristic will exist, which cannot be fulfilled by implementing other requirements
<b>Appropriate</b>	The specific intent and amount of detail of the requirement is appropriate to the level of the entity to which it refers (level of abstraction). This includes avoiding unnecessary constraints on the architecture or design to help ensure implementation independence to the extent possible
<b>Unambiguous</b>	The requirement is stated in such a way so that it can be interpreted in only one way
<b>Complete</b>	The requirement sufficiently describes the necessary capability, characteristic, constraint, or quality factor to meet the entity need without needing other information to understand the requirement
<b>Singular</b>	The requirement should state a single capability, characteristic, constraint, or quality factor
<b>Feasible</b>	The requirement can be realized within entity constraints (e.g., cost, schedule, technical, legal, regulatory) with acceptable risk
<b>Verifiable</b>	The requirement is structured and worded such that its realization can be proven (verified) to the customer's satisfaction at the level at which the requirement exists
<b>Correct</b>	The requirement must be an accurate representation of the entity need from which it was transformed
<b>Conforming</b>	The individual requirements should conform to an approved standard template and style for writing requirements, when applicable

Note: Traceability is considered by some sources as a characteristic (ISO 2011). However, a recent viewpoint is that Traceability is actually an attribute of a requirement; that is, something that is appended to the requirement, not an intrinsic characteristic of a requirement (INCOSE 2011). The traceability characteristic or attribute is defined as: The requirement is upwards traceable to specific documented stakeholder statement(s) of need, higher tier requirement, or another source (e.g., a trade or design study). The requirement is also downwards traceable to the specific requirements in the lower tier requirements specifications or other system definition artifacts. That is, all parent-child relationships for the requirement are identified in tracing such that the requirement traces to its source and implementation.

**Table 4. Characteristics of a Set of Requirements. (SEBoK Original)**

<b>Characteristic</b>	<b>Description</b>
<b>Complete</b>	The requirement set stands alone such that it sufficiently describes the necessary capabilities, characteristics, constraints, and/or quality factors to meet the entity needs without needing other information. In addition, the set does not contain any to be defined (TBD), to be specified (TBS), or to be resolved (TBR) clauses.
<b>Consistent</b>	The set of requirements contains individual requirements that are unique, do not conflict with or overlap with other requirements in the set, and the units and measurement systems they use are homogeneous. The language used within the set of requirements is consistent, i.e., the same word is used throughout the set to mean the same thing.
<b>Feasible</b>	The requirement set can be realized within entity constraints (e.g., cost, schedule, technical, legal, regulatory) with acceptable risk. (Note: Feasible includes the concept of "affordable".)
<b>Comprehensible</b>	The set of requirements must be written such that it is clear as to what is expected by the entity and its relation to the system of which it is a part.
<b>Able to be validated</b>	It must be able to be proven the requirement set will lead to the achievement of the entity needs within the constraints (such as cost, schedule, technical, legal and regulatory compliance).

### Requirements in Tables

Requirements may be provided in a table, especially when specifying a set of parameters for the system or a system element. It is good practice to make standard table templates available. For tables, the following conventions apply:

- Invoke each requirements table in the requirements set that clearly points to the table.
- Identify each table with a unique title and table number.
- Include the word “requirements” in the table title.
- Identify the purpose of the table in the text immediately preceding it and include an explanation of how to read and use the table, including context and units.
- For independent-dependent variable situations, organize the table in a way that best accommodates the use of the information.
- Each cell should contain, at most, a single requirement.

### Requirements in Flow Charts

Flow charts often contain requirements in a graphical form. These requirements may include logic that must be incorporated into the system, operational requirements, process or procedural requirements, or other situations that are best defined graphically by a sequence of interrelated steps. For flow charts, the following conventions apply:

- Invoke flow charts in the requirements set that clearly points to the flow chart.
- Identify each flow chart with a unique title and figure number.
- Include the word “requirements” in the title of the flow chart.
- Clearly indicate and explain unique symbols that represent requirements in the flow chart.

### Requirements in Drawings

Drawings also provide a graphical means to define requirements. The type of requirement defined in a drawing depends on the type of drawing. The following conventions apply:

- Use drawings when they can aid in the description of the following:
  - Spatial Requirements
  - Interface Requirements
  - Layout Requirements
- Invoke drawings in the requirements set that clearly point to the drawing.

## Artifacts

This process may create several artifacts, such as:

- System Requirements Document
- System Requirements Justification Document (for traceability purpose)
- System Requirements Database, including traceability, analysis, rationale, decisions, and attributes, where appropriate.
- System External Interface Requirements Document (this document describes the interfaces of the system with external elements of its context of use; the interface requirements can be integrated or not integrated to the system requirements document).

The content, format, layout and ownership of these artifacts will vary depending on who is creating them as well as in which domain they will be utilized. Between them and the outputs of the process, activities should cover the information identified in the first part of this article.

## Practical Considerations about System Requirements

There are several **pitfalls** that will inhibit the generation and management of an optimal set of system requirements, as discussed in Table 5.

**Table 5. Major Pitfalls with Definition of System Requirements. (SEBoK Original)**

Pitfall	Description
<b>Insufficient Analysis of Stakeholder Requirements</b>	If the receivers of the stakeholder requirements do not perform a sufficient critical analysis of them, the consequence could be difficulties translating them into system requirements and the obligation to come back to the stakeholders, losing time.
<b>Insufficient Analysis of Operational Modes and Scenarios</b>	The operational modes and operational scenarios are not sufficiently analyzed or defined by the person in charge of writing the system requirements. Those elements allow the structuring of the system and its use early in the engineering process and help the designer to remember functions and interfaces.
<b>Incomplete Set of System Requirements</b>	If the system requirements are not sufficiently precise and complete, there is a great risk that the design will not have the expected level of quality and that the verification and validation of the system will be delayed.
<b>Lack of Verification Method</b>	Delaying the capture of verification methods and events for each system requirement; identification of the verification approach for each requirement often provides additional insight as to the correctness and necessity of the requirement itself.
<b>Missing traceability</b>	Incorrect or missing traceability of each requirement, both to an upper-level "parent" requirement as well as allocation to an inappropriate system or system element.

The **proven practices** in Table 6 have repeatedly been shown to reduce project risk and cost, foster customer satisfaction, and produce successful system development.

**Table 6. Proven Practices for System Requirements. (SEBoK Original)**

Practice	Description
<b>Involve Stakeholders</b>	Involve the stakeholders as early as possible in the system requirements development process.
<b>Presence of Rationale</b>	Capture the rationale for each system requirement.
<b>Always Complete before Starting</b>	Check that stakeholder requirements are complete as much as possible before starting the definition of the system requirements.
<b>Peer Reviews</b>	Organize peer reviews of system requirements with applicable subject matter experts.
<b>Modeling Techniques</b>	Use modeling techniques as indicated in sections above.
<b>Requirements Management Tool</b>	Consider using a requirements management tool, especially for more complex projects. This tool should have the capability to trace linkages between system requirements to display relationships. A requirements management tool is intended to facilitate and support the systematic managing of system requirements throughout the project life cycle.
<b>Measures for Requirement Engineering</b>	Use typical measures for requirement engineering; for further information, refer to the <i>Systems Engineering Leading Indicators Guide</i> (Roedler et al. 2010). Both process and product measures should be used for requirements engineering. To get the desired insight to facilitate risk-managed requirements engineering, it may be necessary to use more than one measure based on the information needs (risks, objectives, issues) for the requirements. Useful measures include:
<ul style="list-style-type: none"> <li>• Requirements Volatility</li> <li>• Requirements Trends</li> <li>• Requirements Verification Progress (plan vs. actual)</li> <li>• Requirements Validation Progress (plan vs. actual)</li> <li>• TBD and TBR Closure Per Plan</li> <li>• Peer Review Defects</li> </ul>	

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## Relevant Videos

- Introduction to Systems Engineering and Requirements [1]

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.7, released 31 October 2022**

## References

[1] [https://www.youtube.com/watch?v=qaiSB1bdS\\_8](https://www.youtube.com/watch?v=qaiSB1bdS_8)

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# Knowledge Area: System Architecture Definition

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## System Architecture Definition

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**Lead Author:** NAME, **Contributing Authors:** Name, Name

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A system architecture is a model representation of the fundamental organization of a system in terms of the structural elements and their behavior interactions

### References

#### Works Cited

None.

#### Primary References

None.

#### Additional References

None.

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# Functional Architecture

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**Lead Author:** Jeffrey Carter, **Contributing Authors:** ?

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Definitions:

- Use Case analysis defines capabilities the system performs to achieve mission/business objectives.
- Each use case capability defines a set of system automation functions which the User controls through interactions with the system in various scenarios and environmental conditions to achieve a specific mission/business objective.
- A functional architecture design model view provides a decomposition of system capabilities into system automation functions and the interactions between them to perform the mission/business objective.

## References

### Works Cited

None.

### Primary References

None.

### Additional References

None.

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**SEBoK v. 2.7, released 31 October 2022**

# Logical Architecture

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**Lead Authors:** Alan Faisandier, Garry Roedler, **Contributing Author:** Rick Adcock

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Logical Architecture Model Development may be used as a task of the activity "Develop candidate architectures models and views," or a sub-process of the System Architecture Definition process (see **System Architecture**). Its purpose is to elaborate models and views of the functionality and behavior of the future engineered system as it should operate while in service. The logical architecture model of a engineered system of interest (SoI) is composed of a set of related technical concepts and principles that support the logical operation of the system. It may include a functional architecture view, a behavioral architecture view, and a temporal architecture view. Other additional views are suggested in architecture frameworks, depending on the domain.

Note: The term *Logical Architecture* is a contraction of the expression *Logical View of the System Architecture*.

## Concepts and Principles

### Functional Architecture Model

A functional architecture model is a set of functions and their sub-functions that defines the transformations performed by the system to complete its mission.

**Function and Input-Output Flow** - In the context of System Architecture, functions and input-output flows are architecture entities. A function is an action that transforms inputs and generates outputs, involving data, materials, and/or energies. These inputs and outputs are the flow items exchanged between functions. The general mathematical notation of a function is  $y = f(x, t)$ , in which  $y$  and  $x$  are vectors that may be represented graphically and  $t = \text{time}$ .

In order to define the complete set of functions of the system, one must identify all the functions necessitated by the system and its derived requirements, as well as the corresponding inputs and outputs of those functions. Generally speaking, there are two kinds of functions:

1. Functions that are directly deduced from functional and interface requirements. These functions express the expected services of a system necessary to meet its system requirements.
2. Functions that are derived and issued from the alternative solutions of the physical architecture model and are dependent upon the result of the design; additionally, they rely upon on technology choice to implement the logical architecture model elements.

**Functional Hierarchy/Decomposition of Functions** - At the highest level of a hierarchy (Figure 1), it is possible to represent a system as a unique, central function (defined as the system's mission) that in many ways is similar to a "black box" ("F0" in plan A-0 in Figure 1). In order to understand, in detail, what the system does, this "head-of-hierarchy" (F0) is broken down into sub-functions (F1, F2, F3, F4) grouped to form a sub-level of the hierarchy (plan A0), and so on. Functions of the last level of a functional hierarchy can be called leaf-functions (F21, F22, F23, F24 in plan A2). Hierarchies (or breakdowns) decompose a complex or global function into a set of functions for which physical solutions are known, feasible, or possible to imagine.

This view of functional hierarchy represents a static view of functions which would be populated at different levels over a number of iterations, depending upon the synthesis approach used. In general, it is not created by a single top-down decomposition. A static functional hierarchy on its own does not represent how effectively the flows of inputs and outputs are exchanged, and may need to be viewed alongside the other models below.

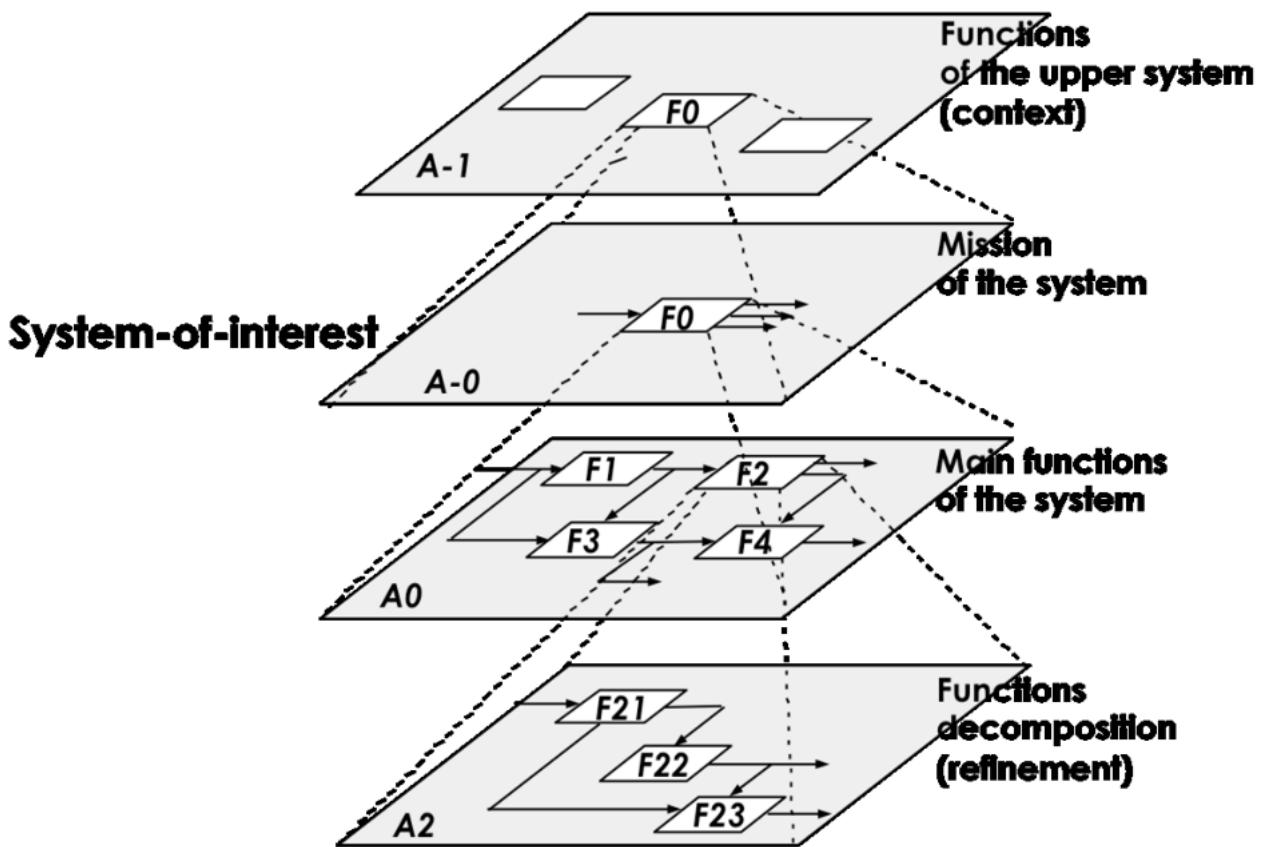


Figure 1. Decomposition of Functions (Faisandier 2012). Permission granted by Sinergy'Com. All other rights are reserved by the copyright owner.

## Behavioral Architecture Model

A behavioral architecture model is an arrangement of functions and their sub-functions as well as interfaces (inputs and outputs) that defines the execution sequencing, conditions for control or data-flow, and performance level necessary to satisfy the system requirements (ISO/IEC 26702:2007). A behavioral architecture model can be described as a set of inter-related scenarios of functions and/or operational modes.

**Control (Trigger)** - A control flow is an element that activates a function as a condition of its execution. The state of this element, or the condition it represents, activates or deactivates the function (or elements thereof). A control flow can be a signal or an event, such as a switch being moved to the *on* position, an alarm, a trigger, a temperature variation, or the push of a key on a keyboard.

**Scenario (of Functions)** - A scenario of functions is a chain of functions that are performed as a sequence and synchronized by a set of control flows to work to achieve a global transformation of inputs into outputs, as seen in the figures below. A scenario of functions expresses the dynamic of an upper level function. A behavioral architecture is developed by considering both scenarios for each level of the functional hierarchy and for each level of the system hierarchy. When representing scenarios of functions and behavioral architecture models, it is appropriate to use diagrams as modeling techniques, such as functional flow block diagrams (FFBD) (Oliver, Kelliher, and Keegan 1997) or activity diagrams, developed with SysML (OMG 2010). Figures 2 and 3 provide examples of these diagrams.

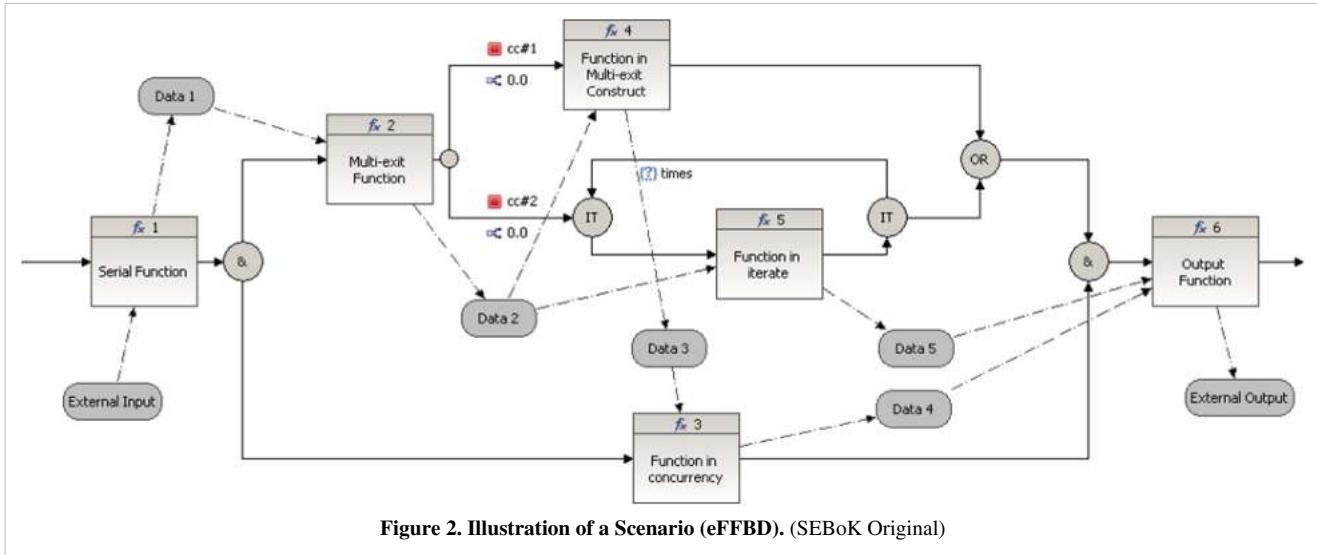


Figure 2. Illustration of a Scenario (eFFBD). (SEBoK Original)

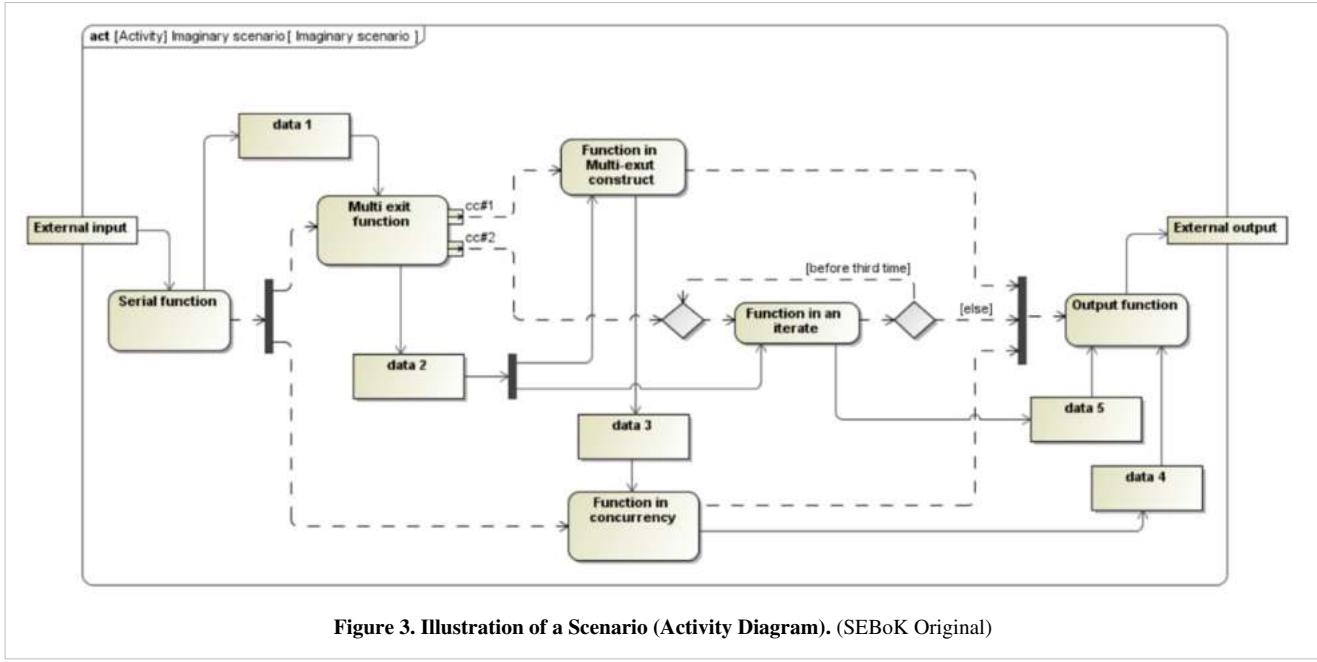
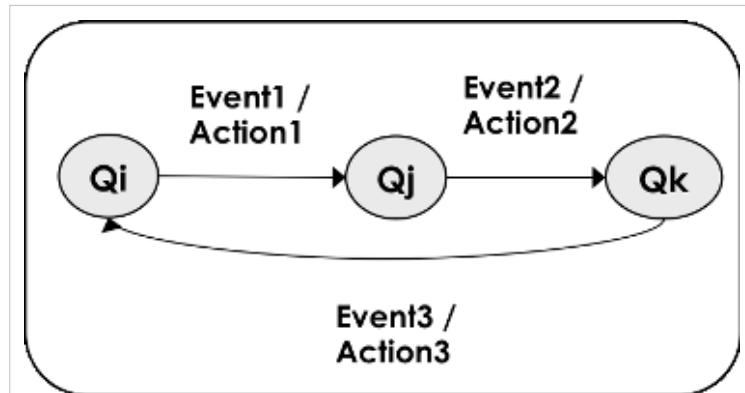


Figure 3. Illustration of a Scenario (Activity Diagram). (SEBoK Original)

**Operational Mode** - A scenario of functions can be viewed by abstracting the transformation of inputs into outputs of each function and focusing on the active or non-active state of the function and its controls. This view is called a *scenario of modes*, which is a chain of modes performed as a sequence of transitions between the various modes of the system. The transition from one mode to another is triggered by the arrival of a control flow (event/trigger). An action (function) can be generated within a transition between two modes following the arrival of an event or a trigger, as demonstrated in Figure 4 below.



**Figure 4. Scenario of Operational Modes (Faisandier 2012).** Permission granted by Sinergy'Com. All other rights are reserved by the copyright owner.

**Behavioral Patterns** - When defining scenarios or behavioral architecture models, architects may opt to recognize and use known models to represent the expected transformations and behaviors. Patterns are generic basic models that may be more or less sophisticated depending on the complexity of the treatment (Gamma, Helm, Johnson, and Vlissides 1995). A pattern can be represented with different notations. Behavioral patterns are classified into several categories, which can be seen in the following examples (see also SEBoK Part 2: Patterns of Systems Thinking):

- Basic patterns or constructs linking functions - such as sequence, iteration, selection, concurrence, multiple exits, loops with an exit, and replication.
- Complex patterns - such as monitoring a treatment, exchanging a message, man machine interfaces, modes monitoring, real-time monitoring of processes, queue management, and continuous monitoring with supervision.
- Failure detection, identification, and recovery (FDIR) patterns - such as passive redundancies, active redundancies, semi-active redundancies, and treatments with reduced performance.

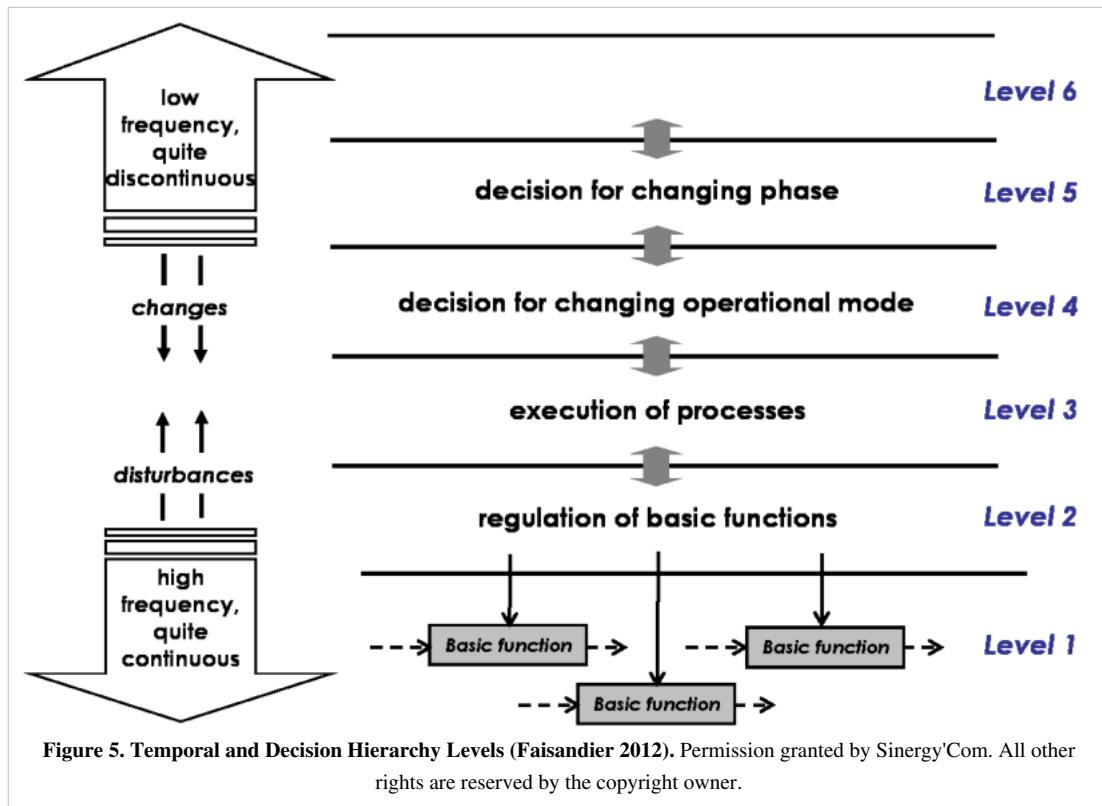
## Temporal Architecture Model

A temporal architecture model is a classification of the functions of a system that is derived according to the frequency level of execution. Temporal architecture models include the definition of synchronous and asynchronous aspects of functions. The decision monitoring that occurs inside a system follows the same temporal classification because the decisions are related to the monitoring of functions.

**Temporal and Decisional Hierarchy Concept** - Not every function of a system is performed at the same frequency. The frequencies change depending on the time and the manner in which the functions are started and executed. One must therefore consider several classes of performance. There are synchronous functions that are executed cyclically and asynchronous functions that are executed following the occurrence of an event or trigger.

To be more specific, *real-time* systems and *command-control* systems combine cyclical operations (synchronous) and factual aspects (asynchronous). Cyclical operations consist of sharing the execution of functions according to frequencies, which depend on either the constraints of capture or dispatching the input/output and control flows. Two types of asynchronous events can be distinguished:

1. Disturbances on High Frequencies (bottom of figure 5) - Decisions that are made at either the level they occur or one level above. The goal is to deter disturbances from affecting the low frequencies so that the system continues to achieve its mission objectives. This is the way to introduce exception operations, with the typical example relating to operations concerns, breakdowns, or failures.
2. Changes on Low Frequencies (top of figure 5) - Decisions pertaining to changes that are made at the upper levels. The ultimate goal is to transmit them toward bottom levels to implement the modifications. A typical example relates to operator actions, maintenance operations, etc.



## Process Approach

### Purpose

The purpose of the Logical Architecture Model Development is to define, select, and synthesize a system's logical architecture model to provide a framework against which to verify that a future system will satisfy its system requirements in all operational scenarios, within which trade-offs between system requirements can be explored in developing such systems.

Generic inputs to the process include system requirements, generic architecture patterns that architects identify and use to answer requirements, outcomes from system analysis processes, and feedback from system verification and validation processes. Depending on the Life Cycle Model that is chosen, there will be iterations through which these inputs and outputs, and the relationships between them evolve and change throughout the process (see also Applying Life Cycle Processes).

Generic outputs from the process are either a single logical architecture model or a set of candidate logical architecture models together with the selected independent logical architecture model and a rationale for its selection. They include, at minimum, views and models. These involve functional, behavioral and temporal views, a traceability matrix between logical architecture model elements and system requirements.

## Activities of the Process

Major activities and tasks performed during this process include the following:

- Identify and analyze functional and behavioral elements:
  - Identify functions, input-output flows, operational modes, transition of modes, and operational scenarios from system requirements by analyzing the functional, interface, and operational requirements.
  - Define necessary inputs and controls (energy, material, and data flows) to each function and outputs that result in the deduction of the necessary functions to use, transform, move, and generate the input-output flows.
- Assign system requirements to functional and behavioral elements:
  - Formally characterize functions expressions and their attributes through the assignment of performance, effectiveness, and constraints requirements. In particular, study the temporal aspects from requirements to assign duration, response time, and frequency to functions.
  - Formally characterize the input, output, and control flows expressions and their attributes through assignment of interface, effectiveness, operational, temporal and constraints requirements.
  - Establish traceability between system requirements and these functional and behavioral elements.
- Define candidate logical architecture models for each candidate:
  - Analyze operational modes as stated in the system requirements (if any) and/or use previously defined elements to model sequences of operational modes and the transition of modes. Eventually decompose the modes into sub-modes and then establish for each operational mode one or several scenarios of functions recognizing and/or using relevant generic behavioral patterns.
  - Integrate these scenarios of functions in order to get a behavioral architecture model of the system (a complete picture of the dynamic behavior).
  - Decompose previously defined logical elements as necessary to look towards implementation.
  - Assign and incorporate temporal constraints to previously defined logical elements, such as the period of time, duration, frequency, response-time, timeout, stop conditions, etc.
  - Define several levels of execution frequency for functions that correspond to levels of decision, in order to monitor system operations, prioritize processing on this time basis, and share out functions among those execution frequency levels to get a temporal architecture model.
  - Perform functional failure modes and effects analysis and update the logical architecture elements as necessary.
  - Execute the models with simulators (when possible) and tune these models to obtain the expected characteristics.
- Synthesize the selected independent logical architecture model:
  - Select the logical architecture by assessing the candidate logical architecture models against assessment criteria (related to system requirements) and compare them, using the system analysis process to perform assessments and decision management process for the selection (see the System Analysis and Decision Management topics). This selected logical architecture model is called *independent logical architecture model* because, as much as possible, it is independent of implementation decisions.
  - Identify and define derived logical architecture model elements created for the necessity of design and corresponding with the derived system requirements. Assign these requirements to the appropriate system (current studied system or external systems).
  - Verify and validate the selected logical architecture models (using as executable models as possible), make corrections as necessary, and establish traceability between system requirements and logical architecture model elements.
  - Feedback logical architecture model development and system requirements. This activity is performed after the physical architecture model development process:

- Model the *allocated logical architecture* to systems and system elements, if such a representation is possible, and add any functional, behavioral, and temporal elements as needed to synchronize functions and treatments.
- Define or consolidate derived logical and physical elements induced by the selected logical and physical architecture models. Define the corresponding derived requirements and allocate them to appropriate logical and physical architectures elements. Incorporate these derived requirements into the requirements baselines of impacted systems.

## Artifacts, Methods and Modeling Techniques

Logical architecture descriptions use modeling techniques that are grouped under the following types of models. Several methods have been developed to support these types of models (some are executable models):

- Functional Models – These include models such as the structured analysis design technique (SADT/IDEF0), system analysis & real time (SA-RT), enhanced Functional Flow Block Diagrams (eFFBD), and the function analysis system technique (FAST).
- Semantic Models- These include models such as entities-relationships diagrams, class diagrams, and data flow diagrams.
- Dynamic Models – These include such models as state-transition diagrams, state-charts, eFFBDs, state machine diagrams (SysML), activity diagrams (SysML) (OMG 2010), and petri nets.

Depending on the type of domain (e.g. defense, enterprise), architecture frameworks provide descriptions that can help to represent additional aspects/views of architectures - see the section 'Enterprise Architecture Frameworks & Methodologies' in Enterprise Systems Engineering Key Concepts. See also practical means for using general templates related to ISO/IEC/IEEE 42010 (ISO 2011).

## Practical Considerations

As stated above, the purpose of the logical architecture model is to provide a description of what a system must be able to do to satisfy the stated need. This should help to ensure that the needs and/or concerns of all stakeholders are addressed by any solution, and that innovative solutions, as well as those based on current solution technologies, can be considered. In practice it is human nature for problem stakeholders to push their own agendas and for solution architects or designers to offer their familiar solutions. If a logical architecture model is not properly enforced with the chosen life cycle, it is easy for both problem and solution stakeholders to ignore it and revert to their own biases (see Part 5: Enabling Systems Engineering). This is exacerbated if the logical architecture model becomes an end in its own right or disconnected from the main lifecycle activities. This can occur either through the use of abstract language or notations, levels of detail, time taken, or an overly complex final architecture that does not match the purpose for which it was created. If the language, scope, and timeliness of the architecture are not matched to the problem stakeholder or solution providers, it is easier for them to overlook it. Key pitfalls and good practices which can help to avoid problems related to logical architecture models are described in the next two sections.

## Pitfalls

Some of the key pitfalls encountered in developing logical architecture are provided in Table 1.

**Table 1. Pitfalls with Logical Architecture Development. (SEBoK Original)**

Pitfall	Description
<b>Problem Relevance</b>	The logical architecture model should relate back to the operational scenarios produced by mission analysis.
<b>Inputs for Architecture Model</b>	The major input for architecture definition activity involves the set of system requirements and the instances in which they do not address the right level of architecture. The consequence is that the architect allows the requirements to fall to the side and invents a solution with what he or she understands through the input.
<b>Decomposition Too Deep</b>	A common mistake made by many beginners in architecture consists of decomposing the functions too deeply or having too many functions and input/output flows in scenarios or in the functional architecture model of the current system block.
<b>Not Considering Inputs and Outputs Together with Functions</b>	A common mistake is to consider only the actions supported by functions and decomposing them, while forgetting the inputs and the outputs or considering them too late. Inputs and outputs are integral parts of a function.
<b>Considering Static Decomposition of Functions Only</b>	Static function decomposition is the smallest functional architecture model task and answers the basic question, "How is this done?" The purpose of the static decomposition is to facilitate the management of or navigation through the list of functions. The static decomposition should be established only when scenarios have been created and the logical architecture is close to complete.
<b>Mixing Governance, Management, and Operation</b>	Governance (strategic monitoring), management (tactical monitoring), and basic operations are often mixed in complex systems. Logical architecture model should deal with behavioral architecture model as well as with temporal architecture model.

## Proven Practices

Some proven practices gathered from the references are provided in Table 2.

**Table 2. Proven Practices with Logical Architecture Development. (SEBoK Original)**

Practice	Description
<b>Constitute Scenarios of Functions</b>	Before constituting a decomposition tree of functions, one must model the behavior of the system, establish scenarios of functions, and decompose functions as scenarios of sub-functions.
<b>Analysis and Synthesis Cycles</b>	When facing a system that contains a large number of functions, one should attempt to synthesize functions into higher abstraction levels of functions with the assistance of criteria. Do not perform analysis only; instead, conduct small cycles of analysis (decomposition) and synthesis. The technique of using scenarios includes this design practice.
<b>Alternate Functional and Behavioral Views</b>	A function (action verb; e.g. "to move") and its state of execution/operational mode (e.g. "moving") are two similar and complimentary views. Utilize this to consider a behavioral view of the system that allows for the transition from one operational mode to another.
<b>The Order to Create a Scenario of Functions</b>	When creating a scenario of functions, it is more efficient to first establish the (control) flow of functions, then to add input and output flows, and finally to add triggers or signals for synchronization.

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# Physical Architecture

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Physical Architecture Model Development may be used as a task of the activity "Develop candidate architectures models and views," or a sub-process of the System Architecture Definition process (see **System Architecture** article). Its purpose is to elaborate models and views of a physical, concrete solution that accommodates the logical architecture model and satisfies and trades-off system requirements. Once a logical architecture model is defined (see Logical Architecture Model Development), concrete physical elements have to be identified that can support functional, behavioral, and temporal features as well as the expected properties of the system deduced from non-functional system requirements (e.g. constraint of replacement of obsolescence, and/or continued product support).

A physical architecture model is an arrangement of physical elements, (system elements and physical interfaces) that provides the solution for a product, service, or enterprise. It is intended to satisfy logical architecture elements and system requirements ISO/IEC/IEEE 26702 (ISO 2007). It is implementable through technological system elements. System requirements are allocated to both the logical and physical architectures. The resulting system architecture is assessed with system analysis and when completed becomes the basis for system realization.

In some cases, particularly when multiple systems are to be defined to a common physical architecture model, one of the drivers for the physical architecture model may be interface standards; these physical interfaces may well be one of the most important concerns for these systems. It is quite possible that such interface standards are mandated at a high level in the system requirements. On the other hand, it is equally possible for standards to be derived during physical architecture model development and these can be critical enablers for desirable engineering outcomes, such as: families of systems, technology insertion, interoperability and "open systems". For example, today's video, hi-fi, and computer systems have all benefited from adoption of interface standards. Other examples exist in most fields of engineering from nuts and bolts, plumbing, electrical installations, rail gauges, TCP/IP, IT systems and software to modular defense and space systems.

Note: The term *Physical Architecture* is a contraction of the expression *Physical View of the System Architecture*.

## Concepts and Principles

### System Element, Physical Interface, and Physical Architecture Model

A system element is a discrete part of a system that can be implemented to fulfill design properties. A system element can be hardware, software, data, humans, processes (e.g., processes that provide a service to users), procedures (e.g., operator instructions), facilities, materials, and naturally occurring entities (e.g., water, organisms, and minerals), or any combination of these ISO/IEC/IEEE 15288 (ISO 2015). A physical interface binds two system elements together; this is similar to a link or a connector. Table 1 provides some examples of system elements and physical interfaces.

**Table 1. Types of System Elements and Physical Interfaces. (SEBoK Original)**

Element	Product System	Service System	Enterprise System
System Element	<ul style="list-style-type: none"> <li>• Hardware Parts (mechanics, electronics, electrical, plastic, chemical, etc.)</li> <li>• Operator Roles</li> <li>• Software Pieces</li> </ul>	<ul style="list-style-type: none"> <li>• Processes, Data Bases, Procedures, etc.</li> <li>• Operator Roles</li> <li>• Software Applications</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate, Direction, Division, Department, Project, Technical Team, Leader, etc.</li> <li>• IT Components</li> </ul>
Physical Interface	* Hardware Parts, Protocols, Procedures, etc.	* Protocols, Documents, etc.	* Protocols, Procedures, Documents, etc.

A complex system composed of thousands of physical and/or intangible parts may be structured in several layers of systems and system elements. The number of elements in a level of the structure of one system is limited to only a few, in order to facilitate managing the system definition; a common guideline is *five plus or minus two* elements (see illustration in Figure 1).

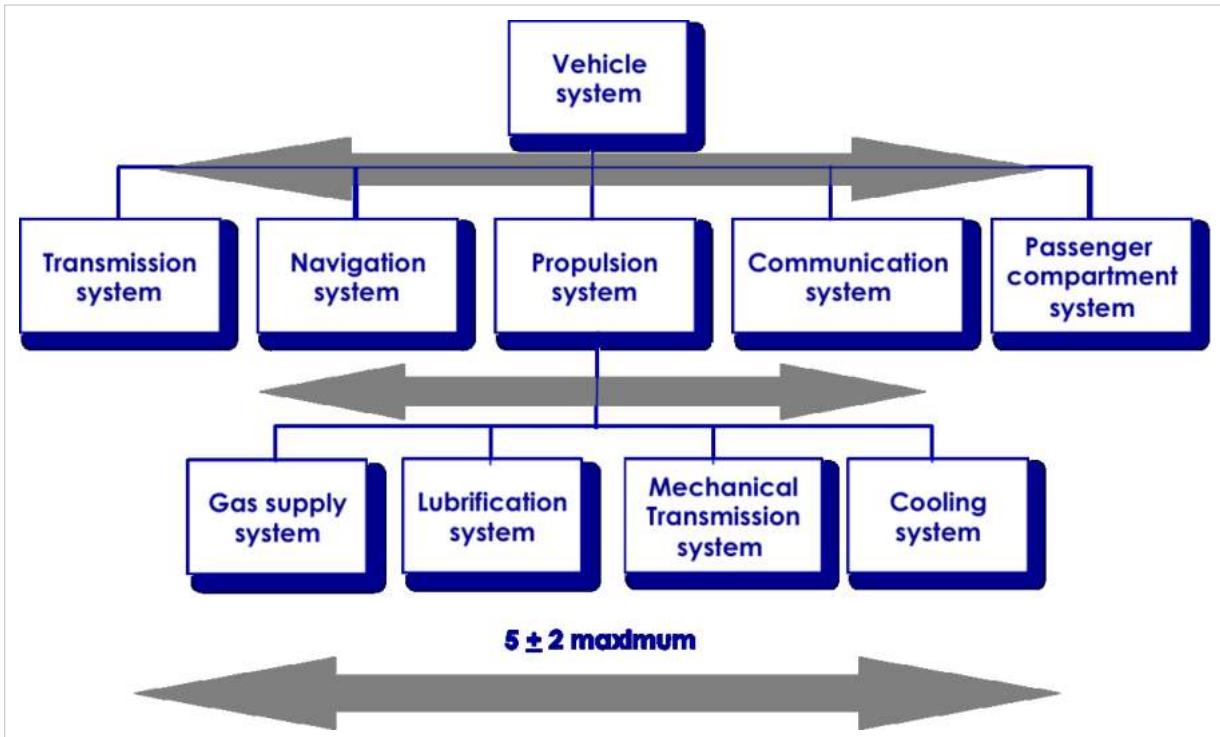
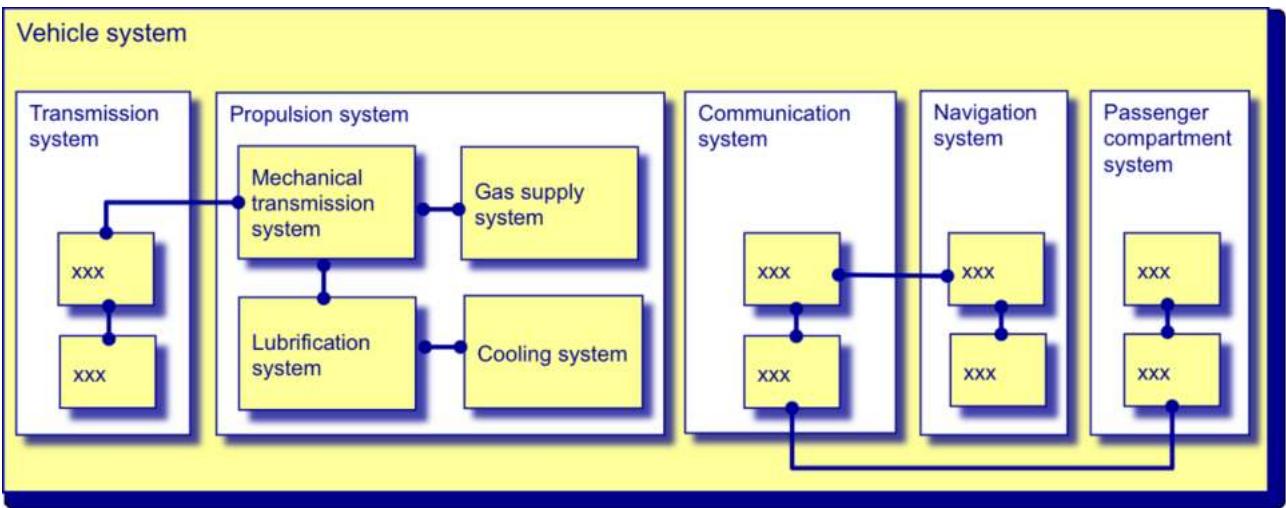


Figure 1. Layers of Systems and System Elements (Faisandier 2012). Permission granted by Sinergy'Com. All other rights are reserved by the copyright owner.

A physical architecture model is built from systems, system elements, and all necessary physical interfaces between these elements, as well as from external elements (neighboring or enabling systems and/or system elements in the considered layer and concerned elements in the context of the global system-of-interest) - see illustration in Figure 2.



**Figure 2. Physical Architecture Model Representation (Faisandier 2012).** Permission granted by Sinergy'Com. All other rights are reserved by the copyright owner.

## Design Property

A design property is a property that is obtained during system architecture and created through the assignment of non-functional requirements, estimates, analyses, calculations, simulations of a specific aspect, or through the definition of an existing element associated with a system element, a physical interface, and/or a physical architecture. If the defined element complies with a requirement, the design property will relate to (or may equal) the requirement. Otherwise, one has to identify any discrepancy that could modify the requirement or design property and detect any deviations.

Stakeholders have concerns that correspond to the expected behavior of a system within operational, environmental, and/or physical constraints as well as to more general life cycle constraints. Stakeholder requirements and system requirements express these concerns as expected capabilities from the system (e.g., usability, interoperability, security, expandability, environment suitability, etc.). Architects and/or designers identify these capabilities from requirements and deduce corresponding quantitative or qualitative design properties to properly equip their physical architecture model (e.g., reliability, availability, maintainability, modularity, robustness, operability, climatic environment resistance, dimensions limits, etc.). For further discussion on how some of these properties may be included in architecture and design, please see the article Systems Engineering and Quality Attributes in the Related Disciplines Part.

## Allocation of Logical Elements to Physical Elements and Partitioning

Developing a candidate physical architecture model for a system consists of first identifying the system elements that can perform functions of the logical architecture model as well as identifying the interfaces capable of carrying out the input-output flows and control flows. When identifying potential elements, a systems engineer needs to allocate design properties within the logical architecture; these properties are deduced from the system requirements. Partitioning and allocation are activities to decompose, gather, or separate functions in order to facilitate the identification of feasible system elements that support these functions. Either they exist and can be reused or re-purposed, or they can be developed and technically implemented.

Partitioning and allocation use criteria to find potential affinities between functions. Systems engineers use system requirements and/or design properties as criteria to assess and select candidate system elements and partitions of functions, such as similar transformations within the same technology, similar levels of efficiency, exchange of the same type of input-output flows (information, energy, and materials), centralized or distributed controls, execution

with close frequency level, dependability conditions, environment resistance level, and other enterprise constraints.

A concurrent engineering approach is necessary when several different sets of technologies, knowledge, and skills are necessary to establish a candidate physical architecture model. This is particularly true during the partition and allocation of functions to various system elements, in which the systems engineer must account for compatibility issues and emergent properties. (See SEBoK Part 2: Synthesizing Possible Solutions for a discussion of possible approaches.)

## Developing Candidate Physical Architecture Models

The goal of physical architecture model development activities is to provide the best possible physical architecture model made of suitable systems, technological system elements, and physical interfaces (i.e., the architecture that answers, at best, all system requirements, depending on agreed limits or margins of each requirement). The best way to do this is to produce several candidate physical architecture models, assess and compare them, and then select the most suitable one.

A candidate physical architecture model is elaborated according to affinity criteria in order to build a set of system elements (i.e., separate, gather, connect, and disconnect the network of system elements and their physical interfaces). These criteria are the same as those used for partitioning and allocating functions to system elements. The physical architecture model development may be focused in different ways, for example, it may address:

- Reduction in the number of physical interfaces
- System elements that can be tested separately
- Compatible technology
- Measures of the proximity of elements in space
- Ease of handling (weight, volume, and transportation facilities)
- Optimization of resources shared between elements
- Modularity (i.e. elements have low interdependence)
- Resilience (i.e. elements which are highly reliable, maintainable or replaceable)

## Evaluating and Selecting the Preferred Candidate

Viable physical architecture models enable all required functions or capabilities specified in the logical architecture model to be realized. Architecture and design activity includes evaluation to obtain a balance among design properties, costs, risks, etc. Generally, the physical architecture model of a system is determined more strongly by non-functional requirements (e.g., performance, safety, security, environmental conditions, constraints, etc.) than by functions. There may be many (physical) ways to establish functions but fewer ways of satisfying non-functional requirements. The preferred physical architecture model represents the selection of system elements, their physical relationships, and interfaces. Typically, this physical architecture will still leave further systems engineering to be undertaken to achieve a fully optimized system after any remaining trade-offs are made and algorithms and parameters of the system are finalized. Certain analyses (efficiency, dependability, cost, risks, etc.) are required to get sufficient data that characterize the global behavior and structure of the candidate architectures in regard to system requirements; this is often broadly referred to as system analysis. Other analyses and assessments require knowledge and skills from the different involved technologies and specialties (mechanics, electronics, software, thermodynamics, electro-magnetic compatibility, safety, security etc.). They are performed through corresponding specialist analysis of the system.

## Legacy Systems and Systems of Systems

Few systems come into existence or operate without interacting with others in a system context. These interactions may be with other operational systems, or maintenance and support systems, which in turn may be legacy (already in use) or future legacy (under development and likely to operate with the system of interest in the future).

The best chosen approach will be dependent on the strength of interactions between the system-of-interest (SoI) and its wider context. While these interactions are small, they may be accounted for by defining a set of static external interface requirements (for example, technical standards) with which the system must comply, by including these as constraints in the system requirements and ensuring compliance through design assurance.

Where the interactions are more intense (for example, where continuous information is to be exchanged with other systems), these will have to be recognized as part of a system of systems context and will instead be considered as part of an enterprise systems engineering approach.

Another important consideration may be the sharing of technology or system elements between the SoI and other systems, often as part of a family of systems (many examples occur in automotive and aerospace industries) or the re-use of system elements from existing legacy. Here a degree of top-down or middle-out design work will be necessary to ensure the system of interest embodies the required system elements, while conforming as far as possible to the stakeholder and system requirements, with any compromises being understood and managed.

If a System-of-Interest is intended to be used in one or more service systems or system of systems configurations, this will affect its physical architecture model. One of the features of these SoS is the late binding of component systems in use. Such component systems must be architected with open or configurable interfaces, must have clearly defined functions packaged in such a way as to be relevant to the SoS using them, and must include some method by which they can be identified and included in the SoS when needed.

Both service systems and SoS will be defined by a high-level physical architecture model, which will be utilized to define the relevant SoS relationships, interfaces, and constraints that should be included in Concept Definition. The results will be embedded in the stakeholder and system requirements and handled through interface agreements and across-project communication during development, realization, and use.

See SEBoK Part 4: Applications of Systems Engineering for more information on special considerations for architecting SoS.

## Process Approach

### Purpose

The purpose of the Physical Architecture Model Development is to define, select, and synthesize a system physical architecture model which can support the logical architecture model. A physical architecture model will have specific properties to address stakeholder concerns or environmental issues and to satisfy system requirements.

Because of the evolution of the context of use or technological possibilities, the physical architecture which is composed of system elements is supposed to evolve along the life cycle of the system in order for it to continue to perform its mission within the limits of its required effectiveness. Depending on whether or not evolution impacts logical architecture model elements, allocations to system elements may change. A physical architecture model is equipped with specific design properties to continuously challenge the evolution.

**Generic inputs** include the selected logical architecture model, system requirements, generic patterns and properties that architects identify and utilize to answer requirements, outcomes from system analysis, and feedback from system verification and system validation.

**Generic outputs** are the selected physical architecture model, allocation matrix of functional elements to physical elements, traceability matrix with system requirements, stakeholder requirements of each system and system element composing the physical architecture model, and rejected solutions.

## Activities of the Process

Major activities and tasks to be performed during this process include the following:

- Partition and allocate functional elements to system elements:
  - Search for system elements or technologies able to perform functions and physical interfaces to carry input-output and control flows. Ensure system elements exist or can be engineered. Assess each potential system element using criteria deduced from design properties (themselves deduced from non-functional system requirements).
  - Partition functional elements (functions, scenarios, input-outputs, triggers, etc.) using the given criteria and allocate partitioned sets to system elements (using the same criteria).
  - When it is impossible to identify a system element that corresponds to a partitioned functional set, decompose the function until the identification of implementable system elements is possible.
  - Check the compatibility of technologies and the compatibility of interfaces between selected system elements.
- Constitute candidate physical architecture models.
  - Because partitioned sets of functions can be numerous, there are generally too many system elements. For defining controllable architectures, system elements have to be grouped into higher-level system elements known as system element groups, often called sub-systems in industry.
  - Constitute several different system element groups corresponding to different combinations of elementary system elements. One set of system element groups plus one or several non-decomposable system elements forms a candidate physical architecture model of the considered system.
  - Represent (using patterns) the physical architecture model of each system element group connecting its system elements with physical interfaces that carry input-output flows and triggers. Add physical interfaces as needed; in particular, add interfaces with external elements to the system element group.
  - Represent the synthesized physical architecture of the considered system built from system element groups, non-decomposable systems, and physical interfaces inherited from the physical architecture model of system element groups.
  - Enhance the physical architecture model with design properties such as modularity, evolution capability, adaptability to different environments, robustness, scalability, resistance to environmental conditions, etc.
  - If possible, use executable architecture prototypes (e.g., hardware-software (HW-SW)-in-the-loop prototypes) for identifying potential deficiencies and correct the architecture as needed.
- Assess physical architecture model candidates and select the most suitable one:
  - Use the system analysis process to perform assessments (see the System Analysis topic).
  - Use the Decision Management process to support the trades and selection of the preferred alternative (see the Decision Management topic).
- Synthesize the selected physical architecture model:
  - Formalize physical elements and properties. Verify that system requirements are satisfied and that the solution is realistic.
  - Identify the derived physical and functional elements created for the necessity of architecture and design and the corresponding system requirements.
  - Establish traceability between system requirements and physical elements as well as allocate matrices between functional and physical elements.

## Artifacts, Methods and Modeling Techniques

Physical architecture descriptions use modeling techniques to create and represent physical architectures. Some common physical models include structural blocks, mass, layout and other models. Modeling techniques may be:

- Physical block diagrams (PBD)
- SysML block definition diagrams (BDD)
- Internal block diagrams (IBD) (OMG 2010)
- Executable architecture prototyping
- Etc.

Depending on the type of domain for which it is to be used (defense, enterprise, etc.), architecture frameworks may provide descriptions that can help to trade-off candidate architectures. Please see section 'Enterprise Architecture Frameworks & Methodologies' in Enterprise Systems Engineering Key Concepts.

## Practical Considerations

Key pitfalls and good practices related to physical architecture development are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in performing physical architecture model development are provided in Table 3.

**Table 3. Pitfalls with Physical Architecture Development. (SEBoK Original)**

Pitfall	Description
Too Many Levels in a Single System Block	The current system block includes too many levels of decomposition. The right practice is that the physical architecture model of a system block is composed of one single level of systems and/or system elements.
No Logical Architecture Model	The developers perform a direct passage from system requirements to a physical architecture model without establishing a logical architecture model; this is a common wrong practice that mainly takes place when dealing with repeating systems and products because the functions are already known. The issue is that a function is always associated with input-output flows defined in a specific domain set. If the domain set changes, the performance of the function can become invalid.
Direct Allocation on Technologies	At a high level of abstraction of multidisciplinary systems, directly allocating the functions onto technologies of the lowest level of abstraction, such as hardware or software, does not reflect a system comprehension. The right practice is to consider criteria to decompose the architecture into the appropriate number of levels, alternating logical and physical before reaching the technology level (the last level of the system).

### ====Proven Practices=====

Some proven practices gathered from the references are provided in Table 4.

**Table 4. Proven Practices with Physical Architecture Development. (SEBoK Original)**

Practice	Description
Modularity	Restrict the number of interactions between the system elements and consider the modularity principle (maximum of consistency inside the system element, minimum of physical interfaces with outside) as the right way for architecting systems.
Focus on Interfaces	Focusing on interfaces rather than on system elements is another key element of a successful architecture and design for abstract levels of systems.

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# Detailed Design Definition

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The purpose of the System Design is to supplement the system architecture by providing information and data useful and necessary for implementation of the system elements. Design definition is the process of developing, expressing, documenting, and communicating the realization of the architecture of the system through a complete set of design characteristics described in a form suitable for implementation.

## Concepts and Principles

### Design Notion

In industrial practices, the term *design* is often used to mean both architecture and design. In the recent past, professionals used the term *design* when they dealt with simpler technological products - ones that do not include several different and interconnected technological components such as hardware, software, operators, services, etc. In the development of new multi-technology products and services, professionals have recognized the usefulness of the notion of *system* in dealing with complexity (interconnections level, multi-techno, emergence, etc.).

It was due to complexity that structuring the elements that comprise a system became necessary. This structure explains the functional, behavioral, temporal, physical, and other aspects of a system as described in System Architecture. Practitioners found the term *structure* inadequate to describe all these aspects of a system. The terms *architecture* and *architectural design* have been used for approximately 30 years, especially in software intensive systems and other domains, such as the space industry. The set of different types and interrelated structures can be understood as the architecture of the system.

The trend today is to consider system architecture and system design as different and separate sets of activities, but concurrent and strongly intertwined.

System design includes activities to conceive a set of system elements that answers a specific, intended purpose, using principles and concepts; it includes assessments and decisions to select system elements that compose the system, fit the architecture of the system, and comply with traded-off system requirements. It is the complete set of detailed models, properties, and/or characteristics described into a form suitable for implementation.

### Design Characteristics and Design Enablers

Every technological domain or discipline owns its peculiar laws, rules, theories, and enablers concerning transformational, structural, behavioral, and temporal properties of its composing parts of materials, energy, or information. These specific parts and/or their compositions are described with typical design characteristics and enablers. These allow achieving the implementation of every system element through various transformations and exchanges required by design characteristics (e.g., operability level, reliability rate, speed, safeguard level) that have been assigned during the system architecture definition process.

The design definition provides the description of the design characteristics and design enablers necessary for implementation. Design characteristics include dimensions, shapes, materials, and data processing structures. Design enablers include formal expressions or equations, drawings, diagrams, tables of metrics with their values and margins, patterns, algorithms, and heuristics.

- Examples of generic design characteristics in mechanics of solids: shape, geometrical pattern, dimension, volume, surface, curves, resistance to forces, distribution of forces, weight, velocity of motion, temporal persistence
- Examples of generic design characteristics in software: distribution of processing, data structures, data persistence, procedural abstraction, data abstraction, control abstraction, encapsulation, creational patterns (e.g., builder, factory, prototype, singleton), and structural patterns (e.g., adapter, bridge, composite, decorator, proxy)

## **Relation with System Architecture**

System design is intended to be the link between the system architecture (at whatever point this milestone is defined in the specific application of the systems engineering process) and the implementation of technological system elements that compose the physical architecture model of the system.

Design definition is driven by specified requirements, the system architecture, and more detailed analysis of performance and feasibility. It addresses the implementation technologies and their assimilation. Design provides the “how-” or “implement-to” level of the definition.

Design concerns every system element composed of implementation technologies, such as mechanics, electronics, software, chemistry, human operations and services for which specific engineering processes are needed. System design provides feedback to the parent system architecture to consolidate or confirm the allocation and partitioning of architectural characteristics and design properties to system elements.

## **Design Descriptor**

A design descriptor is the set of generic design characteristics and of their possible values. If similar, but not exact system elements exist, it is possible to analyze these in order to identify their basic characteristics. Variations of the possible values of each characteristic determine potential candidate system elements.

## **Holistic Design**

Holistic design is an approach that considers the system being designed as an interconnected whole, which is also part of something larger. Holistic concepts can be applied to the system as a whole along with the system in its context (e.g., the enterprise or mission in which the system participates), as well as the design of mechanical devices, the layout of spaces, and so forth. This approach often incorporates concerns about the environment, considering how the design will impact the environment and attempting to reduce environmental impact. Holistic design is about more than merely trying to meet the system requirements.

## Process Approach

### Purpose

The purpose of the System Design process is to provide sufficient detailed data and information about the system and its system elements to enable the implementation consistent with architectural entities as defined in models and views of the system architecture (ISO/IEC/IEEE 15288 [ISO 2015]).

Generic inputs include architecture description of the parent system and system element requirements.

Generic outputs are the description of the design characteristics and design enablers necessary for implementation.

### Activities of the Process

Major activities and tasks to be performed during this process include the following:

#### 1. Initialize design definition

- Plan for technology management for the whole system. Identify the technologies (mechanics, electricity, electronics, software, biology, operators, etc.) that would compose and implement the system elements and their physical interfaces.
- Determine which technologies and system elements have a risk to become obsolete or evolve during the operation stage of the system. Plan for their potential replacement.
- Identify types of design characteristics or properties for each technology of each system element.
- Periodically assess design characteristics and adjust as the system evolves.
- Document the design definition strategy, including the need for and requirements of any enabling systems, products, or services to perform the design.

#### 2. Establish design characteristics and design enablers related to each system element

- Perform, consolidate or detail system requirements allocation to system elements for all requirements and system elements not fully addressed in the System Architecture process (normally, every system requirement would have been transformed into architectural entities and architectural characteristics within the System Architecture process, which are then allocated to system elements through direct assignment or some partitioning).
- Define the design characteristics relating to the architectural characteristics and check that they are implementable. Use design enablers, such as models (physical and analytical), design heuristics, etc. If the design characteristics are not feasible, then assess other design alternatives or implementation option, or perform trades of other system elements definition.
- Define the interfaces that were not defined by the System Architecture process or that need to be refined as the design details evolve. This includes both internal interfaces between the system elements and the external interfaces with other systems.
- Record the design characteristics of each system element within the applicable artifacts (they depend on the design methods and techniques used).
- Provide rationale about selection of major implementation options and enablers.

### 3. Assess alternatives for obtaining system elements

- Identify existing implemented system elements (COTS/NDI, reused, or other non-developed system elements). Alternatives for new system elements to be developed may be studied.
- Assess design options for the system element, using selection criteria that are derived from the design characteristics.
- Select the most appropriate alternatives.
- If the decision is made to develop the system element, the rest of the design definition process and the implementation process are used. If the decision is to buy or reuse a system element, the acquisition process may be used to obtain the system element.

### 4. Manage the design

- Capture and maintain the rationale for all selections among alternatives and decisions for the design, architecture characteristics, design enablers, and sources of system elements.
- Assess and control the evolution of the design characteristics, including the alignment with the architecture.
- Establish and maintain traceability between design characteristics and architectural characteristics, and with requirements as necessary.
- Provide baseline information for configuration management.
- Maintain the design baseline and the design definition strategy.

## Practical Considerations

Key pitfalls and proven practices related to system design are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in performing system design are provided in Table 1.

Pitfall	Description
<b>Consider the design of each system element separately</b>	This would be conducted using heterogeneous implementation of a given technology or between technologies within the system-of-interest. The design strategy for the complete system is defined to find synergies and/or commonalities that could help operation and maintenance of system elements.

### Proven Practices

Some proven practices gathered from the references are provided in Table 2.

Practice	Description
<b>Architecture and design mutual support</b>	Discipline engineers perform the design definition of each system element; they provide strong support (knowledge and competencies) to systems engineers or architects in the evaluation and selection of candidate system architectures and system elements. Inversely, systems engineers, or architects, must provide feedback to discipline engineers to improve knowledge and know-how.

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# System Analysis

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System analysis allows developers to objectively carry out quantitative assessments of systems in order to select and/or update the most efficient system architecture and to generate derived engineering data. During engineering, assessments should be performed every time technical choices or decisions are made to determine compliance with system requirements.

System analysis provides a rigorous approach to technical decision-making. It is used to perform trade-off studies, and includes modeling and simulation, cost analysis, technical risks analysis, and effectiveness analysis.

## Principles Governing System Analysis

One of the major tasks of a systems engineer is to evaluate the engineering data and artifacts created during the systems engineering (SE) process. The evaluations are at the center of system analysis, providing means and techniques:

- to define assessment criteria based on system requirements;
- to assess design properties of each candidate solution in comparison to these criteria;
- to score the candidate solutions globally and to justify the scores; and
- to decide on the appropriate solution(s).

The Analysis and Selection between Alternative Solutions article in the Systems Approach Applied to Engineered Systems knowledge area (KA) of Part 2 describes activities related to selecting between possible system solutions to an identified problem or opportunity. The following general principles of systems analysis are defined:

- Systems analysis is based on assessment criteria based upon a problem or opportunity system description.
  - These criteria will be based around an ideal system description, which assumes a hard system problem context can be defined.
  - Criteria must consider required system behavior and properties of the complete solution, in all possible wider system contexts and environments.
  - These must consider non-functional issues such as system safety, security, etc. (Please see Systems Engineering and Specialty Engineering for additional discussion on incorporating non-functional elements.)
  - This "ideal" system description may be supported by soft system descriptions, from which additional "soft" criteria may be defined. For example, a stakeholder preference for or against certain kinds of solutions, relevant social, political or cultural conventions to be considered, etc.
- The assessment criteria should include, at a minimum, the constraints on cost and time scales acceptable to stakeholders.
- Trade studies provide a mechanism for conducting analysis of alternative solutions.
  - A trade study should consider a set of assessment criteria, with appropriate awareness of the limitations and dependencies between individual criteria.
  - Trade studies need to deal with both objective and subjective criteria. Care must be taken to assess the sensitivity of the overall assessment to particular criteria.

## Trade-Off Studies

In the context of the definition of a system, a trade-off study consists of comparing the characteristics of each system element and of each candidate system architecture to determine the solution that best globally balances the assessment criteria. The various characteristics analyzed are gathered in cost analysis, technical risks analysis, and effectiveness analysis (NASA 2007).

Guidance on the conduct of trade studies for all types of system context are characterized in the above principles and described in more detail in the Analysis and Selection between Alternative Solutions topic. Of particular interest to SE analysis are technical effectiveness, cost, and technical risk analysis.

## Effectiveness Analysis

The effectiveness of an engineered system solution includes several essential characteristics that are generally gathered in the following list of analyses, including (but not limited to): performance, usability, dependability, manufacturing, maintenance or support, environment, etc. These analyses highlight candidate solutions under various aspects.

It is essential to establish a classification that limits the number of analyses to the really significant aspects, such as key performance parameters. The main difficulties of effectiveness analysis are to sort and select the right set of effectiveness aspects; for example, if the product is made for a single use, maintainability will not be a relevant criterion.

## Cost Analysis

A cost analysis considers the full life cycle costs. A cost baseline can be adapted according to the project and the system. The global life cycle cost (LCC), or total ownership cost (TOC), may include exemplary labor and non-labor cost items such as those indicated in Table 1.

**Table 1. Types of Costs. (SEBoK Original)**

Type of Cost	Description and Examples
<b>Development</b>	Engineering, development tools (equipment and software), project management, test-benches, mock-ups and prototypes, training, etc.
<b>Product manufacturing or service realization</b>	Raw materials and supplies, spare parts and stock assets, necessary resources to operation (water, electricity power, etc.), risks and nuances, evacuation, treatment and storage of waste or rejections produced, expenses of structure (taxes, management, purchase, documentation, quality, cleaning, regulation, controls, etc.), packing and storage, documentation required.
<b>Sales and after-sales</b>	Expenses of structure (subsidiaries, stores, workshops, distribution, information acquisition, etc.), complaints and guarantees, etc.
<b>Customer utilization</b>	Taxes, installation (customer), resources necessary to the operation of the product (water, fuel, lubricants, etc.), financial risks and nuisances, etc.
<b>Supply chain</b>	Transportation and delivery.
<b>Maintenance</b>	Field services, preventive maintenance, regulation controls, spare parts and stocks, cost of guarantee, etc.
<b>Disposal</b>	Collection, dismantling, transportation, treatment, waste recycling, etc.

Methods for determining cost are described in the Planning topic.

## Technical Risks Analysis

Every risk analysis concerning every domain is based on three factors:

1. Analysis of potential threats or undesired events and their probability of occurrence.
2. Analysis of the consequences of these threats or undesired events and their classification on a scale of gravity.
3. Mitigation to reduce the probabilities of threats and/or the levels of harmful effect to acceptable values.

The technical risks appear when the system cannot satisfy the system requirements any longer. The causes reside in the requirements and/or in the solution itself. They are expressed in the form of insufficient effectiveness and can have multiple causes: incorrect assessment of technological capabilities; over-estimation of the technical maturity of a system element; failure of parts; breakdowns; breakage, obsolescence of equipment, parts, or software, weakness from the supplier (non-compliant parts, delay for supply, etc.), human factors (insufficient training, wrong tunings, error handling, unsuited procedures, malice), etc.

Technical risks are not to be confused with project risks, even if the method to manage them is the same. Although technical risks may lead to project risks, technical risks address the system itself, not the process for its development. (See Risk Management for more details.)

## Process Approach

### Purpose and Principles of the Approach

The system analysis process is used to: (1) provide a rigorous basis for technical decision making, resolution of requirement conflicts, and assessment of alternative physical solutions (system elements and physical architectures); (2) determine progress in satisfying system requirements and derived requirements; (3) support risk management; and (4) ensure that decisions are made only after evaluating the cost, schedule, performance, and risk effects on the engineering or re-engineering of a system (ANSI/EIA 1998). This process is also called the decision analysis process by NASA (2007, 1-360) and is used to help evaluate technical issues, alternatives, and their uncertainties to support decision-making. (See Decision Management for more details.)

System analysis supports other system definition processes:

- Stakeholder requirements definition and system requirements definition processes use system analysis to solve issues relating to conflicts among the set of requirements; in particular, those related to costs, technical risks, and effectiveness (performances, operational conditions, and constraints). System requirements subject to high risks, or those which would require different architectures, are discussed.
- The Logical Architecture Model Development and Physical Architecture Model Development processes use it to assess characteristics or design properties of candidate logical and physical architectures, providing arguments for selecting the most efficient one in terms of costs, technical risks, and effectiveness (e.g., performances, dependability, human factors, etc.).

Like any system definition process, the system analysis process is iterative. Each operation is carried out several times; each step improves the precision of analysis.

## Activities of the Process

Major activities and tasks performed within this process include:

- Planning the trade-off studies:
  - Determine the number of candidate solutions to analyze, the methods and procedures to be used, the expected results (examples of objects to be selected: behavioral architecture/scenario, physical architecture, system element, etc.), and the justification items.
  - Schedule the analyses according to the availability of models, engineering data (system requirements, design properties), skilled personnel, and procedures.

- Define the selection criteria model:
  - Select the assessment criteria from non-functional requirements (performances, operational conditions, constraints, etc.), and/or from design properties.
  - Sort and order the assessment criteria.
  - Establish a scale of comparison for each assessment criterion and weigh every assessment criterion according to its level of relative importance with the others.
- Identify candidate solutions, related models, and data.
- Assess candidate solutions using previously defined methods or procedures:
  - Carry out cost analysis, technical risks analysis, and effectiveness analysis placing every candidate solution on every assessment criterion comparison scale.
  - Score every candidate solution as an assessment score.
- Provide results to the calling process: assessment criteria, comparison scales, solutions' scores, assessment selection, and possibly recommendations and related arguments.

## Artifacts and Ontology Elements

This process may create several artifacts, such as:

- A selection criteria model (list, scales, weighing)
- Costs, risks, and effectiveness analysis reports
- Justification reports

This process handles the ontology elements of Table 2 within system analysis.

**Table 2. Main Ontology Elements as Handled within System Analysis. (SEBoK Original)**

<b>Assessment Criterion</b>	In the context of system analysis, an assessment criterion is a characteristic used to assess or compare system elements, physical interfaces, physical architectures, functional architectures/scenarios, or any engineering elements that can be compared.
	Identifier; name; description; relative weight; scalar weight
<b>Assessment Selection</b>	In the context of system analysis, an assessment selection is a technical management element based on an assessment score that justifies the selection of a system element, a physical interface, a physical architecture, or a functional architecture/scenario.
<b>Assessment Score</b>	In the context of system analysis, an assessment score is obtained assessing a system element, a physical interface, a physical architecture, a functional architecture/scenario using a set of assessment criteria.
	Identifier; name; description; value
<b>Cost</b>	In the context of systems engineering, a cost is an amount expressed in a given currency related to the value of a system element, a physical interface, and a physical architecture.
	Identifier; name; description; amount; type (development, production, utilization, maintenance, disposal); confidence interval; period of reference; estimation technique
<b>Risk</b>	An event having a probability of occurrence and consequences related to the system mission or on other characteristics. (Used for technical risk in engineering.). A risk is the combination of vulnerability and a danger or threat.
	Identifier; name description; status

## Checking Correctness of System Analysis

The main items to be checked within system analysis in order to get validated arguments are:

- Relevance of the models and data in the context of use of the system,
- Relevance of assessment criteria related to the context of use of the system,
- Reproducibility of simulation results and of calculations,
- Precision level of comparisons' scales,
- Confidence of estimates, and
- Sensitivity of solutions' scores related to assessment criteria weights.

See Ring, Eisner, and Maier (2010) for additional perspective.

## Methods and Modeling Techniques

- **General usage of models:** Various types of models can be used in the context of system analysis:

- **Physical models** are scale models allowing simulation of physical phenomena. They are specific to each discipline; associated tools include mock-ups, vibration tables, test benches, prototypes, decompression chamber, wind tunnels, etc.
- **Representation models** are mainly used to simulate the behavior of a system. For example, enhanced functional flow block diagrams (eFFBDs), statecharts, state machine diagrams (based in systems modeling language (SysML)), etc.
- **Analytical models** are mainly used to establish values of estimates. We can consider the deterministic models and probabilistic models (also known as stochastic models) to be analytical in nature. Analytical models use equations or diagrams to approach the real operation of the system. They can be very simple (addition) to incredibly complicated (probabilistic distribution with several variables).
- **Use right models** depending on the project progress
  - At the beginning of the project, first studies use simple tools, allowing rough approximations which have the advantage of not requiring too much time and effort. These approximations are often sufficient to eliminate unrealistic or outgoing candidate solutions.
  - It is progressively necessary over the development of the project to improve precision of data to compare the candidate solutions still competing. The work is more complicated if the level of innovation is high.
  - A systems engineer alone cannot model a complex system; he or she must be supported by skilled people from different disciplines involved.
- **Specialist expertise:** When the values of assessment criteria cannot be given in an objective or precise way, or because the subjective aspect is dominating, we can ask specialists for expertise. The estimates proceed in four steps:

1. Select interviewees to collect the opinion of qualified people for the considered field.
2. Draft a questionnaire; a precise questionnaire allows an easy analysis, but a questionnaire that is too closed risks the neglection of significant points.
3. Interview a limited number of specialists with the questionnaire, including an in-depth discussion to get precise opinions.
4. Analyze the data with several different people and compare their impressions until an agreement on a classification of assessment criteria and/or candidate solutions is reached.

Often used analytical models in the context of system analysis are summarized in Table 3.

**Table 3. Often Used Analytical Models in the Context of System Analysis. (SEBoK Original)**

Type of Model	Description
<b>Deterministic models</b>	<ul style="list-style-type: none"> <li>Models containing <b>statistics</b> are included in this category. The principle consists of establishing a model based on a significant amount of data and number of results from former projects; they can apply only to system elements/components whose technology already exists.</li> <li>Models by <b>analogy</b> also use former projects. The system element being studied is compared to an already existing system element with known characteristics (cost, reliability, etc.). Then these characteristics are adjusted based on the specialists' expertise.</li> <li><b>Learning curves</b> allow foreseeing the evolution of a characteristic or a technology. One example of evolution: "Each time the number of produced units is multiplied by two, the cost of this unit is reduced with a certain percentage, generally constant."</li> </ul>
<b>Probabilistic models</b> (also called stochastic models)	The theory of probability allows classifying the possible candidate solutions compared to consequences from a set of events as criteria. These models are applicable if the number of criteria is limited and the combination of the possible events is simple. Take care that the sum of probabilities of all events is equal to one for each node.
<b>Multi-criteria decisions models</b>	<p>When the number of criteria is greater than ten, it is recommended that a multi-criteria decision model be established. This model is obtained through the following actions:</p> <ul style="list-style-type: none"> <li>Organize the criteria as a hierarchy (or a decomposition tree).</li> <li>Associate each criterion of each branch of the tree with a relative weight compared to each other of the same level.</li> <li>Calculate a scalar weight for each leaf criterion of each branch, multiplying all the weights of the branch.</li> <li>Score every candidate solution on the leaf criteria; sum the scores to get a global score for each candidate solution; compare the scores.</li> <li>Using a computerized tool allows to perform sensitivity analysis to get a robust choice.</li> </ul>

## Practical Considerations

Key pitfalls and good practices related to system analysis are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing system analysis are provided in Table 4.

**Table 4. Pitfalls with System Analysis. (SEBoK Original)**

Pitfall	Description
Analytical modeling is not a decision tool	Analytical modeling gives analytical results from analytical data. It has to be considered as an aid and not as a decision tool.
Models and system levels of decomposition	A model can be well adapted to a level $n$ of a system and be incompatible with the model of the higher level which uses the data coming from the lower level. It is essential that the systems engineer ensures the coherence of the various models used.
Optimization is not a sum of optimized elements	The general optimization of the system-of-interest is not the sum of its optimized systems and/or system elements.

## Proven Practices

Some proven practices gathered from the references are provided in Table 5.

**Table 5. Proven Practices with System Analysis. (SEBoK Original)**

Practice	Description
Stay in the operational field	Models can never simulate all the behavior/reactions of a system: they operate only in one limited field with a restricted number of variables. When a model is used, it is always necessary to make sure that the parameters and data inputs are part of the operation field. If not, there is a high risk of irregular outputs.
Evolve models	Models shall evolve during the project: by modification of parameter settings, by entering new data when modified (modification of assessment criteria, functions to perform, requirements, etc.), by the use of new tools when those used reach their limits.
Use several types of models	It is recommended to concurrently use several types of models in order to compare the results and/or to take into account another aspect of the system.
Keep context elements consistent	Results of a simulation shall always be given in their modeling context: tool used, selected assumptions, parameters and data introduced, and variance of the outputs.

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# System Realization

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System realization activities are conducted to create and test versions of a system as specified by system definition. The activities are grouped and described as generic processes that are performed iteratively and/or concurrently depending on the selected life cycle model. These activities include those required to build a system (system implementation), integrate disparate system elements (system integration), and ensure that the system meets both the needs of stakeholders (system validation) and aligns with the system requirements and architecture (system verification).

These activities are not sequential, but are performed concurrently, iteratively and recursively depending on the selected life cycle model. Figure 1 (see "Overview", below), also shows how these processes fit within the context of system definition and System Deployment and Use KAs. See also Applying Life Cycle Processes for further discussion of the relationships between process and life cycle model.

## Topics

Each part of the SEBoK is divided into KAs, which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- System Implementation
- System Integration
- System Verification
- System Validation

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 to topics covered in Part 3.

## Overview

Essentially, the outputs of system definition are used during system implementation to create system elements and during system integration to provide plans and criteria for combining these elements. The requirements are used to verify and validate system elements, systems, and the overall system-of-interest (SoI). These activities provide feedback into the system design, particularly when problems or challenges are identified.

Finally, when the system is considered, verified, and validated, it will then become an input to system deployment and use. It is important to understand that there is overlap in these activities; they do not have to occur in sequence as demonstrated in Figure 1. Every life cycle model includes realization activities, principally, verification and validation activities. The way these activities are performed is dependent upon the life cycle model in use. (For additional information on life cycles, see the Life Cycle Models KA.)

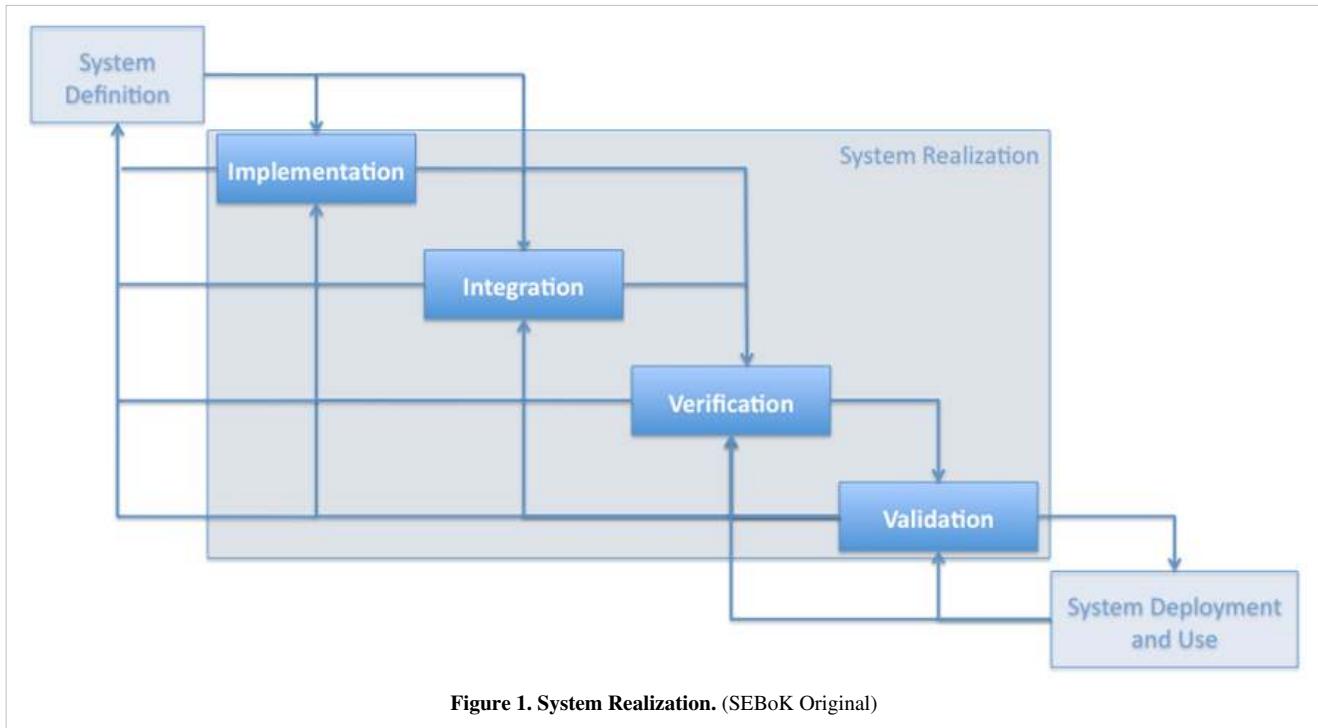


Figure 1. System Realization. (SEBoK Original)

The realization processes are performed to ensure that the system will be ready for transition and has the appropriate structure and behavior to enable the desired operation and functionality throughout the system's life span. Both DAU and NASA include transition in realization, in addition to implementation, integration, verification, and validation (Prosnik 2010; NASA December 2007, 1-360).

## Fundamentals

### Macro View of Realization Processes

Figure 2 illustrates a macro view of generic outputs from realization activities when using a Vee life cycle model. The left side of the Vee represents various design activities 'going down' the system.

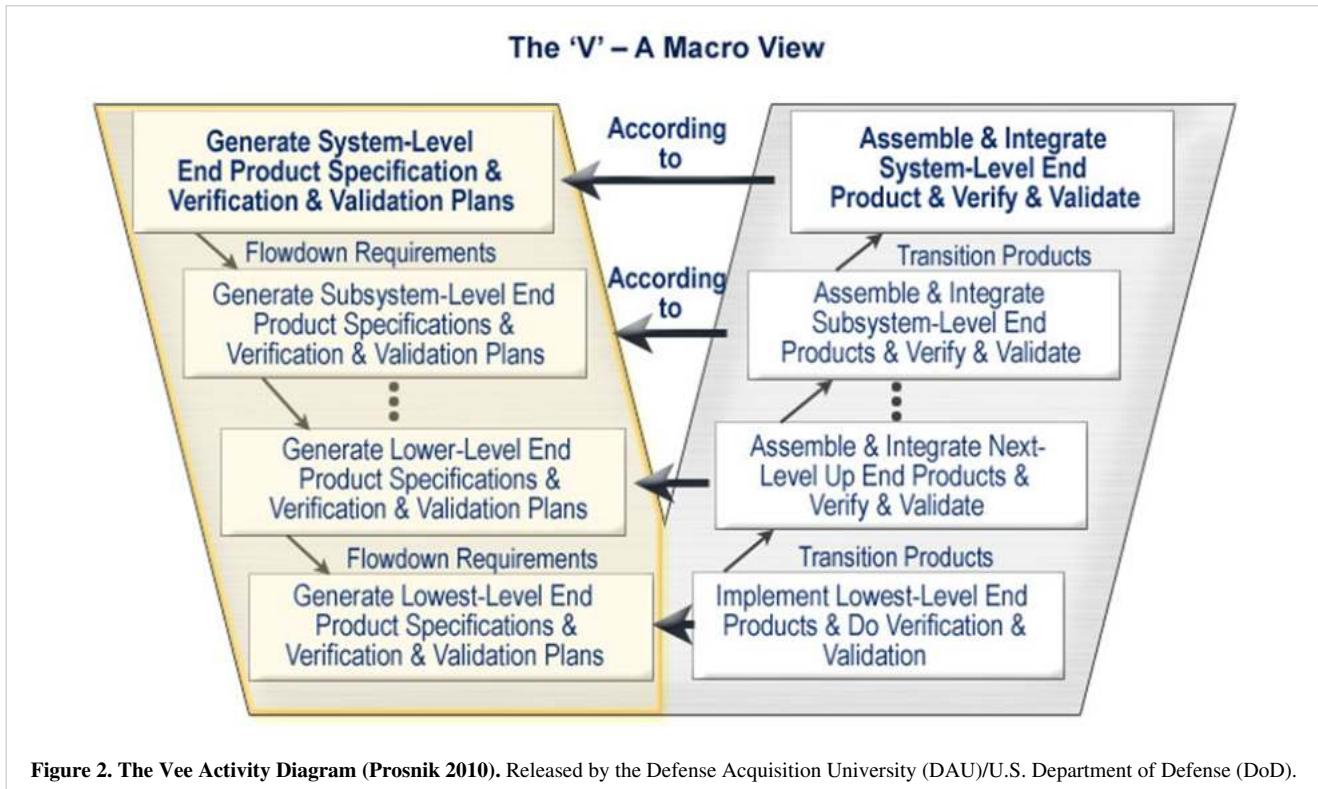


Figure 2. The Vee Activity Diagram (Prosnik 2010). Released by the Defense Acquisition University (DAU)/U.S. Department of Defense (DoD).

The left side of the Vee model demonstrates the development of system elements specifications and design descriptions. In this stage, verification and validation plans are developed, which are later used to determine whether realized system elements (products, services, or enterprises) are compliant with specifications and stakeholder requirements. Also, during this stage initial specifications become flow-down requirements for lower-level system models. In terms of time frame, these activities take place early in the system's life cycle. These activities are discussed further in the System Definition KA. However, it is important to understand that some of the system realization activities are initiated at the same time as system definition activities; this is the case with integration, verification and validation planning in particular.

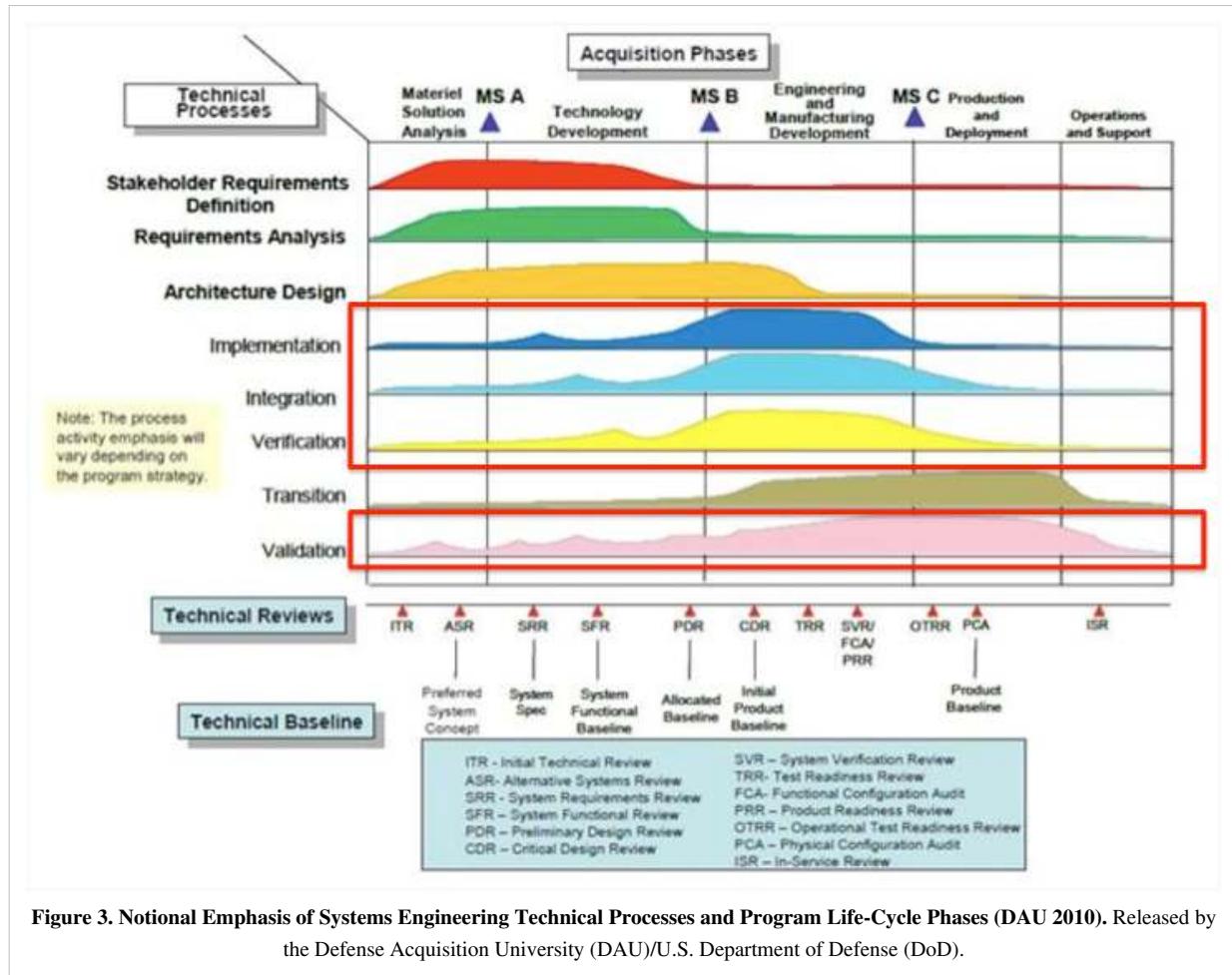
The right side of the Vee model, as illustrated in Figure 2, shows the system elements (products, services, or enterprises) are assembled according to the system model described on the left side of the Vee (integration). Verification and validation activities determine how well the realized system fulfills the stakeholder requirements, the system requirements, and design properties. These activities should follow the plans developed on the left side of the Vee. Integration can be done continuously, incrementally and/or iteratively, supported by verification and validation (V&V) efforts. For example, integration typically starts at the bottom of the Vee and continues upwards to the top of the Vee.

The U.S. Defense Acquisition University (DAU) provides an overview of what occurs during system realization:

*Once the products of all system models have been fully defined, Bottom-Up End Product Realization can be initiated. This begins by applying the Implementation Process to buy, build, code or reuse end products. These implemented end products are verified against their design descriptions and specifications, validated against Stakeholder Requirements and then transitioned to the next higher*

*system model for integration. End products from the Integration Process are successively integrated upward, verified and validated, transitioned to the next acquisition phase or transitioned ultimately as the End Product to the user.* (Prosnik 2010)

While the systems engineering (SE) technical processes are life cycle processes, the processes are concurrent, and the emphasis of the respective processes depends on the phase and maturity of the design. Figure 3 portrays (from left to right) a notional emphasis of the respective processes throughout the systems acquisition life cycle from the perspective of the U.S. Department of Defense (DoD). It is important to note that from this perspective, these processes do not follow a linear progression; instead, they are concurrent, with the amount of activity in a given area changing over the system's life cycle. The red boxes indicate the topics that will be discussed as part of realization.



**Figure 3. Notional Emphasis of Systems Engineering Technical Processes and Program Life-Cycle Phases (DAU 2010).** Released by the Defense Acquisition University (DAU)/U.S. Department of Defense (DoD).

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# System Implementation

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System Implementation uses the structure created during architectural design and the results of system analysis to construct system elements that meet the stakeholder requirements and system requirements developed in the early life cycle phases. These system elements are then integrated to form intermediate aggregates and finally the complete system-of-interest (SoI). See System Integration.

## Definition and Purpose

Implementation is the process that actually yields the lowest-level system elements in the system hierarchy (system breakdown structure). System elements are made, bought, or reused. Production involves the hardware fabrication processes of forming, removing, joining, and finishing, the software realization processes of coding and testing, or the operational procedures development processes for operators' roles. If implementation involves a production process, a manufacturing system which uses the established technical and management processes may be required.

The purpose of the implementation process is to design and create (or fabricate) a system element conforming to that element's design properties and/or requirements. The element is constructed employing appropriate technologies and industry practices. This process bridges the system definition processes and the integration process. Figure 1 portrays how the outputs of system definition relate to system implementation, which produces the implemented (system) elements required to produce aggregates and the SoI.

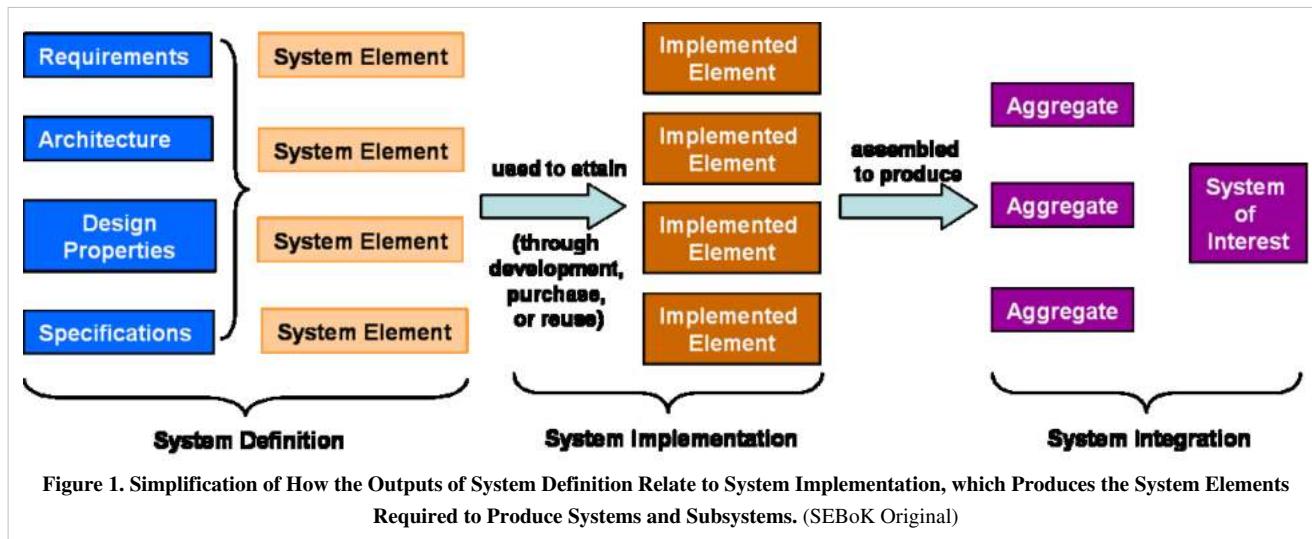


Figure 1. Simplification of How the Outputs of System Definition Relate to System Implementation, which Produces the System Elements Required to Produce Systems and Subsystems. (SEBoK Original)

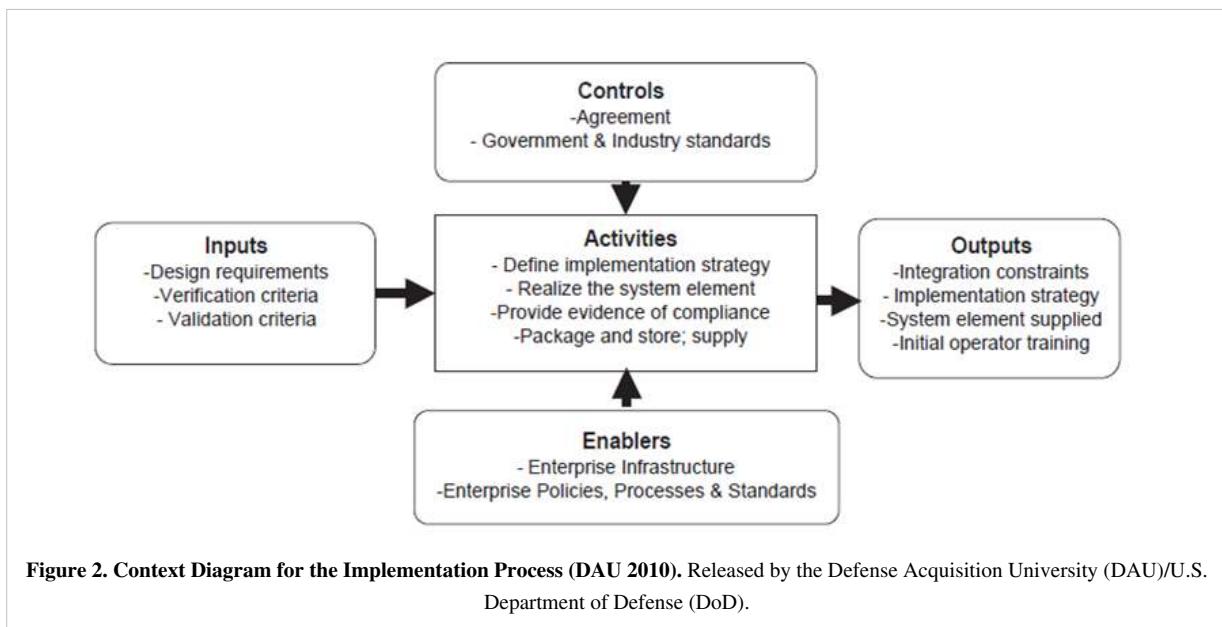
## Process Approach

### Purpose and Principle of the Approach

During the implementation process, engineers apply the design properties and/or requirements allocated to a system element to design and produce a detailed description. They then fabricate, code, or build each individual element using specified materials, processes, physical or logical arrangements, standards, technologies, and/or information flows outlined in detailed descriptions (drawings or other design documentation). A system element will be verified against the detailed description of properties and validated against its requirements.

If subsequent verification and validation (V&V) actions or configuration audits reveal discrepancies, recursive interactions occur, which includes predecessor activities or processes, as required, to mitigate those discrepancies.

and to modify, repair, or correct the system element in question. Figure 2 provides the context for the implementation process from the perspective of the U.S. Defense Acquisition University (DAU).



Such figures provide a useful overview of the systems engineering (SE) community's perspectives on what is required for implementation and what the general results of implementation may be. These are further supported by the discussion of implementation inputs, outputs, and activities found in the National Aeronautics and Space Association's (NASA's) *Systems Engineering Handbook* (NASA 2007). It is important to understand that these views are process-oriented. While this is a useful model, examining implementation only in terms of process can be limiting.

Depending on the technologies and systems chosen when a decision is made to produce a system element, the implementation process outcomes may generate constraints to be applied on the architecture of the higher-level system; those constraints are normally identified as derived system requirements and added to the set of system requirements applicable to this higher-level system. The architectural design has to must take those constraints into account.

If the decision is made to purchase or reuse an existing system element, it has to must be identified as a constraint or system requirement applicable to the architecture of the higher-level system. Conversely, the implementation process may involve some adaptation or adjustments to the system requirement in order to be integrated into a higher-level system or aggregate.

Implementation also involves packaging, handling, and storage, depending on the concerned technologies and where or when the system requirement needs to be integrated into a higher-level aggregate. Developing the supporting documentation for a system requirement, such as the manuals for operation, maintenance, and/or installation, is also a part of the implementation process; these artifacts are utilized in the system deployment and use phase. The system element requirements and the associated verification and validation criteria are inputs to this process; these inputs come from the architectural design process detailed outputs.

Execution of the implementation process is governed by both industrial and government standards and the terms of all applicable agreements. This may include conditions for packaging and storage, as well as preparation for use activities, such as operator training. In addition, packaging, handling, storage, and transportation (PHS&T) considerations will constrain the implementation activities. For more information, refer to the discussion of PHS&T in the System Deployment and Use article. The developing or integrating organization will likely have enterprise-level safety practices and guidelines that must also be considered.

## Activities of the Process

The following major activities and tasks are performed during this process:

- **Define the implementation strategy** - Implementation process activities begin with detailed design and include developing an implementation strategy that defines fabrication and coding procedures, tools and equipment to be used, implementation tolerances, and the means and criteria for auditing configuration of resulting elements to the detailed design documentation. In the case of repeated system element implementations (such as for mass manufacturing or replacement elements), the implementation strategy is defined and refined to achieve consistent and repeatable element production; it is retained in the project decision database for future use. The implementation strategy contains the arrangements for packing, storing, and supplying the implemented element.
- **Realize the system element** - Realize or adapt and produce the concerned system element using the implementation strategy items as defined above. Realization or adaptation is conducted with regard to standards that govern applicable safety, security, privacy, and environmental guidelines or legislation and the practices of the relevant implementation technology. This requires the fabrication of hardware elements, development of software elements, definition of training capabilities, drafting of training documentation, and the training of initial operators and maintainers.
- **Provide evidence of compliance** - Record evidence that the system element meets its requirements and the associated verification and validation criteria as well as the legislation policy. This requires the conduction of peer reviews and unit testing, as well as inspection of operation and maintenance manuals. Acquire measured properties that characterize the implemented element (weight, capacities, effectiveness, level of performance, reliability, availability, etc.).
- **Package, store, and supply the implemented element** - This should be defined in the implementation strategy.

## Artifacts and Ontology Elements

This process may create several artifacts such as:

- an implemented system
- implementation tools
- implementation procedures
- an implementation plan or strategy
- verification reports
- issue, anomaly, or trouble reports
- change requests (about design)

This process handles the ontology elements shown in Table 1 below.

**Table 1. Main Ontology Elements as Handled within System Element Implementation.  
(SEBoK Original)**

Element	Definition	Attributes (examples)
Implemented Element	An implemented element is a system element that has been implemented. In the case of hardware it is marked with a part/serial number.	Identifier, name, description, type (hardware, software application, software piece, mechanical part, electric art, electronic component, operator role, procedure, protocol, manual, etc.)

**Measured Property** A measured property is a characteristic of the implemented element established after its implementation. The measured properties characterize the implemented system element when it is completely realized, verified, and validated. If the implemented element complies with a design property, the measured property should equal the design property. Otherwise one has to must identify the difference or non-conformance which treatment could conclude to modify the design property and possibly the related requirements, or to modify (correct, repair) the implemented element, or to identify a deviation.

Identifier, name, description, type (effectiveness, availability, reliability, maintainability, weight, capacity, etc.), value, unit, etc.

The main relationships between ontology elements are presented in Figure 3.

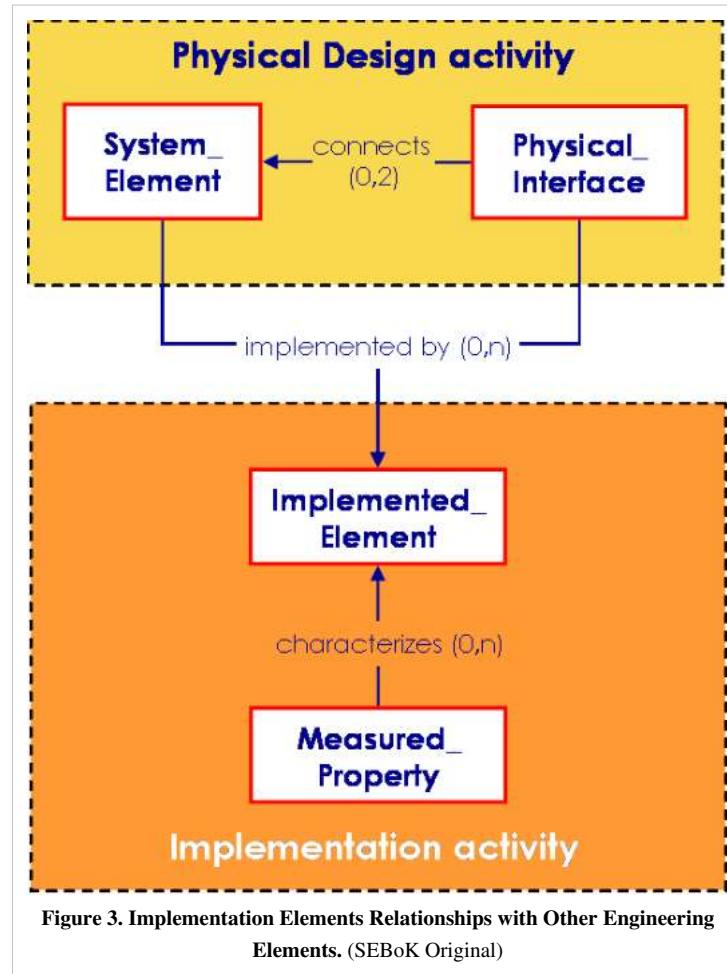


Figure 3. Implementation Elements Relationships with Other Engineering Elements. (SEBoK Original)

## Methods, Techniques, and Tools

There are many software tools available in the implementation and integration phases. The most basic method would be the use of N-squared diagrams as discussed in Jeff Grady's book *System Integration* (Grady 1994).

## Checking and Correctness of Implementation

Proper implementation checking and correctness should include testing to determine if the implemented element (i.e., piece of software, hardware, or other product) works in its intended use. Testing could include mockups and breadboards, as well as modeling and simulation of a prototype or completed pieces of a system. Once this is completed successfully, the next process would be system integration.

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# System Integration

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System integration consists of taking delivery of the implemented system elements which compose the system-of-interest (SoI), assembling these implemented elements together, and performing the verification and validation actions (V&V actions) in the course of the assembly. The ultimate goal of system integration is to ensure that the individual system elements function properly as a whole and satisfy the design properties or characteristics of the system. System integration is one part of the realization effort and relates only to developmental items. Integration should not be confused with the assembly of end products on a production line. To perform the production, the assembly line uses a different order from that used by integration.

## Definition and Purpose

System integration consists of a process that “*iteratively combines implemented system elements to form complete or partial system configurations in order to build a product or service. It is used recursively for successive levels of the system hierarchy.*” (ISO/IEC 15288 2015, 68). The process is extended to any kind of product system, service system, and enterprise system. The purpose of system integration is to prepare the SoI for final validation and transition either for use or for production. Integration consists of progressively assembling aggregates of implemented elements that compose the SoI as architected during design, and to check correctness of static and dynamic aspects of interfaces between the implemented elements.

The U.S. Defense Acquisition University (DAU) provides the following context for integration: *The integration process will be used . . . for the incorporation of the final system into its operational environment to ensure that the system is integrated properly into all defined external interfaces. The interface management process is particularly important for the success of the integration process, and iteration between the two processes will occur* (DAU 2010).

The purpose of system integration can be summarized as below:

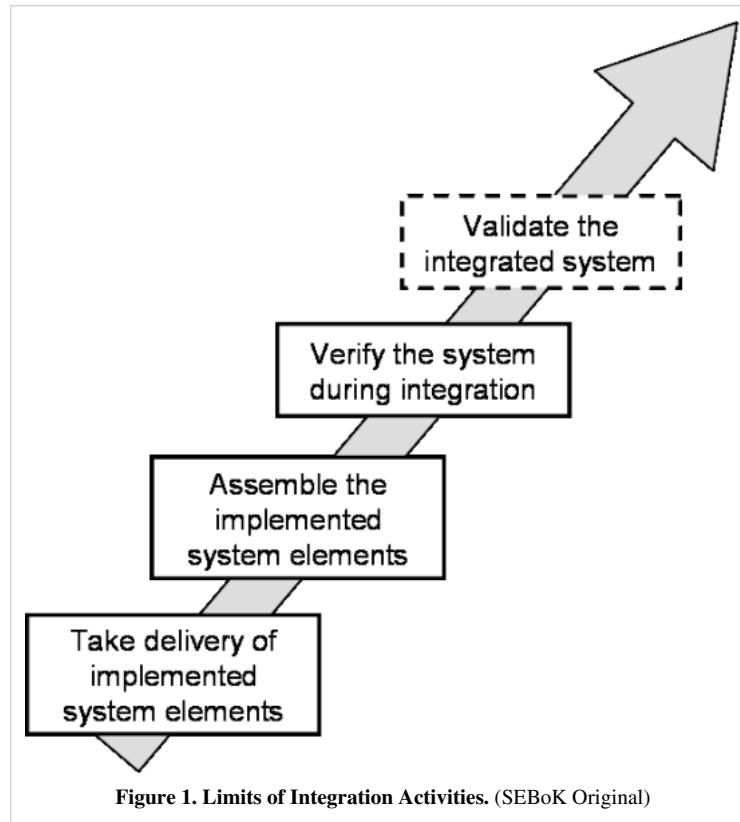
- Completely assemble the implemented elements to make sure that they are compatible with each other.
- Demonstrate that the aggregates of implemented elements perform the expected functions and meet measures of performance/effectiveness.
- Detect defects/faults related to design and assembly activities by submitting the aggregates to focused V&V actions.

Note: In the systems engineering literature, sometimes the term *integration* is used in a larger context than in the present topic. In this larger sense, it concerns the technical effort to simultaneously design and develop the system and the processes for developing the system through concurrent consideration of all life cycle stages, needs, and competences. This approach requires the "integration" of numerous skills, activities, or processes.

## Principles

### Boundary of Integration Activity

Integration can be understood as the whole bottom-up branch of the Vee Model, including the tasks of assembly and the appropriate verification tasks. See Figure 1 below:



The assembly activity joins together, and physically links, the implemented elements. Each implemented element is individually verified and validated prior to entering integration. Integration then adds the verification activity to the assembly activity, excluding the final validation.

The final validation performs operational tests that authorize the transition for use or the transition for production. Remember that system integration only endeavors to obtain pre-production prototypes of the concerned product, service, or enterprise. If the product, service, or enterprise is delivered as a unique exemplar, the final validation activity serves as acceptance for delivery and transfer for use. If the prototype has to be produced in several exemplars, the final validation serves as acceptance to launch their production. The definition of the optimized operations of assembly which will be carried out on a production line relates to the manufacturing process and not to the integration process.

Integration activity can sometimes reveal issues or anomalies that require modifications of the design of the system. Modifying the design is not part of the integration process but concerns only the design process. Integration only deals with the assembly of the implemented elements and verification of the system against its properties as designed. During assembly, it is possible to carry out tasks of finishing touches which require simultaneous use of several implemented elements (e.g., paint the whole after assembly, calibrate a biochemical component, etc.). These tasks must be planned in the context of integration and are not carried out on separate implemented elements and do not include modifications related to design.

## Aggregation of Implemented Elements

The integration is used to systematically assemble a higher-level system from lower-level ones (implemented system elements) that have been implemented. Integration often begins with analysis and simulations (e.g., various types of prototypes) and progresses through increasingly more realistic systems and system elements until the final product, service, or enterprise is achieved.

System integration is based on the notion of an aggregate - a subset of the system made up of several implemented elements (implemented system elements and physical interfaces) on which a set of V&V actions is applied. Each aggregate is characterized by a configuration which specifies the implemented elements to be physically assembled and their configuration status.

To perform V&V actions, a V&V configuration that includes the aggregate plus V&V tools is constituted. The V&V tools are enabling products and can be simulators (simulated implemented elements), stubs or caps, activators (launchers, drivers), harness, measuring devices, etc.

## Integration by Level of System

According to the Vee Model, system definition (top-down branch) is done by successive levels of decomposition; each level corresponds to the physical architecture of systems and system elements. The integration (bottom-up branch) takes the opposite approach of composition (i.e., a level by level approach). On a given level, integration is done on the basis of the physical architecture defined during system definition.

## Integration Strategy

The integration of implemented elements is generally performed according to a predefined strategy. The definition of the integration strategy is based on the architecture of the system and relies on the way the architecture of the system has been designed. The strategy is described in an integration plan that defines the minimum configuration of expected aggregates, the order of assembly of these aggregates in order to support efficient subsequent verification and validation actions (e.g., inspections and/or testing), techniques to check or evaluate interfaces, and necessary capabilities in the integration environment to support combinations of aggregates. The integration strategy is thus elaborated starting from the selected verification and validation strategy. See the System Verification and System Validation topics.

To define an integration strategy, there are several possible integration approaches/techniques that may be used individually or in combination. The selection of integration techniques depends on several factors; in particular, the type of system element, delivery time, order of delivery, risks, constraints, etc. Each integration technique has strengths and weaknesses which should be considered in the context of the SoI. Some integration techniques are summarized in Table 1 below.

**Table 1. Integration Techniques. (SEBoK Original)**

Integration Technique	Description
<b>Global Integration</b>	Also known as <i>big-bang integration</i> ; all the delivered implemented elements are assembled in only one step. <ul style="list-style-type: none"><li>• This technique is simple and does not require simulating the implemented elements not being available at that time.</li><li>• Difficult to detect and localize faults; interface faults are detected late.</li><li>• Should be reserved for simple systems, with few interactions and few implemented elements without technological risks.</li></ul>

<b>Integration "with the Stream"</b>	The delivered implemented elements are assembled as they become available. <ul style="list-style-type: none"> <li>Allows starting the integration quickly.</li> <li>Complex to implement because of the necessity to simulate the implemented elements not yet available. Impossible to control the end-to-end "functional chains"; consequently, global tests are postponed very late in the schedule.</li> <li>Should be reserved for well-known and controlled systems without technological risks.</li> </ul>
<b>Incremental Integration</b>	In a predefined order, either one or a very few implemented elements are added to an already integrated increment of implemented elements. <ul style="list-style-type: none"> <li>Fast localization of faults: a new fault is usually localized in lately integrated implemented elements or dependent of a faulty interface.</li> <li>Require simulators for absent implemented elements. Require many test cases, as each implemented element addition requires the verification of the new configuration and regression testing.</li> <li>Applicable to any type of architecture.</li> </ul>
<b>Subsets Integration</b>	Implemented elements are assembled by subsets, and then subsets are assembled together (a subset is an aggregate); could also be called "functional chains integration". <ul style="list-style-type: none"> <li>Time saving due to parallel integration of subsets; delivery of partial products is possible. Requires less means and fewer test cases than integration by increments.</li> <li>Subsets shall be defined during the design.</li> <li>Applicable to architectures composed of sub-systems.</li> </ul>
<b>Top-Down Integration</b>	Implemented elements or aggregates are integrated in their activation or utilization order. <ul style="list-style-type: none"> <li>Availability of a skeleton and early detection of architectural faults, definition of test cases close to reality, and the re-use of test data sets possible.</li> <li>Many stubs/caps need to be created; difficult to define test cases of the leaf-implemented elements (lowest level).</li> <li>Mainly used in software domain. Start from the implemented element of higher level; implemented elements of lower level are added until leaf-implemented elements.</li> </ul>
<b>Bottom-Up Integration</b>	Implemented elements or aggregates are integrated in the opposite order of their activation or utilization. <ul style="list-style-type: none"> <li>Easy definition of test cases; early detection of faults (usually localized in the leaf-implemented elements); reduce the number of simulators to be used. An aggregate can be a sub-system.</li> <li>Test cases shall be redefined for each step, drivers are difficult to define and realize, implemented elements of lower levels are "over-tested", and does not allow architectural faults to be quickly detected.</li> <li>Mainly used in software domain, but can be used in any kind of system.</li> </ul>
<b>Criterion Driven Integration</b>	The most critical implemented elements compared to the selected criterion are first integrated (dependability, complexity, technological innovation, etc.). Criteria are generally related to risks. <ul style="list-style-type: none"> <li>Allows early and intensive testing of critical implemented elements; early verification of design choices.</li> <li>Test cases and test data sets are difficult to define.</li> </ul>

Usually, a mixed integration technique is selected as a trade-off between the different techniques listed above, allowing optimization of work and adaptation of the process to the system under development. The optimization takes into account the realization time of the implemented elements, their delivery scheduled order, their level of complexity, the technical risks, the availability of assembly tools, cost, deadlines, specific personnel capability, etc.

## Process Approach

### Activities of the Process

Major activities and tasks performed during this process include:

- **Establishing the integration plan** (this activity is carried out concurrently to the design activity of the system) that defines:
  - The optimized integration strategy – order of aggregates assembly using appropriate integration techniques.
  - The V&V actions to be processed for the purpose of integration.
  - The configurations of the aggregates to be assembled and verified.
  - The integration means and verification means (dedicated enabling products) that may include assembly procedures, assembly tools (harness, specific tools), V&V tools (simulators, stubs/caps, launchers, test benches, devices for measuring, etc.), and V&V procedures.
- **Obtain the integration means** and verification means as defined in the integration plan. The acquisition of the means can be accomplished through various ways such as procurement, development, reuse, and sub-contracting; usually the acquisition of the complete set of means is a mix of these methods.
- **Take delivery** of each implemented element:
  - Unpack and reassemble the implemented element with its accessories.
  - Check the delivered configuration, conformance of implemented elements and compatibility of interfaces, and ensure the presence of mandatory documentation.
- **Assemble the implemented elements** into aggregates:
  - Gather the implemented elements to be assembled, the integration means (assembly tools, assembly procedures), and the verification means (V&V tools and procedures).
  - Connect the implemented elements to each other using assembly tools to constitute aggregates in the order prescribed by the integration plan and in assembly procedures.
  - Add or connect the V&V tools to the aggregates as predefined.
  - Carry out eventual operations of welding, gluing, drilling, tapping, adjusting, tuning, painting, parametering, etc.
- **Verify each aggregate**:
  - Check the aggregate is correctly assembled according to established procedures.
  - Perform the verification process that uses verification and validation procedures and check that the aggregate shows the right design properties/specified requirements.
  - Record integration results/reports and potential issue reports, change requests, etc.

### Artifacts and Ontology Elements

This process may create several artifacts such as:

- an integrated system
- assembly tools
- assembly procedures
- integration plans
- integration reports
- issue/anomaly/trouble reports
- change requests (about design)

This process utilizes the ontology elements discussed in Table 2.

**Table 2. Main Ontology Elements as Handled within System Integration. (SEBoK Original)**

Element	Definition
<b>Attributes</b>	
<b>Aggregate</b>	An aggregate is a subset of the system made up of several system elements or systems on which a set of verification actions is applied.
	Identifier, name, description
<b>Assembly Procedure</b>	An assembly procedure groups a set of elementary assembly actions to build an aggregate of implemented system elements.
	Identifier, name, description, duration, unit of time
<b>Assembly Tool</b>	An assembly tool is a physical tool used to connect, assemble, or link several implemented system elements to build aggregates (specific tool, harness, etc.).
	Identifier, name, description
<b>Risk</b>	An event having a probability of occurrence and a gravity degree on its consequence onto the system mission or on other characteristics (used for technical risk in engineering). A risk is the combination of vulnerability and of a danger or a threat.
	Identifier, name, description, status
<b>Rationale</b>	An argument that provides the justification for the selection of an engineering element.
	Identifier, name, description (rationale, reasons for defining an aggregate, assembly procedure, assembly tool)

Note: verification and validation ontology elements are described in the System Verification and System Validation topics.

The main relationships between ontology elements are presented in Figure 2.

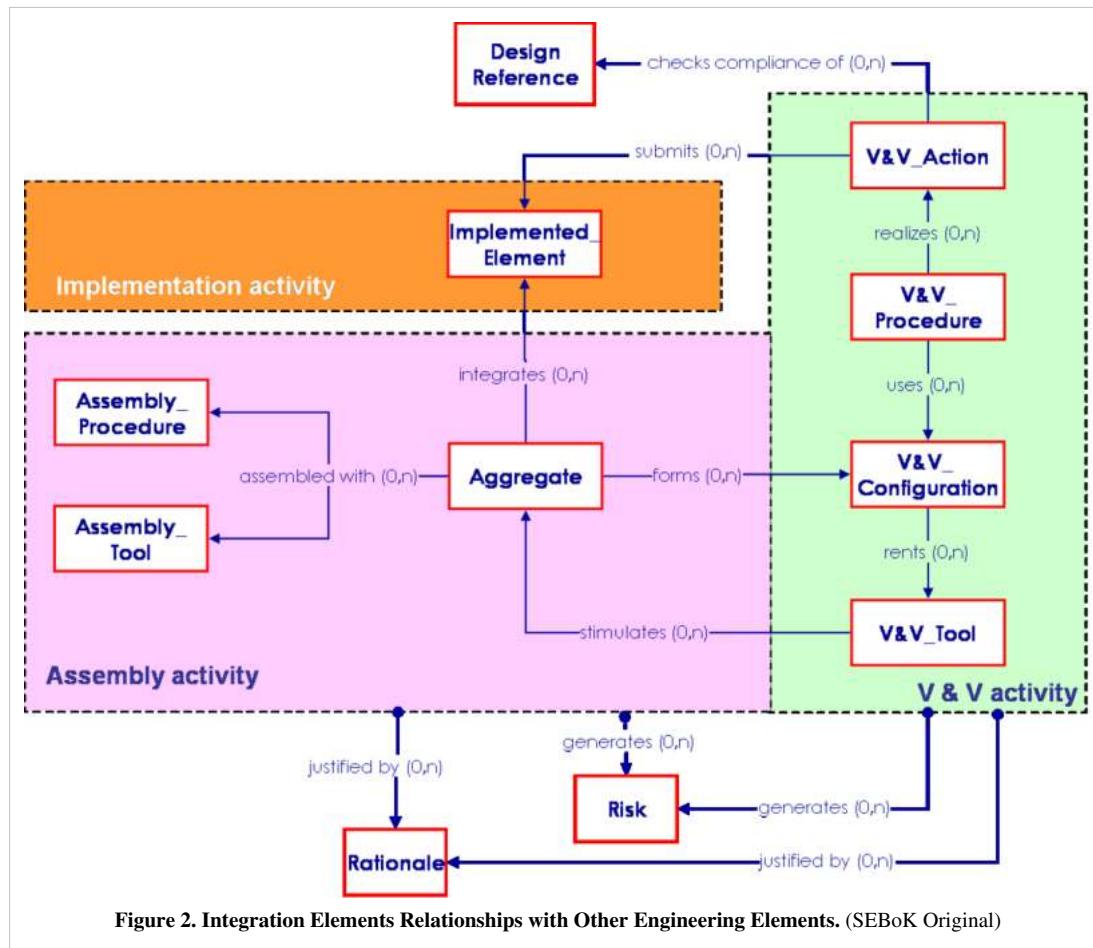


Figure 2. Integration Elements Relationships with Other Engineering Elements. (SEBoK Original)

## Checking and Correctness of Integration

The main items to be checked during the integration process include the following:

- The integration plan respects its template.
- The expected assembly order (integration strategy) is realistic.
- No system element and physical interface set out in the system design document is forgotten.
- Every interface and interaction between implemented elements is verified.
- Assembly procedures and assembly tools are available and validated prior to beginning the assembly.
- V&V procedures and tools are available and validated prior to beginning the verification.
- Integration reports are recorded.

## Methods and Techniques

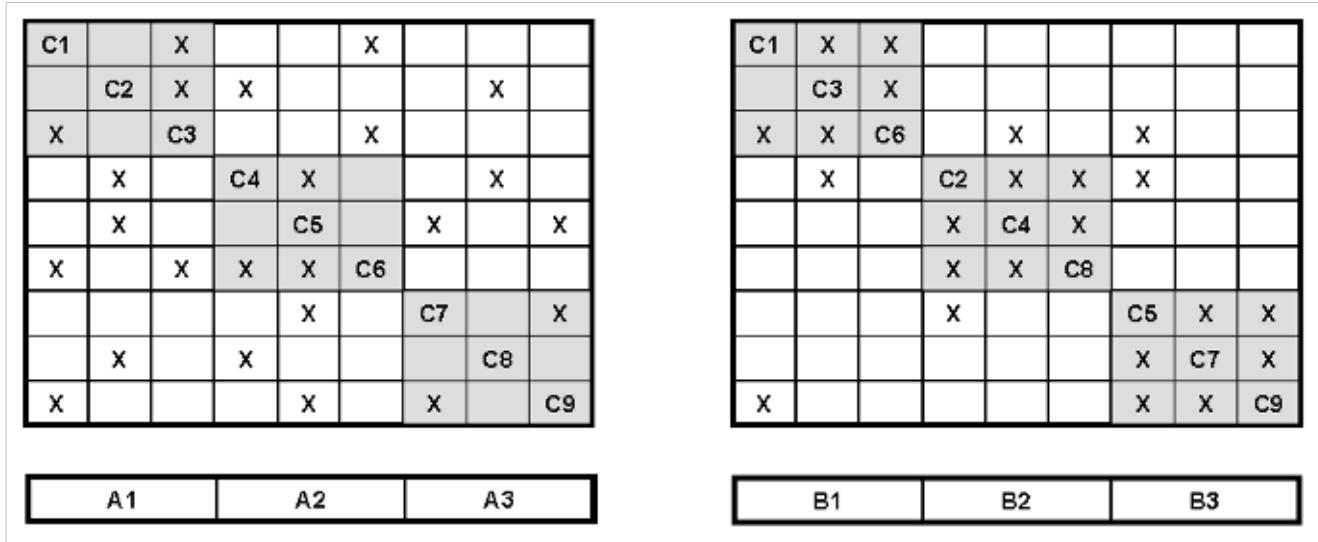
Several different approaches are summarized above in the section Integration Strategy<sup>[1]</sup> (above) that may be used for integration, yet other approaches exist. In particular, important integration strategies for intensive software systems include: vertical integration, horizontal integration, and star integration.

### Coupling Matrix and N-squared Diagram

One of the most basic methods to define the aggregates and the order of integration would be the use of N-Squared diagrams (Grady 1994, 190).

In the integration context, the coupling matrices are useful for optimizing the aggregate definition and verification of interfaces:

- The integration strategy is defined and optimized by reorganizing the coupling matrix in order to group the implemented elements in aggregates, thus minimizing the number of interfaces to be verified between aggregates (see Figure 3).



The figure consists of two tables, A and B, representing coupling matrices for three aggregates (A1, A2, A3 on the left; B1, B2, B3 on the right) across nine components (C1 to C9). The 'X' symbol indicates an interface or dependency.

**Table A (Initial Arrangement):**

C1		X			X			
	C2	X	X				X	
X		C3			X			
	X		C4	X			X	
	X			C5		X		X
X		X	X	X	C6			
				X		C7		X
	X		X				C8	
X				X		X		C9

**Table B (Final Arrangement After Reorganization):**

C1	X	X						
	C3	X						
X	X	C6			X		X	
			C2	X	X	X		
			X	C4	X			
			X	X	C8			
			X				C5	X
							X	C7
X							X	X

**Aggregate Labels:**

- Initial Arrangement: A1, A2, A3
- Final Arrangement: B1, B2, B3

Figure 3. Initial Arrangement of Aggregates on the Left; Final Arrangement After Reorganization on the Right. (SEBoK Original)

- When verifying the interactions between aggregates, the matrix is an aid tool for fault detection. If by adding an implemented element to an aggregate an error is detected, the fault can be related to the implemented element, to the aggregate, or to the interfaces. If the fault is related to the aggregate, it can relate to any implemented element or any interface between the implemented elements internal to the aggregate.

### Application to Product Systems, Service Systems, and Enterprise Systems

As the nature of implemented system elements and physical interfaces is different for these types of systems, the aggregates, the assembly tools, and the V&V tools are different. Some integration techniques are more appropriate to specific types of systems. Table 3 below provides some examples.

**Table 3. Different Integration Elements for Product, Service, and Enterprise Systems. (SEBoK Original)**

Element	Product System	Service System	Enterprise System
<b>System Element</b>	Hardware Parts (mechanics, electronics, electrical, plastic, chemical, etc.) Operator Roles Software Pieces	Processes, data bases, procedures, etc. Operator Roles Software Applications	Corporate, direction, division, department, project, technical team, leader, etc. IT components
<b>Physical Interface</b>	Hardware parts, protocols, procedures, etc.	Protocols, documents, etc.	Protocols, procedures, documents, etc.
<b>Assembly Tools</b>	Harness, mechanical tools, specific tools Software Linker	Documentation, learning course, etc.	Documentation, learning, moving of office
<b>Verification Tools</b>	Test bench, simulator, launchers, stub/cap	Activity/scenario models, simulator, human roles rehearsal, computer, etc. Skilled Experts	Activity/scenario models, simulator, human roles rehearsal
<b>Validation Tools</b>	Operational environment	Operational environment	Operational environment

<b>Recommended Integration Techniques</b>	Top down integration technique Bottom Up Integration technique	Subsets integration technique (functional chains)	Global integration technique Incremental integration
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## Practical Considerations

Key pitfalls and good practices related to system integration are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing SE Measurement are provided in Table 4.

**Table 4. Major Pitfalls with System Integration. (SEBoK Original)**

Pitfall	Description
<b>Delay of expected element</b>	The experience shows that the implemented elements always do not arrive in the expected order and the tests never proceed or result as foreseen; therefore, the integration strategy should allow a great flexibility.
<b>Big-bang not appropriate</b>	The "big-bang" integration technique is not appropriate for a fast detection of faults. It is thus preferable to verify the interfaces progressively all along the integration.
<b>Integration plan too late</b>	The preparation of the integration activities is planned too late in the project schedule, typically when first implemented elements are delivered.

### Good Practices

Some good practices gathered from the references are provided in Table 5.

**Table 5. Proven Practices with System Integration. (SEBoK Original)**

Practice	Description
<b>Start earlier development of means</b>	The development of assembly tools and verification and validation tools can be take as long as the system development itself. It should be started as early as possible as soon as the preliminary design is nearly frozen.
<b>Integration means seen as enabling systems</b>	The development of integration means (assembly tools, verification, and validation tools) can be seen as enabling systems, using system definition and system realization processes as described in this SEBoK, and managed as projects. These projects can be led by the project of the corresponding system-of-interest, but assigned to specific system blocks, or can be subcontracted as separate projects.
<b>Use coupling matrix</b>	A good practice consists in gradually integrating aggregates in order to detect faults more easily. The use of the coupling matrix applies for all strategies and especially for the bottom up integration strategy.
<b>Flexible integration plan and schedule</b>	The integration process of complex systems cannot be easily foreseeable and its progress control difficult to observe. This is why it is recommended to plan integration with specific margins, using flexible techniques, and integrating sets by similar technologies.
<b>Integration and design teams</b>	The integration responsible should be part of the design team.

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- [1] [http://sebokwiki.org/1.0.1/index.php?title=System\\_Integration#Integration\\_Strategy](http://sebokwiki.org/1.0.1/index.php?title=System_Integration#Integration_Strategy)

# System Verification

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**Lead Authors:** John Snoderly, Alan Faisandier

System Verification is a set of actions used to check the *correctness* of any element, such as a system element, a system, a document, a service, a task, a requirement, etc. These types of actions are planned and carried out throughout the life cycle of the system. Verification is a generic term that needs to be instantiated within the context it occurs. As a process, verification is a transverse activity to every life cycle stage of the system. In particular, during the development cycle of the system, the verification process is performed in parallel with the system definition and system realization processes and applies to any activity and any product resulting from the activity. The activities of every life cycle process and those of the verification process can work together. For example, the integration process frequently uses the verification process. It is important to remember that verification, while separate from validation, is intended to be performed in conjunction with validation.

## Definition and Purpose

Verification is the confirmation, through the provision of objective evidence, that specified requirements have been fulfilled. With a note added in ISO/IEC/IEEE 15288, the scope of verification includes a set of activities that compares a system or system element against the requirements, architecture and design characteristics, and other properties to be verified (ISO/IEC/IEEE 2015). This may include, but is not limited to, specified requirements, design description, and the system itself.

The purpose of verification, as a generic action, is to identify the faults/defects introduced at the time of any transformation of inputs into outputs. Verification is used to provide information and evidence that the transformation was made according to the selected and appropriate methods, techniques, standards, or rules.

Verification is based on tangible evidence; i.e., it is based on information whose veracity can be demonstrated by factual results obtained from techniques such as inspection, measurement, testing, analysis, calculation, etc. Thus, the process of verifying a system (product, service, enterprise, or system of systems (SoS)) consists of comparing the realized characteristics or properties of the product, service, or enterprise against its expected design properties.

## Principles and Concepts

### Concept of Verification Action

#### Why Verify?

In the context of human realization, any human thought is susceptible to error. This is also the case with any engineering activity. Studies in human reliability have shown that people trained to perform a specific operation make around 1-3 errors per hour in best case scenarios. In any activity, or resulting outcome of an activity, the search for potential errors should not be neglected, regardless of whether or not one thinks they will happen or that they should not happen; the consequences of errors can cause extremely significant failures or threats.

A **verification action** is defined, and then performed, as shown in Figure 1.

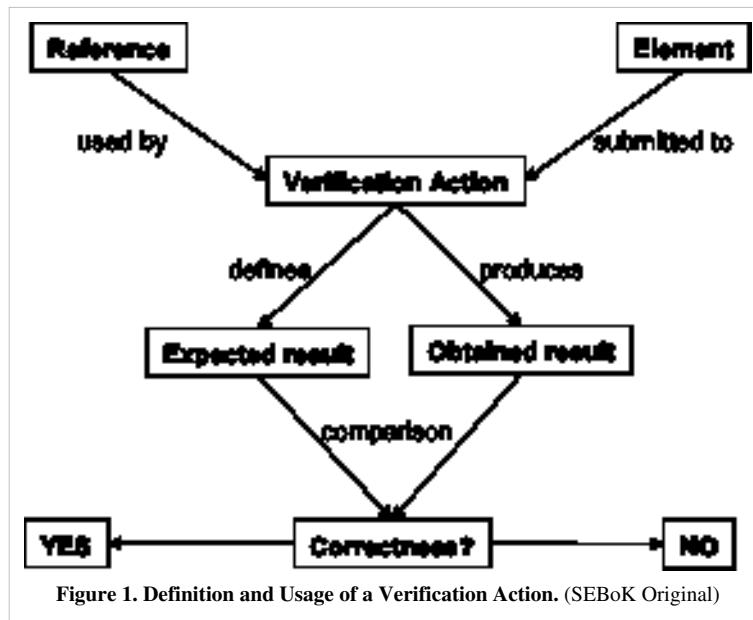


Figure 1. Definition and Usage of a Verification Action. (SEBoK Original)

The definition of a verification action applied to an engineering element includes the following:

- Identification of the element on which the verification action will be performed
- Identification of the reference to define the expected result of the verification action (see examples of reference in Table 1)

The performance of a verification action includes the following:

- Obtaining a result by performing the verification action onto the submitted element
- Comparing the obtained result with the expected result
- Deducing the degree of correctness of the element

### What to Verify?

Any engineering element can be verified using a specific reference for comparison: stakeholder requirement, system requirement, function, system element, document, etc. Examples are provided in Table 1.

Table 1. Examples of Verified Items. (SEBoK Original)

Items	Explanation for Verification
Document	To verify a document is to check the application of drafting rules.
Stakeholder Requirement and System Requirement	To verify a stakeholder requirement or a system requirement is to check the application of syntactic and grammatical rules, characteristics defined in the stakeholder requirements definition process, and the system requirements definition process such as necessity, implementation free, unambiguous, consistent, complete, singular, feasible, traceable, and verifiable.
Design	To verify the design of a system is to check its logical and physical architecture elements against the characteristics of the outcomes of the design processes.
System	To verify a system (product, service, or enterprise) is to check its realized characteristics or properties against its expected design characteristics.
Aggregate	To verify an aggregate for integration is to check every interface and interaction between implemented elements.
Verification Procedure	To verify a verification procedure is to check the application of a predefined template and drafting rules.

## Verification versus Validation

The term *verification* is often associated with the term *validation* and understood as a single concept of V&V. Validation is used to ensure that *one is working the right problem*, whereas verification is used to ensure that *one has solved the problem right* (Martin 1997). From an actual and etymological meaning, the term verification comes from the Latin *verus*, which means truth, and *facere*, which means to make/perform. Thus, verification means to prove that something is *true* or correct (a property, a characteristic, etc.). The term validation comes from the Latin *valere*, which means to become strong, and has the same etymological root as the word *value*. Thus, validation means to prove that something has the right features to produce the expected effects. (Adapted from "Verification and Validation in plain English" (Lake INCOSE 1999).)

The main differences between the verification process and the validation process concern the references used to check the correctness of an element, and the acceptability of the effective correctness.

- Within verification, comparison between the expected result and the obtained result is generally binary, whereas within validation, the result of the comparison may require a judgment of value regarding whether or not to accept the obtained result compared to a threshold or limit.
- Verification relates more to one element, whereas validation relates more to a set of elements and considers this set as a whole.
- Validation presupposes that verification actions have already been performed.
- The techniques used to define and perform the verification actions and those for validation actions are very similar.

## Integration, Verification, and Validation of the System

There is sometimes a misconception that verification occurs after integration and before validation. In most cases, it is more appropriate to begin verification activities during development or implementation and to continue them into deployment and use.

Once the system elements have been realized, they are integrated to form the complete system. Integration consists of assembling and performing verification actions as stated in the integration process. A final validation activity generally occurs when the system is integrated, but a certain number of validation actions are also performed parallel to the system integration in order to reduce the number of verification actions and validation actions while controlling the risks that could be generated if some checks are excluded. Integration, verification, and validation are intimately processed together due to the necessity of optimizing the strategy of verification and validation, as well as the strategy of integration.

## Process Approach

### Purpose and Principle of the Approach

The purpose of the verification process is to confirm that the system fulfills the specified design requirements. This process provides the information required to effect the remedial actions that correct non-conformances in the realized system or the processes that act on it - see ISO/IEC/IEEE 15288 (ISO/IEC/IEEE 2015).

Each system element and the complete system itself should be compared against its own design references (specified requirements). As stated by Dennis Buede, *verification is the matching of [configuration items], components, sub-systems, and the system to corresponding requirements to ensure that each has been built right* (Buede 2009). This means that the verification process is instantiated as many times as necessary during the global development of the system. Because of the generic nature of a process, the verification process can be applied to any engineering element that has conducted to the definition and realization of the system elements and the system itself.

Facing the huge number of potential verification actions that may be generated by the normal approach, it is necessary to optimize the verification strategy. This strategy is based on the balance between what must be verified and constraints, such as time, cost, and feasibility of testing, which naturally limit the number of verification actions and the risks one accepts when excluding some verification actions.

Several approaches exist that may be used for defining the verification process. The International Council on Systems Engineering (INCOSE) dictates that two main steps are necessary for verification: planning and performing verification actions (INCOSE 2012). NASA has a slightly more detailed approach that includes five main steps: prepare verification, perform verification, analyze outcomes, produce a report, and capture work products (NASA December 2007, 1-360, p. 102). Any approach may be used, provided that it is appropriate to the scope of the system, the constraints of the project, includes the activities of the process listed below in some way, and is appropriately coordinated with other activities.

**Generic inputs** are baseline references of the submitted element. If the element is a system, inputs are the logical and physical architecture elements as described in a system design document, the design description of internal interfaces to the system and interfaces requirements external to the system, and by extension, the system requirements. **Generic outputs** define the verification plan that includes verification strategy, selected verification actions, verification procedures, verification tools, the verified element or system, verification reports, issue/trouble reports, and change requests on design.

## Activities of the Process

To establish the verification strategy drafted in a verification plan (this activity is carried out concurrently to system definition activities), the following steps are necessary:

- Identify verification scope by listing as many characteristics or properties as possible that should be checked. The number of verification actions can be extremely high.
- Identify constraints according to their origin (technical feasibility, management constraints as cost, time, availability of verification means or qualified personnel, and contractual constraints that are critical to the mission) that limit potential verification actions.
- Define appropriate verification techniques to be applied, such as inspection, analysis, simulation, peer-review, testing, etc., based on the best step of the project to perform every verification action according to the given constraints.
- Consider a tradeoff of what should be verified (scope) taking into account all constraints or limits and deduce what can be verified; the selection of verification actions would be made according to the type of system, objectives of the project, acceptable risks, and constraints.
- Optimize the verification strategy by defining the most appropriate verification technique for every verification action while defining necessary verification means (tools, test-benches, personnel, location, and facilities) according to the selected verification technique.
- Schedule the execution of verification actions in the project steps or milestones and define the configuration of elements submitted to verification actions (this mainly involves testing on physical elements).

Performing verification actions includes the following tasks:

- Detail each verification action; in particular, note the expected results, the verification techniques to be applied, and the corresponding means required (equipment, resources, and qualified personnel).
- Acquire verification means used during system definition steps (qualified personnel, modeling tools, mocks-up, simulators, and facilities), and then those used during the integration step (qualified personnel, verification tools, measuring equipment, facilities, verification procedures, etc.).
- Carry out verification procedures at the right time, in the expected environment, with the expected means, tools, and techniques.

- Capture and record the results obtained when performing verification actions using verification procedures and means.

The obtained results must be analyzed and compared to the expected results so that the status may be recorded as either *compliant* or *non-compliant*. Systems engineering (SE) practitioners will likely need to generate verification reports, as well as potential issue/trouble reports, and change requests on design as necessary.

Controlling the process includes the following tasks:

- Update the verification plan according to the progress of the project; in particular, planned verification actions can be redefined because of unexpected events.
- Coordinate verification activities with the project manager: review the schedule and the acquisition of means, personnel, and resources. Coordinate with designers for issues/trouble/non-conformance reports and with the configuration manager for versions of the physical elements, design baselines, etc.

## Artifacts and Ontology Elements

This process may create several artifacts such as:

- verification plans (contain the verification strategy)
- verification matrices (contain the verification action, submitted element, applied technique, step of execution, system block concerned, expected result, obtained result, etc.)
- verification procedures (describe verification actions to be performed, verification tools needed, the verification configuration, resources and personnel needed, the schedule, etc.)
- verification reports
- verification tools
- verified elements
- issue / non-conformance / trouble reports
- change requests to the design

This process utilizes the ontology elements displayed in Table 2 below.

**Table 2. Main Ontology Elements as Handled within Verification. (SEBoK Original)**

Element	Definition
<b>Attributes (examples)</b>	
<b>Verification Action</b>	A verification action describes what must be verified (the element as reference) on which element, the expected result, the verification technique to apply, on which level of decomposition.
	Identifier, name, description
<b>Verification Procedure</b>	A verification procedure groups a set of verification actions performed together (as a scenario of tests) in a given verification configuration.
	Identifier, name, description, duration, unit of time
<b>Verification Tool</b>	A verification tool is a device or physical tool used to perform verification procedures (test bench, simulator, cap/stub, launcher, etc.).
	Identifier, name, description
<b>Verification Configuration</b>	A verification configuration groups all physical elements (aggregates and verification tools) necessary to perform a verification procedure.
	Identifier, name, description

<b>Risk</b>	An event having a probability of occurrence and a gravity degree on its consequence onto the system mission or on other characteristics (used for technical risk in engineering). A risk is the combination of vulnerability and of a danger or a threat.
<b>Rationale</b>	An argument that provides the justification for the selection of an engineering element.
	Identifier, name, description (rationale, reasons for defining a verification action, a verification procedure, for using a verification tool, etc.)

## Methods and Techniques

There are several verification techniques to check that an element or a system conforms to its design references or its specified requirements. These techniques are almost the same as those used for validation, though the application of the techniques may differ slightly. In particular, the purposes are different; verification is used to detect faults/defects, whereas validation is used to provide evidence for the satisfaction of (system and/or stakeholder) requirements. Table 3 below provides descriptions of some techniques for verification.

**Table 3. Verification Techniques. (SEBoK Original)**

<b>Verification Technique</b>	<b>Description</b>
<b>Inspection</b>	Technique based on visual or dimensional examination of an element; the verification relies on the human senses or uses simple methods of measurement and handling. Inspection is generally non-destructive, and typically includes the use of sight, hearing, smell, touch, and taste, simple physical manipulation, mechanical and electrical gauging, and measurement. No stimuli (tests) are necessary. The technique is used to check properties or characteristics best determined by observation (e.g. paint color, weight, documentation, listing of code, etc.).
<b>Analysis</b>	Technique based on analytical evidence obtained without any intervention on the submitted element using mathematical or probabilistic calculation, logical reasoning (including the theory of predicates), modeling and/or simulation under defined conditions to show theoretical compliance. Mainly used where testing to realistic conditions cannot be achieved or is not cost-effective.
<b>Analogy or Similarity</b>	Technique based on evidence of similar elements to the submitted element or on experience feedback. It is absolutely necessary to show by prediction that the context is invariant that the outcomes are transposable (models, investigations, experience feedback, etc.). Similarity can only be used if the submitted element is similar in design, manufacture, and use; equivalent or more stringent verification actions were used for the similar element, and the intended operational environment is identical to or less rigorous than the similar element.
<b>Demonstration</b>	Technique used to demonstrate correct operation of the submitted element against operational and observable characteristics without using physical measurements (no or minimal instrumentation or test equipment). Demonstration is sometimes called 'field testing'. It generally consists of a set of tests selected by the supplier to show that the element response to stimuli is suitable or to show that operators can perform their assigned tasks when using the element. Observations are made and compared with predetermined/expected responses. Demonstration may be appropriate when requirements or specification are given in statistical terms (e.g. mean time to repair, average power consumption, etc.).
<b>Test</b>	Technique performed onto the submitted element by which functional, measurable characteristics, operability, supportability, or performance capability is quantitatively verified when subjected to controlled conditions that are real or simulated. Testing often uses special test equipment or instrumentation to obtain accurate quantitative data to be analyzed.
<b>Sampling</b>	Technique based on verification of characteristics using samples. The number, tolerance, and other characteristics must be specified to be in agreement with the experience feedback.

## Practical Considerations

Key pitfalls and good practices related to this topic are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing System Verification are provided in Table 4.

**Table 4. Major Pitfalls with System Verification (SEBoK Original)**

Pitfall	Description
Confusion between verification and validation	Confusion between verification and validation causes developers to take the wrong reference/baseline to define verification and validation actions and/or to address the wrong level of granularity (detail level for verification, global level for validation).
No verification strategy	One overlooks verification actions because it is impossible to check every characteristic or property of all system elements and of the system in any combination of operational conditions and scenarios. A strategy (justified selection of verification actions against risks) must be established.
Save or spend time	Skip verification activity to save time.
Use only testing	Use only testing as a verification technique. Testing requires checking products and services only when they are implemented. Consider other techniques earlier during design; analysis and inspections are cost effective and allow discovering early potential errors, faults, or failures.
Stop verifications when funding is diminished	Stopping the performance of verification actions when budget and/or time are consumed. Prefer using criteria such as coverage rates to end verification activity.

### Proven Practices

Some proven practices gathered from the references are provided in Table 5.

**Table 5. Proven Practices with System Verification. (SEBoK Original)**

Practice	Description
Start verifications early in the development	The earlier characteristics of an element are verified in the project, the easier the corrections are to do and the consequences on schedule and cost will be fewer.
Define criteria ending verifications	Carrying out verification actions without limits generates a risk of drift for costs and deadlines. Modifying and verifying in a non-stop cycle until arriving at a perfect system is the best way to never supply the system. Thus, it is necessary to set limits of cost, time, and a maximum number of modification loops back for each verification action type, ending criteria (percentages of success, error count detected, coverage rate obtained, etc.).
Involve design responsible with verification	Include the verification responsible in the designer team or include some designer onto the verification team.

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## Relevant Videos

- Systems Engineering-Test, Evaluation, and Validation [2]

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## References

- [1] [http://mitre.org/work/systems\\_engineering/guide/se\\_lifecycle\\_building\\_blocks/test\\_evaluation/verification\\_validation.html](http://mitre.org/work/systems_engineering/guide/se_lifecycle_building_blocks/test_evaluation/verification_validation.html)
- [2] [https://www.youtube.com/watch?v=pcrkmaAx\\_QA](https://www.youtube.com/watch?v=pcrkmaAx_QA)

# System Transition

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**Lead Authors:** Scott Jackson, Brian Gallagher

As part of system deployment, on-site installation, check-out, integration, and testing must be carried out to ensure that the system is fit to be deployed into the field and/or put into an operational context. *Transfer* is the process that bridges the gap between qualification and use; it deals explicitly with the handoff from development to logistics, operations, maintenance, and support.

## Definition & Purpose

There are many different approaches to transition or deployment, and many different views on what is included within transition. The SEBoK uses the ISO/IEC/IEEE 15288 definition of transition, as seen below (ISO/IEC/IEEE 15288 2015):

*[The transition] process installs a verified system, together with relevant enabling systems, e.g., operating system, support system, operator training system, user training system, as defined in agreements. This process is used at each level in the system structure and in each stage to complete the criteria established for exiting the stage.*

Thinking in a linear fashion, the system is transitioned into operation and then would be used and maintained in the operational environment. However, there are other views on transition. For example, the NASA *Systems Engineering Handbook* states that transition can include delivery for end-use as well as delivery of components for integration (NASA 2007). Using this view, transition is the mechanism for moving system components from implementation activities into integration activities. The NASA discussion of transition also implies that transition can include sustainment activities:

*The act of delivery or moving of a product from the location where the product has been implemented or integrated, as well as verified and validated, to a customer.*

Many systems are deployed using an iterative or evolutionary approach where operationally useful capabilities are developed and deployed incrementally. While these operationally useful capabilities are fully deployed and transitioned into operational use, transition of logistics, maintenance, and support may occur incrementally or be delayed until after the full system capability is delivered.

## Process Approaches

Just as there are multiple views on the definition of transition and deployment, there are also several ways to divide the activities required for transition. For example, the NASA *Systems Engineering Handbook* definition of transition states: *This act can include packaging, handling, storing, moving, transporting, installing, and sustainment activities* (2007). However, the SEBoK includes the topic of *sustainment* as separate from transition; this is instead covered under the maintenance and logistics topics. The International Council on Systems Engineering (INCOSE) views the transition process as two-step: planning and performance. Though there are several processes for deployment and transition, most generally include the following activities:

- **Develop a Deployment/Transition Strategy** - Planning for transition activities would ideally begin early in the SE life cycle, though it is possible to conduct these activities concurrently with realization activities. Planning should generally include some consideration of the common lower-level activities of installation, checkout, integration, and testing. Such activities are crucial to demonstrate that the system and the interfaces with the operational environment can function as intended and meet the contractual system specifications. For these activities to be effectively managed and efficiently implemented, the criteria, responsibility, and procedures for carrying out these activities should be clearly established and agreed upon during the planning phase.
- **Develop Plans for Transitioning Systems** - or system capabilities into operational use and support. Transition plans for the system or incremental system capabilities should be consistent with the overall transition strategy and agreed to by relevant stakeholders. Planning for transition will often include establishing a strategy for support, which may include organic support infrastructures, contractor logistics support, or other sources (Bernard et al. 2005, 1-49). It can also include defining the levels of support to be established. The strategy is important because it drives most of the other transition planning activities, as well as product design considerations.

Transition plans should include considerations for coordination with the following activities:

- **Installation** - Installation generally refers to the activities required to physically instate the system; this will likely include connecting interfaces to other systems such as electrical, computer, or security systems, and may include software interfaces as well. Installation planning should generally document the complexity of the system, the range of environmental conditions expected in the operational environment, any interface specifications, and human factors requirements such as safety. When real-world conditions require changes in the installation requirements, these should be documented and discussed with the relevant stakeholders.
- **Integration** - Though system integration activities will generally be performed prior to installation, there may be additional steps for integrating the system into its operational setting. Additionally, if the system is being delivered incrementally, there will likely be integration steps associated with the transition (for more information on integration, please see the System Realization knowledge area (KA)).
- **Verification and Validation (V&V)** - At this stage, V&V for physical, electrical, and mechanical checks may be performed in order to verify that the system has been appropriately installed. Acceptance tests conducted after delivery may become part of this process (for additional information on V&V, please see the System Realization KA). There are several types of acceptance tests which may be used:
- **On-site Acceptance Test (OSAT)** - This test includes any field acceptance testing and is performed only after the system has successfully been situated in the operational environment. It may consist of functional tests to demonstrate that the system is functioning and performing properly.
  - *Field Acceptance Test* - This test includes flight and sea acceptance tests; it is performed, if applicable, only after the system has successfully passed the OSAT. The purpose of field testing is to demonstrate that the system meets the performance specifications called for in the system specifications in the actual operating environment.
  - *Operational Test and Evaluation (OT&E)* - An OT&E consists of a test series designed to estimate the operational effectiveness of the system.

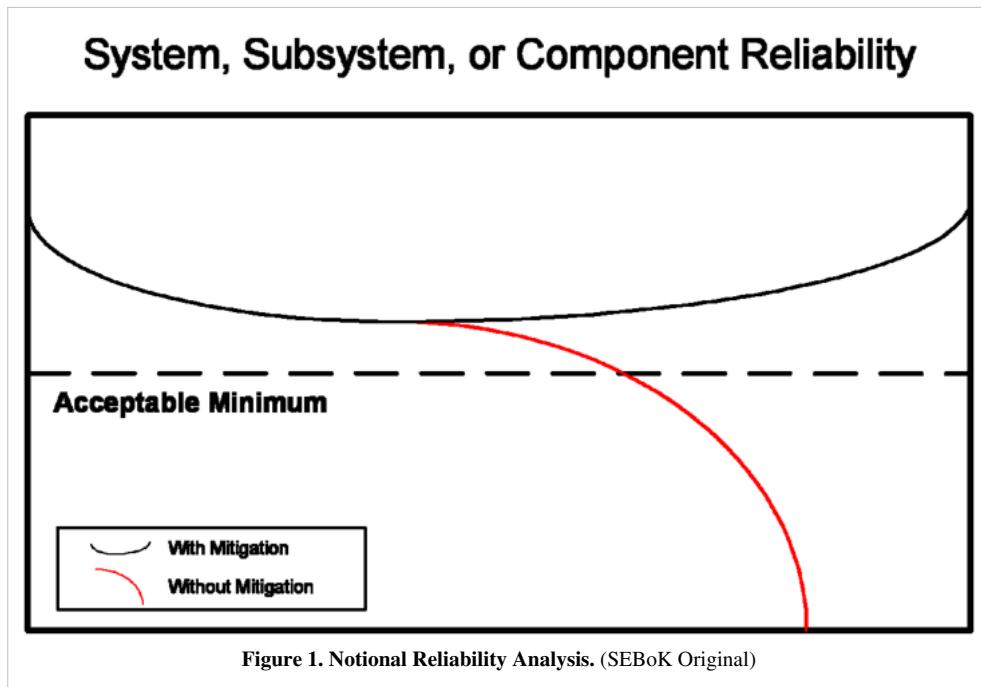
- *Evaluate the readiness of the system to transition into operations* - This is based upon the transition criteria identified in the transition plan. These criteria should support an objective evaluation of the system's readiness for transition. The integration, verification, and validation activities associated with transition may be used to gauge whether the system meets transition criteria.
- *Analyze the results of transition activities throughout and any necessary actions* - As a result of analysis, additional transition activities and actions may be required. The analysis may also identify areas for improvement in future transition activities.

Some common issues that require additional considerations and SE activities are the utilization or replacement of legacy systems. It is also common for an organization to continue testing into the early operational phase. The following activities support these circumstances:

- **System Run-In** - After the successful completion of the various acceptance tests, the system(s) will be handed over to the user or designated post-deployment support organization. The tested system(s) may have to be verified for a stated period (called the system run-in, normally for one to two years) for the adequacy of reliability and maintainability (R&M) and integrated logistics support (ILS) deliverables. R&M are vital system operational characteristics having a dominant impact upon the operational effectiveness, the economy of in-service maintenance support, and the life cycle cost (LCC).
- **Phasing-In/Phasing-Out** - The need for phasing-in will usually be identified during the system definition, when it is clear that the new system entails the replacement of an existing system(s) (for additional information, please see the System Definition KA). These activities should help to minimize disruption to operations and, at the same time, minimize the adverse effect on operational readiness. It is also important that the phasing-in of a new system and the phasing-out of an existing system occur in parallel with the systems activities of the system run-in to maximize resource utilization. Other aspects of phasing-in/phasing-out to be considered include:
  - Proper planning for the phasing out of an existing system (if necessary).
  - For multi-user or complex systems, phase-by-phase introduction of the system according to levels of command, formation hierarchy, etc.
  - Minimum disruption to the current operations of the users.
  - Establishment of a feedback system from users on problems encountered in operation, etc.
  - Disposal process including handling of hazardous items, cost of disposal, approval etc.

## Applicable Methods & Tools

A system may have to undergo reliability demonstration testing (RDT) to ensure that it meets its contractual R&M guarantees. RDT is conducted under actual field conditions, especially for large systems purchased in small quantity. During RDT, the system is operated in the field within stated test duration and all field data are systematically recorded. At the end of the test period, analysis of the RDT data is performed. Data analysis should facilitate determination of system reliability. One possible output of this analysis is shown in Figure 1 below.



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## Additional References

None.

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**SEBoK v. 2.7, released 31 October 2022**

# System Validation

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System Validation is a set of actions used to check the compliance of any element (a system element, a system, a document, a service, a task, a system requirement, etc.) with its purpose and functions. These actions are planned and carried out throughout the life cycle of the system. Validation is a generic term that needs to be instantiated within the context it occurs. When understood as a process, validation is a transverse activity to every life cycle stage of the system. Particularly during the development cycle of the system, the validation process is performed in parallel with the system definition and system realization processes and applies to any activity and product resulting from this activity. The validation process is not limited to a phase at the end of system development, but generally occurs at the end of a set of life cycle tasks or activities, and always at the end of each milestone of a development project. It may be performed on an iterative basis on every produced engineering element during development and may begin with the validation of the expressed stakeholder requirements. When the validation process is applied to the system when completely integrated, it is often called *final validation*. It is important to remember that while system validation is separate from verification, the activities are complementary and intended to be performed in conjunction.

## Definition and Purpose

Validation is the confirmation, through the provision of objective evidence, that the requirements for a specific intended use or application have been fulfilled. With a note added in ISO 9000:2005: *validation is the set of activities that ensure and provide confidence that a system is able to accomplish its intended use, goals, and objectives (i.e., meet stakeholder requirements) in the intended operational environment* (ISO 2005).

The purpose of validation, as a generic action, is to establish the compliance of any activity output as compared to inputs of the activity. It is used to provide information and evidence that the transformation of inputs produced the expected and *right* result. Validation is based on tangible evidence; i.e., it is based on information whose veracity can be demonstrated by factual results obtained from techniques or methods such as inspection, measurement, test, analysis, calculation, etc. Thus, to validate a system (product, service, or enterprise) consists of demonstrating that it satisfies its system requirements and eventually the stakeholder's requirements depending on contractual practices. From a global standpoint, the purpose of validating a system is to acquire confidence in the system's ability to achieve its intended mission, or use, under specific operational conditions.

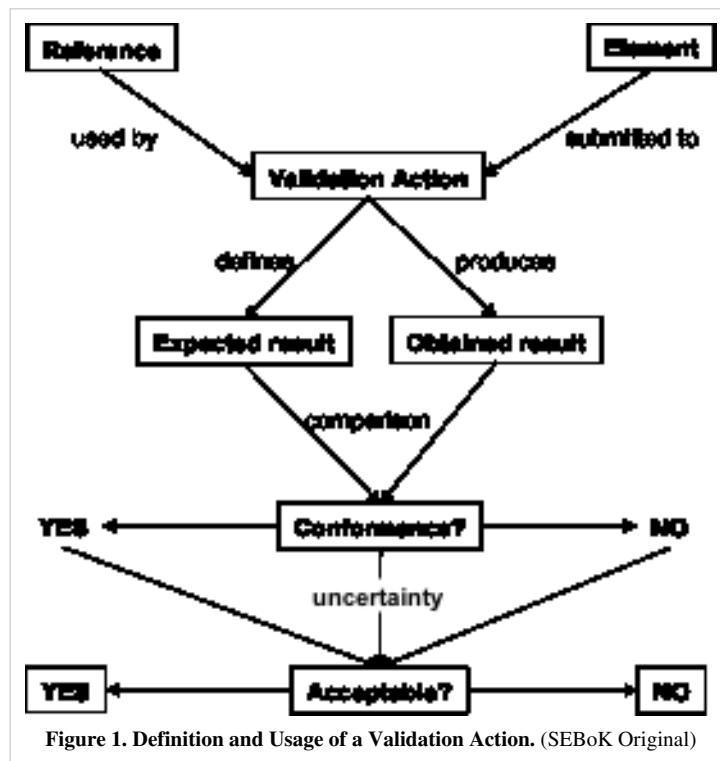
## Principles

### Concept of Validation Action

#### Why Validate?

The primary goal of systems engineering (SE) is to develop a solution that meets the needs and requirements of stakeholders. Validation is the process by which engineers ensure that the system will meet these needs and requirements.

A **validation action** is defined and then performed (see Figure 1, below).



A validation action applied to an engineering element includes the following:

- Identification of the element on which the validation action will be performed.
- Identification of the reference that defines the expected result of the validation action.

Performing the validation action includes the following:

- Obtaining a result by performing the validation action onto the submitted element.
- Comparing the obtained result with the expected result.
- Deducing the degree of compliance of the element.
- Deciding on the acceptability of this compliance, because sometimes the result of the comparison may require a value judgment to decide whether to accept the obtained result as compared to the relevance of the context of use.

Note: If there is uncertainty about compliance, the cause could come from ambiguity in the requirements.

## What to Validate?

Any engineering element can be validated using a specific reference for comparison, such as stakeholder requirements, system requirements, functions, system elements, documents, etc. Examples are provided in Table 1 below:

**Table 1. Examples of Validated Items (SEBoK Original)**

Items	Explanation for Validation
<b>Document</b>	To validate a document is to make sure its content is compliant with the inputs of the task that produced the document.
<b>Stakeholder</b>	To validate a stakeholder requirement is to make sure its content is justified and relevant to stakeholders' expectations,
<b>Requirement and System Requirement</b>	complete and expressed in the language of the customer or end user. To validate a system requirement is to make sure its content translates correctly and/or accurately a stakeholder requirement to the language of the supplier.
<b>Design</b>	To validate the design of a system (logical and physical architectures) is to demonstrate that it satisfies its system requirements.
<b>System</b>	To validate a system (product, service, or enterprise) is to demonstrate that the product, service, or enterprise satisfies its system requirements and/or its stakeholder requirements.
<b>Activity</b>	To validate an activity or a task is to make sure its outputs are compliant with its inputs.
<b>Process</b>	To validate a process is to make sure its outcomes are compliant with its purpose.

## Validation versus Verification

The Verification versus Validation section of the System Verification article gives fundamental differences between the two concepts and associated processes. The Table 2 provides information to help understand these differences.

**Table 2. Verification and Validation Differences (may vary with context). (SEBoK Original)**

Point of View	Verification	Validation
Purpose of the Activity	Detect, identify faults/defects (supplier oriented)	Acquire confidence (end user oriented)
Idea behind the Term	Based on truth (objective/unbiased)	Based on value judgement (more subjective)
Level of Concern	Detail and local	Global in the context of use
Vision	Glass box (how it runs inside)	Black box (application of inputs provides the expected effect)
Basic Method	Fine-tooth comb	Traceability matrix
System (Product, Service, Enterprise)	"Done Right" (respects the state of the art); focus on (physical) characteristics	"Does Right" (produces the expected effect); focus on services, functions
Baseline Reference for Comparison (Product, Service, Enterprise)	System design	System requirements (and stakeholder requirements)
Order of Performance	First	Second
Organization of Activity	Verification actions are defined and/or performed by development/designer team	Validation actions are defined and/or performed by experts and external members to development/designer team

## Validation, Final Validation, and Operational Validation

System validation concerns the global system seen as a whole and is based on the totality of requirements (system requirements, stakeholders' requirements, etc.), but it is obtained gradually throughout the development stage in three non-exclusive ways:

- accumulating the results of verification actions and validation actions provided by the application of corresponding processes to every engineering element;
- performing final validation actions to the complete, integrated system in an industrial environment (as close as possible to the operational environment); and
- performing operational validation actions on the complete system in its operational environment (context of use).

## Verification and Validation Level per Level

It is impossible to carry out only a single global validation on a complete, integrated complex system. The sources of faults/defects could be important, and it would be impossible to determine the causes of non-conformance manifested during this global check. Generally, the system-of-interest (SoI) has been decomposed during design in a set of layers of systems. Thus, every system and system element is verified, validated, and possibly corrected before being integrated into the parent system of the higher level, as shown in Figure 2.

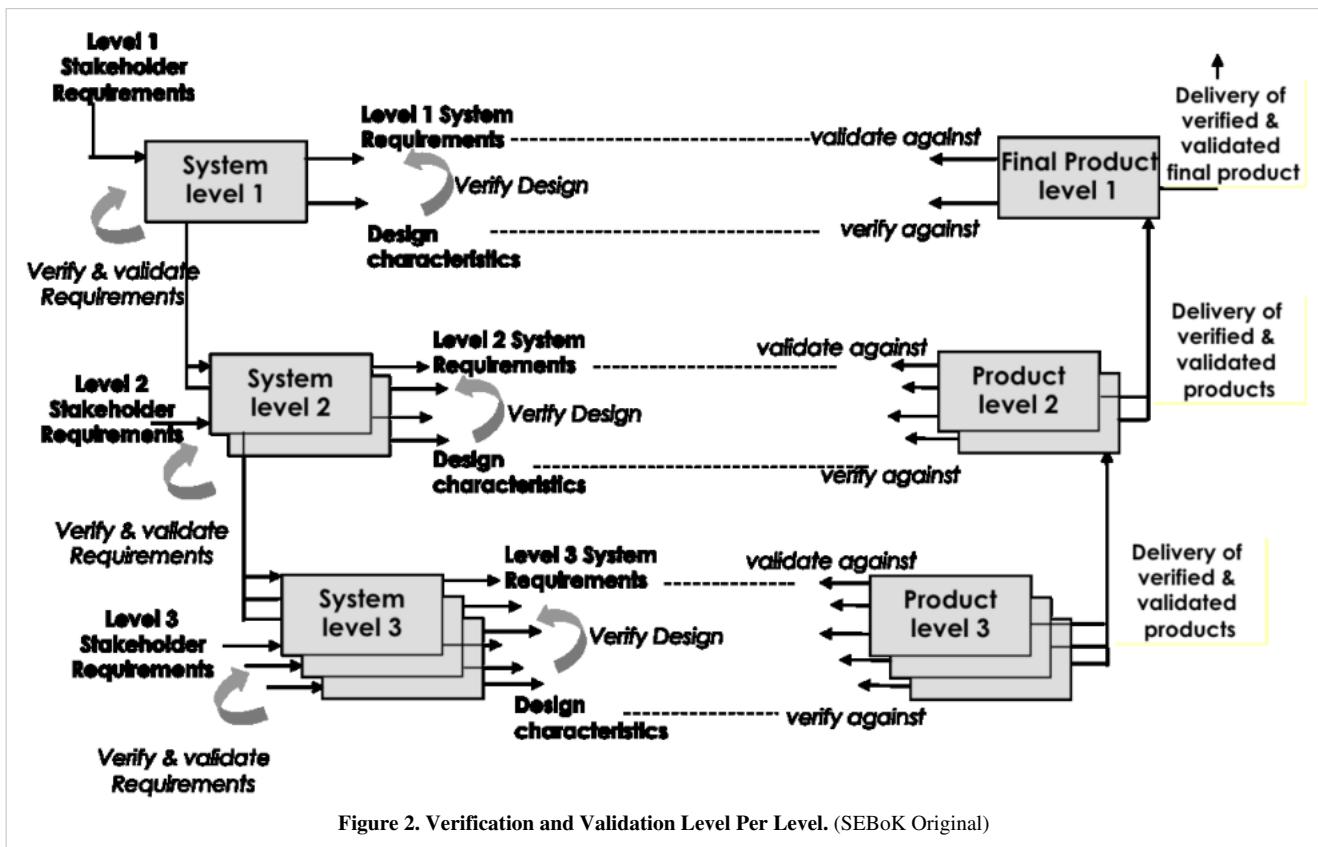
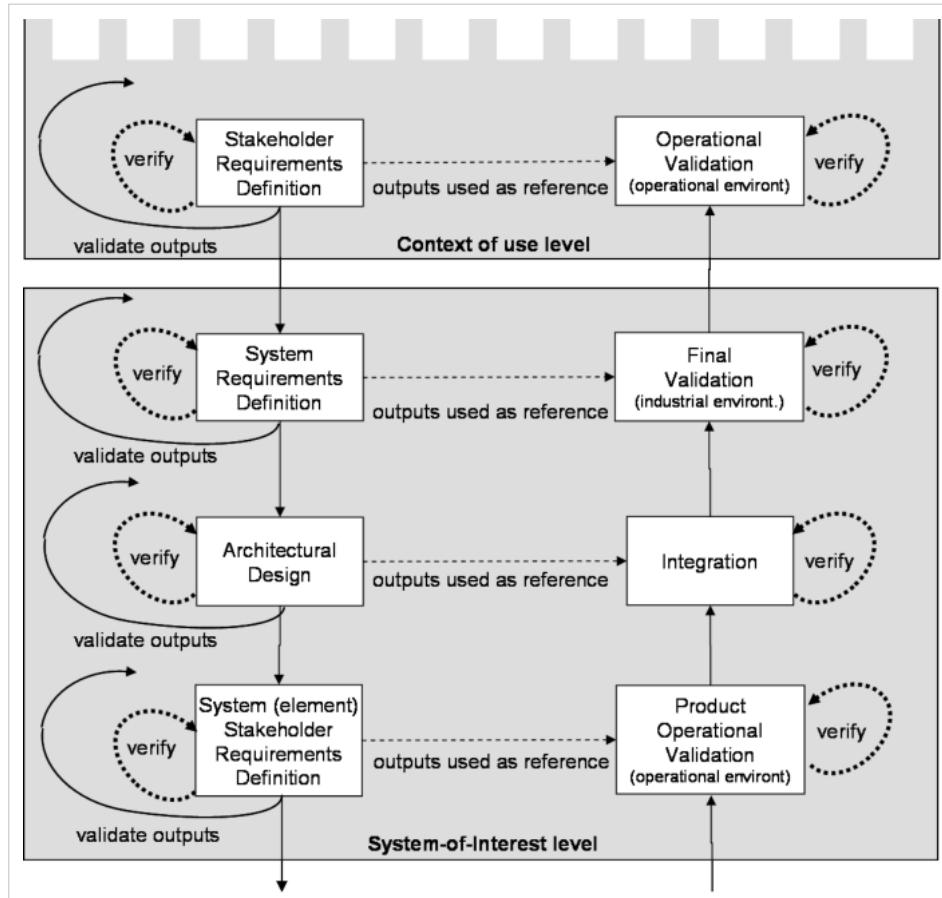


Figure 2. Verification and Validation Level Per Level. (SEBoK Original)

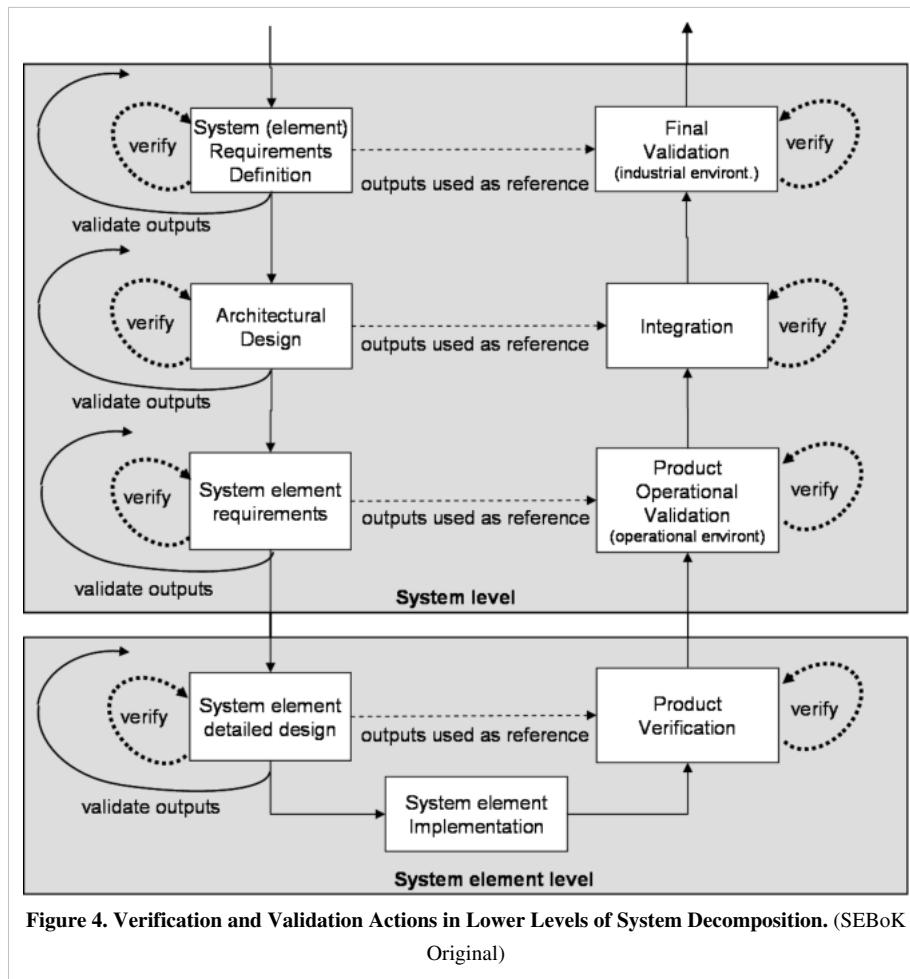
As necessary, systems and system elements are partially integrated in subsets in order to limit the number of properties to be verified within a single step. For each level, it is necessary to perform a set of final validation actions to ensure that features stated at preceding levels are not damaged. Moreover, a compliant result obtained in a given environment can turn into a non-compliant result if the environment changes. Thus, as long as the system is not completely integrated and/or doesn't operate in the real operational environment, no result should be regarded as definitive.

## Verification Actions and Validation Actions Inside and Transverse to Levels

Inside each level of system decomposition, verification actions and validation actions are performed during system definition and system realization. This is represented in Figure 3 for the upper levels, and in Figure 4 for the lower levels. Stakeholder requirements definition and operational validation make the link between the two levels of the system decomposition.



Operational validation of system element requirements and products makes the link between the two lower levels of the decomposition. See Figure 4 below.



**Figure 4. Verification and Validation Actions in Lower Levels of System Decomposition. (SEBoK Original)**

Note: The last level of system decomposition is dedicated to the realization of system elements and the vocabulary and number of activities may be different from what is seen in Figure 4.

## Verification and Validation Strategy

The difference between verification and validation is especially useful for elaborating on the integration strategy, the verification strategy, and the validation strategy. In fact, the efficiency of system realization is gained by optimizing the three strategies together to form what is often called the verification and validation strategy. This optimization consists of defining and performing the minimum number of verification and validation actions but detecting the maximum number of errors/faults/defects and achieving the maximum level of confidence in the system. The optimization takes into account the risks potentially generated if some verification actions or validation actions are excluded.

## Process Approach

### Purpose and Principles of the Approach

The purpose of the validation process is to provide objective evidence that the services provided by a system in use comply with stakeholder requirements and achieve its intended use in its intended operational environment (ISO/IEC/IEEE 15288 2015). The validation process performs a comparative assessment and confirms that the stakeholder requirements are correctly defined. Where variance is identified, it is recorded to guide future corrective actions. System validation is ratified by stakeholders (ISO/IEC/IEEE 15288 2015).

The validation process demonstrates that the realized end product satisfies its stakeholders' (customers' or other interested parties') expectations within the intended operational environments with validation performed by anticipated operators and/or users (NASA 2007, 1-360). Each system element, system, and the complete SoI are compared against their own applicable requirements (system requirements and stakeholder requirements). This means that the validation process is instantiated as many times as necessary during the global development of the system.

In order to ensure that validation is feasible, the implementation of requirements must be verifiable onto a defined element. It is essential to ensure that requirements are properly written, i.e., quantifiable, measurable, unambiguous, etc. In addition, verification/validation requirements are often written in conjunction with stakeholder and system requirements and provide a method for demonstrating the implementation of each system requirement or stakeholder requirement.

**Generic inputs** are references of requirements applicable to the submitted element. If the element is a system, inputs are system requirements and stakeholder requirements.

**Generic outputs** are the validation plan that includes validation strategy, selected validation actions, validation procedures, validation tools, validated elements or systems, validation reports, issue/trouble reports, and change requests on requirements or on the system.

## Activities of the Process

Major activities and tasks performed during this process include the following:

- Establish a validation strategy (often drafted in a validation plan). This activity is carried out concurrently to system definition activities:
  - Identify the validation scope that is represented by (system and/or stakeholder) requirements; normally, every requirement should be checked as the number of validation actions can be high.
  - Identify constraints according to their origin (technical feasibility, management constraints as cost, time, availability of validation means or qualified personnel, and contractual constraints that are critical to the mission) that limit or increase potential validation actions.
  - Define appropriate verification/validation techniques to be applied, such as inspection, analysis, simulation, review, testing, etc., depending on the best step of the project to perform every validation action according to constraints.
  - Consider a trade-off of what should be validated (scope) while taking into account all constraints or limits and deduce what can be validated objectively; selection of validation actions would be made according to the type of system, objectives of the project, acceptable risks, and constraints.
  - Optimize the validation strategy to define the most appropriate validation technique for every validation action, define necessary validation means (tools, test-benches, personnel, location, and facilities) according to the selected validation technique, schedule the execution of validation actions in the project steps or milestones, and define the configuration of elements submitted to validation actions (this is primarily about testing on physical elements).
- Perform validation actions, including the following tasks:
  - Detail each validation action. In particular, note the expected results, the validation technique to be applied, and the corresponding means necessary (equipment, resources, and qualified personnel).
  - Acquire validation means used during the system definition steps (qualified personnel, modeling tools, mocks-up, simulators, and facilities), then those means used during integration and final and operational steps (qualified personnel, validation tools, measuring equipment, facilities, validation procedures, etc.).
  - Carry out validation procedures at the right time, in the expected environment, with the expected means, tools, and techniques.

- Capture and record results obtained when performing validation actions using validation procedures and means.
- Analyze the obtained results and compare them to the expected results. Decide if they comply acceptably. Record whether the decision and status are compliant or not, and generate validation reports and potential issue/trouble reports, as well as change requests on (system or stakeholder) requirements as necessary.
- Control the process using following tasks:
  - Update the validation plan according to the progress of the project; in particular, planned validation actions can be redefined because of unexpected events.
  - Coordinate validation activities with the project manager regarding the schedule, acquisition of means, personnel, and resources. Coordinate with the designers for issue/trouble/non-conformance reports. Coordinate with the configuration manager for versions of physical elements, design baselines, etc.

## Artifacts and Ontology Elements

This process may create several artifacts, such as:

- a validation plan (contains the validation strategy)
- a validation matrix (contains for each validation action, submitted element, applied technique, step of execution, system block concerned, expected result, obtained result, etc.)
- validation procedures (describe the validation actions to be performed, the validation tools needed, the validation configuration, resources, personnel, schedule, etc.)
- validation reports
- validation tools
- the validated element
- issue, non-conformance, and trouble reports
- change requests on requirements, products, services, and enterprises

This process utilizes the ontology elements of Table 3.

**Table 3. Main Ontology Elements as Handled within Validation. (SEBoK Original)**

Element	Definition
<b>Attributes (examples)</b>	
<b>Validation Action</b>	A validation action describes what must be validated (the element as reference), on which element, the expected result, the verification technique to apply, on which level of decomposition.
	Identifier, name, description
<b>Validation Procedure</b>	A validation procedure groups a set of validation actions performed together (as a scenario of tests) in a given validation configuration.
	Identifier, name, description, duration, unit of time
<b>Validation Tool</b>	A validation tool is a device or physical tool used to perform validation procedures (test bench, simulator, cap/stub, launcher, etc.).
	Identifier, name, description
<b>Validation Configuration</b>	A validation configuration groups the physical elements necessary to perform a validation procedure.
	Identifier, name, description

<b>Risk</b>	An event having a probability of occurrence and a gravity degree on its consequence onto the system mission or on other characteristics (used for technical risk engineering).
	Identifier, name, description, status
<b>Rationale</b>	An argument that provides the justification for the selection of an engineering element.
	Identifier, name, description (rationale, reasons for defining a validation action, a validation procedure, for using a validation tool, etc.)

## Methods and Techniques

The validation techniques are the same as those used for verification, but their purposes are different; verification is used to detect faults/defects, whereas validation is used to prove the satisfaction of (system and/or stakeholder) requirements.

The **validation traceability matrix** is introduced in the stakeholder requirements definition topic. It may also be extended and used to record data, such as a validation actions list, selected validation techniques to validate implementation of every engineering element (stakeholder and system requirements in particular), expected results, and obtained results when validation actions have been performed. The use of such a matrix enables the development team to ensure that selected stakeholder and system requirements have been checked, or to evaluate the percentage of validation actions completed.

## Practical Considerations

Key pitfalls and good practices related to system validation are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in planning and performing system validation are provided in Table 4.

**Table 4. Major Pitfalls with System Validation. (SEBoK Original)**

Pitfall	Description
Start validation at the end of the project	A common mistake is to wait until the system has been entirely integrated and tested (design is qualified) to perform any sort of validation. Validation should occur as early as possible in the [product] life cycle (Martin 1997).
Use only testing	Use only testing as a validation technique. Testing requires checking products and services only when they are implemented. Consider other techniques earlier during design; analysis and inspections are cost effective and allow discovering early potential errors, faults, or failures.
Stop validation when funding is diminished	Stop the performance of validation actions when budget and/or time are consumed. Prefer using criteria such as coverage rates to end validation activity.

### Proven Practices

Some good practices gathered from the references are provided in Table 5.

**Table 5. Proven Practices with System Validation. (SEBoK Original)**

<b>Practice</b>	<b>Description</b>
Start Validation	It is recommended to start the drafting of the validation plan as soon as the first requirements applicable to the system are known.
Plan Early	If the writer of the requirements immediately puts the question to know how to validate whether the future system will answer the requirements, it is possible to: <ul style="list-style-type: none"> <li>• detect the unverifiable requirements</li> <li>• anticipate, estimate cost, and start the design of validation means (as needed) such as test-benches, simulators</li> <li>• avoid cost overruns and schedule slippages</li> </ul>
Verifiable Requirements	According to Buede, a requirement is verifiable if a "finite, cost-effective process has been defined to check that the requirement has been attained." (Buede 2009) Generally, this means that each requirement should be quantitative, measurable, unambiguous, understandable, and testable. It is generally much easier and more cost-effective to ensure that requirements meet these criteria while they are being written. Requirement adjustments made after implementation and/or integration are generally much more costly and may have wide-reaching redesign implications. There are several resources which provide guidance on creating appropriate requirements - see the system definition knowledge area, stakeholder requirements, and system requirements topics for additional information.
Document Validation Actions	It is important to document both the validation actions performed and the results obtained. This provides accountability regarding the extent to which system, system elements, and subsystems fulfill system requirements and stakeholders' requirements. These data can be used to investigate why the system, system elements, or subsystems do not match the requirements and to detect potential faults/defects. When requirements are met, these data may be reported to organization parties. For example, in a safety critical system, it may be necessary to report the results of safety demonstration to a certification organization. Validation results may be reported to the acquirer for contractual aspects or to internal company for business purpose.
Involve Users with Validation	Validation will often involve going back directly to the users to have them perform some sort of acceptance test under their own local conditions.
Involve	Often the end users and other relevant stakeholders are involved in the validation process.

The following are elements that should be considered when practicing any of the activities discussed as a part of system realization:

- Confusing verification and validation is a common issue. Validation demonstrates that the product, service, and/or enterprise as provided, fulfills its intended use, whereas verification addresses whether a local work product properly reflects its specified requirements. Validation actions use the same techniques as the verification actions (e.g., test, analysis, inspection, demonstration, or simulation).
- State who the witnesses will be (for the purpose of collecting the evidence of success), what general steps will be followed, and what special resources are needed, such as instrumentation, special test equipment or facilities, simulators, specific data gathering, or rigorous analysis of demonstration results.
- Identify the test facility, test equipment, any unique resource needs and environmental conditions, required qualifications and test personnel, general steps that will be followed, specific data to be collected, criteria for repeatability of collected data, and methods for analyzing the results.

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# System Operation

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The role of systems engineering (SE) during the operation of a system consists of ensuring that the system maintains key mission and business functions and is operationally effective. The systems engineer is one of the stakeholders who ensures that maintenance actions and other major changes are performed according to the long-term vision of the system. Both the maintenance actions and any implemented changes must meet the evolving needs of owning and operating stakeholders consistent with the documented and approved architecture. SE considerations will also include the eventual decommissioning or disposal of the system so that the disposal occurs according to disposal/retirement plans. Those plans must account for and be compliant with relevant laws and regulations (for additional information on disposal or retirement, please see the Product and Service Life Management knowledge area (KA)). When the system-of-interest (SoI) replaces an existing or legacy system, it may be necessary to manage the migration between systems such that stakeholders do not experience a breakdown in services (INCOSE 2012).

## Definition & Purpose

This process assigns personnel to operate the system and monitors the services and operator-system performance. In order to sustain services, it identifies and analyzes operational problems in relation to agreements, stakeholder requirements, and organizational constraints (ISO/IEC/IEEE 2015).

The concept of operations (ConOps) establishes the foundation for initial design specifications according to the long-term vision. It is also possible that pre-planned program improvements (P3I) had been generated based on expected evolving requirements. Throughout the systems life cycle, the operation of the system requires the systems engineer to be an active participant in reviews, change management and integrated master schedule activities to ensure the system operations continue to meet the evolving needs of stakeholders, and are consistent with the architecture through the eventual decommissioning or disposal of the system. In the event of decommissioning, a systems engineer must ensure disposal/retirement plans are compliant with relevant laws and regulations (for additional information on disposal or retirement, see the Product and Service Life Management KA).

Two additional areas are of interest to the systems engineer during system operation require special attention. First, it may be determined that a system is at the end of its life cycle, but the cost of replacing the system with a completely new design is too expensive. In this case, there will be intense engineering activities for service life extension program (SLEP). The SLEP solution will take into account obsolescence issues, diminishing manufacturing sources and material shortages (DMSMS), and changes in ConOps. Secondly, in the event that a new SoI is designed and produced as a complete replacement for an existing or legacy system, it will be necessary to manage the migration between systems such that stakeholders do not experience a breakdown in services (INCOSE 2012).

## Process Approaches

During the operational phase, SE activities ensure the system maintains certain operational attributes and usefulness throughout its expected life span. Maintaining operational effectiveness consists of evaluating certain operationally relevant attributes and trends, taking actions to prevent degradation of performance, evolving the system to meet changing mission or business needs (see the Product and Service Life Management KA), and eventually decommissioning the system and disposing of its components. During operation, data would be collected to evaluate the system and determine if changes should be made. It is important to include the process for data collection during operations when considering design and ConOps. In some cases, data may be collected by sensors and reported autonomously. In other cases, operators will identify and report on performance during operations. The systems engineer needs to understand how all data will be collected and presented for further analysis. The systems engineer

will be involved in analysis of this data in several areas, including the following:

- Updating training and development of new training as required for operational and support personnel. Training is generally developed early with system design and production and executed during integration and operations. Determination of training updates or changes will be based on evaluation of the operational and support personnel.
- Evaluation of operational effectiveness. Early in the planning phases of a new system or capability, measures of operational effectiveness are established based on mission and business goals. These measures are important during system operation. These attributes are unique for each system and represent characteristics describing the usefulness of the system as defined and agreed to by system stakeholders. Systems engineers monitor and analyze these measurements and recommend actions.
- Failure reporting and corrective actions (FRACA) activities will involve the collection and analysis of data during operations. FRACA data will provide trends involving failures that may require design or component changes. Some failures may also result in safety issues requiring operational modifications until the offending elements under analysis can be corrected. If components or systems must be returned to maintenance facilities for corrective repairs, there will be operational and business impacts due to increased unavailability and unplanned transportation cost.

## **Applicable Methods & Tools**

Operations manuals generally provide operators the steps and activities required to run the system.

### **Training and Certification**

Adequate training must be provided for the operators who are required to operate the system. There are many objectives of training:

- Provide initial training for all operators in order to equip them with the skill and knowledge to operate the system. Ideally, this process will begin prior to system transition and will facilitate delivery of the system. It is important to define the certification standards and required training materials up front (for more information on material supply, please see Logistics).
- Provide continuation training to ensure currency of knowledge.
- Monitor the qualification/certification of the operators to ensure that all personnel operating the system meet the minimum skill requirements and that their currency remains valid.
- Monitor and evaluate the job performance to determine the adequacy of the training program.

## **Practical Considerations**

The operation process sustains system services by assigning trained personnel to operate the system, as well as by monitoring operator-system performance and monitoring the system performance. In order to sustain services, the operation process identifies and analyzes operational problems in relation to agreements, stakeholder requirements, and organizational constraints. When the system replaces an existing system, it may be necessary to manage the migration between systems such that persistent stakeholders do not experience a breakdown in services.

Results of a successful implementation of the operation process include:

- Definition and refinement of an operation strategy along the way
- Delivery of services that meet stakeholder requirements
- Satisfactory completion of approved, corrective action requests
- Continued stakeholder satisfaction

Outputs of the operation process include:

- Operational strategy, including staffing and sustainment of enabling systems and materials
-

- System performance reports (statistics, usage data, and operational cost data)
- System trouble/anomaly reports with recommendations for appropriate action
- Operational availability constraints to influence future design and specification of similar systems or reused system elements

Activities of the operation process include:

- Providing operator training to sustain a pool of operators
- Tracking system performance and accounting for operational availability
- Performing operational analysis
- Managing operational support logistics
- Documenting system status and actions taken
- Reporting malfunctions and recommendations for improvement

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### Additional References

None.

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# Knowledge Area: System Maintenance

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## System Maintenance

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System Maintenance planning begins early in the acquisition process with development of a maintenance concept. Maintenance planning is conducted to evolve and establish requirements and tasks to be accomplished for achieving, restoring, and maintaining operational capability for the life of the system. For a system to be sustained throughout its system life cycle, the maintenance process has to be executed concurrently with the operations process (ISO/IEC/IEEE 15288 2015, Clause 6.4.9).

### Overview

The initial requirements for maintenance have to be defined during the stakeholder needs and requirement definition process (Clause 6.4.1) (ISO/IEC/IEEE 15288 2015) and continue to evolve during the development and operation of the system. Considerations include:

- Maximizing system availability to meet the operational requirements. This has to take into account the designed-in reliability and maintainability of the system and resources available.
- Preserving system operating potential through proper planning of system scheduled maintenance. This requires a reliability-centered maintenance strategy that incorporates preventive maintenance in order to preempt failures, thereby extending the mean time between corrective maintenance, as well as enhancing the availability of the system.
- Segmenting maintenance activities for potential outsourcing of non-critical activities to approved maintenance subcontractors as to optimize scarce technical manpower resources and maintenance/repair turn-around times.
- Harnessing IT technology for maintenance management. This involves rigorous and systematic capturing and tracking of operating and maintenance activities to facilitate analysis and planning.

Maintenance management is concerned with the development and review of maintenance plans, as well as securing and coordinating resources, such as budget, service parts provisioning, and management of supporting tasks (e.g., contract administration, engineering support, and quality assurance). Maintenance planning relies on level of repair analysis (LORA) as a function of the system acquisition process. Initial planning addresses actions and support necessary to ensure a minimum life cycle cost (LCC).

### Process Approaches

The purpose of the maintenance process is to sustain the capability of a system to provide a service. This process monitors the system's capability to deliver services, records problems for analysis, takes corrective, adaptive, perfective, and preventive actions, and confirms restored capability. As a result of the successful implementation of the maintenance process:

- a maintenance strategy is developed
- maintenance constraints are provided as inputs to requirements
- replacement system elements are made available
- services meeting stakeholder requirements are sustained
- the need for corrective design changes is reported

- failure and lifetime data are recorded

The project should implement the following activities and tasks in accordance with applicable organization policies and procedures with respect to the maintenance process:

- scheduled servicing, such as daily inspection/checks, servicing, and cleaning
- unscheduled servicing (carrying out fault detection and isolation to the faulty replaceable unit and replacement of the failed unit)
- re-configuration of the system for different roles or functions
- scheduled servicing (higher level scheduled servicing but below depot level)
- unscheduled servicing (carrying out more complicated fault isolation to the faulty replaceable unit and replacement of the failed unit)
- minor modifications
- minor damage repairs
- major scheduled servicing (e.g., overhaul and corrosion treatment)
- major repairs (beyond normal removal and replacement tasks)

The maintenance plan specifies the scheduled servicing tasks and intervals (preventive maintenance) and the unscheduled servicing tasks (adaptive or corrective maintenance). Tasks in the maintenance plan are allocated to the various maintenance agencies. A maintenance allocation chart is developed to tag the maintenance tasks to the appropriate maintenance agencies. These include: in-service or in-house work centers, approved contractors, affiliated maintenance or repair facilities, original equipment manufacturer (OEMs), etc. The maintenance plan also establishes the requirements for the support resources.

Related activities such as resource planning, budgeting, performance monitoring, upgrades, longer term supportability, and sustenance also need to be managed. These activities are planned, managed, and executed over a longer time horizon and they concern the well-being of the system over the entire life cycle.

Proper maintenance of the system (including maintenance-free system designs) relies very much on the availability of support resources, such as support and test equipment (STE), technical data and documentation, personnel, spares, and facilities. These have to be factored in during the acquisition agreement process.

## **Training and Certification**

Adequate training must be provided for the technical personnel maintaining the system. While initial training may have been provided during the deployment phase, additional personnel may need to be trained to cope with the increased number of systems being fielded, as well as to cater to staff turnover. Timely updates to training materials and trained personnel may be required as part of system upgrades and evolution. It is important to define the certification standards and contract for the training materials as part of the supply agreement.

## **Practical Considerations**

The organization responsible for maintaining the system should have clear thresholds established to determine whether a change requested by end users, changes to correct latent defects, or changes required to fulfill the evolving mission are within the scope of a maintenance change or require a more formal project to step through the entire systems engineering life-cycle. Evaluation criteria to make such a decision could include cost, schedule, risk, or criticality characteristics.

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None.

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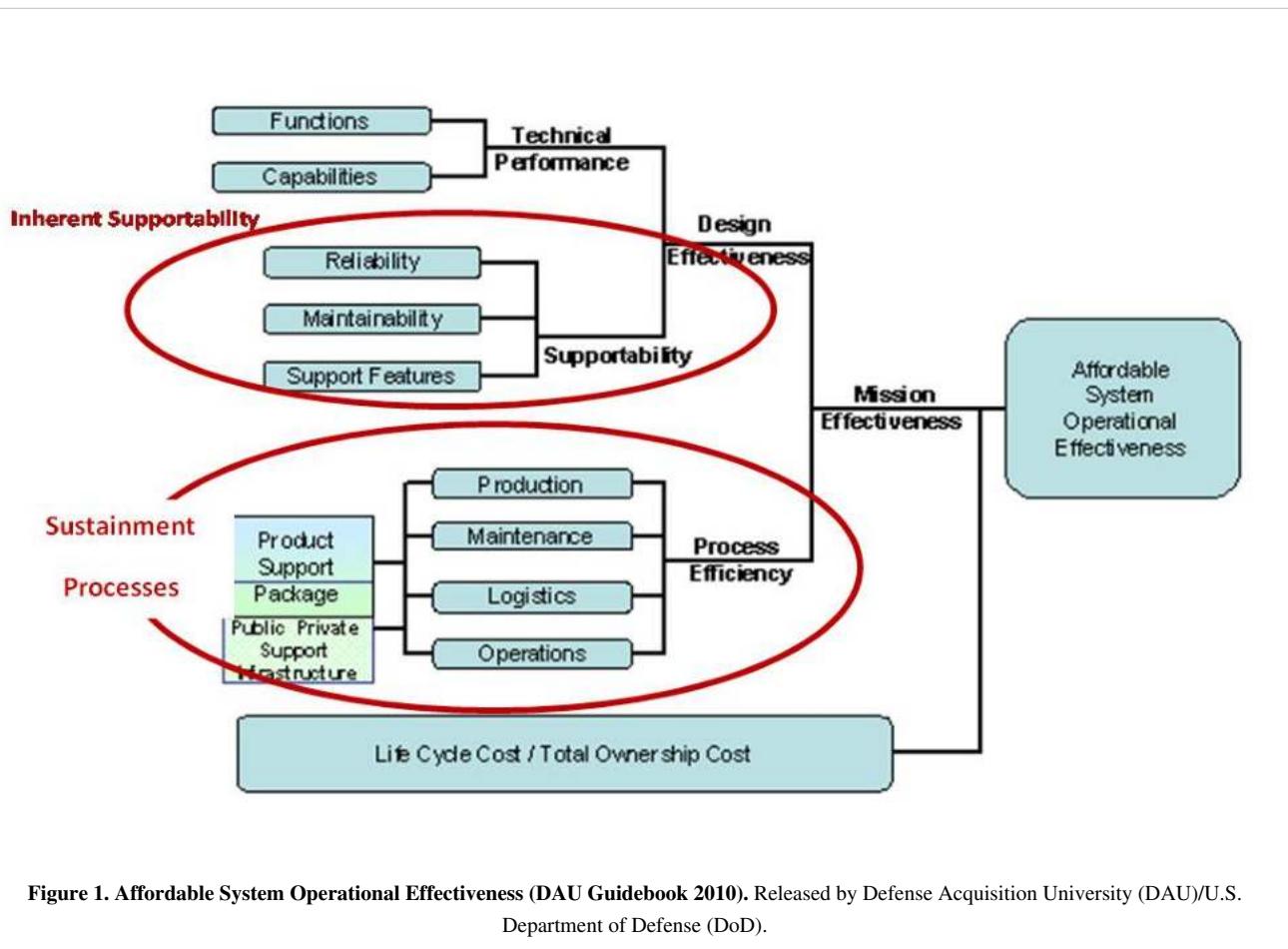
# Logistics

**Lead Authors:** Scott Jackson, John Snoderly, **Contributing Author:** Garry Roedler

There are several definitions for logistics within systems engineering (SE) and the definition used will determine what activities are considered part of logistics. The SEBoK defines logistics as the science of planning and implementing the acquisition and use of the resources necessary to sustain the operation of a system.

## Overview

The ability to *sustain the operation of a system* is determined by the inherent supportability of the system (a function of design) and the processes used to sustain the functions and capabilities of the system in the context of the end user. Figure 1, below, shows a Defense Acquisition University (DAU) model of the SE aspects for consideration in logistics and logistics planning (DAU 2010).



## Sustainment Planning

The focus of sustainment planning is to influence the inherent supportability of the system and to plan the sustainment capabilities and processes that will be used to sustain system operations.

### Influence Inherent Supportability (Operational Suitability)

Sustainment influence requires an understanding of the concept of operations (ConOps), system missions, mission profiles, and system capabilities to understand the rationale behind functional and performance priorities. Understanding the rationale paves the way for decisions about necessary tradeoffs between system performance, availability, and life cycle cost (LCC), with impact on the cost effectiveness of system operation, maintenance, and logistics support. There is no single list of sustainment considerations or specific way of grouping them as they are highly inter-related. They include: compatibility, interoperability, transportability, reliability, maintainability, manpower, human factors, safety, natural environment effects (including occupational health, habitability; see Environmental Engineering); diagnostics & prognostics (including real-time maintenance data collection), and corrosion protection & mitigation. The following are key design considerations:

- **Architecture Considerations** - The focus on openness, modularity, scalability, and upgradeability is critical to implementing an incremental acquisition strategy. In addition, the architecture attributes that expand system flexibility and affordability can pay dividends later when obsolescence and end-of-life issues are resolved through a concerted technology refreshment strategy. Trade-offs are often required relative to the extent each attribute is used.
- **Reliability Considerations:** - Reliability is critical because it contributes to a system's effectiveness as well as its suitability in terms of logistics burden and the cost to fix failures. For each system, there is a level of basic reliability that must be achieved for the system to be considered useful. Reliability is also one of the most critical elements in determining the logistics infrastructure and footprint. Consequently, system reliability should be a primary focus during design (along with system technical performance, functions, and capabilities). The primary objective is to achieve the necessary probability of operational success and minimize the risk of failure within defined availability, cost, schedule, weight, power, and volume constraints. While performing such analyses, trade-offs should be conducted and dependencies should be explored with system maintainability and integrated with the supportability analysis that addresses support event frequency (i.e. reliability), event duration, and event cost. Such a focus will play a significant role in minimizing the necessary logistics footprint, while maximizing system availability.
- **Maintainability Considerations** - The design emphasis on maintainability is to reduce the maintenance burden and supply chain by reducing the time, personnel, tools, test equipment, training, facilities and cost to maintain the system. Maintainability engineering includes the activities, methods, and practices used to design minimal system maintenance requirements (designing out unnecessary and inefficient processes) and associated costs for preventive and corrective maintenance as well as servicing or calibration activities. Maintainability should be a designed-in capability and not an add-on option because good maintenance procedures cannot overcome poor system and equipment maintainability design. The primary objective is to reduce the time it takes for a properly trained maintainer to detect and isolate the failure (coverage and efficiency) and affect repair. Intrinsic factors contributing to maintainability are:
  - **Modularity** - Packaging of components such that they can be repaired via remove and replace action vs. on-board repair. Care should be taken not to *over modularize*, and trade-offs to evaluate replacement, transportation, and repair costs should be accomplished to determine the most cost-effective approach.
  - **Interoperability** - The compatibility of components with standard interface protocols to facilitate rapid repair and enhancement/upgrade through black box technology using common interfaces. Physical interfaces should be designed so that mating between components can only happen correctly.

- **Physical accessibility** - The designed-in structural assurance that components which require more frequent monitoring, checkout, and maintenance can be easily accessed. This is especially important in low observable platforms. Maintenance points should be directly visible and accessible to maintainers, including access for corrosion inspection and mitigation.
- Designs that require *minimum preventative maintenance* including corrosion prevention and mitigation. Emphasis should be on balancing the maintenance requirement over the life cycle with minimal user workload.
- **Embedded training and testing** when it is determined to be the optimal solution from a total ownership cost (TOC) and materiel availability perspective.
- **Human Systems Integration (HSI)** to optimize total system performance and minimize life-cycle costs by designing systems and incorporating technologies that (a) require minimal manpower, (b) provide effective training, (c) can be operated and maintained by users, (d) are suitable (habitable and safe with minimal environmental and occupational health hazards), and (e) are survivable (for both the user and the equipment).
- **Support Considerations** - Support features cannot be easily *added-on* after the design is established. Consequently, supportability should be a high priority early in the program's planning and integral to the system design and development process. Support features cut across reliability, maintainability, and the supply chain to facilitate detection, isolation, and timely repair/replacement of system anomalies. These include features for servicing and other activities necessary for operation and support including resources that contribute to the overall support of the system. Typical supportability features include diagnostics, prognostics (see CBM+ Guidebook), calibration requirements, many HSI issues (e.g. training, safety, HFE, occupational health, etc.), skill levels, documentation, maintenance data collection, compatibility, interoperability, transportability, handling (e.g., lift/hard/tie down points, etc.), packing requirements, facility requirements, accessibility, and other factors that contribute to an optimum environment for sustaining an operational system.

## Planning Sustainment Processes

Process efficiency reflects how well the system can be produced, operated, serviced (including fueling) and maintained. It reflects the degree to which the logistics processes (including the supply chain), infrastructure, and footprint have been balanced to provide an agile, deployable, and operationally effective system.

Achieving process efficiency requires early and continuing emphasis on the various logistics support processes along with the design considerations. The continued emphasis is important because processes present opportunities for improving operational effectiveness even after the *design-in* window has passed via lean-six sigma, supply chain optimization, or other continuous process improvement (CPI) techniques.

## Sustainment Analysis (Product Support Package)

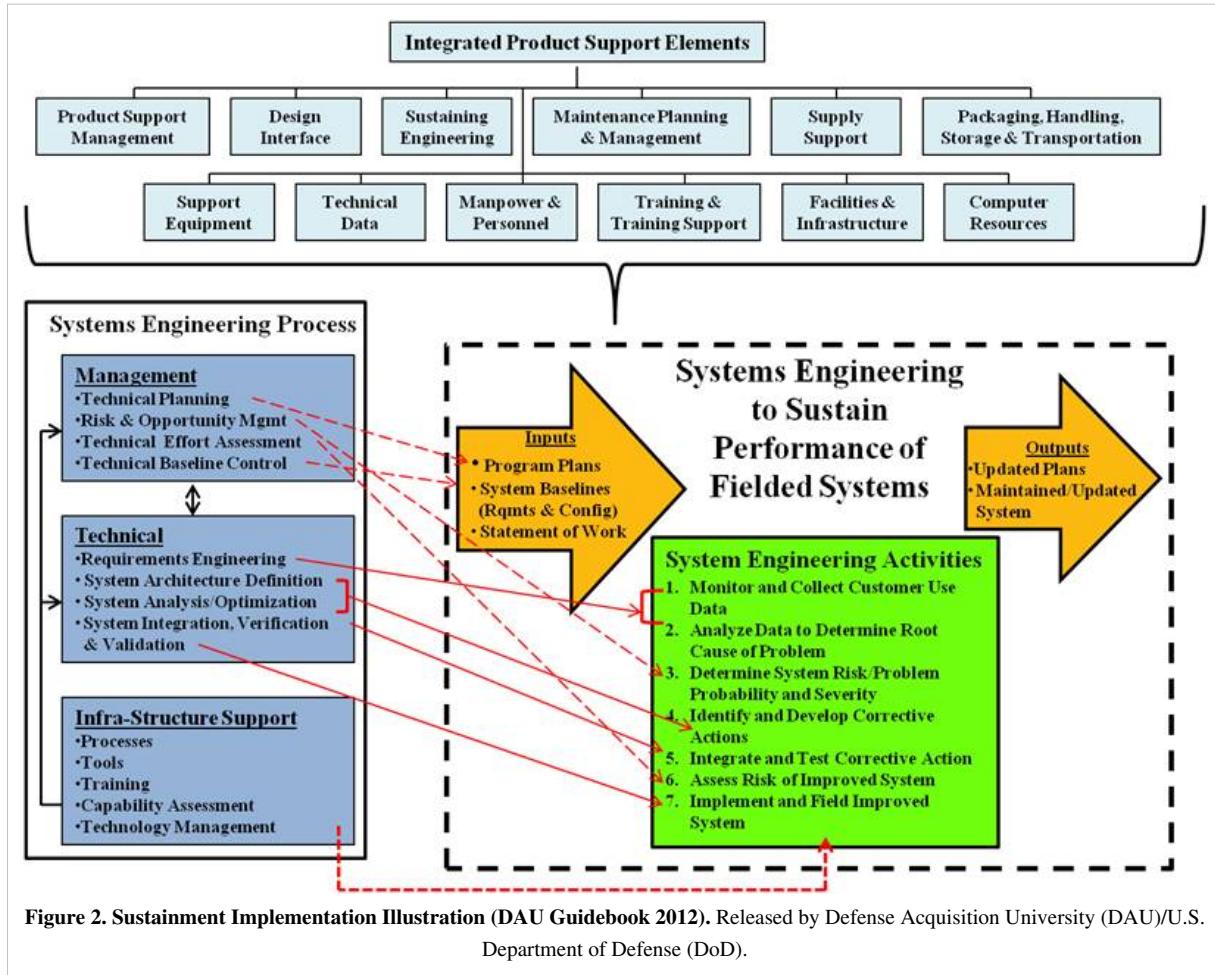
The product support package documents the output of supportability analysis and includes details related to the following twelve elements (links below are to excerpts from (NATO RTO 2001):

- Product/information technology (IT) system/medical system support management (integrated life cycle sustainment planning)
  - product/IT system/medical system support strategies
  - life cycle sustainment planning
  - requirements management
  - total ownership costs (TOC)/life cycle costs (LCC) planning & management
  - Integration and management of product support activities
  - configuration management
  - production & distribution
  - energy, environmental, safety and health (EESH) management
  - policies & guidance

- risk management
- Design Interface <sup>[1]</sup>
  - reliability
  - maintainability
  - supportability
  - affordability
  - configuration management
  - safety requirements
  - environmental and hazardous materials (HAZMAT) requirements
  - human systems integration (HSI)
  - calibration
  - anti-tamper
  - habitability
  - disposal
  - legal requirements
- Sustainment Engineering
  - failure reporting, analysis, and corrective action system (FRACAS)
  - value engineering
  - diminishing manufacturing sources and material shortages (DMSMS)
- Supply Support (materiel planning) <sup>[2]</sup>
- Maintenance Planning <sup>[3]</sup>
  - reliability centered maintenance (RCM)
  - maintenance concepts
  - levels of maintenance (level of repair analysis)
  - condition-based maintenance
  - prognostics & health management
- Support Equipment <sup>[4]</sup>
- Technical Data <sup>[5]</sup>
- Manpower & Personnel <sup>[6]</sup>
- Training & Training Support <sup>[7]</sup>
- Facilities & Infrastructure <sup>[8]</sup>
- Packaging, Handling, Storage, & Transportation <sup>[9]</sup>
- Computer Resources <sup>[10]</sup>

## Sustainment Implementation

Once the system becomes operational, the results of sustainment planning efforts need to be implemented. SE supports the execution of the twelve integrated product support elements of a sustainment program that strives to ensure the system meets operational performance requirements in the most cost-effective manner over its total remaining life cycle, as illustrated in Figure 2.



Once a system is put into use, SE is often required to correct problems that degrade continued use, and/or to add new capabilities to improve product performance in the current or a new environment. In the context of integrated product support, these SE activities correspond to the integrated product support (IPS) element *Sustaining Engineering*. Changes made to fielded systems to correct problems or increase performance should include any necessary adjustments to the IPS elements, and should consider the interrelationships and integration of the elements to maintain the effectiveness of the system's support strategy.

The degree of change required to the product support elements varies with the severity of the problem. Minor problems may require a simple adjustment to a maintenance procedure, a change of supplier, a training course modification or a change to a technical manual. In contrast, problems that require system or component redesign may require engineering change proposals and approvals, IPS element trade studies, business case analysis, and updates to the product support strategy. The focus is to correct problems that degrade continued use, regardless of the degree of severity.

Evolutionary systems provide a strategy for acquisition of mature technology; the system delivers capabilities incrementally, planning for future capability enhancements. A system of systems (SoS) perspective is required for these systems to synchronize the primary and sustainment systems.

For more information refer to: *An Enterprise Framework for Operationally Effective System of Systems Design* (Bobinis and Herald 2012.).

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# Service Life Management

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**Contributing Author:** William Stiffler

Product and service life management deals with the overall life cycle planning and support of a system. The life of a product or service spans a considerably longer period of time than the time required to design and develop the system. Systems engineers need to understand and apply the principles of life management throughout the life cycle of the system. (See Life Cycle Models for a general discussion of life cycles.) Specifically, this knowledge area (KA) focuses on changes to a system after deployment, including extension, modernization, disposal, and retirement.

## Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Service Life Extension
- Capability Updates, Upgrades, and Modernization
- Disposal and Retirement

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 to topics covered in Part 3.

## Overview

Product and service life management is also referred to as *system sustainment*. Sustainment involves the supportability of operational systems from the initial procurement to disposal. Sustainment is a key task for systems engineering that influences product and service performance and support costs for the entire life of the program.

Sustainment activities include: design for maintainability, application of built-in test, diagnostics, prognostics and other condition-based maintenance techniques, implementation of logistics footprint reduction strategies, identification of technology insertion opportunities, identification of operations and support cost reduction opportunities, and monitoring of key support metrics. Life cycle sustainment plans should be created for large, complex systems (DAU 2010). Product and service life management applies to both commercial systems (e.g. energy generation and distribution systems, information management systems, the Internet, and health industries) and government systems (e.g. defense systems, transportation systems, water-handling systems, and government services).

It is critical that the planning for system life management occur during the requirements phase of system development. (See System Requirements and System Definition). The requirements phase includes the analysis of life cycle cost alternatives, as well as gaining the understanding of how the system will be sustained and modified once it is operational.

The body of knowledge associated with product and service life management includes the following areas:

1. Service Life Extension - Systems engineers need to understand the principles of service life extension, the challenges that occur during system modifications, and issues involved with the disposal and retirement after a system has reached the end of its useful life.
2. Modernization and Upgrades - Managing service life extension uses the engineering change management process with an understanding of the design life constraints of the system. Modernizing existing legacy systems requires special attention and understanding of the legacy requirements and the importance of having a complete inventory of all the system interfaces and technical drawings.
3. Disposal and Retirement - Disposal and retirement of a product after reaching its useful life requires attention to environmental concerns, special handling of hazardous waste, and concurrent operation of a replacement system as the existing system is being retired.

## Principles and Standards

The principles of product and service life management apply to different types of systems and domains. The type of system (commercial or government) should be used to select the correct body of knowledge and best practices that exist in different domains. For example, U.S. military systems would rely on sustainment references and best practices from the Department of Defense (DoD) (e.g., military services, Defense Acquisition University (DAU), etc.) and military standardization bodies (e.g., the American Institute of Aeronautics and Astronautics (AIAA), the Society of Automotive Engineers (SAE), the Society of Logistics Engineers (SOLE), the Open Geospatial Consortium (OGC), etc.).

Commercial aviation, power distribution, transportation, water-handling systems, the Internet, and health industries would rely on system life management references and best practices from a combination of government agencies, local municipalities, and commercial standardization bodies and associations (e.g., in the U.S.- the Department of Transportation (DOT), State of Michigan, International Organization for Standardization (ISO), Institute of Electrical and Electronics Engineers (IEEE), International Council on Systems Engineering (INCOSE), etc.).

Some standardization bodies have developed system life management practices that bridge both military and commercial systems (e.g., INCOSE, SOLE, ISO, IEEE, etc.). There are multiple commercial associations involved with defining engineering policies, best practices, and requirements for commercial product and service life management. Each commercial association has a specific focus for the market or domain area where the product is

used. Examples of such commercial associations in the U.S. include: American Society of Hospital Engineering (ASHE); Association of Computing Machinery (ACM); American Society of Mechanical Engineers (ASME); American Society for Testing & Materials (ASTM) International; National Association of Home Builders (NAHB); and Internet Society (ISOC), including Internet Engineering Task Force (IETF), and SAE.

In addition, there are several specific resources which provide useful information on product and service life management:

- The *INCOSE Systems Engineering Handbook*, version 3.2.2, identifies several relevant points regarding product and service life management (2011).
- The *Systems Engineering Guidebook for Intelligent Transportation Systems (ITS)*, version 1.1, provides guidance on product changes and system retirement (Caltrans and USDOT 2005).
- *Systems Engineering and Analysis* emphasizes design for supportability and provides a framework for product and service supportability and planning for system retirement (Blanchard and Fabrycky 2006).
- *Modernizing Legacy Systems* identifies strategies for product and service modernization (Seacord, Plakosh, and Lewis 2003).
- "Logistics and Materiel Readiness" (<http://www.acq.osd.mil/log/><sup>[1]</sup>) provides online policies, procedures, and planning references for product service life extension, modernization, and retirement (OUSD(AT&L) 2011).
- *A Multidisciplinary Framework for Resilience to Disasters and Disruptions* provides insight into architecting a system for extended service life (Jackson 2007).

## Good Practices

Major pitfalls associated with systems engineering (SE) after the deployment of products and services can be avoided if the systems engineer:

- Recognizes that the systems engineering process does not stop when the product or service becomes operational.
- Understands that certain life management functions and organizations, especially in the post-delivery phase of the life cycle, are part of the systems engineering process.
- Identifies that modifications need to comply with the system requirements.
- Considers that the users must be able to continue the maintenance activities drawn up during the system requirement phase after an upgrade or modification to the system is made.
- Accounts for changing user requirements over the system life cycle.
- Adapts the support concepts drawn up during development throughout the system life cycle.
- Applies engineering change management to the total system.

Not addressing these areas of concern early in development and throughout the product or service's life cycle can have dire consequences.

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[1] <http://www.acq.osd.mil/log/>

# Service Life Extension

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Product and service life extension involves continued use of a product and/or service beyond its original design life. Product and service life extension involves assessing the risks and the life cycle cost (LCC) of continuing the use of the product or service versus the cost of a replacement system.

Service life extension (SLE) emphasizes reliability upgrades and component replacement or rebuilding of the system to delay the system's entry into *wear-out* status due to issues such as expensive sustainment, reliability, safety, and/or performance requirements that can no longer be met. The goal is typically to return the system to as new a condition as possible while remaining consistent with the economic constraints of the program.

SLE is regarded as an environmentally friendly way to relieve rampant waste by prolonging the useful life of retiring products and preventing them from being discarded too early when they still have unused value. However, challenged by fast-changing technology and physical deterioration, a major concern in planning a product SLE is considering to what degree a product or service is fit to have its life extended.

## Topic Overview

SLE is typically required in the following circumstances:

- The system no longer meets the system performance or reliability requirements.
- The cost of operation and maintenance exceeds the cost of SLE, or the available budgets.
- Parts are no longer available for repair and maintenance.
- Operation of the system violates rules or regulations, such as environmental or safety regulations.
- Parts of the system are about to reach their operations life limits, which will result in the issue listed above occurring.

It is best if systems engineers use a proactive approach that predicts ahead, so that SLE can be accomplished before the system fails to meet its requirements and before the operations and support costs rise above acceptable limits.

Key factors that must be considered by the systems engineer during service life extension include:

- current life cycle costs of the system
- design life and expected remaining useful life of the system
- software maintenance
- configuration management

- warranty policy
- availability of parts, subsystems, and manufacturing sources
- availability of system documentation to support life extension

System design life is a major consideration for SLE. System design life parameters are established early on during the system design phase and include key assumptions involving safety limits and material life. Safety limits and the properties of material aging are critical to defining system life extension. Jackson emphasizes the importance of architecting for system resiliency in increasing system life. He also points out that a system can be architected to withstand internal and external disruptions (2007, 91-108). Systems that age through use, such as aircraft, bridges, and nuclear power plants, require periodic inspection to ascertain the degree of aging and fatigue. The results of inspections determine the need for actions to extend the product life (Elliot, Chen, and Swanekamp 1998, sec. 6.5).

Software maintenance is a critical aspect of SLE. The legacy system may include multiple computer resources that have been in operation for a period of many years and have essential functions that must not be disrupted during the upgrade or integration process. Typically, legacy systems include a computer resource or application software program that continues to be used because the cost of replacing or redesigning it is prohibitive. The Software Engineering Institute (SEI) has addressed the need for SLE of software products and services and provides useful guidance in the online library for Software Product Lines (SEI 2010, 1). (See Systems Engineering and Software Engineering for additional discussion of software engineering (SwE) factors to consider.)

Systems engineers have found that service life can be extended through the proper selection of materials. For example, transportation system elements such as highway bridges and rail systems are being designed for extended service life by using special epoxy-coated steel (Brown, Weyers, and Spinkel 2006, 13). Diminishing manufacturing sources and diminishing suppliers need to be addressed early in the SLE process. Livingston (2010) in *Diminishing Manufacturing Sources and Material Shortages (DMSMS) Management Practices* provides a method for addressing product life extension when the sources of supply are an issue. He addresses the product life cycle model and describes a variety of methods that can be applied during system design to minimize the impact of future component obsolescence issues.

During product and service life extension, it is often necessary to revisit and challenge the assumptions behind any previous life cycle cost analysis (and constituent analyses) to evaluate their continued validity and/or applicability early in the process.

## Application to Product Systems

Product life extension requires an analysis of the LCC associated with continued use of the existing product versus the cost of a replacement product. In the INCOSE Systems Engineering Handbook, Chapter 3.3 points out that the support stage includes service life extension (2012). Chapter 7 provides a framework to determine if a product's life should be extended (INCOSE 2012). In Systems Engineering and Analysis, Chapter 17 provides an LCC methodology and emphasizes the analysis of different alternatives before deciding on product life extension (Blanchard and Fabrycky 2011).

For military systems, service life extension is considered a subset of modification or modernization. Military systems use well-developed and detailed guidance for SLE programs (SLEP). The Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (OSD AT&L) provides an online reference for policies, procedures, planning guidance, and whitepapers for military product service life extension (DAU 2011). Continuous military system modernization is a process by which state-of-the-art technologies are inserted continuously into weapon systems to increase reliability, lower sustainment costs, and increase the war fighting capability of a military system to meet evolving customer requirements throughout an indefinite service life.

Aircraft service life can be extended by reducing the dynamic loads which lead to structural fatigue. The Boeing B-52 military aircraft and the Boeing 737 commercial aircraft are prime examples of system life extension. The B-52 was first fielded in 1955 and the Boeing 737 has been fielded since 1967; both aircraft are still in use today.

For nuclear reactors, system safety is the most important precondition for service life extension. System safety must be maintained while extending the service life (Paks 2010). Built-in tests, automated fault reporting and prognostics, analysis of failure modes, and the detection of early signs of wear and aging may be applied to predict the time when maintenance actions will be required to extend the service life of the product. (For additional discussion, see Safety Engineering.)

## Application to Service Systems

For systems that provide services to a larger consumer base, SLE involves continued delivery of the service without disrupting consumer use. This involves capital investment and financial planning, as well as a phased deployment of changes. Examples of these concepts can be seen in transportation systems, water treatment facilities, energy generation and delivery systems, and the health care industry. As new technologies are introduced, service delivery can be improved while reducing LCC's. Service systems must continuously assess delivery costs based upon the use of newer technologies.

Water handling systems provide a good example of a service system that undergoes life extension. Water handling systems have been in existence since early civilization. Since water handling systems are in use as long as a site is occupied (e.g., the Roman aqueducts) and upgrades are required as the population expands, such systems are a good example of "systems that live forever." For example, there are still U.S. water systems that use a few wooden pipes since there has been no reason to replace them. Water system life extension must deal with the issue of water quality and the capacity for future users (Mays 2000). Water quality requirements can be further understood from the AWWA Manuals of Water Supply Practices (AWWA 2010).

## Application to Enterprises

SLE of a large enterprise, such as the National Aeronautics and Space Administration's (NASA) national space transportation system, involves SLE on the elements of the enterprise, such as the space vehicle (shuttle), ground processing systems for launch operations and mission control, and space-based communication systems that support space vehicle tracking and status monitoring. SLE of an enterprise requires a holistic look across the entire enterprise. A balanced approach is required to address the cost of operating older system components versus the cost required to implement service life improvements.

Large enterprise systems, such as oil and natural gas reservoirs which span broad geographical areas, can use advanced technology to increase their service life. The economic extraction of oil and natural gas resources from previously established reservoirs can extend their system life. One such life extension method is to pump special liquids or gases into the reservoir to push the remaining oil or natural gas to the surface for extraction (Office of Natural Gas & Oil Technology 1999).

## Other Topics

Commercial product developers have been required to retain information for extended periods of time after the last operational product or unit leaves active service (for up to twenty years). Regulatory requirements should be considered when extending service life (INCOSE 2012).

## Practical Considerations

The cost associated with life extension is one of the main inputs in the decision to extend service life of a product or a service. The cost of SLE must be compared to the cost of developing and deploying a new system, as well as the functional utility the user will obtain from each of the alternatives. It is often the case that the funding required for SLE of large complex systems is spread over several fiscal planning cycles and is therefore subject to changes in attitude by the elected officials that appropriate the funding.

The challenges with upgrading a system while it is still being used, which is often the case with SLE, must be understood and planned to avoid serious disruptions to the services the systems provide.

Any SLE must also consider the obsolescence of the systems parts, (e.g., software, amount of system redesign that is required to eliminate the obsolete parts, etc.).

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# Capability Updates, Upgrades, and Modernization

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Modernization and upgrades involve changing the product or service to include new functions and interfaces, improve system performance, and/or improve system supportability. The logistic support of a product or service reaches a point in its life where system modernization is required to resolve supportability problems and to reduce operational costs. The *INCOSE Systems Engineering Handbook* (INCOSE 2012) and *Systems Engineering and Analysis* (Blanchard and Fabrycky 2005) both stress the importance of using life cycle costs (LCC) when determining if a product or service should be modernized. Systems can be modernized in the field or returned to a depot or factory for modification.

Design for system modernization and upgrade is an important part of the system engineering process and should be considered as part of the early requirements and design activities. Engineering change proposals (ECPs) are used to initiate updates and modifications to the original system. Product and service upgrades can include new technology insertion, removing old equipment, or adding new equipment. Form, fit, function, and interface (F3I) is an important principle for upgrades where backward compatibility is a requirement.

## Topic Overview

Product and service modernization involves the same systems engineering (SE) processes and principles that are employed during the upfront design, development, integration, and testing. The primary differences between product and service modernization are the various constraints imposed by the existing system architecture, design, and components. Modernizing a legacy system requires a detailed understanding of the product or service prior to making any changes. The constraints and the existence of design and test artifacts make it necessary for the systems engineers performing modernization to tailor the traditional development processes to fit the situation.

Product and service modernization occurs for many reasons, including the following:

1. The system or one of its subsystems is experiencing reduced performance, safety, or reliability.
2. A customer or other stakeholder desires a new capability for the system.
3. Some system components may be experiencing obsolescence, including the lack of spare parts.
4. New uses for the system require modification to add capabilities not built into the originally deployed system.

The first three reasons above are discussed in more detail in *Applying Systems Engineering to In-Service Systems: Supplementary Guidance to the INCOSE Systems Engineering Handbook*. (INCOSE UK Chapter 2010).

The UK chapter of the INCOSE developed *Applying Systems Engineering to In-Service Systems: Supplementary Guidance to the INCOSE Systems Engineering Handbook* (INCOSE UK Chapter 2010). This guidance document applies to any system for which multiple systems are produced. These systems may be buildings, transmission networks, aircraft, automobiles or military vehicles, trains, naval vessels, and mass transit systems.

Government and military products provide a comprehensive body of knowledge for system modernization and updates. Key references have been developed by the defense industry and can be particular to their needs.

Key factors and questions that must be considered by the systems engineer when making modifications and upgrades to a product or service include:

- type of system (space, air, ground, maritime, and safety critical)
- missions and scenarios of expected operational usage
- policy and legal requirements that are imposed by certain agencies or business markets
- product or service LCCs
- electromagnetic spectrum usage expected, including change in RF emissions
- system original equipment manufacturer (OEM) and key suppliers, and availability of parts and subsystems
- understanding and documenting the functions, interfaces, and performance requirements, including environmental testing and validation
- system integration challenges posed by the prevalence of system-of-systems solutions and corresponding interoperability issues between legacy, modified, and new systems
- amount of regression testing to be performed on the existing software

Key processes and procedures that should be considered during product and service modernization include:

- legislative policy adherence review and certification
- safety critical review
- engineering change management and configuration control
- analysis of alternatives
- warranty and product return process implementation
- availability of manufacturing and supplier sources and products

## Application to Product Systems

Product modernization involves understanding and managing a list of product deficiencies, prioritizing change requests, and handling customer issues associated with product usage. The *INCOSE Systems Engineering Handbook* emphasizes the use of Failure Modes, Effects, and Criticality Analysis (FMECA) to understand the root causes of product failures and provide the basis for making any product changes.

Product modernization uses the engineering change management principle of change control boards to review and implement product changes and improvements. The U.S. Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (OUSD AT&L) provides an online reference for product modernization and the use of an ECP to document planned product or service modernization efforts.

Product modernization and upgrades require the use of system documentation. A key part of the product change process is to change the supporting system documentation functions, interfaces, modes, performance requirements,

and limitations. Both INCOSE (2012) and Blanchard and Fabrycky (2005) stress the importance of understanding the intended usage of the product or service documented in the form of a concept of operations.

If system documentation is not available, reverse engineering is required to capture the proper “as is configuration” of the system and to gain understanding of system behavior prior to making any changes. Seacord, Plakosh, and Lewis’s *Modernizing Legacy Systems* (2003) explains the importance of documenting the existing architecture of a system, including documenting the software architecture prior to making any changes. Chapter 5 of Seacord, Plakosh, and Lewis provides a framework for understanding and documenting a legacy system (2003). The authors point out that the product or service software will undergo a transformation during modernization and upgrades. Chapter 5 introduces a horseshoe model that includes functional transformation, code transformation, and architecture transformation (Seacord, Plakosh, and Lewis 2005).

During system verification and validation (after product change), it is important to perform regression testing on the portions of the system that were not modified to confirm that upgrades did not impact the existing functions and behaviors of the system. The degree and amount of regression testing depends on the type of change made to the system and whether the upgrade includes any changes to those functions or interfaces involved with system safety. INCOSE (2012) recommends the use of a requirements verification traceability matrix to assist the systems engineer during regression testing.

It is important to consider changes to the system support environment. Change may require modification or additions to the system test equipment and other support elements such as packaging and transportation.

Some commercial products contain components and subsystems where modernization activities cannot be performed. An example of these types of commercial systems can be seen by looking at consumer electronics, such as radios and computer components. The purchase price of these commercial systems is low enough that upgrades are not economical and are considered cost prohibitive.

## Application to Service Systems

Service system modernization may require regulatory changes to allow the use of new technologies and new materials. Service system modernization requires backward compatibility to previous provided service capability during the period of change. Service system modernization also generally spans large geographical areas, requiring a phase-based change and implementation strategy. Transportation systems, such as highways, provide service to many different types of consumers and span large geographical areas. Modernization of transportation systems often requires reverse engineering prior to making changes to understand how traffic monitoring devices such as metering, cameras, and toll tags interface with the rest of the system. The California Department of Transportation’s (CDOT’s) Systems Engineering Guidebook for Intelligent Transportation Systems (ITS) (2005) adds reverse engineering to the process steps for system upgrade. In addition, this reference points out the need to maintain system integrity and defines integrity to include the accurate documentation of the system’s functional, performance, and physical requirements in the form of requirements, design, and support specifications.

Software modernization is discussed in the *Guide to the Software Engineering Body of Knowledge (SWEBOK)* (Bourque and Fairley, 2014).

## Application to Enterprises

Enterprise system modernization must consider the location of the modification and the conditions under which the work will be performed. The largest challenge is implementing the changes while the system remains operational. In these cases, disruption of ongoing operations is a serious risk. For some systems, the transition between the old and new configuration is particularly important and must be carefully planned.

Enterprise system modernization may require coordination of changes across international boundaries. Enterprise modifications normally occur at a lower level of the system hierarchy. Change in requirements at the system level would normally constitute a new system or a new model of a system.

The *INCOSE UK Chapter Supplementary Guidance* (2010) discusses the change to the architecture of the system. In cases where a component is added or changed, this change will constitute a change to the architecture. As an example, the global positioning system (GPS) is an enterprise system implemented by the United States military but used by both commercial and government consumers worldwide. Modernization may involve changes to only a certain segment of the enterprise, such as the ground user segment to reduce size, weight, and power. Modernization may only occur in certain geographical areas of operation. For example, the air transportation system consists of multiple countries and governing bodies dispersed over the entire world. Changes can occur locally or can require coordination and integration world-wide.

## Other Topics

### The Vee Model for Modifications

Figure 1 below illustrates how the standard Vee model would be applied to a system modification. This Vee model is for the entire system; the key point is that if a modification is being initiated at a lower level of the system hierarchy, the Vee model must be entered at that level as shown in the figure. The figure shows three entry points to the Vee model. As the *INCOSE UK Chapter Supplementary Guidance* (2010) points out, the Vee model may be entered multiple times during the life of the system.

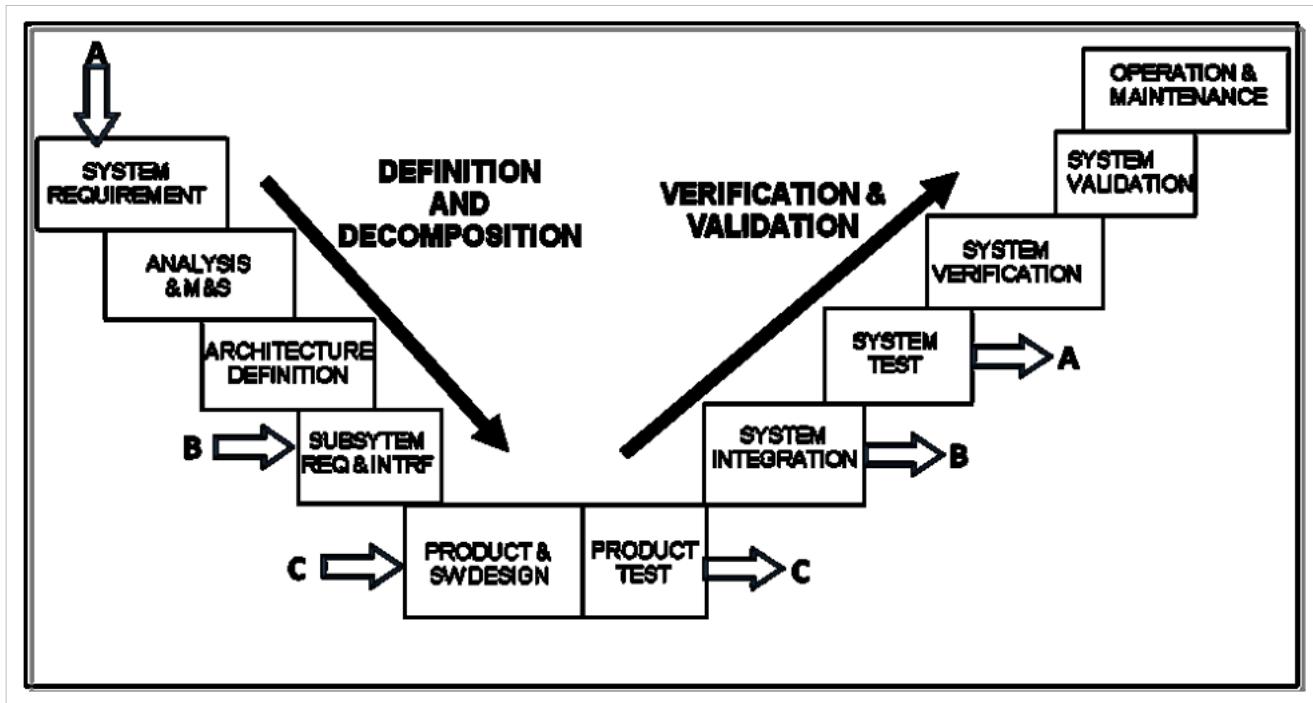


Figure 1. The Vee Model for Modifications at the Three Different Levels. (SEBoK Original)

A change to the system that does not change the system capabilities but does change the requirements and design of a subsystem that may be introduced into the process at point B on the Vee model (see Figure 1). Changes of this type

could provide a new subsystem, such as a computer system, that meets the system-level requirements but has differences from the original, which necessitates modifications to the lower-level requirements and design, such as changing disk memory to solid state memory. The process for implementing changes starting at this point has been described by Nguyen (2006). Modification introduced at points B or C (in Figure 1) necessitate flowing the requirements upward through their “parent” requirements to the system-level requirements.

There are many cases where the change to a system needs to be introduced at the lowest levels of the architectural hierarchy; here, the entry point to the process is at point C on the Vee model. These cases are typically related to obsolete parts caused by changes in technology or due to reliability issues with subsystems and parts chosen for the original design. A change at this level should be F3I compatible so that none of the higher-level requirements are affected. The systems engineer must ensure there is no impact at the higher levels; when this does occur, it must be immediately identified and worked out with the customer and the other stakeholders.

In “Life extension of Civil Infrastructural works - a systems engineering approach” van der Laan (2008) provides a maintenance process that interacts with the system engineering process, represented by the Vee model. His life extension (or modernization) process model includes reverse engineering to obtain the system definition necessary for the modernization process. Consideration of the total lifecycle of the system will result in the capture of all of the records necessary for later upgrade; however, for many reasons, the systems engineer will find that the necessary information has not been captured or maintained.

## Practical Considerations

As pointed out by the *INCOSE UK Chapter Supplementary Guidance* (2010) there may be multiple modifications to a system in its lifetime. Often these modifications occur concurrently. This situation requires special attention and there are two methods for managing it. The first is called the “block” method. This means that a group of systems are in the process of being modified simultaneously and will be deployed together as a group at a specific time. This method is meant to ensure that at the end state, all the modifications have been coordinated and integrated so there are no conflicts and no non-compliance issues with the system-level requirements. The second method is called continuous integration and is meant to occur concurrently with the block method. Information management systems provide an example of a commercial system where multiple changes can occur concurrently. The information management system hardware and network modernization will cause the system software to undergo changes. Software release management is used to coordinate the proper timing for the distribution of system software changes to end-users (Michigan Department of Information Technology, 2008).

## Application of Commercial-Off-the-Shelf Components

Currently, a prominent consideration is the use of commercial-off-the-shelf (COTS) components. The application of COTS subsystems, components, and technologies to system life management provides a combination of advantages and risks. The first advantage is the inherent technological advancements that come with COTS components. COTS components continue to evolve toward a higher degree of functional integration. They provide increased functionality, while shrinking in physical size. The other advantage to using COTS components is that they typically have a lower cost.

The risks associated with using COTS during system life management involve component obsolescence and changes to system interfaces. Commercial market forces drive some components to obsolescence within two years or less. Application of COTS requires careful consideration to form factor and interface (physical and electrical).

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# System Disposal and Retirement

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**Lead Author:** Brian Wells

Product or service disposal and retirement is an important part of system life management. At some point, any deployed system will become one of the following: uneconomical to maintain; obsolete; or unrepairable. A comprehensive systems engineering process includes an anticipated equipment phase-out period and takes disposal into account in the design and life cycle cost assessment. (See other knowledge areas in Part 3 for discussion on life cycle metrics and assessment.)

A public focus on sustaining a clean environment encourages contemporary systems engineering (SE) design to consider recycling, reuse, and responsible disposal techniques. (See Systems Engineering and Environmental Engineering for additional discussion.)

## Topic Overview

According to the INCOSE Systems Engineering Handbook (2012), "The purpose of the disposal process is to remove a system element from the operation environment with the intent of permanently terminating its use; and to deal with any hazardous or toxic materials or waste products in accordance with the applicable guidance, policy, regulation, and statutes." In addition to technological and economical factors, the system-of-interest (SoI) must be compatible, acceptable, and ultimately address the design of a system for the environment in terms of ecological, political, and social considerations.

Ecological considerations associated with system disposal or retirement are of prime importance. The most concerning problems associated with waste management include:

- Air Pollution and Control,
- Water Pollution and Control,
- Noise Pollution and Control,
- Radiation, and
- Solid Waste.

In the US, the Environmental Protection Agency (EPA) and the Occupational Safety and Health Administration (OSHA) govern disposal and retirement of commercial systems. Similar organizations perform this function in other countries. OSHA addresses hazardous materials under the 1910-119A List of Highly Hazardous Chemicals, Toxics, and Reactives (OSHA 2010). System disposal and retirement spans both commercial and government developed products and services. While both the commercial and government sectors have common goals, methods differ during the disposition of materials associated with military systems.

US DoD Directive 4160.21-M, *Defense Material Disposition Manual* (1997) outlines the requirements of the Federal Property Management Regulation (FPMR) and other laws and regulations as appropriate regarding the disposition of excess, surplus, and foreign excess personal property (FEPP). Military system disposal activities must be compliant with EPA and OSHA requirements.

## Application to Product Systems

Product system retirement may include system disposal activities or preservation activities (e.g., mothballing) if there is a chance the system may be called upon for use at a later time.

Systems Engineering and Analysis has several chapters that discuss the topics of design for goals such as “green engineering,” reliability, maintainability, logistics, supportability, producibility, disposability, and sustainability. Chapter 16 provides a succinct discussion of green engineering considerations and ecology-based manufacturing. Chapter 17 discusses life cycle costing and the inclusion of system disposal and retirement costs (Blanchard and Fabrycky 2011).

Some disposal of a system's components occurs during the system's operational life. This happens when the components fail and are replaced. As a result, the tasks and resources needed to remove them from the system need to be planned well before a demand for disposal exists.

Transportation of failed items, handling equipment, special training requirements for personnel, facilities, technical procedures, technical documentation updates, hazardous material (HAZMAT) remediation, all associated costs, and reclamation or salvage value for precious metals and recyclable components are important considerations during system planning. Phase-out and disposal planning addresses when disposal should take place, the economic feasibility of the disposal methods used, and what the effects on the inventory and support infrastructure, safety, environmental requirements, and impact to the environment will be (Blanchard 2010).

Disposal is the least efficient and least desirable alternative for the processing of waste material (Finlayson and Herdlick 2008).

The EPA collects information regarding the generation, management and final disposition of hazardous wastes regulated under the Resource Conservation and Recovery Act of 1976 (RCRA). EPA waste management regulations are codified at 40 C.F.R., parts 239-282. Regulations regarding management of hazardous wastes begin at 40 C.F.R. part 260. Most states have enacted laws and promulgated regulations that are at least as stringent as federal regulations.

Due to the extensive tracking of the life of hazardous waste, the overall process has become known as the "cradle-to-grave system". Stringent bookkeeping and reporting requirements have been levied on generators, transporters, and operators of treatment, storage, and disposal facilities that handle hazardous waste.

Unfortunately, disposability has a lower priority compared to other activities associated with product development. This is due to the fact that typically, the disposal process is viewed as an external activity to the entity that is in custody of the system at the time. Reasons behind this view include:

- There is no direct revenue associated with the disposal process and the majority of the cost associated with the disposal process is initially hidden.
- Typically, someone outside of SE performs the disposal activities. For example, neither a car manufacturer nor the car's first buyer may be concerned about a car's disposal since the car will usually be sold before disposal.

The European Union's Registration, Evaluation, Authorization, and Restriction of Chemicals (REACH) regulation requires manufacturers and importers of chemicals and products to register and disclose substances in products when specific thresholds and criteria are met (European Parliament 2007). The European Chemicals Agency (ECHA) manages REACH processes. Numerous substances will be added to the list of substances already restricted under European legislation; a new regulation emerged when the Restriction on Hazardous Substances (RoHS) in electrical and electronic equipment was adopted in 2003.

Requirements for substance use and availability are changing across the globe. Identifying the use of materials in the supply chain that may face restriction is an important part of system life management. System disposal and retirement requires upfront planning and the development of a disposal plan to manage the activities. An important consideration during system retirement is the proper planning required to update the facilities needed to support the system during retirement, as explained in the *California Department of Transportation Systems Engineering*

*Guidebook* (2005).

Disposal needs to account for environmental and personal risks associated with the decommissioning of a system and all hazardous materials involved. The decommissioning of a nuclear power plant is a prime example of hazardous material control and exemplifies the need for properly handling and transporting residual materials resulting from the retirement of certain systems.

The US Defense Logistics Agency (DLA) is the lead military agency responsible for providing guidance for worldwide reuse, recycling, and disposal of military products. A critical responsibility of the military services and defense agencies is demilitarization prior to disposal.

## Application to Service Systems

An important consideration during service system retirement or disposal is the proper continuation of services for the consumers of the system. As an existing service system is decommissioned, a plan should be adopted to bring new systems online that operate in parallel with the existing system so that service interruption is kept to a minimum. This parallel operation needs to be carefully scheduled and can occur over a significant period of time.

Examples of parallel operation include phasing in new Air Traffic Control (ATC) systems (FAA 2006), the migration from analog television to new digital television modulation (FCC 2009), the transition to Internet protocol version 6 (IPv6), maintaining water handling systems, and maintaining large commercial transportation systems, such as rail and shipping vessels.

The *Systems Engineering Guidebook for Intelligent Transportation Systems (ITS)* provides planning guidance for the retirement and replacement of large transportation systems. Chapter 4.7 identifies several factors which can shorten the useful life of a transportation system and lead to early retirement, such as the lack of proper documentation, the lack of effective configuration management processes, and the lack of an adequate operations and maintenance budget (Caltrans, and USDOT 2005).

## Application to Enterprises

The disposal and retirement of large enterprise systems requires a phased approach, with capital planning being implemented in stages. As in the case of service systems, an enterprise system's disposal and retirement require parallel operation of the replacement system along with the existing (older) system to prevent loss of functionality for the user.

## Other Topics

See the OSHA standard (1996) and EPA (2010) website for references that provide listings of hazardous materials. See the DLA Disposal Services website <sup>[1]</sup> for disposal services sites and additional information on hazardous materials.

## Practical Considerations

A prime objective of systems engineering is to design a product or service such that its components can be recycled after the system has been retired. The recycling process should not cause any detrimental effects to the environment.

One of the latest movements in the industry is green engineering. According to the EPA, green engineering is the design, commercialization, and use of processes and products that are technically and economically feasible while minimizing:

- the generation of pollutants at the source; and
- the risks to human health and the environment.

See Environmental Engineering for additional information.

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[1] <http://www.dtc.dla.mil>

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# Knowledge Area: Systems Engineering Standards

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## Systems Engineering Standards

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**Lead Authors:** Garry Roedler, Chuck Calvano

This knowledge area (KA) focuses on the standards and technical protocols that are relevant to systems engineering. It looks at the types of standards, some of the key standards, and the alignment efforts to achieve a consistent set of standards. It then compares some of the standards and surveys their applications. Note that many of these standards have been used as references throughout Part 3.

### Topics

Each part of the SEBoK is divided into KA's, which are groupings of information with a related theme. The KA's, in turn, are divided into topics. This KA contains the following topics:

- Relevant Standards
- Alignment and Comparison of the Standards
- Application of Systems Engineering Standards

See the article Matrix of Implementation Examples for a mapping of case studies and vignettes included in Part 7 to topics covered in Part 3.

### References

None.

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**SEBoK v. 2.7, released 31 October 2022**

# Relevant Standards

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There are a multitude of standards across a number of standards development organizations (SDOs) that are related to systems engineering and systems domains. This topic examines the types of standards and provides a summary of the relevant standards for systems engineering (SE).

## Standards Taxonomies and Types of Standards

There are many types of standards that focus on different aspects of SE. Thus, it can be helpful to have a taxonomy that classifies the types of standards and the objective of each type. Table 1 provides the types of the current standards and a description of the types. Refer to the Modeling Standards for a list of relevant system modeling standards.

**Table 1. Types of Systems Engineering Standards. (SEBoK Original)**

Standard Type	Description of Type
Concepts and Terminology	<ul style="list-style-type: none"><li>Defines the terminology and describes the concepts of a specific domain.</li></ul>
Process	<ul style="list-style-type: none"><li>Elaborates a specific process, giving normative requirements for the essential elements of the process. It may give guidance to the requirements.</li></ul>
Requirements	<ul style="list-style-type: none"><li>Describes the requirements for something.</li><li>Most often used for actions, activities, or practices and not objects (see specifications).</li></ul>
Procedure (Practice, Activity)	<ul style="list-style-type: none"><li>A specific procedure. Instructions or requirements on how to do something.</li><li>Sometimes a description of best practices.</li><li>Sometimes guidance and sometimes normative.</li></ul>
Guidance	<ul style="list-style-type: none"><li>Usually an interpretation and guidance of a published standard.</li></ul>
Management System	<ul style="list-style-type: none"><li>Requirements for management.</li></ul>
Specification	<ul style="list-style-type: none"><li>Specifies the form, attributes, or properties of a subject artifact.</li><li>Usually an object and usually normative.</li></ul>
Reference Model	<ul style="list-style-type: none"><li>A reference model or collection of specifications of which a reference model is composed.</li></ul>
Process Reference Model (PRM)	<ul style="list-style-type: none"><li>A collection of processes necessary and sufficient to achieve a nominated business outcome.</li></ul>
Process Assessment Model (PAM)	<ul style="list-style-type: none"><li>Requirements and guidance for assessing attributes of nominated processes or attributes of a nominated collection of processes.</li></ul>
Guide to Body of Knowledge (BOK)	<ul style="list-style-type: none"><li>Collection and description of the current body of knowledge in a domain, or a guide to the body of knowledge.</li></ul>

## Systems Engineering Related Standards

### Summary of Systems Engineering Related Standards

Table 2 contains a summary of SE related standards. This table does not include all SE related standards, as there are many focused on a specific domain, sector, or user group (e.g., it does not include standards from a specific government agenda). The table does include standards that are considered to be widely applicable to systems engineering and systems life cycle management system life cycle processes, such as ISO/IEC/IEEE 15288 (2015). Where available, there is a link to the official abstract for the standard.

**Table 2. Summary of Systems Engineering Standards. (SEBoK Original)**

Document ID	Document Title	Organization
ISO/IEC/IEEE 15288 <sup>[1]</sup>	Systems and Software Engineering - System Life Cycle Processes	ISO/IEC/IEEE
ISO/IEC/IEEE 24765 <sup>[2]</sup>	Systems and Software Engineering - Systems and Software Engineering Vocabulary	ISO/IEC/IEEE
ISO/IEC/IEEE 42010 <sup>[3]</sup>	Systems and Software Engineering - Architecture Description	ISO/IEC/IEEE
ISO/IEC 26702 <sup>[4]</sup> / IEEE 1220 <sup>[5]</sup>	Management of the Systems Engineering Process	ISO/IEC/IEEE
ISO/IEC/IEEE 29148 <sup>[6]</sup>	Systems and Software Engineering - Requirements Engineering	ISO/IEC/IEEE
ISO/IEC/IEEE 16085 <sup>[7]</sup>	Systems and Software Engineering - Risk Management	ISO/IEC/IEEE
ISO/IEC/IEEE 15939 <sup>[8]</sup>	Systems and Software Engineering - Measurement Process	ISO/IEC/IEEE
ISO/IEC/IEEE 16326 <sup>[9]</sup>	Systems and Software Engineering - Project Management	ISO/IEC/IEEE
prEN9277 <sup>[10]</sup>	Programme management - Guide for the management of Systems Engineering	CEN
EIA 632 <sup>[11]</sup>	Engineering of a System	TechAmerica
ISO 9001:2008 <sup>[12]</sup>	Quality Management Systems - Requirements	ISO TC 176
EIA-649-B <sup>[13]</sup>	National Consensus Standard for Configuration Management	TechAmerica
ISO/IEC/IEEE TR 24748-1 <sup>[14]</sup>	Systems and Software Engineering - Guide to Life Cycle Management	ISO/IEC/IEEE
ISO/IEC/IEEE TR 24748-2 <sup>[15]</sup>	Systems and Software Engineering - Guide To The Application of ISO/IEC 15288:2008	ISO/IEC/IEEE
ISO/IEC/IEEE CD 24748-4 <sup>[16]</sup>	Systems and Software Engineering - Application and management of the systems engineering process	ISO/IEC/IEEE
ISO/IEC DTR 16337 <sup>[17]</sup>	Systems Engineering Handbook (INCOSE)	ISO/IEC/INCOSE
ISO/IEC/IEEE 15289:2011 <sup>[18]</sup>	Systems and Software Engineering - Content of Life-Cycle Information Products (Documentation)	ISO/IEC/IEEE
ISO/IEC/IEEE 15026-1:2010 <sup>[19]</sup>	Systems and Software Engineering - System and Software Assurance – Part 1: Concepts And Vocabulary	ISO/IEC/IEEE
ISO/IEC/IEEE 15026-2:2011 <sup>[20]</sup>	Systems and Software Engineering - System and Software Assurance – Part 2: Assurance Case	ISO/IEC/IEEE
ISO/IEC/IEEE 15026-3:2011 <sup>[21]</sup>	Systems and Software Engineering - System and Software Assurance – Part 3: Integrity Levels	ISO/IEC/IEEE
ISO/IEC/IEEE 15026-4:2012 <sup>[22]</sup>	Systems and Software Engineering - System And Software Assurance – Part 4: Assurance in the Life Cycle	ISO/IEC/IEEE JTC 1
ISO/IEC TR 90005:2008 <sup>[23]</sup>	Guidelines for the Application of ISO 9001 to Systems Life Cycle Processes	ISO/IEC JTC 1
ISO 10303-233:2012 <sup>[24]</sup>	Systems Engineering Data Interchange Standard	ISO TC 184
ECSS-E-ST-10C <sup>[25]</sup>	Systems Engineering General Requirements	ECSS
ECSS-E-ST-10-02 <sup>[26]</sup>	Space Engineering - Verification {Note - standard is canceled}	ECSS
ECSS-E-ST-10-06 <sup>[27]</sup>	Space Engineering - Technical Requirements Specification	ECSS
ECSS-E-ST-10-24 <sup>[28]</sup>	Space Engineering - Interface Control	ECSS

ECSS-M-ST-10 [29]	Space Project Management - Project Planning and Implementation	ECSS
ECSS-M-ST-40 [30]	Space Project Management - Configuration and Information Management	ECSS
ECSS-M-00-03 [31]	Space Project Management - Risk Management	ECSS
ISO 31000:2009 [32]	Risk Management - Principles and Guidelines	ISO
ISO 31010:2009 [33]	Risk Management - Risk Assessment Techniques	ISO
ISO 19439:2006 [34]	Enterprise Integration - Framework for Enterprise Modeling	ISO
ISO 15704:2000 [35]	Requirements for Enterprise - Reference Architectures and Methodologies	ISO
EIA 748 [36]	Earned Value Management System	TechAmerica

## Breadth and Level of Detail of Key Systems Engineering Related Standards

Figure 1 shows the level of detail and the coverage of the life cycle for some key standards or groups of standards.

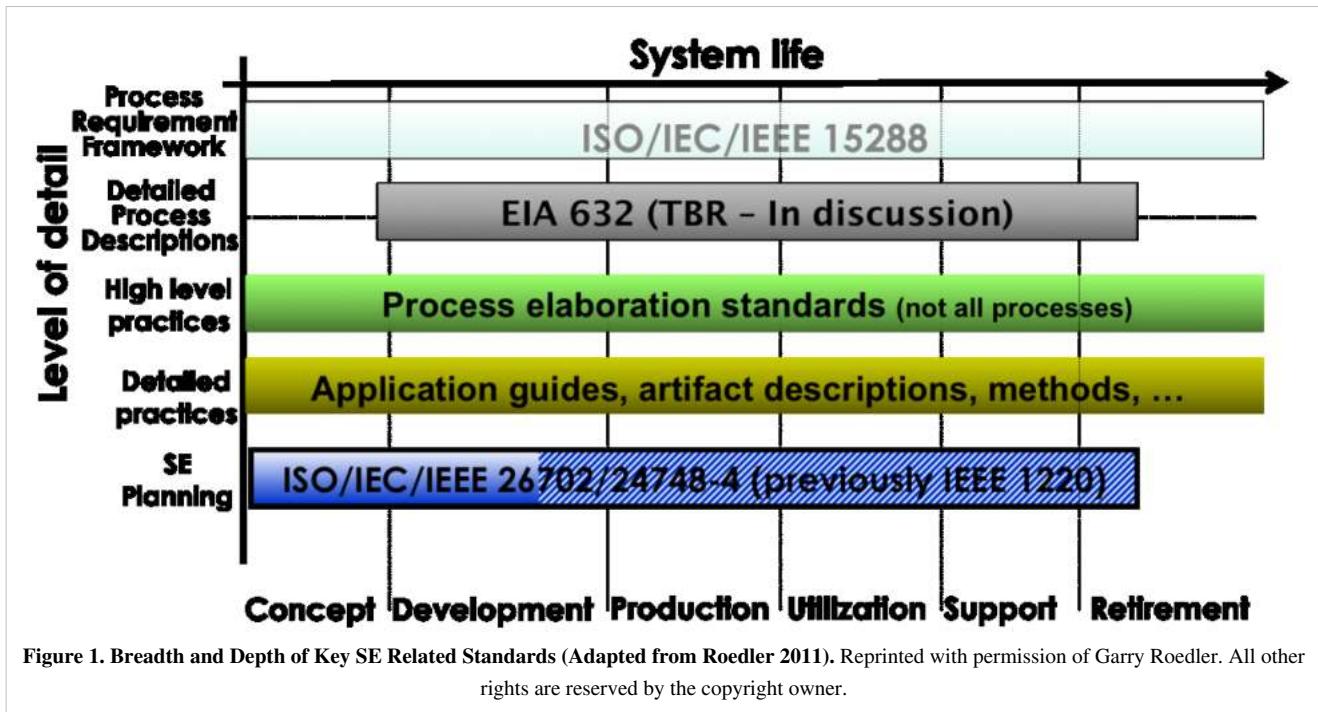


Figure 1. Breadth and Depth of Key SE Related Standards (Adapted from Roedler 2011). Reprinted with permission of Garry Roedler. All other rights are reserved by the copyright owner.

## Practical Considerations

Key pitfalls and good practices related to systems engineering standards are described in the next two sections.

### Pitfalls

Some of the key pitfalls encountered in the selection and use of SE standards are provided in Table 3.

**Table 3. Pitfalls in Using Systems Engineering Standards. (SEBoK Original)**

Pitfall Name	Pitfall Description
Turnkey Process Provision	<ul style="list-style-type: none"> <li>Expecting the standard to fully provide your SE processes without any elaboration or tailoring.</li> </ul>
No Need for Knowledge	<ul style="list-style-type: none"> <li>Expecting that the standard can be used without any functional or domain knowledge since the standard is the product of collective industry knowledge.</li> </ul>
No Process Integration	<ul style="list-style-type: none"> <li>Lack of integrating the standards requirements with the organization or project processes.</li> </ul>

## Good Practices

Some good practices as gathered from the references are provided in Table 4.

**Table 4. Good Practices in Using Systems Engineering Standards. (SEBoK Original)**

Good Practice Name	Good Practice Description
Tailor for Business Needs	<ul style="list-style-type: none"> <li>Tailor the standard within conformance requirements to best meet business needs.</li> </ul>
Integration into Project	<ul style="list-style-type: none"> <li>Requirements of the standard should be integrated into the project via processes or product/service requirements.</li> </ul>

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# Alignment and Comparison of Systems Engineering Standards

**Contributing Authors:** Daniel Robbins, Rick Adcock

Over the past decade, a number of the standards development organizations (SDOs) and other industry associations have been working collaboratively to align the systems engineering (SE) and software engineering (SwE) standards. The objective is to have a set of standards that can easily be used concurrently within both engineering disciplines, due to the frequent disparity between their use of common terminology and concepts.

## Problem

There has been a lack of integration both within and across SDOs. This has led to SE and SwE standards that use different terminology, process sets, process structures, levels of prescription, and audiences. These differences have been both between systems and software, and to some extent, within each. The problem has been exacerbated, in whole or part, by competing standards (Roedler 2010).

## Cause

The cause of this problem includes several factors, as follows (Roedler 2010):

- Culture – Concepts such as “we’re different,” “not invented here,” etc.
- Organizational – Structures with different teams, committees, etc.
- Competition – Many SDOs exist.
- Domains – A focused, narrow view often doesn’t look beyond the domain for commonality.

## Impact

The impact of this problem includes the following (Roedler 2010):

- Less effective or efficient processes that are not focused on leveraging commonalities. This causes redundancy and has resulted in incompatibilities and inconsistencies between the standards making it difficult to use them concurrently.
- Less effective solutions that are not focused on a common approach to solve a problem or need.
- Obstacles for communicating (at all levels), working in integrated teams, and leveraging resources.
- Stove-piping due to the incompatibilities and inconsistencies of and lack of leveraging commonalities.

## Objective of Alignment

The objective is to make the standards more usable together by achieving the following (Roedler 2010):

- common vocabulary
- single, integrated process set
- single process structure
- jointly planned level of prescription
- suitability across multiple audiences
- inclusion of considerations in a wide range of domains and applications

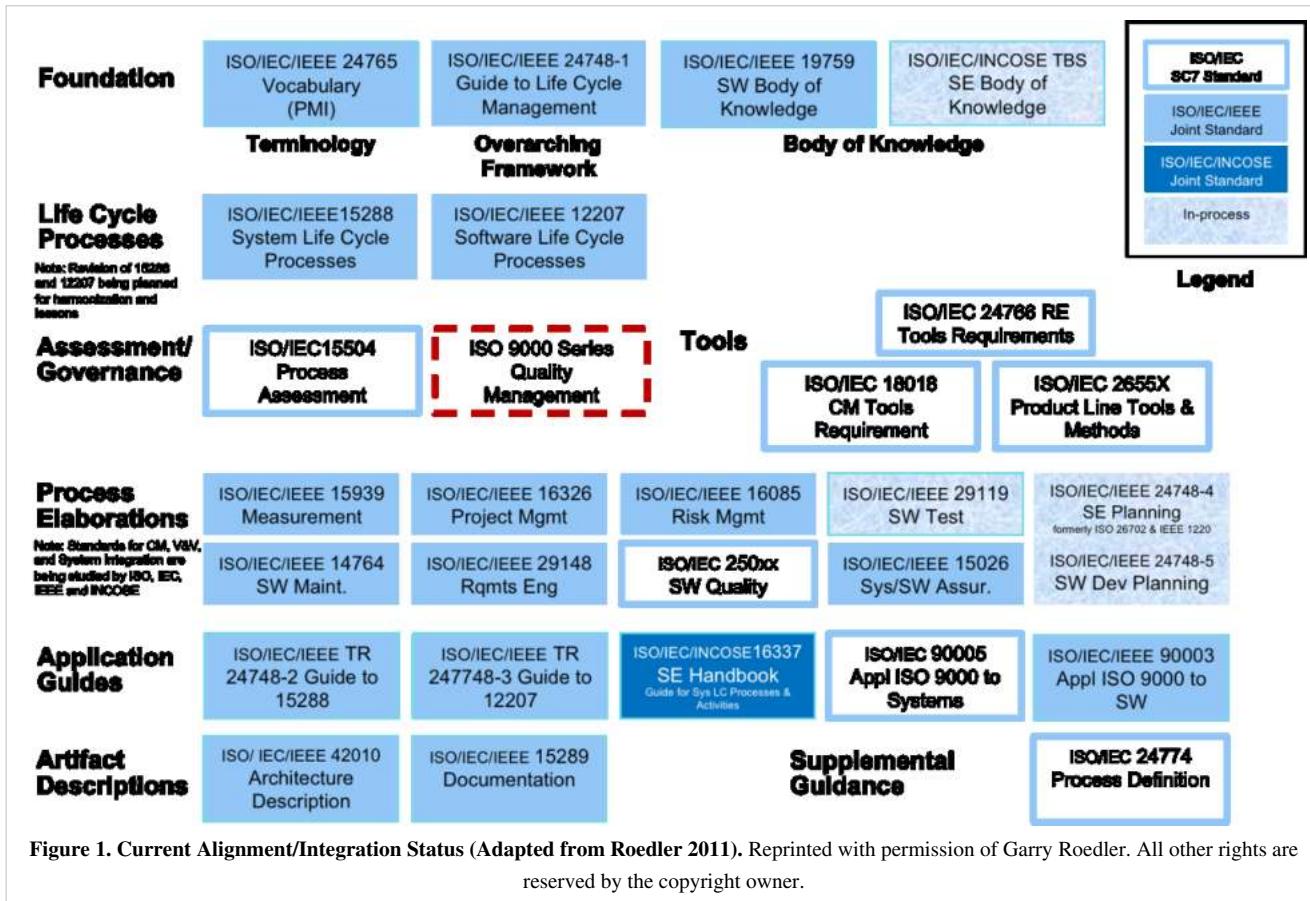
## Alignment of Systems Engineering Standards

### Approach

A collaborative effort has been in place for the past decade that includes ISO/IEC JTC1/SC7 (Information Technology, Systems and Software Engineering), the IEEE Computer Society, the International Council on Systems Engineering (INCOSE), and others. A collaborative process is being used to align the standards. This process is built around a foundational set of vocabulary, process definition conventions, and life cycle management concepts provided in ISO/IEC/IEEE 24765 (2009) (*Systems and software engineering vocabulary*), ISO/IEC TR 24774 (2010) (*Guidelines for process description*), and ISO/IEC/IEEE TR 24748-1 (2001) (*Guide to Life Cycle Management*), respectively. At the heart of the approach is the alignment of the ISO/IEC/IEEE 15288 (2015) (system life cycle processes) and ISO/IEC/IEEE 12207 (2008) (*Software life cycle processes*), which provide the top level process framework for life cycle management of systems and software. This enables concurrent and consistent use of the standards to support both systems and software life cycle management on a single project. The approach includes the development or revision of a set of lower level supporting standards and technical reports for elaboration of specific processes, description of practices for specific purposes (e.g., systems/software assurance), description of artifacts, and guidance for the application of the standards.

## Past Accomplishments

Significant progress has been made towards the alignment objectives for the groups discussed above. Figure 1 shows a May 2011 snapshot of the status of the standards that are being aligned. In addition, four of the standards shown as “in-process” are complete, but waiting for final publication. The set of standards span ISO/IEC, IEEE, INCOSE, and the Project Management Institute (PMI). This figure depicts the standards in one of many possible taxonomies.



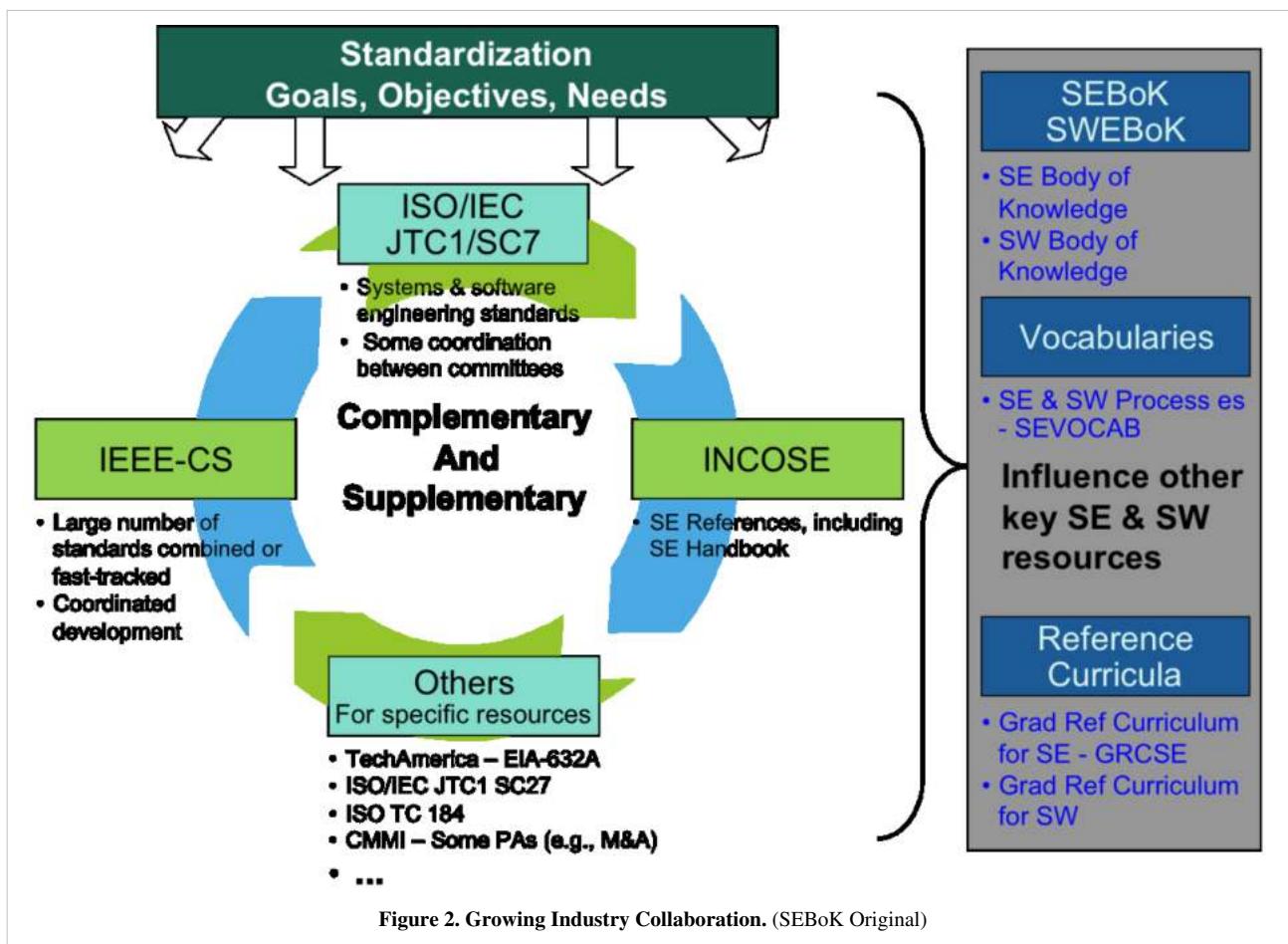
## Current Efforts

A Life Cycle Process Harmonization Advisory Group has been evaluating the current standards for systems and software engineering. The objective of the group is to provide a set of recommendations for further harmonization of the industry standards. Specifically, its charter includes:

- Performing an architectural analysis and recommend a framework for an integrated set of process standards in software and IT systems domains.
- Making recommendations regarding the future content, structure, and relationships of ISO/IEC 12207 (2008), ISO/IEC 15288 (2015) and their guides, as well as other related SC7 documents.

To support the development of the recommendations, process modeling of ISO/IEC/IEEE 15288 (2015) and ISO/IEC/IEEE 12207 (2008) has been performed and analyzed for consistency, completeness/gaps, and opportunities. In addition, analysis from other working groups, technical liaisons, and users of the standards has been collected. The output of this effort will be a harmonization strategy, set of recommendations for specific standards, and timing/sequencing recommendations (Roedler 2011).

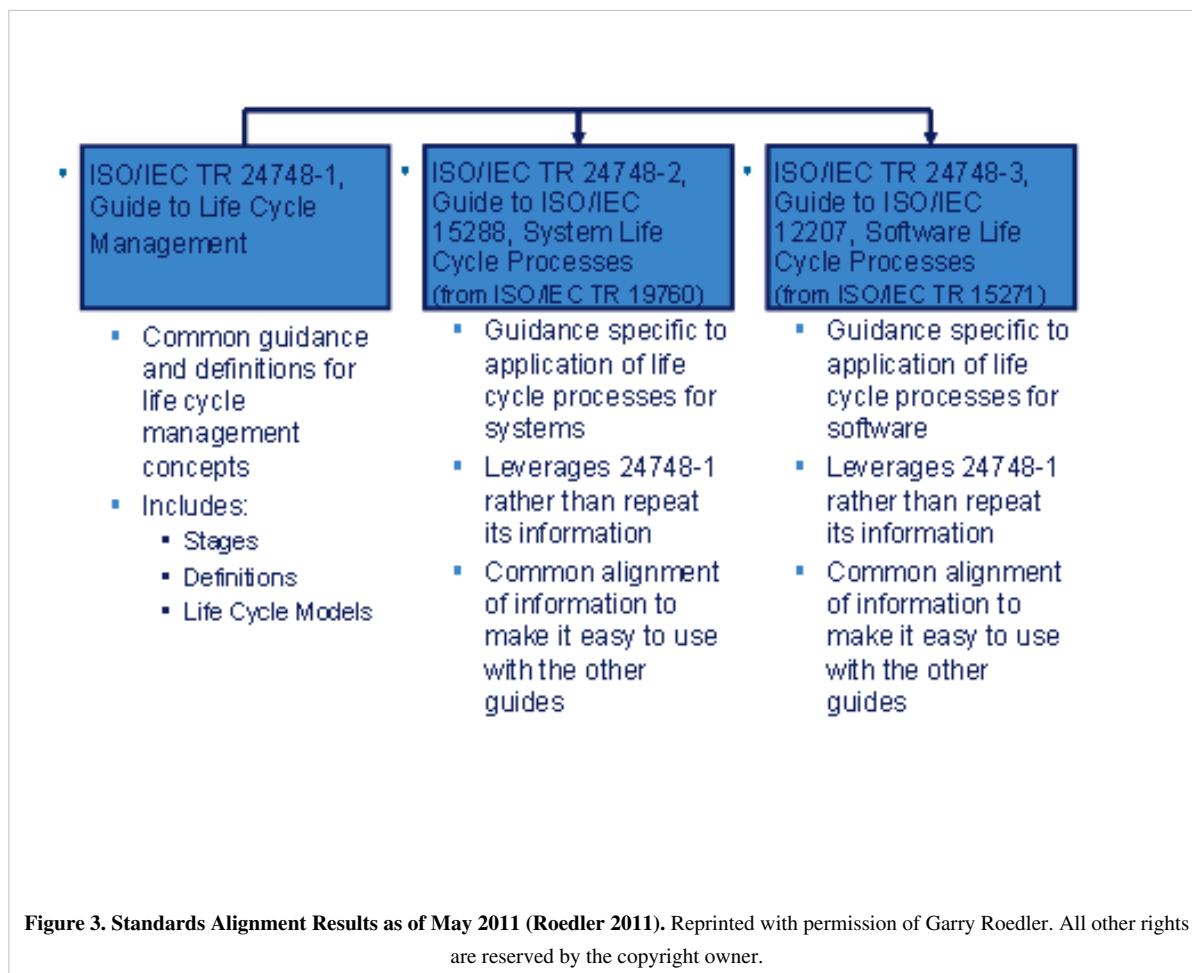
Additionally, as the industry continues to consider harmonization needs of these standards, the collaboration has grown to include the work of the organizations and projects shown in Figure 2. These organizations are working towards the goal of completing a complementary and supplementary set of systems engineering resources that use the same terminology, principles, concepts, practices, and processes and can be used concurrently without issues.



## Comparison of Systems Engineering Standards

See Figure 1 located in the Relevant Standards article to see the breadth and level of detail for many of the SE related standards. Since EIA 632 (2003) (*Engineering of a System*) is currently in revision, a comparison of ISO/IEC/IEEE 15288 (2015) (*System life cycle processes*) and EIA 632 will be deferred until the revision is complete.

Figure 3 shows a comparison of the 3-part technical reports that provide life cycle management guidance. Part 1 is focused on the provision of common terminology and concepts that apply to both systems and software. Part 2 provides guidance that directly supports ISO/IEC/IEEE 15288 (2015) that is specific to systems. Part 3 provides guidance that directly supports ISO/IEC/IEEE 12207 (2008) that is specific to software (Roedler 2010).



## Practical Considerations

Key pitfalls and good practices related to systems engineering standards are described in the Relevant Standards article.

There are also instances in which standards groups for program management, safety, or other disciplines create standards on topics addressed within systems engineering but use different terminology, culture, etc. One such example is risk management, which has been dealt with by many professional societies from a number of perspectives.

Systems engineers must also be aware of the standards that govern the specialty disciplines that support systems engineering, as discussed in Part 6.

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# Application of Systems Engineering Standards

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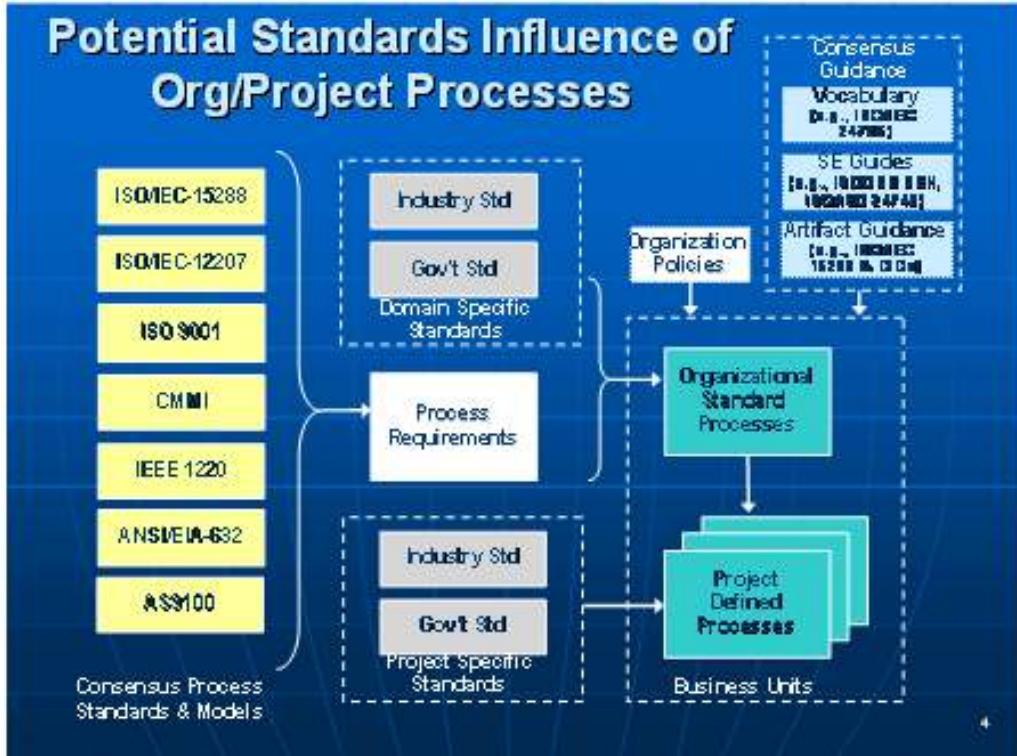
**Lead Authors:** Bud Lawson, Heidi Davidz, **Contributing Authors:** Garry Roedler

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There are many systems engineering standards that have evolved over time, as indicated in Relevant Standards. In particular, there are standards that can have an influence on organizations and their projects as indicated in Figure 1 (below). Some pitfalls and good practices in utilizing standards are also identified in the article on relevant standards. In this article, several additional factors related to the utilization of the standards in systems engineering (SE) are presented.

## Standards and their Utilization

A standard is an agreed upon, repeatable way of doing something. It is a published document that contains a technical specification or other precise criteria designed to be used consistently as a rule, guideline, or definition. Standards help to make life simpler and to increase the reliability and the effectiveness of many goods and services we use. Standards are created by bringing together the experience and expertise of all interested parties, such as the producers, sellers, buyers, users, and regulators of a particular material, product, process, or service.



**Figure 1. Potential Standards Influence of Organization and Project Processes (Adapted from Roedler 2011).** Reprinted with permission of Garry Roedler. All other rights are reserved by the copyright owner.

Standards are designed for voluntary use and do not impose any regulations. However, laws and regulations may address certain standards and may make compliance with them compulsory.

Further, organizations and their enterprises may choose to use standards as a means of providing uniformity in their operations and/or the products and services that they produce. The standard becomes a part of the corporate culture. In this regard, it is interesting to note that the ISO/IEC/15288 (2015) standard has provided such guidance and has provided a strong framework for systems engineers as well as systems engineering and business management, as forecast earlier by Arnold and Lawson (2004).

ISO directives<sup>[1]</sup> state the following:

*A standard does not in itself impose any obligation upon anyone to follow it. However, such an obligation may be imposed, for example, by legislation or by a contract. In order to be able to claim compliance with a standard, the user (of the standard) needs to be able to identify the requirements he is obliged to satisfy. The user needs also to be able to distinguish these requirements from other provisions where a certain freedom of choice is possible. Clear rules for the use of verbal forms (including modal auxiliaries) are therefore essential.*

## Requirements, Recommendations, and Permissions

In order to provide specificity, standards employ verb forms that convey requirements, recommendations, and permissions. For example, the ISO directives specify the following verb usages:

- The word *shall* indicates requirements strictly to be followed in order to conform to the standard and from which no deviation is permitted.
- The word *should* indicates that among several possibilities, one is recommended as particularly suitable without mentioning or excluding others, or that a certain course of action is preferred, but not necessarily required, or that (in the negative form) a certain possibility or course of action is deprecated but not prohibited.
- The word *may* indicates a course of action permissible within the limits of the standard.

The directive also indicates that standards should avoid the use of *will*, *must*, and other imperatives.

## Certification, Conformance, and Compliance

In the context of the management system standards (ISO 9001:2000 and ISO 9001:2008 or ISO 14001:2004), *certification* refers to the issuing of written assurance (the certificate) by an independent external body that it has audited a management system and verified that it conforms to the requirements specified in the standard.

Typically, other more specific systems engineering standards are not the subject of certification. They are self-imposed in order to improve uniformity of organization and enterprise operations or to improve the quality of products and services. Alternatively, they may be dictated by legislation, policy, or as part of a formal agreement between an acquirer and a supplier.

Conformance testing, or type testing, is testing to determine whether a product or system meets some specified standard that has been developed for efficiency or interoperability. To aid in this, many test procedures and test setups have been developed either by the standard's maintainers or by external organizations, such as the Underwriters Laboratory (UL), specifically for testing conformity to standards.

Conformance testing is often performed by external organizations, which is sometimes the standards body itself, to give greater guarantees of compliance. Products tested in such a manner are then advertised as being certified by that external organization as complying with the standard. Service providers, equipment manufacturers, and equipment suppliers rely on this data to ensure quality of service (QoS) through this conformance process.

## Tailoring of Standards

Since the SE standards provide guidelines, they are most often tailored to fit the needs of organizations and their enterprises in their operations and/or for the products and services that they provide, as well as to provide agreement in a contract. Tailoring is a process described in an annex to the ISO/IEC/IEEE 15288 (2015) standard.

The ISO/IEC/IEEE 15288 (2015) addresses the issues of conformance, compliance, and tailoring as follows:

- Full conformance, or a claim of full conformance, first declares the set of processes for which conformance is claimed. Full conformance is achieved by demonstrating that all of the requirements of the declared set of processes have been satisfied using the outcomes as evidence.
- Tailored conformance is an international standard that is used as a basis for establishing a set of processes that do not qualify for full conformance; the clauses of this international standard are selected or modified in accordance with the tailoring process.
- The tailored text for which tailored conformance is claimed is declared. Tailored conformance is achieved by demonstrating that requirements for the processes, as tailored, have been satisfied using the outcomes as evidence.
- When the standard is used to help develop an agreement between an acquirer and a supplier, clauses of the standard can be selected for incorporation in the agreement with or without modification. In this case, it is more appropriate for the acquirer and supplier to claim compliance with the agreement than conformance with the

standard.

- Any organization (e.g., a national organization, industrial association, or company) imposing the standard as a condition of trade should specify and make public the minimum set of required processes, activities, and tasks which constitute a supplier's conformance with the standard.

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None.

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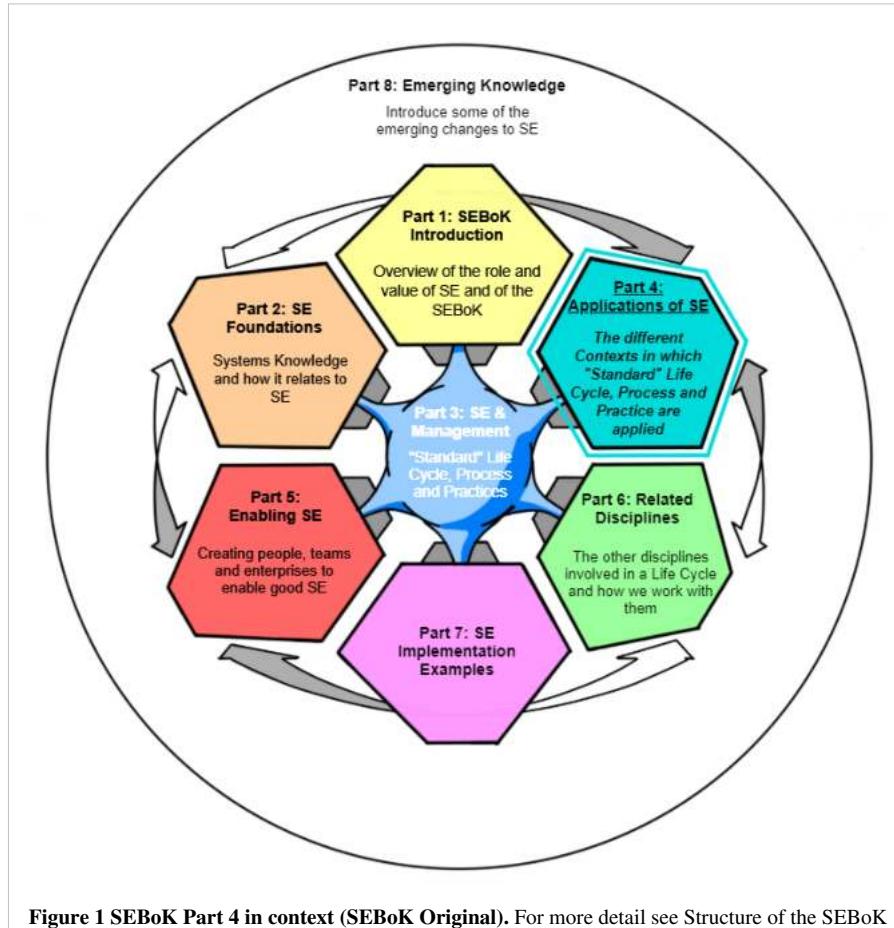
- [1] <http://www.iso.org/directives>
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# Part 4: Applications of Systems Engineering

## Applications of Systems Engineering

*Lead Author: Bud Lawson, Contributing Author: Rick Adcock*

Part 4 of the Guide to the SE Body of Knowledge (SEBoK) focuses on the application of systems engineering to the creation and life cycle management of various types of systems.



In particular, the part covers product systems, service systems, enterprise systems, and systems of systems (SoS). It also contains a knowledge area describing Healthcare SE as a domain extension of these general SE approaches. This is the first of a number of planned domain-based extensions.

## Knowledge Areas in Part 4

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. Part 4 contains the following KAs:

- Product Systems Engineering
- Service Systems Engineering
- Enterprise Systems Engineering
- Systems of Systems (SoS)
- Healthcare Systems Engineering

## Systems Engineering Application

The different ways in which each of these contexts shapes the application of the generic SE Life Cycle and Process knowledge in Part 3 are discussed in detail in the KA above.

It is important to note that none of the contexts above are intended to be wholly separate or mutually exclusive from the others. They should be seen as overlapping and related frameworks which provide a starting point for how generic SE might be used to fulfil real world needs. We might think of each as a model of how SE can work in the real world. Each gives advice on how to use generic SE life cycle and process knowledge against its own viewpoint. If necessary, each may also develop new or extended knowledge relevant to its context, which becomes part of the extended toolkit of SE. Like any set of models, each has its own simplifications, strengths and weaknesses. As a general principle we would always select the simplest model available which fits the purpose and use that. For a complex outcome the combination of a number of models may be needed.

The real-world application of SE is no different. In most real projects, combinations of Product, Service, Enterprise and SoS knowledge may be needed to achieve success. The extent to which these combinations are taken from pre-determined approaches vs. the need for systems engineers to create such combinations as part of the application of SE is a key question for how SE is used. The final part of this knowledge, how SE is applied in the real world, sits within the knowledge base of the various application domain. Some domains have a very detailed set of procedures, guidelines and standards relevant to that domain, while others take general SE and apply it as needed using the judgement of those involved. In general, all domains have parts of both domain specific guidelines and experienced people. The SEBoK was originally written to be domain independent, other than through the application examples in part 7. To complete the SEBoK, we intend to create a series of Domain Application KA. These will give an overview of how SE application maps to domain practice. They are aimed at both the general SE reader who wants to know more about a domain and those working within a domain.

The Healthcare SE KA contained in this version of the SEBoK is the first such domain specific extension of the SEBoK.

## References

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None

### Primary References

None.

### Additional References

None.

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# Knowledge Area: Product Systems Engineering

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## Product Systems Engineering

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**Lead Authors:** Bud Lawson, Ricardo Pineda

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Product systems engineering (PSE) is at the core of the new product development process (NPDP) that is needed to successfully develop and deploy products into different market segments. A market can be consumer based (e.g., private enterprises or general consumers) or it can be public (not-for-profit). Public markets address the strategic needs of a country or region, such as military, healthcare, educational, transportation, and energy needs. NPDP has two significantly overlapping and integrated activities:

1. **Systems engineering:** This includes concept generation, engineering design/development, and deployment
2. **Market development:** This includes market research, market analysis, product acceptance and market growth (diffusion), and rate of adoption

NPDP also includes manufacturability/producibility, logistics and distribution, product quality, product disposal, conformance to standards, stakeholder's value added, and meeting customer's expectations. The internal enterprise competence and capabilities such as customer support, sales & marketing, maintenance and repair, personnel training, etc., must also be taken into account.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Product Systems Engineering Background
- Product as a System Fundamentals
- Business Activities Related to Product Systems Engineering
- Product Systems Engineering Key Aspects
- Product Systems Engineering Special Activities

The Product Systems Engineering Background article discusses product types and the need for a product to be aligned with the business objectives of the enterprise. It also discusses the relationships between PSE, product development and technology development.

Various types of connections between product elements, and the concept of enabling systems are introduced in the Product as a System Fundamentals article. It also discusses product architecture, modeling, analysis, and integration with various specialty engineering areas.

Product launching and product offerings have close linkages to different business processes. The major linkages are to business development, marketing, product lines, quality management, project management, operations management, supply chain management, etc. These and other topics are described in the Business Activities Related to Product Systems Engineering article.

Products emerge when they are realized based upon a system definition. Realizing the system results in instances of the system that are either delivered as products to a specific acquirer (based upon an agreement) or are offered directly to buyers and users. Key Aspects of PSE are discussed in the Product Systems Engineering Key Aspects

article, which discusses aspects such as acquired vs. offered products, product lifecycle and adoption rates, integrated product teams (IPTs) and integrated product development teams (IPDTs), product architectures, requirements and standards, etc.

The last article, Product Systems Engineering Special Activities, covers some of the special activities carried out by PSE during the different stages from concept through product deployment.

## Key Terms and Concepts

### Product

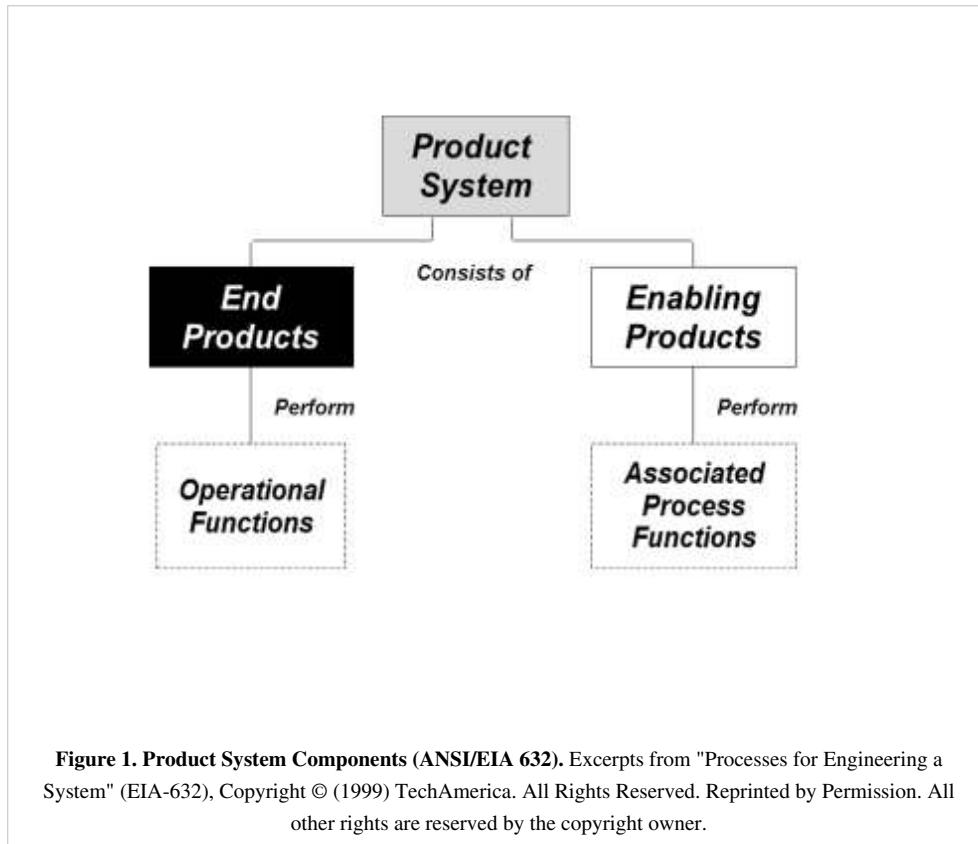
A product is an artifact that is created by some person or by some process such as a manufacturing process, software source code compilation and integration, building construction, creative writing process, or data processing.

In general, a business product is defined as a *thing produced by labor or effort*, or the *result of an act or a process*. It stems from the verb *produce*, from the Latin *prōdūce(re)* (*to*) *lead or bring forth*. Since 1575, the word *product* has referred to anything produced, and since 1695, the word *product* has referred to *a thing or things produced*.

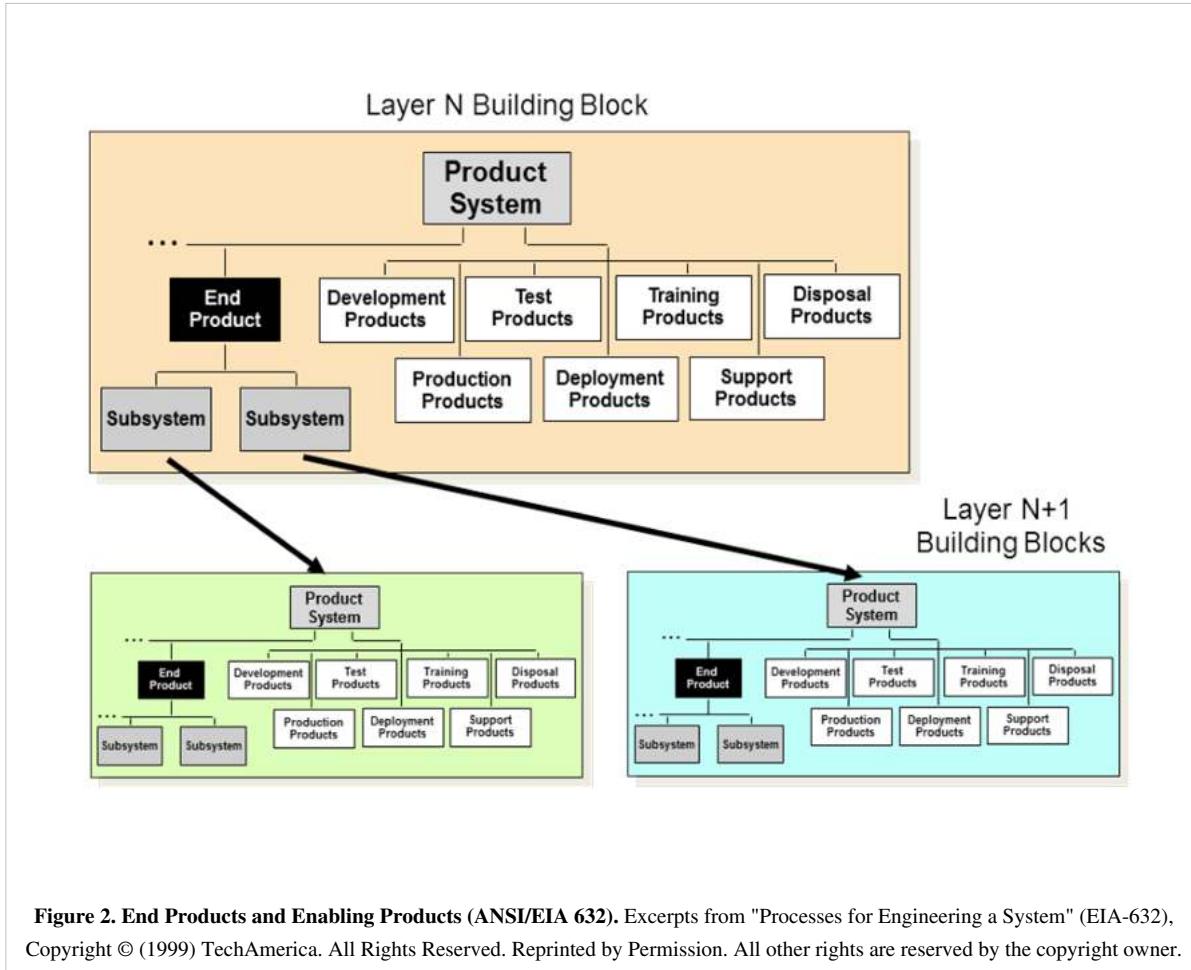
In economics and commerce, products belong to a broader category of *goods*. The economic meaning of the word *product* was first used by political economist Adam Smith. In marketing, a product is anything that can be offered to a market that might satisfy a want or a need. In retail industries, products are called merchandise. In manufacturing, products are purchased as raw materials and sold as finished goods. Commodities are usually raw materials, such as metals and agricultural products, but a commodity can also be anything widely available in the open market. In project management, products are the formal definitions of the project deliverables that make up or contribute to delivering the objectives of the project. In insurance, the policies are considered products offered for sale by the insurance company that created the contract.

## Product System

A product system is the combination of end products and the enabling products for those end products. This concept of a product system is illustrated in Figure 1. In the ANSI/EIA 632-2003 standard, just the term *system* is used, but the scope of the standard is clearly restricted to product systems.



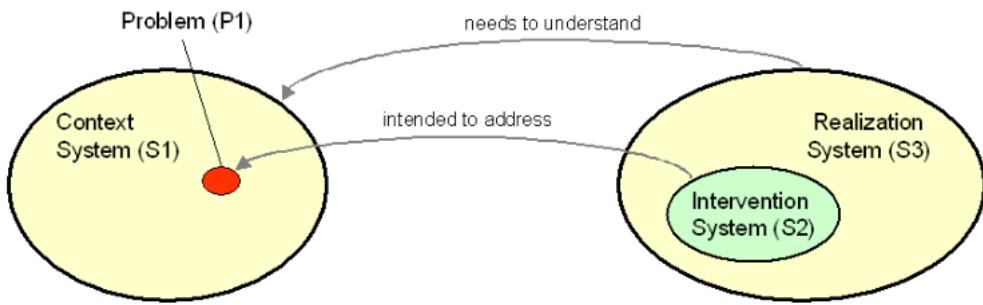
The end product can also be considered as a system with its own elements or subsystems, each of which has its own enabling products as illustrated in Figure 2. The product development process usually focuses only on the engineering of the end product. PSE is essential when the enabling products are by themselves complex or their relationship to the end product is complex. Otherwise, the use of a traditional product development process is sufficient.



**Figure 2. End Products and Enabling Products (ANSI/EIA 632).** Excerpts from "Processes for Engineering a System" (EIA-632), Copyright © (1999) TechAmerica. All Rights Reserved. Reprinted by Permission. All other rights are reserved by the copyright owner.

## Product Realization System

The product realization system is a related system that enables the *realization* of the product system. It consists of *all the resources to be applied in causing the Intervention System [i.e., the product system, in this case] to be fully conceived, developed, produced, tested, and deployed* (Martin 2004). Lawson (2010) refers to this as a respondent system in the system coupling diagram. The intervention system is the system that is to be realized (or conceived and brought into being) in order to address some perceived problem in the context as shown in Figure 3.



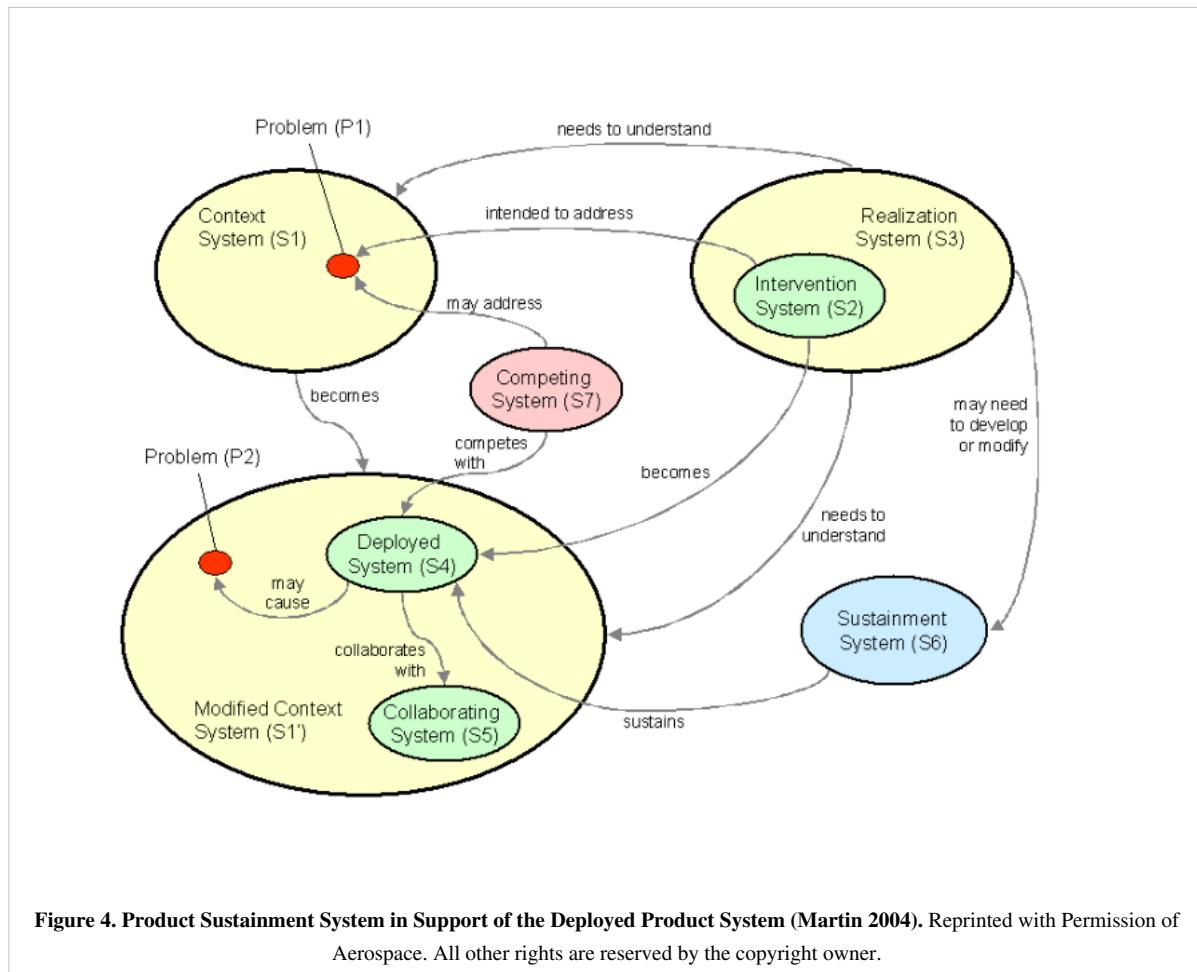
**Figure 3. Realization System That Creates the Intervention to Solve a Problem (Martin 2004).** Reprinted with Permission of Aerospace. All other rights are reserved by the copyright owner.

The realization system can be a service system (as described in knowledge area Service Systems Engineering) or an enterprise system (as described in the knowledge area Enterprise Systems Engineering). When the realization system is a service system, then the service could partially realize the system by just designing the product system without developing or creating it. This design service system can pass the design to a manufacturing service system that turns the design into a physical artifact. Usually an enterprise is established to orchestrate the disparate services into a cohesive whole that is efficiently and effectively performed to achieve the strategic goals of that enterprise.

The product realization system utilizes a product realization process as described in (Magrab et al 2010) or a product development process as described in (Wheelwright and Clark 1992).

### Product Sustainment System

When the realization system delivers the product system into its intended environment, the product often needs a set of services to keep that product operational. This other system, when needed, is called the product sustainment system. It consists of various enabling products and operational services. The sustainment system in relation to the realization system and the deployed product system is illustrated in Figure 4. Notice that the realization may need to develop or modify the sustainment for the particular intervention (product) system under development.



**Figure 4. Product Sustainment System in Support of the Deployed Product System (Martin 2004).** Reprinted with Permission of Aerospace. All other rights are reserved by the copyright owner.

## Product Systems Engineering, Service Systems Engineering and Enterprise Systems Engineering

PSE is in line with Traditional Systems Engineering (TSE) as captured in most textbooks on the subject, such as Wasson (2006), Sage and Rouse (2009), and Blanchard and Fabrycky (2011). However, they do not cover the full breadth of PSE since they tend to focus on hardware and software products only. Other kinds of products to be engineered include personnel, facilities, data, materials, processes, techniques, procedures, and media (Martin 1997; Lawson 2010). Further discussions on the distinctions between the various kinds of products is provided in the Product Systems Engineering Background article. Product system domains could be data-intensive (e.g. transportation system), facilities-intensive (e.g. chemical processing plant), hardware-intensive (e.g. defense systems), or technique-intensive (e.g. search and rescue system). Most product systems are a composite of several different kinds of products that must be fully integrated to realize the complete value-added potential for the different stakeholders.

When compared to Service Systems Engineering (SSE) and Enterprise Systems Engineering (ESE), PSE has some unique considerations:

- Often a product is part of a product line where both the product line and the products that make up that product line must be engineered simultaneously.
- Products are often composed of parts and sub-assemblies produced by several suppliers. This entails the need to work closely with the supply chain to ensure a successful product offering.
- Large complex products often require a lengthy and complicated series of steps for assembly, integration and test. During integration, many of the key assumptions made during the initial product design could be challenged.

- Products will usually require certification as to their safety or other factors like energy conservation and environmental compatibility. Electronic products often require certification to ensure electromagnetic compatibility and limited electronic emissions into the radio frequency spectrum. Transportation products require certification for safe operations.
- Products often have a complicated distribution network since they are not always developed where the end user may require it. There could be depots, warehouses, multi-modal transportation, wholesalers, dealers, and retail stores as part of this distribution network. This introduces challenges in delivery, maintenance and support of the product.
- Products must be engineered along with the realization system and the sustainment system. Sometimes it is necessary to make tradeoffs between the features and functions of the product system, the realization system and the sustainment system.

These considerations and others will be addressed in the articles under this knowledge area. One of the responsibilities of ESE is to manage these various considerations across multiple product lines across the enterprise while maximizing profits and customer satisfaction. SSE is often dependent on the products resulting from the PSE. A service will often be based on a product infrastructure that includes elements like data processing, hardware, software, data storage, data entry devices, display devices, service delivery facilities and techniques, service desk technicians, maintenance personnel, service offering catalogs and printed materials. Each of these products in the service infrastructure may need to be separately engineered using its own PSE lifecycle.

## **Creating Value**

An enterprise that creates products must also create value that exceeds the cost of the product in the eyes of the customer. This applies to both for-profit and not-for-profit private and public enterprises. The creation and delivery of products may be the result of an acquisition agreement or an offering directly to buyers or users. To remain competitive, enterprises also need to understand the effects of the global economy, trends in industry, technology development needs, effects of new technology breakthroughs, market segments creation and their expectations, and most importantly, ever evolving customer expectations.

Ring (1998) defines a system value cycle with three levels that a systems approach must consider to deliver real world benefit:

1. stakeholder value
2. customer need
3. system solution

Value will be fully realized only when it is considered within the context of time, cost, and other resources appropriate to key stakeholders.

## **Aligning product characteristics with associated operational activities**

The user of a product views the product as an asset that can be utilized in one's own systems of interest (Lawson 2010). Thus, in supplying the product, the expected form of operation becomes a driving factor in determining the characteristics of the product. In several contexts, in particular for military related products, the desired operational activities are termed concept of operations (ConOps) and in the case of commercial enterprises the intended use of the system is described through some form of *Market Service Description* of the product. The intended use of the product is market/customer driven and so the product characteristics must be aligned with the operational intent.

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## Architectures as basis for value assessment

Architectures can be used by enterprises to shift product development from individual products to an underlying product line architecture that incorporates the flexibility required by the enterprise to rapidly tailor new technologies and features to specific customer requirements (Phillips 2001). In determining the architecture of the product system, various alternative designs may arise. Each of the architecture alternatives is to be evaluated with respect to its value contribution to end users and other stakeholders.

## Role of evaluation criteria in selection between product alternatives

In assessing the product system value, one must consider the measures that are to be used to determine the *goodness* of the product alternatives (alternative architectures and technologies) with respect to producibility, quality, efficiency, performance, cost, schedule and most importantly, the coverage provided in meeting the customer's requirement or market opportunity.

## Role of tradeoffs in maximizing value

The evaluation of alternatives must include the tradeoffs between conflicting properties. For example, in striving for superior quality and efficiency, tradeoffs must be made with respect to schedule and cost. See article on Measurement in Part 3. Tradeoffs are made during different stages of the development process: at the product or system level, at the subsystem and architecture definition level, and at the technology level (Blanchard and Fabrycky 2011).

There are a variety of methods for performing tradeoff analysis such as: utility theory, analytic hierarchical process, the Pugh selection method, multi-objective decision, multi-attribute utility analysis, and multi-variate analysis. For software, the Software Engineering Institute (SEI) provides 'The Architecture Tradeoff Analysis Method (ATAM)' (Kazman et al., 2000) for evaluating software architectures relative to quality attribute goals. ATAM evaluations expose architectural risks that potentially inhibit the achievement of an organization's business goals. The ATAM not only reveals how well an architecture satisfies particular quality goals, but also provides insight into how those quality goals interact with each other and how they trade off against each other.

## Expanding role of software in creation of product value

Software has an increasing role in providing the desired functionality in many products. The embedding of software in many types of products (such as transportation vehicles, home appliance, and production equipment) accounts for an ever-increasing portion of the product functionality. The current trend is the development of a network of systems that incorporate sensing and activating functions. The use of various software products in providing service is described in the Service Systems Engineering knowledge area.

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None.

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# Product Systems Engineering Background

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## Product Types

A system is by definition composed of elements that interact. The system itself is usually an element of a larger system, and each element can often also be viewed as a system on its own.

A system element consists of one or more products. Products need to be produced or acquired. Some can be acquired or procured as-is, without need for fabrication or modification. Others need to be engineered, and in some cases, systems-engineered (Martin 1997). Basic product types are depicted in the figure below.

Types of products are not limited to hardware or software. Many other types of products perform functions necessary to meet stakeholder needs. Some are only relevant to certain industries or domains, such as structures for civil engineering, or ships for shipping or the naval domain. Systems engineers must remember not to allocate the required behavior for a system to hardware and software elements alone.

While we may associate the idea of a product with concrete objects like computer chip, phones, aircraft, or even command, control and communications centers, an organization or a process can also be a product. Sometimes a product is not complex enough to justify performing Product SE, and only needs product design engineering. Enterprise SE and Service SE should determine whether a product needs Product SE.

## Product Taxonomy

For any system being developed, the systems engineers must decide what are the right elements to be included. This is not self-evident, because basic product types are not necessarily mutually exclusive. For example, some would consider that facilities contain hardware and people. Others would consider facilities to be separate from hardware and people. Some would include material as part of hardware, while others would not. Creating a taxonomy of product types can help the systems engineer think clearly and thoroughly about what components to include.

## Business Objectives and Products

When it develops and launches a new product, an enterprise must align that product with its business goals, internal capabilities, and competition. It must align the end product with the systems expected to realize and sustain it.

The new product concept must be based on analysis that, besides product potential, also explores the ability of the enterprise to exploit that potential, including factors like organizational culture, focus, goals, and processes. Present and future markets and technology must be analyzed. So must several dimensions of competition: competitors' offerings and their plans, for entry into new markets and for product expansion including new functionality, features, or services. These, and the ability of the enterprise to react to them, must also be monitored for the enterprise to remain competitive in the long term.

Accelerating economic globalization since the 1970s has forced enterprises to respond to global needs, not just local or regional ones. Enterprises in the resulting hyper-competitive business environment must analyze their financial goals, their market positions, and the business segments in which they participate, in order to understand what products are required.

This is true for completely new products , product enhancements, penetration of new markets, and growth within existing markets.

## Relationship between Product Systems Engineering and Product Development

Product development is the process of bringing a new product to market. Product SE (PSE) considers the complete product system—that is the product in the context of all its enabling elements. PSE takes a full life cycle perspective, “from cradle to grave” or “dust to dust.”

Technology-based product development may be thought of as coming from two sources. One, where innovation enhances existing technology, is aimed at relatively short-term market windows. The other involves long-term research to identify the technology developments required to realize the concept. These may be technologies whose availability is not foreseen in the near future, meaning that substantial investment and long lead times may be required before the proof of concept, initial operational capabilities (IOCs) or prototyping stages are reached, let alone the commitment to realize the actual product offering. Some authors claim that the systems engineering process and the new product development (NPD) process for this second source are one and the same.

It is from the second source that strategic initiatives (long-term applied research) realize new products in areas like military aircraft or bioengineering. When research resolves fundamental questions on matters of science or national/regional interest technology, breakthroughs occur.

This article concentrates on the first source of technology-based product development, that is, the one driven by ever-evolving market needs to enhance existing technology.

## Product Development Patterns

When existing or near-future technology innovations are exploited to generate new product ideas, product development may follow any one of following scenarios (Phillips 2001):

- Product development may use well-established technologies to help the enterprise improve the efficiency of current operations.
- Product development may use well-established technologies to help the enterprise into new kinds of operations.
- Product development may use leading edge technologies to improve the efficiency of current operations.
- Product development may use leading edge technologies to help the enterprise into new kinds of operations.

The product itself may simply be a modification of an existing product or its presentation, it may possess new or different characteristics that offer additional benefits to the customer, and/or it may be entirely new and satisfy a newly-defined customer want or market niche (<http://www.businessdictionary.com/definition/product-development.html><sup>[1]</sup>).

Existing realization or sustainment systems may not be adequate to develop a given product. For example, it might be necessary to change development practices, use different testing methods or facilities, or upgrade manufacturing equipment and procedures. There might need to be improved customer support procedures and newly trained support personnel, upgraded maintenance facilities and tools, or modified spare parts delivery techniques.

## Market Pressures

The product development process must be dynamic, adaptive, and competitive on cost, time-to-market, performance, and quality on a global scale. This is because in the global economy continuous technology innovation and constantly evolving markets and customer needs demand a rapid response.

Products themselves are often multidisciplinary in nature; product development must have close participation, not only from the different specialty engineering fields (mechanical, electrical, industrial, materials, and so on), but also from the finance field to analyze the total cost of development (including production), marketing and sales to understand market behavior and acceptance, manufacturers and distributors, and legal and public relations experts.

All this has mandated enterprises to assess how they create their products and services. The result has been an effort to streamline the development process. One example of this is seen by the deployment of integrated product teams (IPTs) sometimes known as integrated product development teams (IPDTs).

## Product Systems Engineering

Product systems engineering strives for the efficient use of company resources in order to achieve business objectives and deliver a quality product. Product systems engineering activities range from concept to analysis to design and determine how conceptual and physical factors can be altered to manufacture the most cost-effective, environmentally friendly product that satisfies customer requirements. Engineering the product system requires an interdisciplinary approach that includes an analysis of the product and its related elements such as manufacturing, maintenance, support, logistics, phase-out, and disposal; these are all activities which belong to either the realization system or the sustainment system. The proper application of systems engineering and analysis ensures the timely and balanced use of human, financial, and technological assets, and technology investments to minimize problems, harmonize overall results, and maximize customer satisfaction and company profits.

Products are as diverse as the customers that acquire them and there are no universally accepted methods, processes, and technologies (MPTs) for end-to-end analysis of products and their supporting subsystems. Every product needs to adapt existing MPTs based on prior experiences and best practices, such as Toyota (Hitchens 2007), MITRE (Trudeau 2010), and NASA (NASA SELDP 2011). Product systems engineering helps develop the end-to-end analysis of products and sub-systems by performing the following tasks:

- determining the overall scope of needs for the product system;
- defining product and system requirements;
- considering all interactions between the different elements of the product system;
- organizing and integrating engineering disciplines; and
- establishing a disciplined approach that includes review, evaluation and feedback, and ensures orderly and efficient progress.

Constantly evolving needs and requirements, along with constant technology innovations, may render a committed product development obsolete even before deployment. This has led to debate among systems engineering professionals on the need for the systems engineering process to become more rapidly adaptable. Platform-based solutions to resolve some of these challenges (infrastructure as a service, platform as a service, and software as a service) are being studied and proposed (MITRE 2010; Boehm 2010).

## Integrated Product Development Process

The integrated product development process (IPDP) starts with understanding market needs and developing a strategy that creates products that satisfy or exceed customer expectations, respond to evolving customer demands, adapt to changing business environments, and incorporate systems thinking to generate novel ideas and co-create value with extensive stakeholders' participation. IPDP is a continuously evolving process that strives to realize products whose cost, performance, features, and time-to-market help increase company profitability and market share. Magrab, et al. (2010) discussed the IPDP in terms of four different stages; Figure 1 provides a snapshot of an IPDP and the main tasks carried out at each stage.

### Stage I: Product Identification

During the product identification stage, the enterprise aims to identify an enterprise-wide strategy that flows down to individual product strategies resulting in a good business investment for the company. During this stage addressable markets for the product are identified in addition to geographical coverage of the product. The developments through this stage result in demonstration of strong customer need, determination of potential markets and geographic scope, the fitness of enterprise core capabilities to the product strategy, business profitability (return on investment, profit & loss), etc.

During this stage an integrated product team (IPT) first develops the IPDP for the project, usually by tailoring a corporate IPDP standard. The IPT assesses required technology innovation, feasibility of existing technologies, estimated time and cost of technology development, and the risks associated with markets, finances and technologies

risk, etc. This stage also takes into account inputs from the continuous improvement (CI) process to develop new features and enhancements in existing products to address new market needs or customer demands.

### **Stage II: Concept Development**

The main goal of the Concept Development stage is to generate feasible concepts for the potential product and develop MPTs that will satisfy the product's performance goals of economic viability and customer satisfaction. These concept designs must ensure that the company's core competencies can satisfy the requirements to produce the products while taking into account the market viability, manufacturability, and technical feasibility through an extensive analysis of alternative process.

During this stage SE supports the IPT in identifying different operational scenarios and modes of operation, functional requirements of the products, technology and performance risks, and the main components of the products and required interfaces among them, etc. This stage involves a highly interactive and iterative exchange of concepts among several IPTs and, depending on complexity of the products, a Systems Engineering Integration Team may be required to ensure analysis of all the possible solutions. During this stage inputs from the CI process helps analyze new technologies/processes including upgrades to existing technologies and create products that result in enhanced customer experiences.

### **Stage III: Design and Manufacturing**

During the design and manufacturing stage the actual product is realized and manufactured. This stage starts with creating engineering drawings for the product, product configuration items specs, "design for X" (DFX), manufacturing design plans, production plans and schedules, test production run to ensure that the product meets customer requirements and quality criteria, and a plan for full production, logistics and distribution.

During this stage the product design & manufacturing engineering team works closely with operations managers to create MPTs to manage the technical effort for the product from an end-to-end perspective. Some of the SE activities during this stage include product integration, verification and validation plans; modeling, simulation, test & evaluation of the product system under critical scenarios; launch readiness plans including end-user test plans, operational readiness, etc. During this stage MPTs are developed and documented for proper handling of defective parts, processes, or functionalities. The CI process inputs include product and process performance enhancements and sustained life-cycle operations support.

### **Stage IV: Product Launch**

During the product launch stage, the product is delivered to its potential markets. During production and deployment, MPTs are developed to ensure that the product meets its quality goals, satisfies customer requirements, and realizes the business plan goals. This requires provisions for customer care, logistics, maintenance, training etc., and a CI process to monitor product and product system technical performance and product quality. The CI process is realized through extensive data collection using customer satisfaction surveys and remotely or manually observing, recording, and analyzing process performance metrics, technical performance measure, quality metrics, etc.

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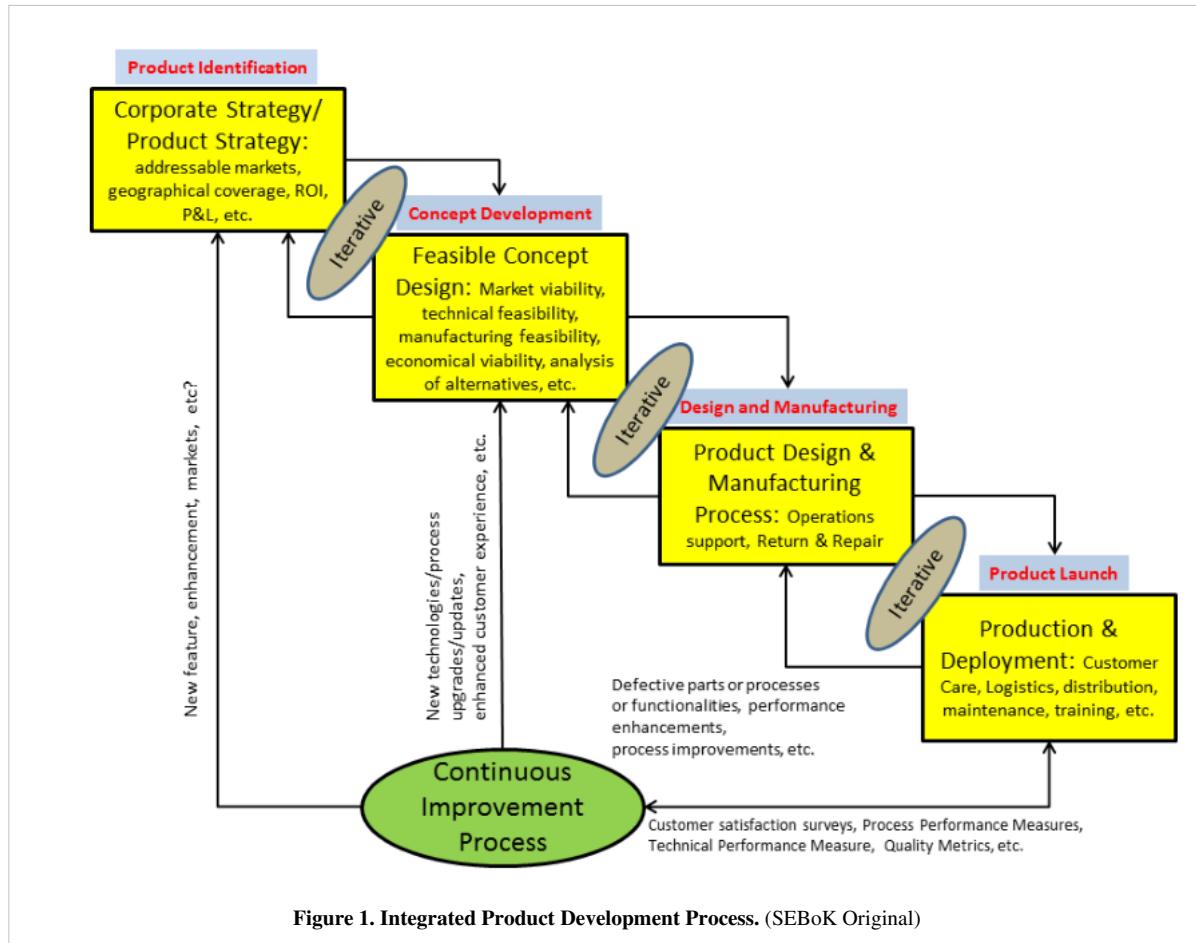


Figure 1. Integrated Product Development Process. (SEBoK Original)

## Relationship between Product Systems Engineering and Technology Development

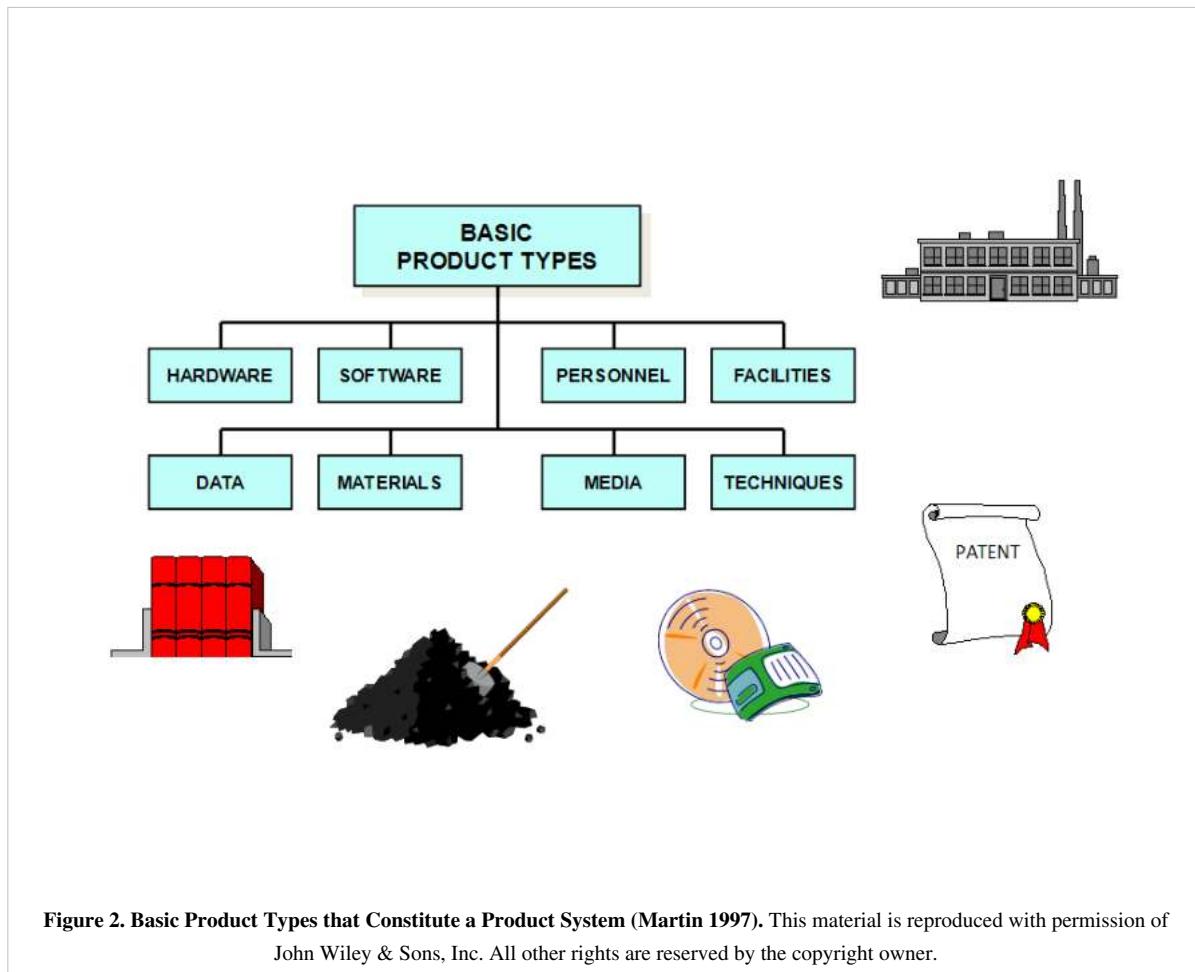
As technological advancement accelerates, product life cycles become shorter, especially for high technology products. As a result, enterprises risk having outdated or obsolete products that have lost pace with markets trends, technology trends, or customer expectations.

Product systems engineering should bring awareness of technology changes and trends to the analysis of new product ideas or innovations. This affects the time and cost inputs into the technical feasibility analysis of the product. The result should include a road map of required technology developments, which is then used to create the overall road map for the new product offering.

In these cases, new product ideas impose requirements on new technology developments.

On the other hand, when technology developments or breakthroughs drive product innovation or the generation of new markets, the technology developments may also generate requirements on product features and functionalities. Factors which dictate decisions about introducing products include the technology readiness levels (TRL), the integration readiness levels (IRL), the manufacturing readiness levels (MRL), the system readiness levels (SRL), and the operational readiness of the enterprise to launch the product system. See the "Readiness Levels" section in the Product Systems Engineering Special Activities article.

Understanding the entities (i.e., components or elements) that compose the product is not a trivial task for systems engineers. It is not unusual for a new product to require developments in several technologies, including new materials, electronic components, software, maintenance and repair procedures, processes, or organizational structures. All of these developments must be factored into the IPDP for the successful deployment and proper use of the product.



**Figure 2. Basic Product Types that Constitute a Product System (Martin 1997).** This material is reproduced with permission of John Wiley & Sons, Inc. All other rights are reserved by the copyright owner.

## Product Type Examples

Examples of each product type are shown below (Martin 1997).

**Table 1. Product Types (Martin 1997). This material is reproduced with permission of John Wiley & Sons, Inc.**

Type	Examples
<b>Hardware</b>	Computer processor unit, radar transmitter, satellite payload, telephone, diesel engine, data storage device, network router, airplane landing gear
<b>Software</b>	Computer operating system, firmware, satellite control algorithm, robot control code, telephone switching software, database application
<b>Personnel</b>	Astronaut, computer operator, clerk, business executive, Laika (the cosmonaut dog), bus driver, cashier, maintenance technician
<b>Facilities</b>	Space rocket launch pad, warehouse building, shipping docks, airport runway, railroad tracks, conference room, traffic tunnel, bridge, local area network cables
<b>Data</b>	Personnel records, satellite telemetry data, command and control instructions, customer satisfaction scores
<b>Materials</b>	Graphite composite, paper, gold, concrete, stone, fiberglass, radar absorption material, cladded metals, integrated circuit substrate, magnetic memory core
<b>Media</b>	Data storage media (tape, disc, memory card), signal transport media (twisted pair wire, fiber optic cable, RF spectrum), communications media (television, radio, magazines), social media (blogs, Twitter, Facebook)
<b>Techniques</b>	Soldering, trouble trick response process, change notice handling, telephone answering protocol, project scheduling, data sorting algorithm

Materials could be thought of as basic raw materials, like steel, or as complex materials, like cladded metals, graphite composites, or building aggregate material. Personnel are not normally thought of as a “product,” but that can change depending on the type of system in question. The National Aeronautics and Space Administration (NASA) space program “system” certainly produces astronauts. When personnel are considered product(s), it is not usually possible to simply find and hire personnel with the requisite knowledge, skills, and experience. These personnel “products” can often be developed using a product SE approach (Martin 1996). For example, you could specify requirements (i.e., required knowledge, skills, and experience) for each person that is part of the system. Interfaces can be specified for each person, and an assessment can be made as to the maturity of each person (i.e., each potential product). These are a few examples of how product SE can be applied to personnel products.

In enterprise systems engineering, we may need education and training systems to make up a part of our personnel system in order to produce people with the right competencies and capabilities.

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**SEBoK v. 2.7, released 31 October 2022**

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- [1] <http://www.businessdictionary.com/definition/product-development.html>
- [2] [http://www.nasa.gov/offices/oce/appel/pm-development/pm\\_se\\_competency\\_framework.html](http://www.nasa.gov/offices/oce/appel/pm-development/pm_se_competency_framework.html)

# Product as a System Fundamentals

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**Lead Author:** Ricardo Pineda

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This article introduces fundamental concepts of product systems.

## Product Elements and Connections

Product systems consist of product elements and two kinds of connections: connections among elements, and connections between elements and things in the system environment. That portion of the environment that can be influenced by the system or that can influence the system is called the “context.”

Connections between elements contain interactions and relationships (Hybertson 2009). A connection is more than a mere interface.

Interactions occur across *interfaces* between the elements inside or outside the system, and can be defined as exchanges of data, materials, forces, or energy. Connections with an interactive nature can be represented in various engineering artifacts: schematic block diagrams, data flow diagrams, free body diagrams, interface control diagrams, port specifications, energy transfer diagrams, and so on. Product systems engineering (PSE) usually defines interactions in an interface control document, interface design document, interface requirements document, or the equivalent.

Connections also encompass relationships between elements. These relationships can be spatial, motion-related, temporal, or social.

Spatial relationships:

- one element is underneath another
- two elements are  $x$  units apart
- one element is inside another

Motion-related relationships:

- the relative velocity of two elements is  $v$  units
- the relative acceleration between two elements is  $a$  units

Temporal relationships:

- one element exists before another
- two elements must exist at the same time
- two elements must be separated in time by  $t$  units

Social relationships:

- a human element feels a particular way about a system
- a human element owns another (non-human) element
- a human element understands the operation of a system in a particular way

Relationships that are not about time can still change over time. For example, an element that is inside another element during one mode of operation can be outside of it during a different mode of operation. Therefore, one should not assume that non-temporal relationships are necessarily static in time.

Relationships can be represented in engineering artifacts, including the timing diagram, timeline diagram, mission reference profile, capability road map, and project schedule chart.

Social relationships include the implicit or explicit social obligations or expectations between the roles that human elements play in a system. These roles may be assigned different authorities, responsibilities, and accountabilities. See the discussion on organization behavior in the article Team Dynamics. Organizational behavior theories and

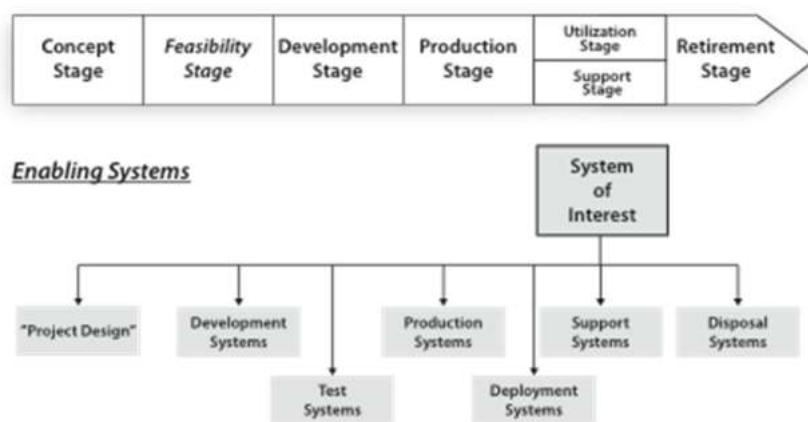
human factors may need to be considered when engineering such a product system.

There can also be social relationships between the humans and the non-human elements of the system. This may involve how the human "feels" about things in the system or perhaps even the system as a whole. Humans inside or outside the system-of-interest may have different degrees of "understanding" with respect to how the system operates, its limitations and capabilities, and the best way to operate it safely and effectively. The "ownership" relationship can be important in determining things like who can operate or change some configuration or mode of the system.

There are many such social relationships in a product system that are often ignored or misunderstood when performing PSE. Social relationships can affect the overall performance or behavior of a product system to the point of determining its success or failure.

## Core Product and its Enabling Products & Operational Services

A variety of systems (themselves being products or services) enable the development, delivery, operation and eventual disposal of a product, as shown in Figure 1. The concept of enabling systems is defined in the ISO/IEC 15288 standard (2015).



**Figure 1. Example of Enabling Systems (Lawson 2010).** Reprinted with permission of Harold "Bud" Lawson. All other rights are reserved by the copyright owner.

In the figure, the system-of-interest (SoI) goes into operation as a delivered product or offered service in the utilization stage while maintenance and logistics are provided (by a product sustainment system) simultaneously in the support stage. These two stages are commonly executed in parallel, and they offer opportunities to observe any need for changes in the properties of the product or service or how it is operated and supported. Making changes iterates the life cycle and results in new or improved products or features.

The delivered product and its enabling systems collectively form a wider system-of-interest (WSOI). The project design enabling system is an enterprise based system asset that establishes the strategy and means of organizing the projects to be executed along the life cycle. In many larger organizations, this type of enabling system is institutionalized and can be based upon recommendations of the Project Management Institute (PMI).

Product systems should be viewed as enabling service systems. That is, once deployed, a product system provides a service that contributes to an enterprise's operations. To the acquirer, the SoI provides operational services to users. This is true at several levels:

- Hardware and software products are used to enable the provisioning of service systems,
- Enterprises incorporate products as system assets and use them to enable operations, and
- Provided products are integrated into the system of systems.

## Product Architecture, Modeling, and Analysis

IEEE standard 1471-2000 defines architecture as "the fundamental organization of a system embodied in its components, their relationships to each other, and to the environment, and the principles guiding its design and evolution" (IEEE 2000). Similarly, ISO/IEC 42010-2011 defines architecture as "fundamental concepts or properties of a system in its environment embodied in its elements, relationships, and in the principles of its design and evolution" (ISO/IEC 2011).

A product's purpose (stakeholder's need) is realized by a product system (the SoI). Because product systems are composed of different entities (components, assemblies, subsystems, information, facilities, processes, organizations, people, etc.) that together produce the results unachievable by any of the entities alone, architecting the product is based on a whole systems approach. To architect with a whole systems approach means to define, document, design, develop, manufacture, distribute, maintain, improve, and to certify proper implementation of the product's objectives in terms of the functional (the "what"), the behavioral (the use, or intended operations), the logical (interaction and relationships between entities) and the physical constructs (Wasson 2006; Maier 2009; Blanchard and Fabrycky 2011).

The system architect starts at the highest level of abstraction, concentrating on needs, functions, systems characteristics and constraints (concerns) before identifying components, assemblies, or subsystems. This is the systems view, and it is used to represent the stakeholder's market service description or the concept of operations (understanding of the opportunity/problem space).

Next to be documented, as needs become better understood, are architectural descriptions at different levels of abstraction, representing various stakeholders interests. These are the architecture models. They define the possible solution spaces for the product purpose in the form of detailed system, operational, behavioral, and physical requirements of the product system.

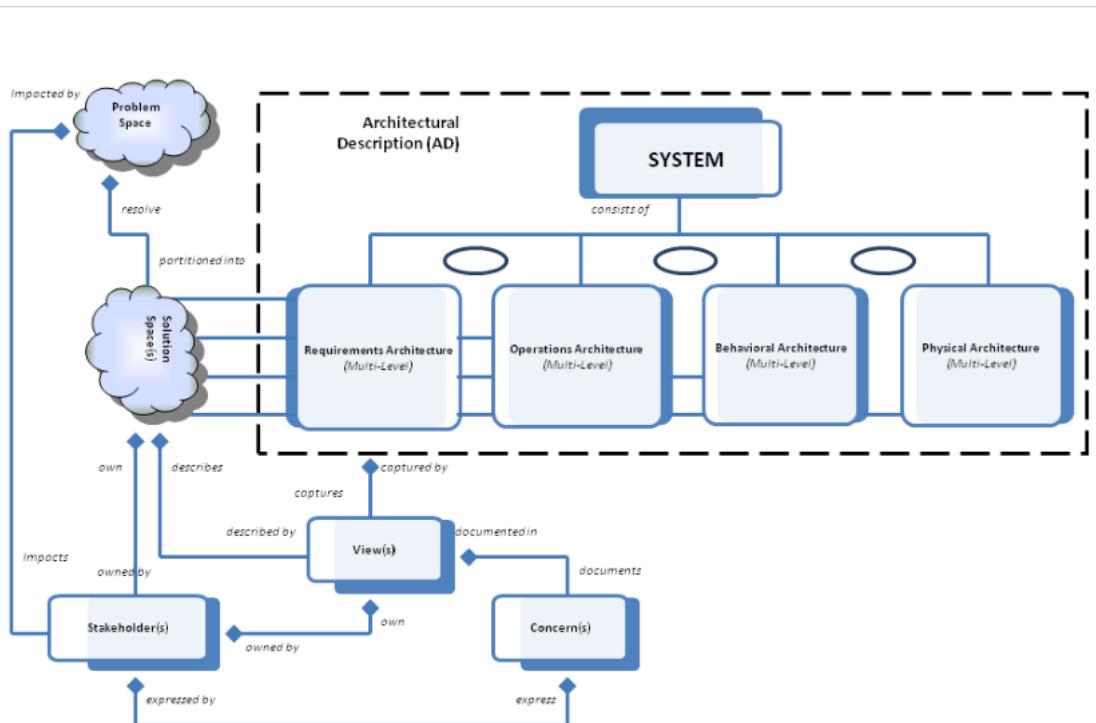
Different modeling techniques are then used to analyze different types of requirements. For operational scenarios and different modes of operation, there are hierarchical decomposition and allocation, architectural block diagrams (ABD), functional block diagrams (FBD), functional flow block diagrams (FFBD), and use case diagrams. For interactions and relationships among hardware and/or software components there are sequence diagrams, activity diagrams, state diagrams, and data flow diagrams. See (Maier 2009) Chapter 8 for an introduction to models and modeling.

Analysis of the solution space makes it possible to produce detailed technical specs, engineering drawings, blueprints, software architectures, information flows, and so on, that describe the entities in the product system. An entity's requirements bound its attributes and characteristics, levels of performance, operational capabilities, and design constraints. During design and integration, entity characteristics can be traced back to requirements (requirements traceability being a key aspect of SE). Verification and validation plans created during the requirements phase are the basis of testing certification that the product does what it was intended to do.

Overall, what occurs is the transformation of a set of requirements into products and processes that satisfy the stakeholder's need. The architecture is represented by a set of models that communicate an integrated view of the product's intent and purpose, and the interactions and interfaces required among all the different participating entities. The product's purpose is articulated in terms of business objectives (market, cost, functionality, performance, and time to deliver). The set of models includes sufficient variety to convey information appropriately to the stakeholders, designers/developers, specialty engineering, operations, manufacturers, management, and marketing and sales personnel.

Different architecture frameworks have been developed to guide product teams in defining the product architecture for commercial and for public enterprises. In general, an architecture framework describes a "view," meaning a "collection of models that represent the whole system from the perspective of a set of related stakeholder concerns." Prime examples of architecture frameworks are the Zachman framework (Zachman 1992), The Open Group Architecture Framework (TOGAF) (TOGAF 2011), the Enhanced-Telecom Operations Map (e-TOM), just to mention a few in the commercial sector. In the case of public enterprises a few architecture frameworks include the Department of Defense Architecture Framework (DODAF 2.0) (DoD 2010), the Federal Enterprise Architecture Framework (FEAF) (FEA 2001), the British Ministry of Defense Architecture Framework (MODAF) (MOD 2004), etc.

Differences between acquired products and offered products play an important role in defining product system requirements. Acquired products are life cycle-managed directly by the acquirer; for instance, acquired defense systems are defined, developed, tested, owned, operated, maintained and upgraded by the defense agency. See the article Product Systems Engineering Key Aspects within this KA.



**Figure 2. System Architectural Description Elements (Adapted from Wasson 2006).** Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

## Specialty Engineering Integration

The INCOSE SE *Handbook* defines specialty engineering as:

“Analysis of specific features of a system that requires special skills to identify requirements and assess their impact on the system life cycle.”

Areas of expertise that fall under this umbrella definition include logistics support, electromagnetic compatibility analysis, environmental impact, human factors, safety and health analysis, and training. The unique characteristics, requirements, and design challenges of a system-of-interest all help determine the areas of specialty that apply.

A number of specialty engineering areas are typically important to systems engineers working on the development, deployment, and sustainment of product systems. For example, logistics support is essential for fielded product systems that require maintenance and repair. The delivery of services, materials, parts, and software necessary for supporting the system must all be considered very early in the development activity. These factors should usually be considered before the system requirements and concept definition are complete. To integrate these specialty disciplines sufficiently early on, the systems engineer needs to know what specialties relate to the system under development, how they relate to the systems engineering process, and how to integrate them into the life cycle process.

For product systems with significant hardware content and that operate in challenging environments, the following specialty engineering areas must usually be considered:

- manufacturability,
- reliability and maintainability,
- certification (essential where human safety is an issue),
- logistics support,
- electromagnetic compatibility (if they radiate),
- environmental impact,
- human factors,
- safety and health, and
- training.

The relationship of these specialty areas to the systems engineering process must be understood and considered. The key aspects of the relationship are:

- when the specialty needs to be considered,
- what essential data or information it provides,
- the consequences of not including the specialty in the systems engineering process, and
- how the systems engineers should interact with the specialty engineers.

Grady (2006) provides an overview, with references, for many of the specialty engineering disciplines, including reliability engineering; parts, materials, and process engineering (PMP); maintainability engineering, availability, producibility engineering, design to cost/life cycle cost (DTC/LCC), human factors engineering, corrosion prevention and control (CPC), system safety engineering, electromagnetic compatibility (EMC) engineering, system security engineering, mass properties engineering, and environmental impact engineering.

Eisner (2008) lists specialty engineering as one of the “thirty elements” of systems engineering. “Specialty engineering refers to a set of engineering topics that have to be explored on some, but not all, systems engineering efforts. In other words, some systems involve these special disciplines and some do not. Examples of specialty engineering areas include electromagnetic compatibility and interference, safety, physical security, computer security, communications security, demand forecasting, object-oriented design, and value engineering.” Some of what we consider specialty engineering in the present article, Eisner includes among his “thirty elements” of systems engineering, but not as part of the specialty engineering element.

There is no standard list of specialty engineering disciplines. What is considered specialty engineering varies according to the community to which the systems engineering belongs, and sometimes to the preferences of the customer.

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# Business Activities Related to Product Systems Engineering

**Lead Author:** Ricardo Pineda

This topic discusses the interfaces between product systems engineering and other 'back office' and management activities that take place in an enterprise.

## Marketing, Product Life Cycle Management, & Quality Management

Product systems engineering (PSE) includes critical and robust interfaces with related business activities, such as marketing, product life cycle management (PLM), and quality. Traditionally, PLM has been a critical stage in the integrated product development process (IPDP) and continues to be an important tool for life cycle management after product deployment. PLM provides an important component of the PSE end-to-end view. The other component is the "breadth" component that captures everything relevant to the system at each life cycle stage. Recently, the focus has started to shift from the idea of managing just the life of the product, to an expanded view that includes the management of product-lines (families) or product platforms themselves. This provides an increase in sustainability, flexibility, reduced development times, and important reductions in costs as new or enhanced products are not launched from scratch every time.

PSE also includes interfaces with the marketing function; in particular, PSE works closely with the business and market development organizations to elicit product needs and intended operations in target markets to define product roll-out and possible phases of product introduction. Analysis of the market is critical during the entire product life cycle from conception through retirement with the understanding that each life cycle phase requires very different marketing approaches. During concept development, marketing has to help determine the potential market, the addressable market segments, define products, and product/innovations requirements for those markets. During the product introduction stage, marketing has to create demand and prompt early customers to try the product. During the growth and maturity phases, marketing has to drive public awareness, develop the brand, and differentiate the product and its features and feature releases to compete with new market entrants. During saturation, marketing must help manage diminishing volumes and revenues as focus shifts from top line (increased market share) to bottom line (increased production and distribution efficiencies) considerations. See the article on Procurement and Acquisition.

The links between PSE and quality are just as critical. The relationships between PSE and quality also reflect the broad view which includes the product and opportunity, but also the company's internal goals, processes, and capabilities. Quality schemes which focus on a tangible product have been extensively used historically. More recent approaches that acknowledge and match PSE's holistic view have come into use. Issued during 1988, ISO 9000 is a family of standards which focuses on processes and the organization instead of the product itself. In addition, it calls out specific requirements for the design of products and services. ISO 9001 has served as a "platform" for many other schemes which are tailored to specific domains. A collaborative effort of the International Aerospace Quality Group, AS9100 contains all of the base requirements of ISO 9100 and expands further requirements which are critical and specific to the aviation, space, and defense industries. Similarly QS-16949 is a technical standard based on ISO 9001 but expanded to meet specific requirements in the worldwide automotive industry. PSE should play an important role in the design and implementation of any quality management system. See the article on Quality Management.

Capability Maturity Model Integrated (CMMI) for Development is a process improvement approach whose goal is to help organizations improve their performance. CMMI can be used to guide process improvement across a project, a division, or an entire organization. Although initially used in software engineering and organizational development, CMMI use is spreading to other domains since it provides organizations with the essential elements for effective process improvement. According to the Carnegie Mellon Software Engineering Institute, CMMI describe "an

evolutionary improvement path from ad hoc, immature processes to disciplined, mature processes with improved quality and effectiveness." (SEI 2010).

## Project Management & Business Development

The end-to-end view mandated by PSE requires strong relationships with project management and business development activities. The 'concurrent' thinking encouraged by PSE necessarily requires multiple projects to move forward in parallel, but with a high level of coordination. In this sense, PSE and project management (see Systems Engineering and Project Management) are two heavily intertwined disciplines which have been shown to generate synergy and added value for the stakeholders.

The systems engineering management plan (SEMP) is the key document covering the activities, milestones, organization, and resource requirements necessary to ensure the system-of-interest accomplishes its intended goals and mission. A key objective of the SEMP, which is usually developed during the conceptual design phase, is to provide the structure, policies, and procedures to foster the optimum management of projects and activities needed for system development and implementation (Blanchard and Fabrycky 2011).

An effective and agile PSE function can make important contributions to business development for an enterprise or company. The primary goal of business development activities is to identify new types of business/product/services which are believed to address existing or potential needs and gaps (new markets), to attract new customers to existing offerings, and to break into existing markets. PSE's end-to-end view of the life cycle can support market development by intelligence gathering, feedback on market acceptance or rejection, strategic analysis, and proposition development and campaign development. Finally, PSE should encourage the consideration of several factors within the new product development which may enhance market development. For example, in well-established companies, business development can often include setting up strategic alliances with other, third-party companies. In these instances, the companies may leverage each others expertise and/or intellectual property to improve the probability for identifying, researching, and bringing to market new businesses and new products. See (Sørensen 2012).

## Supply Chain Management & Distribution Channel Management

PSE provides the following information to the supply chain management function in an enterprise:

- product specifications (including intended uses of the product),
- product acceptance criteria (for accepting delivery of the product from the supplier),
- product testing and qualification plans and procedures, including which ones are responsibility of the supplier and which ones are responsibility of the acquirer,
- interface specifications associated with each product,
- supplier certification criteria (including a list of pre-certified suppliers), and
- feedback on quality of products delivered by suppliers.

Supply chain management will, as necessary, manage the identification and certification of qualified suppliers with the concurrence of, and coordination with, systems engineering and product engineers.

PSE provides the following information to the distribution channel management function in the enterprise:

- product specifications (including intended uses of the product),
- product user manuals (including installation and maintenance documentation),
- product packaging (for safe delivery of product and for display in retail channels),
- product qualification data (to prove that product meets its design requirements),
- product certification data (to prove product is certified for safe and secure operation),
- user support instructions, and
- operator certification criteria.

Distribution channel management will, as necessary, manage the identification and certification of qualified distributors with the concurrence of, and coordination with, systems engineering and product engineers.

## Capability Management & Operations Management

Capability is defined in various ways, but each definition is consistent with the notion of "the ability to do something useful." Products and services are acquired by end users to enable and improve their operational capability to let them do something useful, whether in a military context (e.g., weapon systems improve the capability to conduct effective military operations), or a social context (e.g., a car may improve the ability to satisfy the transport needs of a family). Users acquire products (e.g., military equipment, cars, "productized" service offerings from airlines and taxi companies, etc.) to contribute to satisfying their capability needs.

Capability management involves identifying and quantifying capabilities (existing, new, or modified) that will be needed to meet enterprise goals, as well as selecting a coherent set of product and services across all components of capability that will be integrated to provide the needed capabilities. So normally, requirements for "product systems" are derived from capability management. Capability management is likely to include trade-off processes to make the best use of existing products or low-risk evolutions of them, and conversely identifying when a capability need can only be satisfactorily met by a new-generation product, or even a new type of product altogether. In some cases, new offered products or disruptive technologies (e.g., jet engine, nuclear weapons, and internet) create opportunities for new or improved capabilities, in which case capability management focuses on ensuring that all needed components of capability are put in place to exploit the opportunity provided by the new product or technology. See Capability Engineering.

Operations management uses an integrated set of product systems to deliver value to the enterprise and its stakeholders. Operations management involves bringing new product systems into operation, normally while maintaining business continuity, so transition plans and relevant metrics are critical; next, operations management addresses some of the following: working up to full operational efficiency across all components of capability, coping with incidents, contingency plans to deal with major disruptions, adjusting the system to cope with new ways of working and to deliver new services to meet new enterprise requirements and accommodate new product systems entering service, and eventually planning transitions out of service or major in-service upgrades. PSE supports operations management by defining all dependencies for successful operation on other systems and services, and by providing ongoing engineering support for spares and repairs, obsolescence management, and system upgrades. Systems engineering in the in-service phase has been analyzed (Elliott et al. 2008) and is best viewed as the same basic systems engineering process conducted at a much higher tempo (Kemp and Linton, 2008) and requiring detailed understanding of constraints imposed by the current environment and usage. Configuration management and configuration status accounting during operation is very important for high value and high integrity systems to ensure that any changes are designed to fit the "as-is" system, which may be significantly different from the "as-originally intended" specification and design.

## Product Engineering, Assembly, Integration, & Test

Product engineering typically results in an engineering model that is used as the "blueprint" for assembling, integrating, and testing (AIT) a product system. These AIT activities may be performed on prototype versions, as well as final production versions to be delivered to end users. There is significant experience in domain specific industries in performing AIT for complex products. Unfortunately, very little is written in the general literature. Wasson (2006) and de Jong (2008) cover some of these aspects. See also System Integration and System Verification.

For software products, the collection of code modules are integrated via some form of integration program (typically called "make"). The integrated modules are then subjected to tests to exercise the various potential paths through the software. Since software can be easily changed, it is common to use some form of regression testing based upon test

suites in order to verify software correctness. Another common means of testing is by fault injection as described by Voas and McGraw (1998).

## Manufacturing, Test, & Certification

Systems engineers usually work with manufacturing indirectly through the electrical and mechanical design teams. There are times in the development cycle when a direct interface and working relationship between systems engineering and manufacturing is appropriate and can improve the probability of program and system success. Early in the program the system concept must be examined to determine if it is manufacturable. The requirements and the concept design should be reviewed with the manufacturing engineers to obtain an assessment of the risks associated with the production of the system. If substantial risks are identified, then actions that improve the manufacturing capabilities of the organization, modify the design, and perhaps change the requirements may be needed to reduce the identified risks to acceptable levels. Manufacturing prototypes or proof of manufacture (POM) units may be necessary to reduce the risk and to demonstrate readiness to proceed with the design and the system development. Similarly, the systems engineers must establish that the system will be testable early in the product development phase. The requirements should be mapped to verification methods of inspection, analysis, demonstration, and test before they are released to the design team. All requirements mapped to test must be examined to determine the test methods and the risk associated with accomplishing the necessary tests as part of the product qualification, acceptance, and release process. Where risks are identified, the systems engineers must work with the test engineers to develop the necessary test capabilities.

## Product Delivery & Product Support

Most products live much longer in the usage phase than in the development phase. The costs associated with product support are usually greater than the cost of developing the product. These two facts make it very important for the product systems engineer to consider the product delivery and support as part of the earliest activities during development. The design of the product dictates the maintenance and support that will be required. The systems requirements are the first means of influencing the design to achieve the desired product support. If maintenance, reliability, and support requirements have not been defined by the customer, then the systems engineer must define these to achieve the support methods and costs that the customer, users, and the organization responsible for support will find financially acceptable.

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# Product Systems Engineering Key Aspects

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**Lead Author:** Ricardo Pineda

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## Acquired Products versus Offered Products

The emphasis for traditional systems engineering (TSE) is in the provisioning of products and related services that meet stakeholder needs and requirements. For acquired products, an acquirer specifies the needs and requirements, selects a supplier for development and provisioning, and then receives the needed products and services. The acquirer, after acceptance, usually owns, operates, and maintains the product and the support systems supplied by the developer. Offered products are provided by suppliers based on opportunities to develop and offer products and services to potential users of the product based on business objectives usually measured in terms of value addition to the stakeholder.

In the provisioning of product systems and related services, the enterprise owning and provisioning the product and services typically makes agreements with other suppliers to also provide elements, methods, and tools that are used during their entire life cycle. The supplying enterprises, in turn, may make further agreements with suppliers in regards to building a supply chain. The complexities of dealing with supply chains must be accounted for with respect to cost, risk, and schedule and thus can have an impact upon product or service maturity. (See articles under the Systems Engineering Organizational Strategy knowledge area (KA) in Part 5.)

## Acquired Products

Specific needs for a product or service typically result in some form of an agreement between the acquirer and a supplier as specified in the agreement processes of ISO/IEC 15288 (2015). The acquirer specifies the need and requirements for the properties of the expected product or service and may or may not place specific requirements upon how the supplier plans to organize their life cycle treatment of the product or system.

The degree of formality involved with the agreement varies and is strongly influenced by whether the customer is a government entity or a commercial entity. Government contracts usually incorporate strict specifications and other unique requirements that are rarely found in commercial contracts. Government acquisition agents often specify design characteristics in addition to functional and performance specifications. Design specifications place constraints on product systems engineering (PSE) by explicitly defining the details of a product's physical characteristics. The government acquirer may also specify how the product is to be designed and developed or how it is to be produced. Government specifications tend to be longer, more detailed, and more complex than functional specifications and much longer than specifications used in a commercial environment.

When contracting with the government or similar enterprises, the PSE must identify disagreements related to the meaning of a particular provision in a contract, and work with contracts to get a written resolution of all ambiguities and issues in the specifications. Failure to do this can lead to legal disputes and government claims of product substitution which can prevent acceptance of the product system and result in financial penalties.

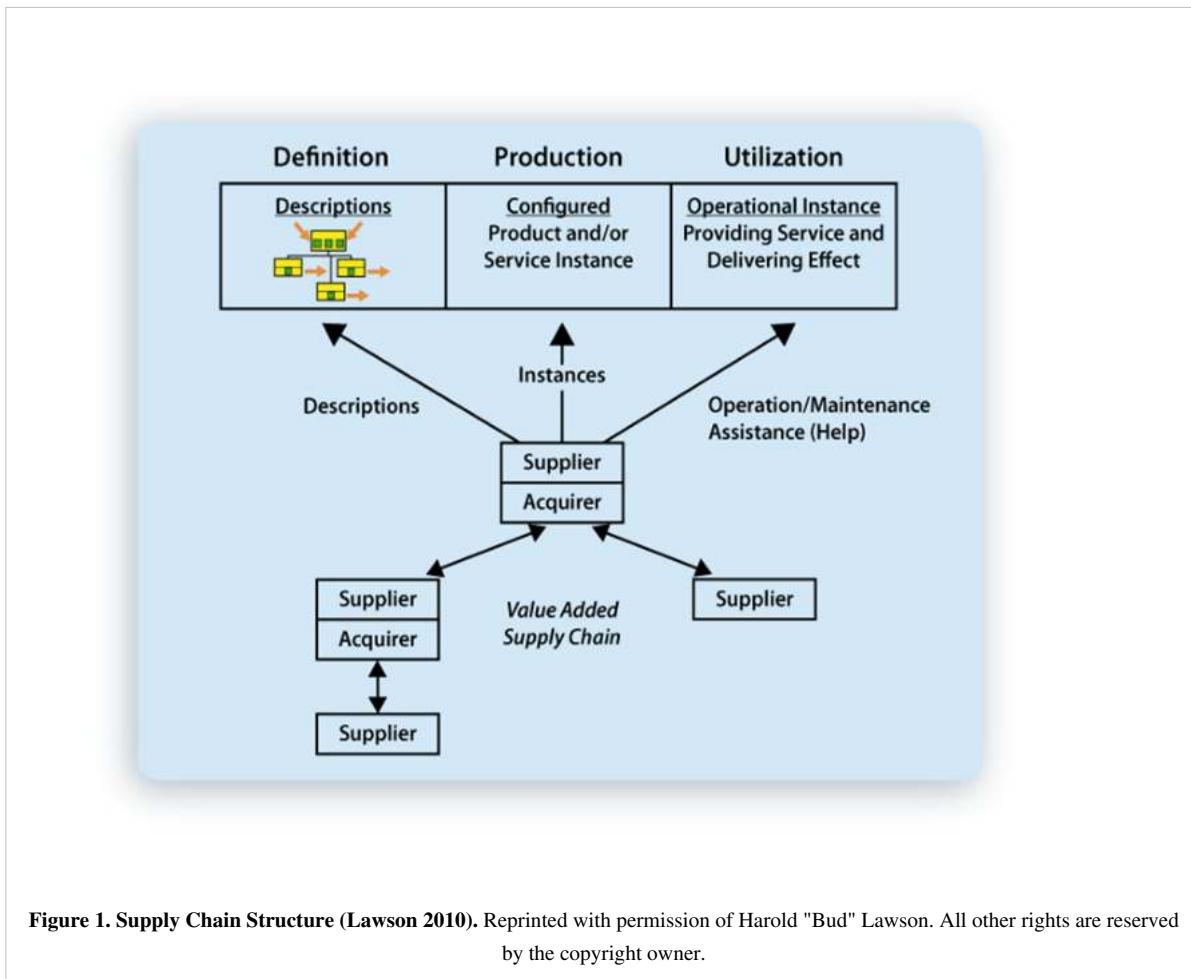
Developing product systems for government customers requires PSE to do a thorough review and perform internal coordination within the enterprise to prevent it from submitting proposals that are non-compliant because the requirements are not fully understood.

## Offered Products

Given an opportunity or perceived opportunity, an enterprise may decide to develop and offer products or services to a broader potential marketplace. The properties of the product or service are often determined through surveying and/or forecasting the potential market penetration. The supplier determines the structure and operation of an appropriate life cycle model for achieving the desired results (Pugh 1990).

## Supply Chains and Distribution Channels

The supply of products and services to the owner of a product or service that is acquired or offered at various points during the life cycle is vital to success. It is this wider system-of-interest (WSOI) that is the outsourcing holism that must be treated properly in order to provide successful products or services. A portrayal of supply chain structure is provided in Figure 1 below.



**Figure 1. Supply Chain Structure (Lawson 2010).** Reprinted with permission of Harold "Bud" Lawson. All other rights are reserved by the copyright owner.

In Figure 1, it is important to note that in an agreement with a supplier, the outsourcing can involve delivering complete system description solutions or portions thereof. For example, a supplier could, given a set of stakeholder requirements developed by the acquirer, develop and supply a system that conforms to the architectural solution. The supplier in turn can be an acquirer of portions of their delivered results by outsourcing to other suppliers.

In regards to production, the outsourcing agreement with a supplier can vary from total production responsibility to merely supplying instances of system elements to be integrated by the acquirer. Once again, these suppliers can be acquirers of portions of their delivery from outsourcing to other suppliers.

In regards to utilization, for non-trivial systems, outsourcing agreements can be made with a supplier to provide for operational services, for example, operating a health care information system. Further agreements with suppliers can involve various forms of logistics aimed at sustaining a system product or service or for supplying assistance in the form of help desks. Once again, suppliers that agree to provide services related to utilization can be acquirers of the services of other suppliers.

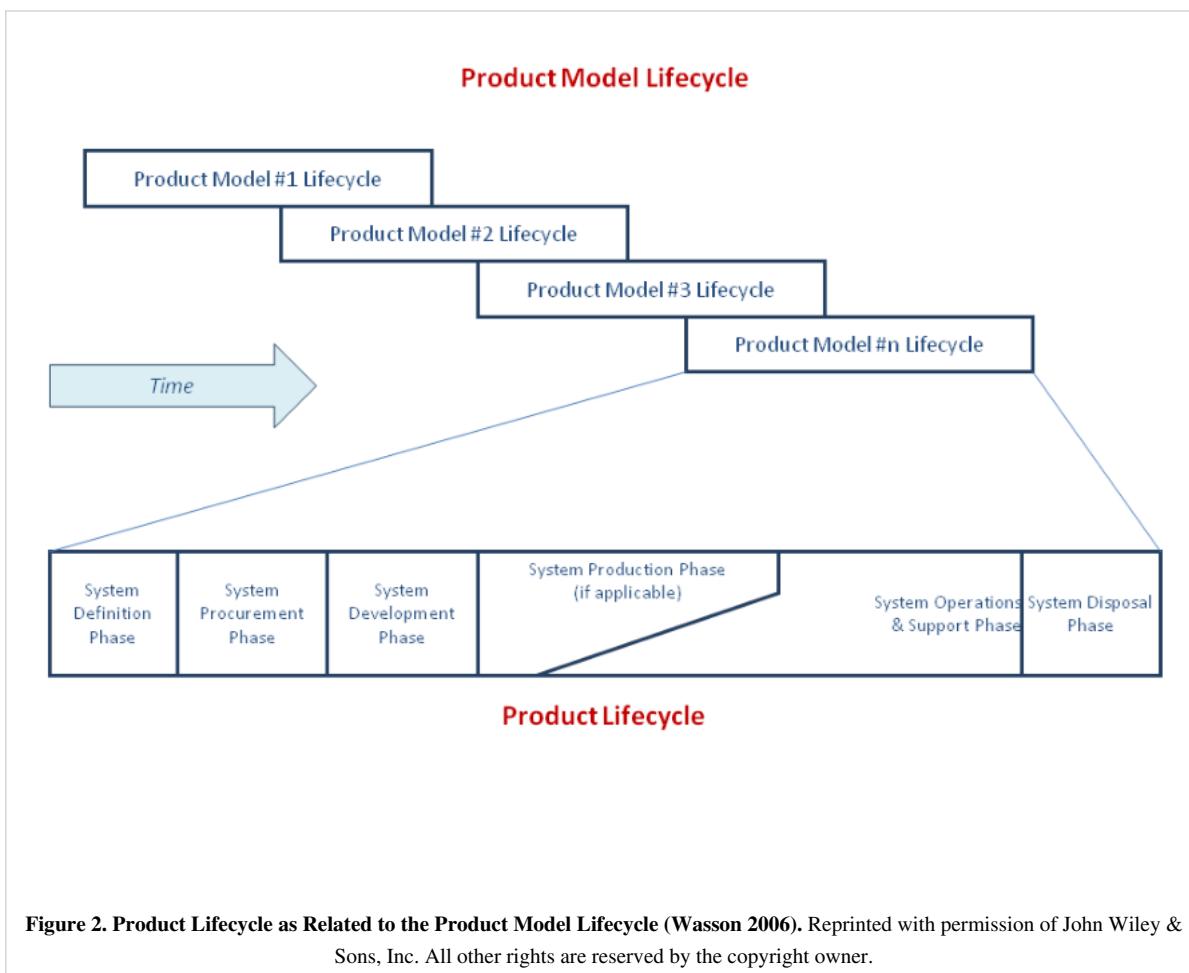
Important to all supply chains is the concept that supplying parties contribute some form of added value to the life cycle of a system-of-interest. The proper management of a supply chain system asset is a vital part of the operations of an enterprise. In fact, the supply chain itself is an enterprise system-of-interest that is composed of acquirers and suppliers as system elements. There is definitely a structure tied together by agreement relationships. Further, the operation of the supply chain results in an emergent behavior. The supply chain system becomes a vital infrastructure asset in the system portfolios of enterprises and forms the basis for extended enterprises.

Similar to a supply chain, the distribution channels for a product system can be a complex web of relationships between the product supplier and various distributors, for example, package delivery companies, warehouses, service depots, wholesale outlets, retail sales establishments, operator training and certification organizations, and so on. The

nature of the distribution channels could have a significant impact on the architecture or design of a product system. PSE may need to include special features in the product design to accommodate for the needs of distribution channel elements, for example, heavy load tie down or lifting brackets, protective shipping packages, retail marketing displays, product brochures, installation manuals, operator certification packages, training materials, and so on. Sometimes it may be necessary to create special versions (or instances) of the product for the training of operators and users for certifying safe or secure operations, for environmental testing and qualification, for product demonstration and user testing, for patent application, for load testing and scalability demonstrations, and for interface fit checking and mass balance certification, to name some examples.

## Product Lifecycle and Product Adoption Rates

The life cycle of each product follows the typical incremental development phases shown below (Wasson 2006, 59-65). A particular product to be engineered could be preceded by a previous “model” of that product as shown in the product model life cycle below, and could be superseded later by a newer model of that product. It is worth noting that there is no standard set of life cycle phases. The example below is one of many ways that the phases can be structured.

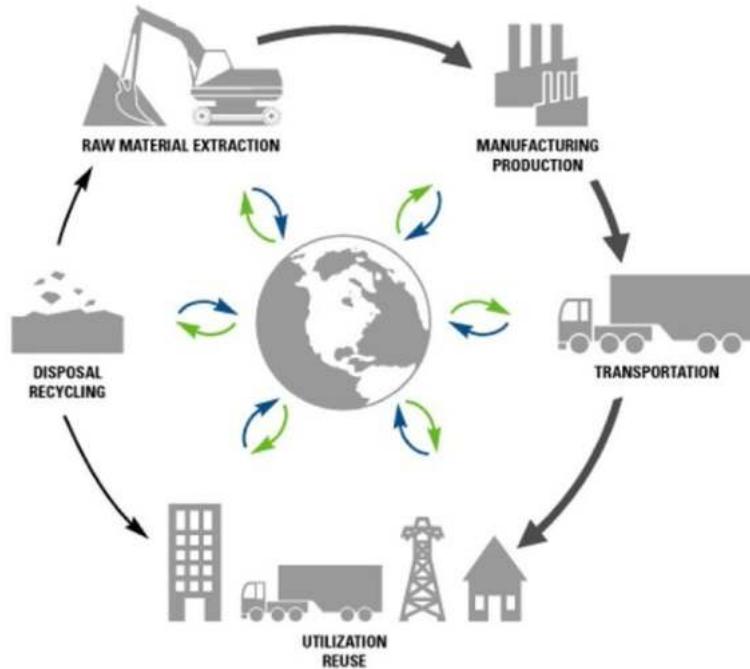


**Figure 2. Product Lifecycle as Related to the Product Model Lifecycle (Wasson 2006).** Reprinted with permission of John Wiley & Sons, Inc. All other rights are reserved by the copyright owner.

From an industry perspective, managing a product's life cycle involves more than just the engineering aspects:

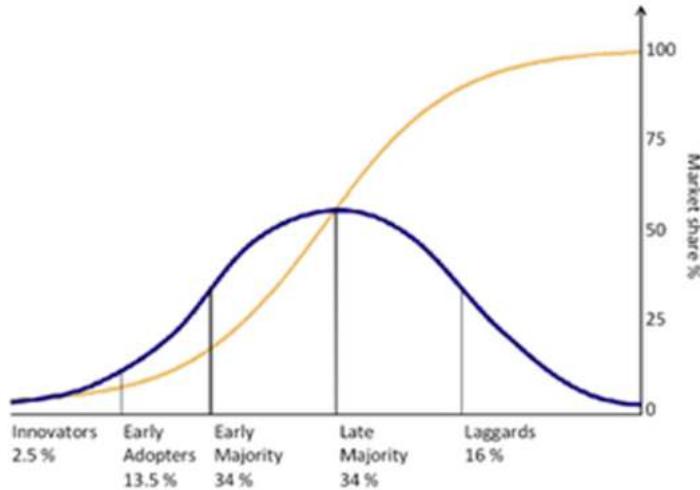
*Product lifecycle management (PLM) is the process of managing the entire lifecycle of a product from its conception through design and manufacture to service and disposal. PLM integrates people, data, processes and business systems, and provides a product information backbone for companies and their extended enterprise.* (CIMdata 2012)

There are many PLM tools and services available for facilitating the development and management of complicated product life cycles and especially for product line management (insert link to product line mgmt section here).



**Figure 3. Product Lifecycle from an Industry Perspective.** (Source: <http://commons.wikimedia.org/wiki/File:Product%20Lifecycle.jpg#filelinks> Accessed February 6, 2012. NIST Programs of the Manufacturing Engineering Laboratory, Released by US Federal Government, Public Domain)

The product and product model life cycles are driven by the product adoption rate, illustrated below, that is commonly experienced by most engineered products (Rogers 2003). As products reach market saturation (i.e., on the down slope of the curve below) then there would typically be a new, upgraded version of the product ready for delivery to the marketplace. PSE serves a critical role in determining the best timing for delivery of this new version and the set of features and functions that would be of the greatest value at that time.



**Figure 4. Rogers Innovation Adoption Curve.** (Source: <http://en.wikipedia.org/wiki/File:Diffusionofideas.PNG> Accessed February 6, 2012, Released by Tungsten, Public Domain)

## Integrated Product Teams and Integrated Product Development

Product systems as discussed throughout this KA mandate the participation of different disciplines for their success during their entire lifecycle from concept to product disposal or retirement. Rapid technology innovations and market pressures in the mid '90s demanded development process (mostly input-output serial) to shorten their development time and development cost, and to improve product quality to remain competitive. For commercial enterprises, the typical development times of 18-24 months to deploy new products into markets of the '90s have in many cases been reduced to 6-12 months and even 3-6 months for the highly competitive leading edge information technology products.

An initial response to these pressures was concurrent engineering. Concurrent engineering is "... a systematic approach to the integrated, concurrent design of products and their related processes, including manufacturing and support to cause developers, from the outset to consider all elements of the product lifecycle from conception through disposal, including quality, cost, schedule and end user requirements." This definition has evolved into the integrated product development (IPD) as more descriptive of this concurrency to describe the continuous integration of the entire product team, including engineering, manufacturing, test, and support through the life cycle. Later, as the importance of the process was recognized, the terminology was modified to integrated product and process development or IPPD (INCOSE 2012).

The INCOSE *Systems Engineering Handbook v. 3.2.2* provides a good description of the IPT and IPDT process; the different types of IPDT; the steps in organizing and running an IPDT; good examples of IPDT, particularly for acquired systems; and a good discussion on IPDT pitfalls to avoid. (INCOSE 2012)

IPD/IPPD helps plan, capture, execute, and evaluate programs to help design, test, build, deliver, and support products that satisfy diverse stakeholder requirements. IPD/IPPD outlines the necessary infrastructure needed to deploy, maintain, evaluate and continuously improve processes and tools by aligning people (IPTs) and processes to realize product goals (customer satisfaction). The implementation of Integrated Product Development Processes (IPDP) requires an integrated approach for program planning and generally includes the following: Business Strategy, Program Management and Control, Project Planning, Product Requirements and Architecture Development, Product Design and Development, Production and Deployment, Product Verification and Validation, and Operations and Maintenance Support.

At each development stage, there is a decision gate that helps decide if the IPDP is feasible to enter the next stage of product development. IPD utilizes multi-functional IPTs to optimize the individual product and processes to meet overall cost and performance objectives. IPTs are a cross-functional group of people typically including representatives of all the relevant stakeholders in the project, who are brought together for delivering an integrated product to an external or internal customer using relevant IPDP. The main function of the IPTs is to ensure the business, technical and economical integrity and overall success of the product that is delivered to its eventual customer. IPTs carry out tailored IPDPs and follow relevant SE processes to deliver products that satisfy customer needs, overcomes external constraints, and adheres to the overall program strategy.

In the case of commercial enterprises, product development is tightly coupled with business strategies (short and long term), stakeholder value added measured in terms of return on investments (ROI), market presence/coverage, and other strategies as defined by the business objectives. Thus, product integration teams include strategic planners, business managers, financial managers, market managers, quality assurance managers, customer representatives, and end-users, as well as other disciplines required for acquired products. Phillips (2001), Annachino (2003), and Morse (2007) provide good discussions on this topic.

## **Role of Architectures, Requirements, and Standards**

The architectural properties of a product system are influenced by the concerns of the various stakeholders as indicated in the ISO/IEC 42010 standard (ISO/IEC 2011). The stakeholders have various views that they express based on their specific perspective. These views are vital in establishing requirements and are inputs to those responsible for defining the functions, structures, and relationships needed to achieve the desired product or service.

A number of stakeholders have been identified in the discussions of product systems. It would be possible to identify a set of important stakeholders based on the life cycle thinking provided by the ISO/IEC 15288 standard (2015), for example, one such set could consist of owners, conceivers, developers, producers, users, and maintainers as discussed by Lawson (2010). As mentioned earlier, these stakeholders should cooperate at all stages of the life cycle in specifying requirements, verifying that the requirements are met, and validating that the products produced provide needed capabilities.

In addition to the two standards that have been identified, there are a variety of standards related to specialty aspects of products, such as safety and security, as well as standards that are applicable for project management and life cycle considerations, such as requirements and quality management.

## Role of Modeling, Simulation, Prototyping, and Experimentation

Modeling, simulation, prototyping, and experimentation are techniques that have the purpose of improving stakeholder knowledge and shared understanding about aspects of the system to de-risk system development and operation before heavy commitment of time and funds. Examples of this are found below:

- Understanding future needs: "Warfighting experiments are the heart of the Army's warfighting requirements determination process. Progressive and iterative mixes of high fidelity constructive, virtual, and live simulations using real soldiers and units in relevant, tactically competitive scenarios provide Army leaders with future operational capability insights" (US Army 2012),
- Simulation is used to predict and optimize aspects of system performance for which there are good mathematical or logical models before committing the final physical design, and also to verify and validate the system design in scenarios where physical testing is too difficult, dangerous, or expensive, for example, checking the performance envelope of military systems in a wide range of engagement scenarios where test firing thousands of rounds to get statistically valid data is clearly unaffordable, ensuring that the safety features in a nuclear power station will operate correctly in a wide range of stressing scenarios, etc.,
- Prototyping (physical and virtual) is used in a wide variety of ways to check out aspects of system performance, usability, utility, and to validate models and simulations as part of the iterative process of converging on a final design,
- In a manufacturing context, the first units produced are often "prototypes" intended to make sure the production process is working properly before committing to high rate production, and are often not shipped to end users, but used for intensive testing to qualify the design, and
- Simulation is also used extensively for training and marketing purposes. For training, an accurate model of the human machine interface and representation of the operational context allows operators to do most of their training without putting operational hours on the real system enabling them to learn emergency procedures for combat and accident scenarios in a safe and repeatable environment; for example, airline and military pilots now train mainly on simulators. System simulators of various levels of fidelity are used to familiarize customers and end users with the potential characteristics and benefits of the system, available options and trade-offs, and integration issues early in the development and acquisition process.

All of these methods use a variety of physical and mathematical representations of the system and its environment so modeling is an enabler for simulation, prototyping, and experimentation.

## Increasing Role of Software in Product Functionality

An important trend in commercial products is the increasing importance of software in an increasingly wide range of products. Everything from phones, cameras, cars, test gear, and medical equipment now has essential functionality implemented in software. Software has had an increasing role in providing the desired functionality in many products. The embedding of software in many types of products accounts for increasing portions of product functionality. In tangible products such as cars, software helps improve functionality and usability (cruise control, climate control, etc.). In intangible products such as insurance, software helps in improving operational efficiency, data accessibility, etc.

The movement toward the internet of "things" where sensing and activating functions are incorporated is now starting to permeate. The use of various software products in proving service is also described in the Service Systems Engineering article.

Recent advancements in IT and software have assisted in their increased use in PSE. Although software development is already a very complex field, the role of software in the development and functionality of products is growing larger each day.

There is a need to broaden the horizons of software engineers to think of problem solving not only in software terms, but also using the systems thinking approach. For this purpose, software engineers need to be able to think critically about the problem and also the possible solutions to the problem or opportunity and its implication for business objectives.

## Product Integration and Interface Control

Integration is "the set of activities that bring together smaller units of a system into larger units" (Eisner 2008). Products may consist of several systems, subsystems, assemblies, parts, etc., which have to work together as a whole to deliver the offered product's functionalities at specified performance levels in the intended operations environment. Product integration entails not only the working together of hardware and software components, but also the organization, processes, people, facilities, and the resources for the manufacturing, distribution, maintenance, customer support, sales channels, etc. Grady (2010) groups the above information into three fundamental integration components: functional organization, product integration, and process integration.

PSE plays an important role to ensure well defined interfaces, interactions, relationships, information exchange, and processes requirements between product components. These requirements are baseline, documented, traced, verified, and validated for the end-to-end Product integration and to maintain and ensure product offering integrity during its life cycle. The systems engineering hierarchical decomposition level allows requirement definition and allocations at different levels of abstraction to define the building blocks of the product architecture; these building blocks are assigned to integrated product development teams (IPDTs) for detailed design and development. The IPDTs or the systems engineering integration team (SEIT) must interact with all involved players to generate appropriate architectural block specifications at the lower tier of development for a product's architectural configuration and configuration tracking. As the building blocks are put together, interface requirements, information exchange, and interaction and relationships among entities are verified against the baseline. Once a configuration item has been built and tested against the baseline, test and verification at higher levels are conducted to obtain the final product configuration; the final product configuration can only be changed by a formal approval from a configuration control board (CCB). Note: the acronym CCB is often used to mean the change control board that, in addition to configuration control, makes decisions of any aspect of a project or an enterprise.

Interface agreements, specifications, and interface designs are usually documented through the interface control documents (ICD) and the interface design descriptions (IDD); in some instances, depending on the complexity of the product and the type of internal and/or external interfaces, an interface control working group (ICWG) is created to analyze and baseline changes to an interface for further recommendation to the CCB.

A configuration item (CI) may be hardware (HWCI), software (SWCI), firmware, subsystems, assemblies, non-development items, commercial off-the-shelf (COTS) items, acquirer furnished equipment, and/or processes. Please see Wasson (2006), Grady (2006), and INCOSE *SE Handbook v. 3.2.2* for a more detailed description of configuration and interface control.

A product may experience hundreds of changes during its life cycle due to new product releases/enhancements, repair/replacement of parts, upgrades/updates in operating systems, computer infrastructure, software modules, organizational changes, changes in processes and/or methods and procedures, etc. Thus, strong mechanisms for bookkeeping and activity control need to be in place to identify, control, audit, account and trace interfaces, interactions, and relationships between entities that are required to maintain product configuration status (Eisner 2008). The product configuration and CI's are then controlled through the configuration management process.

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## Configuration Management and Risk Management

Configuration management (CM) deals with the identification, control, auditing, status accounting, and traceability aspects of the product, and broadly covers the book-keeping and control activities of the systems engineering process (Eisner 2001). Any product configuration changes to the baseline (configuration item, operational baseline, functional baseline, behavior baseline) or product baseline are submitted to a configuration control board (CCB) through an engineering change request (ECR) and/or a configuration change request (CCR). The CCB then analyzes the request to understand CI impacts and the feasibility (time and cost) of authorization or rejection of change request(s). The lack of proper control and tracking of CI and product baselines may result in a loss of features, functionality, data, interfaces, etc., leading to backtracking and CI version losses which may affect the offered product. All approved changes will have to be baselined, documented, and tested for backward compatibility and to ensure compliance with the integrated product functionality. Thus, successful implementation and life cycle management of the product mandates a highly disciplined CM process that maintains proper control over the product and its components. Please see the INCOSE *Systems Engineering Handbook* v. 3.2.2 (2012) for a detailed description of the CM Process.

Risk management deals with the identification, assessment, and prioritization of technical, cost, schedule, and programmatic risks in any system. Almost all engineered systems are designed, constructed, and operated under some level of risks and uncertainty while achieving multiple, and often conflicting, objectives. As greater complexities and new technologies are introduced in modern systems, the potential of risks have significantly increased. Thus, the overall managerial decision-making process should involve an extensive cost-benefit analysis of all identified, qualified, and evaluated risks (Haimes 2008). Risk management involves the coordinated and most cost-effective application of resources to minimize, monitor, and control the probability and/or impact of all identified risks within the systems engineering process. The risk management process requires the involvement of several disciplines and encompasses empirical, quantitative, and normative judgmental aspects of decision-making. Furthermore, risk assessment and management should be integrated and incorporated within the broader holistic approach so technology management can help align the risk management requirements to the overall systems engineering requirements. Thus, the inclusion of a well defined risk management plan that deals with the analysis of risks, within the systems engineering master plan is vital for the long term and sustained success of any system (Blanchard and Fabrycky 2011).

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# Product Systems Engineering Special Activities

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**Lead Author:** Ricardo Pineda

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Product systems engineering has activities that are unique to products. This article discusses many of them.

## Readiness Level Assessments

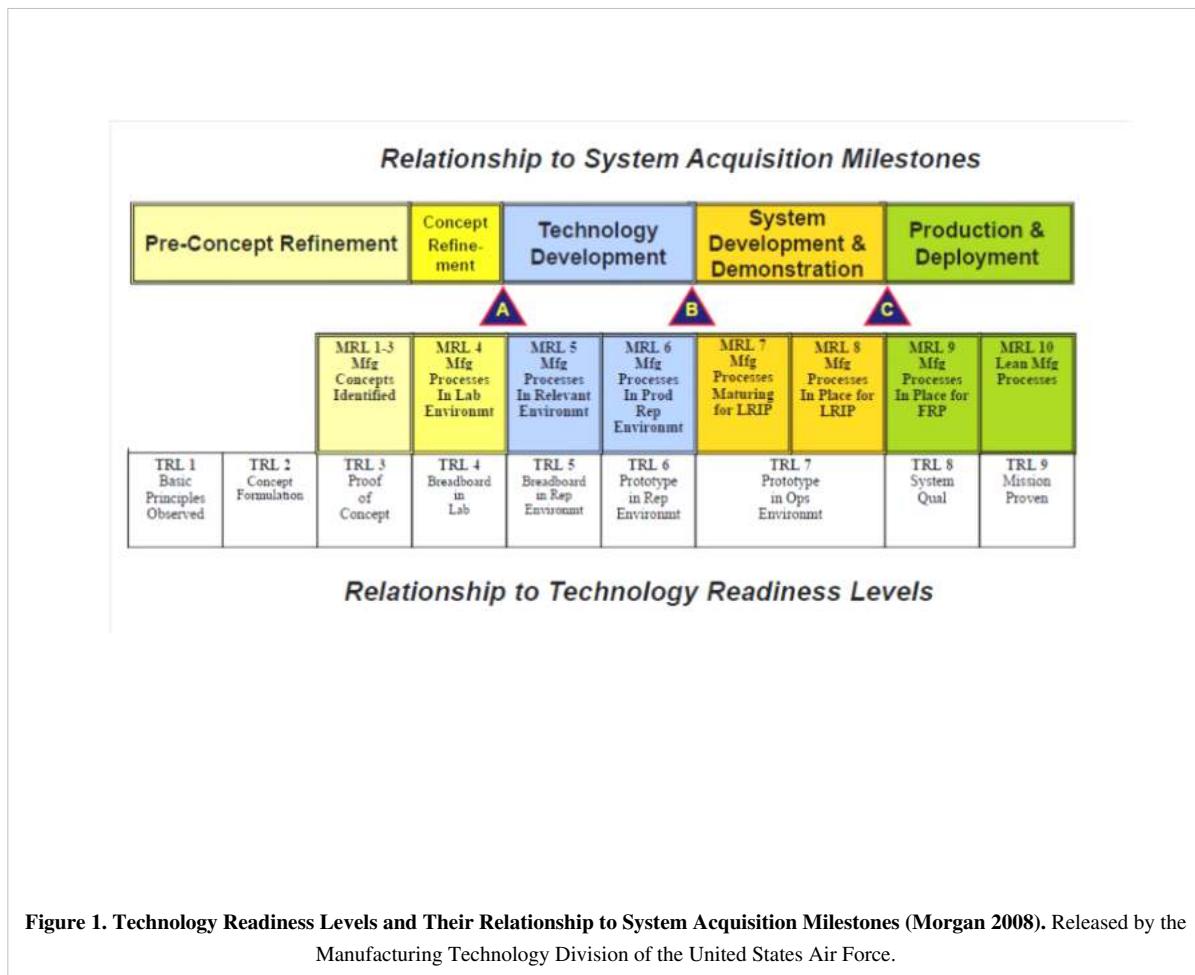
As a new system is developed, it is essential to verify and validate that the developed system is mature enough to be released as an operational product or service. Technology readiness assessments (TRA) are established tools used to qualify technology development and help make investment decisions within complex development programs in order to deploy systems or elements of technology to an end user in a timely fashion.

This notion of maturity was formalized by the US National Aeronautics and Space Administration (NASA) (Mankins 1995) and later modified for use by the Department of Defense (DoD), the Air Force Research Laboratory (AFRL), and the US Department of Energy (DoE), as well as a growing number of non-governmental organizations. Technology readiness levels (TRL) are a metric developed to summarize the degree of maturity of a technology. The original NASA TRL scale has nine different levels from the *basic principles observed and reported* (TRL 1) to *actual systems "flight proven" through successful mission operations* (TRL 9). The TRL scale utilized by the DoD is portrayed in Table 1.

**Table 1. Technology Readiness Levels for Assessing Critical Technologies (Mankins 1995). Released by the Advanced Concept Office, Office of Space Access and Technology, NASA.**

Technology Readiness Level	+ 1. Basic principles observed and reported.	+ 2. Technology concept and/or application formulated.	+ 3. An analytical and experimental critical function and/or characteristic proof of concept.	+ 4. Component validation in laboratory environment.	+ 5. Validation in relevant environment.	+ 6. Prototype demonstration in a relevant environment.	+ 7. Prototype demonstration in an operational environment.	+ 8. System qualified through test and demonstration.	+ 9. System demonstrated through mission in its final operations.	Actual application of the technology in its final form and under mission conditions, such as those encountered in operational test and evaluation.
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The utilization of TRLs has an impact on the structure and operation of life cycles as described in Part 3; they allow better management and control of risks inherent with technology, as well as better control of costs and the schedule of program development. However, TRLs do not provide an assessment of the programmatic influence on a TRL, technology criticality and priority, software aging and readiness context, as pointed out by Smith (2005). While TRLs have proven to be useful in evaluating a technology's performance, as demonstrated in the laboratory or in a test environment, they do not inform one whether or not the technology product can actually be produced in an affordable manner. The concept of manufacturing readiness levels (MRL) has been incorporated to expand the TRL idea so that it can incorporate producibility concerns. The MRL approach addresses questions such as the level of technology reproducibility, the cost of production, and technology manufacturing production environment early in the development phase (GAO 2003, DoD 2011).



**Figure 1. Technology Readiness Levels and Their Relationship to System Acquisition Milestones (Morgan 2008).** Released by the Manufacturing Technology Division of the United States Air Force.

Readiness levels are an active research area within academia and government agencies in regards to the integration of technology components into complex systems (integration readiness levels (IRLs)) to address interface maturity among existing and maturing technology developments. TRLs apply to the critical enabling technologies, which are usually embodied at the subsystem, assembly level, or system component level. Systems readiness levels (SRL) are used when going from individual technologies to the whole system. The SRL model is a function of the individual TRLs in a system and their subsequent integration points with other technologies, the IRL (Sauer 2006).

Another maturity aspect is related to the provisioning of products that are readily available and referred to as commercial off-the-shelf (COTS). Such products, be they hardware, software, or a mixture of both, have hopefully achieved the degree of maturity so that those acquiring them can rely upon their operational properties and that the documentation of the COTS products is sufficient to provide the proper guidance in their use.

The PSE should realize that the TRL assessment for COTS changes dramatically if the operational environment or other requirements are imposed that exceed the design limits of the COTS product (e.g., operations at very high or very cold temperatures, high shock, or vibration levels).

## Product Certification

Product certifications are both domain and product specific, and typically relate to human safety and health, the need to meet a specific government regulation, or are required by underwriters for insurance purposes. Certifications are performed by a third party (independent of the developer) who provides a guarantee of the quality, safety, and reliability of the product to the customer or user.

The INCOSE SE *Handbook* defines product certification as "the process of certifying that a certain product has passed performance or quality assurance tests or qualification requirements stipulated in regulations such as a building code or nationally accredited test standards, or that it complies with a set of regulations governing quality or minimum performance requirements." (INCOSE 2012)

The INCOSE SE *Handbook* also defines four methods for verification: inspection, analysis, demonstration, and testing (INCOSE 2012). In addition, it defines certification as a fifth verification method, which is defined as verification against legal or industrial standards by an outside authority without direction to that authority as to how the requirements are to be verified. For example, electronic devices require a CE certification in Europe, and a UL certification in the US and Canada (INCOSE 2012).

The best known certification is the airworthiness certification, which relates to the safety of flight for aircraft. In the US, the test for this certification is performed by the Federal Aviation Administration (FAA). Government certifications are also common in the medical systems field where the Federal Drug Administration (FDA) is the primary certification agency. Some certifications are based on standards defined by technical societies, such as the American Society of Mechanical Engineers (ASME). The combination of the technical standards and a certification allows product developers to perform certifications that meet government standards without having the government directly involved in the process.

There are equivalent government organizations in other countries and for other regulated areas, such as communications, building safety, nuclear systems, transportation systems to include ships, trains and automobiles, environmental impact, and energy use. Systems engineers must be aware of the certifications that are required for the domain and product being developed. Certification agencies must be involved early in the development effort to ensure the necessary certifications are included in the system requirements, the system development plan, and the funding provided to accomplish the development. When system changes and upgrades are necessary, the systems engineers must determine if product re-certification is necessary and include it in the plans and funding for the system upgrade.

## Enabling Product Certifications

There may be other certifications for enabling products that must be considered and appreciated by PSE, such as an operator certification of airplane pilots to ensure flight safety, and certification of nuclear plant operators to ensure prevention or mitigation of nuclear radiation effects. An example of this is shown in the certification program by the North American Electric Reliability Corporation (NERC):

*In support of NERC's mission, the System Operator Certification Program's mission is to ensure that employers have a workforce of system operators that meet minimum qualifications. These minimum qualifications are set through internationally recognized processes and procedures for agencies that certify persons. The Certification Program promotes excellence in the area of system operator performance and encourages system operators to be inquisitive and informed. (NERC 2012)*

Production qualification testing (PQT) is another type of certification which DAU (2005) describes as:

*A technical test completed prior to the full-rate production (FRP) decision to ensure the effectiveness of the manufacturing process, equipment, and procedures. This testing also serves the purpose of providing data for the independent evaluation required for materiel release so that the evaluator can address the adequacy of the materiel with respect to the stated requirements. These tests are conducted on a number of samples taken at random from the first production lot, and are repeated if the process or design is changed significantly and when a second or alternative source is brought online.*

Security certification and accreditation (C&A) is often required for the deployment of computing and networking equipment in a classified environment. Facility certification may be required to ensure that a building housing the equipment can provide the proper environment for safe and efficient operation of the equipment. High-altitude electromagnetic pulse (HEMP) certification may be required to ensure that a building and its equipment can withstand the effects of HEMP from nuclear weapons. A similar type of certification to HEMP is TEMPEST testing to ensure that sensitive electronic emissions are not allowed to leave high security facilities. TEMPEST is a code name referring to investigations and studies of compromising emission, and is not an acronym.

## Technology Planning and Insertion

Technology planning can be an enterprise function or a program function. Technology planning as an enterprise function typically occurs on an annual basis to determine the funding necessary for independent research and development in the coming year. Technology planning as a program function occurs early in the program and often continues throughout the life of the system. The design of the product system is highly dependent on the availability of technologies that have acceptable risks and that meet the customer's cost, schedule, and performance requirements. These critical technologies will only be available when necessary if the systems engineers perform concept designs, technology assessments, and trade studies that define the critical technologies and the capabilities necessary before the system development activities that will use the critical technologies begin.

The MITRE *Systems Engineering Guide* (MITRE 2011) provides the following definition for technology planning:

*Technology Planning is the process of planning the technical evolution of a program or system to achieve its future vision or end-state. Technology planning may include desired customer outcomes, technology forecasting and schedule projections, technology maturation requirements and planning, and technology insertion points. The goal is a defined technical end-state enabled by technology insertion over time.*

Systems engineers who participate in technical planning must understand the future vision and system requirements, and relate these to the current and expected future technologies that can be applied to the system design during current development stages, as well as for potential future upgrades to the system. To do this, systems engineers must acquire and maintain knowledge of the existing and developing technology in their design domain. The systems engineer will also provide the essential connection between the system user and research communities to provide alignment between the technology developers and the system designers.

Technology planning and insertion usually requires that the systems engineer perform technology readiness assessments that rate the maturity levels and the risks associated with the planned technologies. Immature, risky technologies require risk reduction activities that include prototyping and product development and test activities that provide quantification of the capabilities and risks. The risk reduction activities provide the data necessary to assess and update the design to reduce its risk.

## Product Road Mapping and Release Planning

Product road maps provide an outline that shows when products are scheduled for release and include an overview of the product's primary and secondary features. Both internal and external product road maps should be created. The form of the road map will depend on the development methodology being used. Waterfall, iterative, and spiral development models result in different road maps and release plans. The systems engineer must be an integral member of the team that creates road maps. Requirements should be mapped onto each of the planned releases. Test plans must be adapted to the development model and the release plans.

Product road maps should be aligned with the technology road maps that are applicable to the product. Technology maturity should be accomplished before the technologies are included in the product development plans and the road map for the product release that includes those technologies.

Product road maps are essential for software intensive systems that have many releases of software and capability upgrades. The identification of the requirements, the test plans, and the features provided for each release are an essential driver of the product development process. Clear definition of these items can make the difference between delivering the capabilities the customer is looking for and will support, or a product that fails to meet the needs of the customer and is abandoned.

## Intellectual Property Management

Systems engineers must also manage intellectual property as part of their job. Existing systems engineering literature rarely covers this topic. However, there are many textbooks and management related literature that provide additional information, such as "Intellectual Property Rights for Engineers" (Irish 2005). Intellectual property may be considered as *intangible output of the rational thought process that has some intellectual or informational value and is normally protected via using copyrights, patents, and/or trade secrets* (Irish 2005). Listed below are some of the more important intellectual property types with brief explanations:

- Proprietary Information: Any information which gives a company (or enterprise) an advantage over its competitors is usually proprietary.
- Patents: A patent is the principle mechanism for protecting rights for an invention or discovery. In exchange for a full disclosure of how to practice it, the issuing government will grant the right to exclude others from practicing the invention for a limited amount of time, usually 15 to 20 years (in the US, a patent usually lasts for 17 years from the date of issue).
- Design Patents: In some countries, these are referred to by the more appropriate term *design registrations* or some other name. They protect rights in ornamental designs, provided the designs are new and inventive, i.e., *non-obvious* at the time they are made. In the US, the maximum length of a design patent is 14 years.
- Trademarks: A trademark identifies the source of origin for goods in commerce, and is not stronger than the actual use to which it has been put to and the diligence with which it has been protected from infringement, encroachment, or dilution. Under some circumstances, a trademark may be registered with governmental agencies. Among a company's most valuable assets is the corporate name, which also is the company's primary trademark.
- Copyrights: A claim of copyright protects such works as writings, musical compositions, and works of art from being copied by others, i.e., from plagiarism. A notice of claim of copyright must be made in the manner prescribed by law at the time of a protected work's first publication.

## Parts, Materials, and Process Management

The consequences of mission failure or an inability to deploy the system on time due to parts, materials, and process (PM&P) issues needs to be clearly understood by the systems engineer since these elements are fundamental to the overall mission reliability and program success. PM&P management is especially important in harsh environments (like outer space and underwater) and in situations where system failure can have catastrophic impacts on public safety (like nuclear power, bridges and tunnels, and chemical processing plants).

Generally, original equipment manufacturers (OEMs) engaged in the design and fabrication of electronic systems have a documented policy that deals with PM&P, sometimes in the form of a PM&P Management Manual. The elements of a PM&P control program include things such as

- PM&P requirements that apply to a system;
- the generation number of a program or project approved parts list (PAPL);
- the appointment of a PM&P control board (PMPCB);
- the development of a part stress derating policy and a part parameter derating policy for end of life use; and
- a definition of the minimum qualifications, quality controls, and screening requirements for parts.

PM&P management guidance is provided by MIL-HDBK-512 (DoD 2001) and ANSI/AIAA R-100 (2001), which identify the overall management process elements of a PM&P program. Additional issues to be addressed by PM&P include the following: hazardous materials, rare earth elements, conflict materials, and counterfeit materials.

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# Knowledge Area: Service Systems Engineering

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## Service Systems Engineering

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The growth of services in the ever-evolving global economy has brought much needed attention to service science and service systems engineering (SSE). Research focuses on developing formal methodologies to understand enterprise-end-user (customer) interactions from both socio-economic and technological perspectives, and to enable value co-creation and productivity improvements. Service systems require trans-disciplinary collaborations between society, science, enterprises, and engineering. Service transactions are customized and personalized to meet a particular customer need. This requires a disciplined and systemic approach among stakeholders and resources to emphasize end-user satisfaction in the design and delivery of the service (Hipel et al. 2007; Tien and Berg 2003; Vargo and Akaka 2009; Maglio and Spohrer 2008; Maglio et al. 2010).

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Service Systems Background
- Fundamentals of Services
- Properties of Services
- Scope of Service Systems Engineering
- Value of Service Systems Engineering
- Service Systems Engineering Stages

### Introduction

New Service Development (NSD) has usually been a proprietary process closely guarded by product businesses and service businesses for their competitive advantage. Traditional systems engineering practices have been primarily applied in aerospace and defense sectors while SSE practices have been applied by information and communications technologies (ICT) service providers (Booz, Allen, and Hamilton 1982; Johnson et al. 2000; Eppinger 2001; Freeman 2004; Whitten and Bentley 2007; AT&T SRP 2008; Lin and Hsieh 2011).

These early efforts were, and in some instances remain, very important for product and service businesses. However, the growth and ubiquity of the World Wide Web, advances in computer science and ICT, and business process management through “social networking,” support the realization of closely interrelated service systems. Product business (manufacturing, agriculture, etc.) and service business distinctions are going away (Spohrer 2011).

These services, or service innovations, must take into account social aspects, governance processes, business processes, operational processes, as well as design and development processes. The customer, service provider, product provider, and intermediaries need to collaborate toward the optimization of customer experiences and customer provided value (through co-creation). The interrelations among different stakeholders and resources require that methodologies, processes, and tools be dynamically tailored and delivered for either foreseen or newly

discovered services to rapidly adapt to changing enterprise and end-user environments.

Even in the case of static, predetermined, interaction rules, the major problems faced in the definition, design, and implementation of services have been in understanding the integration needs among different systems, system entities, stakeholders, and in defining the information flows required for the governance, operations, administration, management and provisioning (OAM&P) of the service. (Maier 1998; Jamshidi 2008; Pineda 2010; Luzeaux and Ruault 2013). Thus, the 21st century technology-intensive services are "information-driven, customer centric, e-oriented, and productivity-focused" as discussed by Chesbrough (2011), Chang (2010), Tien and Berg (2003), and Hipel et al. (2007). A detailed discussion of these characteristics is given in the Value of Service Systems Engineering article within this KA.

## Service Systems Engineering Knowledge Area Topics

This knowledge area (KA) describes best practices in SSE during the service design process and outlines current research on methods, processes, and tools. It does not attempt to describe the initial efforts and research in service science that were proposed and introduced by International Business Machines (IBM) (Maglio and Spohrer 2008), but it does recognize their leadership in championing these concepts in undergraduate and graduate curricula.

The rest of the KA is organized in the following way:

The Service Systems Background article presents some background on the transition from a manufacturing economy toward the service economy brought by the World Wide Web through co-creation of end-user value. It describes how this transformation is impacting industries, such as healthcare, agriculture, manufacturing, transportation, supply chain, environmental, etc. The article also describes the scope of the SSE discipline's contributions to meeting the needs of the service sector companies in strategic differentiation and operational excellence (Chang 2010) by pointing out some differences between product-oriented systems engineering and SSE.

The Fundamentals of Services and Properties of Services articles take the reader through a general discussion of services and current attempts to classify different types of services, in particular, attention is paid to the properties of service systems for the service sector, such as transportation, environmental and energy services, consulting services, healthcare, etc.

The Scope of Service Systems Engineering and Value of Service Systems Engineering articles cover the value of SSE, defining (or using when available) service architecture frameworks, and the stages of the service development process from concept to life cycle management.

The Service Systems Engineering Stages article summarizes the major SSE process activities that need to be carried out during the service design process and the needed output (work products) in each of the service design process stages.

## Service Innovation and Value-Co-creation

Service innovation has several dimensions. Service innovation can come about through the creation of a service concept which is sufficiently different that it is not merely an improved service, but in reality is a new service concept. To maintain the rigor and value of innovation, it is necessary to distinguish between an improved service, which may generate some additional value, and a truly new and innovative service concept, which may generate a great deal of value. Dr. Noriaki Kano, a renowned quality management guru, has suggested that every service concept has its inherent attributes and we should strive to continuously improve upon these; but this is not innovation (Kano 1996).

To be innovative, the change in a value proposition cannot be incremental, but it must be enough to significantly impact customer and competitor behavior (e.g., new market creation). Value innovation involves a shift in perspective of customer needs that requires a rethinking of what service value proposition is delivered (Kano 1996).

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Innovation can also come through a significant change in the way or the reason the customer is engaged or connected. In a service value chain the customer may well change from being just a receiver of service value to becoming a co-creator, or an active participant in the design and delivery, i.e., service transaction of service value. At the retail level, when a customer designs the time, route, and price selection for a plane ticket purchased online, he is co-creating the service. Value innovation involves a shift in perspective of customer needs that requires a rethinking of how a service value proposition is delivered (Bettencourt 2010).

Finally, service innovation can come through significant changes in the way the enterprise is organized to create a service value proposition from concept through delivery. A considerable improvement in the enterprise structure and/or governance can be seen as innovation. Value innovation involves a shift in perspective of customer needs that requires a rethinking of how an enterprise organizes to support a service value proposition.

Continuous improvement can be reasonably planned and predicted while innovation and breakthroughs cannot. The most effective way to obtain innovation and breakthroughs is to encourage the culture, environment, and atmosphere that are conducive to innovation and breakthroughs. Innovative co-creation requires the integration of people, ideas, and technology for the purpose of creating value for themselves, their customers, companies, and society.

The lone inventor sees a problem and must work to create the solutions to all dimensions of the problem. Co-creators see the problem and realize that there may already be several creators, each already having a piece of the solution. Co-creation embraces the value of things "not invented here" because of the velocity they can bring to ideation and time to market. This service innovation process is facilitated by modern mass (and at the same time, personal) communication technology evident in social networking platforms.

## Towards a Discipline of Service Systems Engineering

Mindful of the evolution taking place in the global economy and the world markets, it would be futile to attempt covering all the major advances and the boundless possibilities in the services sector for the rest of the century. The services sector covers wide areas of application studied in many different fields (e.g., business science, social science, cognitive science, political science, etc.). The field of service systems, a trans-disciplinary analysis and study of services, was only introduced 10 to 15 years ago. As a consequence, much of the existing literature on services and service-innovation is scattered. The main objective of this KA is to document the systems engineering processes, methodologies, and existing tools as applied to the service design process, and to introduce critical SSE challenges and research areas.

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# Service Systems Background

Economies are pre-disposed to follow a developmental progression that moves them from heavy proportional reliance on agriculture and mining toward the development of manufacturing, and finally toward more service-based economic activity. As reported by the Organization for Economic Co-Operation and Development (OECD) in its "Science, Technology, and Industry (STI) Forum on The Service Economy":

*The reason that we see a services economy today, and gather to talk about it and recognize its importance is because technology has allowed service industries to gain the operational leverage that manufacturing achieved 100 years ago. In addition to banks, health systems, telephone and telecommunications networks, and distribution and retailing firms are further examples of sectors that have been able to benefit from economies of scale. As a result, we are now living in a world where global-scale service companies exist for the first time, whereas we have seen global manufacturing companies for 50 years or more.* (OECD 2000, 8)

## Evolution Toward Service-Based Economies

The typical industry example given of this progression toward services is the company International Business Machines (IBM). Even though IBM still produces hardware, they view their business as overwhelmingly service-oriented wherein hardware plays only an incidental role in their business solutions services; the fastest line of business growth within IBM has been the business-to-business (B2B) services: information technology (IT); for example, data centers and call centers; business process outsourcing/re-engineering; systems integration; and organizational change.

Business to government (B2G) is forecasted to have the fastest growth in the years to come (Spohrer 2011). For IBM, this trend started in 1989 with the launch of business recovery services; it accelerated with the acquisition of Price-Waterhouse Coopers Consultants in 2002 and culminated with the 2005 sale of the laptop (ThinkPad) manufacturing, their last major hardware operation.

IBM exemplifies the services trend which has accelerated in the last 25-30 years and as of 2006, the services produced by private industry accounted for 67.8% of U.S. gross domestic product (GDP). The top sub-sectors included real estate, financial, healthcare, education, legal, banking, insurance, and investment. Production of goods accounted for 19.8% of GDP. The top product sub-sectors included manufacturing, construction, oil and gas, mining, and agriculture (Moran 2006).

Beginning in the mid-1990s, the concept of a product-service system (PSS) started to evolve. PSSs have been adopted by businesses interested in using the model to bring not only added value to their existing offerings, but capital-intensive, environmentally favorable products to market (Mont and Tukker 2006).

There are some definitional issues in any discussion of PSS, including the fact that services can sometimes be considered as products, and services invariably need physical products to support their provisioning or delivery (2006). A PSS is comprised of tangibles and intangibles (activities) in combination to fulfill specific customer requirements, or ideally, to allow applications to be co-created flexibly by linking loosely coupled agents, typically over a network (Domingue et al. 2009). Research has shown that manufacturing firms are more amenable to producing "results" rather than solely products as specific artifacts and that end users are more amenable to consuming such results (Cook 2004; Wild et al. 2007).

The popularity of wikis, blogs, and social networking tools is strong evidence that "Enterprise 2.0" is already well under way; Andrew McAfee describes Enterprise 2.0 as "the use of emergent social software platforms within companies, or between companies and their partners or customers" (McAfee 2009). However, the integrated access to people, media, services, and things, provided by the Future Internet, will enable new styles of societal and economic interactions at unprecedented scales, flexibility, and quality. These applications will exploit the wisdom of

crowds and allow for mass collaboration and value co-creation.

The future internet will provide location independent, interoperable, scalable, secure, and efficient access to a coordinated set of services (Tselentis et al. 2009), but such a broad vision demands a sound and well-defined approach for management and governance.

Current application service providers like Amazon, Facebook, Twitter, eBay, and Google must mediate between the business challenges enabled by network and IT convergence and customers (enterprise or consumer) demanding new and more value-adding services enabled by social networks (TMFORUM 2008). The differences between IT and communications technologies are disappearing; internally-focused processes (back-stage processes) for operations optimization are now being strongly tied to the customer facing (front-stage) processes for value co-creation and delivery. In this scenario, the enterprise's internal organization and employees are embedded in the service value chain to benefit customers and stakeholders. In the service-dominant logic (S-DL) for marketing (Vargo and Lusch 2004), service is the application (through deeds, processes, and performances) of specialized operant resources (knowledge and skills) for the benefit of another entity or the entity itself. The emphasis is on the process of doing something for, and with, another entity in order to create value; a service system is thus a system of interacting and interdependent parts (people, technologies, and organizations) that is externally oriented to achieve and maintain a sustainable competitive advantage (IFM 2008; Maglio and Spohrer 2008).

The future internet is expected to be more agile, scalable, secure, and reliable, demanding rapidly emerging applications/services with different requirements and implications for the Future Internet design that pose a significant set of problems and challenges, in particular, "the fragmentation of knowledge and the isolation of the specialist as well as the need to find new approaches to problems created by earlier 'solution of problems,'" (Skyttner 2006). The service systems engineering discipline may inform the discussion and offer potential multidisciplinary environments and trans-disciplinary solutions.

The internet has been successfully deployed for several decades due to its high flexibility in running over different kinds of physical media and in supporting different high-layer protocols and applications, including traditional file transfer, email, and client-server-based Web applications, among others.

## Business Dependence on Service Systems

Most people and enterprises are heavily dependent on service interactions, including entertainment, communications, retail, education, healthcare, etc., brought about by emerging services, such as video on demand, web conferencing, time-shift services, place-shift and device-shift services, enterprise applications (e.g., enterprise resource planning (ERP), customer relationship management (CRM), manufacturing resource management (MRM), software configuration management (SCM), etc.), software as a service (SaaS), platform as a service (PaaS), cloud services, peer-to-peer (P2P) services, etc. A common denominator in the set of services mentioned is that applications are offered as services by the interaction of service system entities and thus they are service based applications (SBA).

Thus, "A service based application is obtained by composing various service system entities to satisfy the desired functionality" (Andrikopoulos et al. 2010). SBAs are heavily dependent on web services development, such as Web services 2.0 (WS). Software systems engineering (SwSE) plays a very important role in a business dependent on a service system. However, another important role is played by human interfaces, organizational development and technology development; for instance, governance (rules & regulations) and technology research and development are required for future services in healthcare services, intelligent transportation services, environmental services, energy services, etc. to address societal challenges of the 21st century (sustainability, energy, etc.) as presented by (Vest 2010) if we were to face those challenges as an ecosystem.

## Service System Example

In an intelligent transport system-emergency transportation operation (ITS-ETO), the service goal is to provide safe evacuation, prompt medical care, and improved emergency management service. Typically, a traveler can request service through an emergency call or automated crash report feature, or a public safety officer on location can request service based on customer features and access rights.

The ITS-ETO service system utilizes advances in communication and information systems (technology and information enabler) to access essential, real-time data about conditions on routes throughout the affected area and coordinate operational and logistical strategies in cooperation within all service entities (organization processes). In a critical emergency situation, when patient conditions are continuously changing, ITS can help identify the appropriate response and get the correct equipment (infrastructure enabler), such as a helicopter and emergency personnel (people enabler), to and from the scene quickly and safely.

Efficient and reliable voice, data, and video communications (application enabler) further provide agencies with the ability to share information related to the status of the emergency, the operational conditions of the transportation facilities, and the location of emergency response resources to help communicate and coordinate operations and resources in real time. Advances in logistical and decision-making tools can enable commanders and dispatchers to implement strategies as conditions change (decision making).

It is also critical to receive information on the environmental conditions (storm, hazardous materials, multi-vehicle crashes, etc.) and/or road closures when coordinating evacuations. The availability of real-time data about transportation conditions, coupled with decision-making tools, enables more effective responses and coordination of resources during emergencies. ITS-ETO also enhances the ability of transportation agencies to coordinate responses with other stakeholders/entities.

As a result, increased data accuracy, timeliness, and automation leads to better use of resources, and reuse of exchanges, resulting in time and cost savings. Enhanced response and management leads to greater situational awareness and more effective reactions with the ability to identify and utilize the appropriate equipment, resulting in a more efficient response at the right time (output) (US DOT 2011). Figure 1 below lists the possible stakeholders in a service system.

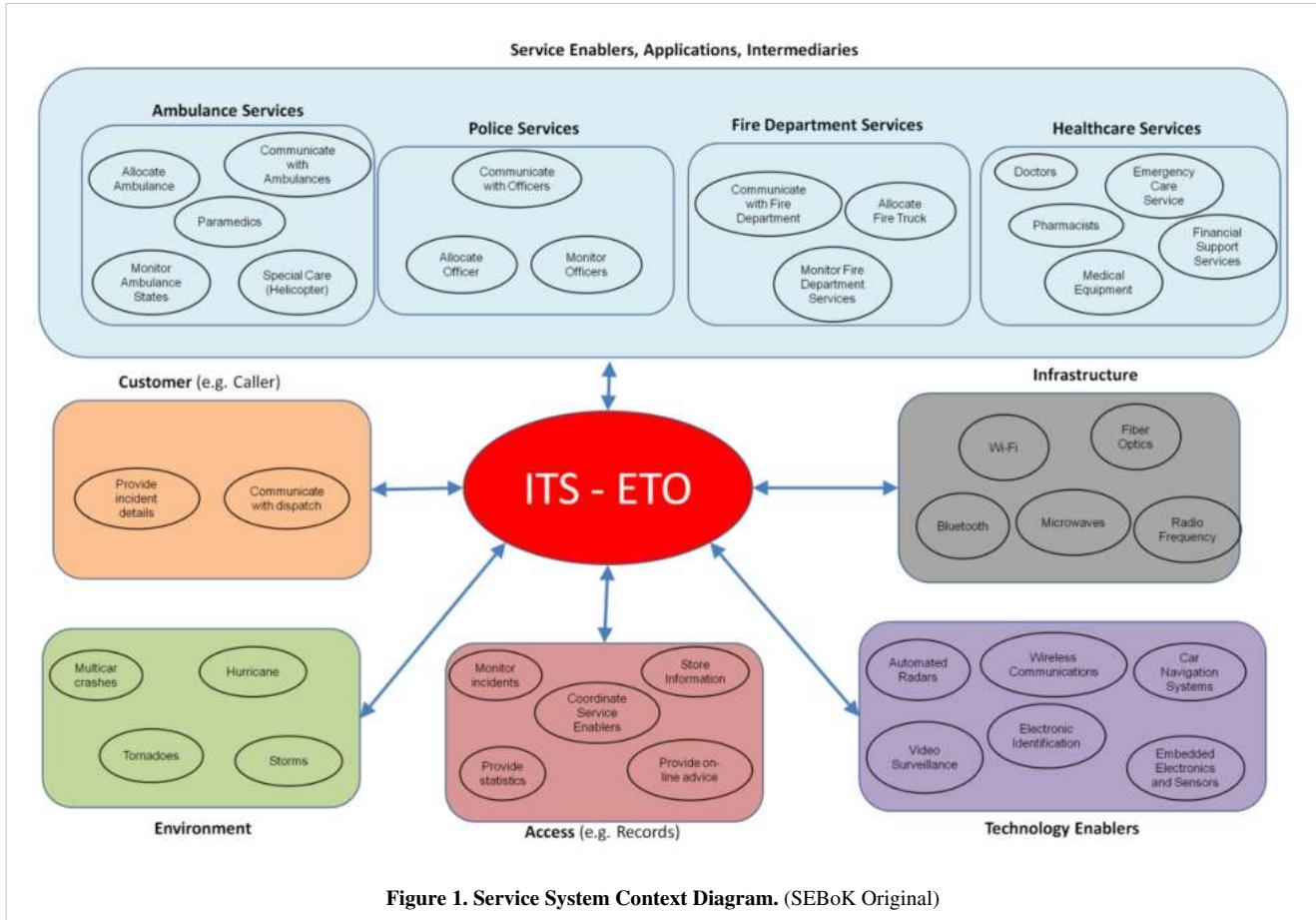


Figure 1. Service System Context Diagram. (SEBoK Original)

As seen in the above example, the service activities are knowledge-intensive; well defined linkages (including access rights) and relationships among different entities give rise to the needed service systems interactions for the service system to be successful. As the world becomes more widely interconnected, and people become better educated, the services networks created by the interaction of the service systems will be accessible from anywhere, at any time, by anyone with the proper access rights.

Knowledge agents are then humans creating new linkages of information to create new knowledge which "can later be embedded in other people, technology, shared information, and organizations." Thus, people can be considered as individual service systems with "finite life cycles, identities (with associated histories and expectations), legal rights and authority to perform certain functions, perform multitasking as a way to increase individual productivity output in a finite time, and engage in division-of-labor with others to increase collective productive output in finite time" through service transactions enabled by their access rights (Spohrer and Kwan 2008).

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**SEBoK v. 2.7, released 31 October 2022**

## Fundamentals of Services

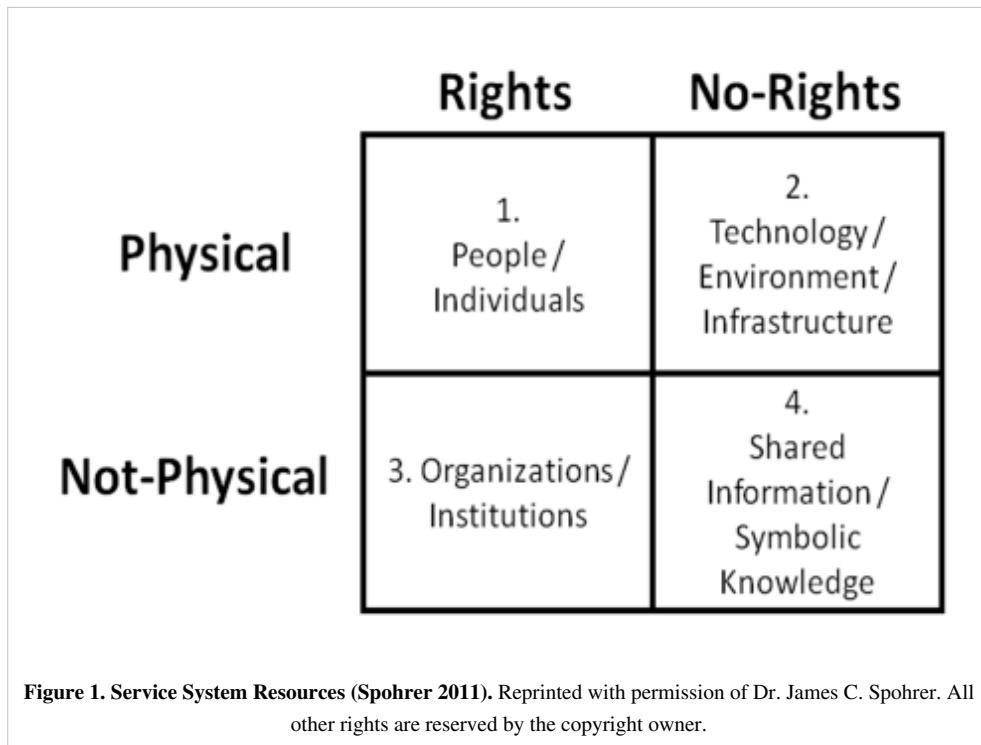
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**Lead Authors:** Ricardo Pineda, Bud Lawson

Services are activities that cause a transformation of the state of an entity (a person, product, business, region, or nation) by mutually agreed terms between the service provider and the customer. Individual services are relatively simple, although they may require customization and significant back-stage support (e.g., database, knowledge management, analysis, forecasting, etc.) to assure quality and timely delivery. Product services are also relatively straightforward as product specifications, performance standards, quality control, installation guidelines, and maintenance procedures require good communication and understanding between providers and users. Business services can be rather complex; some may involve intensive negotiations, work process alignment, quality assurance, team collaboration, and service coproduction. Moreover, Chang (2010) states that: "Regional and National services are even more complex, as they may affect policy, custom regulations, export permits, local business practices, logistics, distribution, and other such issues" (see also Complexity).

### Service Systems

The service and/or set of services developed and accessible to the customer (individual consumer or enterprise) are enabled by a service system. Service system stakeholders may interact to create a particular service value chain to be delivered with a specific objective (Spohrer and Maglio 2010). Service system entities dynamically configure four types of resources: people, technology/environment infrastructure, organizations(glossary)/institutions, and shared information/symbolic knowledge. Service systems can be either formal or informal in nature. In the case of formal service systems, the interactions are contracted through service level agreements (SLA). Informal service systems can promise to reconfigure resources without a written contractual agreement; in the case of the emergency transports operations example discussed in the Service Systems Background article, there is no formal contractual agreement (i.e., SLA) between the user requesting the service and the agency providing the service other than a "promise" for a quick and efficient response. SLAs are written contracts between and among service system entities, as well as the legal system for enforcing the contracts. The study of informal service systems contains the study of relationships (communications, interactions, and promises) between service systems and social systems, cultural norms and beliefs, as well as political systems that can maintain those relationships (Spohrer and Kwan 2008). The resources are either physical or non-physical and have rights or no rights. See Figure 1 below:



**Figure 1. Service System Resources (Spohrer 2011).** Reprinted with permission of Dr. James C. Spohrer. All other rights are reserved by the copyright owner.

## Service Value Chain

SLAs and policies specify the conditions under which services system entities reconfigure access rights to resources by mutually agreed value propositions. Current management frameworks typically focus on single service system entity interfaces. They neither use SLAs for managing the implementation and delivery of services nor do they recognize/support the fact that many services may be composed of lower-level services, involve third-party providers, and rely on possibly complex relationships and processes among participating businesses, information communications, and technologies (CoreGRID 2007). While SLAs are mapped to the respective customer requirements, policies are provider-specific means to express constraints and rules for their internal operations. These rules may be independent of any particular customer (Theilmann 2009).

In service systems practice, we describe the service value chain in terms of links among the entities connected via the Network Centric operations of service systems. For instance, value could then be created and delivered in terms of e-services, such as business-to-business (B2B), business to consumer (B2C), business to government (B2G), government-to-business (G2B), government-to-government (G2G), government-to-consumer (G2C), etc. The emerging service in this case interacts or “co-produces” with their customer via the World Wide Web as compared to the physical environment in which the traditional, or brick and mortar, service enterprises interact with their customers.

The services sector requires information as input, involves the customer at the production/delivery stage, and employs mostly qualitative measures to assess its performance, i.e., technology-intensive services are “information-driven, customer centric, e-oriented, and productivity-focused” (Tien and Berg 2003; Hipel et al. 2007; Chesbrough 2011). Chang (2010) defines these features in this manner:

- **Information Driven:** The creation, management, and sharing of information is crucial to the design, production, and delivery of services.
- **Customer Centric:** Customers are generally the co-producer of the services, as in the case of self-service. Customers require a certain degree of self-adaptation or customization and customers must be satisfied with the rendered services.

- **E (electronics) Oriented:** Services are becoming increasingly e-oriented. Thus, e-access, e-commerce, and e-customer management are crucial to e-services.
- **Productivity Focused:** Both efficiency and effectiveness are important in the design, delivery, and support of services.
- **Value Adding:** Services need to provide some value for the target clients. For profit-seeking service companies, the value produced for customers assures the company's profitability. For non-profit service entities, the value produced for customers reinforces the quality of a service entity's policy.

A service system is defined by its value co-creation chain in which stakeholders work in open collaboration to deliver consistently high quality service according to business goals, service goals, and customer goals. A value proposition can be viewed as a request from one service system to another to run an algorithm (the value proposition) from the perspectives of multiple stakeholders according to culturally determined value principles. The four primary stakeholder's perspectives in regards to value are the customer, provider, authority, and the competitors. Figure 2 below depicts value calculations from multiple stakeholder perspectives.

**Table 1. Value Calculation from Different Stakeholders' Perspectives (Spohrer 2011).  
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Stakeholder Perspective (the players)	Measure Impacted	Pricing Decision	Basic Questions	Value Proposition Reasoning
1. Customer	Quality (Revenue)	Value Based	Should we? (offer it)	Model of customer: Do customers want it? Is there a market? How large? Growth rate?
2. Provider	Productivity (Profit, Mission, Continuous Improvement, Sustainability)	Cost Plus	Can we? (deliver it)	Model of self: Does it play to our strengths? Can we deliver it profitability to customers? Can we continue to improve?
3. Authority	Compliance (Taxes and Fines, Quality of Fire)	Regulated	May we? (offer and deliver it)	Model of authority: Is it legal? Does it compromise our integrity in any way? Does it create a moral hazard?
4. Competitor (Substitute)	Sustainable Innovation (Market Share)	Strategic	Will we? (invest to make it so)	Model of competitor: Does it put us ahead? Can we stay ahead? Does it differentiate us from the competition?

From an engineering design point of view, the service and business goals are an entry point through which to analyze the business architectures (including organization and processes) needed, which in turn demand alignment between the information technology (IT) components and technology architecture to achieve the goals. From a systems engineering perspective, the next step is to identify service system entities that could participate in the service delivery (people, organizations, technologies, processes, etc.).

## Service System Entities

Spath and Fahnrich (2007) defined a service meta-model comprised of nine types of **entities**:

1. **Customers**: customer features, customer attitudes, and customer preferences;
2. **Goals**: business goals, service goals, customer goals, and enterprise culture goals;
3. **Inputs**: physical, human beings, information, knowledge, currency, and constraints;
4. **Outputs**: physical, human beings, information, knowledge, currency, and waste;
5. **Processes**: service provision, service operations, service support, customer relationships, planning and control, and call center management;
6. **Human Enablers**: service providers, support providers, management, and owner organization (enterprise);
7. **Physical Enablers**: owner organization (physical), buildings, equipment, furnishings, and location;
8. **Informatics Enablers**: information, knowledge, procedures and processes, decision support, and skill acquisition; and
9. **Environment**: political factors, economic factors, social factors, technological factors, environmental factors, legal factors (PESTEL), and physical factors.

Thus, a service or service offering is created by the relationships among service system entities (including information flows) through business processes into strategic capabilities that consistently provide superior value to the customer. If we were to represent the service as a network diagram (as in Figure 3 below), then the entities represent the nodes and the links represent the relationships between nodes.

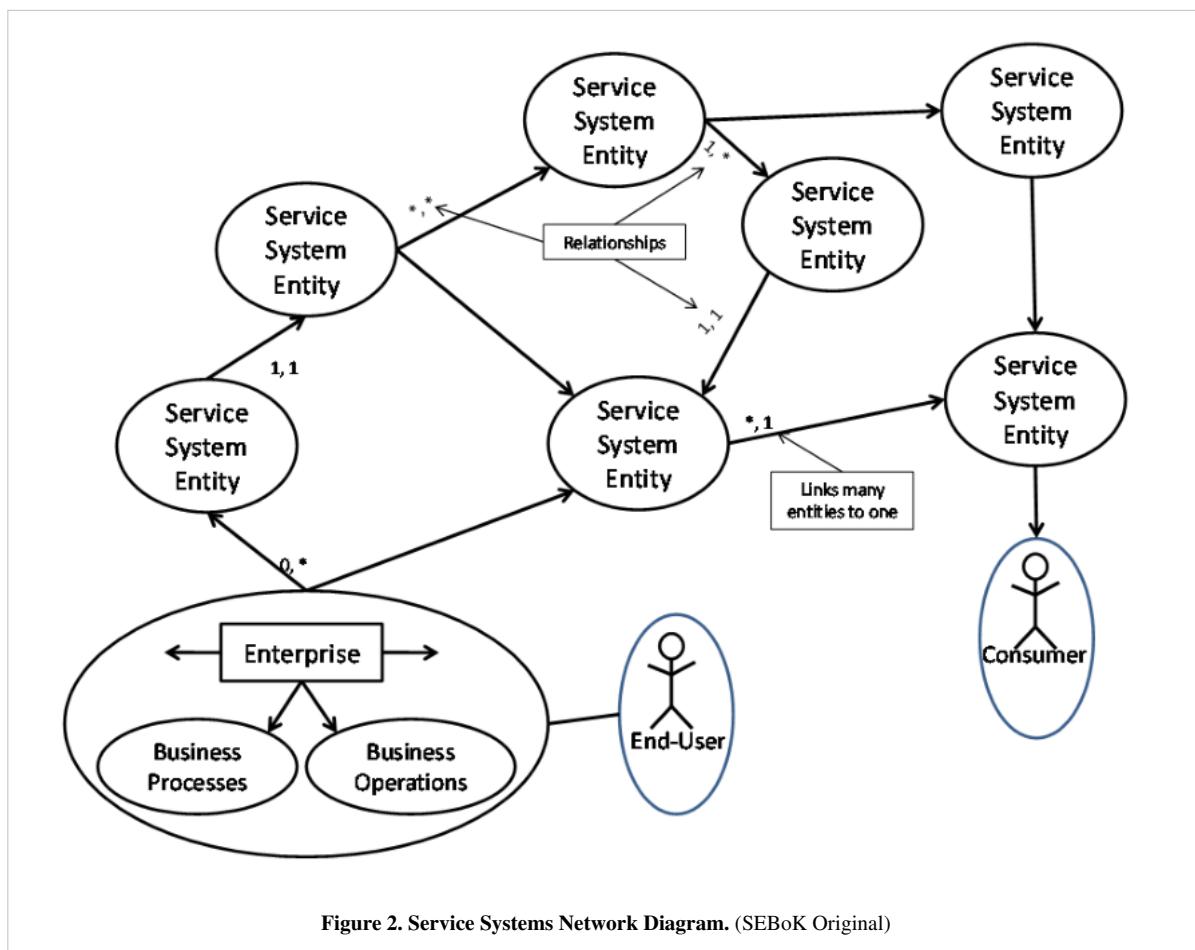
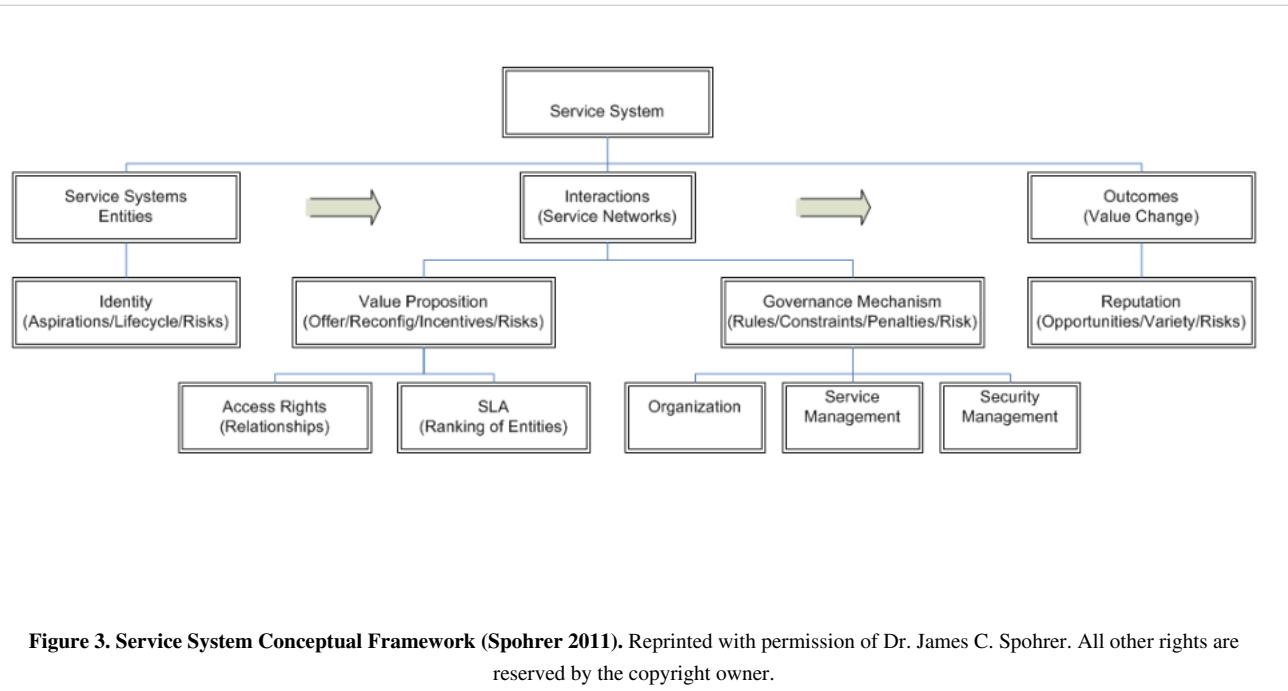


Figure 2. Service Systems Network Diagram. (SEBoK Original)

## Service System Hierarchy

Systems are part of other systems which are often expressed by systems hierarchies (Skyttner 2010) to create a multilevel hierarchy, and thus the service system is composed of service system entities that interact through processes defined by governance and management rules to create different types of outcomes in the context of stakeholders with the purpose of providing improved customer interaction and value co-creation. Examples of service system entities are business enterprises, nations, or in the simplest form, a person (consumes and produces services).

Using the hierarchical approach, Spohrer conceptualizes an ecosystem at the highest level in which a service system is an entity of its own. This concept is extended to create the service system hierarchy as described in Figure 4 below (Spohrer 2011; Maglio and Spohrer 2008; Maglio et al. 2010).



**Figure 3. Service System Conceptual Framework (Spohrer 2011).** Reprinted with permission of Dr. James C. Spohrer. All other rights are reserved by the copyright owner.

## Service System Attributes

The fundamental attributes of a service system include togetherness, structure, behavior, and emergence. As mentioned earlier, today's global economy is very competitive and a service system may be very competitive in a given environment at a given time (the business space). The service system's trajectory should be well controlled as time goes by (Qiu 2009) since services are "real time in nature and are consumed at the time they are co-produced" (Tien and Berg 2003), that is, during service transactions.

The service system should evolve and adapt to the conditions within the business space in a manner which ensures that the customized service behaves as expected. This adaptive behavior of service systems implies that their design must be truly trans-disciplinary:

*They must include techniques from social science (i.e., sociology, psychology, and philosophy) and management (i.e., organization, economics, and entrepreneurship). As a consequence, Systems, Man, and Cybernetics (SMC) must expand their systems (i.e., holistic oriented), man (i.e., decision-oriented), and cybernetics methods to include and be integrated with those techniques that are beyond science and engineering. (Hipel et al. 2007)*

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# Properties of Services

**Lead Authors:** Ricardo Pineda, Bud Lawson, Brian Wells

A service is realized by the service system through the relationships of service system entities that interact (or relate) in a particular way to deliver the specific service via a service level agreement (SLA). Current management frameworks typically only focus on the interfaces of single service system entities. Meanwhile, SLAs are mapped to the respective customer requirements. These policies are provider-specific means to express constraints and rules for their internal operations. These rules may be independent of any particular customer (Theilmann 2009).

Services not only involve the interaction between the service provider and the consumer to produce value, but have other attributes, like an intangible quality of service (e.g., an ambulance service's availability and response time to an emergency request). The demand for a service may have varying loads dependent on the time of day, day of week, season, or other unexpected needs (e.g., natural disasters, product promotion campaigns, etc.). In the US for instance, travel services have peak demands during Christmas week; Mother's day is usually the highest volume handling day for a telecommunications provider and tax services peak during extended periods (January through mid-April). Services cannot be inventoried; they are rendered at the time they are requested.

Additionally, for a business enterprise, delivering the service at the minimum cost while maximizing its profits may be the service objective. In contrast, for a non-profit organization the objective may be to maximize customer satisfaction while optimizing the resources required to render the service (e.g., during a natural disaster). Thus, the design and operations of service systems "is all about finding the appropriate balance between the resources devoted to the systems and the demands placed on the system so that the quality of service to the customer is as good as possible" (Daskin 2010).

## Service Level Agreement

A SLA is a set of technical (functional) and non-technical (non-functional) parameters agreed among customers and service providers. SLAs can and do contain administrative level (non-functional) business related parameters, such as SLA duration, service availability for the SLA duration, consequences for variations, failure reporting, priorities, and provisions for modifications to the SLA. However, for service level management, the service level (technical) parameters need to be defined, monitored, and assessed; these parameters may include such things as throughput; quality; availability; security; performance; reliability, for example, mean time between failure (MTBF), maximum downtime, and time-to-repair; and resource allocation.

An SLA represents the negotiated service level requirements (SLR) of the customer and should establish valid and reliable service performance measures since it is usually the basis for effective service level management (SLM). The goal of SLM is to ensure that service providers meet and maintain the prescribed quality of service (QoS). However, care should be taken since in some domains the term QoS refers only to resource reservation control mechanisms rather than the achieved service quality (e.g., internet protocol (IP) networks). Some terms used to mean the "achieved service quality" include quality of experience (QoE), user-perceived performance, and degree of satisfaction of the user; these other terms are more generally used across service domains.

Non-functional properties fall into two basic categories: business properties, such as price and method of payment, and environmental properties, such as time and location. Business and environmental properties are classified as "context properties" by Youakim Badr (Badr et al. 2008). QoS properties are characteristics such as availability,

resilience, security, reliability, scalability, agreement duration, response times, repair times, usability, etc. Therefore services evaluation measures are customer oriented and include not only traditional performance metrics (productivity, quality, etc.), but also require a comprehensive analysis of the service system from an end-to-end perspective. Service evaluation typically includes customer demand-supply to ensure economic viability across the lifecycle of the service system. Furthermore, the service delivery is evaluated using the key technical performance metrics listed above, adding also Service Process Measures (provisioning time, time-to-restore/repair, etc.) and Technical Performance Measures (end-to-end response times, latency, throughput, etc.). Finally, the service system's SLAs are then the composition of these categories evaluated on a systemic level to ensure consistency, equity, and sustainability of the service to assure that the desired/contracted SLA for customer satisfaction, value co-creation, and high system robustness are realized. (Spohrer 2011; Tien and Berg 2003; Theilmann and Baresi, 2009)

## Service Key Performance Indicators

Service key performance indicators (KPI) are defined and agreed to in the SLA; the service KPIs are decomposed into service process measures (SPM) and technical performance measures (TPM) during the analysis stage of the service systems engineering (SSE) process. In the design process, the KPIs and TPM are allocated to service system entities and their components, as well as to the business processes and their components so as to ensure compliance with SLAs. The allocated measures generate derived requirements (SLR) for the system entities and their relationships, as well as for the service entities' components and the data and information flows required in the service systems to monitor, measure, and assess end-to-end SLA. These allocations ensure that the appropriate performance indicators apply to each of the links in the service value chain.

TPMs are typically categorized by the number of defective parts in a manufacturing service, data transmission latency and data throughput in an end-to-end application service, IP QoS expressed by latency, jitter delay, and throughput; SPMs are typically categorized by service provisioning time, end-to-end response times to a service request (a combination of data and objective feedback), and quality of experience (QoE verified by objective feedback). Together, the KPI (TPM combined with SPM) and perception measures make up the service level management function. A quality assurance system's (QAS) continuous service improvement (CSI), processes, and process quality management and improvement (PQMI) should be planned, designed, deployed, and managed for the capability to continuously improve the service system and to monitor compliance with SLAs (e.g., PQMI, capability maturity model integration (CMMI) (SEI 2007), International Organization for Standardization (ISO) Standards 9001 (ISO/IEC 2008), Telecom Quality Management System Standards (TL 9000) (QuEST Forum 2012), Information Technology Infrastructure Library (ITIL) v. 3 (OGC 2009), etc.).

As discussed earlier, QoS needs to correlate customer perceived quality (subjective measures) with objective SPM and TPM measures. There are several techniques available to help monitor, measure, and assess TPM's, but most are a variation on the theme of culling information from TPM's using, for example, perceptual speech quality measure (PSQM) and perceptual evaluation of video quality (PEVQ) and enhancing or verifying this information with customer or end-user perception of service by extending mean opinion score (MOS) techniques/customer opinion models (Ray 1984). Telecommunication systems engineering (TCSE) played an important role in finding methodologies for correlation between perception and objective measures for the services of the twentieth century; SSE should continue to encourage multidisciplinary participation to equally find methodologies, processes, and tools to correlate perceived service quality with TPM and with SPM for the services of the twenty-first century (Freeman 2004).

Subjective (qualitative) service quality is the customer's perceived conformity of the service with the expected objective. Word-of-mouth, personal needs, and past experiences create customer expectations regarding the service. The customers' perception of the service must be captured via surveys and interviews. The customers' perception of the service is then compared with their expectations for the service; this process captures the perceived service quality. Care should be taken to understand that subjective measures appear to measure customer attitudes, and

attitudes may be the result of several encounters with the service, as well as numerous encounters with similar services.

In summary, the SLA documents the SLRs and establishes reliable and valid service performance measures, technical parameters, and the agreed performance levels for the technical parameters. The technical parameters are then monitored and continuously compared against both objective and subjective data culled from multiple internal and external sources (service level management). The goal is not to report the level of service in a given period, but to develop and implement a dynamic system capable of predicting and driving service level improvement over time (i.e., continual service improvement (CSI)).

## Evolution of Services

The second, third, and fourth decades of the twenty-first century will almost certainly see similar, and probably accelerated, technology development as seen in the prior three decades. Mass collaboration will become an established mode of operation. The beginnings of mass collaboration have manifested in developments such as value co-creation where loosely entangled actors or entities come together to create value in unprecedented ways, but ways that meet mutual and broader market requirements. Further developments in the technology, use, and acceptance of social media will continue to fuel the acceleration of these developments.

The next decades will see the grounding of concepts, such as crowdsourcing, coined by Jeff Howe in a June 2006 *Wired* magazine article; open innovation, promoted by Henry Chesbrough, a professor and executive director at the Center for Open Innovation at Berkeley; and mass collaboration and open source innovation supported by Enterprise 2.0 tools, as conceived by Wikinomics consultant Don Tapscott.

Roberto Saracco, a telecommunications expert specializing in analyzing economical impacts of technology evolution, argues that: "Communications will be the invisible fabric connecting us and the world whenever and wherever we happen to be in a completely seamless way, connecting us so transparently, cheaply, and effortlessly that very seldom will we think about it." The ubiquity and invisibility of these communications will greatly facilitate the creation and destruction of ad hoc collectives (groups of entities that share or are motivated by at least one common issue or interest, or work together on a specific project(s) to achieve a common objective). This enterprise may engender the concept of the hive mind (the collective intelligence of many), which will be an intelligent version of real-life super organisms, such as ant or bee nests (Hölldobler and Wilson 2009).

These models will most certainly give rise to issues of property rights and liabilities; access rights for both the provider and the customer can be owned outright, contracted/leased, shared, or have privileged access (Spohrer 2011). For now, we are on the cusp of a management revolution that is likely to be as profound and unsettling as the one that gave birth to the modern industrial age. Driven by the emergence of powerful new collaborative technologies, this transformation will radically reshape the nature of work, the boundaries of the enterprise, and the responsibilities of business leaders (McAfee 2009).

The service-providing industry in the US is divided into thirteen sectors (Chang 2010):

1. professional and business services,
2. healthcare and social assistance,
3. state and local government,
4. leisure and hospitality,
5. other services,
6. educational services,
7. retail trade,
8. financial activities,
9. transportation and warehousing,
10. wholesale trade,
11. information,

12. federal government, and
13. utilities.

Spohrer (2011) goes beyond the service sectors to propose three types of service systems:

1. **Systems that focus on flow of things:** transportation and supply chains, water and waste recycling, food and products, energy and electric Grid, information/ICT & cloud;
2. **Systems that focus on Human Activities and Development:** buildings and construction, retail and hospitality / media and entertainment industries, banking and finance / business consulting industries, healthcare and family life systems, education and work life / jobs and entrepreneurship; and
3. **Systems that focus on Governing:** cities, states, and nations.

Categorizing types and sectors of services is an important beginning because it can lead to a better understanding of the emerging rules and relationships in service value chains. This approach can further enhance the value co-creation capabilities of innovative service concepts that contribute to our quality of life. The classification also helps in identifying different objectives and constraints for the design and operations of the service system. Some examples include strategic policies under limited budget: education, strategic with readiness for quick response; national defense; business enterprise, maximizing profit while minimizing cost; etc.

In addition, this classification is being used to determine the overlap and synergies required among different science disciplines to enable trans-disciplinary collaboration and educational programs.

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## Additional References

None.

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# Scope of Service Systems Engineering

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Service systems engineering (SSE) involves all aspects of the enterprise. This topic discusses different aspects of the scope of SSE, from organizational strategy, to interoperability, to the life cycle of services, and then to their design.

## SSE and the Enterprise

Enterprises plan, develop, and manage the enhancements of their infrastructure, products, and services, including marketing strategies for product and service offerings. These plans propose new products or service offerings based on new, unexplored, or unforeseen customer needs with clearly differentiated value propositions. Service strategies are the internal business processes required to design, operate, and deliver services. The mission of service strategies is to develop the capacity to achieve and maintain a strategic advantage (OGC 2009).

Taking the systems engineering (SE) approach to service systems, or (SSE), is imperative for the service-oriented, customer-centric holistic view to select and combine service system entities. The SSE approach can then define and discover relationships among service system entities to plan, design, adapt, or self-adapt to co-create value. The SSE approach should identify linkages, relationships, constraints, challenges/problems, new technologies, interoperability standards, interface agreements, or process development requirements among service entities required for the planned service or for potential future services (Lefever 2005).

SSE mandates participation not only from engineering, business operations, and customers, but also from various different domains, such as management science, behavioral science, social science, systems science, network science, computer science, decision informatics, etc.

Hipel et al. (2007) have presented a table for service science in terms of the domains and methods, including not only service systems, but also infrastructure and transportation systems, environmental and energy systems, and defense and space systems. The collaboration domains in Figure 1 below are a first approximation to the

collaboration required from different disciplines for the SSE paradigm.

**Table 1. Service Systems Engineering Domain Collaboration. (Hipel et al. 2007) Reprinted with permission of © Copyright IEEE - All rights reserved.**

SEE	Collaboration Domains
SSE Management	<ul style="list-style-type: none"> <li>• Management Science</li> <li>• Business Process Management</li> <li>• Cognitive Science</li> <li>• Decision Science</li> </ul>
Service Realization Process (SRP)	<ul style="list-style-type: none"> <li>• All engineering fields</li> <li>• Business Operations</li> <li>• Infrastructure Operations</li> <li>• Social Science</li> <li>• Computer Science</li> <li>• Management Science</li> <li>• Behavioral Science</li> <li>• Network Science</li> <li>• Computational Science</li> <li>• Systems Science</li> <li>• Decision Science</li> </ul>
Methodologies, Processes, and Tools (MPT)	<ul style="list-style-type: none"> <li>• Natural Science</li> <li>• Business Science (BPMN)</li> <li>• Mathematical</li> <li>• All engineering fields</li> </ul>

Major challenges faced by SSE include the dynamic nature of service systems evolving and adapting to constantly changing operations and/or business environments, and the need to overcome silos of knowledge. Interoperability of service system entities through interface agreements must be at the forefront of the SSE design process for the harmonization of operations, administration, maintenance, and provisioning procedures of the individual service system entities (Pineda 2010).

In addition, service systems require open collaboration among all stakeholders, but recent research on mental models of multidisciplinary teams shows integration and collaboration into cohesive teams has proven to be a major challenge (Carpenter et al. 2010) (See also Team Dynamics). Thus, the emphasis on multidisciplinary (e.g., scientific, engineering, management, and social) education and training programs required to foster systems thinking helps bridge the gaps created by these silos of knowledge.

In the SSE approach, the social, governance, business, service, operations, and management activities are linked together through the service life cycle; service systems are by themselves a type of system of systems (SoS) where traditional systems engineering (TSE) practices need to be extended to include service systems entities' relationships (e.g., interface agreements among people, organizations, processes, and technologies) through information flows, technical interoperability, governance, and access rights within a system of systems.

## Interoperability of Services

Interoperability among the different service system entities becomes highly relevant in SSE since the constituent entities are designed according to stakeholder needs; the entity is usually managed and operated to satisfy its own objectives independently of other system entities. The objectives of individual service system entities may not necessarily converge with the overall objectives of the service system. Thus, the need to include the following in the definition of a service system: analysis and design of the service system, governance frameworks to align political objectives, service strategies, business objectives, information and communications technologies (ICT) objectives, technology objectives and end-to-end operations, administration and maintenance procedures, and allocation of these

procedures to individual entities (Luzeaux and Ruault 2010).

The previous discussion relates to a new service system development. There may be instances where a service is planned for delivery in phases of deployment (transition/deployment phase), or as presented earlier, if there is already a service system defined and deployed, then it's possible that the new request is for a service based application (SBA), in which case, the process is more focused on the adaptations needed to deploy the new application. For SBA, instances of advances in computer engineering, computer science, and software development already permit the adaptation and creation of SBA in a run-time environment for the discovery, development, and publishing of applications (Maglio et al. 2010).

The service design process (SDP) for new services is triggered by the market concept of the intended service and considers the stakeholder(s), service value chain(s), target market(s), target customer(s), proposed SLA, demand forecast, pricing strategy, and customer access privileges, which together comprise the service strategy. The SDP process then adapts the TSE as a life cycle approach (concept/definition, design/development, deployment/transition, operations, life cycle management/utilization/CSI, and retirement) as discussed in Life Cycle Models. A more detailed list of the SSE process activities is described in Value of Service Systems Engineering and Service Systems Engineering Stages.

## Service Lifecycle Stages

The SDP stages and notation are depicted in Table 2 below; due to the complexity of service systems (see also Complexity) the documents generated are becoming more model-based electronic documents than written binders depending on the methodologies and tools used.

**Table 2. Service Realization Process: Life Cycle Stages. (SEBoK Original)**

<html>

Life Cycle Changes		Purpose	Decision Gates
<b>Service Strategy/Concept</b>	New Service identification	<i>Elicit enterprise needs</i> <i>Explore service concepts</i> <i>Identify service system entities</i> <i>Propose viable HL black box solutions</i> <b>Output: Service Description</b>	Decision Options - Go, No-GO - Continue this stage - Go to preceding stage - Hold project activity - Terminate project - Test - Deploy
	Feasibility Phase		
	HL Analysis		
<b>Service Design/Development</b>	Service Requirement Analysis and Engineering	<i>Refine service system requirements</i> <b>Output: Service Requirement Document</b> <i>Create solution description</i> <i>Identify Interfaces among entities</i> <b>Output: Preliminary Design</b> <i>Develop service system detailed architecture and specs</i> <b>Output: Service Specification Document</b> <i>Verify and Validate system requirements</i> <b>Output: service JV &amp; V Plans</b>	Decision Options - Go, No-GO - Continue this stage - Go to preceding stage - Hold project activity - Terminate project - Test - Deploy
	Service Development		
	Service Integration, Verification, and Validation		
<b>Service Transition/Deployment</b>		<i>Service Insertion Plans</i> <i>Deploy service system</i> <i>Manage deployment activities</i> <i>Inspect and test (verify)</i> <b>Output: Service Operation Plans, Operations Technical Plans, Operational Readiness Plans</b>	
<b>Service Operations and / Continuous Service Improvement</b>		<i>Operate a reliable service system to satisfy customer needs</i> <i>Monitor, Measure, &amp; Assess</i> <i>Provide sustained system capability</i> <i>Troubleshoot potential issues</i> <i>Store, archive, or dispose of the service system</i>	

</html>

All the life cycle stages are included for completeness, but very often during the concept analysis phase it may be determined that not all of the stages are needed. In these cases, a recommendation should be made regarding which stages are specifically required for the realization of the service in question.

## Service Design Management

Another important role of SSE is the management of the service design process. SSE utilizes TSE practices to manage the resource and asset allocation to perform the activities required to realize the service through the value chain for both the customer and the service provider. The main focus of the service design process management is to provide for the planning, organizational structure, collaboration environment, and program controls to ensure that stakeholder's needs are met from an end-to-end customer perspective.

The service design process management process aligns business objectives and business operational plans with end-to-end service objectives, including customer management plans, service management and operations plans, and operations technical plans. The main SSE management activities are

- planning;
- assessment and control;
- decision management;
- risk management;
- configuration management; and
- information management.

SSE plays a critical role in describing the needs of the intended service in terms of the service's day-to-day operations, including customer care center requirements, interface among service system entities, such as: manufacturing plant, smart grid, hospital, network infrastructure provider(s), content provider(s) and service provider(s), service based application provider(s), applications providers, and the customer management process for the service.

Current research in computer engineering and software systems engineering is looking at the development of run-time platforms to allow real time or near real time customer service discovery and publishing (Spark 2009). The service-centric systems engineering (SeCSE) consortium has a well-defined service design process that is being applied to SBA. In this approach, there are design time and run-time sub-processes for the composition, provisioning, orchestration, and testing for service publishing (Lefever 2005). There is particular interest from the research community to include human-computer interactions (HCI) and behavioral science to address current social networking services (Facebook, Twitter, Linkedin, Google+, etc.) used to share unverified information via audio, messaging, video, chats, etc.

This research is gaining relevance because of the thin line between the customer (consumer, enterprise) and content providers in regards to security, privacy, information authentication, and possible misuse of the user-generated content. Even as the research progresses, these networking services are examples of business models organizing communities of interest for innovation. Hsu says, "If we understand this networking, then we may be able to see through the business strategies and systems design laws that optimize connected value co-creation" (2009).

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### Additional References

None.

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# Value of Service Systems Engineering

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Service systems engineering (SSE) is a multidisciplinary approach to manage and design value co-creation of a service system. It extends the holistic view of a system to a customer-centric, end-to-end view of service system design. Service systems engineers must play the role of an integrator by considering the interface requirements for the interoperability of service system entities, not only for technical integration, but also for the processes and organization required for optimal customer experience during service operations.

Service systems engineering uses disciplined approaches to minimize risk by coordinating/orchestrating social aspects, governance (including security), environmental, human behavior, business, customer care, service management, operations, and technology development processes. Therefore, systems engineers must have a good understanding of cross disciplinary issues to manage, communicate, plan, and organize service systems development and delivery of service. Service systems engineering also brings a customer focus to promote service excellence and to facilitate service innovation through the use of emerging technologies to propose creation of new service systems and value co-creation.

The service design process includes the definition of methods, processes, and procedures necessary to monitor and track service requirements verification and validation, in particular as they relate to the operations, administration, maintenance, and provisioning procedures of the whole service system and its entities. These procedures ensure that failures by any entity are detected and do not propagate and disturb the operations of the service (Luzeaux and Ruault 2010).

Research on service systems needs to fuse business process management, service innovation, and social networks for the modeling of service system value chain (Carroll et al. 2010). The systems engineering approach helps to better understand and manage conflict, thereby helping both private and public organizations optimize their strategic decision making. The use of a systemic approach reduces rework, overall time to market, and total cost of development.

## Service SE Knowledge & Skills

The world's economies continue to move toward the creation and delivery of more innovative services. To best prepare tomorrow's leaders, new disciplines are needed that include and ingrain different skills and create the knowledge to support such global services. "In this evolving world, a new kind of engineer is needed, one who can think broadly across disciplines and consider the human dimensions that are at the heart of every design challenge" (Grasso and Martinelli 2007).

Service systems engineers fit the T-shaped model of professionals (Maglio and Spohrer 2008) who must have a deeply developed specialty area, as well as a broad set of skills and capabilities (See the Enabling Individuals article). Chang (2010) lists the following twelve service system management and engineering (SSME) skills:

1. Management of Service Systems. These skills include scheduling, budgeting and management of information systems/technologies, and leadership;
2. Operations of Service Systems. Engineers should be proficient in process evaluation and improvement, quality improvement, customer relationships, and uncertainty management;
3. Service Processes. These skills include performance measurements, flow charting, work task breakdown;
4. Business Management. Business skills include project costing, business planning, and change management;
5. Analytical Skills. These skills include problem solving, economic decision analysis, risk analysis, cost estimating, probability and statistics;

6. Interpersonal Skills. Increasingly, service systems engineers are expected to excel in professional responsibility, verbal skills, technical writing, facilitating, and team building;
7. Knowledge Management. Service systems engineers should be familiar with definition, strategies, success factors, hurdles, and best practices in industry;
8. Creativity and Innovation in Services. These skills include creative thinking methods, success factors, value chain, best practices, and future of innovation;
9. Financial and Cost Analysis and Management. Additional business skills include activity-based costing, cost estimation under uncertainty, T-account, financial statements, ratio analysis, balanced scoreboards, and capital formation;
10. Marketing Management. Market forecast, market segmentation, marketing mix- service, price, communications and distribution- are important marketing tools;
11. Ethics and Integrity. Service Systems Engineers must be held to high ethical standards. These include practicing ethics in workplace and clear guidelines for making tough ethical decisions, corporate ethics programs, affirmation action, and workforce diversity, as well as global issues related to ethics. (See Ethical Behavior); and
12. Global Orientation. Increasingly, engineers must be aware of emerging business trends and challenges with regards to globalization drivers, global opportunities, and global leadership qualities.

## Service Architecture, Modeling & Views

Successful deployment of service value chains is highly dependent on the alignment of the service with the overall enterprise service strategy, customer expectations, and customer's service experience. The importance of service-oriented customer-centric design has been recognized for several years by traditional service providers (telecommunications, information technology (IT), business reengineering, web services, etc.) through the creation of process-driven architecture frameworks.

Architecture frameworks are important for creating a holistic system view. They promote a common understanding of the major building blocks and their interrelation in systems of systems or complex systems of systems (see also Complexity). An architecture is a model of the system created to describe the entities, the interactions and interoperability among entities, as well as the expected behavior, utilization, and properties of the end-to-end system. The architectures become the main tool to guide stakeholders, developers, third-party providers, operations managers, service managers, and users in the understanding of the end-to-end service system, as well as to enable governance at the service management and the service development levels.

These architecture frameworks have been defined through standards bodies and/or by private enterprises that recognize their advantage—standard processes that integrate the business-strategic processes and operations with the information technology and technology infrastructure (See Systems Engineering Standards). Most architecture frameworks model different scopes and levels of detail of business strategies, product and service offerings, business operations, and organizational aspects. Unfortunately, there are currently no frameworks that cover all the aspects (views) required to model the service systems. Some frameworks focus on business strategies, others in business process management, others in business operations, still others in aligning IT strategy or technology strategy to business strategy. Thus, a combination of architecture frameworks is required to create the enterprise service system model. For instance, an enterprise may use an enterprise business architecture (EBA) model covering strategic goals and objectives, business organization, and business services and processes where driven by market evolution, technology evolution, and customer demands. However, a reference framework would be needed to model the IT strategy (e.g., Information Technology Infrastructure Library (ITIL) v. 3 (OGC 2009)) and the organizations and processes needed to deliver, maintain, and manage the IT services according to the business strategy.

## Service Architecture Frameworks

Prime examples of Service Architecture Frameworks are listed below.

Standards:

- Zachmann Framework (Zachman 2003)
- Business Process Modeling (BPM) (Hanry et al. 2010)
- The Open Group Architecture Framework (TOGAF) (TOGAF 2009)
- Enhanced-Telecomm Operations Map (eTOM) by the TeleManagemnt Forum (eTOM 2009)
- Service Oriented Architecture (SOA) (Erl 2008)
- National Institute of Standards and Technology (NIST) Smart Grid Reference Model (NIST 2010)
- Web services business process execution language (WS-BPEL) (OASIS 2007)
- Department of Defense Architecture Framework (DoDAF) (DoD 2010)
- Others.

Proprietary Enterprise Architecture Frameworks:

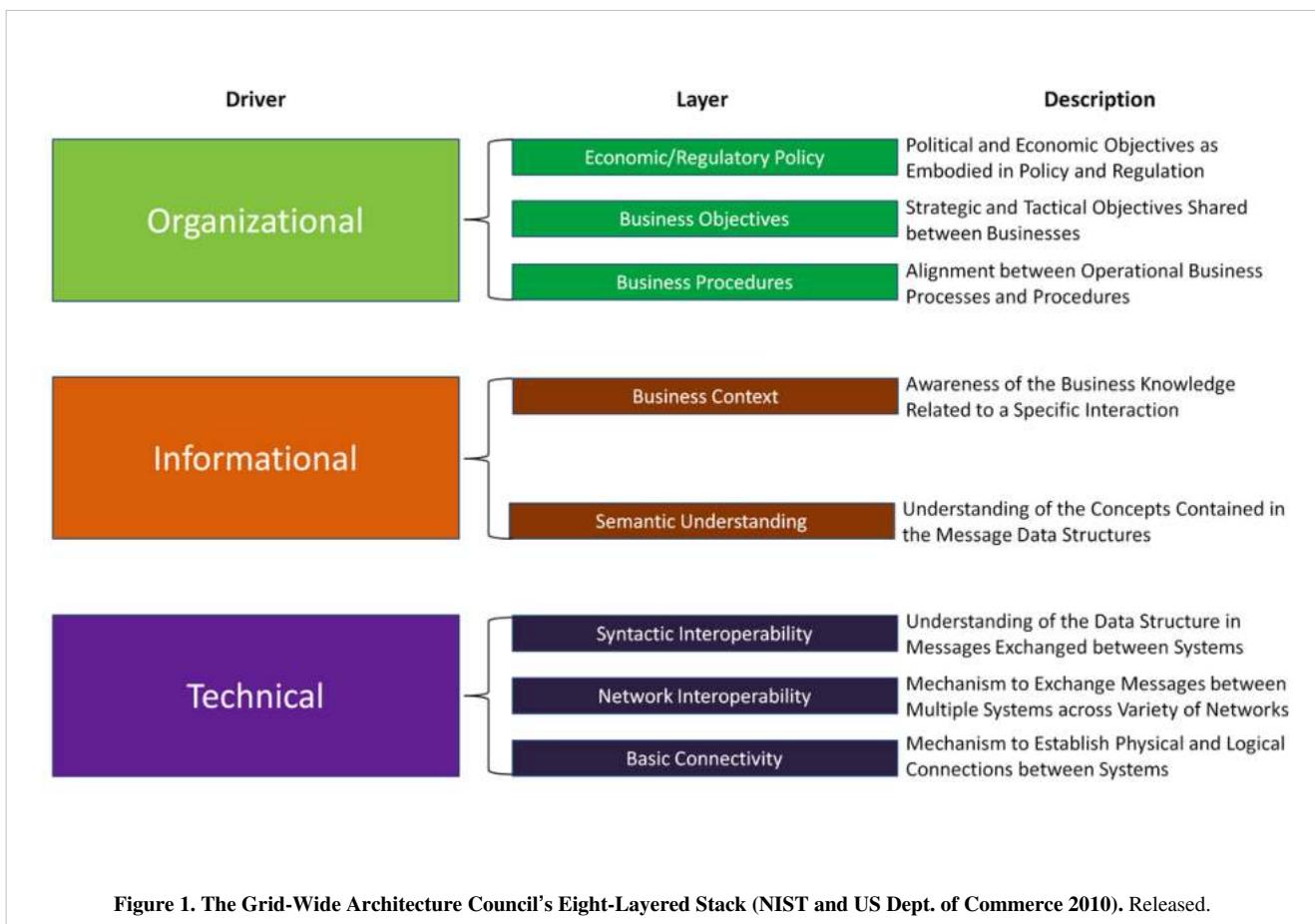
- Hewlett - Packard IT Service Management Reference Model (HP ITSMRM 2000)
- International Business Machines Systems Management Solutions Life Cycle, IBM Rational Software.
- Microsoft Operations Framework

This list represents only a sample of the existing service architecture frameworks.

One great example of architecture frameworks applications for service systems, the “High Level Reference Model for the Smart Grid,” developed by NIST in 2010 under the “Energy Independence and Security Act of 2007” (EISA), is presented below:

*EISA designated the development of a Smart Grid as a national policy goal, specifying that an interoperability framework should be “flexible, uniform and technology neutral. The law also instructed that the framework should accommodate “traditional, centralized generation and distribution resources” while also facilitating incorporation of new, innovative Smart Grid technologies, such as distributed renewable energy resources and energy storage. (NIST 2010)*

The NIST reference model was developed as “a tool for identifying the standards and protocols needed to ensure interoperability and cyber security, and defining and developing architectures for systems and subsystems within the smart grid.” Figure 1 illustrates this model and the strategic (organizational), informational (business operations, data structures, and information exchanges required among system entities), and technical needs of the smart grid (data structures, entities specifications, interoperability requirements, etc.).



The NIST reference model uses this architecture framework to identify existing standards, identify new standards required for interoperability among interconnected networks, and to enable innovations where smart grid components (energy sources, bulk generation, storage, distribution, transmission, metering, cyber infrastructure, markets, service providers, customers, etc.) are supported by a broad range of interoperable options by well-defined interfaces useful across industries, including security. Emerging/innovative service development with massively scaled, well-managed, and secured networks will enable a dynamic market driven ecosystem representing new economic growth (NIST 2010).

This architecture framework is being used today by different standards organizations, such as the Smart Grid Interoperability Panel (SGIP), and several smart grid working groups. For details on priorities, working programs, and working group charters, see "High Level Reference Model for the Smart Grid" (NIST 2010).

For service systems, the application of any of these frameworks requires modifications/adaptations to create dynamic frameworks aware of environmental changes due to competitor's offerings, market demands, and customer co-creation. Most frameworks are static in nature; this requires business operations to manage changes through pre-defined (pre-programmed) processes for service configuration and change control. Dynamic frameworks would allow real-time, or near real-time, analysis of impacts of newly discovered service on business processes, organizations, and revenue for run-time environment deployment.

Automatic service configuration and change control are being incorporated into the management process via service oriented architecture (SOA) for service automation (Gu et al. 2010) and service oriented computing (Maglio et al. 2010). In particular, progress has been made over the last ten years on the standards for adaptation, orchestration and creation of web services (WS) for service based applications (SBA). A good summary of existing life cycle approaches for adaptable and evolvable SBA is presented in (Papazoglou et al. 2010). Some examples of this are

- web services development life cycle (SDLC);

- rational unified process (RUP) for SOA;
- service oriented modeling and architecture (SOMA); and
- service oriented analysis and design/decision Modeling (SOAD).

Further research is required to understand the architectural implications of dynamic service configuration, including research on human behavior, social aspects, governance processes, business processes, and implications of dynamic service level agreements (SLA) for an enterprise service system. New ways are needed to include adaptation requirements for new technologies that will exchange information with the service system entities and may have their own specifications. These technologies include robots, sensors, renewable energy, nanotechnologies, three dimensional printers, and implantable medical devices.

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## Additional References

None.

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**SEBoK v. 2.7, released 31 October 2022**

# Service Systems Engineering Stages

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This article describes the stages of the service systems development process (SSDP) and expected outputs for each stage; for a closer alignment with the traditional systems engineering (TSE) process, the concept and feasibility phases have been combined into a single service strategy/concept as discussed in the SEBoK Systems Engineering and Management article. All of the stages of the SSDP take a similar iterative approach to fully understand the enterprise capabilities, enterprise process impact, information technology (IT), and technology impacts and customer expectations. Lin and Hsieh (2011) provide a good summary on New service Development processes. The Information Technology Infrastructure Library (ITIL) stage names have been purposely added to the SSDP to show the needed alignment between IT and technology. The reader should keep in mind that even though IT is crucial to the overall end-to-end system, service technology development needs must be taken into consideration in all the stages of SSDP.

## Service Strategy/Concept

A service strategy/concept is the entry into the SSDP. The concept may be generated by an end-user (enterprise customer or consumer), a business manager, an engineering organization, new web service designers, new technology developments, and/or information technology trends. The service concept is the highest level of the service idea and it usually addresses what service is being proposed to what markets and to whom within these markets.

A high-level feasibility assessment of the concept is then carried out by the integrated service development team (ISDT) to assess the needs/impacts on enterprise process capabilities, operational capabilities, and/or new technology developments (access, infrastructure, operations support systems (OSS), service support systems (SSS), and business support systems (BSS)). It should also consider any impacts on service governance, social, cultural, and human behaviors. The feasibility assessment also gives a plus or minus 30% estimate on the time to develop and the cost of development, which are entry points into the business case to evaluate whether the service is viable to develop and to market given the constraints and estimates. At this time, a decision (decision gate) determines if the service is to be developed.

If the business case is viable, then a detailed business description of the service is developed. This includes functions and features to be included, phases of development, markets to be addressed, customers within the markets to be targeted, and customer experiences expected from the service (i.e., defining the non-functional requirements of the service, such as the quality of service (QoS), availability, reliability, and security considerations and offerings within the service). This description allows detailed studies of expected human-computer interactions, social networking, technology requirements, and operations requirements. Governance and organizational process requirements should also be included to generate the “service description” as the main output from this stage.

Service systems engineering (SSE) takes an important role in understanding and eliciting the enterprise service concepts. Clearly, understood end-to-end business processes required for the intended service are fundamental to its successful development, deployment, and customer satisfaction. SSE works with business process management (BPM), social science, and cognitive science to elicit intended service operations, including target audiences, pre-sale, sale, and post-sale customer care processes.

## Requirements Analysis and Engineering

A service requirements document is created that describes the service functions, the service entities, the intended interaction among entities, and the customer-facing and internal-facing functions/processes that are required to support the service. This description should conceptually include intended service level agreements (SLAs) and the obligations of the service provider process should there be any degree of non-compliance during service operation.

In addition to the TSE activities described earlier, the SSE requirements analysis and engineering process must develop a customer-centric view of the service to analyze SLA, QoS, value co-creation, monitoring, and assessment requirements to comply with the expected/planned SLA. This analysis will determine whether dynamic changes of the service are required during service operation to correct faults, reconfigure, administer, or to adapt/self-adapt for possible performance degradations.

Beyond the traditional service life cycle management (LCM) processes, the requirements must also be developed for service level management (SLM) processes and systems. These are needed to monitor, measure, and assess key performance indicators (KPIs), technical performance measures (TPMs), and service performance measures (SPMs) according to the SLA.

The SSE requirements analysis addresses the support systems for the governance, business, service, operations, and support processes to derive requirements for technologies, information systems, processes, and enterprise organizations. Interface requirements, information flows, and data requirements are also within the scope of requirements analysis. The main output is the service requirements document (SRD).

SSE plays a critical role in describing the services needs for day-to-day operations. These include customer care centers requirements and interfaces between network infrastructure provider(s), content provider(s), service provider(s), service based application provider(s), and the customer management process for the service. All of these are described in detail in the service operations plans (SOPs) and the operations technical plans (OTPs).

## Systems Design/Development

The SRD, SOP, and OTP have enough detail regarding the service functions, operations, interfaces, and information flows required among the different service system entities to analyze, identify, and recommend end-to-end applicable architecture frameworks; to carry out trade-off analyses for the alternatives among service system entities; and to describe and allocate relationships (interactions) among entities at all levels of the service architecture. Detailed requirements are worked at lower levels to generate specifications for entity developers including data structures, data flow diagrams, and allocated performance requirements.

ITIL v. 3 (OGC 2007) recommends inclusion of the following service design processes:

- service catalog management,
- service level management,
- capacity management,
- availability management,
- service continuity management,
- security management, and
- supplier/provider management.

## Service Integration, Verification & Validation

SSE defines integration and interface requirements for the seamless operation of the service. In this regard, the system engineer takes an integrator role to ensure proper data generation and flow through all the different systems composing the service offered. The goal is to ensure customers (consumer or internal) are getting the information required to carry out the tasks required in the business, operations, service, and customer processes. The service integration, verification, and validation plans need to include end-to-end verification and validation procedures for any new development or adaptations required for planned dynamic configuration/re-configuration of previously tested service systems. (See also System Verification and System Validation.)

The systems engineer creates these plans using a number of different perspectives. These include:

- end-to-end service (service validation test plans),
- customer care (operational readiness test plans),
- service provider (network validation test plans),
- service system entities interoperability/interface test plans,
- content provider (content validation test plans), and
- application (user acceptance test plans).

## Service Transition/Deployment

Service systems may change very rapidly and new enhancements, new features, or new applications can be added as incremental developments, new developments, or adaptation to service offerings. Service systems engineers review new requirements to assess the feasibility of the changes to the service system entities, technologies, processes, and organizations, as well as their impacts on the service offerings. The service transition/deployment stage takes input from service development to plan for service insertion, technology insertion, processes adaptations, and implementation with minimal impact to existing services. During this stage, special care is taken with integration, verification, and validation test plans and regression testing to ensure new developments work flawlessly with existing services.

ITIL v. 3 (OGC 2007) recommends the following processes in the transition/deployment stage:

- transition planning and support,
- change management,
- service asset and configuration management,
- release and deployment management,
- service validation and testing,
- evaluation, and
- knowledge management.

## Service Operations/Continuous Service Improvement (CSI)

Service operation manages the day-to-day activities of all aspects of the end-to-end service delivery to the customer. It manages the operations, administration, maintenance, and provisioning of the service, technology, and infrastructure required to deliver the contracted service to the customer within the specified service levels. The main service operations processes in ITIL v. 3 are

- event management,
- incident management,
- problem management,
- request fulfillment, and
- access management.

A continuous service improvement (CSI) plan for the implementation of technologies and tools for the continuous improvement of the service, monitoring, measuring, and analyzing process and service metrics is essential.

## Service Systems Engineering Tools & Technologies

Tools and technologies from a broad spectrum of fields are extensively used during the different stages of SSE. Not only are they used for the development of the hardware, software, information systems and technology components, but also for the modelling, definition, and design of the organization, processes, and data structures of the service system (See also Representing Systems with Models). These tools and technologies include modelling, simulation, development, test bed, and social environmental aspects of the intended or to be designed service. The tools fall into three main domains:

1. business process management (BPM),
2. service design process, and
3. service design management.

**Business process management (BPM)** generally deals with process management scenarios to coordinate people and systems, including sequential workflow, straight through processing, case management, content life cycle management, collaborative process work, and value chain participation. Systems engineers work with service managers to align the business architectures with the technology and IT architecture. The business process modeling notation (BPMN) is a graphic notation standard that is implemented to describe a process's realization within any given workflow. This notation is linked with web services business process execution language (WS-BPEL), a format used to perform an automated business process by implementing web services technology. For an extensive review of existing BPM tools and BPM suites, please see Hantry et al. (2010), Carroll et al. (2010), Andrikopoulos et al. (2010), Lin and Hsieh (2011), and Ward-Dutton (2010).

**Service design process:** Architecture frameworks (AF) and enterprise architectures (EAs) are standards that help split complex systems (see also Complexity) into an interrelated, structured form. They describe the different characteristics of the products and services. Systems engineering modeling tools, such as the unified modeling language (UML) (OMG 2010a) and system modeling language (SysML) (OMG 2010b), help develop the AF and EA and greatly impact the continued evolution and successful implementation of complex projects. Service oriented architecture (SOA) and systems and software engineering architecture (ISO/IEC/IEEE 2011) are standards that apply architecture principles for specialized applications. Successful implementation of the architecture tools helps identify critical interfaces and improves understanding of the allocations between components and functions.

Model-based systems engineering (MBSE), model driven architectures (MDA), and model oriented systems engineering (MOSES) are examples of commonly used tools for logical (functional), behavioral (operational), and physical design of the IT. UML, UML 2.0, and SysML are extensively used to describe operational scenarios, modes of operations, use cases, and entity relationships. For an extensive review of MBSE, MDA, and MOSES, please see Friedenthal (1998), Estefan (2008), Pezuela (2005), Andrikopoulos et al. (2010), and Hybertson (2010).

In addition, trade-off and engineering analyses use different optimization methodologies. Since services exhibit a significant level of randomness, statistical analysis, demand forecasting, multi-objective optimization, queuing theory, and stochastic optimization methodologies are tools used to model and simulate the service system behavior. These methodologies support decision making in areas as diverse as resource allocation, number of facilities, facilities' geographical locations, fleet routing and optimization, service systems reliability and prognosis, and network optimization. A good overview of these methodologies can be found in Daskin (2010).

During the service design process (SDP), planning for the implementation of technologies and tools for the continuous improvement of the service is performed. These tools support monitoring, measuring, and analyzing process and service performance metrics. The Deming cycle (plan, do, check, and act (PDCA) is widely used as the foundation for quality improvements across the service. Lean manufacturing, six sigma, swim lanes, balanced scoreboard, benchmarking, and gap analysis methodologies are commonly used for service evaluation and

continuous improvement.

**Service design management:** There are standards for implementing and managing systems engineering processes (IEEE 1220 (1998)) that help coordinate and synchronize all the service systems engineering processes leading to improved organizational collaboration and improved service delivery (see also Systems Engineering Standards). Standards have been developed in software engineering for product evaluation (ISO/IEC 14598 (1998)) and product quality (ISO/IEC 9126 series (2003a, 2003b, & 2004)), as well as information security management (ISO 27001 (2005)) and evaluation series (ISO 15408 (2008a, 2008b, & 2009)). The ITIL v. 3 describes best practices for IT service management, which can be extended to include service systems.

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## Additional References

None.

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**SEBoK v. 2.7, released 31 October 2022**

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# Knowledge Area: Enterprise Systems Engineering

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## Enterprise Systems Engineering

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Enterprise systems engineering (ESE) is the application of systems engineering principles, concepts, and methods to the planning, design, improvement, and operation of an enterprise.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Enterprise Systems Engineering Background
- The Enterprise as a System
- Related Business Activities
- Enterprise Systems Engineering Key Concepts
- Enterprise Systems Engineering Process Activities
- Enterprise Capability Management

### Introduction

This knowledge area provides an introduction to systems engineering (SE) at the enterprise level in contrast to “traditional” SE (TSE) (sometimes called “conventional” or “classical” SE) performed in a development project or to “product” engineering (often called product development in the SE literature).

The concept of enterprise was instrumental in the great expansion of world trade in the 17th century (see note 1) and again during the Industrial Revolution of the 18th and 19th centuries. The world may be at the cusp of another global revolution enabled by the information age and the technologies and cultures of the Internet (see note 2). The discipline of SE now has the unique opportunity of providing the tools and methods for the next round of enterprise transformations.

*Note 1. “The Dutch East India Company... was a chartered company established in 1602, when the States-General of the Netherlands granted it a 21-year monopoly to carry out colonial activities in Asia. It was the first multinational corporation in the world and the first company to issue stock. It was also arguably the world's first mega-corporation, possessing quasi-governmental powers, including the ability to wage war, negotiate treaties, coin money, and establish colonies.” (emphasis added, National Library of the Netherlands 2010)*

*Note 2. This new revolution is being enabled by cheap and easily usable technology, global availability of information and knowledge, and increased mobility and adaptability of human capital. The enterprise level of analysis is only feasible now because organizations can work together to form enterprises in a much more fluid manner.*

ESE is an emerging discipline that focuses on frameworks, tools, and problem-solving approaches for dealing with the inherent complexities of the enterprise. Furthermore, ESE addresses more than just solving problems; it also

deals with the exploitation of opportunities for better ways to achieve the enterprise goals. A good overall description of ESE is provided by in the book by Rebovich and White (2011).

## Key Terms

### Enterprise

An enterprise consists of a purposeful combination (e.g., a network) of interdependent resources (e.g., people, processes, organizations, supporting technologies, and funding) that interact with

- each other to coordinate functions, share information, allocate funding, create workflows, and make decisions, etc.; and
- their environment(s) to achieve business and operational goals through a complex web of interactions distributed across geography and time (Rebovich and White 2011, 4-35).

The term enterprise has been defined as follows:

- (1) *One or more organizations sharing a definite mission, goals, and objectives to offer an output such as a product or service.* (ISO 2000);
- (2) *An organization (or cross organizational entity) supporting a defined business scope and mission that includes interdependent resources (people, organizations and technologies) that must coordinate their functions and share information in support of a common mission (or set of related missions).* (CIO Council 1999);
- (3) *The term enterprise can be defined in one of two ways. The first is when the entity being considered is tightly bounded and directed by a single executive function. The second is when organizational boundaries are less well defined and where there may be multiple owners in terms of direction of the resources being employed. The common factor is that both entities exist to achieve specified outcomes.* (MOD 2004); and
- (4) *A complex, (adaptive) socio-technical system that comprises interdependent resources of people, processes, information, and technology that must interact with each other and their environment in support of a common mission.* (Giachetti 2010)

An enterprise must do two things: (1) develop things within the enterprise to serve as either external offerings or as internal mechanisms to enable achievement of enterprise operations, and (2) transform the enterprise itself so that it can most effectively and efficiently perform its operations and survive in its competitive and constrained environment.

### Enterprise vs Organization

It is worth noting that an enterprise is not equivalent to an "organization" according to the definition above. This is a frequent misuse of the term enterprise. The figure below shows that an enterprise includes not only the organizations that participate in it, but also people, knowledge, and other assets such as processes, principles, policies, practices, doctrine, theories, beliefs, facilities, land, intellectual property, and so on.

Some enterprises are organizations, but not all enterprises are organizations. Likewise, not all organizations are enterprises. Some enterprises have no readily identifiable "organizations" in them. Some enterprises are self-organizing (i.e., not organized by mandate) in that the sentient beings in the enterprise will find for themselves some way in which they can interact to produce greater results than can be done by the individuals alone. Self-organizing enterprises are often more flexible and agile than if they were organized from above (Dyer and Erickson 2009; Stacey 2006).

*One type of enterprise architecture that supports agility is a non-hierarchical organization without a single point of control. Individuals function autonomously, constantly interacting with each other to*

*define the vision and aims, maintain a common understanding of requirements and monitor the work that needs to be done. Roles and responsibilities are not predetermined but rather emerge from individuals' self-organizing activities and are constantly in flux. Similarly, projects are generated everywhere in the enterprise, sometimes even from outside affiliates. Key decisions are made collaboratively, on the spot, and on the fly. Because of this, knowledge, power, and intelligence are spread through the enterprise, making it uniquely capable of quickly recovering and adapting to the loss of any key enterprise component.* ([http://en.wikipedia.org/wiki/Business\\_agility](http://en.wikipedia.org/wiki/Business_agility))

In spite of this lack of "organization" in some enterprises, SE can still contribute much in the engineering of the enterprise, as described in the articles below. However, SE must be prepared to apply some non-traditional approaches in doing so. Hence the need for embracing the new discipline called enterprise systems engineering (ESE).

Giachetti (2010) distinguishes between enterprise and organization by saying that an organization is a view of the enterprise. The organization view defines the structure and relationships of the organizational units, people, and other actors in an enterprise. Using this definition, we would say that all enterprises have some type of organization, whether formal, informal, hierarchical or self-organizing network.

## **Extended Enterprise**

Sometimes it is prudent to consider a broader scope than merely the "boundaries" of the organizations involved in an enterprise. In some cases, it is necessary (and wise) to consider the "extended enterprise" in modeling, assessment, and decision making. This could include upstream suppliers, downstream consumers, and end user organizations, and perhaps even "sidestream" partners and key stakeholders. The extended enterprise can be defined as:

*Wider organization representing all associated entities - customers, employees, suppliers, distributors, etc. - who directly or indirectly, formally or informally, collaborate in the design, development, production, and delivery of a product (or service) to the end user.* (<http://www.businessdictionary.com>)

## **Enterprise Systems Engineering**

Enterprise systems engineering (ESE), for the purpose of this article, is defined as the application of SE principles, concepts, and methods to the planning, design, improvement, and operation of an enterprise (see note 3). To enable more efficient and effective enterprise transformation, the enterprise needs to be looked at "as a system," rather than merely as a collection of functions connected solely by information systems and shared facilities (Rouse 2009). While a systems perspective is required for dealing with the enterprise, this is rarely the task or responsibility of people who call themselves systems engineers.

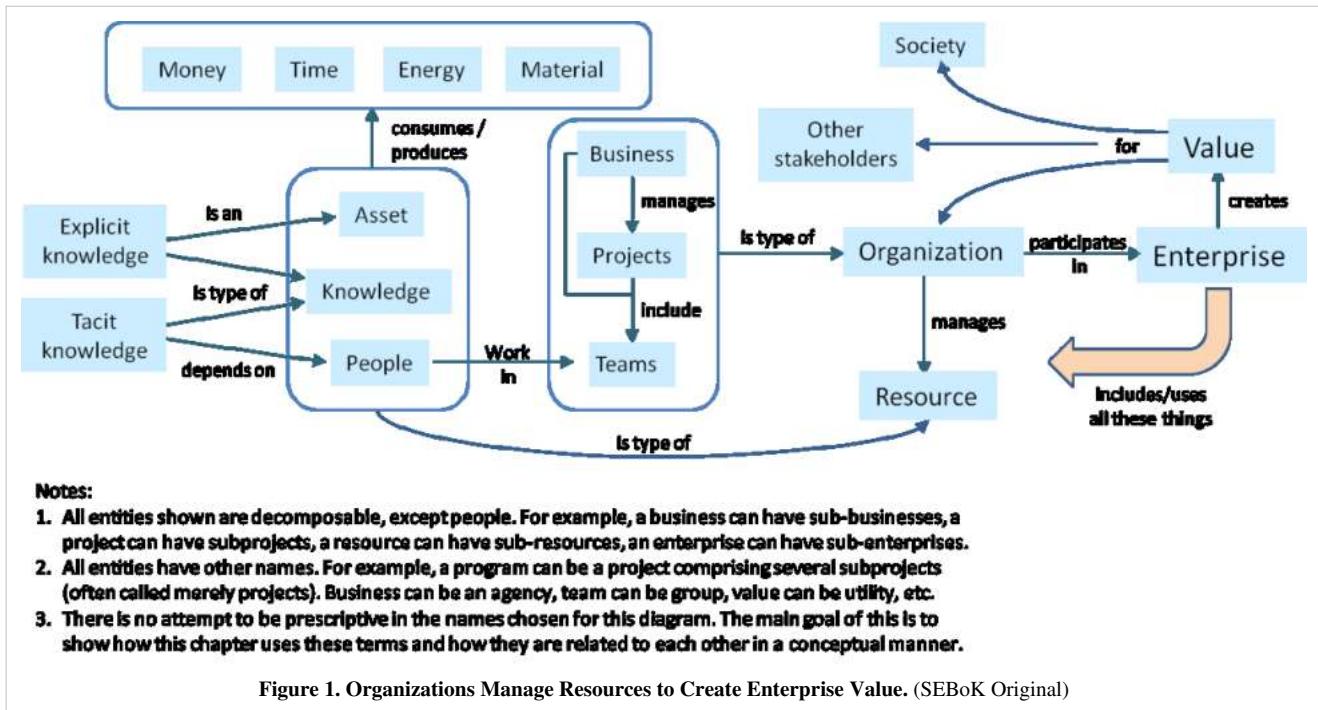
*Note 3. This form of systems engineering (i.e., ESE) includes (1) those traditional principles, concepts, and methods that work well in an enterprise environment, plus (2) an evolving set of newer ideas, precepts, and initiatives derived from complexity theory and the behavior of complex systems (such as those observed in nature and human languages).*

## Creating Value

The primary purpose of an enterprise is to create value for society, other stakeholders, and for the organizations that participate in that enterprise. This is illustrated in Figure 1 that shows all the key elements that contribute to this value creation process.

There are three types of organizations of interest: businesses, projects, and teams (see note 4). A typical business participates in multiple enterprises through its portfolio of projects. Large SE projects can be enterprises in their own right, with participation by many different businesses, and may be organized as a number of sub-projects.

*Note 4. The use of the word "business" is not intended to mean only for-profit commercial ventures. As used here, it also includes government agencies and not-for-profit organizations, as well as commercial ventures. Business is the activity of providing goods and services involving financial, commercial, and industrial aspects.*



## Resource Optimization

A key choice for businesses that conduct SE is to what extent, if at all, they seek to optimize their use of resources (people, knowledge, assets) across teams, projects, and business units. Optimization of resources is not the goal in itself, but rather a means to achieve the goal of maximizing value for the enterprise and its stakeholders. At one extreme, in a product-oriented organization, projects may be responsible for hiring, training, and firing their own staff, as well as managing all assets required for their delivery of products or services. (The term "product-oriented organization" is not meant in the sense of product-oriented SE, but rather in the sense of this being one of the basic constructs available when formulating organizational strategy.)

At the other extreme, in a functional organization, the projects delegate almost all their work to functional groups. In between these two extremes is a matrix organization that is used to give functional specialists a "home" between project assignments. A full discussion of organizational approaches and situations along with their applicability in enabling SE for the organization is provided in the article called Systems Engineering Organizational Strategy.

The optimization debate can be handled as described in the book called "Enterprise Architecture as Strategy" (Ross, Weill, and Robertson 2006). In other words, an enterprise can choose (or not) to unify its operations and can choose (or not) to unify its information base. There are different strategies the enterprise might adopt to achieve and sustain

value creation (and how ESE helps an enterprise to choose). This is further addressed in the section on Enterprise Architecture Formulation & Assessment in the article called Enterprise Capability Management.

## **Enabling Systems Engineering in the Organization**

SE skills, techniques, and resources are relevant to many enterprise functions, and a well-founded SE capability can make a substantial contribution at the enterprise level, as well as at the project level. The article called Systems Engineering Organizational Strategy discusses enabling SE in the organization, while the article called Enabling Businesses and Enterprises focuses on the cross-organizational functions at the business and enterprise levels. The competence of individuals is discussed in the article called Enabling Individuals.

## **Kinds of Knowledge Used by the Enterprise**

Knowledge is a key resource for ESE. There are generally two kinds of knowledge: explicit and tacit. Explicit knowledge can be written down or incorporated in computer codes. Much of the relevant knowledge, however, is "tacit knowledge" that only exists within the heads of people and in the context of relationships that people form with each other (e.g., team, project, and business level knowledge). The ability of an organization to create value is critically dependent on the people it employs, on what they know, how they work together, and how well they are organized and motivated to contribute to the organization's purpose.

## **Projects, Programs & Businesses**

The term "program" is used in various ways in different domains. In some domains a team can be called a program (e.g., a customer support team is their customer relationship "program"). In others, an entire business is called a program (e.g., a wireless communications business unit program), and in others the whole enterprise is called a program (e.g., the Joint Strike Fighter program and the Apollo Space program). And in many cases, the terms project and program are used interchangeably with no discernible distinction in their meaning or scope. Typically, but not always, there are program managers who have profit and loss (P&L) responsibility and are the ultimate program decision makers. A program manager may have a portfolio of items (services, products, facilities, intellectual property, etc.) that are usually provided, implemented, or acquired through projects.

The Office of Government Commerce provides a useful distinction between programs and projects:

*The ultimate goal of a Programme is to realise outcomes and benefits of strategic relevance. To achieve this a programme is designed as a temporary flexible organisation structure created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives...*

*A programme is likely to have a life that spans several years. A Project is usually of shorter duration (a few months perhaps) and will be focussed on the creation of a set of deliverables within agreed cost, time and quality parameters. (OGC 2010)*

## Practical Considerations

When it comes to performing SE at the enterprise level, there are several good practices to keep in mind (Rebovich and White 2011):

- Set enterprise fitness as the key measure of system success. Leverage game theory and ecology, along with the practices of satisfying and governing the commons.
- Deal with uncertainty and conflict in the enterprise through adaptation: variety, selection, exploration, and experimentation.
- Leverage the practice of layered architectures with loose couplers and the theory of order and chaos in networks.

Enterprise governance involves shaping the political, operational, economic, and technical (POET) landscape. One should not try to control the enterprise like one would in a TSE effort at the project level.

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**SEBoK v. 2.7, released 31 October 2022**

# Enterprise Systems Engineering Background

**Lead Authors:** James Martin, Dick Fairley, Bud Lawson, **Contributing Author:** Alan Faisandier

This article provides a common context for the succeeding topics in the knowledge area.

## Capabilities in the Enterprise

The enterprise acquires or develops systems or individual elements of a system. The enterprise can also create, supply, use, and operate systems or system elements. Since there could possibly be several organizations involved in this enterprise venture, each organization could be responsible for particular systems or perhaps for certain kinds of elements. Each organization brings their own organizational capability with them and the unique combination of these organizations leads to the overall operational capability of the whole enterprise. These concepts are illustrated below.

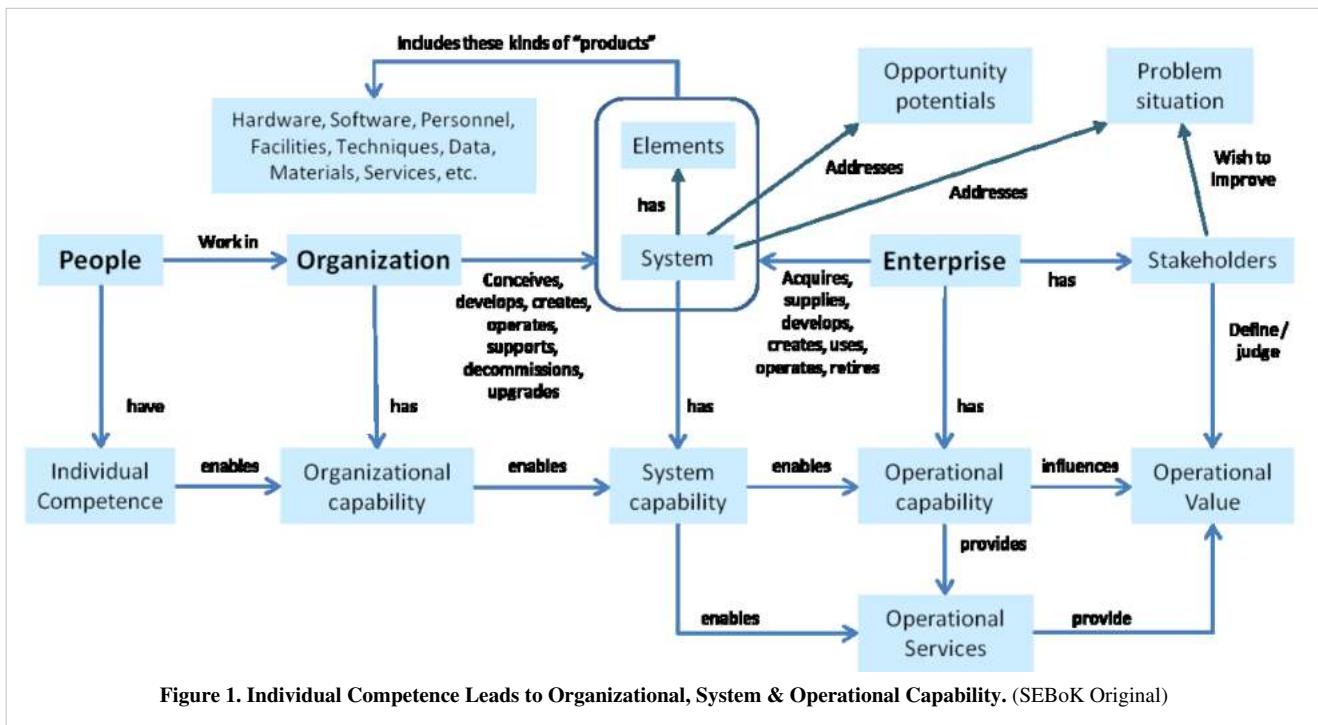


Figure 1. Individual Competence Leads to Organizational, System & Operational Capability. (SEBoK Original)

Organizational capabilities are addressed in the article on Systems Engineering Organizational Strategy, and individual competencies are addressed in the article on Enabling Individuals as they relate to the principles, theories, and practices of organizational behavior.

## Organizational Capabilities and Competencies

The word "capability" is used in systems engineering (SE) in the sense of "the ability to do something useful under a particular set of conditions." This article discusses three different kinds of capabilities: organizational capability, system capability, and operational capability. It uses the word "competence" to refer to the ability of people relative to the SE task. Individual competence, (sometimes called "competency"), contributes to, but is not the sole determinant of, organizational capability. This competence is translated to organizational capabilities through the work practices that are adopted by the organizations. New systems (with new or enhanced system capabilities) are developed to enhance enterprise operational capability in response to stakeholder's concerns about a problem situation.

Enterprise stakeholders are the ultimate arbiters of value for the system to be delivered. Organizational, system, and operational capabilities cannot be designed, improved, and implemented independently. The key to understanding the dependencies between capabilities is through architecture modeling and analysis as part of the activities described in the article called Enterprise Capability Management. “Capability engineering” is an emerging discipline that could enhance the effectiveness of enterprise systems engineering (ESE), which is further discussed in the article on Systems of Systems (SoS).

## Organizational Design

The competencies of individuals are important to the overall organizational capability as discussed in the article on Enabling Individuals. The organizational capability is also a function of how the people, teams, projects, and businesses are organized. The organizational design should specify the roles, authorities, responsibilities, and accountabilities (RARA) of the organizational units to ensure the most efficient and effective operations. Effectiveness of enterprise operations is certainly driven by management principles, concepts, and approaches, but it is also largely driven by its leadership principles, concepts, and approaches. These factors are discussed in the article on Systems Engineering Organizational Strategy that discusses how to organize for effective performance of SE.

Organizational structure is tightly tied to creating value for the enterprise’s various stakeholders. Since the enterprise is made up of various elements including people, processes, technologies, and assets, the organizational structure of the people and the allocation of responsibilities for executing portions of the value stream is a “design decision” for the enterprise and hence is a key element of properly performing ESE. Organizational design is increasingly influenced by the portfolio of products and services and the degree of coupling between them. This organizational design will be based on organizational design patterns and their tradeoffs, as discussed in the article on Systems Engineering Organizational Strategy. Browning (2009) discusses one approach for modeling and analysis of an organization.

## Operational Capabilities & Operational Services

As you can see in this figure, operational capabilities provide operational services that are enabled by system capabilities. These system capabilities are inherent in the system that is conceived, developed, created and/or operated by an enterprise. ESE concentrates its efforts on maximizing operational value for various stakeholders, some of whom may be interested in the improvement of some problem situation.

ESE, however, addresses more than just solving problems; it also deals with the exploitation of opportunities for better ways to achieve the enterprise goals. This opportunity might involve lowering of operating costs, increasing market share, decreasing deployment risk, reducing time to market, and any number of other enterprise goals. The importance of addressing opportunity potentials should not be underestimated in the execution of ESE practices.

This article focuses on the *operational capabilities* of an enterprise and the contribution of these capabilities to *operational value* (as perceived by the stakeholders). Notice that the organization or enterprise can deal with either the system as a whole or with only one (or a few) of its elements. These elements are not necessarily hard items, like hardware and software, but can also include “soft” items, like people, processes, principles, policies, practices, organizations, doctrine, theories, beliefs, and so on.

## Services vs. Products vs. Enterprises

A service system is a collection of items (or entities) that perform the operations, administration, management and provisioning (OAM&P) of resources that together provide the opportunities to co-create value by both the service provider and the service consumer.

A collection of services is not necessarily a service system. In fact, this collection of services is often merely a product system that is one of the resources being OAM&P'ed by the service system. A product system can be composed of hardware, software, personnel (see note 1), facilities, data, materials, techniques, and even services. Each of these product system elements can be "engineered."

*Note 1. Even personnel are engineered in the sense that their roles and responsibilities are specified precisely and trade-offs are made about which functions are performed by these people versus by hardware or software.*

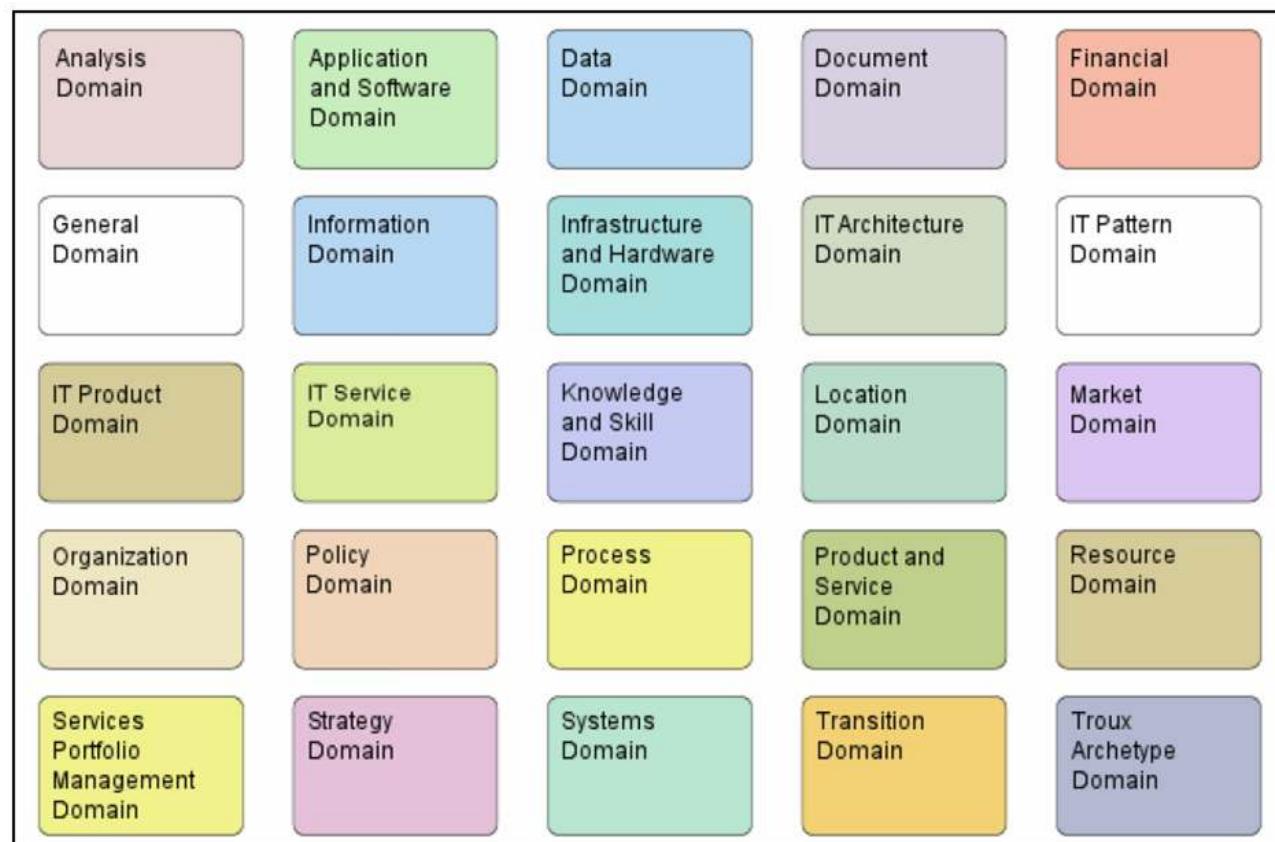
*People are "produced" in the sense that untrained people are trained to perform their allocated system functions, unknowledgeable people are educated to find or create the information they need to do their assigned task, and uninformed people are taught how to get access to the data they need, and how to extract relevant information from that data.*

It is important to understand the difference between the services "enabled" by a service system versus the services that are the elements of a service system entity. See the Service Systems Engineering article for more information about services and how they are engineered.

Likewise, a collection of services is not necessarily an enterprise system. An enterprise may be composed of service systems, along with product systems, as well as policies, procedures, properties, knowledge, financial capital, intellectual capital, and so on. An enterprise might even contain sub-enterprises. Enterprise SE must do the engineering not only across the enterprise itself, but may also get involved in the engineering of the service systems and products systems that the enterprise depends on in order to achieve its goals.

## Enterprise Components

The above depictions of enterprise-related things do not show the components of an enterprise. The components of an enterprise when it is viewed as a "system" are different than the components of a product or service system (which is the focus of most literature on systems engineering). The figure below shows the typical kinds of components (shown here as "domains") in an enterprise (Troux 2010) that could be utilized in achieving the desired enterprise *operational capability* as shown in Figure 1. It is this operational capability that drives ultimate value for the enterprise's customers and other stakeholders. Further discussion on enterprise components is provided by Reese (2010) and Lawson (2010, chap. 8).



**Figure 2. Categories of Enterprise Components (Trouw Technologies, 2010).** Reprinted with permission of Copyright © 2010 Troux Technologies. All other rights are reserved by the copyright owner.

The application/software and infrastructure/hardware domains (shown above) are likely the most familiar to systems engineers. The application/software domain contains things like the deployed software itself plus applications, modules, servers, patches, functions, and messages. The infrastructure/hardware domain contains things like the hardware itself plus networks and different kinds of hardware like computing hardware, cabinets, and network devices. There might be different subtypes of computing hardware like computers, servers, desktops, laptops, and mainframes.

This particular "semantic model" had its origins in the area of information technology (IT) management but has been successfully expanded beyond the IT domain (Martin 2003 and 2005). You can see from this elaboration of these domains that an enterprise architecture "schema" can be quite extensive in the kinds of things it can model. The less technical domains would be things like policy, market, strategy, transition, financial, knowledge and skill, and analysis. In a typical enterprise architecture schema like this there could be over a hundred types of modeling objects grouped into these domains.

Various tools used in modeling the enterprise are described at [http://www.enterprise-architecture.info/EA\\_Tools.htm](http://www.enterprise-architecture.info/EA_Tools.htm) (IEAD 2011). The TOGAF metamodel (<http://pubs.opengroup.org/architecture/togaf9-doc/arch/chap34.html>) used in The Open Group Architecture Framework (TOGAF) is another useful depiction of the various modeling entities involved in modeling the enterprise (TOGAF 2009).

## Scope of Enterprise SE

Computer and communications technologies make it easier to integrate activities across the enterprise, but this does not necessarily make the enterprise more effective and efficient. To enable this to happen, one needs to look at the whole enterprise as a system, rather than as a collection of functions connected solely by information systems and shared facilities.

## Essential Challenges

Enterprises face strategic challenges that are essential to address in order to ensure that the enterprise will succeed (Rouse 2009):

- **Growth:** Increasing impact, perhaps in saturated/declining “markets”,
- **Value:** Enhancing relationships of processes to benefits and costs,
- **Focus:** Pursuing opportunities and avoiding diversions,
- **Change:** Competing creatively while maintaining continuity,
- **Future:** Investing in inherently unpredictable outcomes,
- **Knowledge:** Transforming information to insights to programs, and
- **Time:** Carefully allocating the organization’s scarcest resource.

To address these challenges, one recognizes that the central source of value in the enterprise is in its people. “Understanding and supporting the interests of an enterprise’s diverse stakeholders — and finding the ‘sweet spot’ among the many competing interests — is a central aspect of discerning the work of the enterprise as a system and creating mechanisms to enhance this work” (Rouse 2009).

## Enterprise Transformation

Enterprises are constantly transforming, whether at the individual level (wherein individuals alter their work practices) or at the enterprise level (large-scale planned strategic changes) (Srinivasan 2010). These changes are a response on the part of the enterprise to evolving opportunities and emerging threats. It is not merely a matter of doing work better, but doing different work, which is often a more important result. Value is created through the execution of business processes. However, not all processes necessarily contribute to overall value (Rouse 2005, 138-150). It is important to focus on process and how they contribute to the overall value stream.

After gaining a good understanding of business processes, the next main concern is how best to deploy and manage the enterprise’s human, financial, and physical assets. The key challenge in transforming an enterprise is, in the midst of all this change, continuing to *satisfice* key stakeholders (see note 2).

*Note 2. “Satisfice” means to decide on and pursue a course of action satisfying the minimum requirements to achieve a goal. For the enterprise as a whole, it is often impossible to completely satisfy all stakeholders given their competing and conflicting concerns and interests. Therefore, the concept of “satisficing” is a very important element in the execution of ESE practices. It has less stringent criteria than the concept of “satisfaction,” which is commonly used in product/service systems engineering.*

Systems engineers have to respond to an increased recognition of the ‘connectedness’ of products and systems, brought about by a number of trends, for example: the capability of (mainly digital) technology, working across multiple systems, to transform businesses and operational systems; the need to create systems in families to increase product diversity and reuse technology, in order to reduce development and operating costs; and the need to build systems which can be brought together flexibly in operations, even if such co-operation was not foreseen at the time of development.

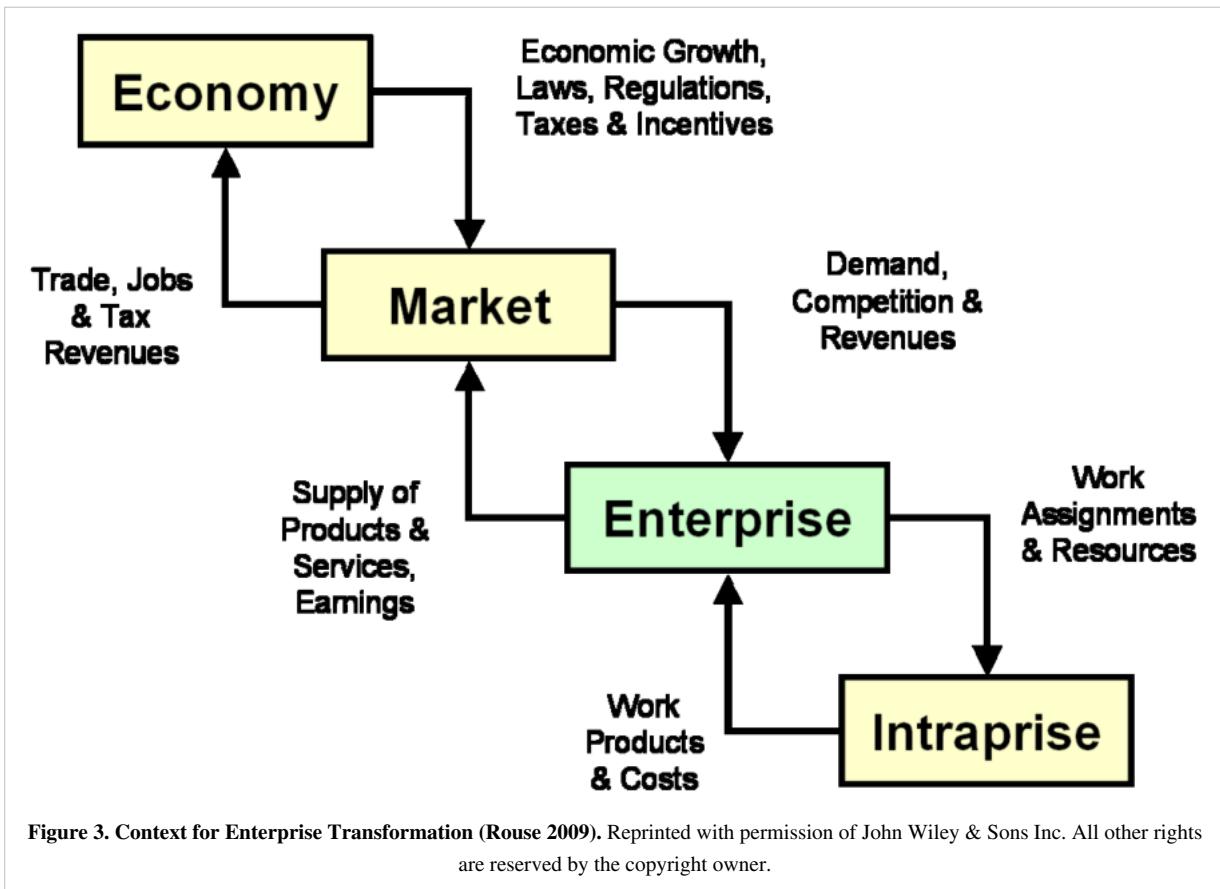
There has also been an increase in collaborative systems development activities, often spanning national boundaries. This has proceeded alongside a growth in the development of what might be called *meta-systems*, that is systems comprising parts which would previously have been considered as complex in their own right a generation ago, now

conceived of and developed as a whole, and thus requiring fresh approaches, of the adaption of old ones.

Tackling these issues requires an approach that transcends the technical and process domain. ESE needs to address integration at the organizational and value chain level.

## Transformation Context

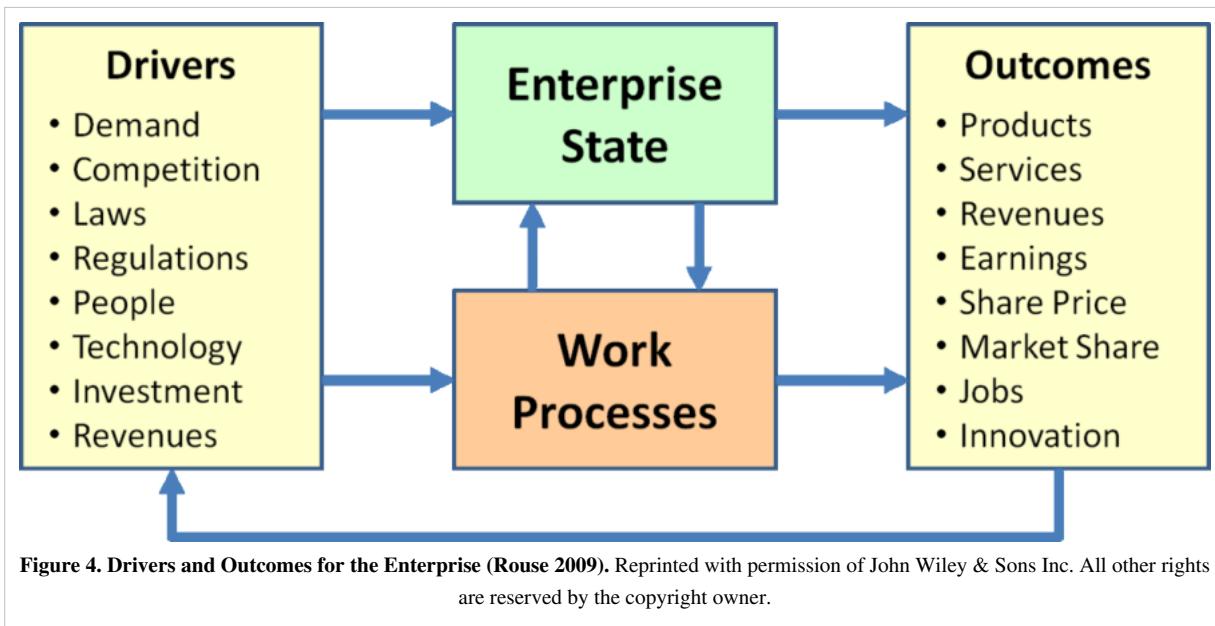
Enterprise transformation occurs in the external context of the economy and markets as shown in the figure below (Rouse 2009). The “market” for the enterprise can be thought of as the context in which the enterprise operates. Of course, in the public sector, the enterprise’s “market” is commonly known as its “constituency.”



The term “intraprise” is used here to denote the many systems internal to the enterprise. This includes “information systems such as... ERP [enterprise resource planning] systems, as well as social and cultural systems. More specifically, work assignments are pursued via work processes and yield work products, incurring costs” (Rouse 2009). The social and cultural aspects of an enterprise are addressed further in the article called Enabling Businesses and Enterprises.

## Modeling the Enterprise

Models of the enterprise can serve as the basis for understanding the enterprise in its context of markets and economies. The figure below shows the various drivers (or inputs) of an enterprise and its potential outcomes (or outputs) (Rouse 2009). Enterprise architecture can be a key enabler for modeling and can serve as a basis for transformation (Vernadat 1996; Bernus, Laszlo, and Schmidt 2003; Nightingale and Rhodes 2004). Enterprise architecture can be used to provide a model to understand how the parts of the enterprise fit together (or do not) (Giachetti 2010) (See also Representing Systems with Models). For a good review of the subject see Lillehagen and Krogstie (2008).

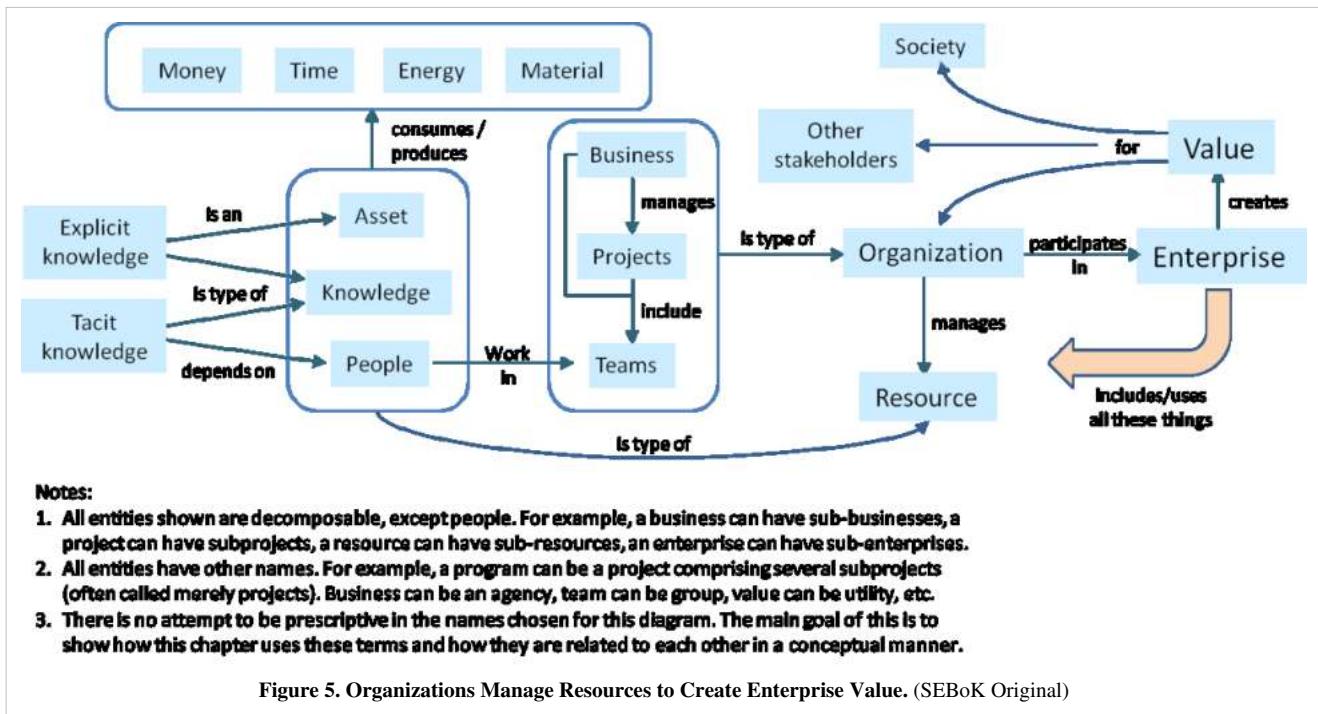


## In Pursuit of Value

Based on his theory of enterprise transformation, Rouse (2005, 279-295) has identified four alternative perspectives that tend to drive the need for transformation:

- Value Opportunities:** The lure of greater success via market and/or technology opportunities prompts transformation initiatives.
- Value Threats:** The danger of anticipated failure due to market and/or technology threats prompts transformation initiatives.
- Value Competition:** Other players' transformation initiatives prompt recognition that transformation is necessary to continued success.
- Value Crises:** Steadily declining market performance, cash flow problems, etc., prompt recognition that transformation is necessary for the enterprise to survive.

Work processes can be enhanced, streamlined, eliminated, and invented to help in the pursuit of enhanced value. These process changes should be aligned with enterprise strategy to maximize value produced by the enterprise (Hammer and Champy 1993). As shown below, there are many entities involved in helping the enterprise create value for society, participating organizations, and other stakeholders.



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# The Enterprise as a System

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**Lead Authors:** James Martin, Bud Lawson, Judith Dahmann

To enable more efficient and effective enterprise transformation, the enterprise needs to be looked at "as a system," rather than as a collection of functions connected solely by information systems and shared facilities (Rouse 2005 and 2009; Lawson 2010). What distinguishes the design of enterprise systems from product systems is the inclusion of people as a component of the system, not merely as a user/operator of the system.

*The term 'enterprise system' has taken on a narrow meaning of only the information system an organization uses. Research and project experience has taught us that to design a good enterprise system, we need to adopt a much broader understanding of enterprise systems. The greater view of enterprise systems is inclusive of the processes the system supports, the people who work in the system, and the information [and knowledge] content of the system. (Giachetti 2010)*

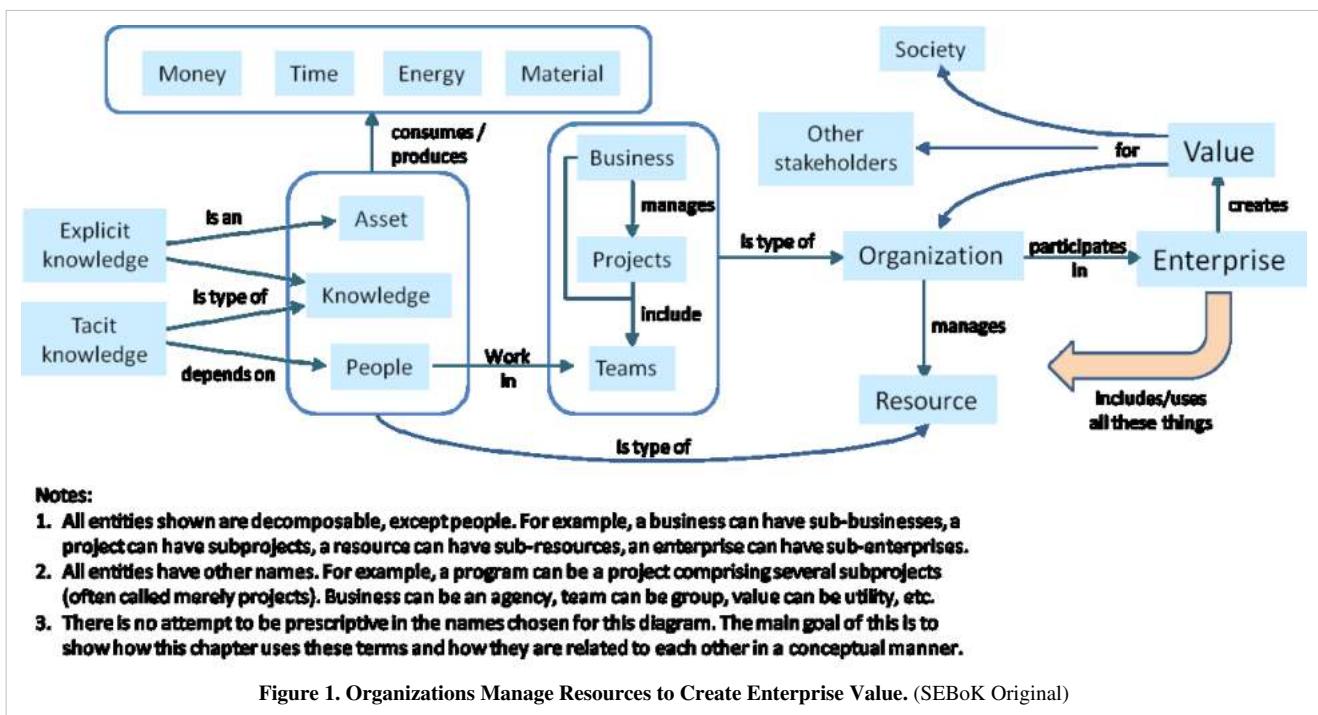
It is worth noting that the concept of "service" systems also includes people in the system. The thoughts above do not take this into account, primarily since their perspectives come mainly from a product system experience. The practice of service systems engineering is relatively new and is an emerging discipline. For more information on this, see the articles on Service Systems Engineering.

## Creating Value

The primary purpose of an enterprise is to create value for society, other stakeholders, and for the organizations that participate in that enterprise. This is illustrated in Figure 1 that shows all the key elements that contribute to this value creation process. These elements in the enterprise can be treated as a "system" and the processes, methods, and tools ESE can be applied.

There are three types of organizations of interest: businesses, projects, and teams (see note 1). A typical business participates in multiple enterprises through its portfolio of projects. Large SE projects can be enterprises in their own right, with participation by many different businesses, and may be organized as a number of sub-projects.

*Note 1. The use of the word "business" is not intended to mean only for-profit commercial ventures. As used here, it also includes government agencies and not-for-profit organizations, as well as commercial ventures. Business is the activity of providing goods and services involving financial, commercial, and industrial aspects.*



## Resource Optimization

A key choice for businesses that conduct SE is to what extent, if at all, they seek to optimize their use of resources (people, knowledge, assets) across teams, projects, and business units. Optimization of resources is not the goal in itself, but rather a means to achieve the goal of maximizing value for the enterprise and its stakeholders. At one extreme, in a product-oriented organization, projects may be responsible for hiring, training, and firing their own staff, as well as managing all assets required for their delivery of products or services. (The term "product-oriented organization" is not meant in the sense of product-oriented SE, but rather in the sense of this being one of the basic constructs available when formulating organizational strategy.)

At the other extreme, in a functional organization, the projects delegate almost all their work to functional groups. In between these two extremes is a matrix organization that is used to give functional specialists a "home" between project assignments. A full discussion of organizational approaches and situations along with their applicability in enabling SE for the organization is provided in the article called Systems Engineering Organizational Strategy.

The optimization debate can be handled as described in the book called "Enterprise Architecture as Strategy" (Ross, Weill, and Robertson 2006). In other words, an enterprise can choose (or not) to unify its operations and can choose (or not) to unify its information base. There are different strategies the enterprise might adopt to achieve and sustain value creation (and how ESE helps an enterprise to choose). This is further addressed in the section on Enterprise Architecture Formulation & Assessment in the article called Enterprise Capability Management.

## Enabling Systems Engineering in the Organization

SE skills, techniques, and resources are relevant to many enterprise functions, and a well-founded SE capability can make a substantial contribution at the enterprise level, as well as at the project level. The article called Systems Engineering Organizational Strategy discusses enabling SE in the organization, while the article called Enabling Businesses and Enterprises focuses on the cross-organizational functions at the business and enterprise levels. The competence of individuals is discussed in the article called Enabling Individuals.

## Kinds of Knowledge Used by the Enterprise

Knowledge is a key resource for ESE. There are generally two kinds of knowledge: explicit and tacit. Explicit knowledge can be written down or incorporated in computer codes. Much of the relevant knowledge, however, is “tacit knowledge” that only exists within the heads of people and in the context of relationships that people form with each other (e.g., team, project, and business level knowledge). The ability of an organization to create value is critically dependent on the people it employs, on what they know, how they work together, and how well they are organized and motivated to contribute to the organization’s purpose.

## Projects, Programs, and Businesses

The term “program” is used in various ways in different domains. In some domains a team can be called a program (e.g., a customer support team is their customer relationship “program”). In others, an entire business is called a program (e.g., a wireless communications business unit program), and in others the whole enterprise is called a program (e.g., the Joint Strike Fighter program and the Apollo Space program). And in many cases, the terms project and program are used interchangeably with no discernible distinction in their meaning or scope. Typically, but not always, there are program managers who have profit and loss (P&L) responsibility and are the ultimate program decision makers. A program manager may have a portfolio of items (services, products, facilities, intellectual property, etc.) that are usually provided, implemented, or acquired through projects.

The Office of Government Commerce provides a useful distinction between programs and projects:

*The ultimate goal of a Programme is to realise outcomes and benefits of strategic relevance. To achieve this a programme is designed as a temporary flexible organisation structure created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives...*

*A programme is likely to have a life that spans several years. A Project is usually of shorter duration (a few months perhaps) and will be focussed on the creation of a set of deliverables within agreed cost, time and quality parameters. (OGC 2010)*

## Enabling the Enterprise

ESE, by virtue of its inherent trans-disciplinarity (Sage 2000, 158-169) in dealing with problems that are large in scale and scope, can better enable the enterprise to become more effective and efficient. The complex nature of many enterprise problems and situations usually goes beyond the abilities of standard tools and techniques provided to business school graduates (See also Complexity). ESE can augment the standard business management methods using the tools and methods from the SE discipline to more robustly analyze and evaluate the enterprise as a holistic system. A more general viewpoint, or “view,” for dealing with the enterprise consisting of scale, granularity, mindset, and time frame is provided by White (2007) and by McCarter and White (2009, 71-105).

ESE can provide the enablers to address the concerns of enterprise executives as shown in Table 1 (Rouse 2009). The methods for dealing with, and the special characteristics of, complex adaptive systems must be properly considered when adapting traditional systems engineering (TSE) practices for use at the enterprise level—many of which come out of the systems science and systems thinking domains (von Bertalanffy 1968; Weinberg and Weinberg 1988; Miller and Page 2007; Rouse 2008, 17-25). For an approach to complex adaptive systems (CAS) engineering, refer to White (2009, 1-16) and to McCarter and White (2009, 71-105).

**Table 1. Executive Concerns and SE Enablers (Rouse 2009). Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.**

Executive Concerns	SE Enablers
Identifying ends, means, and scope and candidate changes	System complexity analysis to compare "as is" and "to be" enterprises
Evaluating changes in terms of process behaviors and performance	Organizational simulation of process flows and relationships
Assessing economics in terms of investments, operating costs, and returns	Economic modeling in terms of cash flows, volatility, and options
Defining the new enterprise in terms of processes and their integration	Enterprise architecting in terms of workflow, processes, and levels of maturity
Designing a strategy to change the culture for selected changes	Organizational and cultural change via leadership, vision, strategy, and incentives
Developing transformation action plans in terms of what, when, and who	Implementation planning in terms of tasks, schedule, people, and information

## Enterprise Engineering

Another distinction is that “enterprise design does not occur at a single point in time like the design of most systems. Instead, enterprises evolve over time and are constantly changing, or are constantly *being designed*” (Giachetti 2010) [emphasis in original]. Giachetti calls this new discipline “enterprise engineering.” We consider the enterprise engineering set of practices to be equivalent to what we call enterprise systems engineering (ESE) in this article.

*The body of knowledge for enterprise engineering is evolving under such titles as enterprise engineering, business engineering, and enterprise architecture . . . . Many systems and software engineering principles are applicable to enterprise engineering, but enterprise engineering's unique complexities require additional principles.... Enterprise engineering's intent is to deliver a targeted level of enterprise performance in terms of shareholder value or customer satisfaction . . . . Enterprise engineering methods include modeling; simulation; total quality management; change management; and bottleneck, cost, workflow, and value-added analysis.* (Joannou 2007)

## Supersystem Constructs

### System of Systems (SoS)

The phrase "system of systems" (SoS) is commonly used, but there is no widespread agreement on its exact meaning, nor on how it can be distinguished from a conventional system. A system is generally understood to be a collection of elements that interact in such a manner that it exhibits behavior that the elements themselves cannot exhibit. Each element (or component) of the system can be regarded as a system in its own right. Therefore, the phrase "system of systems" can technically be used for any system and, as such, would be a superfluous term. However, the meaning of this phrase has been examined in detail by (Maier 1998, 267-284), and his definition has been adopted by some people (AFSAB 2005). Maier provides this definition:

*A SoS is an assemblage of components which individually may be regarded as systems, and which possess two additional properties:*

- **Operational Independence of the Components:** *If the system-of-systems is disassembled into its component systems the component systems must be able to usefully operate independently. That is, the components fulfill customer-operator purposes on their own; and*
- **Managerial Independence of the Components:** *The component systems not only can operate independently, they do operate independently. The component systems are separately acquired and integrated but maintain a*

*continuing operational existence independent of the system-of-systems.* (Maier 1998, 267-284)

Maier goes on further saying that “the commonly cited characteristics of systems-of-systems (complexity of the component systems and geographic distribution) are not the appropriate taxonomic classifiers” (Maier 1998, 267-284). Four kinds of SoS have been defined (Dahmann, Lane, and Rebovich 2008).

For further details on SoS, see the *Systems Engineering Guide for SoS* developed by the US Department of Defense (DoD) (DUS(AT) 2008). Also, see the Systems of Systems (SoS) knowledge area.

## Federation of Systems (FoS)

Different from the SoS concept, but related to it in several ways, is the concept called “federation of systems” (FoS). This concept might apply when there is a very limited amount of centralized control and authority (Sage and Cuppan 2001, 325-345; Sage and Rouse 2009). Each system in an FoS is very strongly in control of its own destiny, but “chooses” to participate in the FoS for its own good and the good of the “country,” so to speak. It is a coalition of the willing. An FoS is generally characterized by significant autonomy, heterogeneity, and geographic distribution or dispersion (Krygiel 1999). Krygiel defined a taxonomy of systems showing the relationships among conventional systems, SoSs, and FOSs.

This taxonomy has three dimensions: autonomy, heterogeneity, and dispersion. A FoS would have a larger value on each of these three dimensions than a non-federated SoS. An “Enterprise System,” as described above, could be considered to be an FoS if it rates highly on these three dimensions. However, it is possible for an enterprise to have components that are not highly autonomous, that are relatively homogeneous, and are geographically close together. Therefore, it would be incorrect to say that an enterprise is necessarily the same as an FoS.

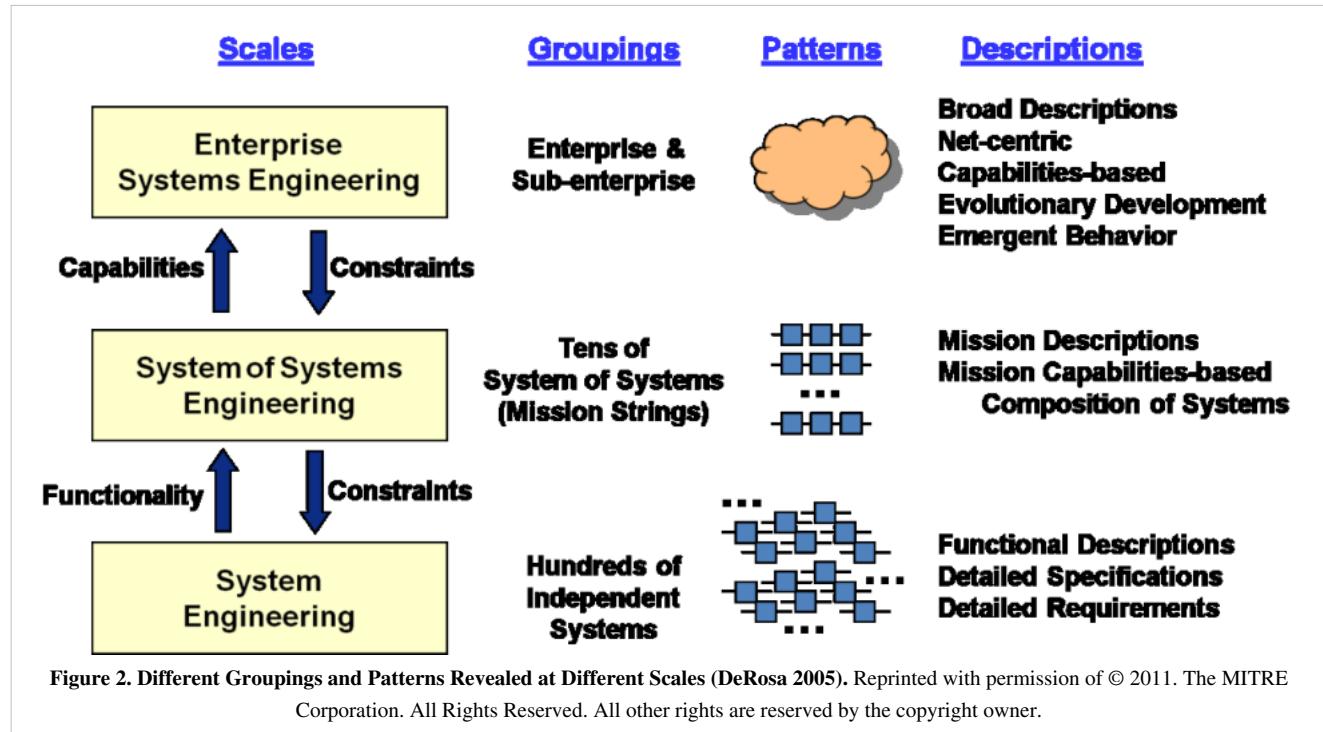
Dove points out that in order for a large enterprise to survive in the twenty-first century, it must be more agile and robust (Dove 1999 and 2001). Handy (1992, 59-67) describes a federalist approach called “New Federalism” which identifies the need for structuring of loosely coupled organizations to help them adapt to the rapid changes inherent in the Information Age. This leads to the need for virtual organizations where alliances can be quickly formed to handle the challenges of newly identified threats and a rapidly changing marketplace (Handy 1995, 2-8). Handy sets out to define a number of federalist political principles that could be applicable to an FoS. Handy’s principles have been tailored to the domain of systems engineering (SE) and management by Sage and Cuppan (2001, 325-345):

- Subsidiarity,
- Interdependence,
- Uniform and standardized way of doing business,
- Separation of powers,
- Dual citizenship, and
- Scales of SE.

## Scales of SE

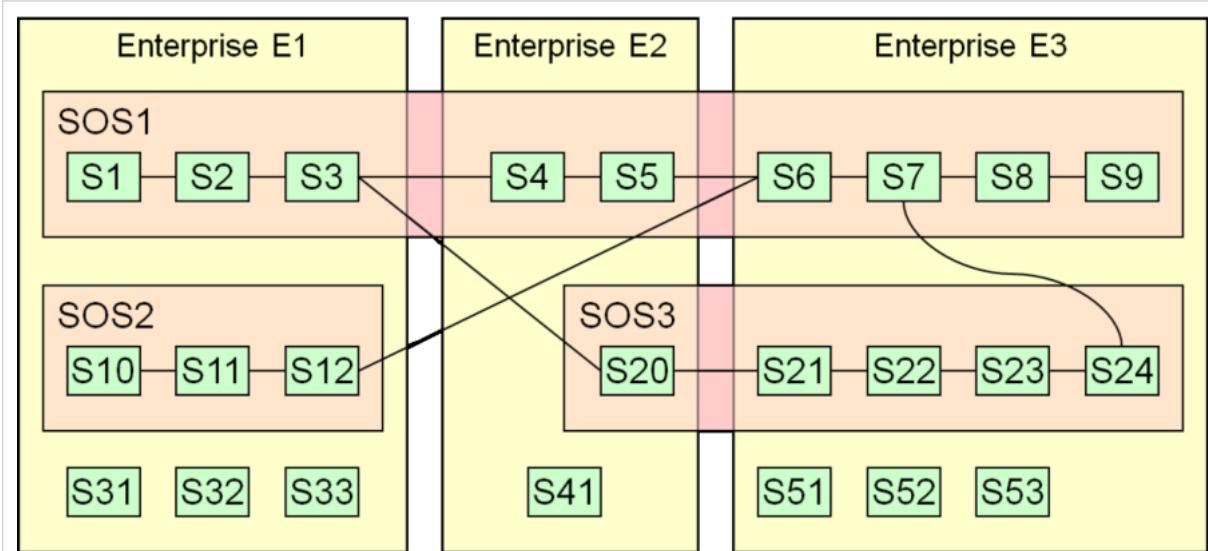
According to Maier’s definition, not every enterprise would be called a SoS since the systems within the enterprise do not usually meet the criteria of operational and managerial independence. In fact, one of the key purposes of an enterprise is to explicitly establish operational dependence between systems that the enterprise owns and/or operates in order to maximize the efficiency and effectiveness of the enterprise as a whole. Therefore, it is more proper to treat an enterprise system and an SoS as different types of things, with different properties and characteristics. This distinction is illustrated in the figure below, where three corresponding categories of SE are shown (DeRosa 2005; Swarz et al. 2006).

It is true that an enterprise can be treated as a system itself and is comprised of many systems within the enterprise, but this discussion will reserve the term SoS to those systems that meet the criteria of operational and managerial independence. This distinction was also used within the MITRE Corporation in their ESE Office (Rebovich and White 2011).



### Relationships between Enterprise and SoS

An enterprise may require a particular operational capability that is brought into being by connecting together a chain of systems that together achieve that capability. Any one of these systems in the chain cannot by itself provide this capability. The desired capability is the emergent property of this chain of systems. This chain of systems is sometimes called an SoS. However, the enterprise that requires this capability rarely has direct control over all the systems necessary to provide this full capability. This situation is illustrated in the figure below (Martin 2010).



Enterprise E1 (in the example above) has full control over SoS2, but not full control over SoS1. TSE can be applied to the individual systems ( $S_1, S_2, \dots, S_{53}$ ) shown within each enterprise, but needs to be augmented with additional activities to handle SoS and enterprise kinds of issues.

There is a general issue regarding dealing with enterprises in this situation: there are at least two enterprises related to any particular SoS. First, there is the enterprise of builders/developers comprising projects and programs, which have to be organized appropriately and adopt special types of architectural principles. Second, there is the enterprise of users (those who use the products and service provided by the first enterprise), which has to exercise its own sort of agility. How the first enterprise designs systems to allow the second to operate is the core issue.

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## Related Business Activities

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The following business management activities can be supported by enterprise systems engineering (ESE) activities:

- mission and strategic planning,
- business processes and information Management,
- performance management,
- portfolio management,
- resource allocation and budgeting, and
- program and project management.

### Introduction

The figure below shows how these business activities relate to each other as well as the relative scope of ESE and product systems engineering (PSE) (Martin 2010 and 2011). PSE is mainly involved at the project level and collaborates with project management activities, and gets somewhat involved in program management and the resource allocation and budgeting activities. On the other hand, ESE is heavily involved in the higher level activities from the program management level and up. Both ESE and PSE have key roles to play in the enterprise.

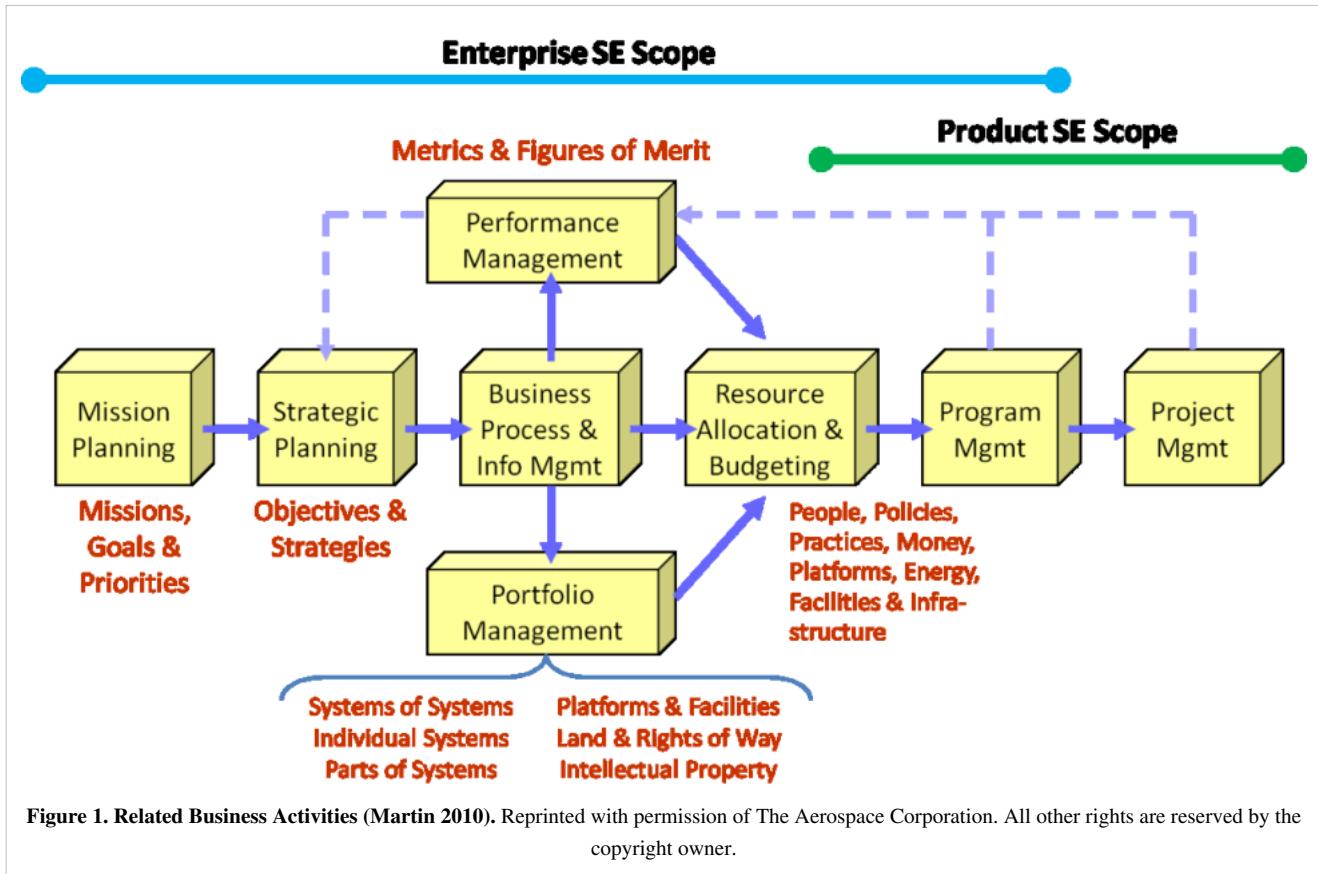


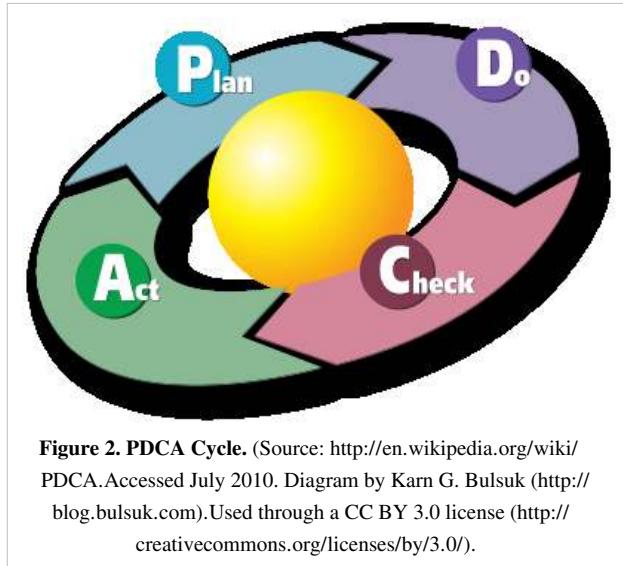
Figure 1. Related Business Activities (Martin 2010). Reprinted with permission of The Aerospace Corporation. All other rights are reserved by the copyright owner.

Show in this manner, these business activities can be considered to be separate processes with a clear precedence in terms of which process drives other processes. TSE uses "requirements" to specify the essential features and functions of a system. An enterprise, on the other hand, typically uses goals and objectives to specify the fundamental characteristics of desired enterprise operational capabilities. The enterprise objectives and strategies are used in portfolio management to discriminate between options and to select the appropriate balanced portfolio of systems and other enterprise resources.

The first three activities listed above are covered in Enabling Businesses and Enterprises. The other business management activities are described in more detail below in regards to how they relate to ESE.

## Business Management Cycles

PDCA stands for "plan-do-check-act" and is a commonly used iterative management process as seen in the figure below. It is also known as the Deming circle or the Shewhart cycle after its two key proponents (Deming 1986; Shewhart 1939). ESE should use the PDCA cycle as one of its fundamental tenets. For example, after ESE develops the enterprise transformation plan, execution of the planned improvements are monitored (i.e., "checked" in the PDCA cycle) to ensure they achieve the targeted performance levels. If not, then action needs to be taken (i.e., "act" in the PDCA cycle) to correct the situation and re-planning may be required. ESE can also use the PDCA cycle in its support of the 'business as usual' efforts, such as the annual budgeting and business development planning activities.



It is also worth mentioning the utility of using Boyd's OODA loop (observe, orient, decide, and act) to augment PDCA. This could be accomplished by first using the OODA loop ([http://en.wikipedia.org/wiki/OODA\\_loop](http://en.wikipedia.org/wiki/OODA_loop)), which is continuous in situation awareness, and then followed by using the PDCA approach, which is discrete, having goals, resources, usually time limits, etc. (Lawson 2010).

## Portfolio Management

Program and project managers direct their activities as they relate to the systems under their control. Enterprise management, on the other hand, is involved in directing the portfolio of items that are necessary to achieving the enterprise goals and objectives. This can be accomplished by using portfolio management:

*Project Portfolio Management (PPM) is the centralized management of processes, methods, and technologies used by project managers and project management offices (PMOs) to analyze and collectively manage a group of current or proposed projects based on numerous key characteristics. The objectives of PPM are to determine the optimal resource mix for delivery and to schedule activities to best achieve an organization's operational and financial goals—while honoring constraints imposed by customers, strategic objectives, or external real-world factors.* ([http://en.wikipedia.org/wiki/Project\\_portfolio\\_management](http://en.wikipedia.org/wiki/Project_portfolio_management))

The enterprise may not actually own these portfolio items. They could rent or lease these items, or they could have permission to use them through licensing or assignment. The enterprise may only need part of a system (e.g., one bank of switching circuits in a system) or may need an entire system of systems (SoS) (e.g., switching systems, distribution systems, billing systems, provisioning systems, etc.). Notice that the portfolio items are not just those items related to the systems that systems engineering (SE) deals with. These could also include platforms (like ships and oil drilling derricks), facilities (like warehouses and airports), land and rights of way (like railroad property easements and municipal covenants), and intellectual property (like patents and trademarks).

The investment community has been using portfolio management for a long time to manage a set of investments to maximize return for a given level of acceptable risk. These techniques have also been applied to a portfolio of "projects" within the enterprise (Kaplan 2009). However, it should be noted that an enterprise is not merely a portfolio of projects. The enterprise portfolio consists of whatever systems, organizations, facilities, intellectual property, and other resources that are needed to help the enterprise achieve its goals and objectives.

Portfolio management in the context of ESE is well addressed in the following article: [http://www.mitre.org/work/systems\\_engineering/guide/enterprise\\_engineering/enterprise\\_planning\\_management/portfolio\\_management.html](http://www.mitre.org/work/systems_engineering/guide/enterprise_engineering/enterprise_planning_management/portfolio_management.html) (MITRE 2010).

## Resource Allocation and Budgeting

The resource allocation and budgeting (RA&B) activity is driven by the portfolio management definition of the optimal set of portfolio elements. Capability gaps are mapped to the elements of the portfolio, and resources are assigned to programs (or other organizational elements) based on the criticality of these gaps. Resources come in the form of people and facilities, policies and practices, money and energy, and platforms and infrastructure. Allocation of resources could also involve the distribution or assignment of corporate assets, like communication bandwidth, manufacturing floor space, computing power, intellectual property licenses, and so on. Resource allocation and budgeting is typically done on an annual basis, but more agile enterprises will make this a more continuous process. Some of the resource allocation decisions deal with base operational organizations that are not project related.

It is sometimes the case that RA&B is part of portfolio management (PfM). But as can be seen in Figure 1, it is sometimes useful and practical to separate these two activities. PfM usually recommends changes to the enterprise portfolio, but RA&B takes these PfM considerations into mind along with inputs from the business process and information management and the performance management activities. Furthermore, PfM is usually an annual or biannual activity whereas RA&B is often done more frequently. RA&B may need to execute *ad hoc* when perturbations happen, such as funding cuts, schedule slips, performance targets missed, strategic goals changed, and so on.

## Program and Project Management

Within the enterprise, TSE is typically applied inside a project to engineer a single system (or perhaps a small number of related systems). If there is a SoS or a large, complex individual system to be engineered, then this might be handled at the program level, but is sometimes handled at the project level, depending on the size and complexity of the system-of-interest (See also Complexity).

There are commonly three basic types of projects in an enterprise. A development project takes a conceptual notion of a system and turns this into a realizable design. A production project takes the realizable design for a system and turns this into physical copies (or instantiations). An operations "project" directly operates each system or supports the operation by others. (Base operations are sometimes called "line organizations" and are not typically called projects per se, but should nonetheless be considered as key elements to be considered when adjusting the enterprise portfolio.) The operations project can also be involved in maintaining the system or supporting maintenance by others. A program can have all three types of projects active simultaneously for the same system, as in this example:

- Project A is developing System X version 3.
- Project B is operating and maintaining System X version 2.
- Project C is maintaining System X version 1 in a warehouse as a backup in case of emergencies.

Project management uses TSE as a tool to ensure a well-structured project and to help identify and mitigate cost, schedule, and technical risks involved with system development and implementation. The project level is where the TSE process is most often employed (Martin 1997; ISO/IEC/IEEE 2015; Wasson 2006; INCOSE 2010; Blanchard and Fabrycky 2010).

The Office of Government Commerce provides a useful distinction between programs and projects:

*The ultimate goal of a Programme is to realise outcomes and benefits of strategic relevance. To achieve this, a programme is designed as a temporary flexible organisation structure created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives...*

*A programme is likely to have a life that spans several years. A Project is usually of shorter duration (a few months perhaps) and will be focussed on the creation of a set of deliverables within agreed cost, time and quality parameters. (OGC 2010)*

## Enterprise Governance

ESE is also concerned with the way in which organizations and embedded management and technical functions work together to achieve success at the enterprise level. Governance frameworks provide the essential additional structure and controls needed to both 'steer a steady ship' (during business as usual) and to 'plot a course to a new place' (during business transformation).

Such frameworks can be designed by recognizing that there are enduring management concerns that need to be addressed and by applying the principle of economy. For example, a particular concern for most organizations is linking the control of projects to business drivers and objectives. This leads to a requirement for a governance body to both approve the initiation of projects, and to regularly review their progress, continuing relevance, and if necessary, mutual coherence in the light of developments inside and outside the enterprise.

This might be achieved by delegating some or all of the roles; depending on circumstances, the enterprise might be driven towards top-down or a more collective, peer-to-peer approach—or even a combination of the two for different functions. Governance bodies and management roles can be engineered in this way against a common set of management concerns. Governance may also include the maintenance of common technical standards and their promulgation and use throughout relevant projects. See Bryant (2012) for more information on governance.

## Multi-Level Enterprises

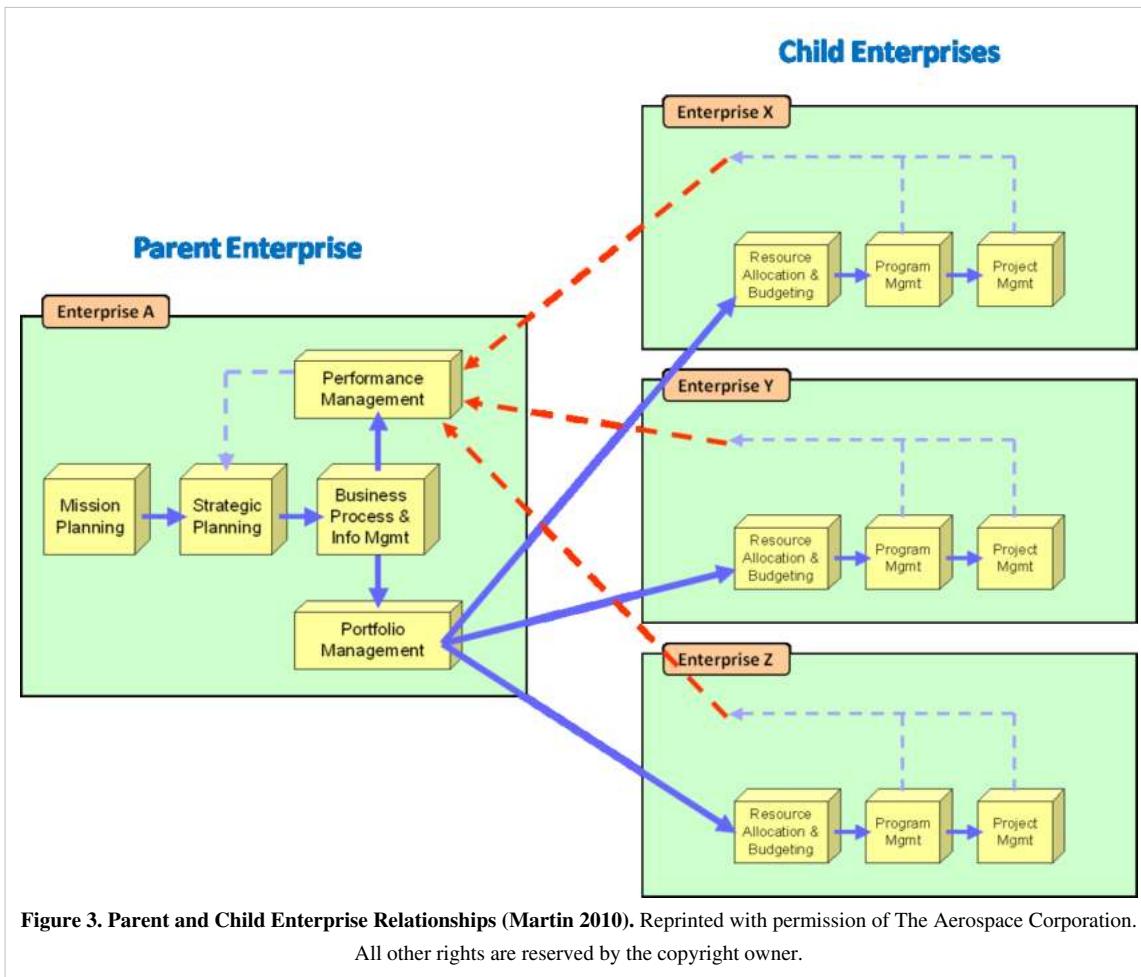
An enterprise does not always have full control over the ESE processes. In some cases, an enterprise may have no direct control over the resources necessary to make programs and projects successful. For example, the Internet Engineering Task Force (IETF) is responsible for the "smooth operation of the Internet," yet it controls none of the requisite resources.

*The Internet Engineering Task Force (IETF) is a large open international community of network designers, operators, vendors, and researchers concerned with the evolution of the Internet architecture and the smooth operation of the Internet. ... The actual technical work of the IETF is done in its working groups, which are organized by topic into several areas (e.g., routing, transport, security, etc.). Much of the work is handled via mailing lists. The IETF holds meetings three times per year.* (IETF 2010a)

The IETF has "influence" over these resources even though it does not have direct control: "The IETF is unusual in that it exists as a collection of happenings, but is not a corporation and has no board of directors, no members, and no dues" (IETF 2010b).

The ESE processes might be allocated between a "parent" enterprise and "children" enterprises, as shown in the figure below (Martin 2010). The parent enterprise, in this case, has no resources. These resources are owned by the subordinate child enterprises. Therefore, the parent enterprise does not implement the processes of resource allocation and budgeting, program management, and project management.

The parent enterprise may have an explicit contract with the subordinate enterprises, or, as in some cases, there is merely a "working relationship" without the benefit of legal obligations. The parent enterprise will expect performance feedback from the lower level to ensure that it can meet its own objectives. Where the feedback indicates a deviation from the plan, the objectives can be adjusted or the portfolio is modified to compensate.



**Figure 3. Parent and Child Enterprise Relationships (Martin 2010).** Reprinted with permission of The Aerospace Corporation.  
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Enterprises X, Y, and Z in the situation shown above will cooperate with each other to the extent that they honor the direction and guidance from the parent enterprise. These enterprises may not even be aware of each other, and, in this case, would be unwittingly cooperating with each other. The situation becomes more complex if each enterprise has its own set of strategic goals and objectives as shown in the figure below.

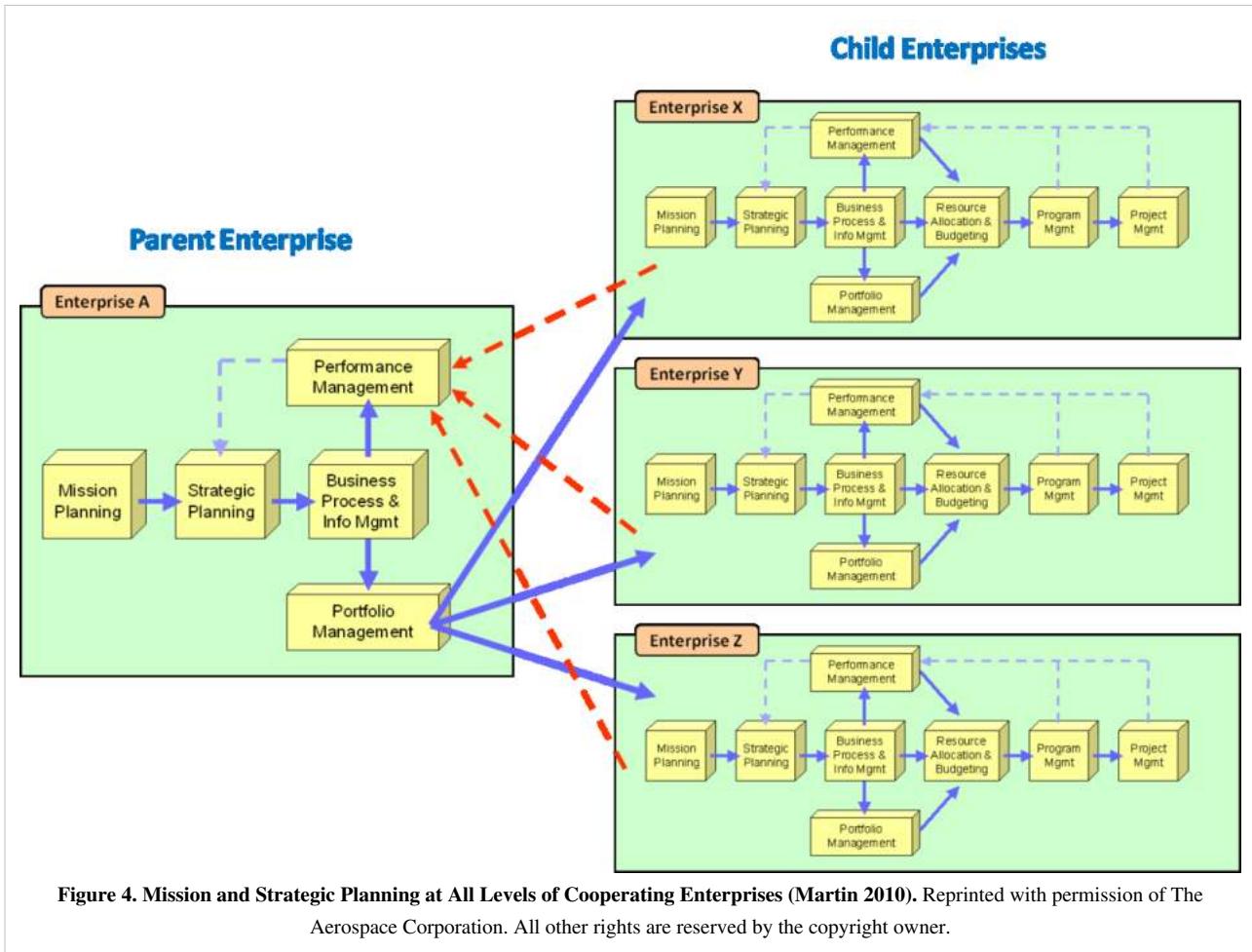


Figure 4. Mission and Strategic Planning at All Levels of Cooperating Enterprises (Martin 2010). Reprinted with permission of The Aerospace Corporation. All other rights are reserved by the copyright owner.

These separate, sub-enterprise objectives will sometimes conflict with the objectives of the parent enterprise. Furthermore, each subordinate enterprise has its own strategic objectives that might conflict with those of its siblings. The situation shown here is not uncommon, and illustrates an enterprise of enterprises, so to speak. This highlights the need for the application of SE at the enterprise level to handle the complex interactions and understand the overall behavior of the enterprise as a whole. TSE practices can be used, to a certain extent, but these need to be expanded to incorporate additional tools and techniques.

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# Enterprise Systems Engineering Key Concepts

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The purpose of traditional systems engineering (TSE) is to bring together a diversity of discipline experts to address a wide range of problems inherent in the development of a large, complex "single" system (Blanchard and Fabrycky 2010; Hall 1989; Sage and Rouse 2009). Enterprise systems engineering (ESE) expands beyond this traditional basis to "consider the full range of SE services increasingly needed in a modern organization where information-intensive systems are becoming central elements of the organization's business strategy" (Carlock and Fenton 2001, 242-261). The traditional role of systems engineering (SE) is heavily involved in system acquisition and implementation, especially in the context of government acquisition of very large, complex military and civil systems (e.g., F22 fighter jet and air traffic control systems).

ESE encompasses this traditional role in system acquisition, but also incorporates enterprise strategic planning and enterprise investment analysis (along with others as described below). These two additional roles for SE at the enterprise level are "shared with the organization's senior line management, and tend to be more entrepreneurial, business-driven, and economic in nature in comparison to the more technical nature of classical systems engineering" (Carlock and Fenton 2001, 242-261).

## Closing the Gap

ESE practices have undergone significant development recently.

*Today the watchword is enterprise systems engineering, reflecting a growing recognition that an 'enterprise' may comprise many organizations from different parts of government, from the private and public sectors, and, in some cases, from other nations.* (MITRE 2004)

Rebovich (2006) says there are "new and emerging modes of thought that are increasingly being recognized as essential to successful systems engineering in enterprises." For example, in addition to the TSE process areas, MITRE has included the following process areas in their ESE process (DeRosa 2005) to close the gap between ESE and PSE:

- strategic technical planning,
- enterprise architecture,
- capabilities-based planning analysis,
- technology planning, and
- enterprise analysis and assessment.

These ESE processes are shown in the context of the entire enterprise in the figure below (DeRosa 2006). The ESE processes are shown in the middle with business processes on the left and TSE processes on the right. These business processes are described in the article called Related Business Activities. The TSE processes are well documented in many sources, especially in the ISO/IEC/IEEE 15288 standard (2015).

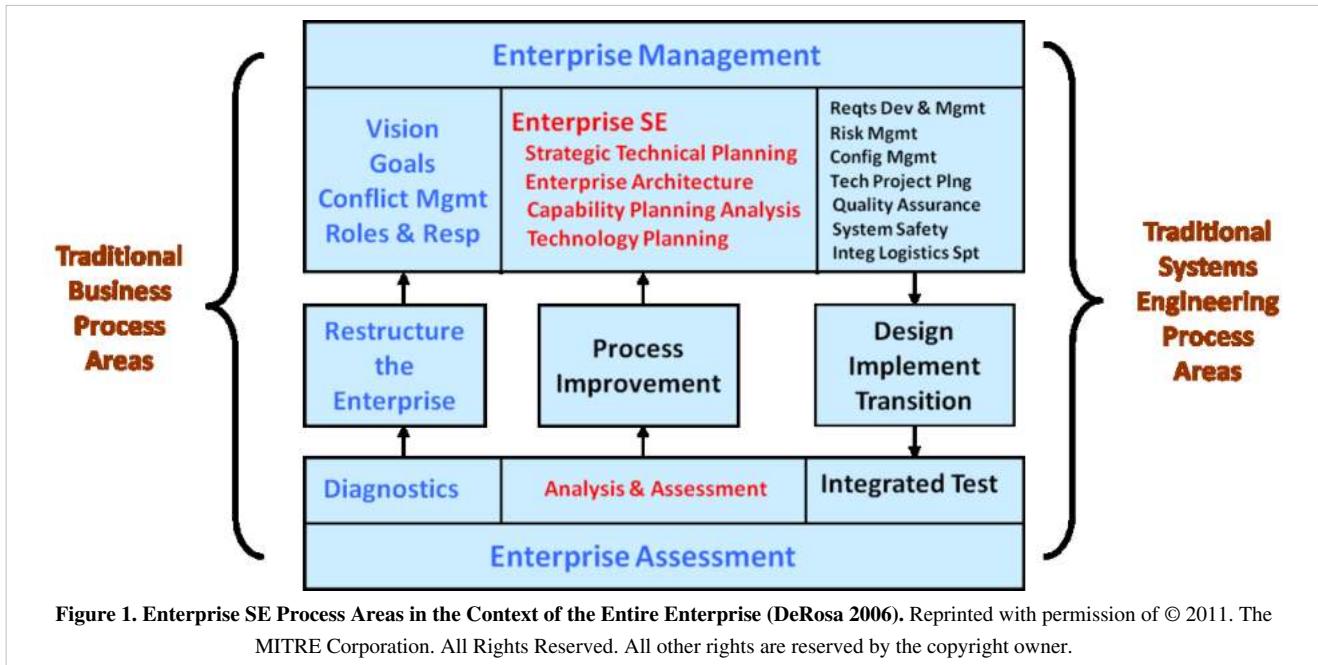


Figure 1. Enterprise SE Process Areas in the Context of the Entire Enterprise (DeRosa 2006). Reprinted with permission of © 2011. The MITRE Corporation. All Rights Reserved. All other rights are reserved by the copyright owner.

SE is viewed by many organizations and depicted in many process definitions as bounded by the beginning and end of a system development project. In MITRE, this restricted definition was referred to as TSE. Many have taken a wider view seeking to apply SE to the “whole system” and “whole life cycle.” For example, Hitchins (1993) sets out a holistic, whole-life, wider system view of SE centered on operational purpose. Elliott and Deasley (2007) discuss the differences between development phase SE and in-service SE.

In contrast to TSE, the ESE discipline is more like a “regimen” (Kuras and White 2005) that is responsible for identifying “outcome spaces,” shaping the development environment, coupling development to operations, and rewarding results rather than perceived promises (DeRosa 2005). ESE must continually characterize the operational environmental and the results of enterprise or SoS interventions to stimulate further actions within and among various systems in the enterprise portfolio. Outcome spaces are characterized by a set of desired capabilities that help meet enterprise objectives, as opposed to definitive “user requirements” based on near-term needs. Enterprise capabilities must be robust enough to handle unknown threats and situations in the future. A detailed description of previous MITRE views on ESE can be found in a work by Rebovich and White (2011).

## Role of Requirements in ESE

TSE typically translates user needs into system requirements that drive the design of the system elements. The system requirements must be “frozen” long enough for the system components to be designed, developed, tested, built, and delivered to the end users (which can sometimes take years, and in the case of very large, complicated systems like spacecraft and fighter jets, more than a decade).

ESE, on the other hand, must account for the fact that the enterprise must be driven not by requirements (that rarely can even be defined, let alone made stable), but instead by continually changing organizational visions, goals, governance priorities, evolving technologies, and user expectations. An enterprise consists of people, processes, and technology where the people act as “agents” of the enterprise:

*Ackoff has characterized an enterprise as a 'purposeful system' composed of agents who choose both their goals and the means for accomplishing those goals. The variety of people, organizations, and their strategies is what creates the inherent complexity and non-determinism in an enterprise. ESE must account for the concerns, interests and objectives of these agents.* (Swarz, DeRosa, and Rebovich 2006)  
(See also Complexity)

Whereas TSE focuses on output-based methodologies (e.g., functional analysis and object-oriented analysis), ESE is obligated to emphasize outcomes (e.g., business analysis and mission needs analysis), especially those related to the enterprise goals and key mission needs.

## Enterprise Entities and Relationships

An enterprise “system” has different entities and relationships than you might find in a product/service system (see note 1). These can be usefully grouped into two categories: asset items and conceptual items. An example of an asset is hardware and software. Examples of conceptual items are things like analysis, financial elements, markets, policies, process, and strategy.

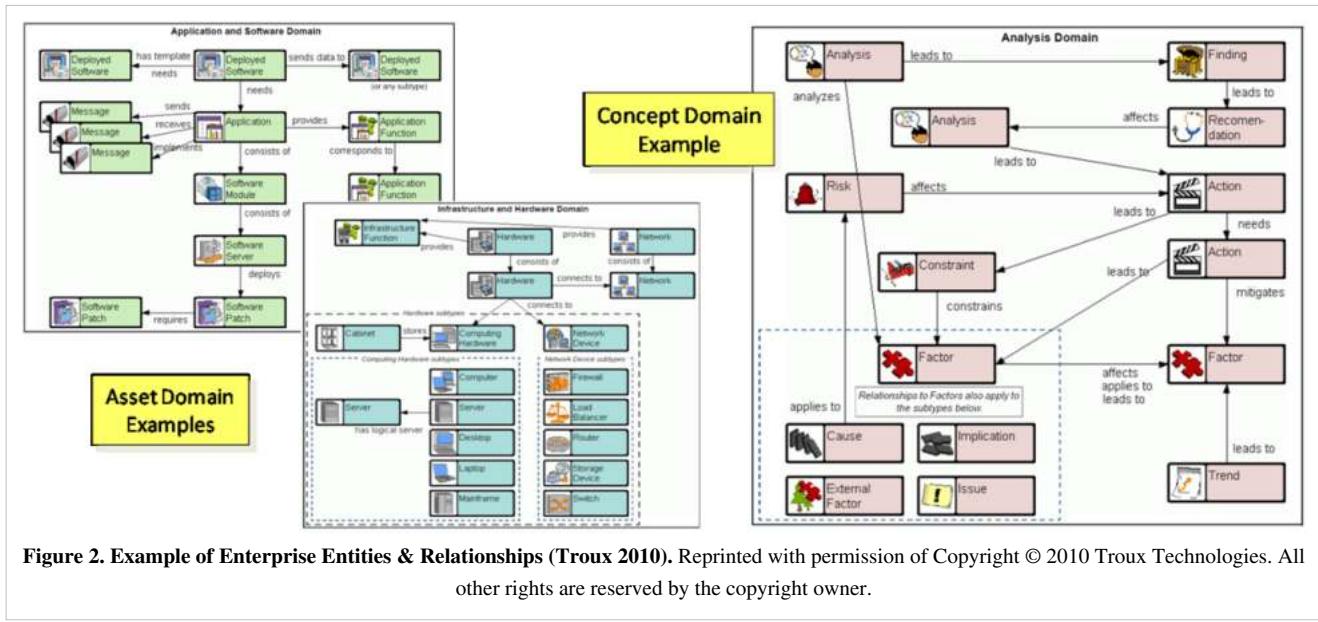
*Note 1. An “enterprise system” should not be confused with the enterprise “perceived as a system.” An enterprise system is a product (or service) system used across the enterprise, such as payroll, financial accounting, or enterprise resource planning applications, and consolidated data center, data warehouse, and other such facilities and equipment used across one or more organizations.*

Products and services are sometimes treated as “assets” as shown in the figure below (Troux 2010). This categorization of enterprise items comes from the semantic model (i.e., metamodel) used in the Troux Architect modeling tool for characterization and analysis of an enterprise architecture. Other enterprise entities of interest are things like information, knowledge, skills, finances, policies, process, strategy, markets, and resources, but these are categorized as “concept” items (in this particular schema). Further details on how to use this metamodel’s entities and relationships are provided by Reese (2010).

**Table 1. Asset Domain and Concept Domain Categories for Enterprise Entities. (Troux 2010) Reprinted with permission of Copyright © 2010 Troux Technologies. All other rights are reserved by the copyright owner.**

Asset Domains	Concept Domains
Application and Software Domain	Analysis Domain
Data Domain	Financial Domain
Document Domain	General Domain
Infrastructure and Hardware Domain	Information Domain
IT Product Domain	IT Architecture Domain
IT Service Domain	Knowledge and Skill Domain
Location Domain	Market Domain
Organization Domain	Policy Domain
Product and Service Domain	Process Domain
Services Portfolio Management Domain	Resource Domain
	Strategy Domain
	Timeline Domain
	Transition Domain

The application/software and infrastructure/hardware domains are likely the most familiar to systems engineers (as illustrated in the figure below). The application/software domain contains things like the deployed software itself, plus applications, modules, servers, patches, functions, and messages. The infrastructure/hardware domain contains things like the hardware itself, plus networks and different kinds of hardware like computing hardware, cabinets, and network devices. There might be different subtypes of computing hardware like computers, servers, desktops, laptops, and mainframes. You can see from this elaboration of these domains that an enterprise architecture “schema” can be quite extensive in the kinds of things it can model.



**Figure 2. Example of Enterprise Entities & Relationships (Troux 2010).** Reprinted with permission of Copyright © 2010 Troux Technologies. All other rights are reserved by the copyright owner.

The less technical domains would be things like policy, market, strategy, transition, financial, knowledge and skill, and analysis. In a typical enterprise architecture schema like this, there could be over a hundred types of modeling objects grouped into these domains. The examples given above are from the Troux Semantics metamodel used in the Troux Architect modeling tool for enterprise architecture activities. Other enterprise modeling tools have similar metamodels (sometimes called “schemas”). See Reese (2010) for more details on how to use the metamodel shown in the figure above.

## Enterprise Architecture Frameworks & Methodologies

Enterprise architecture frameworks are collections of standardized viewpoints, views, and models that can be used when developing architectural descriptions of the enterprise. These architecture descriptions can be informal, based on simple graphics and tables, or formal, based on more rigorous modeling tools and methods. ISO/IEC 42010 (2011) specifies how to create architecture descriptions.

These frameworks relate to descriptive models of an enterprise, with conventions agreed in particular communities. There are various frameworks and methodologies available that assist in the development of an enterprise architecture.

Urbaczewski and Mrdalj (2006) provide an overview and comparison of five prominent architectural frameworks, including:

- the Zachman Framework for Enterprise Architecture (Zachman 1992),
- the Department of Defense Architecture Framework (DoDAF) (DoD 2010),
- the Federal Enterprise Architecture Framework (FEAF) (FEA 2001),
- the Treasury Enterprise Architecture Framework (TEAF) (US Treasury 2000),
- and The Open Group Architectural Framework (TOGAF) (TOGAF 2009).

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# Enterprise Systems Engineering Process Activities

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The application of the key concepts of Enterprise Systems Engineering requires processes. These processes span and can transform the enterprise.

## Systems Engineering Role in Transforming the Enterprise

### Enabling Systematic Enterprise Change

The systems engineering (SE) process as applied to the enterprise as a whole could be used as the “means for producing change in the enterprise ... [where the] ... Seven Levels of change in an organization [are defined] as effectiveness, efficiency, improving, cutting, copying, differentiating and achieving the impossible” (McCaughin and DeRosa 2006). The essential nature of enterprise systems engineering (ESE) is that it “determines the balance between complexity and order and in turn the balance between effectiveness and efficiency. When viewed as the fundamental mechanism for change, it goes beyond efficiency and drives adaptation of the enterprise” (McCaughin and DeRosa 2006). McCaughin and DeRosa (2006) provide a reasonably good definition for an enterprise that captures this notion of balance:

*Enterprise: People, processes and technology interacting with other people, processes and technology, serving some combination of their own objectives, those of their individual organizations and those of the enterprise as a whole.*

### Balancing Effectiveness versus Efficiency

Ackoff tells us that:

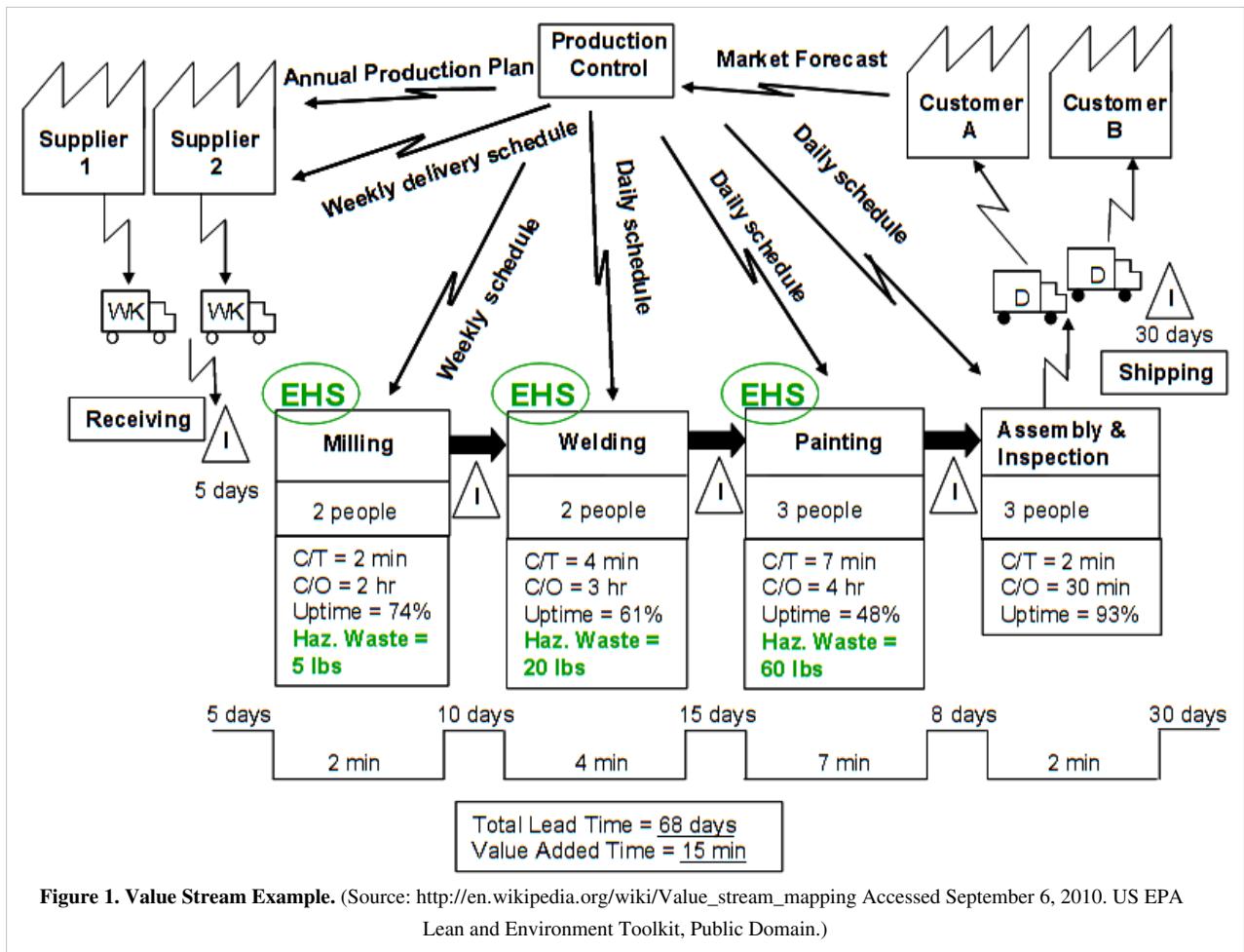
*Data, information, knowledge and understanding enable us to increase efficiency, not effectiveness. The value of the objective pursued is not relevant in determining efficiency, but it is relevant in determining effectiveness. Effectiveness is evaluated efficiency. It is efficiency multiplied by value. Intelligence is the ability to increase efficiency; wisdom is the ability to increase effectiveness.*

*The difference between efficiency and effectiveness is reflected in the difference between development and growth. Growth does not require an increase in value; development does. Therefore, development requires an increase in wisdom as well as understanding, knowledge and information.* ((Ackoff 1989, 3-9), emphasis added)

ESE has a key role to play in establishing the right balance between effectiveness and efficiency in enterprise operations and management. Value stream analysis is one technique, among others, that can help ESE determine where inefficiencies exist or ineffective results are being achieved.

### Value Stream Analysis

Value stream analysis is one way of treating the enterprise as a system. It provides insights regarding where in the sequence of enterprise activities value is added as it moves towards the final delivery to customer or user (Rother and Shook 1999). It relates each step to the costs entailed in that step in terms of resource consumption (i.e., money, time, energy, and materials). In addition to direct costs, there may also be indirect costs due to overhead factors or infrastructure elements. This activity commonly involves drawing a flowchart of the value stream for the enterprise as illustrated in the figure below.



**Figure 1. Value Stream Example.** (Source: [http://en.wikipedia.org/wiki/Value\\_stream\\_mapping](http://en.wikipedia.org/wiki/Value_stream_mapping) Accessed September 6, 2010. US EPA Lean and Environment Toolkit, Public Domain.)

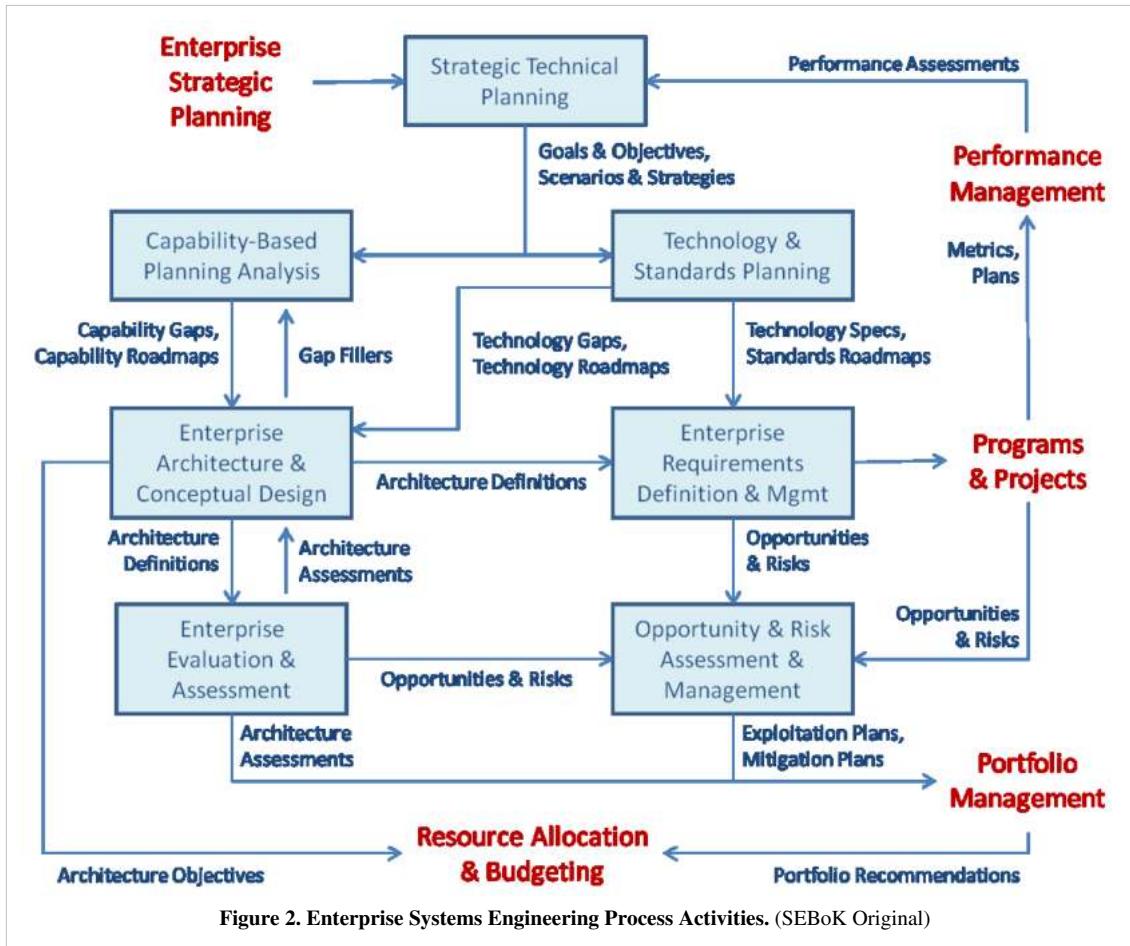
Analysis of this value stream diagram can highlight unnecessary space, excessive distance traveled, processing inefficiencies, and so on. Value stream mapping is associated with so-called “lean enterprise” initiatives. At Toyota, where the technique originated, it is known as “material and information mapping” (Rother 2009). Various value stream mapping tools are available (Hines and Rich 1997).

## Enterprise Management Process Areas

Martin (2010) has determined that the following four processes are needed in ESE beyond the traditional SE processes in support of enterprise management activities:

1. Strategic technical planning,
2. Capability-based planning analysis,
3. Technology and standards planning, and
4. Enterprise evaluation and assessment.

The interactions between these four processes are illustrated below, along with their interactions with other processes that deal with architecture, requirements, risk, and opportunity.



## **Strategic Technical Planning**

The purpose of strategic technical planning (STP) is to establish the overall technical strategy for the enterprise. It creates the balance between the adoption of standards (see also Systems Engineering Standards) and the use of new technologies, along with consideration of the people aspects driven by the relevant trans-disciplinary technical principles and practices from psychology, sociology, organizational change management, etc.

This process uses the roadmaps developed during technology and standards planning (TSP). It then maps these technologies and standards against the capabilities roadmap to determine potential alignment and synergy. Furthermore, lack of alignment and synergy is identified as a risk to avoid or an opportunity to pursue in the technical strategy. The technical strategy is defined in terms of implementation guidance for the programs and projects.

One reason that STP and TSP are separate processes is that they are often done by different groups in the enterprise and they involve different skill sets. TSP is often done by the technology and science groups. TSP is done closer to (if not in) the chief architect and budget planning groups. Sometimes the great technology proposed by TSP just doesn't line up with the capabilities needed in the requisite time frame. STP does this balancing between technology push and capability pull.

## Capability-Based Planning Analysis

The purpose of *Capability-based Planning Analysis* is to translate the enterprise vision and goals into a set of current and future capabilities that helps achieve those goals. Current missions are analyzed to determine their suitability in supporting the enterprise goals. Potential future missions are examined to determine how they can help achieve the vision. Current and projected capabilities are assessed to identify capability gaps that prevent the vision and technical strategy from being achieved. These capability gaps are then used to assess program, project, and system opportunities that should be pursued by the enterprise. This is defined in terms of success criteria of what the enterprise is desired to achieve.

There are different types of capabilities, as shown in the figure below. It is common practice to describe capabilities in the form of capability hierarchies and capability roadmaps. Technology roadmaps (discussed below under Technology Planning) are usually related to the system capabilities while business capability roadmaps (BCRMs) are related to the operational capabilities of the enterprise as a whole (ref: Business-Capability Mapping: Staying Ahead of the Joneses, <http://msdn.microsoft.com/en-us/library/bb402954.aspx>). The BCRM development is usually done as part of enterprise strategic planning, which is one level higher than, and a key driver for, the strategic technical planning activity described above.

In some domains there may be competency roadmaps dealing with the organizational capabilities, with perhaps the desired competency levels of individuals mapped out in terms of the jobs or roles used in the enterprise or perhaps in terms of the knowledge and skills required for certain activities. (For more information on systems engineering competency, see the Enabling Individuals article.)

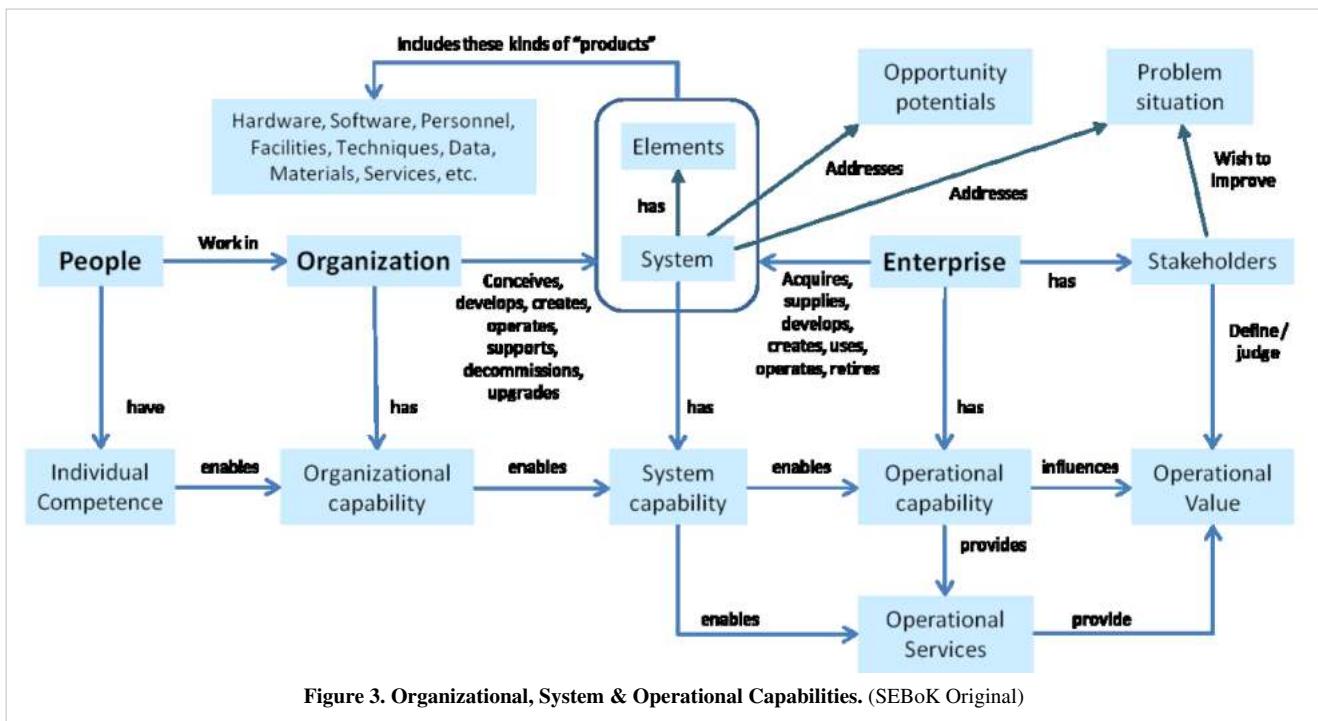


Figure 3. Organizational, System & Operational Capabilities. (SEBoK Original)

## Technology and Standards Planning

The purpose of *Technology Planning* is to characterize technology trends in the commercial marketplace and the research community. This activity covers not just trend identification and analysis, but also technology development and transition of technology into programs and projects. It identifies current, and predicts future, technology readiness levels for the key technologies of interest. Using this information, it defines technology roadmaps. This activity helps establish the technical strategy and implementation guidance in the strategic technical plan. The business capabilities roadmap (BCRM) from the strategic planning activity is used to identify which technologies can contribute to achieved targeted levels of performance improvements.

The purpose of *Standards Planning* is to assess technical standards to determine how they inhibit or enhance the incorporation of new technologies into systems development projects. The future of key standards is forecast to determine where they are headed and the alignment of these new standards with the life cycles for the systems in the enterprise's current and projected future portfolios. The needs for new or updated standards are defined and resources are identified that can address these needs. Standardization activities that can support development of new or updated standards are identified (See also Systems Engineering Standards).

## Enterprise Evaluation and Assessment

The purpose of enterprise evaluation and assessment (EE&A) is to determine if the enterprise is heading in the right direction. It does this by measuring progress towards realizing the enterprise vision. This process helps to "shape the environment" and to select among the program, project, and system opportunities. This is the primary means by which the technical dimensions of the enterprise are integrated into the business decisions.

This process establishes a measurement program as the means for collecting data for use in the evaluation and assessment of the enterprise. These measures help determine whether the strategy and its implementation are working as intended. Measures are projected into the future as the basis for determining discrepancies between what is observed and what had been predicted to occur. This process helps to identify risks and opportunities, diagnose problems, and prescribe appropriate actions. Sensitivity analysis is performed to determine the degree of robustness and agility of the enterprise.

Roberts states that EE&A must go beyond traditional system evaluation and assessment practices (Roberts 2006). He says that this process area:

*must de-emphasize the utility of comparing detailed metrics against specific individual requirement values, whether the metrics are derived from measurement, simulation or estimation... [it] must instead look for break points where capabilities are either significantly enhanced or totally disabled.*

Key characteristics of this activity are the following:

- Multi-scale analysis,
- Early and continuous operational involvement,
- Lightweight command and control (C2) capability representations,
- Developmental versions available for assessment,
- Minimal infrastructure,
- Flexible modeling and simulation (M&S), operator-in-the-loop (OITL), and hardware-in-the-loop (HWIL) capabilities, and
- In-line, continuous performance monitoring and selective forensics. (Roberts 2006)

Enterprise architecture (EA) can be used as a primary tool in support of evaluation and assessment. EA can be used to provide a model to understand how the parts of the enterprise fit together (or do not) (Giachetti 2010). The structure and contents of the EA should be driven by the key business decisions (or, as shown in the six-step process presented by Martin (2005), the architecture should be driven by the "business questions" to be addressed by the architecture).

The evaluation and assessment success measures can be put into the EA models and views directly and mapped to the elements that are being measured. An example of this can be seen in the US National Oceanographic and Atmospheric Agency (NOAA) EA shown by Martin (2003a and 2003b). The measures are shown, in this example, as success factors, key performance indicators, and information needs in the business strategy layer of the architecture.

EA can be viewed as either the set of artifacts developed as "views" of the enterprise, or as a set of activities that create, use, and maintain these artifacts. The literature uses these terms in both senses and it is not always clear in each case which sense is intended.

## Enterprise Portfolio Considerations

### Opportunity Assessment and Management

The management activities dealing with opportunities (as opposed to just risk) are included in ESE. According to White (2006), the “greatest enterprise risk may be in not pursuing enterprise opportunities.” Hillson believes there is:

*a systemic weakness in risk management as undertaken on most projects. The standard risk process is limited to dealing only with uncertainties that might have negative impact (threats). This means that risk management as currently practiced is failing to address around half of the potential uncertainties—the ones with positive impact (opportunities).* (Hillson 2004)

White claims that “in systems engineering at an enterprise scale the focus should be on opportunity, and that enterprise risk should be viewed more as something that threatens the pursuit of enterprise opportunities” (White 2006). The figure below (Rebovich and White 2011, chapter 5) shows the relative importance of opportunity and risk at the different scales of an individual system, a system of systems (SoS), and an enterprise. The implication is that, at the enterprise level, there should be more focus on opportunity management than on risk management.

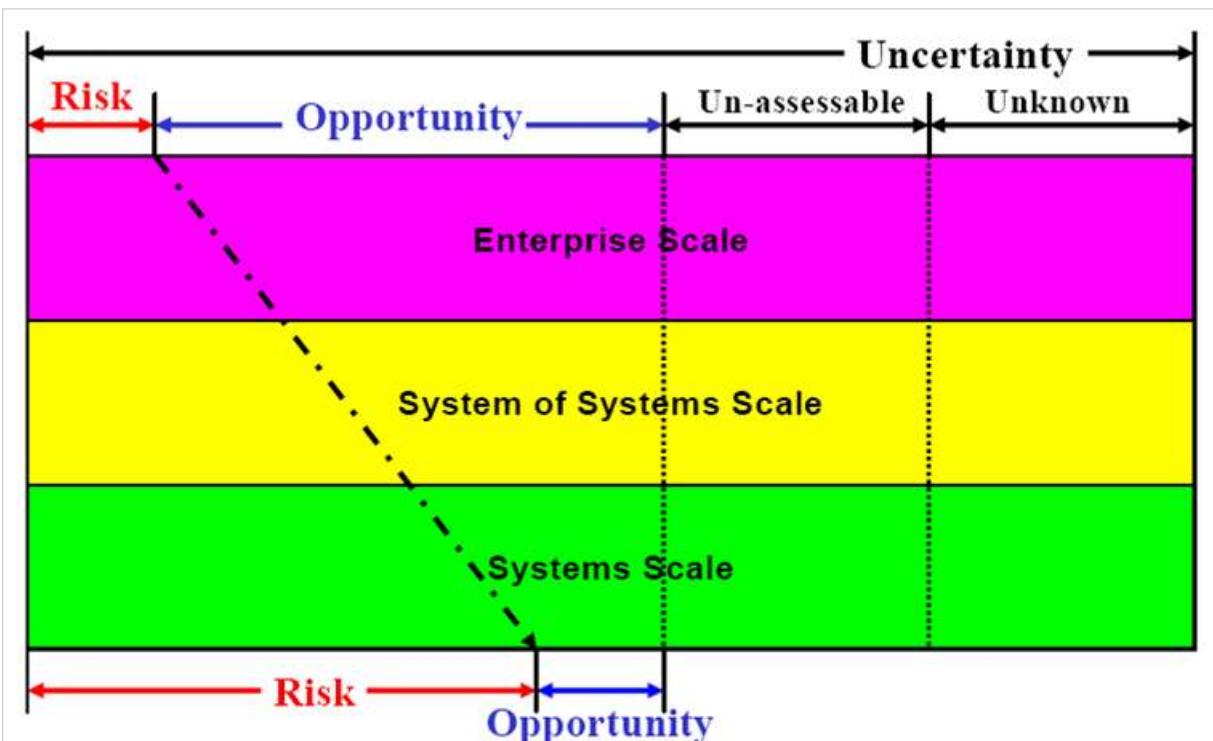


Figure 4. Risk & Opportunity at the Enterprise Scale versus the Systems Scale (White 2006). MITRE Approved for Public Release; Distribution Unlimited. Unique Tracking #05-1262.

### Enterprise Architecture and Requirements

EA goes above and beyond the technical components of product systems to include additional items such as strategic goals and objectives, operators and users, organizations and other stakeholders, funding sources and methods, policies and practices, processes and procedures, facilities and platforms, infrastructure, and real estate. EA can be used to provide a model to understand how the parts of the enterprise fit together (or don't) (Giachetti 2010). The EA is not strictly the province of the chief information officer (CIO), and is not only concerned with information technology. Likewise, enterprise requirements need to focus on the cross-cutting measures necessary to ensure overall enterprise success. Some of these enterprise requirements will apply to product systems, but they may also apply to business processes, inter-organizational commitments, hiring practices, investment directions, and so on (Bernus, Nemes, and Schmidt 2003).

Architecture descriptions following the guidelines of an architecture framework have been used to standardize the views and models used in architecting efforts (Zachman 1987 and 1992; Spewak 1992). Architecture descriptions have also been developed using a business-question based approach (Martin 2003b; Martin 2006). The standard on Architecture Description Practices (ISO/IEC 42010) (ISO/IEC 2011) has expanded its scope to include requirements on architecture frameworks.

Government agencies have been increasingly turning to SE to solve some of their agency-level (i.e., enterprise) problems. This has sometimes led to the use of an architecture-based investment process, especially for information technology procurements. This approach imposes a requirement for linking business strategies to the development of EAs. The Federal Enterprise Architecture Framework (FEAF) (CIO Council 1999) and the DoD Architecture Framework (DoDAF) (DoD 2010) were developed to support such an architecture-based investment process. There have been several other architecture frameworks also developed for this purpose (ISO 2000; ISO/IEC 1998; NATO 2004; TOGAF 2009; MOD 2010; TRAK 2010).

## ESE Process Elements

As a result of the synthesis outlined above, the ESE process elements to be used at the enterprise scale are as follows:

1. Strategic Technical Planning,
2. Capability-Based Planning Analysis,
3. Technology and Standards Planning,
4. Enterprise Evaluation and Assessment,
5. Opportunity and Risk Assessment and Management,
6. Enterprise Architecture and Conceptual Design,
7. Enterprise Requirements Definition and Management,
8. Program and Project Detailed Design and Implementation,
9. Program Integration and Interfaces,
10. Program Validation and Verification,
11. Portfolio and Program Deployment and Post Deployment, and
12. Portfolio and Program Life Cycle Support.

The first seven of these elements were described in some detail above. The others are more self-evident and are not discussed in this article.

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**SEBoK v. 2.7, released 31 October 2022**

# Enterprise Capability Management

**Lead Authors:** James Martin, Bud Lawson, Alan Faisandier

## Introduction

There are three different kinds of capability: organizational capability, system capability, and operational capability. Management of organizational capability is addressed in the article called Enabling Businesses and Enterprises. Management of system capability is addressed by the Systems Engineering (SE) management activities described in the articles called Systems Engineering Management and Product and Service Life Management. Management of operational capability is described herein.

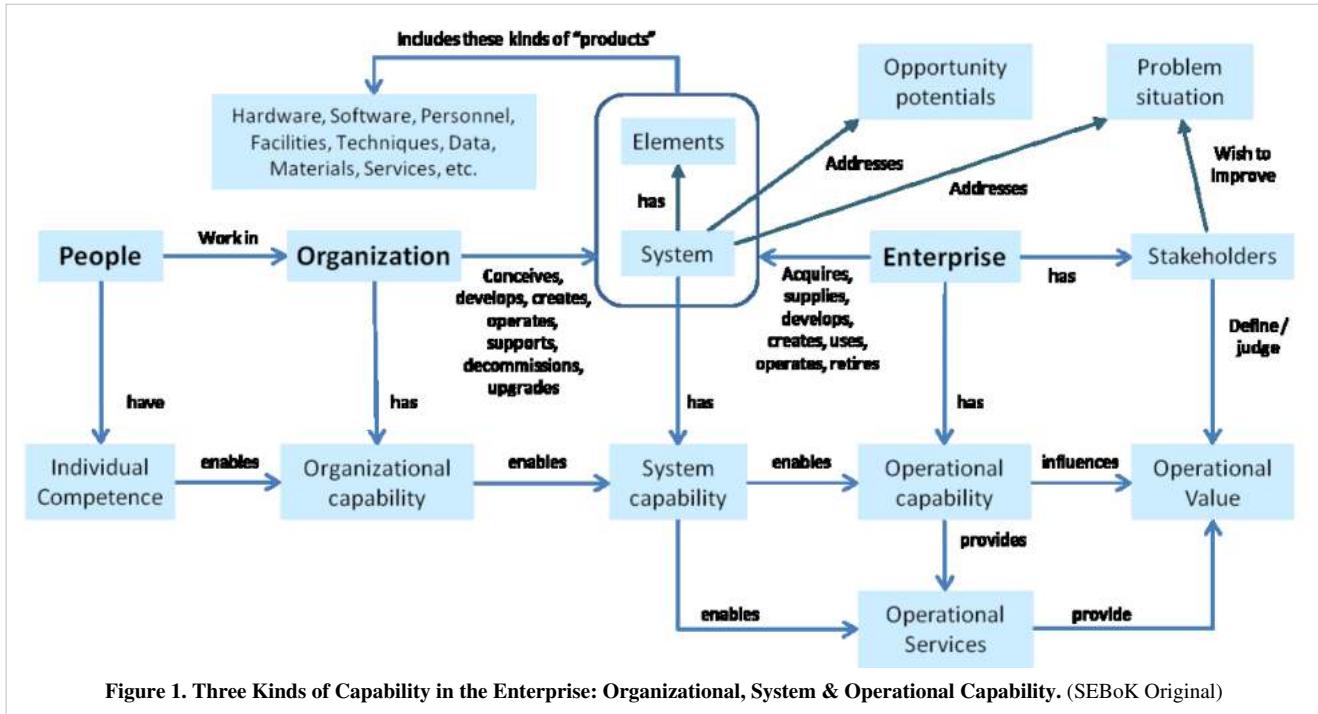


Figure 1. Three Kinds of Capability in the Enterprise: Organizational, System & Operational Capability. (SEBoK Original)

The enterprise has a current and planned (baseline) operational capability, based on its past activities and on its current plans for change. The purpose of the enterprise capability management function is to ensure the possibility of “vectoring” the enterprise away from the current baseline trajectory to a more desirable position where it can better meet its enterprise strategic goals and objectives, given all its resource constraints and other limitations.

Operational capability may need to include elements identified in the Information Technology Infrastructure Library (ITIL) best practices for operations management, starting with strategic operation planning (OGC 2009).

*The ITIL is a set of practices for IT service management (ITSM) that focuses on aligning IT services with the needs of business. In its current form ..., ITIL is published in a series of five core publications, each of which covers an ITSM lifecycle stage.*

*ITIL describes procedures, tasks and checklists that are not organization-specific, used by an organization for establishing a minimum level of competency. It allows the organization to establish a baseline from which it can plan, implement, and measure. It is used to demonstrate compliance and to measure improvement. ([http://en.wikipedia.org/wiki/Information\\_Technology\\_Infrastructure\\_Library](http://en.wikipedia.org/wiki/Information_Technology_Infrastructure_Library)).*

## Needs Identification & Assessment

The enterprise has key stakeholders that have operational needs they would like the enterprise to address. These operational needs must be identified and assessed in terms of their relevance to the enterprise and the relative priorities of these needs compared to each other and to the priorities of the enterprise itself. The enterprise exists to meet these needs. An operational need is an expression of something desirable in direct support of the enterprise's end user activities. End user activities include such things as retail sales, entertainment, food services, and business travel. An example of an operational need is: "Provide transportation services to commuters in the metropolitan area of London."

Enterprise needs can be much more than eliminating waste, and the challenge for ESE might relate to any or all of the following: countering a perceived threat (business or military), meeting a policy goal (as in government), doing existing business more efficiently, taking advantage of technological opportunities, meeting new operational needs, replacing obsolete systems, creating integrated enterprises with others (on a temporary or permanent basis), and so on.

In addition to operational needs, there are enterprise needs that relate to enabling assets the enterprise has in place that allow the mission to be accomplished. Enabling assets are things such as personnel, facilities, communication networks, computing facilities, policies and practices, tools and methods, funding and partnerships, equipment and supplies, and so on. An enterprise need is an expression of something desirable in direct support of the enterprise's internal activities. Internal activities include such things as market forecast, business development, product development, manufacturing, and service delivery.

The purpose of the enterprise's enabling assets is to effect state changes to relevant elements of the enterprise necessary to achieve targeted levels of performance. The enterprise "state" shown in the figure below is a complex web of past, current and future states (Rouse 2009). The enterprise work processes use these enabling assets to accomplish their work objectives in order to achieve the desired future states. Enterprise architecture (EA) can be used to model these states and the relative impact each enabling asset has on the desired state changes.

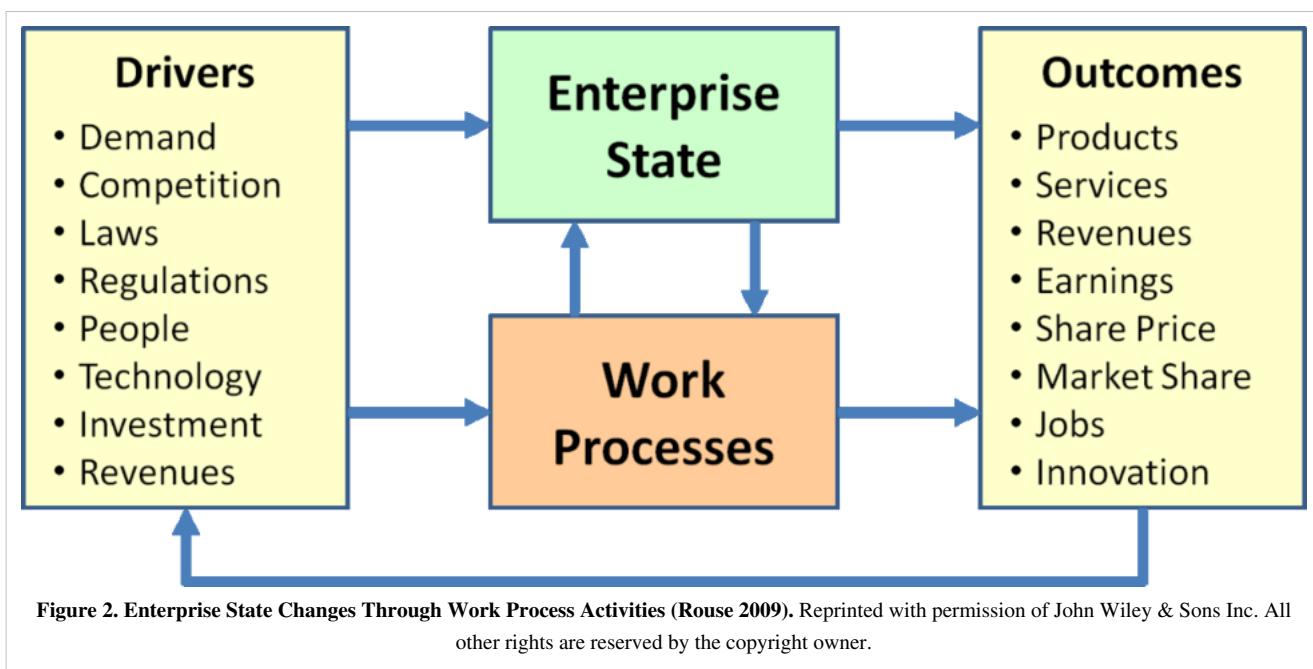


Figure 2. Enterprise State Changes Through Work Process Activities (Rouse 2009). Reprinted with permission of John Wiley & Sons Inc. All other rights are reserved by the copyright owner.

Enterprise needs are related to the enterprise efficiencies achieved through the performance of enterprise activities. The main goal of enterprise needs is to maximize the efficient utilization of enterprise assets, or in other words, enhance productivity, and find and eliminate waste. Waste represents that which does not contribute to the enterprise mission or that cannot reasonably be expected to be accomplished by the enterprise. An example of an enterprise need is: "Decrease power required for operation of enterprise data centers." (Power is a limited asset that consumes

scarce enterprise funds that could be used for delivery of other more valuable services to its customers.)

## Capability Identification & Assessment

The capabilities of an enterprise should exist for the sole purpose of meeting mission and enterprise needs. Hence, there will be both mission and enterprise capabilities to identify and assess how well they meet these needs. An example of an operational capability is: "Transport 150,000 passengers per hour among 27 nodes in the network." A supporting enterprise capability might be: "Process 200,000 tickets per hour during peak loading." There is a baseline capability due to capability development up to that point in time, plus any additional capability planned for the future. The desired levels of capability (based on needs assessment) are compared to the baseline capability to determine the capability gaps for the enterprise. This activity will also determine points of excess capability.

The gaps should be filled and the excesses should be eliminated. The projected gaps and excesses are sometimes mapped into several future timeframes to get a better understanding of the relative timing and intensity of change that might be required. It is typical to use time "buckets" like near-term, mid-term, and far-term, which, for some long-lasting capabilities, might correspond to five, ten, and twenty years out respectively. Of course, for fast-changing capabilities (like consumer products) these timeframes would necessarily be shorter in duration, for example, one, two and three years out.

## Enterprise Architecture Formulation & Assessment

Enterprise architecture analysis can be used to determine how best to fill these capability gaps and minimize the excess capabilities (or "capacities"). Usually a baseline architecture is characterized for the purpose of understanding what one currently has and where the enterprise is headed under the current business plans. The needs and gaps are used to determine where in the architecture elements need to be added, dropped, or changed. Each modification represents a potential benefit to various stakeholders, along with associated costs and risks for introducing that modification. Enterprise architecture can be used to provide a model to understand how the parts of the enterprise fit together (or do not) (Giachetti 2010).

The enterprise architecture effort supports the entire capability management activity with enterprise-wide views of strategy, priorities, plans, resources, activities, locations, facilities, products, services, and so on (ISO/IEC/IEEE 15288 (ISO/IEC/IEEE 2015) and architectural design process: ISO/IEC 42010 (ISO/IEC 2011) and ISO 15704 (ISO 2000)).

## Opportunity Identification & Assessment

The enterprise architecture is used to help identify opportunities for improvement. Usually these opportunities require the investment of time, money, facilities, personnel, and so on. There might also be opportunities for "divestment," which could involve selling of assets, reducing capacity, canceling projects, and so on. Each opportunity can be assessed on its own merits, but usually these opportunities have dependencies and interfaces with other opportunities, with the current activities and operations of the enterprise, and with the enterprise's partners. Therefore, the opportunities may need to be assessed as a "portfolio," or, at least, as sets of related opportunities. Typically, a business case assessment is required for each opportunity or set of opportunities.

## Enterprise Portfolio Management

If the set of opportunities is large or has complicated relationships, it may be necessary to employ portfolio management techniques. The portfolio elements could be bids, projects, products, services, technologies, intellectual property, etc., or any combination of these items. Examples of an enterprise portfolio captured in an architecture modeling tool can be found in Martin (2005), Martin et al. (2004), and Martin (2003). See Kaplan's work (2009) for more information on portfolio management, and ISO/IEC (2008) for information on projects portfolio management

process.

## Enterprise Improvement Planning & Execution

The results of the opportunity assessment are compiled and laid out in an enterprise plan that considers all relevant factors, including system capabilities, organizational capabilities, funding constraints, legal commitments and obligations, partner arrangements, intellectual property ownership, personnel development and retention, and so on. The plan usually goes out to some long horizon, typically more than a decade, depending on the nature of the enterprise's business environment, technology volatility, market intensity, and so on. The enterprise plan needs to be in alignment with the enterprise's strategic goals and objectives and with leadership priorities.

The planned improvements are implemented across the enterprise and in parts of the extended enterprise (glossary) where appropriate, such as suppliers in the supply chain, distributors in the distribution chain, financiers in the investment arena, and so on. The planned changes should have associated performance targets and these metrics should be monitored to ensure that progress is being made against the plan and that the intended improvements are being implemented. As necessary, the plan is adjusted to account for unforeseen circumstances and outcomes. Performance management of enterprise personnel is a key element of the improvement efforts.

## Enterprise Capability Change Management

In an operational context (particularly in defense) the term "capability management" is associated with developing and maintaining all aspects of the ability to conduct certain types of missions in a given threat environment. In an industrial context, capability refers to the ability to manage certain classes of product and service through those parts of their life cycle that are relevant to the business. Changes to enterprise capability should be carefully managed to ensure that current operations are not adversely affected (where possible) and that the long term viability of the enterprise is maintained. The following seven lenses can be used to facilitate change management: strategic objectives, stakeholders, processes, performance metrics, current state alignment, resources, and maturity assessment (Nightingale and Srinivasan 2011).

Capability management is becoming more often recognized as a key component of the business management tool suite:

*Capability management aims to balance economy in meeting current operational requirements, with the sustainable use of current capabilities, and the development of future capabilities, to meet the sometimes competing strategic and current operational objectives of an enterprise. Accordingly, effective capability management assists organizations to better understand, and effectively integrate, re-align and apply the total enterprise ability or capacity to achieve strategic and current operational objectives; and develops and provides innovative solutions that focus on the holistic management of the defined array of interlinking functions and activities in the enterprise's strategic and current operational contexts.*

(Saxena 2009, 1)

There is a widespread perception that capability management is only relevant to defense and aerospace domains. However, it is becoming more widely recognized as key to commercial and civil government efforts.

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**SEBoK v. 2.7, released 31 October 2022**

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# Knowledge Area: Systems of Systems (SoS)

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## Systems of Systems (SoS)

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System of systems engineering (SoSE) is not a new discipline; however, this is an opportunity for the systems engineering community to define the complex systems of the twenty-first century (Jamshidi 2009). While systems engineering is a fairly established field, SoSE represents a challenge for the present systems engineers on a global level. In general, SoSE requires considerations beyond those usually associated with engineering to include socio-technical and sometimes socio-economic phenomena.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Architecting Approaches for Systems of Systems
- Socio-Technical Features of Systems of Systems
- Capability Engineering

### Characteristics and Definition of Systems of Systems

Maier (1998) postulated five key characteristics (not criteria) of SoS: operational independence of component systems, managerial independence of component systems, geographical distribution, emergent behavior, and evolutionary development processes, and identified operational independence and managerial independence as the two principal distinguishing characteristics for applying the term 'systems-of-systems.' A system that does not exhibit these two characteristics is not considered a system-of-systems regardless of the complexity or geographic distribution of its components.

In the Maier characterization, emergence is noted as a common characteristic of SoS particularly in SoS composed of multiple large existing systems, based on the challenge (in time and resources) of subjecting all possible logical threads across the myriad functions, capabilities, and data of the systems in an SoS. As introduced in the article Emergence, there are risks associated with unexpected or unintended behavior resulting from combining systems that have individually complex behavior. These become serious in cases which safety, for example, is threatened through unintended interactions among the functions provided by multiple constituent systems in a SoS.

ISO/IEC/IEEE 21839 (ISO, 2019) provides a definition of SoS and constituent system:

**System of Systems (SoS)** — *Set of systems or system elements that interact to provide a unique capability that none of the constituent systems can accomplish on its own. Note: Systems elements can be necessary to facilitate the interaction of the constituent systems in the system of systems*

**Constituent Systems** — *Constituent systems can be part of one or more SoS. Note: Each constituent is a useful system by itself, having its own development, management goals and resources, but interacts within the SoS to provide the unique capability of the SoS.*

In addition, there are several definitions of system(s) of systems (SoS), some of which are dependent on the particularity of an application area (Jamshidi, 2005).

It should be noted that formation of a SoS is not necessarily a permanent phenomenon, but rather a matter of necessity for integrating and networking systems in a coordinated way for specific goals such as robustness, cost, efficiency, etc.

The US DoD (2008) defines Systems of Systems Engineering as “planning, analyzing, organizing, and integrating the capabilities of a mix of existing and new systems into an SoS capability greater than the sum of the capabilities of the constituent parts”.

ISO/IEC/IEEE 15288 Annex G (2015) also describes the impact of these characteristics on the implementation of systems engineering processes. Because of the independence of the constituent systems, these processes are in most cases implemented for engineering both the systems and the system of systems and need to be tailored to support the characteristics of SoS. These processes are shown in the table below highlighting the fact that these processes are implemented at both the system and SoS levels, with SoSE often constrained by the systems.

**Table 1. Differences Between Systems and Systems of Systems as They Apply to Systems Engineering.**

SE Process	Implementation as Applied to SoS
<b>Agreement processes</b>	Because there is often no top level SoS authority, effective agreements among the systems in the SoS are key to successful SoSE.
<b>Organizational project enabling processes</b>	SoSE develops and maintains those processes which are critical for the SoS within the constraints of the system level processes.
<b>Technical management processes</b>	SoSE implements technical management processes applied to the particular considerations of SoS engineering - planning, analyzing, organizing, and integrating the capabilities of a mix of existing and new systems into a system-of-systems capability while systems continue to be responsible for technical management of their systems.
<b>Technical processes</b>	SoSE technical processes define the cross-cutting SoS capability, through SoS level business/mission analysis and stakeholder needs and requirements definition. SoS architecture and design frame the planning, organization and integration of the constituent systems, constrained by system architectures. Development, integration, verification, transition and validation are implemented by the systems, with SoSE monitoring and review. SoSE integration, verification, transition and validation applies when constituent systems are integrated into the SoS and performance is verified and validated.

Finally, based on work done by the INCOSE Systems of Systems Work Group (Dahmann, 2014), the major challenges facing SoSE have been catalogued in terms of seven pain points. These challenges are presented in the SoSE section of the INCOSE SE Handbook. (INCOSE 2015). These challenges include:

- **SoS Authorities.** In a SoS each constituent system has its own local ‘owner’ with its stakeholders, users, business processes and development approach. As a result, the type of organizational structure assumed for most traditional systems engineering under a single authority responsible for the entire system is absent from most SoS. In a SoS, SE relies on cross-cutting analysis and on composition and integration of constituent systems which, in turn, depend on an agreed common purpose and motivation for these systems to work together towards collective objectives which may or may not coincide with those of the individual constituent systems.
- **Leadership.** Recognizing that the lack of common authorities and funding pose challenges for SoS, a related issue is the challenge of leadership in the multiple organizational environment of a SoS. This question of leadership is experienced where a lack of structured control normally present in SE of systems requires alternatives to provide coherence and direction, such as influence and incentives.
- **Constituent Systems’ Perspectives.** Systems of systems are typically comprised, at least in part, of in-service systems, which were often developed for other purposes and are now being leveraged to meet a new or different application with new objectives. This is the basis for a major issue facing SoS SE; that is, how to technically address issues which arise from the fact that the systems identified for the SoS may be limited in the degree to which they can support the SoS. These limitations may affect the initial efforts at incorporating a system into a

SoS, and systems 'commitments to other users may mean that they may not be compatible with the SoS over time. Further, because the systems were developed and operate in different situations, there is a risk that there could be a mismatch in understanding the services or data provided by one system to the SoS if the particular system's context differs from that of the SoS.

- **Capabilities and Requirements.** Traditionally (and ideally) the SE process begins with a clear, complete set of user requirements and provides a disciplined approach to develop a system to meet these requirements. Typically, SoS are comprised of multiple independent systems with their own requirements, working towards broader capability objectives. In the best case the SoS capability needs are met by the constituent systems as they meet their own local requirements. However, in many cases the SoS needs may not be consistent with the requirements for the constituent systems. In these cases, the SoS SE needs to identify alternative approaches to meeting those needs through changes to the constituent systems or additions of other systems to the SoS. In effect this is asking the systems to take on new requirements with the SoS acting as the 'user'.
- **Autonomy, Interdependencies and Emergence.** The independence of constituent systems in a SoS is the source of a number of technical issues facing SE of SoS. The fact that a constituent system may continue to change independently of the SoS, along with interdependencies between that constituent system and other constituent systems, add to the complexity of the SoS and further challenges SE at the SoS level. In particular, these dynamics can lead to unanticipated effects at the SoS level leading to unexpected or unpredictable behavior in a SoS even if the behavior of constituent systems is well understood.
- **Testing, Validation, and Learning.** The fact that SoS are typically composed of constituent systems which are independent of the SoS poses challenges in conducting end-to-end SoS testing as is typically done with systems. Firstly, unless there is a clear understanding of the SoS-level expectations and measures of these expectations, it can be very difficult to assess level of performance as the basis for determining areas which need attention, or to assure users of the capabilities and limitations of the SoS. Even when there is a clear understanding of SoS objectives and metrics, testing in a traditional sense can be difficult. Depending on the SoS context, there may not be funding or authority for SoS testing. Often the development cycles of the constituent systems are tied to the needs of their owners and original ongoing user base. With multiple constituent systems subject to asynchronous development cycles, finding ways to conduct traditional end-to-end testing across the SoS can be difficult if not impossible. In addition, many SoS are large and diverse making traditional full end-to-end testing with every change in a constituent system prohibitively costly. Often the only way to get a good measure of SoS performance is from data collected from actual operations or through estimates based on modeling, simulation and analysis. Nonetheless the SoS SE team needs to enable continuity of operation and performance of the SoS despite these challenges.
- **SoS Principles.** SoS is a relatively new area, with the result that there has been limited attention given to ways to extend systems thinking to the issues particular to SoS. Work is needed to identify and articulate the cross cutting principles that apply to SoS in general, and to developing working examples of the application of these principles. There is a major learning curve for the average systems engineer moving to a SoS environment, and a problem with SoS knowledge transfer within or across organizations.

## Types of SoS

In today's interconnected world, SoS occur in a broad range of circumstances. In those situations where the SoS is recognized and treated as a system in its right, an SoS can be described as one of four types (Maier, 1998; Dahmann and Baldwin, 2008, ISO 21839, 2019):

- **Directed** - The SoS is created and managed to fulfill specific purposes and the constituent systems are subordinated to the SoS. The component systems maintain an ability to operate independently; however, their normal operational mode is subordinated to the central managed purpose;
- **Acknowledged** - The SoS has recognized objectives, a designated manager, and resources for the SoS; however, the constituent systems retain their independent ownership, objectives, funding, and development and sustainment

approaches. Changes in the systems are based on cooperative agreements between the SoS and the system;

- **Collaborative** - The component systems interact more or less voluntarily to fulfill agreed upon central purposes. The central players collectively decide how to provide or deny service, thereby providing some means of enforcing and maintaining standards; and
- **Virtual** - The SoS lacks a central management authority and a centrally agreed upon purpose for the SoS. Large-scale behavior emerges—and may be desirable—but this type of SoS must rely on relatively invisible mechanisms to maintain it.

This taxonomy is based on the degree of independence of constituents and it offers a framework for understanding SoS based on the origin of the SoS objectives and the relationships among the stakeholders for both the SoS and its constituent systems. In most actual cases, an SoS will reflect a combination of SoS types which may change over time. This taxonomy is in general use. It is presented in 15288 Annex G and in ISO 21841, "Taxonomy of Systems of systems". Other taxonomies may focus on nature/type of components, their heterogeneity, etc. (Cook, 2014)

As noted above, many SoS exist in an unrecognized state; this is increasingly true as the levels of interconnectivity between modern systems keeps increasing. Kemp et al (2013) describe such systems as “accidental” but they can be described as “discovered” (Dahmann and Henshaw, 2016) because it is only when they become significant for some reason that we recognize them, at which point they can usually fall into one of the above four categories, since their significance means they must now operate, with management, in some defined way.

From the SoSE point of view, another potential classification would consider the level of anticipation/preparation of SoSE with respect to SoS operations and level of stability of the SoS objectives; this is referred to as variability by Kinder et. al. (2012). This could range from an SoS which responds to a particular trigger and is put immediately in place when needs are expressed. An example of such an SoS would be a crisis management SoS. This type of SoS is updated dynamically during the operation. At the other end of the spectrum there are well-specified and stable SoS developed to answer to specified ongoing needs. An example of such a persistent SoS is an air traffic management system. This type of SoS is acquired and qualified in a well-defined environment and any need for evolution will imply a formal SE evolution and re-qualification.

While much of the early attention to SoS has focused on Acknowledged SoS where current SE practices can be adapted and applied, there is an increasing recognition that the predominance of SoS exist in the collaborative and virtual types (Honour 2016), and in those areas where SoS may not be officially recognized but affect many of the broader capabilities in today's interconnected world. In these cases, the focus is shifting to understanding SoS as socio-technical, complex adaptive systems rather than extensions of current technical systems with a focus on understand and addressing the inherent complexity of these types of SoS.

## SoSE Application Domains

Application of SoSE is broad and is expanding into almost all walks of life. Originally identified in the defense environment, SoSE application is now much broader and still expanding. The early work in the defense sector has provided the initial basis for SoSE, including its intellectual foundation, technical approaches, and practical experience. In addition, parallel developments in information services and rail have helped to develop SoSE practice (Kemp and Daw, 2015). Now, SoSE concepts and principles apply across other governmental, civil and commercial domains.

Some examples include:

- **Transportation** - air traffic management, the European rail network, integrated ground transportation, cargo transport, highway management, and space systems,
- **Energy** - smart grid, smart houses, and integrated production/consumption,
- **Health Care** - regional facilities management, emergency services, and personal health management,
- **Defense** - Military missions such as missile defense, networked sensors,
- **Rail** – Urban, national, international rail systems,

- **Natural Resource Management** - global environment, regional water resources, forestry, and recreational resources,
- **Disaster Response** - responses to disaster events including forest fires, floods, and terrorist attacks,
- **Consumer Products** - integrated entertainment and household product integration,
- **Business-** banking and finance, and
- **Media** - film, radio, and television.

Increased networking and interconnectedness of systems today contributes to growth in the number and domains where SoS are becoming the norm, particularly with the considerable converge among systems of systems, cyber-physical systems and the internet of things. (Henshaw, 2016).

## Difference between System of Systems Engineering and Systems Engineering

Observations regarding differences between individual or constituent systems and SoS are listed in Table 1. These differences are not as black and white as the table might suggest and in each case, the degree of difference varies in practice. Modern systems tend to be highly inter-connected, so that the assumptions that lead to the characteristics of Systems Engineering in Table 2 are less frequently met.

**Table 2. Differences Between Systems and Systems of Systems as They Apply to Systems Engineering.** (INCOSE, 2018)

Systems tend to ...	Systems of systems tend to ...
Have a clear set of stakeholders	Have multiple levels of stakeholders with mixed and possibly competing interests
Have clear objectives and purpose	Have multiple, and possibly contradictory, objectives and purpose
Have clear operational priorities, with escalation to resolve priorities	Have multiple, and sometimes different, operational priorities with no clear escalation routes
Have a single lifecycle	Have multiple lifecycles with elements being implemented asynchronously
Have clear ownership with the ability to move resources between elements	Have multiple owners making independent resourcing decisions

It is the characteristics of management and operational independence (Maier, 1998) that most fundamentally distinguishes the behavior of SoS from unitary systems: this has been explained by Rebovich (2009) as the fundamental problem for SoS :

*From the single-system community's perspective, its part of the SoS capability represents additional obligations, constraints and complexities. Rarely is participation in an SoS seen as a net gain from the viewpoint of single-system stakeholders [Rebovich, 2009].*

## SoSE Standards

The first standards for system of systems engineering have been adopted by the International Standards organization. These were initiated in 2016 response to the report of an ISO SoS Standards study group (ISO, 2016) recognizing the increased attention to SoS and the value to standards to the maturation of SoSE. Three standards were adopted in 2019 (INCOSE 2020):

- **ISO/IEC/IEEE 21839 – System of Systems (SoS) Considerations in Life Cycle Stages of a System**

This standard provides a set of critical considerations to be addressed at key points in the life cycle of systems created by humans and refers to a constituent system that will interact in a system of systems as the system of interest (SOI). These considerations are aligned with ISO/IEC/IEEE 15288 and the ISO/IEC/IEEE 24748 framework for system life cycle stages and associated terminology.

- **ISO/IEC/IEEE 21840 – Guidelines for the utilization of ISO/IEC/IEEE 15288 in the context of System of Systems (SoS) Engineering**

This standard provides guidance for the utilization of ISO/IEC/IEEE 15288 in the context of SoS. While ISO/IEC/IEEE 15288 applies to systems (including constituent systems), this document provides guidance on application of these processes to SoS. However, ISO/IEC/IEEE 21840 is not a self-contained SoS replacement for ISO/IEC/IEEE 15288. This document is intended to be used in conjunction with ISO/IEC/IEEE 15288, ISO/IEC/IEEE 21839 and ISO/IEC/IEEE 21841 and is not intended to be used without them.

- **ISO/IEC/IEEE 21841 – Taxonomy of Systems of Systems**

The purpose of this standard is to define normalized taxonomies for systems of systems (SoS) to facilitate communications among stakeholders. It also briefly explains what a taxonomy is and how it applies to the SoS to aid in understanding and communication.

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## Relevant Videos

- Systems of Systems (Somerville) <sup>[2]</sup>
- System of Systems <sup>[3]</sup>

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**SEBoK v. 2.7, released 31 October 2022**

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- [1] <https://mitre.tahoe.appsembler.com/blog>
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# Architecting Approaches for Systems of Systems

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A key part of systems engineering (SE) for system of systems (SoS) is the composition of systems to meet SoS needs. This may include simply interfacing systems and leveraging their existing functionality or it may require changing the systems functionality, performance or interfaces. These changes occur incrementally, as a SoS evolves over time to meet changing SoS objectives. System of Systems Engineering (SoSE) supports these changes by developing and evolving a technical framework that acts as an overlay to the systems of which the SoS is composed. This framework provides the *architecture* for the SoS. The SoS architecture defines how the systems work together to meet SoS objectives and considers the details of the individual systems and their impact the SoS performance or functionality.

## The Role of System of Systems Architecting

An architecture is the structure of components, their relationships, and the principles and guidelines governing their design evolution over time (IEEE 610.12-1990).

In a SoS, the architecture is the technical framework for the systems comprising the SoS which designates how the systems will be employed by the users in an operational setting (sometimes called the concept of operations (CONOPs or CONOPs), the internal and external relationships and dependencies among the constituent systems and their functions and, finally, the end-to-end functionality and data flow as well as communications among the systems.

Because SoS largely comprise extant independent systems, these place constraints on the SoS architecture and may require that migration to a SoS architecture be incremental. Developing a SoS architecture requires consideration of technical feasibility for the constituent systems as well as the needs of the SoS itself. Architecture data for the constituent systems can also be important data for architecting the SoS. There is some similarity here to the introduction of Commercial Off The Shelf (COTS) products into systems: the COTS product has been independently managed but sufficient data is required by the systems developer to ensure satisfactory integration. However, in this case the COTS product is not independently operated

Maier (1998) provides a conceptual discussion on the impact of SoS characteristics on SoS architecting. Additionally, the US DoD SE Guide for SoS (2008) describes practical considerations in developing and evolving a SoS architecture as a core element of SoSE.

## Challenges in Architecting SoS

In the case of a new system development, the systems engineer can begin with a fresh, unencumbered approach to architecture. However, in a SoS, the systems contributing to the SoS objectives are typically in place when the SoS is established and the SoS engineer needs to consider the current state and plans of the individual systems as factors in developing an architecture for the SoS. This, along with the fact that constituent systems may be complex systems in their own right, leads to a set of challenges to architecting SoS. The approach to architecting must be determined by the type of SoS under consideration. Whereas a directed SoS can be architected in much the same way as a monolithic system, the other types are less straightforward, because the SOI may be less clearly defined and because the SoS architects knowledge of the constituent systems may be partial. Furthermore, whereas in a directed SoS the owner may have authority and funding to require architectural changes of constituent systems, in acknowledged and collaborative SoS re-architecting is at the discretion of the owners of the constituent systems. Maier (Maier 1998) has focused architecting attention on communication for SoS, arguing that this is the common feature of all types, and he partitions the communication into layers that have a similarity to the layers of interoperability (NCOIC, 2008).

The independence of the constituent systems means that these systems are typically not designed to optimize SoS objectives. It may even be the case that a constituent system should operate sub-optimally at the system level in order to achieve overall SoS effectiveness. (Rebovich 2009) has articulated this difficulty as a fundamental problem of SoS:

*From the single-system community's perspective, its part of the SoS capability represents additional obligations, constraints and complexities. Rarely is participation in an (sic) SoS seen as a net gain from the viewpoint of single-system stakeholders.*

The development and implementation of a SoS architecture may be significantly constrained by a reluctance to make changes or invest in the constituent systems, which could be very mature (e.g. in sustainment) or currently productively supporting other uses. In this case, approaches such as gateways and wrapping may be used to incorporate these systems into the SoS without making significant changes in the other systems.

## Architecture Analysis

*Large-scale systems integration* has grown in importance and correspondingly, there has been a growing interest in SoS concepts and strategies. The performance and functioning of groups of heterogeneous systems has become the focus of various applications including military, security, aerospace, distributed energy, healthcare, and disaster management systems (Lopez 2006; Wojcik and Hoffman 2006). There is an increasing interest in exploiting synergy between these independent systems to achieve the desired overall system performance (Azarnoush et al. 2006).

Modeling and simulation is conducted to analyze architecture effectiveness and to verify architectural features. In the literature, researchers have addressed the issues of coordination and interoperability in a SoS (Abel and Sukkarieh 2006; Sahin et al. 2007). In order to study SoS characteristics and parameters, one needs to have realistic simulation frameworks properly designed for system of systems architecture. There are some attempts to develop simulation frameworks for multi-agent systems using Discrete Event Simulation (DEVS) tools (Zeigler et al. 2000a). In these research efforts, the major focus is given to DEVS architecture with JAVA. In (Mittall 2000), DEVS state machine approach is introduced. Finally, DEVS Modeling Language (DEVSML) is developed by using XML based JAVA in order to simulate systems in a net-centric way with relative ease. Sahin et al. (2007) have recently introduced a discrete event XML based SoS simulation framework based on DEVS and JAVA.

## The Open Approach to SoS Engineering

As noted above, one of the key challenges with SoS architecting is that the constituent systems of a SoS may not have been designed, developed and employed with regard to their role in the SoS, which constrains SoS architecture options. The degree to the architecture which *overlays* these constituent systems and supports the SoS end-to-end capabilities can be based on open standards; the SoS may be able to benefit from open architecture for future evolution.

The critical challenge of moving from SoS, as a concept to the engineering of SoS, is the significant technological, human, and organizational differences in consideration system of systems engineering and management approaches (Wells and Sage 2008). A potential approach to engineering a SoS can be the *open systems approach* to SoSE (Azani 2009). The following open systems principles are listed by Azani (2009):

- **Open interface principle** - Open systems have permeable boundaries that allow them to exchange mass, energy, and information with other systems;
- **Synergism principle** – The notion that designates that the co-operative interaction between constituent systems has a greater effect in their combined efforts than the sum of their individual parts. Essentially, this is what gives rise to emergence;
- **Self-government principle** - This implies that the SoS maintains and develops its internal order without interference from external sources. This could be through cybernetic control, homeostasis, or self-organization;
- **Emergence principle** - In this case, this refers to the occurrence of novel and coherent structures, patterns, and properties during the self-organization of the SoS;
- **Conservation principle** – This principle states that energy and mass (material) are conserved within the SoS;
- **Reconfiguration principle** – This refers to the SoS reconfiguring and adapting itself to sustain itself against changes in its environment;
- **Symbiosis principle** - The systems within the SoS have a symbiotic relationship to each other; more transparently, the successful development and sustainment of a SoS depends on symbiotic collaboration between the stakeholders of the systems of which it is comprised; and
- **Modularity principle** - This holds that each level and each system is to some extent independent of others. In SoS design, the development of independent modular systems that interoperate with each other through standardized interfaces enables greater flexibility to promote better evolution of the SoS.

Azani (2009) elaborates on the open systems development strategies and principles utilized by biotic SoS, discusses the implications of engineering of man-made SoS, and introduces an integrated SoS development methodology for the engineering and development of an adaptable, sustainable, and interoperable SoS based on open systems principles and strategies.

Hitchens (2003, 107), on the other hand, discusses the principles of open systems rather differently in terms of their systems life cycles, as the seven principles that he addresses are system reactions, system cohesion, system adaptation, connected variety, limited variety, preferred patterns, and cyclic progression. This description takes a systems dynamics approach to show how open systems evolve; the description is applicable to natural and man-made systems.

The enablers of openness include open standards and open specifications, which draw from consensus amongst a community of interest, and are published by, and freely available within, that community. An open specification must ensure that its detail-level is allows for it to be implementable by independent parties. Compliance with open standards is intended to ensure consistent results (Henshaw, et. al., 2011). This parallels the notion of open systems architecture, which is an open specification of the architecture of a system or system of systems for the purpose of acquiring specified capabilities. As a general feature of good design (for a system or system of systems), an open system architecture should allow for the quick and easy improvement and updating of the system capabilities, by adding or changing components. However, Henshaw et. al. (2011) also denote that open architecture represents a commercial challenge (rather than a technical one) and that establishing open architecture approaches to acquisition

can be challenging, due to issues involving protection of intellectual property (IP) and commercial advantage.

## Networks and Network Analysis

Because networks are such a common component of SoS, they warrant specific attention. In SoS that are based on an underlying network, communications and information exchange typically constitute a SoS in its own right. This enabling SoS requires architecting like any other SoS, which will be addressed in this section. In the case of an enabling network SoS, the 'user', the end-to-end functionality of the larger SoS and enabling network SoS is driven by these user needs. The relationship between SoSE concepts and network enablement, as well as the concepts of networks and network analysis that extend beyond information sharing, have been explored extensively by the defense community (Dickerson and Mavris 2009). For instance, during the U.S. Navy's work on command, control, communications, computers, intelligence, surveillance, and reconnaissance (C4ISR) as part of a SoS (Owens 1996), the term network included organizational aspects of command and control (C2) structure as well as communications. Differences in the architecting of an enabling network SoS derive from the fact that these SoS are typically built on commercial technologies and architectures, which are changing rapidly in today's dynamic technological environment. In addition, these enabling networks are often shared among SoS and hence may further constrain the overall SoS architecture. For example, many SoS (for cost and convenience) expect to operate over the internet, and therefore must consider characteristics of the internet in the expectations for performance and security provided by use of a shared enabling infrastructure.

Enabling network SoS architecting is particularly well-served by the initial analysis that explores sensitivities through modeling, simulation, analysis, and/or laboratory experimentation and identifies scalability issues or divergent behavior (e.g., concerning requirements or usage assumptions, assumed network bandwidth, or others), beyond which performance starts to break down. This type of analysis provides a basis for network architecture decisions.

In directed SoS, because of the top-down control, there is the option for creating a specialized network for the particular SoS. In the other types of SoS, if the constituents are already supported by some type of a network then the overall SoS networking approach typically needs to accommodate these since the constituent systems are likely to need to continue to use their current approach to support their original users.

## Interoperability

Interoperability within a SoS implies that each system can communicate and interact (control) with any other system regardless of their hardware and software characteristics or nature. This implies that each constituent member (and potential new members) of a SoS should be able to communicate with others without compatibility issues in the operating systems, communication hardware, and so on. For this purpose, a SoS needs a common language the SoS's systems can speak. Challenges here are to work towards a common language for exchange of information and data among systems of a SoS. Examples of such system are XML (eXtensible Markup Language), as one potential candidate (Jamshidi, 2009a).

However, interoperability must be achieved at many levels and not just at the data/network level. There are a number of frameworks that describe the levels of interoperability. From military applications, the NCOIC (Network Centric Operations Industry Consortium) Interoperability Framework (NCOIC 2008) covers three broad levels of interoperability, subdivided into further layers as indicated below:

- Network Transport:
  - Physical Interoperability and
  - Connectivity and Network Interoperability;
- Information Services:
  - Data/Object Model Interoperability,

- Semantic/Information Interoperability, and
- Knowledge/Awareness of Actions Interoperability; and
- People, Processes and Applications:
  - Aligned Procedures,
  - Aligned Operations,
  - Harmonized Strategy/Doctrine, and
  - Political or Business Objectives.

This spectrum of interoperability layers requires appropriate coherence at each layer consistent with the SoS shared goals.

There exist interoperability frameworks in other fields of activity. An example is the European Interoperability Framework (European Commission 2004), which focuses on enabling business (particularly e-business) interoperability and has four levels within a political context:

- Legal Interoperability,
- Organizational Interoperability,
- Semantic Interoperability, and
- Technical Interoperability.

The interoperability between the component systems of a SoS is a fundamental design consideration for SoS that may be managed through the application of standards.

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## Socio-Technical Features of Systems of Systems

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**Lead Authors:** Judith Dahmann, Mike Henshaw, Bud Lawson, **Contributing Authors:** Heidi Davidz, Alan Faisandier

In perhaps the earliest reference to Systems of Systems (SoS), Ackoff (1971) describes a concept that is mostly concerned with organizations, i.e. social. However, this section is concerned with the socio-technical aspects of technical SoS, which are composed of interdependent resources, such as, people, processes, information, and technology that interact with each other and with their environment in support of a common mission (glossary).

### The Socio-Technical Nature of Systems of Systems

Rebovich (2009) [ has captured the essence of the SoS problem as:

"From a single-system community's perspective, its part of the SoS capability represents additional obligations, constraints and complexities. Rarely is participation in an (sic) SoS seen as a net gain from the viewpoint of single-system stakeholders."

Three of the persistent SoS challenges, or pain points, identified by Dahmann (2015) are directly related to this problem of stakeholder perspective and the local optimization of constituent system performance at the expense, or to the detriment of, the overall SoS performance. These are: SoS Authority, Leadership, and Autonomy, Interdependencies & Emergence. Thus, the sociological aspects affecting decision making and human behaviors must be given similar weight to the technical aspects of SoS.

Turning to views outside of Systems Engineering, Ergonomists regard socio-technical systems as having the following characteristics (Maguire, 2014):

- There are collective operational tasks,
- They contain social and technical sub-systems,
- They are open systems (i.e. strongly interacting with their environments), and
- The concept of the system being an unfinished system.

These are also characteristics of Systems of Systems. Klein (2014) has noted that approaches to socio-technical systems can take the two perspectives of “system affects people” or “people affect system”, depending upon how the system boundary is drawn. It is generally true for systems that consideration of their context requires socio-technical aspects to be taken into account.

Although focused largely on IT systems, Baxter and Sommerville (2011) have noted that the introduction of new business SoS are generally carried out in conjunction with a change process. They argue that frequently the social and organizational aspects are disruptive and that inadequate attention is paid to the connection between change processes and systems development processes. They propose two types of Socio-Technical Systems Engineering activities:

- Sensitizing and awareness activities, designed to sensitize stakeholders to the concerns of other stakeholders.
- Constructive engagement activities, which are largely concerned with deriving requirements accurately and meaningfully.

The extent to which these activities can be effective may be challenged by independent management or operation of constituent systems in a SoS.

Although there are many matters concerning the socio-technical aspects of SoS, there are two important issues, that are dealt with here. The first is the need for appropriate governance structures, given that operational and/or managerial independence affects top-down direction of the SoS and may compromise achievement of the SoS goal(s). The second issue is a lack of situational awareness of managers, operators, or other stakeholders of the SoS, so that they may not understand the impact of their local decisions on the wider SoS.

## SoS Governance

Generally, design and operation of complex systems is concerned with control, but the classification of SoS (Dahmann, et. al., 2008) is based on the notion of diminishing central control, as the types go from directed to virtual. Sauser, et. al. (2009) has described the ‘control paradox of SoS’ and asserted that for SoS, ‘management’ is replaced by ‘governance’. ‘Control is a function of rules, time, and bandwidth; whereas command is a function of trusts, influence, fidelity, and agility’.

Some practitioners have found the Cynefin framework, developed by David Snowden, helpful in understanding the nature of complexity that may arise in SoS. Developed from knowledge management considerations, Kurtz and Snowden (2003) propose three reasons why the behavior of systems involving people may be difficult to predict. Firstly, humans are not limited to one identity, and so modelling human behaviors using norms may not be reliable. Secondly, humans are not limited to acting in accordance with predetermined rules. Thirdly, humans are not limited to acting on local patterns. These reasons all undermine control, so that the sociological aspects of SoS make their behaviours hard to predict and, possibly indeterminate. The Cynefin framework considers systems to be classified in four domains:

- Known – simple systems with predictable and repeatable cause and effect
- Knowable – amenable to systems thinking and analytical/reductionist methods
- Complex – adaptive systems where cause and effect are only discernable in retrospect and do not repeat
- Chaotic – no cause and effect relationships are perceivable

The different types of SoS (directed, acknowledged, collaborative, and virtual) could all be described in any of the above domains, depending on many factors internal to the SoS, but in all cases it is the sociological element of the socio-technical SoS that is most likely to give rise to ambiguity in predicting behavior.

A major governance issue for SoS is understanding the ownership of, and making reliable estimates of risk (Fovino & Masera, 2007). High levels of connectivity, and the potential for emergent behavior due to the interactions of separately owned/operated constituent systems, means that significant risks may go unacknowledged and their mitigations unplanned.

In general, governance can be summed up by asking three connected questions (Siemieniuch and Sinclair, 2014):

- Are we doing the right things (leadership)?
- Are we doing those things right (management)?
- How do we know this (metrics and measurements)?

Currently, there is no accepted framework for addressing these questions in a SoS context, but Henshaw et. al. (2013) highlighted architectures as an important means through which governance may be clarified. They postulate that a SoS can be regarded as a set of trust and contract relationships between systems (i.e. including both informal and formal relationships). The systems architect of a constituent system must, therefore, address trust issues for each participating organization in the overall enterprise with which his/her system must interoperate. For SoS, technical engineering governance is concerned with defining and ensuring compliance with trust at the interface between constituent systems. An example of difficulty managing the interfaces in a SoS is provided in the Cassini-Huygens mission case study .

## Situational Awareness

Situational awareness is a decision maker's understanding of the environment in which he/she takes a decision; it concerns information, awareness, perception, and cognition. Endsley (1995) emphasizes that situational awareness is a state of knowledge. There are numerous examples of SoS failure due to the operator of one constituent system making decisions based on inadequate knowledge of the overall SoS (big picture).

On the other hand, SoS development is also viewed as the means through which improved situational awareness may be achieved (Van der Laar, et. al., 2013). In the defense environment, Network Enabled Capability (NEC) was a system of systems approach motivated by the objective of making better use of information sharing to achieve military objectives. NEC was predicated on the ability to share useful information effectively among the stakeholders that need it. It is concluded that improving situational awareness will improve SoS performance, or at least reduce the risk of failures at the SoS level. Thus, the principles which govern the organization of the SoS should support sharing information effectively across the network; in essence, ensuring that every level of the interoperability spectrum is adequately serviced. Operators need insight into the effect that their own local decisions may have on the changing SoS or environment; similarly they need to understand how external changes will affect the systems that they own.

Increasingly, SoS include constituent systems with high levels of autonomous decision making ability, a class of system that can be described as cyber-physical systems (of systems). The relationship to SoS is described by Henshaw (2016). Issues arise because autonomy can degrade human situational awareness regarding the behavior of the SoS, and also the autonomous systems within the SoS have inadequate situational awareness due to a lack of competent models of humans (Sowe, 2016)

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# Capability Engineering

**Lead Authors:** Judith Dahmann, Bud Lawson, Mike Henshaw

Capability is increasingly being used to describe the Systems Engineering of Operational Capabilities. The INCOSE UK Capability System Engineering Guide (Kemp and Daw) built on this analysis and describes:

- That Capabilities are realised through a combination of people, processes, information as well as equipment;
- They are concerned with delivering outcomes, rather than outputs;
- They are enduring, with capabilities being upgraded rather than replaced;The term emerged in defence in the early 2000, however the concepts go back far earlier (Checkland, 1997).
- The concepts of Capability Systems Engineering have been used in Rail (Dogan, 2012) and Healthcare (Royal Academy of Engineering, 2017).

is widely used across many industrial sectors and has begun to take on various specific meanings across, and even within, those sectors. Terms such as capability-based acquisition, capability engineering and management, life capability management, capability sponsor, etc. are now ubiquitous in defense and elsewhere. Henshaw et al. (2011) have identified at least eight worldviews of capability and capability engineering and concluded that the task of capability engineering is not consistently defined across the different communities.

The aim of capability systems engineering is to ensure that the upgraded capability meets stakeholders needs. Good Capability Systems Engineering provides a clear line of sight from the purpose of the capability, through the operational concept and whole system design down to specific requirements and interfaces (Figure 1)

[Add Figure]

Capability engineering is concerned with the whole lifecycle (Figure 2); the “Fuzzy front end” of capability trade-offs, the conventional ‘V’ product lifecycle, and the “Messy in-service” support phase.

[Add figure]

Capability Systems Engineering uses standard SE tools, applied from the perspective of the asset owner-operators (i.e. the military user or rail transportation provider).

Kemp and Daw (2014) note several differences between Capability Systems Engineering and the more traditional product Systems Engineering:

- Using persuasion and influence as much as command and control to implement decisions
- Building in flexibility where possible, as the capability will change.
- Implementing the transition to the improved capability as both an engineering and cultural change.
- Recognising that capabilities are often Complex Adaptive Systems. As the capability improves, users or competitors change their behaviour, reducing the effectiveness of the capability
- Capability trade-offs are not about simple comparisons, between similar things – often they are choices between new equipment, better training or new processes.

There is a strong relationship between Capability Engineering and system of systems (SoS).. To some a Capability is a type of system/SoS, to others it is what the system/SoS does. This is explored in Henshaw et al. (2011), who describe at least eight worldviews of capability and capability engineering

## Services View of SoSE

As it has been discussed throughout the Systems of Systems (SoS) knowledge area, a 'system of systems' is typically approached from the viewpoint of bringing together multiple systems to provide broader capability. As is discussed in Architecting Approaches for Systems of Systems, the networking of the constituent systems in a SoS is often a key part of an SoS. In some circumstances, the entire content of a SoS is information and the SoS brings together multiple information systems to support the information needs of a broader community. These 'information technology

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information technology (IT)-based' SoSs have the same set of characteristics of other SoSs and face many of the same challenges. Currently, IT has adopted a 'services' view of this type of SoS and increasingly applies a International Organization for Standardization (ISO) 20000 series (Information technology -- Service management) or Information Technology Infrastructure Library (ITIL) v. 3 (OGC 2009) based approach to the design and management of information-based SoS. A service perspective simplifies SoSE as it:

- is a more natural way for users to interact with and understand a SoS,
- allows designers to design specific services to meet defined performance and effectiveness targets, and
- enables specific service levels to be tested and monitored through life.

Although it has not been proven to be universally applicable, the services view works well in both IT and transportation SoS.

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# Mission Engineering

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This article describes the emerging concept of mission engineering, especially as it is being practiced by the US Department of Defense. Mission engineering is closely associated with systems of systems (SoS) because most missions are accomplished through the coordination and interoperability of multiple systems. The article defines mission engineering and describes the systems engineering activities involved in mission engineering.

## Definition of Mission Engineering

Mission engineering describes the application of systems engineering to the planning, analysis, and designing of missions, where the mission is the system of interest. Mission engineering analyzes the mission goals and thread, analyzes the available as well as emerging operational and system capabilities, and designs a mission architecture to achieve the mission goal (Gold, 2016). Consequently, mission engineering must simultaneously consider operational, technical, and acquisition issues and their integration in order to design a solution to achieve the mission goal (Van Bossuyt et al. 2019). Lastly, the term “mission” is generally used in the military context, and most mission engineering is for military systems. However, the term, and the process and knowledge it describes, could be applied to space missions or other mission areas.

Missions are almost always conducted by multiple systems coordinating their actions and sharing data. We call these mission-oriented system-of-systems (SoS). Ideally the mission-oriented SoS could be rapidly conceived, assembled, and deployed by operational commanders to react to immediate threats.

## Definitions and Principles

A mission describes what the system will do and the purpose of doing it. The mission statement describes Kipling's “six honest serving-men” – who, what, when, where, why, and sometimes how (Kipling 1902). The mission provides the context for defining measures of effectiveness and for development of the Concept of Operations (CONOPS).

The mission is accomplished by operational nodes completing one or more operational activities. An operational node can be an organization, individual, or system. Operational activities are actions that either transform one or more inputs into outputs or change the state of the system. A system provides capabilities through the execution of operational activities.

## Mission Engineering Activities

The following are the main activities of mission engineering:

**Mission Capability Analysis and Definition** – The engineer analyzes the problem scenario to determine what capabilities are required and to develop a CONOPS for the mission.

**Mission Thread Definition** – The engineer analyzes the end-to-end set of operational activities. The starting point is modeling the operational activities, their sequencing, and the information flows between them. For military systems, the mission thread is often a kill chain describing the sequence of activities from searching for a threat to engaging a threat.

**Tradeoff Analysis** – The engineer develops alternatives for accomplishing the mission and conducts trade studies to determine the best alternative given resources and time available.

**Mission Architecting** – The engineer develops an operational architecture describing the capabilities, the operational activities, operational nodes, and other relevant elements to model the mission.

**Requirements Engineering** – The engineer determines the functional and non-functional requirements from the capability analysis, CONOPS, and mission threads. The engineer allocates the requirements to the operational nodes. In many cases, the systems in the operational nodes might require engineering to fulfill the requirements.

**Interoperability Analysis** – The interoperability between systems completing the mission must occur at both the operational and technical levels (Giachetti et al. 2019). Operational interoperability describes the ability of the systems to coordinate their activities to support completion of the mission thread. Technical interoperability describes the ability of the systems to exchange data with considerations for the timeliness and quality of the data. The interoperability analysis generates additional requirements on the systems.

**Mission-Oriented SoS Implementation** – The mission-oriented SoS must be implemented through designing and developing new systems, modifying existing systems, and/or modifying doctrine, policies, procedures, and other non-materiel means to help achieve the mission.

**Mission Verification and Validation** – The engineer verifies that the system as delivered satisfies the requirements and validates that the system fulfills the mission purpose and stakeholder needs.

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## Additional References

None.

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**SEBoK v. 2.7, released 31 October 2022**

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# Knowledge Area: Healthcare Systems Engineering

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## Healthcare Systems Engineering

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This article provides an overview of the role of systems engineering in the engineering or re-engineering of healthcare systems to meet a number of modern day challenges. The role of SE in medical devices, healthcare IT, pharmaceuticals, and public health systems are considered and contrasted to "traditional" SE practices discussed elsewhere in the SEBoK. See Overview of the Healthcare Sector for details of the stakeholders and constraints of the these different parts of the sector.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs in turn are divided into topics. This KA contains the following topics:

- Overview of the Healthcare Sector
- Systems Engineering in Healthcare Delivery
- Systems Biology
- Lean in Healthcare

### Healthcare and Systems Engineering

Healthcare today faces many challenges related to safety (e.g. Hospital Safety Score 2013, Andel et al. 2012, Institute of Medicine 1999), affordability, access, and the means for reliably producing positive outcomes for all patients of all ages and across all care environments. Furthermore, the health of individuals is challenged by many threats such as environmental and behavioral norms, emerging natural infectious diseases, and acute and chronic conditions that are becoming more prevalent because of longer lifespans. Re-engineering today's healthcare to address these challenges requires a systems approach – an approach that develops solutions to contend with the complexity of healthcare-related policy, economics, social dynamics, and technology. Systems Engineers are trained to grapple with this kind of complexity by thinking holistically and to work with trans-disciplinary teams to develop solutions making re-engineering healthcare a natural fit for systems engineers and the tools of systems engineering.

The disciplines involved in re-engineering healthcare are far reaching across academia, government, industry, private, and public sectors including the patients and families the healthcare field serves. Systems Engineers involved in this re-engineering draw on several tools when working with these stakeholders to develop solutions. In doing so they follow the general systems principles described in the Systems Approach Applied to Engineered Systems knowledge area in SEBoK Part 2. First, with so many diverse stakeholders involved in this field, it is vitally important for the Systems Engineer to help clarify the problem or opportunity and to conceive of the objective of the re-engineering. They need to "envision the solution" without being entirely prescriptive of the solution's specific implementation, see Identifying and Understanding Problems and Opportunities. Then, drawing from best practices, the Systems Engineer guides the stakeholders through the synthesis of possible solutions and the analysis and selection between alternatives. Systems engineers are also involved in the implementation and testing and the deployment, use and sustainment of healthcare systems to provide stakeholder value. The systems approach in healthcare must be particularly mindful to not exclusively focused on technical aspects of the effort since the solutions to healthcare's challenges exist not only in technical areas but the integration of culture, workflow and

processes, with technology as a tool to support the delivery of safe, affordable, and accessible care.

To achieve this system approach healthcare projects follow a version of the SE life cycle described in SEBoK Part 3. This included the creation of Stakeholder and System Requirements, Systems Architecture and Design and System Integration, Verification and Validation. The SE life cycle extends to include System Deployment, Operation, Maintenance and Logistics. Healthcare project will also follow some of the Systems Engineering Management processes described in Part 3.

It is vitally important for the healthcare systems engineer to ensure socio-technical integration and interoperability among system components are part of any project – the last thing healthcare needs is another standalone innovation that perpetuates the silos that exist in the field today. Remaining focused on the objective and problem to solve, managing scope creep, disciplined design, implementation, and project management are key activities the Systems Engineer is responsible for in healthcare systems engineering.

## Systems Engineering for Medical Device Development

Systems Engineering for medical device development is essentially an application of Product Systems Engineering as described in SEBoK Part 4 with a few customizations:

- The life cycle has to comply with specific healthcare regulations, which constrain aspects of the life cycle, as exemplified by FDA regulations in the US (21CFR 820.30)
- The products are market driven, with little customization allowed by the manufacturer at the customer site
- The markets are midsized, with the market for a given technology or product line often being in the \$1-10B range
- Medical device development programs are mid-sized...many from 10-100 man-years of development, lasting 1-2 years
- Time to market is critical, with the first mover or first with a complete solution capturing the majority of the profits
- Most products are cyber-physical, with software becoming a larger part of the product. Many products include significant aspects of physiology or chemistry
- There is a special tension between “efficacy” and “safety”. Efficacy requires the vast majority to be helped. Safety is compromised if only a very small minority is adversely affected. Truly safe systems require a special approach to systems engineering . (Leveson 2011)
- Customer feedback may be constrained by safety issues as well as HIPAA regulations

## Device Development in a Market Environment

One critical difference between many “traditional” systems engineering industries (defense and aerospace) and healthcare device development is that most healthcare device development is market driven, rather than contract driven. Some key differences between market and contract systems engineering:

- The program size (budget) and dates are not ‘fixed’, they are set by the business leadership designed to maximize return on investment across a portfolio of product programs
- Program scope and requirements are not fixed externally; they can be changed fairly rapidly by negotiation between functions and the executive committee.
- The goal for the product development isn’t necessarily a feature set, it is a market share and price premium relative to the competition...which can be a moving target. A competitive announcement will often force a change in the program scope
- In a contract based program there is an identified customer, with a set of applications and workflows. In a market driven program the workflow and use cases are defined by the developer, and the buyer needs to ‘own’ the integration of the offering into their specific systems and workflows.
- For specific medical products the FDA can require pre-market trials and post market studies . (FDA 2014)

- The different types of healthcare reimbursement across the world (universal coverage private insurance, national single provider, national single payer, private insurance, and out of pocket) creates dramatically different market dynamics (for individuals, healthcare providers, and product developers) . (Reid 2010)

## Regulations for Medical Device Development

As with all regulated products, there are many regulations governing the development of medical devices. The medical device industry specific regulations are primarily driven by the US (FDA), Europe (European Commission), and Canada (Health Canada). Within the US, the FDA governs medical devices primarily through 21 CFR 820.30 (Quality Systems Regulation, Subpart C Design Controls) , which contains requirements similar to ISO 13485. The sections of the Quality Systems Regulation for Design Controls can be mapped fairly directly to ISO/IEC/IEEE 15288 (2015) and the INCOSE SE Handbook (INCOSE 2015).

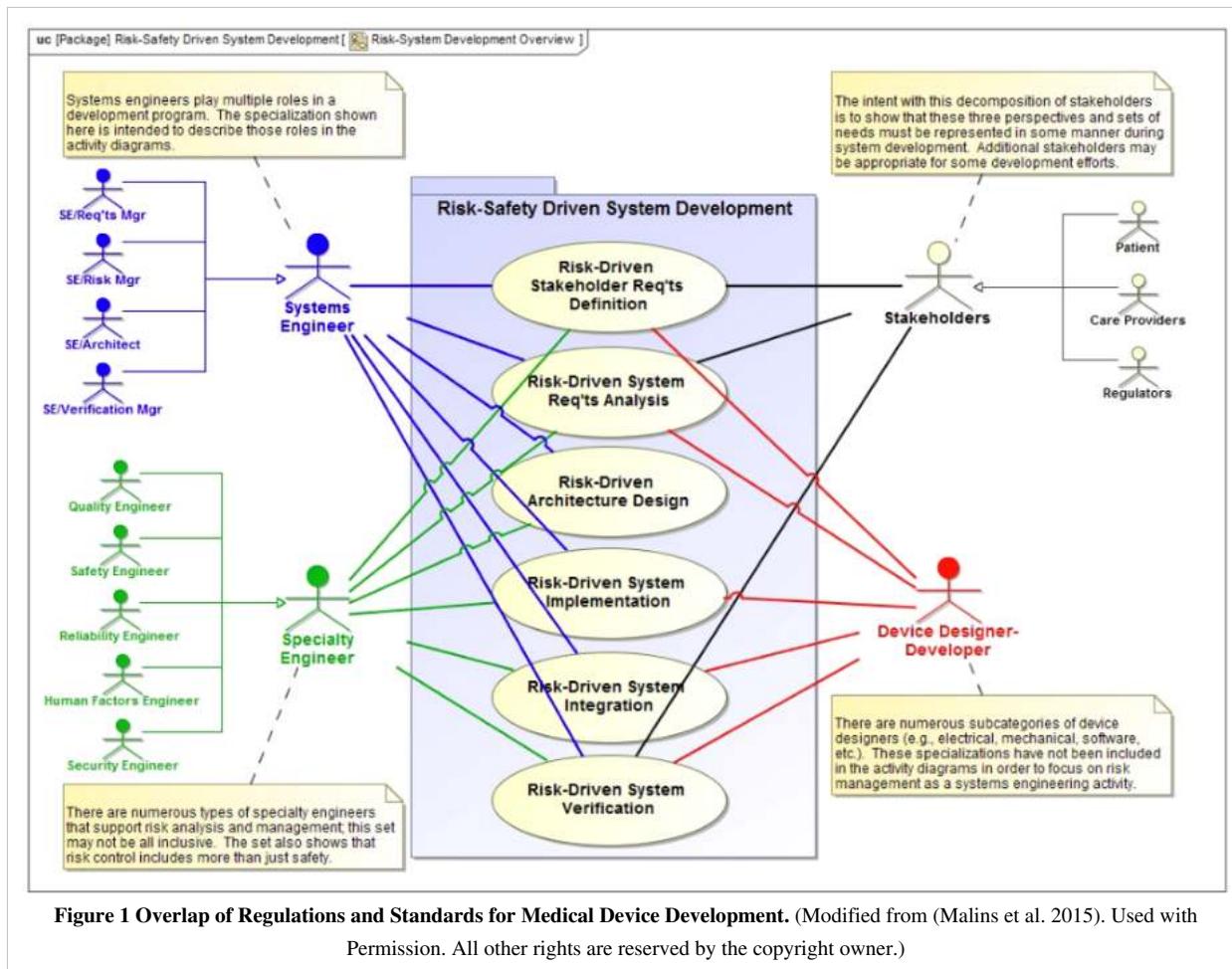
Table 1. Comparison of Healthcare Safety Regulations with ISO/IEC/IEEE 15288 and the INCOSE SE Handbook.

21CFR820.30	ISO/IEC/IEEE 15288:2015	INCOSE SE Handbook
(b) Design and development planning	6.3.1 Project Planning Process	5.1 Project Planning Process
(c) Design input.	6.4.2 Stakeholder needs and requirements definition process 6.4.3 Systems requirements definition process	4.2 Stakeholder needs and requirements definition process 4.3 Systems requirements definition process
(d) Design output	6.4.5 Design definition process 6.4.7 Implementation process	4.5 Design definition process 4.7 Implementation process
(e) Design review	6.3.2 Project Assessment and Control process	5.2 Project Assessment and Control process
(f) Design verification	6.4.9 Verification Process	4.9 Verification Process
(g) Design validation	6.4.11 Validation Process	4.11 Validation Process
(h) Design transfer	6.4.10 Transition Process	4.10 Transition Process
(i) Design changes	6.3.5 Configuration Management Process 6.4.13 Maintenance Process	5.5 Configuration Management Process 4.13 Maintenance Process
(j) Design history file	6.2.6 Knowledge Management Process	5.6 Information Management Process

In the biomedical and healthcare environment, an important differentiator in Risk Management activities compared to other industries (see Risk Management) is that the users and patients are the center of risk analysis rather than technical or business risks. Risk management is an important element of the design control process, as preliminary hazard analysis drive initial design inputs. Traceability between identified risks, risk mitigations, design inputs, and design outputs is a key factor in product clearance through regulatory agencies. Most regulatory bodies have recognized ISO 14971: Medical devices -- Application of risk management to medical devices as a methodology for assessing and documenting product safety and effectiveness.

Usability Engineering is an important subset of risk management activities. ISO 62366-1 Medical devices – Part 1: Application of usability engineering to medical devices provides a “process for a manufacturer to analyze, specify, develop and evaluate the usability of a medical device as it relates to safety. This usability engineering (human factors engineering) process permits the manufacturer to assess and mitigate risks associated with correct use and use errors, i.e., normal use.“ . (IEC 62366-2015) For example, for a device designed for home care use, there are many complex interfaces that product designers must consider. Patients may be physically or cognitively affected (age, medication, injury, etc.); they may be untrained or cared for people who are untrained; they are not professionals used to technical systems, etc. Even in the hospital setting, untrained patients may have physical access to systems. This puts a critical focus on usability and human factors considerations and the complexity of the use environment.

Further, as medical devices incorporate more software and become cyber-physical devices, the regulators are also focusing on privacy and security (ISO 21827) and software life cycle management (ISO 62304).



Medical Device regulations, guidance, and technical standards are constantly changing, adding a complex dynamic to manage and incorporate throughout the product development life cycle.

## Systems Engineering for Healthcare IT

Systems Engineering for Healthcare Information Technology is very similar to other IT developments, with the addition of medical regulations. Healthcare Information Technology is critical to efficient flow of information and delivery of services . (Presidents Council of Advisors on Science and Technology 2010) The product development is a mix of contract driven development (with a target customer, such as healthcare.gov), and market driven (where there are more standard products, with minimal customization). Much of the market, especially for hospitals and hospital chains, is a mix of standard products with large amounts of customization to the customer's specific needs, terminology, and workflows.

## Systems Engineering for Pharmaceuticals

The pharmaceutical industry leverages systems that include hardware, software and sometimes single-use components in different part of their value chain, for example complex analytical systems during drug discovery, complex bioreactors and downstream filtration and chromatography systems in manufacturing and drug delivery devices for the use of their drugs. These systems are subject to very different regulations, e.g. GMP or medical devices, depending on the use. One challenging aspect of these systems is that the users have different skill sets and working under different environments. And in all of the examples below, biological and/or chemical processes run on these systems, requiring deep domain knowledge of the system development teams.

The in-vitro diagnostic industry also uses many systems, small devices (e.g. self-testing blood glucose or coagulation monitoring systems) all the way to large, fully automated, high throughput systems for the use in centralized laboratories. Very often, these systems operate as a closed system, so that the reagents used for the diagnostics tests, are proprietary and the vendor of the system only guarantees high quality results only when using the proprietary chemistry. This enables the vendors to often ‘place’ the instruments as highly competitive prices when the actual profit is generated through the consumables.

For the chemistry part of pharma, understanding the scientific method, using a systems thinking approach, and using six sigma approaches to managing variation and interdependencies is critical. Once you create a product which includes software and physical parts (including manufacturing equipment), systems engineering of the functional design, design analysis, and integration and verification of the solution become critical.

## Systems Challenges for Public Health

Summits and inquiries into problems or shortcomings in the public health space have consistently uncovered the same issues: systemic failures in the way that public health is approached that make it nearly impossible to adequately respond to major health events. Examples can be seen from the US response to Hurricane Katrina (e.g. The White House 2006), the 2011 Thoku tsunami (e.g. Carafano 2011, The Heritage Foundation 2012), or even the 2014-2015 Ebola outbreak in West Africa (e.g. GHTC 2015).

The White House report provides insights into just a few of potential challenges for the health aspects of disasters or large-scale emergencies (2006, Chapter 6):

- Tens of thousands of people may require medical care.
- Large portions of a population with chronic medical conditions may themselves without access to their usual medications and sources of medical care.
- Hospitals and other healthcare facilities may be totally destroyed or otherwise rendered inoperable and the area's health care infrastructure may sustain extraordinary damage.

The types of public health challenges will also change over time: Immediate challenges include the identification, triage and treatment of acutely sick and injured patients; the management of chronic medical conditions in large numbers of evacuees with special health care needs; the assessment, communication and mitigation of public health risk; and the provision of assistance to State and local health officials to quickly reestablish health care delivery systems and public health infrastructures. (The White House 2006) As time passes, longer-term infectious disease outbreaks may occur or environmental impacts may cause health risks (e.g. Fukushima nuclear meltdown after the 2010 tsunami). And over time, the public health and overall healthcare infrastructure must be re-established and repaired.

But the public health “system” in most countries, as currently structured, is not prepared to deal with these types of challenges. In talking about the US, Salinsky and Gursky state, “Despite recent attention to the biodefense role of public health, policymakers have not developed a clear, realistic vision for the structure and functionality of the governmental public health system. Lack of leadership and organizational disconnects across levels of government have prevented strategic alignment of resources and undermined momentum for meaningful change. A transformed public health system is needed to address the demands of emergency preparedness and health protection. .... The future public health system cannot afford to be dictated by outmoded tools, unworkable structures, and outdated staffing models.” (2006)

The framing of the challenge as a systems one requires the application of a systems approach, and the use of tools capable of supporting systems views, to enable better understanding of the challenges for public health and for creating ways to address these challenges. The SEBoK knowledge areas on Enterprise Systems Engineering and Systems of Systems (SoS) at least partially consider some of these challenges from a systems engineering perspective.

## Systems Biology for Healthcare

As systems science is a foundation for system engineering, systems biology is becoming recognized as a foundational discipline for healthcare systems engineering. Systems biology is an emerging discipline and is recognized as strategically important when tackling complex healthcare problems. The development of systems biology is also an emerging environment for systems engineers.

According to Harvard University, "Systems biology is the study of systems of biological components, which may be molecules, cells, organisms or entire species. Living systems are dynamic and complex and their behavior may be hard to predict from the properties of individual parts. To study them, we use quantitative measurements of the behavior of groups of interacting components, systematic measurement technologies such as genomics, bioinformatics and proteomics, and mathematical and computational models to describe and predict dynamical behavior. Systems problems are emerging as central to all areas of biology and medicine." (Harvard University 2010)

As systems biology matures, its integration into healthcare approaches is expected to lead to advanced practices such as personalized and connected healthcare and the resolution of complex diseases.

## Conclusion

While systems engineering practices apply to the healthcare domain, they face different challenges than other industries and need to be tailored. In fact, different segments of the healthcare industry can take significantly different approaches to effective systems engineering and systems thinking.

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None.

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None.

# Overview of the Healthcare Sector

**Lead Author:** Chris Unger, **Contributing Author:** Cyrus Hillsman

This article describes some of the stakeholders of the healthcare sector and the factors which influence the application of systems engineering within it. For an overview of healthcare systems engineering and how it deals with these influences see the Healthcare Systems Engineering article.

The healthcare sector is a complex system made up of people, facilities, laws and regulations. It addresses current health, tries to ensure wellness, treats medical problems; creates new medication and medical devices; manages the health both individuals and populations; and helps determine regulations for safety, privacy, the environment, and healthcare delivery itself.

## Stakeholders

There are many types of stakeholders in the healthcare sector. The space covers everyone from the general public – who have a stake in their own health and the health of those around them for issues like infectious disease – to the individual researchers who investigate current healthcare problems. The high-level groups of stakeholders include:

- The general public;
- Healthcare providers (such as doctors, nurses, clinics, and hospitals);
- Payers (such as insurance companies);
- Public health organizations;
- Researchers, scientists, and corporations in the pharmaceutical industry;
- Medical device manufacturers;
- Policy makers (particularly those with interest in public health, healthcare safety or privacy policies);
- Healthcare information technology technicians and organizations; and
- Professional organizations and societies relevant to the various aspects of the space.

The healthcare sector is an enormous area financially as well. For example, out of \$2.87 trillion on healthcare spent in the US in 2010, the breakdown of components is:

### US Healthcare Expenditures in 2010 (information from Emmanual 2014)

Hospital Care	\$921B
Physician Services	\$555B
Prescription Drugs	\$280B
Nursing Home Care	\$151B
Other Medical Products	\$113B
Dental Services	\$93B
Government Public Health	\$84B
Other Professional Services	\$79B
Home Health Care	\$77B
Research	\$48B

The sections below provide insight into the landscape for these the stakeholder groups where there is sufficient information currently available. More detail will be added as the healthcare aspects of the SEBoK mature and the team will take particular care to incorporate additional information from outside the US going forward.

## Healthcare Delivery

The largest share of the money spent on healthcare in the US healthcare is in hospitals (almost a third). The number of hospitals has been relatively flat for the last 20 years. However, due to the growing cost pressures and increasing paperwork, there has been a general consolidation of hospitals into chains, and independent physician providers into hospitals or group practices. (Emmanuel 2014)

### Overall Hospital Landscape (information from (AHA 2014))

Total Number of All U.S. Registered * Hospitals	5,627
Total Number of U.S. Community ** Hospitals	4,926
Total Number of Nongovernment Not-for-Profit Community Hospitals	2,870
Total Number of Investor-Owned (For-Profit) Community Hospitals	1,053
Total Number of State and Local Government Community Hospitals	1,003
Total Number of Federal Government Hospitals	213
Total Number of Nonfederal Psychiatric Hospitals	403

Hospitals range from small community hospitals to the New York-Presbyterian Hospital/Weill Cornell Medical Center with 2,259 beds (Becker 2011), or the University of Pittsburgh Medical Center Presbyterian with \$12B in revenue in 2013. (Becker 2013).

Hospital chains tend to be less than 10 hospitals, with less than 10 chains having more than 10 hospitals (Becker 2015). The largest two have almost 200 hospitals (Community Health Systems with 188 and Hospital Corporation of America with 166). The largest systems by revenue are Kaiser Permanente and the Veterans Health Administration with revenue or budget of slightly over \$50B each.

## Medical Devices Manufacturers

The medical device development landscape is diverse, composed of many markets of intermediate size (many being above \$10B in size, with high single digit to double digit growth rates). Some examples are, with projected market sizes in 2020, are:

### Types of Medical Devices and Projected Market Share (Emmanuel 2014)

<i>Medical Device Type</i>	<i>Projected Market Share</i>
In-vitro diagnostics (IVD)	\$75B
Endoscopy	\$33B
Interventional Cardiology	\$27B
Infection control	\$17B
Minimally invasive surgery	\$14B
Defibrillators	\$13B
Dental Implants	\$10B
Infusion pump	\$ 7B
Magnetic Resonance	\$ 7B
Digital Xray	\$ 5B

As described in Healthcare Systems Engineering, this is the area of the healthcare sector that is most closely aligned with classic product-focused businesses.

## Healthcare IT

There is a large uncertainty in what constitutes Healthcare IT. The most visible segment is the Electronic Medical Record (EMR) or Electronic Health Record (EHR), but there is also large markets in billing management, clinical decision support, image management, etc. But there is a divergence of market sizes with estimates around \$60B [Bain, FierceIT] and some around \$104B [Markets and Markets, MedGadget, and PRNewswire].

An EHR installation at a hospital is similar to an Oracle database installation at a company, where much of the cost is customizing the database and workflows to the institution's policies and workflows, and in training the users to the new system and standardized practices which come with IT and automation.

### The top 10 Healthcare IT solution providers in 2015 (information from (Healthcare Informatic 2015))

<i>Company</i>	<i>2015 Revenue</i>
Optum	\$5.2B
Cerner Corp.	\$3.4B
McKesson	\$3.1B
Dell	\$2.9B
Cognizant	\$2.7B
Philips	\$2.7B
Xerox	\$2.4B
Siemens	\$2.0B
Epic Systems Corp.	\$1.8B
GE Healthcare	\$1.5B

## Public Health Systems

The World Health Organization (WHO) defines public health as “all organized measures … to prevent disease, promote health, and prolong life among the population as a whole. Its activities aim to provide conditions in which people can be healthy and focus on entire populations, not on individual patients or diseases. Thus, public health is concerned with the total system and not only the eradication of a particular disease.” (WHO 2016) Governments at each level define exactly what “public health” will encompass, but typically there are three areas: epidemiology, provision of health services, and workplace and environmental safety and policy. Epidemiology is the study and control health-related events, including disease. Various methods can be used to carry out epidemiological investigations: surveillance and descriptive studies can be used to study distribution; analytical studies are used to study determinants.” (WHO 2016, “Health topics: Epidemiology”). Health services may include services such as preventive vaccinations, disease screening, or well-baby or well-child programs. Environmental safety can include developing policies for automobile or workplace safety, monitoring the quality of drinking water, or even conducting restaurant health inspections. In addition to these wide varieties of work, public health organizations are increasingly expected to be responsible for the health-related aspects of disaster and emergency response efforts.

In the US, the public health “system” is really a patchwork of independent healthcare departments. Each state or territory defines the scope and responsibilities of its own public health “department”, requiring information and cooperation from hospitals, private physicians, emergency personnel, laboratory networks, and sometimes public

health organizations from other states. (Gursky 2005)

## Conclusion

In addition to each group of stakeholders being complex in itself, these stakeholders then interact and work together - or sometimes contradict one another. This makes the landscape of the healthcare systems engineering space itself complex and highlights the need for systems thinking and systems approaches when attempting to address any health-related issues or challenges.

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None.

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# Systems Engineering in Healthcare Delivery

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The healthcare system is complex and adaptive and confronts significant challenges for which systems engineering tools are useful and necessary. The President's Council of Advisors on Science and Technology (PCAST) prepared a report concluding that healthcare improvement could be accelerated with the use of systems engineering. (PCAST 2014) They noted that they key incentives are wrong (fee for service vs. fee for outcomes), and key enablers are missing (access to useful data, lack accepted systems techniques and people trained in systems engineering)

This article provides an overview of healthcare delivery with some historical context, and describes some different approaches to systems engineering which have been found helpful in addressing healthcare delivery problems.

## Human Centered Design

Healthcare delivery is not a product but a service and that makes it different than typical hardware or software design that may be seen in aerospace, defense, or even medical devices. There are three primary factors for these differences. First, quality in services can be difficult to measure objectively. Second, in this service system, care providers are continually making risk, cost, and quality of care decisions at the time of service. Each patient is unique and multiple pathologies and value streams are possible based upon any given patient's needs. Those needs are complemented by a care team that is unique and complex and includes the patients themselves, family support, medical professionals, hospitals, and even the industry in which it resides. Third, if returning to or maintaining wellness is considered to be the core value for a healthcare delivery system, then the patient's behaviors both within and outside any designed care plan has a significant role to play, because roughly half of all healthcare cost is derived from preventable disease. (Conover 2012)

## Structure of the Healthcare Delivery Industry

The healthcare industry is large, diverse, and fragmented and this causes considerable complexity. This complexity is experienced both at the macro and micro levels.

At the macro level the healthcare industry is highly fragmented with over 50% of all healthcare workers employed in companies with less than 500 employees. (Griffith & White 2007) Nearly 1 million physicians practice medicine in the US; roughly half of these are in primary care and the rest are in over 30 specialties and many more subspecialties and clinics. In addition to physicians, some 5 million others in some 50 other specialties provide care to patients.

At the micro level, the complexity and pace of change make care difficult. Healthcare is a rapidly developing field with over 700,000 publications produced annually and the pace in fact is increasing. (Smith et al. 2013). That there are already 14,400 codes in the World Health Organization's *International Statistical Classification of Diseases and Related Health Problems* (ICD) complicates the issue. Add to this the regulatory and administrative burden of

primary care providers interacting with approximately 200 specialists in any given year and the complexity that care providers face on a daily basis becomes clear.

In short, the healthcare delivery system is itself a complex adaptive system and represents a *wicked\_problem\_*, whereby any changes to the system intended to solve an issue will likely create other issues.

## Improving Ongoing Operations

As mentioned, above caregivers are faced with many challenges and the goal of in systems engineering in healthcare delivery is to lessen that burden in a systematic way without significant disruption of current operations. To do this successfully requires several factors:

- First, as stated above, systems engineers have to acknowledge that they are dealing with a complex adaptive system that includes many wicked problems. An analogy is that what systems engineers experience in healthcare is like rewiring a house with the power turned on because whatever changes are made are to an existing system that must operate while the changes are being made.
- Second, "the system" in place is difficult to define. The "healthcare system" is actually a combination of many open systems and interdependencies with the system of interest may be unknown.
- Third, patient safety is always a concern and any actions that could affect patient safety must be very carefully considered. Often, "optimizing" a system may introduce a potential risk to patient safety. These system aspects are always in tension.
- Fourth, there is a bias towards the current (known) system versus a change leading to an unknown system. Any change will create a certain amount of disruption to an operational system that may be currently operating at or beyond capacity.
- Fifth, healthcare delivery systems are combinations of patients, providers, process, and products and therefore uncertainty is a daily reality. This level of uncertainty may not be amenable to typical agile approaches of 4-6 week sprints nor traditional waterfall methods.
- Sixth, local factors could play a significant role; therefore no two sites may perform an operation in exactly the same way.
- Seventh, the entire industry acts as a complex adaptive system with multiple intelligent agents working sometimes in partnership and sometimes in conflict with the goals of the system or patient.

Because of these factors and others the tradition of healthcare systems engineering has been to use adaptable human-centered methods. (Checkland 1999)

## History of Healthcare Improvement Research

There have been many attempts to understand and improve healthcare both in the public and private domains. Examples include the National Healthcare Service Change Model, the efforts of the Agency for Healthcare Research and Quality, and the Institute for Healthcare Improvement. Here we outline some representative efforts.

Healthcare improvement has been shaped in part by four seminal works by the Institute of Medicine (IOM). *To Err is Human* reported that up to 98,000 patients were killed by healthcare each year. (Kohn, Corrigan, & Donaldson 2000) This put an emphasis on safety as a key quality of care metric. The following year the Institute of Medicine (IOM) broadened the concept of quality beyond safety to include six measures of quality. They determined that healthcare should be safe, effective, patient centered, timely, efficient, and equitable. (Institute of Medicine 2001) This report called Crossing the Quality Chasm included an appendix that documented poor quality and the severity of the issues of under use, over use, and potential for harm in medicine. A search for the underlying reasons for poor quality led to three primary reasons for poor quality. The three reasons were the growing complexity of science and technology; the increase in chronic conditions; and the failure to exploit information technology.

To address these concerns the IOM partnered with the National Academy of Engineering (NAE) to see what could be done from a systems engineering perspective to address the real challenges facing the industry in Building a Better Delivery System. (Compton et al. 2005). That was followed by the realization that standard systems engineering needed to be modified and healthcare was and would remain a human centered endeavor as stated in Best Care at Lower Cost (Smith et al. 2013)

## Three Approaches

Although there are many accepted approaches to healthcare systems engineering and improvement, here we outline three that share common characteristics and are representative of most of the other methods.

The first approach is Lean Six Sigma which is a combination of two methods. Lean has its roots in the Toyota Production System (Ohno 1988) and the work of the International Motor Vehicle Program (Womack, Jones, & Roos 1990). Six-Sigma has its roots at Motorola and the work of Bill Smith. These two methods were combined by Michael L. George (see (George 2002) and (George 2003)). It includes techniques like value stream mapping, waste elimination, root cause analysis, and voice of customer. For additional information see Lean Engineering and Lean in Healthcare.

The second approach is based on industrial engineering, which has its roots in the work of Frederick Taylor and others. This approach includes tools such as discrete event simulation, ergonomics, production control, and operations research as shown in Figure 1. For additional information, see Systems Engineering and Industrial Engineering.

**Insert Table ES-1 from Building a Better Delivery System here once we obtain the proper permissions.**

The third approach is healthcare systems engineering. Traditional systems engineering uses a functional decomposition approach; see for example (Defense Systems Management College 2001). However, healthcare problems are often classified as wicked and complex and not amenable to traditional decomposition methods found in other areas of engineering. (Rouse & Serban 2014).

There are many tailored approaches to improving healthcare delivery, but almost all are based on one of these three approaches, or a combination of these.

## Healthcare Systems Engineering

The basic systems engineering steps are similar to those for any industry specific applications, but the steps are tailored for healthcare. The traditional waterfall model of requirements, design, implementation, verification, and maintenance is interrupted in favor of almost continuous support. In many cases the closeout and transfer of the project to operational staff is more challenging in healthcare than in many industries.

Below is outlined a general methodology used by the US Department of Veteran's Affairs (VA) that may suit a wide variety of situations and programs, composed of 4 pillars: Define the Problem, Investigate Alternatives, Develop the Solution, and Launch and Assess the Solution. These 4 pillars are similar to classic mistake avoidance, development fundamentals, risk management, and schedule oriented approaches. (McConnell 1996); they are also similar to the Plan/Do/Check/Act methodology.

### Define the Problem

As mentioned above, the patient is augmented by a care team consisting of family, friends, clinical staff, and many other support staff the patient will not directly encounter. This care team may not be familiar with the rigors of traditional engineering design. Because of this, a systems engineer may use a paired partnership model where engineers are embedded with clinical and administrative staff, family, and the patients themselves. In this concept, everyone is a designer and our goal is to provide them with the tools to contribute to the system design process. Even at this early stage, configuration management would be considered. Depending on the size of the rollout one alpha

site and several beta sites may be used at any phase to avoid local optimal solutions that don't work globally.

## Investigate Alternatives

During the proof-of-concept phase, visualizing the result is important for the reasons mentioned above. Therefore, one or more initial prototypes may be developed with the alpha site. The goal is to get to a minimally viable product as soon as possible to demonstrate the viability of the product or methodology. After the initial conversations and meetings, participants have a need to have a common understanding of how the system will work. The systems engineer would embrace the concept of operations with rich pictures, model based systems engineering, story boards, customer journey maps and other tools so that we all have a common understanding of the proposed system.

## Develop the Solution

Using what has been learned from the minimally viable product feedback and incorporate that into the future state optimization, one would continue developing the prototype at the initial paired partner alpha site and then the trusted beta demonstration sites. In our case, stakeholders are a part of the development team and not an ancillary function. For this reason, demonstration is considered a key element of the communication plan when developing the solution.

## Launch the Solution and Access the Performance

During evaluation and deployment phase, a systems engineer would have considered the future state optimization with corresponding alpha and beta sites. Live implementation would then be used for further testing and evaluation. At any phase feedback is encouraged and reflected in the next iteration of the solution. As mentioned previously abandonment and closeout even during the live phase may not be practical and in fact could be disadvantageous because not all possible needed configurations or situations would have been encountered.

## Example Systems Engineering Tools

Below is a list of systems engineering tools which could be used at each of the four steps.

### 1. Define the Problem

1. Establish the scope and context of the problem (define boundary conditions)
2. Stakeholder identification and management
3. Lifecycle mapping
4. Value Stream Process Mapping
5. SWOT analysis (Operational Deficiencies and Technological Opportunities)
6. Workflow/Usability/Use Case analysis
7. Observation Research
8. Root Cause Analysis (Fishbone diagrams, 5 whys, ...)

### 2. Investigate Alternatives

1. Requirements management
2. SE Evaluation Methods (Decision Trees, Quality Function Deployment (QFD))
3. Trade-off Analysis
4. Model-Based Systems Engineering (MBSE)
5. Technical Risk Management

### 3. Develop the Solution

1. Concept Development
2. Architecting the solution (functional analysis, subsystem decomposition, interface definition and control, modeling)
3. Define the implementation

4. Process Redesign Techniques (including Lean Six Sigma)
  5. Active Integration
  6. Agile / Lean Development Principles (iterative development)
4. Launch and Assess the Solution
    1. Managing Change in Organizations
    2. Stakeholder Management, Change Management Techniques
    3. Spiral, Agile, and Lean Startup Delivery Practices (Minimal Viable Product delivery)
    4. Business Risk Management
    5. Metrics and benchmarking

During all phases, elements of cognitive & organizational psychology, industrial engineering, usability engineering, systems engineering, and other facets may be critical to implement a solution. Humans are *the* major part of the system and even the system of systems approach in healthcare.

## Conclusion

Systems Engineering for Healthcare delivery shares many aspects with traditional SE, but differs significantly since healthcare delivery is a service (not a product) and due to the domain specific challenges. In particular, problem definition is a particularly 'wicked' problem, and measuring successful outcomes in a clear and objective fashion is challenging.

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## Additional References

None.

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# Systems Biology

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Systems biology is the computational and mathematical modelling of complex biological systems. Systems biology is a biology-based inter-disciplinary field of study that focuses on complex interactions within biological systems, using a holistic approach to biological research. From year 2000 onwards, the concept has been used in the biosciences in a variety of contexts. For example, the Human Genome Project is an example of applied systems thinking in biology which has led to new, collaborative ways of working on problems in the biological field of genetics. One of the outreaching aims of systems biology is to model and discover emergent properties of cells, tissues and organisms functioning as a system whose theoretical description is only possible using techniques which fall under the remit of systems biology. These typically involve metabolic networks or cell signalling networks. (Wikipedia Contributors 2016)

## Systems Biology: A Vision for Engineering and Medicine

### Organisms and Hosts Interact in Communities of Life

There is an increasing appreciation that microbes are an essential part of the ecologically-important traits of their host. Organisms do not live in isolation, but have evolved, and continue to evolve, in the context of complex communities and specific environmental conditions. Evolutionary biologists are increasingly able to integrate information across many organisms, from multiple levels of organization and about entire systems to gain a new integrated understanding that incorporates more and more of the complexity that characterizes interdependent species associations. Only when we begin to understand the molecular base for adaptation and interactions of communities of life, can we start to comprehend how ecosystems are functioning.

### Addressing Different Levels of Organization of Organisms

Understanding the function of complex biological systems is one of the greatest challenges facing science. The rewards of success will range from better medicines to new engineering materials. The sequencing of the human genome, although of fundamental importance, does not even provide a complete parts list of the protein molecules that exist in a biological organism because of complexities of downstream processing and complex folding required to make a functioning receptor or enzyme from a long chain of amino acids. Furthermore, protein molecules do not

function alone but exist in complex assemblies and pathways that form the building blocks of organelles, cells, tissues, organs, organ systems and organisms, including man. The functioning of brain or muscle, liver or kidney, let alone a whole person, is much greater than the sum of its parts.

**Figure 1 - Levels of Structural Organization of the Human Body (source - [https://cnx.org/contents/Xh\\_25wmA@7/Structural-Organization-of-the#fig-ch01\\_02\\_01](https://cnx.org/contents/Xh_25wmA@7/Structural-Organization-of-the#fig-ch01_02_01))"**

### **Internalizing the Complexity – Pushes the Boundary of Systems Thinking Capability**

To tackle this problem (understanding biological systems) requires an iterative application of biomedical knowledge and experiment with mathematical, computational and engineering techniques to build and test complex mathematical models. Systems and control engineering concepts, a modular approach and vastly increased computing capacity are of critical importance. The models, once developed and validated, can be used to study a vastly greater range of situations and interventions than would be possible by applying classical reductionist experimental methods that usually involve changes in a small number of variables. This new approach is now termed "Systems Biology". It allows insight into the large amount of data from molecular biology and genomic research, integrated with an understanding of physiology, to model the complex function of cells, organs and whole organisms, bringing with it the potential to improve our knowledge of health and disease. Systems Biology will inevitably become an approach that pervades scientific research, in much the same way that molecular biology has come to underpin the biological sciences. It will transform the vast quantities of biological information currently available into applications for engineering and medicine.

### **Natural Patterns and Engineered Patterns Can Be a Source of Inspiration - in Both Directions**

Biological organisms are much more complicated than any machine designed by man. However, there are similarities between the way in which organs and whole organisms are assembled from molecules and cells and the design methods used by engineers in the construction of complex systems. The application of such methods to biology will, however, require novel engineering tools to be developed since biological systems possess key features that artificial ones do not. Specifically, biological systems have an exceptional capacity for self-organization and assembly, using rules and mechanisms that have been shaped by natural selection. Biological systems also have significant capacity for continuing self-maintenance through turnover and renewal of component parts. Perhaps the property that distinguishes biological systems most is their ability to auto-adapt their organization to changing circumstances through altered gene expression, or more directly, through signal transduction and modification of proteins. This adaptation culminates at higher levels of organization as evidenced by phenomena such as the development of resistance to antibiotic therapy or tolerance to recreational drugs. The mechanisms by which component parts interact are often highly stochastic in nature; that is, susceptible to the play of chance, which becomes particularly important when only a few components are being considered. Nevertheless, biological systems are robust.

### **Advancements in Methods for Predicting “What If” in the Behavior of Complex Adaptive Systems**

Advances in engineering design and techniques carry a significant potential in driving the progress of Systems Biology. Interventions to biological systems intended to improve health, whether environmental, pharmacological or clinical, need to be carefully thought through and carried out to maximize benefit and reduce harm. The refinement of techniques and tools enables devices and systems to achieve a defined performance within precise tolerance limits, potentially allowing better interventions to complex biological systems. They will be increasingly necessary to permit more reliable system-wide predictions of the effects of biomedical advances and to achieve desired clinical results to a predefined tolerance, or at least to have a quantitative bound on the biological uncertainty.

## Transdisciplinary Approaches are Needed to Address the Complex Bio-system Problems

Research in the field of Systems Biology requires close interactions and collaborations between many disciplines that have traditionally operated separately such as medicine, biology, engineering, computer science, chemistry, physics and mathematics. Systems Biology demands a focus on the problem as a whole and therefore a combination of skills, knowledge and expertise that embraces multiple disciplines. The success of leaders in the field of Systems Biology will depend strongly on the extent to which they accomplish the creation of the environment that researchers need to develop an understanding of different working cultures, and manage also to implement strategies that integrate these cultures into shared working practices.

## Systems Biology: Relevance to Healthcare

### Complex Diseases Demand Systemic Approaches

Over the past few decades, pharmaceutical R&D has focused on creating potent drugs directed at single targets. This approach was very successful in the past when biomedical knowledge as well as cures and treatments could focus on relatively simple causality. Nowadays, the medical conditions that affect a significant proportion of the population in industrialized countries are more complex, not least because of their multifactorial nature. The sequencing of the human genome has led to a considerable increase in the number of potential targets that can be considered in drug discovery and promises to shed light on the etiology of such conditions. Yet, the knowledge of the physiological properties and the role that these targets play in disease development is still limited.

### Diminishing Returns in the Single Target Approach to Disease

In terms of drug targets, there is a case that much of 'the low hanging fruit' was picked in the period between the late 1940s and the mid-1980s. The decline in output of new molecular entities and medicines recorded over the last 20 years, despite the steadily growing R&D expenditure and significant increase in sales, bears testimony to the fact that advances with new targets are more difficult and that R&D projects have become much more prone to failure. A basic problem is that the many factors that predispose to, and cause, complex diseases are poorly understood let alone the way in which they interact. The very fact that there are multiple drivers for these conditions suggests that a reductionist approach focusing on individual entities in isolation is no longer appropriate and may even be misleading. It is therefore necessary to consider 'novel' drugs designed to act upon multiple targets in the context of the functional networks that underlie the development of complex diseases. Many of the new developments are likely to turn into effective medicines when combinations of drugs are used to exert a moderate effect at each of several points in a biological control system. Indeed, many common diseases such as hypertension and diabetes are already treated with a combination of two or three medicines hitting different targets in the control network that underlies the condition. Investigating the possible combinations by trial and error in man is onerous but feasible with two components. However, it quickly becomes extremely complicated with three components and well-nigh impossible with four or more. Systems Biology, promises to assist in the development of more specific compounds and in the identification of optimal drug targets on the basis of their importance as key 'nodes' within an overall network, rather than on the basis of their properties as isolated components.

### Individualized Medicine, Tuned to the Individual and Their Circumstances

Increasingly powerful drugs will be aimed at a decreasing percentage of people and eventually at single individuals. Modelling can be used to integrate *in vivo* information across species. Coupled with *in vitro* and *in silico* data, it can predict pharmacokinetic and pharmacodynamics behavior in humans and potentially link chemical structure and physicochemical properties of the compound with drug behavior *in vivo*. Large-scale integrated models of disease, such as diabetes and obesity, are being developed for the simulation of the clinical effects resulting from manipulations of one or more drug targets. These models will facilitate the selection of the most appropriate targets

and help in planning clinical trials. Coupling this approach with pertinent genomic information holds the promise of identifying patients likely to benefit most from or to be harmed by, a particular therapy as well as helping in the stratification of patients in clinical trials. Symptoms that diagnose a disease do not necessarily equate to a common cause.

Systems Biology is arguably the only research approach that has the potential to disentangle the multiple factors that contribute to the pathogenesis of many common diseases. For example, hypertension, diabetes, obesity and rheumatoid arthritis are known to be polygenic in origin although individual genes may not have been identified. Ultimately, the prevention of these conditions rests upon a comprehensive approach that engages with each of the more important predisposing factors, genetic and environmental, that operate upon individuals. A systems approach is already proving valuable in the study of complex scientific subjects and the research aimed at the prevention and management of medical conditions. Illustrative examples are neuroscience, cancer, ageing and infectious diseases.

## A Healthcare Paradigm Reinforcing the Causes of Health and Not Just the Treatment of Disease

Notwithstanding the hugely important role that Systems Biology plays in understanding disease and designing drugs that treat them, the greatest opportunities may lie in health maintenance and disease prevention. Even modest measures that could retard the effect of ageing on brain, heart, bones, joints and skin would have a large impact on the quality of life and future healthcare demands of older people and consequently on the provision of health services. Young people are vulnerable too. Multifactorial diseases such as diabetes, obesity, allergies and autoimmune conditions are becoming prevalent in younger people and unless effective measures are taken to prevent an early and significant decline in their health, healthcare demand will increase exponentially. It is apparent that multiple and diverse factors interact in determining health, quality of life and ageing. These include genetic makeup, microbiota, diet, physical activity, stress, smoke and alcohol, therapeutic and social drugs, housing, pollution, education, and only a systems approach will permit the understanding of how best to prevent and delay health decline.

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## Lean in Healthcare

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Lean Thinking, or Lean for short, originated in Toyota factories in the 1960s, was “transplanted” to the U.S. in 1992 with the publication of Womack and Jones' *Lean Thinking: Banish Waste and Create Wealth in Your Corporation* (2003), and evolved globally to practically all work domains: healthcare, engineering and systems engineering, science, administration, supply chain, government, banking, aviation, and many others (Oppenheim 2011). Lean has proven itself as the most effective methodology for improving operations identifying and eliminating waste from work processes. (E.g. Womack and Jones 2003; Oppenheim 2011; Graban 2012; Toussaint and Gerard 2010; and Oehmen 2012) Since 2003, Lean has established itself in healthcare operations.

### Overview of Lean in Healthcare

Entire medical organizations (e.g., Theda Care, WI; Jefferson Healthcare, WA; Virginia Mason, WA; Geisinger Health (now called ProvenCare), PA; St. Elizabeth, Tilburg, The Netherlands, and numerous others (e.g. Graban 2012; Toussaint and Gerard 2010)) have been transformed with Lean. These sources contain rich data on specific improvements. Most leading healthcare institutions now have Lean centers of excellence or use Lean consultants, including Kaiser Permanente, Mayo Clinic, UCLA, Veterans Administration, and others. Lean has proven itself in reducing turnaround time of clinical tests, the time spent by patients in emergency departments, operating suites, pharmacies and clinics. Lean improvements in healthcare on the order of 30-50% are routine because traditional healthcare operations are burdened with this much waste, which remains “unseen” by the employees unless they are trained in Lean. Lean is now an established paradigm for improving healthcare delivery operations: increasing quality of healthcare, delivering care faster, shortening patient time in the system, increasing the time of medical professionals with the patient, reducing bureaucracy, increasing capacity of operations, and reducing healthcare costs and frustrations. (Graban 2012; Toussaint and Gerard 2010)

Lean does not mean that people have to work faster or "attach roller blades to move around faster". In Lean, systems employees work at their regular ergonomic and intellectual speeds. The time savings come from finding and eliminating idle states (e.g., waiting in numerous queues in the emergency departments), reduction of mistakes and rework, elimination of non-value adding tasks, and more streamlined movements of patients, staff, equipment, and supplies. And, most emphatically, Lean does not mean “mean layoffs”. Quite the opposite is true: Lean improves human relations at work and changes the culture from the traditional “blaming and shaming” to teamwork and cooperation focused on the good of the patient. (Graban 2012 (in particular see the endorsements from eight medical professionals on pages ii and iii) and (Toussaint and Gerard 2010)

With the endorsement of *Lean for Systems Engineering with Lean Enablers for Systems Engineering in the Wiley Series*, (Oppenheim 2011) the International Council on Systems Engineering (INCOSE) has effectively adopted Lean as one of its essential competencies. This book was followed with a major joint Project Management Institute (PMI)-INCOSE-MIT publication of (Oehmen 2012) integrating Lean with Systems Engineering and Program Management. Indeed, when applied with Systems Engineering and Systems Thinking, Lean becomes a powerful weapon in bending the healthcare cost curve and improving the quality of care.

Three concepts are critical to the understanding of Lean: value, waste, and the process of creating value without waste, which has been captured into the so-called Six Lean Principles, as follows.

- **Value:** M. Porter (2010) suggested that patients value three levels of care: (1) survival and the degree of recovery; (2) the time required to get back to normal activities, and (3) the sustainability (individual and social cost) of treatments.
- **Waste:** Table 1 lists the eight categories of waste used in healthcare. (Graban 2012; Toussaint 2010)

**Table 1. Eight Waste Categories Used in Lean Healthcare (SEBoK Original).**

Waste Type	Healthcare Examples
1. Waiting	Patients wait in numerous queues in clinics, test facilities, ERs, pharmacies, and for insurance approvals; MDs wait for next activity to occur (e.g. test results, information, approvals.)
2. Over-processing	Performing work that is not valued or needed, e.g. MDs and RNs spending time on computer filling out bureaucratic forms that nobody will review.
3. Over-production	Performing more work than needed for value. Transport of a patient in a wheelchair performed by expensive medical professionals because of the lack of transporters.
4. Inventory	Excess inventory costs. Expired supplies that must be thrown away.
5. Transportation of Patients	Transportation of patients over long distances to test offices in hospitals. Poor layout of hospitals, EDs, or test facilities.
6. Motion of Staff	Staff walking over long distances to fetch supplies, and between patients and central hospital stations.
7. Defects	Treatment of hospital infections. Failed and repeated tests, repeated paperwork. Surgical cart missing an item. Wrong medicine.
8. Waste of Human Potential	Burnout of medical staff. Frustrated employees quit making suggestions for improvements.

Table 2 lists the six Lean Principles (Graban 2012) and provides healthcare examples.

**Table 2. Six Lean Principles (SEBoK Original)**

Principle Name	Explanation
1. Value	Specify value from the perspective of the customer: the patient.
2. Value Stream	Identify all the value-added steps across the entire process, crossing all departmental boundaries, linking the steps into a seamless process, and eliminating all steps that do not create value.
3. Flow	Keep the processes flowing smoothly through all the steps, eliminating all causes of delay, such as batches of patients or items, and quality problems.
4. Pull	Avoid pushing work onto the next step or department; let work and supplied be pulled, as needed, when needed.
5. Perfection	Pursue perfection through continuous improvement, Kaizen events, implement best work standards, checklists, training, and promote improvement teams and employee suggestions.
6. Respect People	Create work environment based on synergy of cooperation, teamwork, great communication and coordination. Institute leadership. Abandon the culture of blaming and shaming.

## Lean Practices

Lean healthcare strongly promotes engaging and leading employees. Lean places a big value on continuous education and training of employees at all levels. Lean management promotes standardization of best practices (“the best known way of doing it”, but not necessarily “identical”), checklists, redundancies, patient safety and privacy rules, and patient data security and cybersecurity. Lean advocates visual management, with electronic or “black” boards updated in real time and displaying all information important for the local employees to manage their operation efficiently. Patient safety is still a significant problem in the U.S., in 1999 causing almost 250,000 deaths (Institute of Medicine, 1999) and medical errors occur in one of three admissions. Instead of “blaming and shaming” Lean promotes error and harm prevention and deep root-cause analysis, implementing processes and tools that make it impossible to create an error.

## Systems Thinking and Lean

Healthcare is the most complex socio-technological system in our society, consuming nearly 20% of the U.S. GDP. Healthcare should be safe, effective and evidence based (Berwick 2011), as well as affordable and accessible, efficient, patient centered, timely, well integrated, and inclusive of latest science. (Oppenheim 2015) Healthcare has many stakeholders: the patients, medical professionals, medical facilities, hospitals, clinics, labs, medical equipment makers and users, pharmaceuticals, healthcare researchers and academia, insurances, employers, federal & state governments and international disease prevention centers, military and veteran’s administration, fire departments and ambulances and others. The number of potential interactions (interfaces) in this hyper-system is extensive, and many interfaces are nonlinear, “wicked” (interacting with unpredictable humans), often creating unintended consequences and emergent behaviors. Because of these vast complexities, healthcare leaders (e.g. Kanter 2015) point out the need for intensive application of systems thinking and Lean when addressing these challenges. Attempting to solve the complex healthcare problems without systems thinking risks myopic and unsafe attempts which create more problems than they solve. Attempting to solve the challenges without Lean inevitably promotes excessive wastes, costs, and inefficiencies. Good healthcare needs both, Systems Thinking and Lean, to be applied simultaneously.

## Lean and Agile in Six Healthcare Value Streams

The Healthcare Working Group of INCOSE identified six following value streams for HSE: A. Systems Engineering for medical devices B. Systems Engineering for healthcare informatics and medical records C. Healthcare delivery (operations) D. Biomedicine and big data analytics E. Pharmaceutical value streams F. Healthcare public policy

As described above, Lean is extraordinarily effective and well established in improving healthcare delivery operations (C). Agile is highly effective in (B) because this value stream works with software, the domain from which Agile originated. Since the stream (A) is the most similar to traditional systems engineering, Agile is expected to be effective therein, although Agile is not yet highly popular in healthcare outside of the software domain. Elements of Lean improvements which are localized and weakly convoluted (e.g., Kaizen events) have strong overlap with Agile/Scrum methodology. (Medinilla 2014)

## MBSE and Lean

A highly powerful Model Based Systems Engineering (MBSE) is clearly the tool of choice for those applications where the benefit from multiple use of a standardized (reference) architecture and standard model compensates for the significant effort of creating such a model or architecture. (OMG 2016) In healthcare the value streams (A), (B), (E) and potentially F are the most conducive to the application of MBSE. Lean thinking is applicable to any healthcare operation without limitation. The Lean improvements always begin with the so-called Gemba waste walks, during which experts together with local process stakeholders walk along all the process steps, interviewing stakeholders and identifying and measuring the wastes wherever they occur. The rich menu of Lean thinking

processes and tools is then applied to eliminate the wastes. Training and active participation of local stakeholders is always required.

## Examples of Lean Improvements

### 1. In Jefferson Healthcare, WA: (Murman 2010)

- In Acute Myocardial Infarction (a severe heart attack) time is critical as the greatest loss of heart muscle is in the first two hours. Recommended treatment is catheter insertion of balloon within 90 min of the contact with the patient (wherever the patient happens to be located). The Lean approach has reduced the treatment time from 165 min to 20-60 min at the patient site, vastly increasing patient survival rate.
- The five Jefferson Healthcare clinics increased the cumulative available clinic hours from 1400 to 5600 in two years of Lean improvements which were focused on reorganizing medical staff schedules and eliminating wasted times, with no staff additions. The available clinic hours directly translate into billable visits: 1175 additional patients have been seen in 2009 compared to 2008 across the five clinics.
- The Operating Room daily “on time start” of actual operations went from 14% to 96% using Lean tools for process planning and workplace organization.
- Harder to measure is the culture change, although the staff participation at Lean improvement events was at 50%.

### 2. In Kaiser Permanente Southern California: (Oppenheim 2015)

- In nine regional clinical laboratories Lean improvements cut the turnaround time for laboratory results by between 30 and 70%, with significant corresponding reductions of cost, rework, errors and work morale, and without hiring new staff or adding equipment.
  - In two Emergency Departments (ED) the average patient length of stay was reduced by 40% by the elimination of various idle states. The ED capacity increased accordingly.
  - The amount and cost of inventory of supplies on hand was reduced by nearly 30% by introducing the Just-in-Time tools of Lean.
3. In Alegent Health, NE (Graban 2012) the turnaround time for clinical laboratory results was reduced by 60% in 2004 without adding new staff or equipment; and by another 33% from 2008 to 2010.
  4. In Kingston General Hospital, Ontario (Oehmen) the instrument decontamination and sterilization cycle time was reduced by 54% while improving productivity by 16%.
  5. In Allegheny Hospital, PA the central-line associated bloodstream infections were reduced by 76%, reducing patient death from such infections by 95% and saving \$1 million.
  6. In UPMC St. Margaret Hospital, PA (Graban 2012) the readmission rates for chronic obstructive pulmonary disease (COPD) patients were reduced by 48%.
  7. In ThedaCare, WI [3] the waiting time for orthopedic surgery was reduced from 14 weeks to 31 hours (from first call to surgery); improved inpatient satisfaction scores of “very satisfied” rose from 68% to 90%.
  8. In Avera McKennan, SD [3] the patient length of stay was reduced by 29%, and \$1.25 million in new ED construction was avoided.
  9. In Denver Health, CO [3] the bottom-line Lean benefit was increased by \$54 million through cost reduction and revenue growth, and layoffs were avoided.
  10. In Seattle Children’s Hospital, WA \$180 million in capital spending was avoided through Lean improvements.

These examples demonstrate that Lean is successful in cost and throughput time reductions, and improvements in quality and patient and staff satisfaction. The improvements of this level are possible, even routine – because the amount of initially-invisible waste in traditional healthcare organizations is so high. The broad range of operations described in the examples manifest that Lean is applicable across the board to healthcare operations, without limitations.

## Education in Lean Healthcare

Increasingly, Lean Healthcare becomes an inherent part of Healthcare Systems Engineering (HSE) Master's Programs, e.g. (Loyola Marymount University 2016) which has been developed in collaboration with Kaiser Permanente. The program includes two courses in Lean, basic and advanced, focused on improving operations in clinics, hospitals, emergency departments, clinical laboratories, radiology testing, operating rooms, pharmacies, supply chain, and healthcare administration. After the basic courses in systems engineering, project management, and systems thinking, the students also take courses on healthcare system architecting, modeling and simulations; medical data mining and analytics; systems engineering for medical devices, healthcare enterprise informatics; and healthcare delivery systems. All these advanced courses contain elements of Lean thinking because all these subdomains risk being burdened with waste and poor quality if Lean is ignored. Simply put, Lean is not really an optional extra if you want to achieve efficiency and effectiveness.

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None.

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None.

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# Part 5: Enabling Systems Engineering

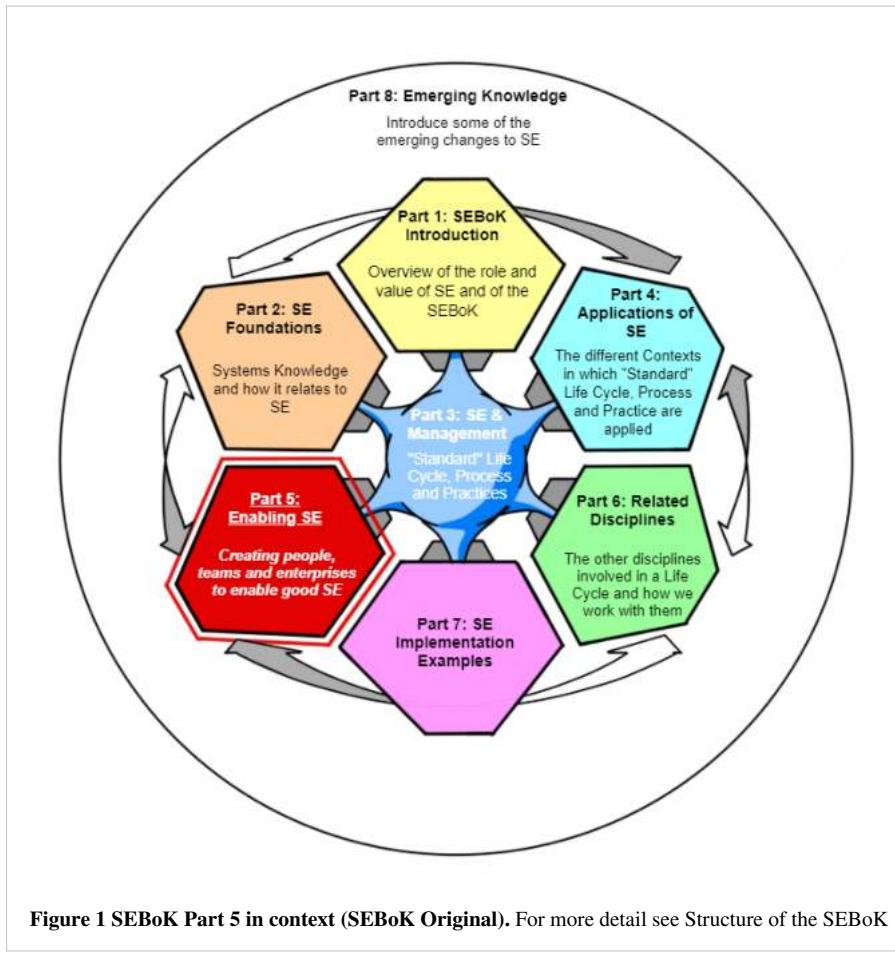
## Enabling Systems Engineering

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Part 5 of the Guide to the SE Body of Knowledge (SEBoK) is a guide to knowledge about how an enterprise prepares and positions itself to effectively perform the systems engineering (SE) activities described elsewhere in the SEBoK.

SE activities — how to develop requirements, select an appropriate life cycle model, and architect a system of systems, and so on — are covered elsewhere, especially in Part 3, Systems Engineering and Management. An organization that desires to do these things effectively must work through questions like whether to allow a project manager to select the systems engineers he or she employs, and, if so, what competencies the project manager might seek in those systems engineers. These are the kinds of questions that Part 5 explores.

The discussion defines three levels of organization: enterprise or organization, team, and individual. To adapt an example to a more complex organizational structure, simply decompose enterprises into sub-enterprises and teams into sub-teams, as needed. For more about the different types of enterprises, see Types of Systems in Part 2.



## Knowledge Areas in Part 5

Each part of the SEBoK is composed of knowledge areas (KA). Each KA groups topics around a theme related to the overall subject of the part.

The KAs in Part 5 explore how to the performance of systems engineering from three different lenses:

- Enabling Businesses and Enterprises
- Enabling Teams
- Enabling Individuals

## Common Practices

There are as many different ways to enable SE performance as there are organizations, and every organization's approach is detailed and unique. Nevertheless, common practices, methods, and considerations do exist. Part 5 uses them as a framework to structure the relevant knowledge.

SE activities that support business needs and deliver value are enabled by many factors, including:

- Culture (see Culture),
- SE competencies (see Determining Needed Systems Engineering Capabilities in Businesses and Enterprises) and how the organization grows and deploys its workforce to acquire them, and
- SE tooling and infrastructure (see Systems Engineering and Management in Part 3).

## Enterprises and Businesses

The fact that Part 5 uses two terms, "Enterprise" and "Business," to name a single level of organization, indicates that the two are closely related. In many contexts it is not necessary to make any distinction between them: an enterprise may be a traditional business, and a business can be seen as a special type of enterprise. For the sake of brevity, the more general term "organization" may be used to mean "business or enterprise" throughout Part 5.

Traditional businesses usually have a legal structure and a relatively centralized control structure. Such a business may be a corporation, or a unit of a company or government agency, that creates a product line or offers services.

On the other hand, an enterprise can be structured in a way that excludes description as a business. This happens when an enterprise crosses traditional business boundaries, lacks a centralized legal authority, and has relatively loose governance. One example is the healthcare "system" in the US which encompasses hospitals, insurance companies, medical equipment manufacturers, pharmaceutical companies, and government regulators. Another is the set of companies that form the supply chain for a manufacturer, such as the thousands of companies whose parts and services Apple uses to create, distribute, and support the iPhone.

Significant actions that enable SE are often conducted by traditional businesses rather than by less tightly structured enterprises. Even so, organizational context affects how the business approaches SE and therefore how it enables SE performance. A business that sells to the general commercial marketplace typically has far fewer constraints on its SE practices than one which performs contract work for a government agency. A business that creates systems with very demanding characteristics, such as aircraft, typically has a much more rigorous and planned approach to SE than one which creates less demanding systems, such as a smartphone app.

Traditional businesses are intended to be permanent, and typically offer a portfolio of products and services, introduce new ones, retire old ones, and otherwise seek to grow the value of the business. Sometimes a single product or service has such value and longevity that it spawns a business or enterprise just for its creation, maintenance, and support. The Eurofighter Typhoon aircraft, for example, was developed by a consortium of three corporations that formed a holding company specifically to provide support and upgrade services throughout the in-service life of the aircraft.

For more on the distinction between businesses and enterprises and the value of systems engineering of enterprises to them, see Enterprise Systems Engineering in Part 4. Systems of Systems (SoS), also in Part 4, contrasts the tighter control over SE that is usual for businesses with the looser control that is usual for enterprises lacking a traditional business structure. Groupings of Systems in Part 2 discusses the Directed SoS to which the traditional business may be equivalent.

## Teams

Teams operate within the context of the businesses in which they reside. This context determines how the team is enabled to perform SE.

For example, a business may grant a team wide autonomy on key technical decisions, which are made either by team systems engineers or in consultation with team systems engineers. On the other hand, the same business could instead create a generic set of SE processes that all teams are to tailor and use, constraining the team to adhere to established business policies, practices, and culture. The business could even require that the team gain approval for its tailored SE process from a higher-level technical authority.

Teams are usually formed for a limited duration to accomplish a specific purpose, such as creating a new system or upgrading an existing service or product. Once the purpose has been fulfilled, the team responsible for that effort is usually disbanded and the individuals associated with the effort are assigned to new tasks. Exceptions do happen, however. For example, a team of systems engineers tasked with assisting troubled programs throughout a corporation could persist indefinitely.

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None.

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None.

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# Knowledge Area: Enabling Businesses and Enterprises

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## Enabling Businesses and Enterprises

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Part 5 on Enabling Systems Engineering explores how systems engineering (SE) is enabled at three levels of an organization: the business or enterprise (hereafter usually just called "business" --- See Enabling Systems Engineering for more information), the team, and individuals.

The **Enabling Businesses and Enterprises** Knowledge Area describes the knowledge needed to enable SE at the top level of the organization. Part 3, Systems Engineering and Management, describes how to perform SE once it has been enabled using the techniques described in Part 5. Moreover, a business is itself a system and can benefit from being viewed that way. (See Enterprise Systems Engineering in Part 4.)

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Systems Engineering Organizational Strategy
- Determining Needed Systems Engineering Capabilities in Businesses and Enterprises
- Organizing Business and Enterprises to Perform Systems Engineering
- Assessing Systems Engineering Performance of Business and Enterprises
- Developing Systems Engineering Capabilities within Businesses and Enterprises
- Culture

### Relationship Among Topics

- Systems Engineering Organizational Strategy describes how SE delivers value to the business, who makes decisions about SE in the business, how those decisions are made, how resources are allocated, and how the soundness and performance of those decisions are monitored.
- Determining Needed Systems Engineering Capabilities in Businesses and Enterprises describes how a business decides what specific SE capabilities are needed; e.g., a business that creates cutting edge products would likely require very strong architecting capabilities, including modeling tools. A business that has a global development team would likely need a very robust collaboration toolset.
- Organizing Business and Enterprises to Perform Systems Engineering describes various organizational models; e.g., which SE functions should be centralized, which should be distributed, how much SE every engineer should know.
- Assessing Systems Engineering Performance of Business and Enterprises describes how a business understands how well it is doing with respect to the SE actually being performed using the techniques described in Systems Engineering and Management.
- Developing Systems Engineering Capabilities within Businesses and Enterprises describes how SE talent that delivers the desired SE capabilities is grown and acquired

- Finally, Culture describes how the culture of a business affects SE; e.g., a risk-averse business will likely use plan-driven SE processes; an entrepreneurial, fast-paced business will likely use agile SE processes (See Life Cycle Models).

To some extent, these topics have the character of a "plan-do-check-act" cycle, where the "do" part of the cycle is performing SE using the techniques described in Part 3, Systems Engineering and Management (Deming Part 3). For example, if assessing the business' SE performance shows shortfalls, then additional SE capabilities may need to be developed, the organization may need to be adjusted, processes may need to be improved, etc., all working within the existing cultural norms. If those norms prevent the business from successfully performing SE, then transformational efforts to change the culture may be needed as well.

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# Systems Engineering Organizational Strategy

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Virtually every significant business or enterprise that creates products or services benefits from performing a wide variety of systems engineering (SE) activities to increase the value that those products and services deliver to its owners, customers, employees, regulators, and other stakeholders. (See Stakeholder Needs and Requirements.)

A business is a specific type of enterprise, usually a legal entity with a management structure that allows for relatively tight control of its components, including how it enables SE. The term business is often used in this article in lieu of enterprise because specific actions to enable SE are typically done by businesses. This is discussed further in the parent article Enabling Systems Engineering. The strategy for organizing to conduct SE activities is important to their effectiveness. For example, every enterprise has a purpose, context, and scope determined by some of its stakeholders and modified over time to increase the value the enterprise offers to them.

Some enterprises are for-profit businesses. Others are not-for-profit businesses that work for the public good. Still others are non-traditional businesses, but more loosely structured entities without legal structure, such as a national healthcare system. Some enterprises are located at a single site, while some others are far-flung global "empires". Some work in highly regulated industries such as medical equipment, while others work with little government oversight and can follow a much wider range of business practices. All these variations shape the strategy for performing SE.

## Primary Considerations

SE organizational strategy is driven by the goals of the business and the resources and constraints available to achieve those goals. SE strategy in particular is influenced by several considerations:

- The purpose of the business
- The value the business offers its stakeholders; e.g., profits, public safety, entertainment, or convenience
- The characteristics of the system which the SE activities support; e.g., the size, complexity, primary design factors, major components, required products, critical specialties, or areas of life cycle
- The phases of the life cycle in which the SE activities are being performed; e.g., development, deployment, operations, or maintenance of a product or service
- The scale of the business, the systems and services of interest; e.g., is it a single site company or a global venture? Is the business creating a relatively modest product for internal use, such as a new Web application to track employee training, or a new hybrid automobile complete with concerns for engineering, manufacturing, servicing, and distribution?
- The culture of the business in which the SE activities are performed; e.g., is the business risk-averse? Do people normally collaborate or work in isolated organizations?
- The business structure and how well the current structure aligns with what is needed to create new products and services; e.g., does the structure of the business align with the architecture of its major products and services?
- The degree of change or transformation that the business is undertaking in its operation, products, and markets

Rouse (2006) offers a thorough look at enterprise strategy, especially as it relates to delivering value to the enterprise in various phases of the life cycle, beginning with research and development through operations. Rouse provides a

number of techniques to determine and improve the value offered to enterprises using SE methods, especially useful when an enterprise is undergoing significant transformation rather than conducting "business as usual"; e.g., the enterprise could be trying to:

- do current business better (drive down costs or improve quality of its current products and services);
- cope with a disruption in the market, a competitive threat, or changing customer expectations and ways of doing business;
- reposition itself in its value chain (move from being a part supplier to a subassembly supplier); or
- launch a new generation product or enter a new market.

Eisner (2008) provides a thorough look at different SE organizational approaches.

## Systems Engineering Strategy Elements

Based on the primary considerations, the SE strategy generally addresses the following:

- How SE activities provide value to the business (See Economic Value of Systems Engineering)
- How SE activities are allocated among the various business entities (See Organizing Business and Enterprises to Perform Systems Engineering)
- What competencies are expected from the parts of the business in order to perform these SE activities (See Deciding on Desired Systems Engineering Capabilities within Businesses and Enterprises)
- How parts of the business gain and improve competencies (See Developing Systems Engineering Capabilities within Businesses and Enterprises)
- Who performs SE activities within each part of the business (See Team Capability)
- How people who perform SE activities interact with others in the business ((See Part 6: Related Disciplines)
- How SE activities enable the business to address transformation (See Enterprise Systems Engineering).

Depending on the business' approach to SE, there may not be a single coherent SE strategy common across the business. Different business units may have their own SE strategies, or development of a strategy may be delegated to individual projects. The SE strategy may not even be explicitly documented or may only be found in multiple documents across the business. Some businesses publish guidebooks and policies that describe their organizational strategy. These are usually proprietary unless the business is a government or quasi-government agency. Two public documents are NASA (2007) and MITRE (2012). The latter has a number of short articles on different topics including an article on Stakeholder Assessment and Management and another on Formulation of Organizational Transformation Strategies.

## Product and Service Development Models

There are three basic product and service development models that most businesses employ:

1. Market-driven commercial
2. Product-line
3. Contract

The biggest differences between the three business models are where requirements risks lie and how user needs and usage are fed into the design and delivery process. SE support to the business varies in each case.

**Market-driven commercial** products and services are sold to many customers and are typically developed by organizations at their own risk. The requirements come from marketing based on understanding the market, relevant regulation and legislation, and good ideas from within the organization (Pugh 1991, Smith and Reinertsen 1997). Sillitto (1999) contends that market-driven commercial product development is a form of systems engineering with adapted techniques for requirements elicitation and validation.

**Product-line** products and services are variants of the same product and service, usually customized for each customer. Extra investment is required to create the underlying product platform. Architecting such a platform in a

way that supports cost-effective customization is usually more complex both technically and organizationally than market-driven commercial products and services.

Systems engineers typically play a central role in establishing the platform architecture, understanding the implications of platform choices on manufacturing and service, etc. There are a number of examples of good practices in product-line products and services; e.g., automobile models from virtually all major manufacturers such as Toyota, General Motors, and Hyundai; Boeing and Airbus aircraft such as the B-737 family and the Airbus 320 family; and Nokia and Motorola cellphones. The Software Engineering Institute has done extensive research on product lines for software systems and has developed a framework for constructing and analyzing them (Northrop et.al. 2007). For a reference on product line principles and methods, see Simpson (et al. 2006).

**Contract** products and services often demand tailor-made system/service solutions which are typically specified by a single customer to whom the solution is provided. The supplier responds with proposed solutions. This style of development is common in defense, space, transport, energy, and civil infrastructure. Customers that acquire many systems often have a specific procurement organization with precise rules and controls on the acquisition process, and mandated technical and process standards. The supplier typically has much less flexibility in SE process, tools, and practices in this model than the other two.

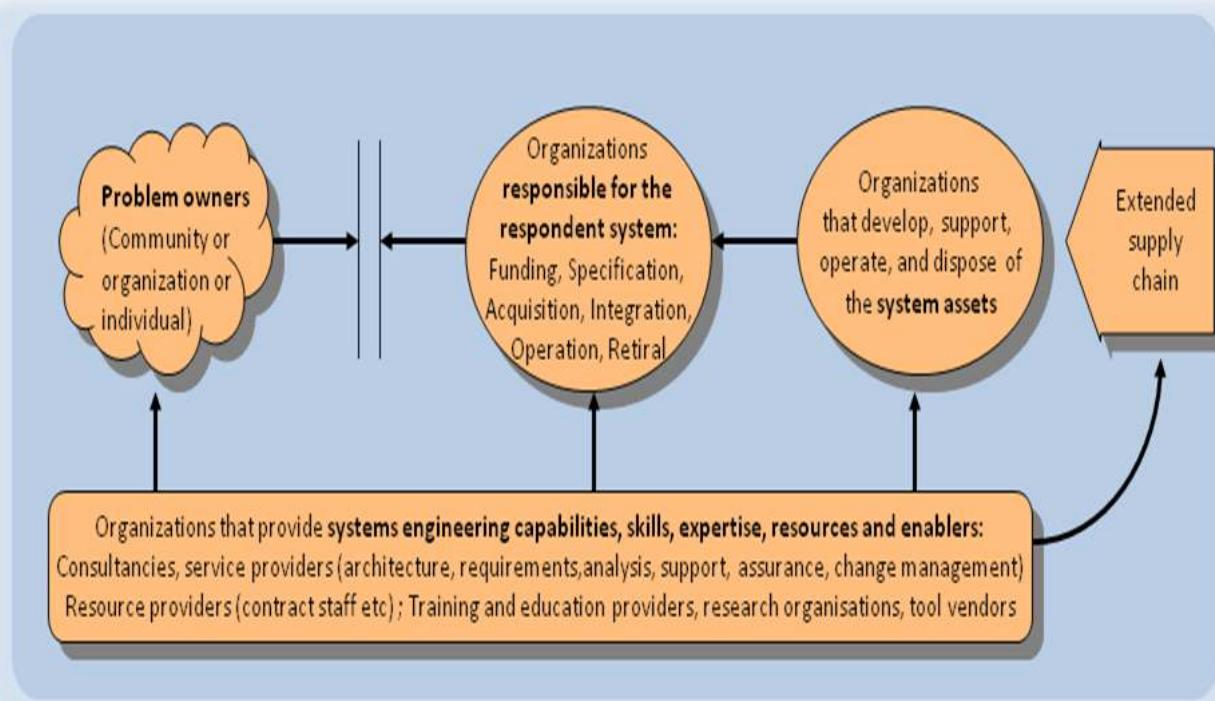
Any single business or enterprise is likely to apply some combination of these three models with varying importance given to one or more of them.

## Organizations That Use and Provide SE

There are five basic types of organizations that use SE or provide SE services:

1. A business with multiple project teams
2. A project that spans multiple businesses
3. An SE team within either of the above
4. A business with a single project team
5. An SE service supplier that offers a specific SE capability or service (tools, training, lifecycle process) to multiple clients, either as an external consultancy or as an internal SE function

The kind of business determines the scope and diversity of SE across the organization. This is shown in abstract form in Figure 1, which illustrates the fundamental form of an extended enterprise. This also shows how organizational structure tends to match system structure.



**Figure 1. Organization Coupling Diagram.** (SEBoK Original (Adapted from Lawson 2010))

The *problem owners* are the people, communities, or organizations involved in and affected by the *problem situation*. They may be seeking to defend a country, to improve transportation links in a community, or to deal with an environmental challenge. The *respondent system* might be a new fighter aircraft, a new or improved transportation infrastructure, or a new low-emission electricity generation systems (respectively). The organizations responsible for the respondent systems would be the Air Force, transport operator or regulator, or electricity supply company. The prime role of these organizations would be to operate the systems of interest to deliver value to the problem owners. They might reasonably be expected to manage the entire system lifecycle.

This same concept is expanded in Figure 2.

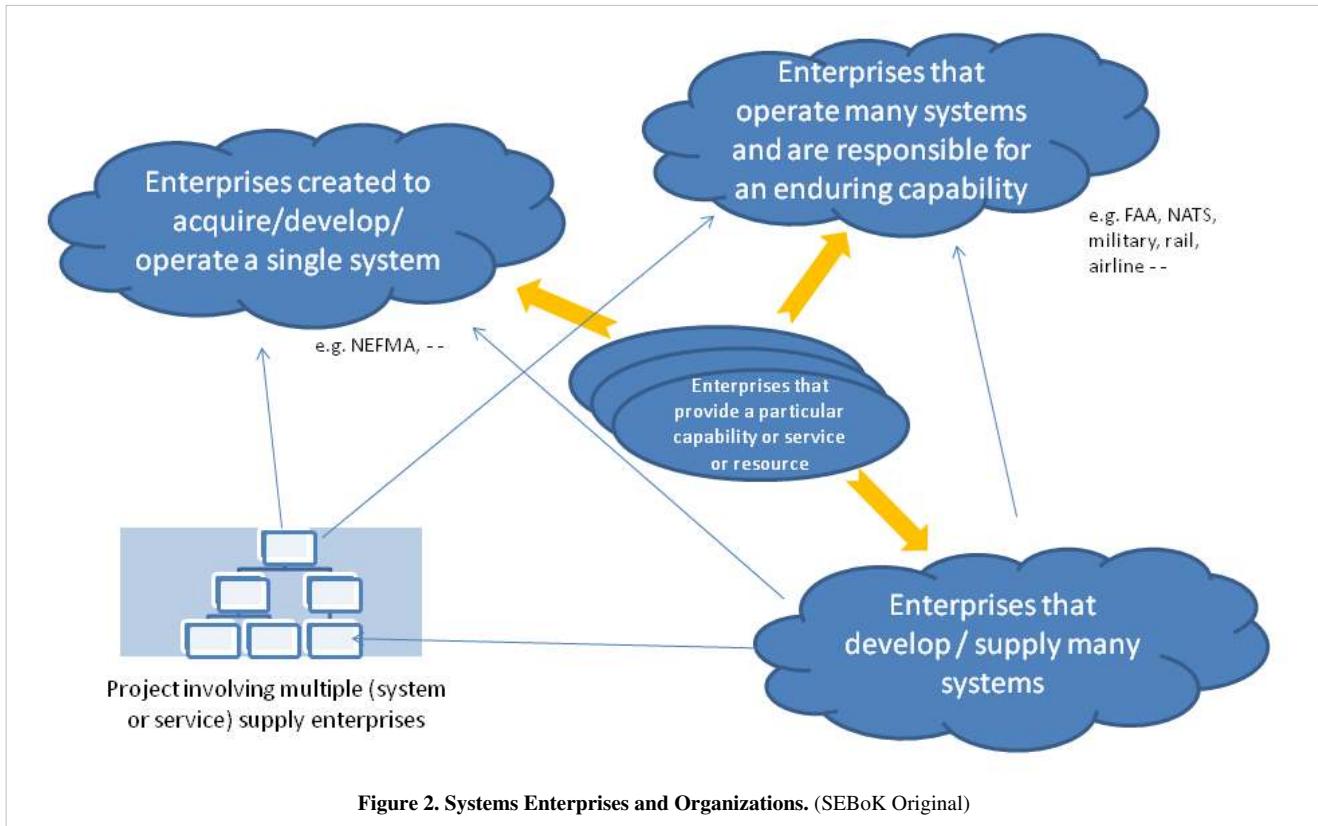


Figure 2. Systems Enterprises and Organizations. (SEBoK Original)

## Goals, Measures, and Alignment in a Business

The alignment of goals and measures within the business strongly affects the effectiveness of SE and the benefit delivered by SE to the business, and needs to be carefully understood:

- Blockley and Godfrey (2000) describe techniques used successfully to deliver a major infrastructure contract on time and within budget, in an industry normally plagued by adversarial behavior.
- Lean thinking provides a powerful technique for aligning purpose to customer value – provided the enterprise boundary is chosen correctly and considers the whole value stream (Womack and Jones 2003; Oppenheim et al. 2010).
- Fassler and Brettner (2002, 18-19) see an organization as a system, and advocate three principles for organizational design: (1) increasing value for the ultimate customer, (2) strict discipline, and (3) simplicity.
- EIA 632 (ANSI/EIA 2003) advocates managing all the aspects required for the life cycle success of each element of the system as an integrated “building block”. Similarly, Blockley (2010) suggests that taking a holistic view of “*a system as a process*” allows a more coherent and more successful approach to organization and system design, considering each element both as part of a bigger system-of-interest and as a “whole system” (a “holon”) in its own right.
- Elliott et al. (2007) advocate six guiding principles for making systems that work: (1) debate, define, revise and pursue the purpose, (2) think holistically, (3) follow a systematic procedure, (4) be creative, (5) take account of the people, and (6) manage the project and the relationships.
- For organizations new to SE, the INCOSE UK Chapter has published a range of one-page guides on the subject, including Farncombe and Woodcock (2009a; 2009b).

## Governance

SE governance is the process and practice through which a business puts in place the decision rights that enable SE to deliver as much business value as possible. Those rights may be codified in policy, implemented through the business structure, enforced through tools, and understood through measures of compliance and effectiveness.

SE governance in large businesses is often explicit and codified in policy. In small businesses, it is often tacit and simply understood in how the business works. One of the key implementation steps when a business defines its SE strategy is to establish its SE governance model, which should be tailored to the particular context in which the business operates and delivers value. Of course, in practice, this is often incremental, uneven and subject to wide swings based on the current state of the business and the people occupying key management positions.

The term governance for development organizations was first popularized in reference to how Information Technology (IT) is overseen in businesses and enterprises (Weill and Ross 2006; Cantor and Sanders 2007). The recognition in the 1990s and the last decade that IT is a fundamental driver of performance and value for most corporations and government agencies led to the transformation of the Chief Information Officer (CIO) into a key senior manager.

Explicit governance of IT became important to enabling an enterprise to respond to new technology opportunities, emerging markets, new threats, and rapid delivery of new products and services. The term "governance" is now widely used to describe how SE is woven into an enterprise. Governance becomes especially challenging for complex projects in which there are high levels of uncertainty (Cantor 2006) or for system of systems projects in which responsibility for major decisions may be distributed over multiple organizations within an enterprise in which there is no single individual who is "in control" (see Systems of Systems (SoS)). Morgan and Liker (2006) describe the governance model for Toyota, which is one of the largest companies in the world.

SE governance establishes the framework and responsibility for managing issues such as design authority, funding and approvals, project initiation and termination, as well as the legal and regulatory framework in which the system will be developed and will operate. Governance includes the rationale and rules for why and how the enterprise policies, processes, methods and tools are tailored to the context. SE governance may also specify product and process measures, documentation standards, and technical reviews and audits.

The ways in which a team organizes to conduct SE activities either conform to policies established at the level above or are captured in that team's own governance policies, processes, and practices. These policies cover the organizational context and goals, the responsibilities for governance, process, practices and product at the level of interest, and the freedom delegated to and governance and reporting obligations imposed on lower organizational levels. It is good practice to capture the assignment of people and their roles and responsibilities in the form of the Responsible, Accountable, Consult, Inform (RACI) matrix (PMI 2013) or something similar. Responsibility in large organizations can easily become diffused. Sommerville et. al. (2009, 515-529) discuss the relationship between information and responsibility, and describe methods to analyze and model responsibility in complex organizations.

Small organizations tend to have relatively informal governance documentation and processes, while larger organizations tend towards more structure and rigor in their governance approach. Government organizations responsible for developing or acquiring large complex systems, such as the US Department of Defense or the US Federal Aviation Administration, usually develop policies that describe governance of their SE activities and SE organizations. See DoD (2012) for the Department of Defense SE policies.

Government contracting typically brings additional regulation and oversight, driving a group to greater rigor, documentation, and specific practices in their SE governance. Development of systems or operating services that affect public safety or security is subject to constraints similar to those seen in government contracting. Think of the creation of medical devices or the operation of emergency response systems, air traffic management, or the nuclear industry. (See Jackson (2010) for example).

Governance models vary widely. For example, Linux, the greatest success of the open source community, has a governance model that is dramatically different than those of traditional businesses. Smith (2009) offers a cogent explanation of how decisions are made on what goes into the Linux kernel. All of the decision rights are completely transparent, posted on the Linux website, and have proven remarkably effective as they have evolved. The classic paper *The Cathedral and The Bazaar* by Eric Raymond (2000) provides great insight into the evolution of Linux governance and how Linus Torvalds responded to changing context and circumstances to keep Linux so successful in the marketplace with a governance model that was radically novel for its time.

The project management literature also contributes to the understanding of SE governance (see Systems Engineering and Project Management). For example, Shenhar and Dvir (2007) offer the "diamond model" for project management, which identifies four dimensions that should guide how development projects are managed: novelty, technology, complexity, and pace. Application of this model to SE governance would influence the available life cycle models for development projects and how those models are applied.

There are numerous examples of projects that went well or badly based largely on the governance practiced by both the acquirer and the supplier organizations. Part 7 of the SEBoK has several examples, notably Singapore Water Management (went well) and FAA Advanced Automation System (AAS) (went less well).

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# Determining Needed Systems Engineering Capabilities in Businesses and Enterprises

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Enabling a business or enterprise to perform systems engineering (SE) well requires deciding which specific SE capabilities the business or enterprise needs in order to be successful. (In the rest of this article business or enterprise is usually abbreviated to just "business", because a business is a specific type of enterprise that has sufficiently strong central authority and motivation to take steps to enable SE). SE capabilities should support the Systems Engineering Organizational Strategy and reflect the nature of the business, its products and services, various stakeholders, business leadership focus, etc.

This topic, which is part of the Enabling Businesses and Enterprises knowledge area (KA) of Part 5, summarizes the factors used to decide which SE capabilities a business needs; e.g., the interactions between SE and other functional areas in the business, and consideration of social dynamics and leadership at the team and business levels. Needed capabilities may be decided and developed centrally by a business, or within teams and by individuals, or through some combination of the two. Determination of team SE capability is discussed in the article Team Capability, and individual SE competencies are discussed in the article Roles and Competencies.

## Relationship of this Topic to Enterprise Systems Engineering

Enterprise Systems Engineering and Capability Engineering techniques can be used to establish needed SE capabilities. At a high level of abstraction, the following are basic steps that could be used to decide the desired SE capabilities within the business:

1. understand the context;
2. determine the required SE roles;
3. determine the competencies and capabilities needed for each of the SE roles;
4. assess the ability and availability of the needed SE organizations, teams, and individuals;
5. adjust the required SE roles based on the actual ability and availability; and
6. organize the SE function to facilitate communication, coordination, and performance.

See the article Organizing Business and Enterprises to Perform Systems Engineering for additional information. More information on context and required SE roles is provided below.

## Contextual Drivers

The following discussion illustrates some of the contextual factors that influence the definition of the SE capability needed by a business.

## Where the SE Activities are Performed in the Value Chain

The SE approach adopted by the business should depend on what role the organization plays. Ring (2002) defines a value cycle, and where the business sits in that cycle is a key influence of SE capability need.

- **Problem owner:** focus on identifying and scoping the system problem (defining system-of-interest (SoI)) and understanding the nature of the appropriate respondent system using Enterprise Systems Engineering and Capability Engineering approaches.
- **System operator:** focus on establishing all the necessary components of capability to deliver the required services, as well as on integrating new system assets into the system operation as they become available (see

Service Systems Engineering). The definition of the components of capability varies by organization - e.g.,

- The US Department of Defense defines the components of capability as DOTMLPF: doctrine, organization, training, materiel, logistics, people, and facilities.
- The UK Ministry of Defense defines the components of capability as TEPIDOIL; i.e., training, equipment, people, information, doctrine, organization, infrastructure, and logistics.
- Other domains and organizations define the components of capability with similar, equivalent breakdowns which are either explicit or implicit.
- **Prime contractor or primary commercial developer:** focus on understanding customer needs and trading alternative solution approaches, then establishing a system team and supply chain to develop, deliver, support, and in some cases, operate the system solution. This may require enterprise SE (see Enterprise Systems Engineering) as well as "traditional" product SE (see Product Systems Engineering).
- **Subsystem/component developer:** focus on understanding the critical customer and system integrator issues for the subsystem or component of interest, defining the component or subsystem boundary, and integrating critical technologies. This may exploit re-usable elements and can be sold in identical or modified forms to several customers. (In Part 4 of the SEBoK, see Systems of Systems, Enterprise Systems Engineering, and Product Systems Engineering for more information and references to the literature.)
- **Specialist service provider:** focus on specific process capabilities and competences which are typically sold on a time and materials or work package basis to other businesses.

## Where the Enterprise Operates in the Lifecycle

The SE capabilities required by the business will depend on the system life cycle phase(s) in which it operates (see Life Cycle Models in Part 3).

- **Concept definition phase:** requires the SE capability to identify a "problem situation," define the context and potential concept of operations for a solution system, assess the feasibility of a range of possible solutions in broad terms, and refine the definition to allow the development of system requirements for the solution (see Concept Definition in Part 3).
- **System Definition phase:** requires the SE capability to influence concept studies (ensure feasible and understood by the development team), establish the trade space that remains at the end of the concept study, perform the system definition activities, including architecture design, and create a detailed definition of the system elements.
- **System realization phase:** requires the SE capability to configure the manufacturing and logistics systems for the system assets, and manufacture system assets (see System Realization in Part 3).
- **System deployment and use:** requires the SE capability to maintain business continuity during the transition to operation, bring the system into service, support system, monitor system performance, and respond to emerging needs (see System Deployment and Use). Elliott et al. (2008) describe the different emphases that should be placed in SE during the "in-service" phase. This phase particularly requires the business to be able to perform SE at an appropriate operational tempo.
- **Retirement phase:** requires the SE capability for ensuring the safe retirement of systems and keeping them in a state ready for re-activation ("mothballed"), safe disposal of the system assets.

## Nature of Responsibility to End Users and Society

Depending on the business model and the contracting environment, the business may find that its responsibility to end users is:

- **explicit**, or spelled out by clear requirements and prescriptive legislation; or
- **implicit**; i.e., a legal or ethical obligation to ensure “fitness for purpose” which may be enforced by commercial frameworks, national or international standards, and specific product liability legislation.

Typically, businesses whose business model is contract driven focus on satisfying explicit requirements, whereas market-driven businesses must be more aware of implicit responsibilities.

## Nature of Responsibility to Customers

The business may contract with its customers to deliver any of the following:

- **an outcome**: The intended benefits the system is expected to provide, requires enterprise systems engineering;
- **an output**: Deliver or operate the system or part of it against agreed acceptance criteria; requires product systems engineering;
- **an activity**: Perform a specified set of tasks, requires service systems engineering; and
- **a resource**: Provide a specified resource; requires focus on individual competencies - see Enabling Individuals.

## Scale of Systems

The business or enterprise may need very different SE approaches depending on the scale of the system at which the business operates. The following categories are based on Hitchins' five layered system model (Hitchins 2005):

- **Level 1: Subsystem and technical artifacts** – focus on product systems engineering and on technology integration.
- **Level 2: Project systems** – focus on product systems engineering with cross-discipline and human integration.
- **Level 3: Business systems** – focus on enterprise systems engineering , service systems engineering to implement them, and on service management (Chang 2010) and continuous improvement (SEI 2010b); see also Quality Management) for the day to day running of the business.
- **Level 4: Industry systems** – If there is a conscious effort to treat an entire industry as a system, the focus will be on Enterprise Systems Engineering, and on the long-term economic and environmental sustainability of the overall industry.
- **Level 5: Societal systems** – Enterprise systems engineering is used to analyze and attempt to optimize societal systems (see Singapore Water Management in Part 7).

Sillitto (2011) has proposed extending this model to cover sustainability issues by adding two additional layers, the “ecosystem” and the “geosystem”.

## Complexity of Systems Integration Tasks and Stupples' levels

*Creating Systems That Work – Principles of Engineering Systems for The 21st century* identifies three “kinds” of SE, originally proposed by Stupples (2006), that have to do with the level of cross-disciplinary integration involved (Elliot et al. 2007).

1. Within a discipline (e.g., software, hardware, optics, *or* mechanics), the SE focus is on taking a systems view of the architecture and implementation to manage complexity and scale within a single engineering discipline.
2. In multiple disciplines (e.g., software, hardware, optics, *and* mechanics), the SE focus is on holistic integration of multiple technologies and skills to achieve a balanced system solution.
3. In socio-technical systems integration, the SE focus is on getting people and the non-human parts of the system working synergistically.

Sillitto (2011) proposed extending this model properly to cover sustainability issues by adding one additional level, "Environmental Integration". He describes this level and show how the Stupple's levels relate to other dimensions used to categorize systems and professional engineering skills.

## Criticality of System and Certification Requirements

The level of rigor in the SE approach adopted by the business will depend on the criticality of various classes of requirement. (See Systems Engineering and Specialty Engineering.)

- Safety and security requirements often demand specific auditable processes and proof of staff competence.
- Ethical and environmental requirements may require an audit of the whole supply and value chain.
- Extremely demanding combinations of performance requirements will require more design iteration and more critical control of component characteristics; e.g., see Quality Management and *Management for Quality in High-Technology Enterprises* (Fasser and Brettner 2010).

## The Nature of a Contract or Agreement

The nature of the contractual relationship between a business and its customers and end users will influence the style of SE.

- Fixed price, cost plus, or other contracting models influence the mix of focus on performance and cost control and how the business is incentivized to handle risk and opportunity.
- In mandated work share arrangements, the architecture of the product system may be compromised or constrained by the architecture of a viable business system; this is often the case in multi-national projects and high-profile government procurements (Maier and Rechtin 2009, 361-373).
- In self-funded approaches, the priorities will be requirements elicitation approaches designed to discover the latent needs of consumers and business customers, as well as development approaches designed to achieve rapid time to market with a competitive offering, or to have a competitive offering of sufficient maturity available at the most critical time during a customer's selection process.
- In single phase or whole-life approaches, the business may be able to optimize trade-offs across the development, implementation, and in-service budgets, and between the different components of capability.

## The Nature and Predictability of Problem Domain(s)

Well-defined and slowly changing technologies, products, and services permit the use of traditional SE life cycle models based on the waterfall model because the requirements risk and change is expected to be low (see Life Cycle Models).

Poorly defined and rapidly changing problem domains, with operators subject to unpredictable and evolving threats, demand more flexible solutions and agile processes. SE should focus on modular architectures that allow rapid reconfiguration of systems and systems-of-systems, as well as rapid deployment of new technologies at a subsystem level to meet new demands and threats.

## Fundamental Risks and Design Drivers in the Solution Domain

When the solution domain is stable, with a low rate of technology evolution, and systems use mature technology, the focus is on optimum packaging and configuration of known and usually well-proven building blocks within known reference architectures, and on low-risk incremental improvement over time.

When there is rapid technology evolution, with pressure to bring new technologies rapidly to market and/or into operational use, the SE approach has to focus on technology maturation, proof of technology and integration readiness, and handling the technology risk in the transition from the lab to the proof of concept to the operational system.

There is usually a trade-off between lead time expectations and the level of integrity/certification. In the development of new systems, short lead times are seldom compatible with high levels of system integrity and rigorous certification.

## Competitive Situation and Business Goals

The business drivers for SE deployment may be one or more of the following:

- To perform existing business better;
- To recover from a competitive shock or a shift in clients' expectations;
- To develop a new generation product or service;
- To enter a new market; and/or
- To reposition the business or enterprise in the value chain.

In the first case, SE can be deployed incrementally in parts of the business process where early tangible benefits can be realized. This could be the early steps of a business-wide strategic plan for SE. (See Systems Engineering Organizational Strategy for more on setting SE strategy and Developing Systems Engineering Capabilities within Businesses and Enterprises for improving SE capabilities.)

In the other cases, the business is going through disruptive change and the early priority may be to use systems thinking (see Systems Thinking) and enterprise SE approaches to scope the transformation in the context of a major change initiative.

## Type of System or Service

There are three distinct flavors of products or service types (see Systems Engineering Organizational Strategy):

1. In a product or productized service, the focus will be on predicting how the market might change during the development period, eliciting, anticipating, and balancing requirements from a variety of potential customers, and optimizing features and product attractiveness against cost and reliability.
2. In a custom solution (product or service) the focus will be on feasible and low-risk (usually) approaches to meet the stated requirement within budget, using system elements and technologies that are known or expected to be available within the desired development timescale.
3. Tailored solutions based on standard product and/or service elements require a much more sophisticated SE process that is able to use a "product line approach" to blend standard modules with planned adaptation to meet clients' specific needs more quickly and cheaply than would be possible with a single contract solution. The business needs to manage the life cycle and configuration of the standard modules separately from, but coherently with, the life cycle and configuration of each tailored solution.

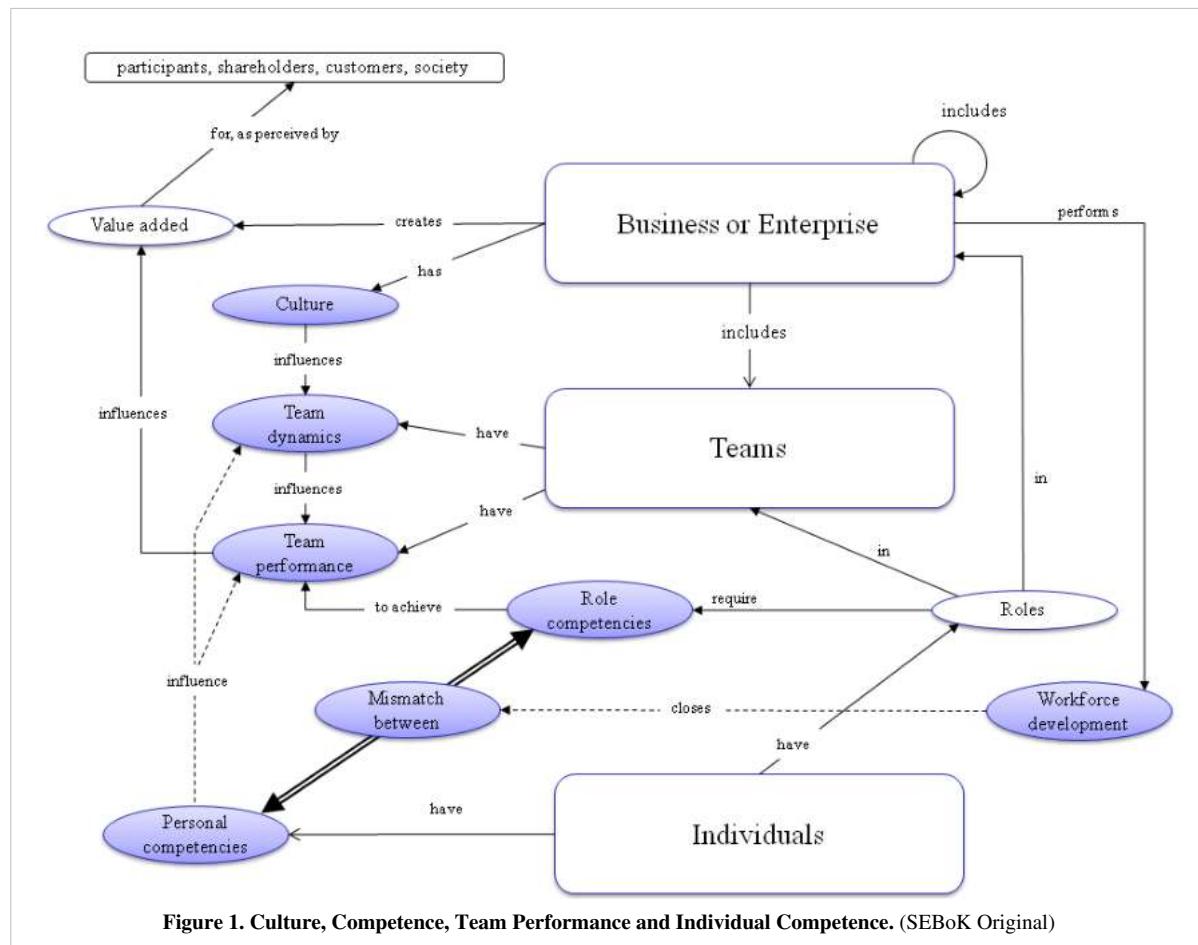
# **Needed Systems Engineering Roles**

After understanding the context for the business, the next step is to determine the SE capabilities required in the role in the business. The SEI Capability Maturity Models for acquisition, development, and services (SEI 2007; SEI 2010a; SEI 2010b) provide a framework for selecting SE capabilities relevant to different types of business. Existing SE competency models can be used to assist in determining the needed capabilities. An example is the INCOSE SE Competencies Framework (INCOSE 2010). (See Roles and Competencies for more information on competency models.)

The spread of SE focus can be a wide spectrum, from SE being focused in a specialist, interface or glue role (Sheard 1996), to the idea that “SE is good engineering with special areas of emphasis... including interfaces between disciplines” (Blanchard and Fabrycky 2005) and so it is shared by all. In any organization where activities and skills are shared, there is always a danger of silos or duplication.

As part of the role definition, the business must define where an individual doing SE fits into career progression (what roles before SE, what after?). Developing Individuals describes how individuals improve SE; the organization must define the means by which that development can be enacted. Businesses need to customize from a range of development strategies; see, for example, Davidz and Martin (2011).

As shown in Figure 1 below, management action on workforce development will be required if there are systemic mismatches between the competencies required to perform SE roles and the actual competencies of individuals. The organizational culture may have a positive or negative effect on team performance and the overall value added by the business (see Culture).



## Required SE Processes and Methods

The decisions on how to implement SE capability must be embedded in the businesses processes and its availability methodologies and toolsets. Embedding SE principles, processes, and methods in the organization's quality management system means that senior management and the quality system will help embed SE in the organizational business process and make sure it is applied (INCOSE 2012; ISO/IEC 2008; see Quality Management).

When defining the processes and tools, a balance between the need for a systematic and standardized approach to SE processes, such as that seen in INCOSE (2012), with the flexibility inherent in systemic thinking is critical. Systems thinking helps the organization understand problem situations, remove organizational barriers, and make the most of the organization's technical capabilities (see Beasley (2011)).

## Need for Clarity in the SE Approach and the Dangers of Implementing SE

Clarity on how the organization performs SE is important. Typically, implementing SE may be part of an organization's improvement, so Kotter's principles on creating a vision, communicating the vision, and empowering others to act on the vision are extremely relevant (Kotter 1995). The way an organization chooses to perform SE should be part of the vision of the organization and must be understood and accepted by all.

Many of the major obstacles in SE deployment are cultural (see Culture).

One of the lean enablers for SE is to "pursue perfection" (Oppenheim et al. 2010). The means of improvement at a business or enterprise level are discussed in detail elsewhere, but the starting point must be deciding what SE capabilities the organization wants. It needs to be recognized that the needed capabilities change over time (learning, improving, or losing capability). Thus, balancing SE with everything else that it involves is an ever-changing process.

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# Organizing Business and Enterprises to Perform Systems Engineering

**Lead Authors:** Richard Beasley, Art Pyster, Hillary Sillitto, **Contributing Authors:** Alice Squires, Heidi Davidz, Scott Jackson, Quong Wang

In order for a business or enterprise to perform systems engineering (SE) well, the team must decide which specific SE capabilities the business or enterprise needs in order to be successful and then organizing to deliver those capabilities. (In the rest of this article, business or enterprise is usually abbreviated to just "business", because a business is a specific type of enterprise that has sufficiently strong central authority and motivation to take steps to enable SE).

SE capabilities and organizational approach should support the Systems Engineering Organizational Strategy and reflect the nature of the business, its products and services, various stakeholders, business leadership focus, etc. This topic, which is part of Part 5, Enabling Businesses and Enterprises, summarizes the factors used to organize a business to perform SE.

## Components of Business and Enterprise SE Capability

### Organization Issues - Culture, Knowledge, Information, and Infrastructure

The way SE is managed is described in Systems Engineering Organizational Strategy, which both impacts and responds to the SE culture and approach.

### Knowledge and Information

Knowledge and Information are key assets in a business, and their management is critical. Fasser and Brettner (2002) discuss knowledge management extensively. They assert that "*We may think that knowledge transfer is just an information technology issue, but in actuality, it is also a psychological, cultural, and managerial issue – in short a human issue*" and "*Only information in action can create knowledge*".

Organizations need to manage SE know-how, integration of SE with other organizational processes and activities, and knowledge of their business domain. The INCOSE Intelligent Enterprise Working Group's work on knowledge management in an SE context led to the publication of a "*Concept of Operations for a Systems Engineering Educational Community*" (Ring et al. 2004).

Information has to be both shared and protected in complex organizations. Sharing is key to effective collaboration and is constrained by the need to protect intellectual property, as well as commercially and nationally sensitive material. Different cultures and personal styles use information in different ways and in different orders. (Levels of abstraction, big picture first or detail, principles first or practical examples, etc.) Sillitto (2011b) describes the knowledge management challenges for large, multi-national organizations.

Projects need to manage project information and establish configuration control over formal contractual information, as well as the information that defines the product/service being developed, supplied, or operated. A key role of systems engineers is to "language the project" (Ring et al. 2004). Good data management and tool support will allow people to document once, use many times, and ensures consistency of information over time and between different teams.

System information needs to be maintained throughout the life of the system and made available to relevant stakeholders – including those designing new systems that must interface to the system-of-interest - to allow system management, maintenance, reconfiguration, upgrade and disposal, and forensics after accidents and near-misses.

Elliott et al. (2008) suggest that information management is the dominant problem in SE in service systems, and that the cost and difficulty of establishing current state and legacy constraints before starting to implement a change is often underestimated.

"Infostructure" (information infrastructure) to support the system lifecycle will include the following:

- Information assets such as process libraries, document templates, preferred parts lists, component re-use libraries, as-specified and as-tested information about legacy systems, capitalized metrics for organizational performance on previous similar projects, all with appropriate configuration control
- Modeling and simulation tools, data sets and run-time environments
- Shared working environments – workspaces for co-located teams, areas for people to interact with each other to develop ideas and explore concepts, work areas suitable for analysis tasks, meeting rooms, access control provision, etc.
- IT facilities - computer file structures, software licenses, IT equipment, computer and wall displays to support collaborative working, printers, all with appropriate security provision and back-up facilities, procedures for efficient use, and acceptable performance and usability
- Security provisions to protect own, customer, supplier and third party IPR and enforce necessary protective working practices while allowing efficient access to information for those with a need to know

SE is a knowledge activity. Systems engineers need appropriate facilities for accessing, sharing and capturing knowledge, as well as for interacting effectively with the whole set of stakeholders. Warfield (2006) describes collaborative workspaces, environments and processes for developing a shared understanding of a problem situation.

## Enabling Infrastructure

The ISO/IEC 15288 (ISO 2008) Infrastructure Management Process provides the enabling infrastructure and services to support organization and project objectives throughout the life cycle. Infrastructure to support the system life cycle will often include the following:

- Integration and test environment – bench and lab facilities, facilities for development testing as well as acceptance testing at various levels of integration, calibration and configuration management of test environments
- Trials and validation environment – access to test ranges, test tracks, calibrated targets, support and storage for trials – equipment, harbor, airfield and road facilities, safe storage for fuel, ordinance, etc.
- Training and support infrastructure – training simulators, embedded training, tools and test equipment for operational support and maintenance, etc.

## People

The roles people fill are typically defined by the business/enterprise (see Determining Needed Systems Engineering Capabilities in Businesses and Enterprises), although those decisions may be pushed down to teams. Enabling Teams explains how people are used in teams; Enabling Individuals describes the development of an individual's SE competence.

The implementation of these roles needs further consideration. Sheard (1996) lists twelve system engineering roles. Sheard (2000) draws an important distinction between roles involved in the discovery phase, characterized by a high level of uncertainty, the program phase, which is more deterministic and defined, and the overall systems engineering approach. Kasser et al. (2009) identify five types of systems engineer distinguished by the need to work at increasing levels of abstraction, ambiguity, scope and innovation. Sillitto (2011a) discusses a number of SE roles and the characteristics required of them, in the context of the wider engineering and business professional landscape.

Systems engineering exists within an enterprise "ecosystem." Two key aspects to consider:

- How much should the business/enterprise nurture and value the systems engineer?

- How much should the business/enterprise pull value from systems engineers, rather than wait for systems engineers to "push" value on the business/enterprise?

## Process

Many SE organizations maintain a set of organizational standard processes which are integrated in their quality and business management system, adapted to their business, and with tailoring guidelines used to help projects apply the standard processes to their unique circumstances. Guidance on organizational process management is provided by such frameworks as the Capability Maturity Model Integration (CMMI) (SEI 2010), which has two process areas on organizational process: Organizational Process Development (OPD) is concerned with organizational definition and tailoring of the SE lifecycle processes (discussed in detail elsewhere in this document) and Organizational Process Focus (OPF), which is concerned with establishing a process culture in an organization.

To document, assess, and improve SE processes, businesses often establish a systems engineering process group. Members of such groups often create standard process assets and may mentor teams and business units on how to adopt those standard processes and assess how effective those processes are working. There is a large body of literature on SE process improvement based on various process improvement models. Two of the most popular are ISO/IEC 9000 (2000) and CMMI (SEI 2010). The Software Engineering Institute, which created the CMMI, offers many free technical reports and other documents on CMMI at <http://www.sei.cmu.edu/cmmi>.

Assessment and measuring process performance is covered in Assessing Systems Engineering Performance of Business and Enterprises.

## Tools and Methods

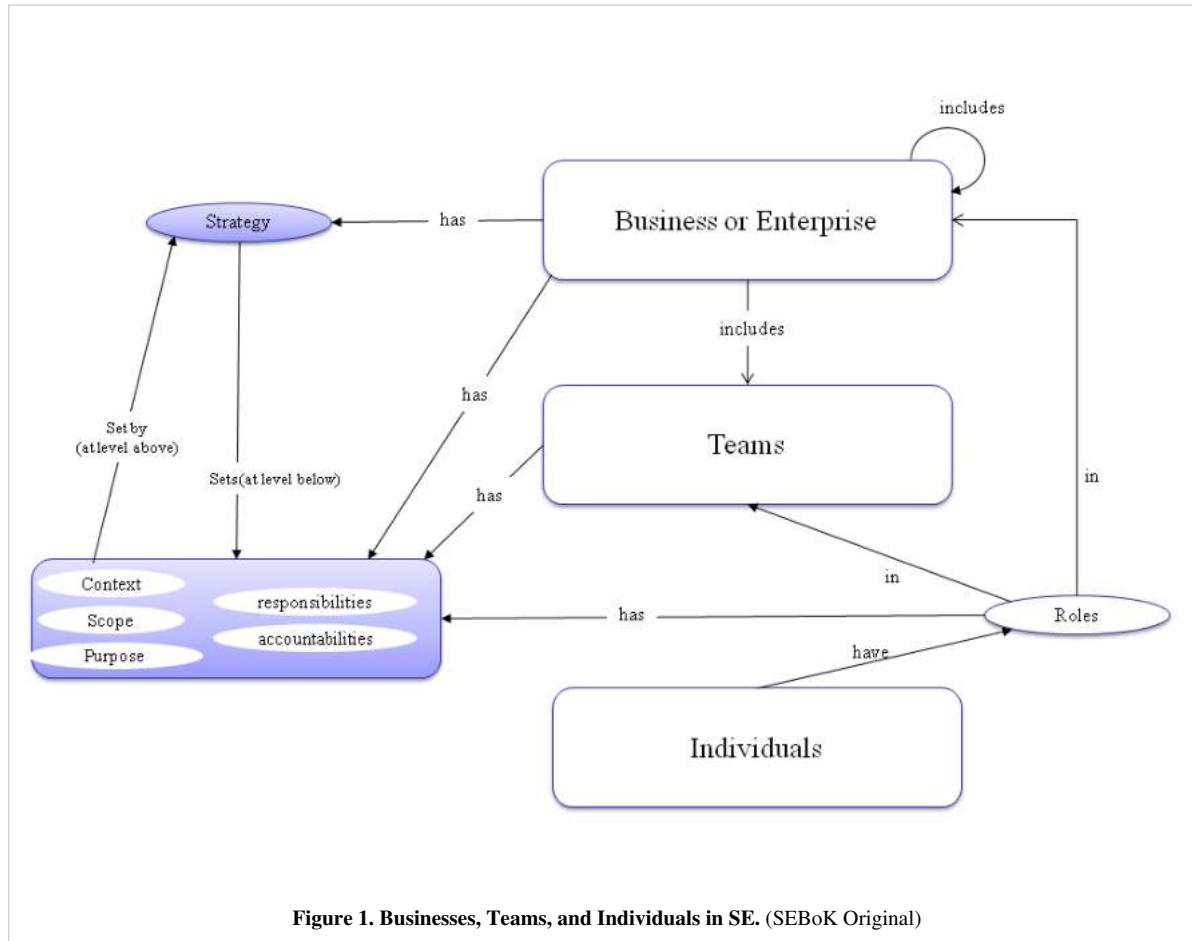
SE organizations often invest in SE tools and models, develop their own, and/or integrate off-the-shelf tools into their particular business/enterprise processes. Tools require great attention to culture and training; to developing a consistent "style" of use so that people can understand each others' work; and proper configuration and management of the information so that people are working on common and correct information.

It is important that methods are used as well as tools, particularly to support Systems Thinking.

It is common practice in large SE organizations to have a tool support infrastructure which ensures that tools support the organizational standard processes and are fully integrated with training, and that projects and teams can use the tools to do their job and are not distracted by tool management issues that are more efficiently handled centrally. Smaller SE organizations often operate more informally.

## Fitting It All Together

The concept map in Figure 1 below shows the relationships between the various aspects of organization, resource, responsibility, and governance.



**Figure 1. Businesses, Teams, and Individuals in SE. (SEBoK Original)**

## Enterprise Structures and Their Effects on SE

Enterprises manage SE resources in many different ways. A key driver is the extent to which they seek to optimize use of resources (people, knowledge, and assets) across teams and across the enterprise as a whole. Five common ways of organizing resources to support multiple projects are: project; matrix; functional; integrated; and product centered (CM Guide 2009, Handy 1985, PMI 2013, section 2.1.3). A large enterprise would likely apply some combination of these five ways across its constituent sub-enterprises and teams. Browning (2009) offers a way to optimize project organizational structure. Eisner (2008) offers a good overview of different organizational models.

## Project Organization

A project organization is one extreme in which projects are responsible for hiring, training, and terminating staff, as well as managing all assets required for delivery. In this model, systems engineers on a project report to the project manager and resources are optimized for the delivery of the project. This model has the advantage of strongly aligning the authority and responsibility of the project with the project manager. However, it operates at the expense of sub-optimizing how the staff is deployed across the larger enterprise, how technology choices are made across projects, etc. *Systems Engineering Fundamentals* (DAU 2001) offers a DoD view of good practice project organizations.

## Functional Organization

A functional organization demonstrates the opposite extreme. In a functional organization, projects delegate almost all their work to functional groups, such as the software group, the radar group or the communications group. This is appropriate when the functional skill is fast-evolving and dependent on complex infrastructure. This method is often used for manufacturing, test engineering, software development, financial, purchasing, commercial, and legal functions.

## Matrix Organization

A matrix organization is used to give systems engineers a “home” between project assignments. Typically, a SE functional lead is responsible for career development of the systems engineers in the organization, a factor that influences the diversity and length of individual project assignments.

## Integrated Organization

In an integrated organization, people do assigned jobs without specific functional allegiance. Those that perform SE tasks are primarily identified as another type of engineer, such as a civil or electrical engineer. They know systems engineering and use it in their daily activities as required.

## Product Centered Organization

In accordance with the heuristic that “the product and the process must match” (Rechtin 1991, 132), a common method for creating an organizational structure is to make it match the system breakdown structure (SBS). According to Browning (2009), at each element of the SBS there is an assigned integrated product team (IPT). Each IPT consists of members of the technical disciplines needed to design the product system. The purpose of the IPT is to assure that the interactions among all the technical disciplines are accounted for in the design and that undesirable interactions are avoided.

## Interface to Other Organizations

Outside official engineering and SE organizations within an enterprise, there are other organizations whose charter is not technical. Nevertheless, these organizations have an important SE role.

- **Customer Interface Organizations:** These are organizations with titles such as Marketing and Customer Engineering. They have the most direct interface with current or potential clientele. Their role is to determine customer needs and communicate these needs to the SE organization for conversion to product requirements and other system requirements. Kossiakoff and Sweet (2003, 173) discuss the importance of understanding customer needs.
- **Contracts Organizations:** These organizations interface with both customer and supplier organizations. Their role is to develop clearly stated contracts for the developer or the supplier. These contracts convey tasks and responsibilities for all SE roles of all parties. Technical specifications are attached to the contracts. Responsibilities for verification and validation are specified.
- **Supplier Management Organizations:** These organizations are responsible for selecting and managing suppliers and assuring that both contractual and technical products are in place. These organizations balance cost and risk to assure that supplier products are delivered, verified, and validated for quality product. Blanchard and Fabrycky (2005, 696-698) discuss the importance of supplier selection and agreement.

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# Assessing Systems Engineering Performance of Business and Enterprises

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At the project level, systems engineering (SE) measurement focuses on indicators of project and system success that are relevant to the project and its stakeholders. At the enterprise level there are additional concerns. SE governance should ensure that the performance of systems engineering within the enterprise adds value to the organization, is aligned to the organization's purpose, and implements the relevant parts of the organization's strategy.

For enterprises that are traditional businesses this is easier, because such organizations typically have more control levers than more loosely structured enterprises. The governance levers that can be used to improve performance include people (selection, training, culture, incentives), process, tools and infrastructure, and organization; therefore, the assessment of systems engineering performance in an enterprise should cover these dimensions.

Being able to aggregate high quality data about the performance of teams with respect to SE activities is certainly of benefit when trying to guide team activities. Having access to comparable data, however, is often difficult, especially in organizations that are relatively autonomous, use different technologies and tools, build products in different domains, have different types of customers, etc. Even if there is limited ability to reliably collect and aggregate data across teams, having a policy that consciously decides how the enterprise will address data collection and analysis is valuable.

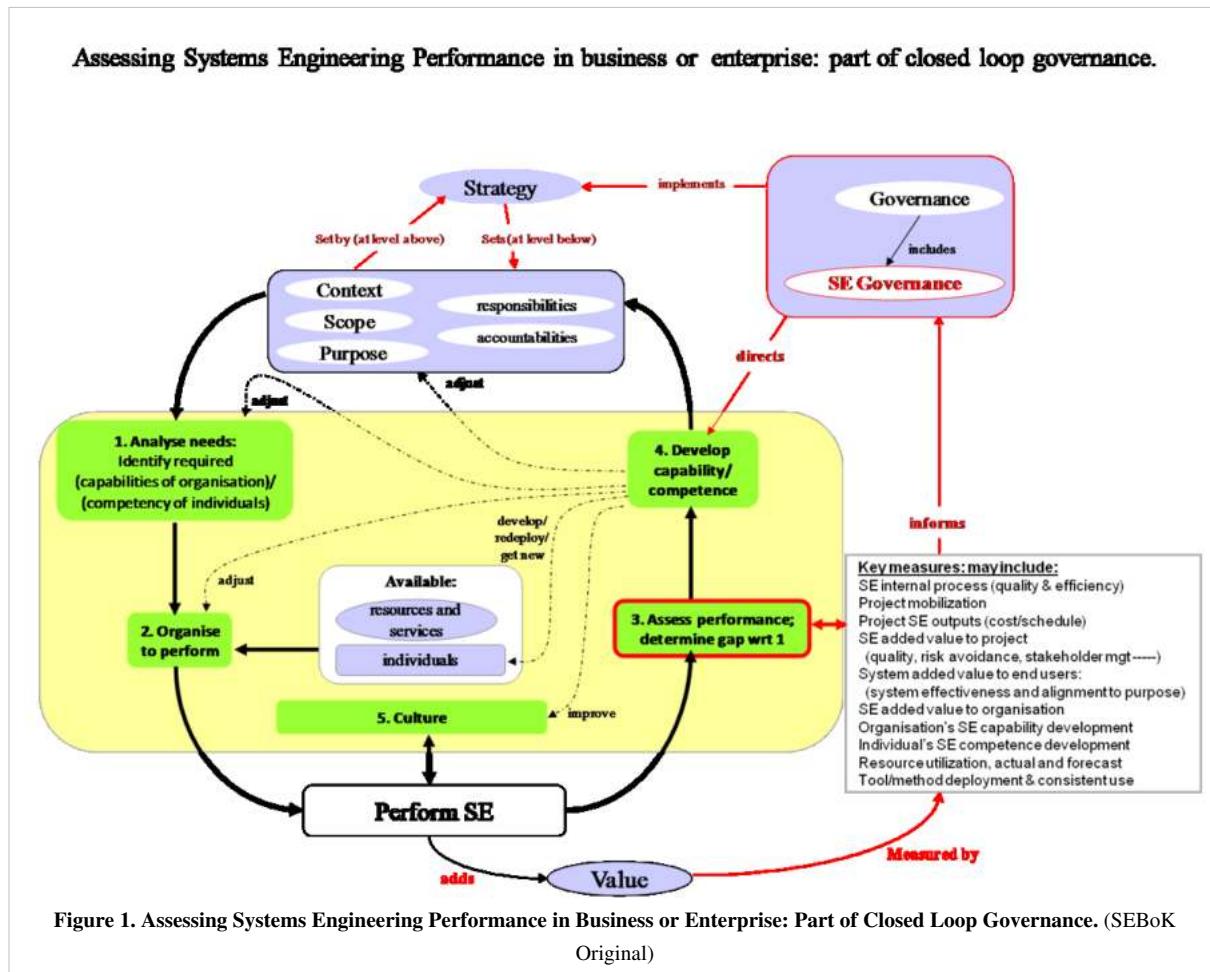
## Performance Assessment Measures

Typical measures for assessing SE performance of an enterprise include the following:

- Effectiveness of SE process
- Ability to mobilize the right resources at the right time for a new project or new project phase
- Quality of SE process outputs
- Timeliness of SE process outputs
- SE added value to project
- System added value to end users
- SE added value to organization
- Organization's SE capability development
- Individuals' SE competence development
- Resource utilization, current and forecast
- Productivity of systems engineers
- Deployment and consistent usage of tools and methods

## How Measures Fit in the Governance Process and Improvement Cycle

Since collecting data and analyzing it takes effort that is often significant, measurement is best done when its purpose is clear and is part of an overall strategy. The "goal, question, metric" paradigm (Basili 1992) should be applied, in which measurement data is collected to answer specific questions, the answer to which helps achieve a goal, such as decreasing the cost of creating a system architecture or increasing the value of a system to a particular stakeholder. Figure 1 shows one way in which appropriate measures inform enterprise level governance and drive an improvement cycle such as the Six Sigma DMAIC (Define, Measure, Analyze, Improve, Control) model.



## Discussion of Performance Assessment Measures

### Assessing SE Internal Process (Quality and Efficiency)

A process is a "set of interrelated or interacting activities which transforms inputs into outputs." The SEI CMMI Capability Maturity Model (SEI 2010) provides a structured way for businesses and enterprises to assess their SE processes. In the CMMI, a process area is a cluster of related practices in an area that, when implemented collectively, satisfies a set of goals considered important for making improvement in that area. There are CMMI models for acquisition, for development, and for services (SEI 2010, 11). CMMI defines how to assess individual process areas against Capability Levels on a scale from 0 to 3, and overall organizational maturity on a scale from 1 to 5.

## Assessing Ability to Mobilize for a New Project or New Project Phase

Successful and timely project initiation and execution depends on having the right people available at the right time. If key resources are deployed elsewhere, they cannot be applied to new projects at the early stages when these resources make the most difference. Queuing theory shows that if a resource pool is running at or close to capacity, delays and queues are inevitable.

The ability to manage teams through their lifecycle is an organizational capability that has substantial leverage on project and organizational efficiency and effectiveness. This includes being able to

- mobilize teams rapidly;
- establish and tailor an appropriate set of processes, metrics and systems engineering plans;
- support them to maintain a high level of performance;
- capitalize acquired knowledge; and
- redeploy team members expeditiously as the team winds down.

Specialists and experts are used to a review process, critiquing solutions, creating novel solutions, and solving critical problems. Specialists and experts are usually a scarce resource. Few businesses have the luxury of having enough experts with all the necessary skills and behaviors on tap to allocate to all teams just when needed. If the skills are core to the business' competitive position or governance approach, then it makes sense to manage them through a governance process that ensures their skills are applied to greatest effect across the business.

Businesses typically find themselves balancing between having enough headroom to keep projects on schedule when things do not go as planned and utilizing resources efficiently.

## Project SE Outputs (Cost, Schedule, Quality)

Many SE outputs in a project are produced early in the life cycle to enable downstream activities. Hidden defects in the early phase SE work products may not become fully apparent until the project hits problems in integration, verification and validation, or transition to operations. Intensive peer review and rigorous modeling are the normal ways of detecting and correcting defects in and lack of coherence between SE work products.

Leading indicators could be monitored at the organizational level to help direct support to projects or teams heading for trouble. For example, the INCOSE Leading Indicators report (Roedler et al. 2010) offers a set of indicators that is useful at the project level. Lean Sigma provides a tool for assessing benefit delivery throughout an enterprise value stream. Lean Enablers for Systems Engineering are now being developed (Oppenheim et al. 2010). An emerging good practice is to use lean value stream mapping to aid the optimization of project plans and process application.

In a mature organization, one good measure of SE quality is the number of defects that have to be corrected "out of phase"; i.e., at a later phase in the life cycle than the one in which the defect was introduced. This gives a good measure of process performance and the quality of SE outputs. Within a single project, the Work Product Approval, Review Action Closure, and Defect Error trends contain information that allows residual defect densities to be estimated (Roedler et al. 2010; Davies and Hunter 2001).

Because of the leverage of front-end SE on overall project performance, it is important to focus on quality and timeliness of SE deliverables (Woodcock 2009).

## SE Added Value to Project

SE that is properly managed and performed should add value to the project in terms of quality, risk avoidance, improved coherence, better management of issues and dependencies, right-first-time integration and formal verification, stakeholder management, and effective scope management. Because quality and quantity of SE are not the only factors that influence these outcomes, and because the effect is a delayed one (good SE early in the project pays off in later phases) there has been a significant amount of research to establish evidence to underpin the asserted benefits of SE in projects.

A summary of the main results is provided in the Economic Value of Systems Engineering article.

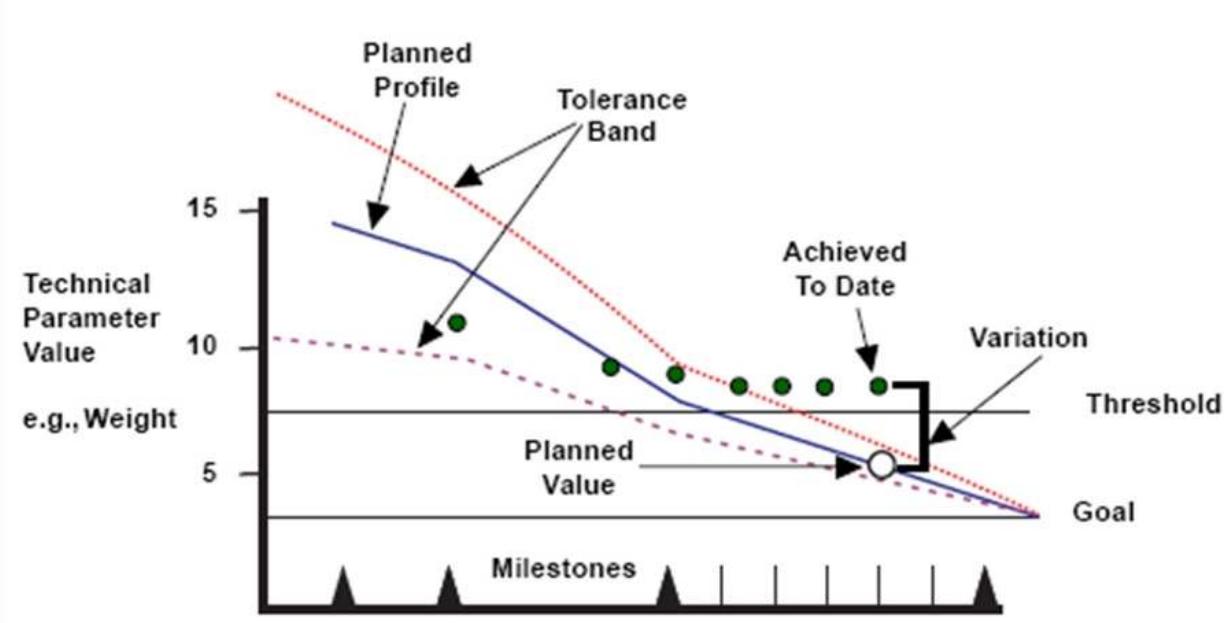
## System Added Value to End Users

System-added value to end users depends on system effectiveness and on alignment of the requirements and design to the end users' purpose and mission. System end users are often only involved indirectly in the procurement process.

Research on the value proposition of SE shows that good project outcomes do not necessarily correlate with good end user experience. Sometimes systems developers are discouraged from talking to end users because the acquirer is afraid of requirements creep. There is experience to the contrary – that end user involvement can result in more successful and simpler system solutions.

Two possible measures indicative of end user satisfaction are:

1. The use of user-validated mission scenarios (both nominal and "rainy day" situations) to validate requirements, drive trade-offs and organize testing and acceptance;
2. The use of technical performance measure (tpm) to track critical performance and non-functional system attributes directly relevant to operational utility. The INCOSE SE Leading Indicators Guide (Roedler et al. 2010, 10 and 68) defines "technical measurement trends" as "*Progress towards meeting the measure of effectiveness (moe) / measure of performance (mop) / Key Performance Parameters (KPPs) and technical performance measure (tpm)*". A typical TPM progress plot is shown in Figure 2.



**Figure 2. Technical Performance Measure (TPM) Tracking (Roedler et al. 2010).** This material is reprinted with permission from the International Council on Systems Engineering (INCOSE). All other rights are reserved by the copyright owner.

## **SE Added Value to Organization**

SE at the business/enterprise level aims to develop, deploy and enable effective SE to add value to the organization's business. The SE function in the business/enterprise should understand the part it has to play in the bigger picture and identify appropriate performance measures - derived from the business or enterprise goals, and coherent with those of other parts of the organization - so that it can optimize its contribution.

## **Organization's SE Capability Development**

The CMMI (SEI 2010) provides a means of assessing the process capability and maturity of businesses and enterprises. The higher CMMI levels are concerned with systemic integration of capabilities across the business or enterprise.

CMMI measures one important dimension of capability development, but CMMI maturity level is not a direct measure of business effectiveness unless the SE measures are properly integrated with business performance measures. These may include bid success rate, market share, position in value chain, development cycle time and cost, level of innovation and re-use, and the effectiveness with which SE capabilities are applied to the specific problem and solution space of interest to the business.

## **Individuals' SE Competence Development**

Assessment of Individuals' SE competence development is described in Assessing Individuals.

## **Resource Utilization, Current and Forecast**

Roedler et al. (2010, 58) offer various metrics for staff ramp-up and use on a project. Across the business or enterprise, key indicators include the overall manpower trend across the projects, the stability of the forward load, levels of overtime, the resource headroom (if any), staff turnover, level of training, and the period of time for which key resources are committed.

## **Deployment and Consistent Usage of Tools and Methods**

It is common practice to use a range of software tools in an effort to manage the complexity of system development and in-service management. These range from simple office suites to complex logical, virtual reality and physics-based modeling environments.

Deployment of SE tools requires careful consideration of purpose, business objectives, business effectiveness, training, aptitude, method, style, business effectiveness, infrastructure, support, integration of the tool with the existing or revised SE process, and approaches to ensure consistency, longevity and appropriate configuration management of information. Systems may be in service for upwards of 50 years, but storage media and file formats that are 10-15 years old are unreadable on most modern computers. It is desirable for many users to be able to work with a single common model; it can be that two engineers sitting next to each other using the same tool use sufficiently different modeling styles that they cannot work on or re-use each others' models.

License usage over time and across sites and projects is a key indicator of extent and efficiency of tool deployment. More difficult to assess is the consistency of usage. Roedler et al. (2010, 73) recommend metrics on "facilities and equipment availability".

## Practical Considerations

Assessment of SE performance at the business/enterprise level is complex and needs to consider soft issues as well as hard issues. Stakeholder concerns and satisfaction criteria may not be obvious or explicit. Clear and explicit reciprocal expectations and alignment of purpose, values, goals and incentives help to achieve synergy across the organization and avoid misunderstanding.

*"What gets measured gets done."* Because metrics drive behavior, it is important to ensure that metrics used to manage the organization reflect its purpose and values, and that they do not drive perverse behaviors (Roedler et al. 2010).

Process and measurement cost money and time, so it is important to get the right amount of process definition and the right balance of investment between process, measurement, people and skills. Any process flexible enough to allow innovation will also be flexible enough to allow mistakes. If process is seen as excessively restrictive or prescriptive, it may inhibit innovation and demotivate the innovators in an effort to prevent mistakes, leading to excessive risk avoidance.

It is possible for a process improvement effort to become an end in itself rather than a means to improve business performance (Sheard 2003). To guard against this, it is advisable to remain clearly focused on purpose (Blockley and Godfrey 2000) and on added value (Oppenheim et al. 2010) as well as to ensure clear and sustained top management commitment to driving the process improvement approach to achieve the required business benefits. Good process improvement is as much about establishing a performance culture as about process.

*The Systems Engineering process is an essential complement to, and is not a substitute for, individual skill, creativity, intuition, judgment etc. Innovative people need to understand the process and how to make it work for them, and neither ignore it nor be slaves to it. Systems Engineering measurement shows where invention and creativity need to be applied. SE process creates a framework to leverage creativity and innovation to deliver results that surpass the capability of the creative individuals – results that are the emergent properties of process, organisation, and leadership.* (Sillitto 2011)

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# Developing Systems Engineering Capabilities within Businesses and Enterprises

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The pursuit of continuous improvement is a constant for many organizations. The description of Toyota (Morgan and Liker 2006), the Lean principle of “pursue perfection” (Oppenheim et al. 2010), and the principle of “don’t let up” (Kotter 1995), all drive a need for continuous improvement.

The ability to manage teams through their lifecycle – mobilize teams rapidly, establish and tailor an appropriate set of processes, metrics and systems engineering plans, support them to maintain a high level of performance, capitalize acquired knowledge and redeploy team members expeditiously as the team winds down – is a key organizational competence that has substantial leverage on project and organizational efficiency and effectiveness.

The enterprise provides teams with the necessary resources, background information, facilities, cash, support services, tooling, etc. It also provides a physical, cultural and governance environment in which the teams can be effective. The key functions of the enterprise include generating and maintaining relevant resources, allocating them to teams, providing support and governance functions, maintaining expertise and knowledge (on process, application domain and solution technologies), securing the work that teams perform, organizing finance, and maintaining the viability of the enterprise.

For improvements to persist, they must reside in the enterprise rather than just the individuals, so the improvements can endure as personnel leave. This is reflected in the Capability Maturity Model Integrated (CMMI) (SEI 2010) progression from a "hero culture" to a "quantitatively managed and optimizing process".

This topic outlines the issues to be considered in capability development and organizational learning.

## Overview

Figure 1 shows an "analyze – organize – perform – assess – develop" cycle, which is essentially a reformulation of the Deming (1994) PDCA (Plan Do Check Act) cycle. The analysis step should cover both current and future needs, as far as these can be determined or predicted. Goals and performance assessment, as discussed in Assessing Systems Engineering Performance of Business and Enterprises, can be based on a number of evaluation frameworks, such as direct measures of business performance and effectiveness and the CMMI capability maturity models. There is evidence that many organizations find a positive correlation between business performance and CMMI levels (SEI 2010). This is discussed further in the Economic Value of Systems Engineering.

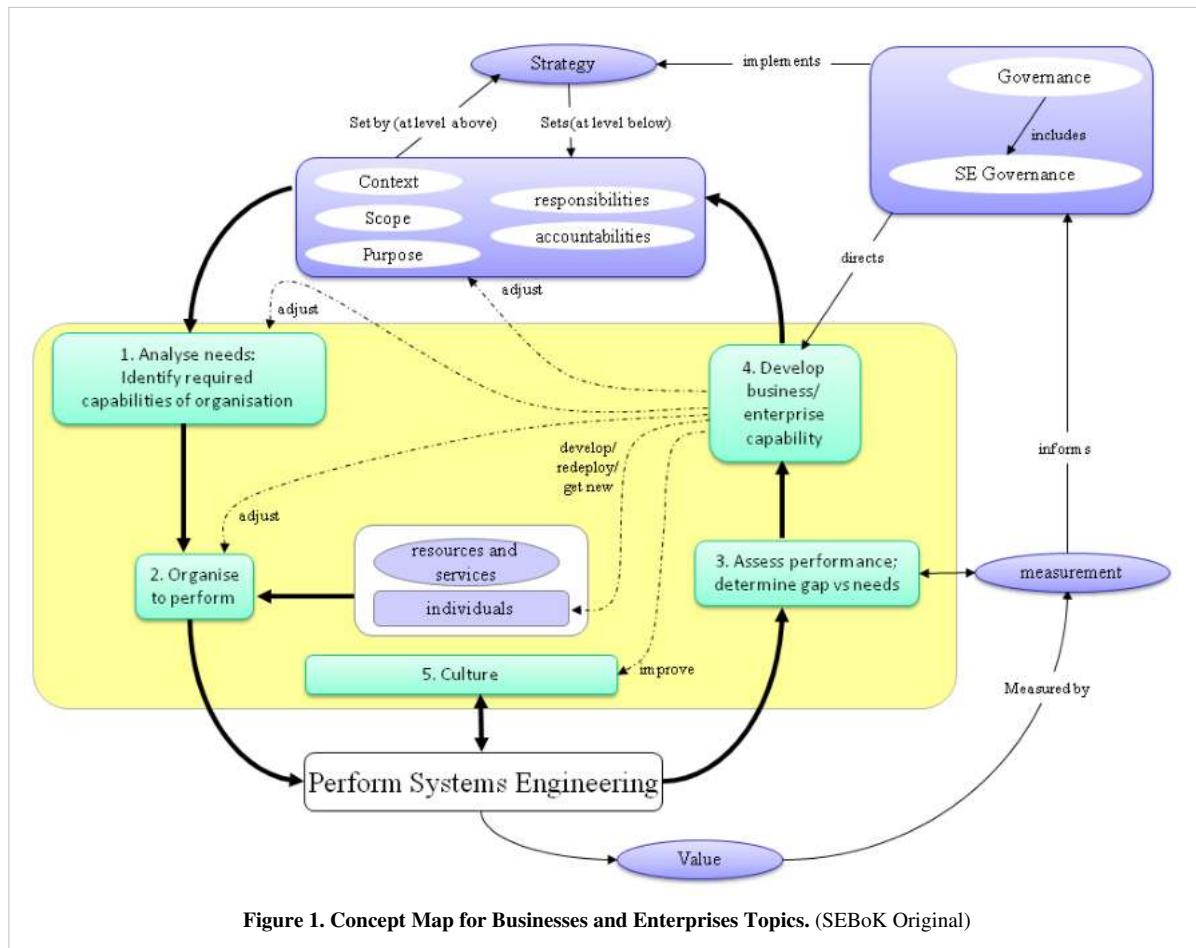


Figure 1. Concept Map for Businesses and Enterprises Topics. (SEBoK Original)

## Change Levers

SE managers have a number of possible change levers they can use to develop SE capabilities. The amount of time delay between moving a lever and seeing the effect varies with the type of level, size of the enterprise, culture of the enterprise, and other factors.

### Adjust Context, Scope, Purpose, Responsibility, Accountability Business Enterprise

If the other change levers cannot achieve the desired effect, the business or enterprise may have to renegotiate its contribution to the higher-level strategy and mission.

### Review and Adjust Required Capabilities

In the initial analysis the needed capability may have been over- or under-estimated. The need should be re-evaluated after each rotation of the cycle to make sure the planning assumptions are still valid.

### Adjust Organization within Business Enterprise

Adjusting organization and responsibilities so that "*the right people are doing the right things*", and ensuring that the organization is making full use of their knowledge and skills, is often the easiest change to make (and the one that may have the quickest effect).

A potential risk is that too much organizational churn disrupts relationships and can destabilize the organization and damage performance. Process improvement can be set back by an ill-considered re-organization and can jeopardize any certifications the organization has earned which demonstrate its process capability or performance.

## **Develop/Train/Redeploy/Get New Resources, Services and Individuals**

Resources, services and individuals may include any of the components of organizational SE capability listed in Organizing Business and Enterprises to Perform Systems Engineering.

Levers include subcontracting elements of the work, improving information flows, upgrading facilities, and launching short-term training and/or long-term staff development programs. Many organizations consider how they approach these improvements to be proprietary, but organizations such as NASA offer insight on their APPEL website (NASA 2012).

Development of individuals is discussed in Enabling Individuals.

## **Improve Culture**

Culture change is very important and powerful but needs to be handled as a long-term game and given long term commitment.

## **Adjust and Improve Alignment of Measures and Metrics**

Measurement drives behavior. Improving alignment of goals and incentives of different parts of the business/enterprise so that everyone works to a common purpose can be a very effective and powerful way of improving business/enterprise performance. This alignment does require some top-down guidance, perhaps a top-down holistic approach, considering the business/enterprise as a system with a clear understanding of how the elements of enterprise capability interact to produce synergistic value (See Assessing Systems Engineering Performance of Business and Enterprises). It is commonly reported that as an organization improves its processes with respect to the CMMI, its approach to metrics and measurement has to evolve.

## **Change Methods**

### **Doing Everyday Things Better**

There is a wealth of sources and techniques, including Kaizen, Deming PDCA (Deming 1994), Lean (Womack and Jones 2003, Oppenheim et al. 2010), Six-Sigma (Harry 1997), and CMMI.

Value stream mapping is a powerful Lean technique to find ways to improve flow and handovers at interfaces.

### **Managing Technology Readiness**

In high-technology industries many problems are caused by attempting to transition new technologies into products and systems before the technology is mature; to make insufficient allowance for the effort required to make the step from technology demonstration to reproducible and dependable performance in a product; or to overestimate the re-usability of an existing product. NASA's TRL (Technology Readiness Level) construct, first proposed by John Mankins in 1995 (Mankins 1995), is widely and successfully used to understand and mitigate technology transition risk. Several organizations beyond NASA, such as the U.S. Department of Defense, even have automation to aid engineers in evaluating technology readiness.

Variations on TRL have emerged, such as System Readiness Levels (SRL) (Sauser et al. 2006), which recognize that the ability to successfully deliver systems depends on much more than the maturity of the technology base used to create those systems; e.g., there could be surprising risks associated with using two technologies that are relatively mature in isolation, but have never been integrated together before.

## Planned Change: Standing Up or Formalizing SE in an Organization

Planned change may include:

- introducing SE to a business (Farncombe and Woodcock 2009);
- improvement/transformation;
- formalizing the way a business or project does SE;
- dealing with a merger/demergers/major re-organization;
- developing a new generation or disruptive product, system, service or product line (Christensen 1997);
- entering a new market; and
- managing project lifecycle transitions: start-up, changing to the next phase of development, transition to manufacture/operation/support, wind down and decommissioning.

CMMI is widely used to provide a framework for planned change in a systems engineering context. Planned change needs to take a holistic approach considering people (knowledge, skills, culture, ability and motivation), process, measurement and tools as a coherent whole. It is now widely believed that tools and process are not a substitute for skills and experience. Instead, they merely provide a framework in which skilled and motivated people can be more effective. Therefore, change should start with people rather than with tools.

Before a change is started, it is advisable to baseline the current business performance and SE capability and establish metrics that will show early on whether the change is achieving the desired effect.

## Responding to Unforeseen Disruption

Unforeseen disruptions may be internally or externally imposed. Externally imposed disruptions may be caused by:

- the customer – win/lose contract, mandated teaming or redirection;
- competitors – current offering becomes more/less competitive, a disruptive innovation may be launched in market; or
- governance and regulatory changes – new processes, certification, safety or environmental standards.

Internal or self-induced disruptions may include:

- a capability drop-out due to loss of people, facilities, financing;
- product or service failure in operation or disposal; or
- strategy change (e.g. new CEO, response to market dynamics, or a priority override).

## Embedding Change

In an SE context, sustained effort is required to maintain improvements such as higher CMMI levels, Lean and Safety cultures, etc., once they are achieved. There are several useful change models, including Kotter's 8 phases of change (Kotter 1995):

1. Establish a sense of urgency;
2. Create a coalition;
3. Develop a clear vision;
4. Share the vision;
5. Empower people to clear obstacles;
6. Secure short-term wins;
7. Consolidate and keep moving; and
8. Anchor the change.

The first six steps are the easy ones. The Chaos Model (Zuijderhoudt 1990; 2002) draws on complexity theory to show that regression is likely if the short-term wins are not consolidated, institutionalized and anchored. This explains the oft-seen phenomenon of organizations indulging in numerous change initiatives, none of which stick because attention moves on to the next before the previous one is anchored.

## Change Management Literature

SE leaders (directors, functional managers, team leaders and specialists) have responsibilities, and control levers to implement them, that vary depending on their organization's business model and structure. A great deal of their time and energy is spent managing change in pursuit of short-, medium- and long-term organizational goals: "doing everyday things better"; making change happen; embedding change and delivering the benefit; and coping with the effects of disruptions. Mergers, acquisitions and project start-ups, phase changes, transitions from "discovery" to "delivery" phase, transition to operation, sudden change in level of funding, can all impose abrupt changes on organizations that can destabilize teams, processes, culture and performance. Table 1 below provides both the general management literature and specific systems engineering knowledge.

**Table 1. Change Management – Business and SE References. (SEBoK Original)**

Area	Business references	SE references
Doing Every-day Things Better	<ul style="list-style-type: none"> <li>Kaizen; Lean (Womack and Jones 2003); 6-Sigma (Harry 1997)</li> <li>Four Competencies of Learning Organisation – Absorb, Diffuse, Generate, Exploit (Sprenger and Ten Have 1996)</li> <li>The Seven Habits of Very Effective People (Covey 1989)</li> </ul>	<ul style="list-style-type: none"> <li>CMMI</li> <li>Visualizing Project Management (Forsberg and Mooz 2005)</li> <li>INCOSE IEWG "Conops for a Systems Engineering Educational Community" (Ring and Wymore 2004)</li> <li>INCOSE Lean Enablers for SE (Oppenheim et al. 2010)</li> </ul>
Dealing with Unplanned Disruption	<ul style="list-style-type: none"> <li>Managing Crises Before They Happen (Mitroff and Anagnos 2005);</li> <li>Scenarios: Uncharted Waters Ahead (Wack 1985)</li> <li>Scenario Planning: Managing for the Future (Ringland 1988)</li> </ul>	<ul style="list-style-type: none"> <li>Architecting Resilient Systems (Jackson 2010)</li> <li>Design Principles for Ultra-Large-Scale Systems (Sillitto 2010)</li> </ul>
Driving Disruptive Innovation	<ul style="list-style-type: none"> <li>The Innovator's Dilemma (Christensen 1997)</li> <li>Rise and Fall of Strategic Planning, (Mintzberg 2000)</li> <li>BS7000, Standard for Innovation Management (BSI 2008)</li> </ul>	
Exploiting Unexpected Opportunities	<ul style="list-style-type: none"> <li>Rise and Fall of Strategic Planning (Mintzberg 2000)</li> <li>Mission Command (military), Auftragstechnik (Bungay 2002, 32)</li> </ul>	<ul style="list-style-type: none"> <li>Architecting for Flexibility and Resilience (Jackson 2010)</li> <li>Open System Architectures; Lean SE; (Oppenheim et al. 2010)</li> <li>Agile Methodologies</li> </ul>
Implementing and Embedding Planned Change	<ul style="list-style-type: none"> <li>Kotter's Eight Phases of Change (Kotter 1995),</li> <li>Berenschot's Seven Forces (ten Have et al. 2003)</li> <li>Levers of Control (Simons 1995) – Tension between Control, Creativity, Initiative and Risk Taking</li> <li>Chaos Model from "Complexity Theory Applied to Change Processes in Organisations"; (Zuiderhoudt and Ten Have 1999)</li> <li>Business Process Re-engineering (Hammer and Champy 1993)</li> <li>The 5th Discipline (Senge 2006)</li> <li>Change Quadrants (Amsterdam 1999)</li> </ul>	<ul style="list-style-type: none"> <li>Doing it differently - Systems for Rethinking Construction (Blockley and Godfrey 2000)</li> <li>INCOSE UK Chapter Z-guides: <ul style="list-style-type: none"> <li>Z-2, Introducing SE to an Organisation (Farncombe and Woodcock 2009);</li> <li>Z-7, Systems Thinking (Godfrey and Woodcock 2010)</li> </ul> </li> </ul>
Understanding People's Motivation, Behaviour	<ul style="list-style-type: none"> <li>Maslow's Hierarchy of Needs</li> <li>Myers-Briggs Type Indicator;</li> <li>NLP (Neuro-Linguistic Programming) (See for example: Knight 2009)</li> <li>Performance by Design: Sociotechnical Systems in North America (Taylor and Felten 1993)</li> <li>Core Quadrants, (Offman 2001)</li> </ul>	<ul style="list-style-type: none"> <li>INCOSE Intelligent Enterprise Working Group – "Enthusiasm", Stretch Goals (Ring and Wymore 2004)</li> <li>Sociotechnical Systems Engineering, Responsibility Mapping, from "Deriving Information Requirements from Responsibility Models" (Sommerville et al. 2009)</li> </ul>

Understanding Culture	<ul style="list-style-type: none"> <li>• Cultural Dimensions, from "Culture's Consequences" (Hofstede 1994)</li> <li>• Compliance Typology, from "A Comparative Analysis of Complex Organizations" (Etzioni 1961)</li> </ul>
Helping Individuals Cope with Change	<ul style="list-style-type: none"> <li>• 5 C's of Individual Change, and Rational/Emotional Axes, Kets De Vries, quoted in "Key Management Models" (Ten Have et al. 2003)</li> <li>• Rational/Emotional, NLP and Other Methods, from "Relationships Made Easy" (Fraser 2010)</li> </ul>

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None.

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**SEBoK v. 2.7, released 31 October 2022**

# Culture

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Establishing and managing cultures, values, and behaviors is a critical aspect of systems engineering, especially in the context of deploying SE within an organization (Fassner and Brettner 2002). The Columbia Accident Investigation Report (NASA 2003, 101), defines *culture* as "*the basic values, norms, beliefs, and practices that characterize the functioning of a particular institution.*"

Stable safety and process cultures are key to effective SE, and can be damaged by an overly-rapid pace of change, a high degree of churn (see the Nimrod Crash Report, Haddon-Cave 2009), or by change that engineers perceive as arbitrarily imposed by management (see Challenger, discussed below). On the other hand, a highly competitive, adversarial or "blame" culture can impede the free flow of information and disrupt synergies in the workplace.

In the multi-national, multi-business, multi-discipline collaborative projects becoming increasingly prevalent in SE, these factors take on greater importance.

Effective handling of cultural issues is a major factor in the success or failure of SE endeavors.

## Systems Thinking and the Culture of the Learning Organization

Improving SE efficiency and effectiveness can be the goal of culture change. This kind of culture change encourages people to learn to think and act in terms of systems, organizations and their enterprises; and, to take a systems approach as described in Overview of Systems Approaches in Part 2, and by Lawson (2010). See the knowledge area Systems Thinking.

Attaining a *learning organization* culture can be another goal of cultural change. And once the learning organization exists, cultural change in general becomes easier to accomplish.

A learning organization aims to absorb, diffuse, generate, and exploit knowledge (Sprenger and Have 1996). Organizations need to manage formal information and facilitate the growth and exploitation of tacit knowledge. They should learn from experience and create a form of *corporate memory* – including process, problem domain and solution space knowledge, and information about existing products and services. Fassner and Brettner (2002,

122-124) suggest that *shared mental models* are a key aspect of corporate knowledge and culture.

A learning organization culture is enabled by disciplines such as:

- **personal mastery**, where a person continually clarifies and deepens personal vision, focuses energy upon it and develops patience in seeking it so as to view reality in an increasingly objective way;
- **mental models**, where people appreciate that mental models do indeed occupy their minds and shape their actions;
- **shared vision**, where operating values and sense of purpose are shared to establish a basic level of mutuality; and
- **team learning**, where people's thoughts align, creating a feeling that the team as a whole achieves something greater than the sum of what is achieved by its individual members.

Systems thinking supports these four disciplines, and in so doing becomes the **fifth discipline** and plays a critical role in promoting the learning organization (Senge et al. 1994).

## Cultural Shortfalls and How to Change Them

Cultural shortfalls that are injurious to a system are described as negative paradigms by Jackson (2010) and others. For example, a cultural reluctance to identify true risks is the hallmark of the **Risk Denial** paradigm as seen in the Challenger and Columbia cases. When individuals believe a system is safe that is in fact unsafe, that is the **Titanic Effect** paradigm, which is of course named for the ocean liner catastrophe of 1912.

## Approaches to Change

Jackson and Erlick (Jackson 2010, 91-119) have found that there is a lack of evidence that a culture can be changed from a success point of view. However, they do suggest the Community of Practice (Jackson 2010, 110-112), an approach founded on the principles of organizational psychology, and discuss the pros and cons of other approaches to culture change, including training, coaching, Socratic teaching, use of teams, independent reviews, standard processes, rewards and incentives, use of cost and schedule margins, reliance on a charismatic executive, and management selection. Shields (2006) provides a similarly comprehensive review.

The Columbia Accident (NASA 2003) and the Triangle fire (NYFIC 1912) official reports, among many others, call for cultural issues to be addressed through improved leadership, usually augmented by the more objective approach of auditing. One form of auditing is the Independent Technical Authority, which:

- is separate from the program organization;
- addresses only technical issues, not managerial ones; and
- has the right to take action to avoid failure, including by vetoing launch decisions.

An Independent Technical Authority cannot report to the program manager of the program in question, and it may be formulated within an entirely separate business or enterprise which can view that program objectively. The point of these stipulations is to ensure that the Independent Technical Authority is indeed independent.

Management and leadership experts have identified ways to lead cultural change in organizations, apart from specifically safety-related cultural change. For example, Gordon (1961) in his work on the use of analogical reasoning called synectics is one of several who emphasize creative thinking. Kotter (1995) advocates a series of steps to transform an organization.

## How Culture Manifests in Individuals and Groups

As a community's physical, social, and religious environment changes over the generations, cultural beliefs, values, and customs evolve in response, albeit at a slower pace.

Helmreich and Merritt describe the effects of cultural factors in the context of aviation safety and suggest implications for safety cultures in other domains such as medicine. See (Helmreich and Merritt, 2000) and other writings by the same authors.

We can describe the cultural orientation of an individual in terms of:

- national and/or ethnic culture;
- professional culture; and
- organizational culture.

Some particulars of these aspects of culture are sketched below.

### National and/or Ethnic Culture

A product of factors such as heritage, history, religion, language, climate, population density, availability of resources, politics, and national culture is acquired in one's formative years and is difficult to change. National culture affects attitudes, behavior, and interactions with others.

National culture may help determine how a person handles or reacts to:

- rules and regulations;
- uncertainty; and
- display of emotion, including one's own.

National culture may also play a role in whether a person

- communicates in a direct and specific style, or the opposite;
- provides leadership in a hierarchical manner, or a consultative one; and
- accepts decisions handed down in superior-inferior relationships, or questions them.

### Professional Culture

Professional culture acts as an overlay to ethnic or national culture, and usually manifests in a sense of community and in bonding based on a common identity (Helmreich and Merritt 2000). Well-known examples of professional cultures include those of medical doctors, airline pilots, teachers, and the military.

Elements of professional culture may include:

- a shared professional jargon
- binding norms for behavior
- common ethical values
- self-regulation
- barriers to entry such as selectivity, competition and training
- institutional and/or individual resistance to change
- prestige and status, sometimes expressed in badges or uniforms
- stereotyped notions about members of the profession, in general and/or based on gender

Particularly important elements of professional culture (for example, those that affect safety or survivability) need to be inculcated by extensive training and reinforced at appropriate intervals.

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## Organizational Culture

An organization's culture builds up cumulatively, determined by factors like its leadership, products and services, relationships with competitors, and role in society.

Compared with one another, organizational cultures are not standardized because what works in one organization seldom works in another. Even so, strength in the following elements normally engenders a strong organizational culture:

- corporate identity;
- leadership;
- morale and trust;
- teamwork and cooperation;
- job security;
- professional development and training;
- empowerment of individuals; and
- confidence, for example in quality and safety practices, or in management communication and feedback.

When the culture of the people in an organization is considered as a whole, organizational culture acts as a common layer shared by all. Despite this, differing national cultures can produce differences in leadership styles, manager-subordinate relationships, and so on, especially in organizations with a high degree of multinational integration.

Because organizations have formal hierarchies of responsibility and authority, organizational culture is more amenable to carefully planned change than are either professional or national cultures. If changes are made in a manner that is sympathetic to local culture (as opposed to that of a distant group head office, for example), they can bring significant performance benefits. This is because organizational culture channels the effects of national and professional cultures into standard working practices.

There are many definitions of culture in the literature. The Columbia Accident Investigation Board (NASA 2003) provides a useful definition for understanding culture and engineering.

## Culture and Safety

Reason (1997, 191-220) describes a culture which focuses on safety as having four components:

1. A reporting culture which encourages individuals to report errors and near misses, including their own.
2. A just culture which provides *an atmosphere of trust in which people are encouraged, even rewarded, for providing essential safety-related information.*
3. A flexible culture which abandons the traditional hierarchical reporting structure in favor of more direct team-to-team communications.
4. A learning culture which is willing to draw the right conclusions from safety-related information and to implement reforms when necessary.

Weick and Sutcliffe (2001, 3) introduce the term high reliability organizations (HROs). HROs have *fewer than their fair share of accidents* despite operating *under trying conditions* in domains subject to catastrophic events. Examples include *power grid dispatching centers, air traffic control systems, nuclear aircraft carriers, nuclear power generation plants, hospital emergency departments, and hostage negotiation teams*. There are five hallmarks of HROs (Weick and Sutcliffe 2001, 10):

1. **Preoccupation with Failure**—HROs eschew complacency, learn from near misses, and do not ignore errors, large or small.
2. **Reluctance to Simplify Interpretations**—HROs simplify less and see more. They “encourage skepticism towards received wisdom.”

3. **Sensitivity to Operations**—HROs strive to detect “latent failures,” defined by James Reason (1997) as systemic deficiencies that amount to accidents waiting to happen. They have well-developed situational awareness and make continuous adjustments to keep errors from accumulating and enlarging.
4. **Commitment to Resilience**—HROs keep errors small and improvise “workarounds that keep the system functioning.” They have a deep understanding of technology and constantly consider worst case scenarios in order to make corrections.
5. **Deference to Expertise**—HROs “push decision making down.” Decisions are made “on the front line.” They avoid rigid hierarchies and go directly to the person with the expertise.

The US Nuclear Regulatory Agency (2011) focuses mainly on leadership and individual authority in its policy statement on safety culture.

## Historical Catastrophes and Safety Culture

The cases described in the table below are some of the many in which official reports or authoritative experts cited culture as a factor in the catastrophic failure of the systems involved.

Example	Cultural Discussion
Apollo	According to Feynman (1988), Apollo was a successful program because of its culture of “common interest.” The “loss of common interest” over the next 20 years then caused “the deterioration in cooperation, which . . . produced a calamity.”
Challenger	Vaughn (1997) states that rather than taking risks seriously, NASA simply ignored them by calling them normal—what she terms “normalization of deviance,” whose result was that “flying with acceptable risks was normative in NASA culture.”
Columbia	The Columbia Accident Investigation Report (NASA 2003, 102) echoed Feynman’s view and declared that NASA had a “broken safety culture.” The board concluded that NASA had become a culture in which bureaucratic procedures took precedence over technical excellence.
Texas City - 2005	On August 3, 2005, a process accident occurred at the BP refinery in a Texas City refinery in the USA resulting in 19 deaths and more than 170 injuries. The Independent Safety Review Panel (2007) found that a corporate safety culture existed that “has not provided effective process safety leadership and has not adequately established process safety as a core value across all its five U.S. refineries.” The report recommended “an independent auditing function.”
The Triangle Fire	On August 11, 1911, a fire at the Triangle shirtwaist factory in New York City killed 145 people, mostly women (NYFIC 1912). The New York Factory Investigating Commission castigated the property owners for their lack of understanding of the “human factors” in the case and called for the establishment of standards to address this deficiency.
Nimrod	On September 2, 2006, a Nimrod British military aircraft caught fire and crashed, killing its entire crew of 14. The Haddon-Cave report (Haddon-Cave 2009) found that Royal Air Force culture had come to value staying within budget over airworthiness. Referencing the conclusions of the Columbia Accident Investigation Report, the Haddon-Cave report recommends creation of a system of detailed audits.

## Relationship to Ethics

A business's culture has the potential to reinforce or undermine ethical behavior. For example, a culture that encourages open and transparent decision making and behavior makes it harder for unethical behavior to go undetected. The many differences in culture around the world are reflected in different perspectives on what ethical behavior is. This is often reflected in difficulties that international companies face when doing business globally, sometimes leading to scandals because behavior that is considered ethical in one country may be considered unethical in another. See Ethical Behavior for more information about this.

## Implications for Systems Engineering

As SE increasingly seeks to work across national, ethnic, and organizational boundaries, systems engineers need to be aware of cultural issues and how they affect expectations and behavior in collaborative working environments. SEs need to present information in an order and a manner suited to the culture and personal style of the audience. This entails choices like whether to start with principles or practical examples, levels of abstraction or use cases, the big picture or the detailed view.

Sensitivity to cultural issues is a success factor in SE endeavors (Siemieniuch and Sinclair 2006).

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# Knowledge Area: Enabling Teams

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## Enabling Teams

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This knowledge area focuses on enabling a team to perform SE. Once that is done using the techniques described here, the knowledge found in Part 3, Systems Engineering and Management, about how to perform SE can be applied. Part 5, Enabling Systems Engineering, to which this knowledge area belongs, explores how systems engineering (SE) is enabled at three levels of organization: the business or enterprise, the team, and the individual.

For the sake of brevity, the term “business” is used to mean “business or enterprise” throughout most of this knowledge area. For a nuanced explanation of what distinguishes a business from an enterprise, see Enabling Systems Engineering.

### Topics

Each part of the SEBoK is composed of knowledge areas (KAs). Each KA groups topics together around a theme related to the overall subject of the part. This KA contains the following topics:

- Team Capability
- Team Dynamics
- Technical Leadership in Systems Engineering

### Overview

Products, enterprise systems, and services are developed, delivered, and sustained with the contributions of systems engineers, who also coordinate the technical aspects of the multiple projects that comprise a program. These activities require certain individuals to work in a cooperative manner to achieve shared objectives based on a common vision—that is, as teams. Not every group of individuals working together is a team. To perform SE activities efficiently and effectively, the capabilities of and dynamics within the team must be specifically attuned to SE.

Although individuals sometimes perform SE activities, it is more usual to find project teams performing SE activities while providing specialty engineering capabilities (see Systems Engineering and Specialty Engineering). Not all who perform SE activities are labeled “systems engineers.” Thus, electrical, mechanical, and software engineers, service providers, or enterprise architects in IT organizations may lead or be members of teams that perform SE tasks. Those individuals are referred to as systems engineers in this knowledge area, regardless of their job titles within their organizations.

This knowledge area is concerned with methods, tools, and techniques for enabling project teams to perform SE activities. Its first topic, Team Capability, answers the questions:

- How do businesses determine value added by SE activities performed by project teams?
- How does an organization determine the efficiency and effectiveness of SE activities performed by project teams?

Its other topic, Team Dynamics, answers the question:

- How are group dynamics crucial to enabling systems engineers to perform work and achieve goals?

Topics from elsewhere in the SEBoK that cover related questions include Relationships between Systems Engineering and Project Management and The Influence of Project Structure and Governance on Systems Engineering and Project Management Relationships, which answer the question:

- What do managers need to know about managing systems engineers and project teams that perform SE activities?

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### Additional References

None.

# Team Capability

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The capability of a team to perform systems engineering (SE) depends on having competent personnel, adequate time, sufficient resources and equipment, and appropriate policies and procedures (Torres and Fairbanks 1996).

The team should have a charter. Staff must be proficient in the needed competencies and must work together with the right attitude, under the right organization, and with appropriate tools, training, and processes such as configuration management and peer review.

Those responsible for the team attaining the desired capability need to organize, staff, develop, and assess the team. Techniques for pilot projects, post-mortem analysis, and lessons learned can be applied as well.

## Organizing the Team

Project teams, and the roles of systems engineers within those teams, depend on factors such as the nature, size, and scope of the project, the organization's preferred way of organizing teams, and external constraints such as a larger program in which the project may be embedded. Options range from a dedicated team of systems engineers, to Integrated Product Teams, to teams that include other kinds of engineers that perform systems engineering.

Systems engineers and SE teams may play the roles of technical leads, consultants, or advisers; this influences the ways in which SE teams are organized. In some organizations, systems engineers and SE teams provide technical leadership; they perform requirements analysis and architectural design, conduct trade studies, and allocate requirements and interfaces to the various elements of a system. In addition, they work with component specialists, develop integration plans and perform system integration, verification, and validation. Depending on the scope of effort, they may also install the system and train the operators and users; provide ongoing services to sustain the system; and retire/replace an aged system. Systems engineers may be housed within a functional unit of an organization and assigned, in matrix fashion, to projects and programs, or they may be permanently attached to a project or program for the duration of that endeavor. They may be organized based partially on their domain of expertise, such as finance or telecommunications. For additional information on organizational options see Determining Needed Systems Engineering Capabilities in Businesses and Enterprises.

In other cases, one or more systems engineers may provide consulting or advisory services, as requested, to projects and programs. These engineers may be dispatched from a central pool within an organization, or they may be hired from an outside agency.

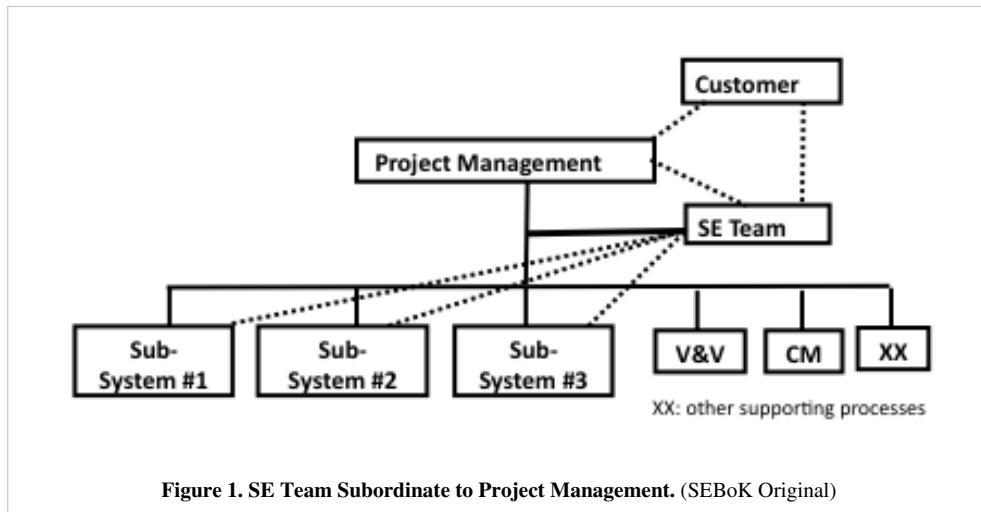
An SE team can be organized by job specialization, where each SE team member (or each SE sub-team) plays a different role; for example, requirements engineering, system architecture, integration, verification and validation, field test, and installation and training. In this case the various job specializations are typically coordinated by a lead systems engineer.

Alternatively, an SE team can be organized by subsystem where each SE team member (or SE sub-team) performs the previously indicated functions for each of the subsystems with a top-level team to coordinate requirements allocation, interfaces, system integration, and system verification and validation.

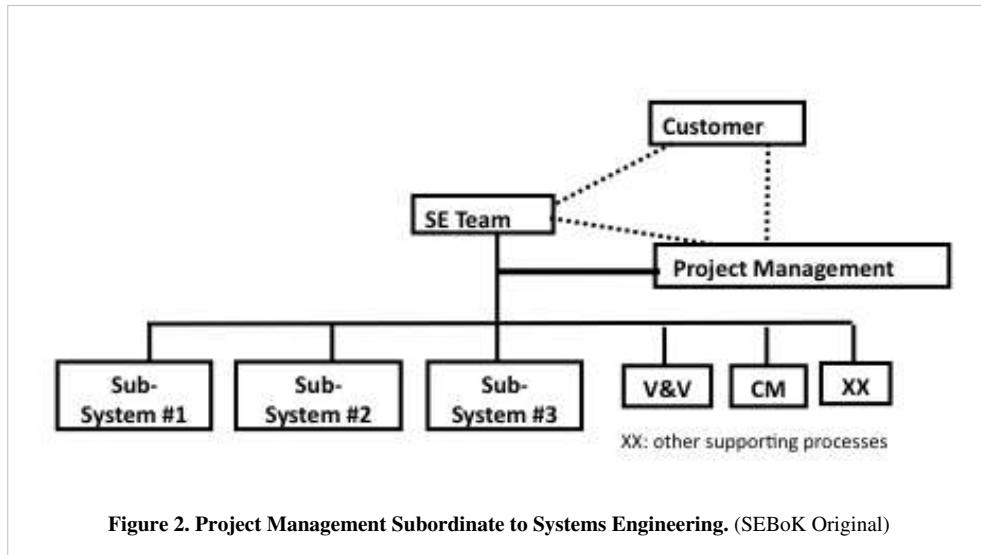
Ideally, roles, responsibilities, and authority will be established for each project or program and used to determine the optimal way to organize the team. Sometimes, however, an *a priori* organizational, project, or program structure may determine the structure, roles, responsibilities, and authority of the SE team within a project or program; this may or may not be optimal.

Within a project, a systems engineer or SE team may occupy a staff position subordinate to the project manager, as indicated in Figure 1 or conversely, the SE team may provide the authoritative interface to the customer with the project manager or management team, serving in a staff capacity, as indicated in Figure 2. In both cases, SE and

project management must work synergistically to achieve a balance among product attributes, schedule, and budget. Eisner (2008) lays out various approaches to organizing systems engineers. For additional information see Systems Engineering and Project Management.



**Figure 1. SE Team Subordinate to Project Management. (SEBoK Original)**



**Figure 2. Project Management Subordinate to Systems Engineering. (SEBoK Original)**

In scaling up to the program level, the considerations portrayed in Figures 1 and 2 can be generalized so that a top-level SE team provides coordination among the subordinate projects. In this case, each project has an SE team, and within each project the SE team members can be organized in either of the ways indicated in the figures. When scaling up to programs, each of the sub-systems in Figures 1 and 2 are separate, coordinated projects.

The models presented in Figures 1 and 2 can be scaled down to smaller projects, where an individual systems engineer performs the SE activities, either in the subordinate position of Figure 1 or the superior position of Figure 2. In this case, there is a single subsystem (i.e., the system) and the supporting functions may be provided by the systems engineer or by supporting elements of the larger organization.

The roles to be played by members of a SE team are influenced by the structures adopted as part of the organizational strategy of the business in which the team is operating (see Systems Engineering Organizational Strategy). In Product Centered Organizations, for example, an Integrated Product Team (IPT) is assigned to each element of the system breakdown structure (SBS). Each IPT consists of members of the technical disciplines necessary to perform systems engineering functions for that element of the system.

At the program level there is a top-level IPT commonly called a SE and integration team (SEIT), whose purpose is to oversee all of the lower level IPTs. Some specialists, such as reliability and safety engineers, may be assigned to a team to cover all elements within a given level of the SBS. These teams are sometimes called Analysis and Integration teams (AITs), and are created at various levels of the SBS as needed.

Organizing communication and coordination among a group of systems engineers should follow the well-known  $7 \pm 2$  rule because the number of communication paths among  $N$  engineers is  $N(N-1)/2$ ; i.e., the number of links in a fully connected graph (Brooks 1995). There are 10 communication paths among 5 engineers, 21 among 7 engineers, and 36 among 9 engineers. An SE team of more than 10 members (45 paths) should be organized hierarchically with a top-level team leader. Sub-teams can be partitioned by product subsystem or by process work activities (analysis, design, integration).

## Staffing the Team

Once the organizational structure of the SE team is understood, the team can be staffed. As noted in Enabling Individuals, competency of an individual is manifest in the knowledge, skills, abilities, and attitudes needed for the individual to perform a specific task efficiently and effectively. Different levels of competency may be needed in different situations. Competencies include occupational competence, social competence, and communication competence. Competent systems engineers, for example, have SE knowledge, skills, and ability; engage in systems thinking; possess emotional intelligence; and have good communication and negotiation skills. In addition, competent systems engineers are typically competent within specific domains (e.g. aerospace, medicine, information technology) and within specific process areas of systems engineering (e.g., requirements, design, verification and validation). (See Part 3, Systems Engineering and Management for more information on specific process areas.) The article on Roles and Competencies includes a summary of SE competency models. Based on the context, these competency models are tailored to match the needs of each project. The roles within the team are defined, and competencies are linked to the roles. The lists of competencies given in those models are most often distributed among the members of a SE team. It is not often that a single individual will possess the full list of competencies given in these models.

In addition to individual competencies to perform SE roles, the collective SE competencies needed by a team depend on additional factors including the domain, the stakeholders, the scope of the effort, criticality of outcome, new initiative versus enhancement, and the responsibilities and authority assigned to the team. For example, collective SE competencies needed to develop the IT enterprise architecture for a small company are quite different from those needed to develop the architecture of an aircraft which is engineered and manufactured in a distributed fashion around the world.

To determine the collective set of competencies an SE team needs to conduct a project or program, perform the following steps:

1. Identify the context, to include:
  1. domain
  2. stakeholders
  3. organizational culture
  4. scope of effort
  5. criticality of the product, enterprise endeavor, or service
  6. new initiative or sustainment project
2. Clarify the responsibilities, authority, and communication channels of the systems engineering team
3. Establish the roles to be played by systems engineers, and other project personnel as determined by context, responsibilities, and authority
4. Determine the required competencies and competency levels needed to fill each of the systems engineering roles

5. Determine the number of systems engineers needed to provide the competencies and competency levels for each role
6. Determine the availability of needed systems engineers
7. Adjust based on unavailability of needed systems engineers
8. Organize the systems engineering team in a manner that facilitates communication and coordination within the SE team and throughout the project or program
9. Consult stakeholders to ask “What are we missing?”

Competency models and skills inventories, such as INCOSE (2010) and Curtis et al. (2001), can be used as checklists to assist in determining the needed competencies and competency levels for a product, enterprise, or service. (See Roles and Competencies.)

When the needed competencies, competency levels, and capacities have been determined, one of two situations will arise: In the optimal situation, the number of systems engineers who have the needed competencies and competency levels to fill the identified roles will be available; or, they will be unavailable or cannot be provided because of insufficient funding. For example, a new initiative may need a lead engineer, a requirements engineer, a systems architect and a systems integrator-tester to accomplish systems engineering tasks. Budgetary constraints may indicate that only two of the four roles can be supported. Compromises must be made; perhaps the system architect will be the lead engineer and the requirements engineer will also be assigned the tasks of system integration and testing despite lacking the desired level of skill and experience (i.e., competency level) in integration and testing.

## Developing the Team

Before a team that performs SE can be effective, it needs to establish its own identity, norms, and culture. The well-known four stages of *“forming, storming, norming, performing”* (Tuckman 1965, 384-399) indicate that a SE team needs time to form, for the members to get to know and understand each other as well as the tasks to be performed, and to work out how best to work together. It is also important that care is taken to ensure, to the greatest extent possible, assignment of roles and responsibilities that would allow SE team members to satisfy their individual goals (Fraser 2010).

The *cost and time to cohesion* can be minimized by good selection and management of the SE team, consistent training across the business so that team members have a common framework of understanding and language for their work, good “infostructure” to allow easy and useful sharing of information, and shared behavioral norms and values. Conversely, in cross-site, inter-company and international SE teams, more time must be allowed for team formation. SE teams are more effective if attention is given to ensuring that each member's work satisfies their individual goals as well as the team and organizational objectives (Fraser 2010).

According to Stephenson and Weil (1992), capable people are:

*those who know how to learn; are creative; have a high degree of self-efficacy, can apply competencies in novel as well as familiar situations; and work well with others. In comparison to competency, which involves the acquisition of knowledge and skills, capability is a holistic attribute.*

The results of a survey by Steward Hase (2000) concluded that the following are significant contributors to the human elements of capability:

- Competent People
- Working in Teams
- Visible Vision and Values
- Ensuring Learning Takes Place
- Managing the Complexity of Change
- Demonstrating the Human Aspects of Leadership
- Performing as Change Agents

- Involving People in Change
- Developing Management Talent
- Committing to Organizational Development

These attributes of human capability apply to all members of an organization, including systems engineers, both as individuals and as members of project teams.

DeMarco and Lister (1999) discuss “teamicide” techniques by which management, perhaps unintentionally, practices *sure fire techniques to kill teams*. Teamicide techniques include

- physical separation of team members
- fragmentation of time
- unrealistic schedules
- excessive overtime

Methods for developing and improving SE capabilities within teams include building cohesive teams, conducting pilot projects, participating in and studying post-mortem analyses, and preparing and examining lessons learned. Members of a cohesive systems engineering team have a strong sense of commitment to the work and to the other team members. Commitment creates synergy, which results in performance greater than the sum of the performance of the individual team members.

Some key indicators of a cohesive systems engineering team (Fairley 2009, 411) are:

- clear understanding of systems engineering roles and responsibilities
- shared ownership of systems engineering work products
- willingness of systems engineers to help one another and to help other project members
- good communication channels among systems engineers and with other project elements
- enjoyment of working together

Negations of these indicators—the hallmarks of a dysfunctional team—are:

- confusion of systems engineering roles and responsibilities
- protective ownership of systems engineering work products
- unwillingness to help one another
- absence of good communications among systems engineers and with other project elements
- personal dislike of one or more other systems engineering team members

Techniques for building and maintaining cohesive systems engineering teams include:

- an appropriate number of systems engineering team members
- a correct mix of systems engineering competencies
- celebration of project milestones
- team participation in off-site events
- social events that include family members

## Assessing the Team

Performance evaluation is most often conducted for individuals. Robbins (1998, 576) states the historic belief that individuals are the core building blocks around which organizations are built. However, it is also important to assess the team's capability and performance. To design a system that supports and improves the performance of teams, including SE teams, Robbins offers four suggestions:

1. Tie the SE team's performance and the overall project team's results to the organization's goals
2. Begin with the team's customer and the work process the team follows to satisfy customer's needs
3. Measure both team and individual performance and compare them to organizational norms and benchmarks
4. Train the team to create its own measures

Robbins' approach can be applied in the context of SE:

1. Tie the SE and overall project team's results to the project's and the organization's goals. Use measures that apply to goals the team must achieve. For SE in particular, the team effort should be tied to the product or service which the organization seeks to deliver. The end product for the SE team should not be only the SE work products but the delivered products and services provided by the project. For more information on general SE assessment, see Systems Engineering Assessment and Control.
2. Consider the SE team's customers and more broadly the key stakeholders and the work processes that the SE team follows to satisfy customer needs. SE customers and stakeholders can be internal or external; the internal customers of systems engineering are the other project elements that depend on systems engineering work products and services, which can be evaluated for on-time delivery of quantity and quality. The process steps can be evaluated for waste and cycle time; i.e., efficiency and effectiveness.
3. Assess both individual and team performance. Define the roles of each SE team member in terms of the tasks that must be accomplished to produce the team's work products. For more information on individual assessment, see Assessing Individuals.
4. Finally, have the team define its own measures of achievement of goals. This helps all members of the team to understand their roles, while also building team cohesion.

As an example, NASA's Academy of Program/Project and Engineering Leadership (APPEL) provides a service where team performance is assessed and interventions are provided to the team for specific gaps in performance (NASA 2011). This performance enhancement service increases a project's probability of success by delivering the right support to a project team at the right time. APPEL offers the following assessments:

- Project/Team Effectiveness — Measures effectiveness of a team's behavioral norms
- Individual Effectiveness — Measures effectiveness of an individual's behavioral norms
- Project/Team Process Utilization — Measures the extent of a team's utilization of key processes
- Project/Team Knowledge — Covers topics that NASA project personnel should know in order to perform in their jobs

The APPEL approach can be applied to assessing the performance of a SE team and individual systems engineers.

## **Further Techniques for Building Team Capability**

Further techniques for developing SE capabilities within teams include conducting pilot projects, preparing post-mortem analyses, and participating in and studying lessons learned.

### **Pilot Projects**

Pilot projects are an effective mechanism by which SE teams can build team cohesion, acquire new skills, and practice applying newly acquired skills to projects and programs. Pilot projects can be conducted for the sole purpose of skills acquisition, or they can be conducted to determine the feasibility of a proposed approach to solving a problem. Feasibility studies and acquisition of new team skills can be combined in proof-of-concept studies. Primary inhibitors to conducting SE pilot projects are the time required and diversion of personnel resources.

## Post-Mortem Analysis

A post-mortem analysis identifies areas for improvement of SE performance in future projects and programs. Inputs to a post-mortem analysis include:

- personal reflections and recollections of project personnel and other stakeholders;
- email messages, memos, and other forms of communication collected during a project or program;
- successful and unsuccessful risk mitigation actions taken; and
- trends and issues in change requests and defect reports processed by the change control board.

Team participation in a post-mortem analysis allows SE team members to reflect on past efforts, which can lead to improved team capabilities for future projects or, if the present team is being disbanded, improved individual ability to participate in future systems engineering teams.

Inhibitors for effective post-mortem analysis include failure to allocate time to conduct the analysis, failure to effectively capture lessons-learned, failure to adequately document results, reluctance of personnel to be candid about the performance of other personnel, and negative social and political aspects of a project or program. Mechanisms to conduct effective post-mortem analyses of SE projects include using a third-party facilitator, brainstorming, Strength-Weakness-Opportunity-Threat (SWOT) analysis, fishbone (Ishikawa) diagrams, and mind mapping.

## Lessons Learned

Lessons learned in SE can be both positive and negative. Experiences gained and documented from past projects and programs can be an effective mechanism for developing and improving the capabilities of a team that performs SE tasks. Studying past lessons learned can aid in team formation during the initiation phase of a new project. Lessons learned during the present project or program can result in improved capabilities for the remainder of the present project and for future projects. Inputs for developing and documenting SE lessons learned include results of past post-mortem analyses plus personal recollections of the team members, informal *war stories*, and analysis of email messages, status reports, and risk management outcomes. Inhibitors for developing and using SE lessons learned include failure to study lessons learned from past projects and programs during the initiation phase of a project, failure to allocate time and resources to developing and documenting lessons learned from the present project or program, and reluctance to discuss problems and issues.

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**SEBoK v. 2.7, released 31 October 2022**

# Team Dynamics

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**Lead Authors:** Dick Fairley, **Contributing Authors:** Alice Squires, Art Pyster

A systems engineering (SE) team is a group of individuals who cooperatively perform a collection of SE tasks based on a shared vision and a common set of engineering objectives. Applying the practical considerations of group dynamics is essential to enabling SE teams to successfully perform SE activities. The interplay of the behaviors of humans in groups is varied, changing, and inescapable. Nevertheless, study of these behaviors has yielded valuable insight and knowledge on the dynamics of individuals within groups. The awareness and application of group dynamics is crucial to facilitating systems engineers' performance of work and achievement of their goals.

The study of group dynamics was initially within the province of psychology and later within sociology. The importance of group dynamics to successful teams has led other disciplines such as business management to study and apply team dynamics.

## History

The origins of the study of group dynamics began with Gustave Le Bon. Le Bon wrote *La psychologie des fouls* in 1895, which was translated into English as *The Crowd: A Study of the Popular Mind* a year later. Sigmund Freud wrote *Group Psychology and the Analysis of the Ego* in 1922 responding to Le Bon's work. Kurt Lewin is acknowledged as the "founder of social psychology", coining the term **group dynamics**. He founded the Research Center for Group Dynamics at the Massachusetts Institute of Technology in 1945, relocating in 1948 to the University of Michigan. Wilfred Bion studied group dynamics from a psychoanalytical perspective. He helped found the Tavistock Institute of Human Relations in 1947. In that same year, both the Research Center for Group Dynamics and the Tavistock Institute of Human Relations founded the journal *Human Relations*. The study of group dynamics is now worldwide, active, and well established.

## Nature of Groups

Groups are endemic to human existence and experience; humans are by nature social animals. Consequentially, an informed understanding of the nature of groups is very useful in enabling teams to perform SE. Research into group behavior reveals that the nature of a group can be described by interaction, goals, interdependence, structure, unity, and stage. (Forsyth 2010, 5-10)

### Interaction

Communication (both verbal and non-verbal) among members within a group produces constantly changing and varied interactions. Group dynamics are more than the sum of the interactions between individual members; group interactions create synergistic behaviors and results. Interactions can be placed into two categories (1) socio-emotional interactions and (2) task interactions (Bales 1950, 1999).

### Goals

All groups exist for the purpose of achieving one or more goals. The goals provide the basis for the group's tasks. The tasks accomplished by the group can be categorized into activities and characterized by a Circumplex Model (McGrath 1984, 61), which establishes four quadrants, where the X-axis is *choose* vs. *execute* and the Y-axis is *generate* vs. *negotiate*.

### Interdependence

Interdependence is *the state of being dependent to some degree on other people, as when one's outcomes, actions, thoughts, feelings, and experiences are determined in whole or in part by others*. Interdependence can be categorized into five types (1) mutual, reciprocal; (2) unilateral; (3) reciprocal, unequal; (4) serial; and (5) multi-level. (Forsyth 2010, 8)

### Structure

Structure includes the organization and patterned behaviors of a group. Structure can be deliberately devised and/or emergently observed. Most groups have both kinds of structures, which are evinced in the roles and norms of the group. *The roles of leader and follower are fundamental ones in many groups, but other roles — information seeker, information giver, elaborator, procedural technician, encourager, compromiser, harmonizer — may emerge in any group* (Benne and Sheats 1948; Forsyth 2010, 9). Norms are the rules that govern the actions of group members; norms can include both formal and informal rules.

### Cohesion

The *interpersonal forces that bind the members together in a single unit with boundaries that mark who is in the group and who is outside of it* constitute a group's cohesion (Dion 2000). Cohesion is an essential quality of group; it can vary from weak to strong. A team cannot perform effectively without strong group cohesion.

### Stage

Groups exhibit stages of development. Being comprised of people, it is not surprising that groups collectively demonstrate the dynamics and growth of the individuals that constitute the group members. The most well-known and wide-spread model of the stages of group development was developed by Bruce Tuckman. The initial model identified the sequence of group development as (1) Forming, (2) Storming, (3) Norming, and (4) Performing (Tuckman 1965). He later added a final stage to the model: (5) Adjourning (Tuckman and Jensen 1977). While Tuckman's model is sequential, others have observed that groups may actually recursively and iteratively progress through the different stages (Forsyth 2010, 20).

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## Practical Considerations

The dynamics associated with creating, nurturing, and leading a team that will successfully achieve the team's goals is important and challenging. Although psychologists and sociologists have conducted and continue to conduct research to understand team dynamics, the profession of business management has additionally sought to develop practical guidance for utilizing and applying this knowledge to foster high-performance teams. Accordingly, business management has focused its contribution to the field of team dynamics by publishing practical guidebooks to analyze the problems and focus on developing solutions to the problems of team dynamics (see Additional References). There are many consultancy firms throughout the world that assist organizations with the application of practical knowledge on team dynamics. Successful systems engineering teams would do well to not ignore, but rather take advantage of this knowledge.

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# Diversity, Equity, and Inclusion

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Diversity, Equity, and Inclusion (DEI) foster increased engagement, productivity, and innovation in an organization.

## DEI in Systems Engineering

Systems engineers play a pivotal role in integrating concepts of diversity, equity, and inclusion within the teams they work on and in system design and development. In particular, systems engineers should:

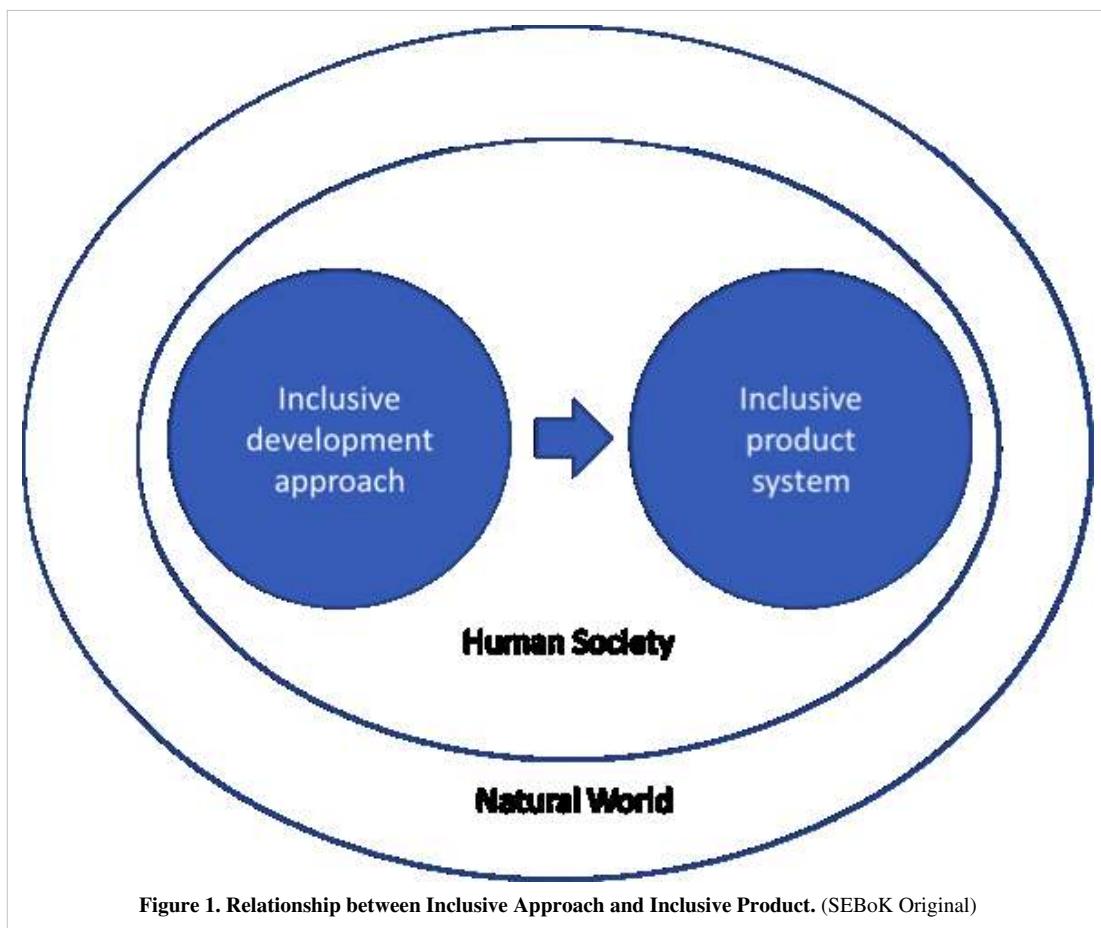
1. Ensure that the systems engineering team and its leadership is inclusive and welcomes a diverse range of talent, and where necessary taking deliberate action to provide equity.
2. Ensures that the systems we realise are as accommodating as possible of the differences within the entire stakeholder community. This is known as “inclusive engineering”.

Failure to address either aspect can result in sub-optimal outcomes whether in terms of missed solutions, lower productivity, or delivering a system that does not fully meet the needs of the whole stakeholder community, i.e. failing to meet the ultimate goal of delivering a total optimal system solution.

Systems engineers are responsible for effectively communicating the importance and value of diversity, equity, and inclusion in enabling, promoting, and advancing systems engineering and systems approaches to address complex societal and technical global challenges.

Figure 1 shows how an inclusive development approach contributes to realizing inclusive solutions, within the context of the human system (whether within an organisation, country, or the world), itself set within the context of the natural world. The natural world is shown because of the strong linkage between the full lifecycle of engineered products (from concept to disposal) and sustainable development. For instance:

- Water pollution from industrial plants affecting those who live nearby
- Air pollution from cars affecting pedestrians and those who live near major roads
- Product end of life/disposal effects e.g. hazardous substances, contribution to land-fill

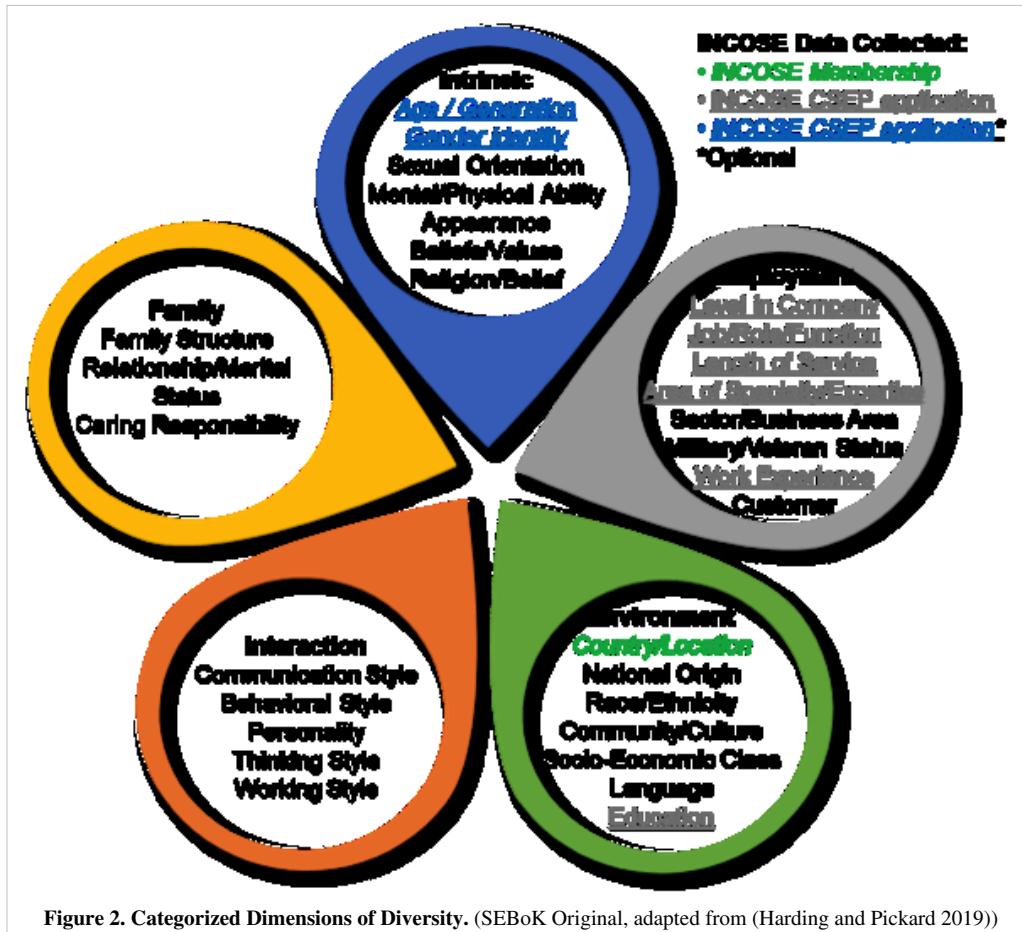


## Definitions of Diversity, Equity, and Inclusion

The following definitions are taken from the Accreditation Board for Engineering and Technology (ABET 2020), where they provide a reference point for conversations and materials about diversity, equity and inclusion.

- Diversity is the range of human differences, encompassing the characteristics that make one individual or group different from another. Diversity includes, but is not limited to, the following characteristics: race, ethnicity, culture, gender identity and expression, age, national origin, religious beliefs, work sector, physical ability, sexual orientation, socioeconomic status, education, marital status, language, physical appearance, and cognitive differences.
- Equity is the fair treatment, access, opportunity and advancement for all people, achieved by intentional focus on their disparate needs, conditions and abilities. Achieving equity requires understanding of historical and systemic patterns of disparity to address and eliminate barriers, and remove participation gaps as part of a comprehensive strategy to achieve equitable outcomes and social justice.
- Inclusion is the intentional, proactive, and continuing efforts and practices in which all members respect, support, and value others. An inclusive environment provides equitable access to opportunities and resources, empowers everyone to participate equally, and offers respect in words and actions for all.

Commonly, the compound term "Diversity, Equity and Inclusion" (abbreviated to DEI) is used to refer to the broad subject area. The definition of diversity given encompasses a wide range of characteristics. As an example, Figure 2 shows 28 of these characteristics recognised by the International Council on Systems Engineering (INCOSE) (Harding and Pickard 2019) grouped into five areas: intrinsic, employment, environment, interaction, and family. The figure shows the relevance of these characteristics to the INCOSE Systems Engineering Certification Program.



## **Relevance of Diversity, Equity, and Inclusion to Engineering**

## Relevance of Diversity, Equity, and Inclusion to Systems Engineering

DEI is vital to successful systems engineering because of the range of contexts in which it is applied and the consideration of multiple stakeholder viewpoints at the heart of the approach. Systems engineering is applied to a wide range of system types in a broad variety of contexts—engineered systems range from microelectronics to aircraft, from abstract systems to smart cities. Systems engineers may be working with a customer, a prime contractor or integrator, a supplier or product manufacturer, a research/technology organisation, or a government body. And these activities take place all over the globe, often as part of consortiums or complex partnered programmes involving multiple organisations, countries, and cultures.

Applying systems engineering requires consideration of multiple viewpoints (such as the user, maintenance, safety, security) to achieve the proper holistic view of problem and solution. This means that the systems engineering team must be able to understand and work with a wide range of stakeholders. The transdisciplinary and integrative nature of systems engineering across other disciplines and activities, again, means that the systems engineering team needs to understand and work well with all the disciplines and specialities involved in realising a system (INCOSE 2020).

Given this diversity of context and of types of systems engineered, and the wide range of stakeholders with whom they need to work, systems engineering workforce and culture should be at the forefront of DEI. In this way, we can represent as many aspects of the diverse community and their needs as possible within the team, and the diverse nature of the team also creates the innovation from which we can realise the best solutions.

Like most of engineering, systems engineering was historically not practiced by a diverse group of people. Therefore, it is necessary to apply the notions of equity (as defined) in order to ensure that the widest range of people are enabled and empowered to become and develop as systems engineers.

Inclusion (as defined) is about ensuring that the whole (diverse) team is engaged, supported and feels safe and able to give of their best to the team's activity. An inclusive team will produce increased productivity and better-quality outcomes than the alternative. It also provides increased potential for inclusive products because of the greater range of stakeholder views within the team.

## Inclusive Engineering

Inclusive Engineering (Inclusive Engineering, n.d.) is the discipline of ensuring that engineering products and services are accessible to and inclusive of all users and are as free as possible from discrimination and bias. This should consider as far as possible all human differences (characteristics of diversity). It is a way of ensuring that engineering is appropriate, ethical, accessible, and as risk free as possible. The extent to which an engineered system is inclusive reduces the degree to which adaptation has to be applied to address the needs of people with differences e.g., differing vision, differing strength or motor functions.

In their enthusiasm for solutions engineers often do not stop to think about whether they have considered all of the things that impact on their design – and in particular all of the non-technical requirements that are not specified by the client or potential beneficiary. As a result, proposed solutions often lack the perspectives of people who have not been involved in their development – and in an industry which is notoriously lacking in diversity – this often means that they fail to include the perspectives of women, people with disabilities, the ageing population, and those with other under-represented characteristics.

Figure 3 shows an inclusive engineering framework (ref. 8) which has eight elements, all of which are important factors for systems engineers to address even if the stated requirements do not cover them.

One way that systems engineers can maximise the potential for inclusive and sustainable solutions is to ensure that DEI considerations are through application of the ISO/IEC/IEEE 15288:2015 Technical Processes. Table 1 illustrates the application of Inclusive Engineering these processes.

**Table 1. Mapping of the application of ISO/IEC/IEEE 15288:2015 Technical Processes to Inclusive Engineering considerations.**

<b>ISO/IEC/IEEE 15288:2015 Technical Process</b>	<b>Inclusive Engineering considerations</b>
Business or Mission Analysis	<ul style="list-style-type: none"> <li>• Ensure all stakeholders are identified, both the obvious (beneficial) stakeholders, and those potentially affected by the system and the associated project (referred to as “unwilling” stakeholders).</li> </ul>
Stakeholder Needs and Requirements Definition	<ul style="list-style-type: none"> <li>• Identify stated stakeholder needs and the unstated but necessary needs arising from inclusive design – e.g. access, language, disability.</li> <li>• Use understanding of Sustainable Development Goals, circular economies etc. to inform future-looking discussions about needs.</li> </ul>
System Requirements Definition	<ul style="list-style-type: none"> <li>• Ensure that inclusion considerations result in well-specified requirements drawing on standards and legislation as necessary.</li> <li>• Ensure that definition of the System Boundary is informed by its intended and unintended emergent effects on its wider context.</li> <li>• Facilitate careful trade-off and option analysis to optimise equitable outcomes.</li> </ul>
Architecture Definition	<ul style="list-style-type: none"> <li>• Ensure that all necessary Architecture viewpoints are considered to ensure that inclusion and sustainability factors can be given due consideration.</li> <li>• Ensure that Architectures are open to allow future technology adoption where beneficial during the system lifecycle.</li> </ul>
Design Definition	<ul style="list-style-type: none"> <li>• Ensure that technology choices and principles for design evolution are informed by Sustainable Development Goals, circular economies etc.</li> </ul>
System Analysis	<ul style="list-style-type: none"> <li>• Ensure that System Analysis includes the modelling and prediction of inclusive engineering and sustainable development factors, in particular modelling to understand key emergent outcomes.</li> </ul>
Implementation	<ul style="list-style-type: none"> <li>• Ensure that the design team is diverse, properly trained, and understands the principles of diversity, equity, inclusion, sustainability, circular economy, etc.</li> </ul>
Integration	<ul style="list-style-type: none"> <li>• Ensure that the integration process is safe, secure, and environmentally compliant.</li> </ul>
Verification	<ul style="list-style-type: none"> <li>• Ensure that planned verification activities fully address all aspects of diversity, equity, and inclusion for all relevant stakeholders and are safe, secure, and environmentally compliant.</li> </ul>
Transition	<ul style="list-style-type: none"> <li>• Ensure that transition plans fully cover all stakeholders and are safe, secure, and environmentally compliant, and that any temporary/transitional arrangements do not have accidental negative effects on unwilling stakeholders or the natural environment i.e., there is an equitable transition plan.</li> </ul>
Validation	<ul style="list-style-type: none"> <li>• Ensure that planned validation activities fully address all aspects of diversity, equity, and inclusion for all relevant stakeholders including indirect/unwilling stakeholders and the natural environment and are safe, secure, and environmentally compliant.</li> </ul>
Operations	<ul style="list-style-type: none"> <li>• Ensure that selection and training for operations staff is sufficient that a diverse group of operators can correctly operate all aspects of the system such that the system remains safe, secure, and environmentally compliant.</li> </ul>
Maintenance	<ul style="list-style-type: none"> <li>• Ensure that selection and training for maintenance staff is sufficient that a diverse group of maintainers can correctly operate all aspects of the system such that the system remains safe, secure, and environmentally compliant.</li> <li>• Ensure that planned maintenance ensures that the system fully meets its initial specification throughout its service life e.g., energy use, emissions, pollution.</li> </ul>
Disposal	<ul style="list-style-type: none"> <li>• Ensure that selection and training for disposal staff is sufficient that a diverse group of staff can correctly dispose of hazardous materials such that the system remains safe, secure, and environmentally compliant.</li> <li>• Ensure that disposal of hazardous materials is carefully planned, and that recycling and reuse opportunities are maximised.</li> </ul>

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None.

### Additional References

None.

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# Technical Leadership in Systems Engineering

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Leadership is an important but often overlooked component of technical projects and programs. It addresses the performance of people: their behaviors, their ability to think individually and collectively, and their motivation and energy. Technical leadership in systems engineering creates the environmental conditions conducive to good performance: support of shared understanding, innovation, problem solving, resilience and learning. Leadership is thus complementary to management, which directs specific activities to deliver outputs. A systems engineering leader may lead a team of systems engineers for a project or program, or may be the only systems engineer in a team of diverse members involved in project or program (e.g. other engineers, IT personnel, service providers). There are various models and styles of leadership and key to success is matching leadership to the needs of a situation. "Models" of leadership describe the mechanisms by which leadership arises and operates (e.g. situationally-driven or caused by a charismatic individual). "Styles" of leadership describe the manner in which a leader (or a leadership team) leads (e.g. task-focused or people-focused; autocratic, democratic or "laissez-faire" (Lewin et al., 1939)).

There is a vast amount of literature addressing leadership issues from multiple points of view, including philosophical, psychological and emotional considerations (Yukl, 2012). This article highlights key aspects of leadership theory to help systems engineers understand how they may influence the success of their team and organization. Leadership theory provides the basic building blocks for adapting leadership behaviors at work. The pragmatic aspects of leading team members involved in systems engineering are summarized in section 1.11. This section highlights the need to use different approaches to leadership across the systems engineering context, and it is therefore important to be able to understand and adopt the leadership behaviors discussed in the preceding sections, as judged appropriate. Related knowledge areas and articles are in the Part 5 Knowledge Area Part 5 Enabling Systems Engineering and the Part 6 Knowledge Area Systems Engineering and Project Management.

## Attributes of Effective Leaders

### Traditional Attitudes to Technical Leadership

The need for leadership in an engineering environment has not been widely emphasized or understood. Traditional academic engineering curricula do not cover the development of leadership skills, and industry professionals tend to be task-oriented, with project leaders perceived in terms of power and authority (Toor and Ofori, 2008). In many cases, technical organizations focus on management rather than leadership. "Managers are people who do things right while leaders are people who do the right thing" (Bennis and Nanus, 1985). Doing the right thing is not only about identifying the right approach in the first place; it is also about taking responsibility for understanding and challenging the progression of a project or program in a continuous manner. It is now recognized that leadership is a critical component of successful projects and programs, and that technical leadership is likely to be a distributed responsibility.

### Great Man Theories: Traits and Charisma Models of Leadership

Early concepts of leadership were driven by views of leaders as heroic figures, with particular qualities that made them different to other people. The notion of "charisma" was used to describe the ability to charm and influence followers. Numerous studies have been conducted to try and define the particular personality traits that made someone a born leader. The findings are not clear-cut, partly because there are many different models of personality which produce different results (Hippocrates first identified 4 personality dimensions in the 5th Century BC, and many different conceptualizations have been devised since then). Personality tests should be used with great caution because each test has been developed for specific purposes and contexts, and is only valid within those parameters.

For tests to be valid they must undergo a strict set of tests with extensive data sets, and then they must be used exactly as specified by the validation process. The current best consensus of evidence is that there are 5 main dimensions of personality: "Extraversion" (talkative, sociable); "Agreeableness" (good natured, co-operative); "Conscientiousness" (responsible, tidy); "Neuroticism" (general level of anxiety or composure); and "Openness" (to new experiences). This 5-Factor model has good validity across literate populations, but even this model may not be universal (Gurven et al., 2013). There is some evidence that extraversion is associated with leadership roles, but this is not always a predictor of success, and may reflect a cultural stereotype which leads to people who behave like leaders being more likely to get leadership roles. Different contexts will change the value of extraversion (and other traits) in a leader. (See Judge et al. (2002) for a meta-analysis of the literature).

In business settings, the Myers-Briggs Type Indicator (MBTI) personality test is often used as part of guided discussions to assist with self-development (although it lacks the important personality dimension of 'neuroticism'). People can use their MBTI profiles to help them use their strengths more effectively. Occasionally, MBTI is misused as a basis for selection, especially for leadership roles. The evidence indicates this is not justified (National Research Council, 1991).

## **Transactional and Transformational Leadership Styles**

Certain behaviors have been associated with successful leadership. These behaviors arise from the style of leadership and particularly the attention paid to the task compared to team relationships. Such differences are described as transactional and transformational styles (Burns, 1978). Transactional leadership is closely allied to management, focused on defined task outputs and incentivizing people to follow directions by rewarding and punishing.

Transformational leadership is concerned with achieving outcomes through the development of the people (team building), building trust, developing a shared vision, motivation, cultivating relationships and sharing knowledge. Both types of leadership have value, but transformational leadership is needed for developing the culture of an organization, and for ensuring qualities such as safety, adaptability, learning and improvement. It is usually considered the most valuable form of leadership.

Understanding that different styles have value for different situations provides the basis for leadership models that recognize the interactions between style and situation. Fiedler's Contingency Model, Hersey et al.'s Situational Model and House's Path-Goal Theory (all described below) provide useful variations on this approach.

## **Contingency Model of leadership**

Fielder's Contingency Model (1964) states that there is no one best style of leadership. Effectiveness is about the match between leadership style (defined as task or relationship-oriented) and situation (defined by: the degree to which the leader is supported by the group; the degree to which the task is clearly structured; and the degree to which the leader can reward and punish team members). Fiedler devised a way of assessing leaders' styles by measuring their attitude to their 'least preferred co-worker' or LPC. In general terms, leaders who are more negative about their LPC are task-oriented and focus on organizing. Leaders who are more positive towards their LPCs are more able to avoid conflict, promote innovation and learning and are better at making complex decisions. In moderate situations (not extreme in any of the three situation dimensions), the more positive, relationship-oriented leaders appear to be more successful (Valle & Avella, 2003). This contingency model of leadership was found to predict leadership style in an information systems engineering environment, where leadership functions were distributed across technical experts and the end-user (Franz, 1985).

## Situational Theory

Situational Theory offers a model of leadership in which any individual leader adapts his or her style according to the needs of the situation. For example, they can learn to change from being task-focused to being relationship focused. They may also adapt according to their own changing status. Hersey, Blanchard and Johnson (2001) describe four modes that leaders can adapt between, according to the nature of the members of the team or organization: delegating, supporting, coaching, and directing. In this situational model, leadership is a learned skill based on understanding context and self-awareness.

## Path-Goal Model

The Path-Goal Theory describes the leader's role as helping followers to develop behaviors that allow them to achieve their goals (House and Mitchell, 1974). Leaders are facilitators for others' achievements, e.g. providing resources, associations, knowledge and support. Leaders are members of a community of practice united in a common enterprise and sharing a common culture: history, values, ways of doing things, and ways of talking (Drath and Palus, 1994). In technical leadership, this means helping technical followers to perform effectively in their tasks, and in systems engineering this means facilitating pathways of communication between different areas, encouraging attitudes and behaviors that promote integrated perspectives.

## Authentic Leadership

Somewhat in contrast to the principle of leading by adapting style, and thus in effect "acting the part", research on leaders being "authentic" evaluates the effectiveness of staying true to one's own natural style. Successful authentic leaders are described as positive, leading from the heart, concerned with ethics, building on trust, motivating people to achieve challenging tasks. According to the authentic leadership literature (e.g., Gardner et al., 2011; Walumbwa et al., 2008), authentic leaders display four types of behaviors. These include balanced processing (taking evidence from all sides), internalized moral perspective (driven more by morality than external pressures), relational transparency (openly sharing thoughts and feelings), and self-awareness (understanding of self and how others view them) (Gardner et al., 2011). These behaviors are likely to lead to a team having trust in the leader, which will be important in a technical context where safely achieving the right outcome= in a complex situation is paramount.

Allied to authentic leadership in terms of behaviors is the concept of Servant Leadership, described as having seven key practices: self-awareness; listening; inverting the pyramid (leadership hierarchy); developing your colleagues; coaching, not controlling; unleashing the energy and intelligence of others; and foresight. Keith (2012), and Sipe and Frick (2009) have a similar list: servant leaders are individuals of character, put people first, are skilled communicators, are compassionate collaborators, use foresight, are systems thinkers, and exercise moral authority.

The servant leadership elements of Empowerment, Standing Back / Sharing Credit, Courage / Risk Taking, Humility, Authenticity, and Stewardship were shown to have a statistically significant correlation with innovation output from engineering teams when applied at a frontline team leadership level (McCleave and Capella, 2015).

## Complexity Leadership and the Leadership Process

Authentic and servant leadership styles place a leader in the role of a facilitator, rather than a director; someone who can leverage the capabilities of the team and create synergistic benefits. This perspective is taken a step further in the model of leadership that comes from complexity theory.

Complexity Leadership describes leadership as promoting emergent adaptive outcomes from organizations (such as learning and innovation). Organizations are considered to be complex adaptive systems and leadership can take three forms: administrative, adaptive and enabling. Each form will vary itself according to its locus in an organizational hierarchy. The complex adaptive functions provide the adaptive capability while the bureaucratic functions provide the coordinating structures. Leadership should disentangle these two types of functions in a way that enhances the effectiveness of the organization (Marion & Uhl-Bien, 2001). In this model, leadership is mostly about developing

interactions.

Complexity leadership is differentiated from leaders as individuals, because in some cases leadership is about a function rather than a person. In a technical situation such as a Systems Engineering team, this will be an important consideration, as different people will have technical expertise and will be required to provide leadership in areas such as understanding, challenging and communicating. Systems engineering teams consist of members from diverse disciplines with diverse interests. Silos of self-interest must be broken down (or at least effective communication among silos must be established and a balance between global system concerns and provincial disciplinary interests must be maintained.)

Manz and Sims (1989) also see leadership as a process, but they focus on self-leadership within each individual more than the behaviors and actions of a few select people designated as formal leaders in an organization. With this perspective, most people have some contribution to leadership.

## **Followership**

Equally important is the concept of followership. A leader can only lead with effective followers. In technical situations, where a distributed process of leadership may be needed, this is especially important. The study of followership is much less developed than that of leadership, although they are two sides of the same coin. Uhl-Bien et al. (2014) have conducted a review of the literature to date and identify two theoretical frameworks for understanding followership: a role-based approach and a process approach. They warn against too much focus on a leader role and not enough on the leadership process, and suggest that understanding followership can help with:

- Recognizing the importance of follower roles, following behaviors, and the leadership process
- Understanding leadership processes and its outcomes as a function of leaders and followers
- Identifying effective followership behaviors
- Embedding context in the leadership process
- Recognizing that leadership can flow in all directions
- Understanding why and how managers are not always able to co-construct leadership with their subordinates
- Developing followership

This perspective is supportive of a distributed leadership function and is helpful for supporting people who have leadership roles as a consequence of their technical knowledge rather than their desire to lead or comfort with doing so.

Associated with followership development is the nature of motivation within the individuals that the leader wishes to influence. The term “motivation” has been used to describe a range of possible causes of behavior, and no single theory can explain all situations. A useful distinction, however, is the difference between “intrinsic” and “extrinsic” motivation. The former relates to factors arising from emotions, ambitions, expectations and other internal states of an individual, and tends to be the focus of transformational leaders (see section 1.3). The latter relates to factors arising from external factors such as threats, rewards, and social pressure, and tends to be the focus of transactional leaders (also in section 1.3). It is important to recognize that there are cultural and professional differences in the strength of internal and external causes of motivation. One famous model of motivation by Maslow (1943), the “Hierarchy of Needs”, is useful to assess a range of potential factors, but does not have scientific validity and is based on a rather narrow Western 20th Century perspective. For example, it does not explain why people are willing to undergo physical hardship to conquer higher level challenges; or why some cultures are collectivist while others are individualistic. (A useful review of these culture differences can be found in Triandis et al., 1988).

A more actionable approach to motivation emphasizes an individual’s mental model of what is important (valence), what their own role is in achieving it (instrumentality), and how able they are to achieve it (expectancy). This was first described by Vroom (1964) and has led to the concept of ‘empowering’ individuals (e.g. Conger and Kanungo, 1988). The Path-Goal model of leadership (section 1.6) aims to facilitate performance by addressing these aspects of motivation. This approach to motivation, called Expectancy Theory, can help leaders understand how to motivate

employees through challenge and self-belief (Isaac, Zerbe, and Pitt, 2001).

An attempt to understand motivation at the organizational level has led to the concept of "organizational energy" (Cole, Bruch and Vogel, 2005). According to the existing overall energy type in an organization, a leader should adopt a different motivational strategy to achieve the optimum "productive" energy, which is described as high intensity and positive. A resignative energy (low intensity, negative) requires the development of a vision, empowerment and challenge. A corrosive energy (high intensity, negative) requires better communication and the development of trust. A comfortable energy (low intensity, positive) requires the identification of an external threat.

## Competencies

Leadership competencies are the knowledge and skills required by individuals and teams for making leadership effective. Sometimes traits and other individual differences are added to skills and knowledge to create a "Competency Framework" for the leadership characteristics needed for a role. Communication, managing staff by supporting and providing feedback, and emotional competence are often featured in these frameworks. It is important to distinguish between those characteristics that are learned and those that are based on traits. Learned competencies can be enhanced through personal development; innate individual differences could be acquired for a role through personnel selection (although selection based on personality is not recommended: see section 1.2). As indicated above, leadership depends on many behaviors, including matching style to situations, effective followership, and individual leadership.

A number of roles will be required in a team, and ideally these may be distributed to individuals with the apposite competencies. Emotional competence has been the focus of much recent research and some studies show a strong correlation with effective leadership (e.g. Cavallo and Brienza, 2006, who used the Emotional Competence Inventory©).

Daniel Goleman has extended and publicized the concept of emotional intelligence (an innate characteristic) and the competencies (skills that can be learned) that put it into practice. He describes how emotional aptitudes can preserve relationships, protect our health and improve our success at work (Goleman, 1998).

Goleman differentiates 5 main categories of competence. The first three are about self-management and the last two are about being effective in relationships.

1. Self-awareness: accurate self-assessment, emotional awareness and self-confidence
2. Self-regulation: innovation, adaptability, conscientiousness, trustworthiness and self-control
3. Motivation: optimism, commitment, initiative and achievement, drive
4. Empathy: developing others, service orientation, political awareness, diversity, active listening and understanding others
5. Social skills: communication, influence, conflict management, leadership, bond building, collaboration, cooperation and team capabilities

Emotional Intelligence is most associated with transformational and situational leadership.

Communication skills are also highlighted in most leader competency frameworks. These skills are about communicating to other people and listening and being communicated to by other people. Some skills are about engagement, others about sharing understanding. In particular, avoiding hidden assumptions and understanding others' perspectives are important. Communication can take place in many ways, especially with the help of IT and social media. Each mode of communication has advantages and disadvantages. Consideration should be given to how important it is to have face-to-face communication (usually better, but especially for complex matters and when emotions are involved). Although this takes more time and effort, it will often save time and effort in the long term by reducing misunderstandings and negative emotions. Nikoi (2014) presents a collection of studies that investigated the way in which communication works across media and teams.

Communication may be synchronous or asynchronous, broadcast or individual, dialogue or one-way. Bowman (2004) has a useful summary of the advantages and disadvantages of different communication channels.

Some competencies that are often associated in the literature with good leadership are listed in Table 1. The relevance of these will depend on the style and the situation/context.

Some commonly cited attributes of effective leaders are listed in Table 1 below.

**Table 1. Attributes of Effective Leaders (Fairley 2009).**

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Listening carefully	Maintaining enthusiasm
Delegating authority	Saying "thank you"
Facilitating teamwork	Praising team for achievements
Coordinating work activities	Accepting responsibility for shortcomings
Facilitating communication	Coaching and training
Making timely decisions	Indoctrinating newly assigned personnel
Involving appropriate stakeholders	Reconciling differences and resolving conflicts
Speaking with individual team members on a frequent basis	Helping team members develop career paths and achieve professional goals
Working effectively with the project/program manager and external stakeholders	Reassigning, transferring, and terminating personnel as necessary

Characteristics that result in effective leadership of systems engineering activities include behavioral attributes, leadership style, and communication style. In addition, a team leader for a systems engineering project or program has management responsibilities that include, but are not limited to: developing and maintaining the systems engineering plan, and establishing and overseeing the relationships between the project/program manager and project/program management personnel.

### **Implications for technical leadership in systems engineering**

Leadership can have a significant impact on engineering performance (Kolb, 1995) and resilience (Flin, 2006). The models and styles of leadership described above emphasize the power of social skills: the ability to relate to and connect with other people. This appears to be particularly true for the sorts of situations that system engineering leaders are likely to find themselves in: working on complex problems with other professionals who are willing to follow but need to be confident in the leader's technical skill and trustworthiness. The technical leader should possess not only essential technical knowledge but should also have positive values, high levels of ethics, morality, leadership from the heart, personal capabilities, out-of-the-box thinking, interpersonal skills, etc. (Lloyd-Walker and Walker, 2011).

In a systems engineering context it is useful to recognize that different leadership functions may be distributed across a team. Some leadership functions will be knowledge focused, but it may be necessary to have a 'facilitator' (complexity) leader to ensure that the team follows the most appropriate leadership at any time. Each organization will have particular leadership requirements, which should be articulated in a behavioral framework in order to identify the most effective leadership styles and competencies, and where and how they should be applied.

Leadership capability for systems engineers should therefore be seen as a distributed capability to be developed across engineers. NASA takes a systems approach to developing leadership in their Systems Engineering Leadership Development Program (SELDP). They define technical leadership as the 'art' of systems engineering. Technical

leadership includes broad technical domain knowledge, engineering instinct, problem solving, creativity, and the leadership and communication skills needed to develop new missions and systems. It focuses on systems design and technical integrity throughout the life cycle. A system's complexity and the severity of its constraints drive the need for systems engineering leadership (Williams and Reyes, 2012).

Selecting leaders by promoting the best technical performers or the most ambitious candidates is not an effective way of ensuring good leadership in an organization or program. For this reason, companies such as General Electric, Motorola, Toyota, Unilever, Raytheon, and Northrop Grumman use internal leadership academies to develop their leadership capability according to their needs (Daniels, 2009). A role model approach may be effective only if the appropriate role model is paired with a candidate, with good leadership characteristics that are valid for the situation (Yukl, 2012).

More effective approaches would involve developing competencies that can be learned through example, experience and reflection. The most effective methods will depend on the competencies needed, the type of organization, and the opportunities. They could include coaching, mentoring, shadowing, 'assistant-to' trial periods, and career management to provide experience (e.g. Fast-track).

There must also be an element of self-development: systems engineers should recognize the impact that people (or 'soft') issues have on the performance of a technical team and organization and learn how to adjust their own behavior and facilitate the behavior of others.

## **Behavioral Attributes**

Behavioral attributes are habitual patterns of behavior, thought, and emotion that remain stable over time (Yukl 2013). Positive behavioral attributes enable a systems engineering leader to communicate effectively and to make sound decisions, while also taking into consideration the concerns of all stakeholders. Desirable behavioral attributes for a systems engineering leader include characteristics such as (Fairley 2009):

- Aptitude - This is exhibited by the ability to effectively lead a team. Leadership aptitude is not the same as knowledge or skill but rather is indicative of the ability (either intuitive or learned) to influence others. Leadership aptitude is sometimes referred to as charisma or as an engaging style.
- Initiative - This is exhibited by enthusiastically starting and following through on every leadership activity.
- Enthusiasm - This is exhibited by expressing and communicating a positive, yet realistic attitude concerning the project, product, and stakeholders.
- Communication Skills - These are exhibited by expressing concepts, thoughts, and ideas in a clear and concise manner, in oral and written forms, while interacting with colleagues, team members, managers, project stakeholders, and others.
- Team Participation - This is exhibited by working enthusiastically with team members and others when collaborating on shared work activities.
- Negotiation - This is the ability to reconcile differing points of view and achieve consensus decisions that are satisfactory to the involved stakeholders.
- Goal Orientation – This involves setting challenging but not impossible goals for oneself, team members, and teams.
- Trustworthiness - This is demonstrated over time by exhibiting ethical behavior, honesty, integrity, and dependability in taking actions and making decisions that affect others.

Weakness, on the other hand, is one example of a behavioral attribute that may limit the effectiveness of a systems engineering team leader.

## Personality Traits

The concept of "personality traits" was initially introduced in the early 1900's by Carl Jung, who published a theory of personality based on three continuums: introversion-extroversion, sensing-intuiting, and thinking-feeling. According to Jung, each individual has a dominant style which includes an element from each of the three continuums. Jung also emphasized that individuals vary their personality traits in the context of different situations; however, an individual's dominant style is the preferred one, as it is the least stressful for the individual to express and it is also the style that an individual will resort to when under stress (Jung 1971). The Myers-Briggs Type Indicator (MBTI), developed by Katherine Briggs and her daughter Isabel Myers, includes Jung's three continuums, plus a fourth continuum of judging-perceiving. These four dimensions characterize 16 personality styles for individuals designated by letters, such as ISTP (Introverted, Sensing, Thinking, and Perceiving). An individual's personality type indicator is determined through the answers the person has provided on a questionnaire (Myers 1995) combined with the individual's self-assessment which is done one to one with a qualified practitioner or in a group setting. MBTI profiles are widely used by coaches and counselors to help individuals assess how their personality type will affect how they might react in a particular profession and make suggestions about which professions might suit their individual preferences. It should never be used to decide which profession would be "most comfortable and effective" as the MBTI measures preference not ability. The MBTI has also been applied to group dynamics and leadership styles. Most studies indicate that groups perform better when a mixture of personality styles work together to provide different perspectives. Some researchers claim that there is evidence that suggests that leadership styles are most closely related to an individual's position on the judging-perceiving scale of the MBTI profile (Hammer 2001). Those on the judging side of the scale are more likely to be "by the book" managers, while those on the perceiving side of the scale are most likely to be "people-oriented" leaders. "Judging" in the MBTI model does not mean judgmental; rather, a judging preference indicates a quantitative orientation and a perceiving preference indicates a qualitative orientation. The MBTI has its detractors (Nowack 1996); however, MBTI personality styles can provide insight into effective and ineffective modes of interaction and communication among team members and team leaders. For example, an individual with a strongly Introverted, Thinking, Sensing, and Judging personality index (ITSJ) may have difficulty interacting with an individual who has a strongly Extroverted, Intuiting, Feeling, Perceiving personality index (ENFP).

## Leadership Styles and Communication Styles

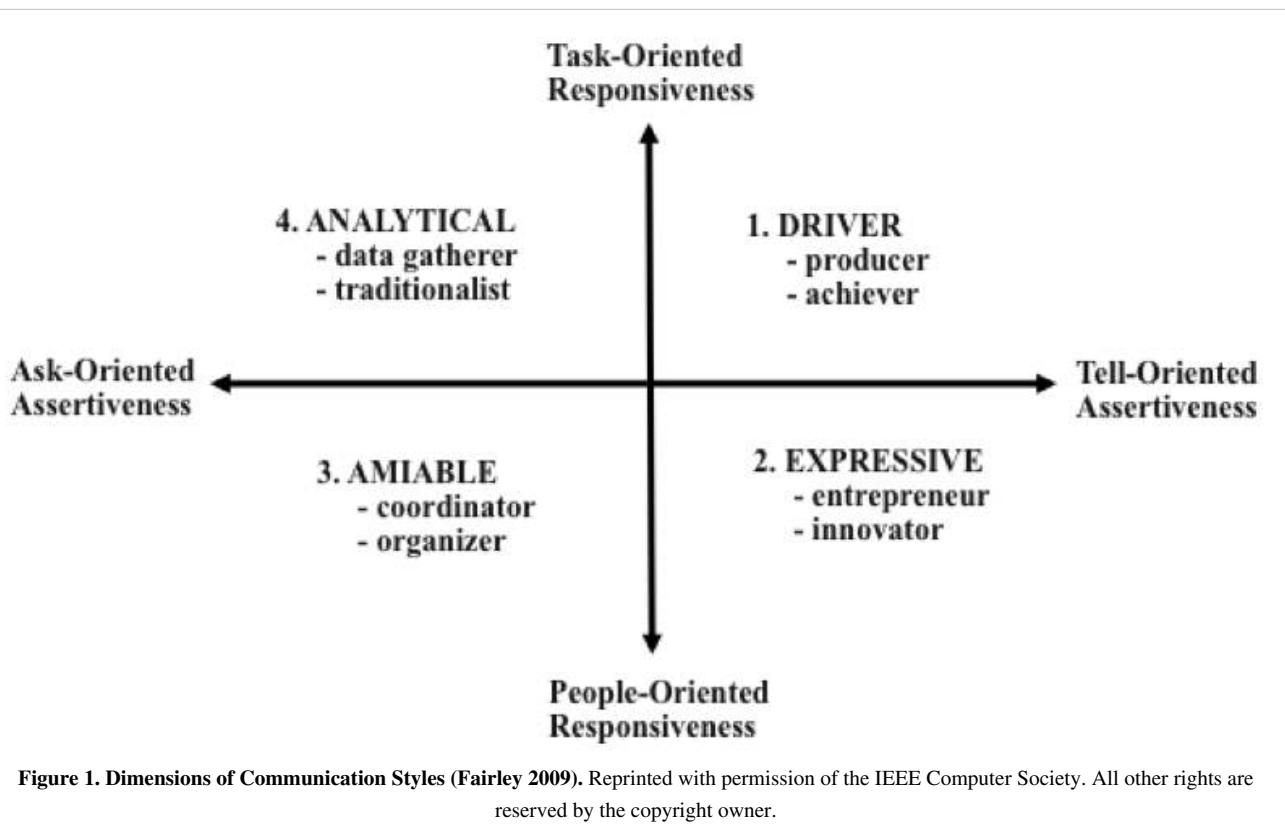
There is a vast amount of literature pertaining to leadership styles and there are many models of leadership. Most of these leadership models are based on some variant of Jung's psychological types. One of the models, the Wilson Social Styles, integrates leadership styles and communication styles (Wilson 2004). The Wilson model characterizes four kinds of leadership styles:

- Driver leadership style - This is exhibited when a leader focuses on the work to be accomplished and on specifying how others must do their jobs.
- Analytical-style leadership - This emphasizes collecting, analyzing, and sharing data and information. An analytical leader asks others for their opinions and recommendations to gather information.
- Amiable leadership style – This is characterized by emphasis on personal interactions and on asking others for their opinions and recommendations.
- Expressive leadership style – Like the amiable style, this also focuses on personal relationships, but an expressive leader tells others rather than asking for opinions and recommendations. When taken to extremes, each of these styles can result in weakness of leadership. By focusing too intently on the work, "drivers" can provide too much or too little guidance and direction. Too little guidance occurs when the individual is preoccupied with her or his personal work, while too much guidance results in micromanagement, which limits the personal discretion for team members. Drivers may also be insensitive to interpersonal relationships with team members and others.

Analytical leaders may provide too much information or may fail to provide information that is obvious to them, but not their team members. They do not like to discuss things they already know or that are irrelevant to the task at hand. Like driver-style leaders, they may be insensitive to interpersonal relationships with other individuals. Amiable leaders focus on interpersonal relationships in order to get the job done. They may exhibit a dislike of those who fail to interact with them on a personal level and may show little concern for those who show little personal interest in them. Expressive leaders also focus on interpersonal relationships. In the extreme, an expressive leader may be more interested in stating their opinions than in listening to others. Additionally, they may play favorites and ignore those who are not favorites. While these characterizations are gross oversimplifications, they serve to illustrate leadership styles that may be exhibited by systems engineering team leaders. Effective team leaders are able to vary their leadership style to accommodate the particular context and the needs of their constituencies without going to extremes; but as emphasized by Jung, each individual has a preferred comfort zone that is least stressful and to which an individual will resort during times of added pressure.

## Communication Styles

An additional characterization of the Wilson model is the preferred style of communication for different leadership styles, which is illustrated by the dimensions of assertiveness and responsiveness.



Task-oriented assertiveness is exhibited in a communication style that emphasizes the work to be done rather than the people who will do the work, while the people-oriented communication style addresses personnel issues first and tasks secondly. A tell-oriented communication style involves telling rather than asking, while an ask-oriented assertiveness emphasizes asking over telling. Movies, plays, and novels often include caricatures of extremes in the assertiveness and responsiveness dimensions of Wilson communication styles. An individual's communication style may fall anywhere within the continuums of assertiveness and responsiveness, from extremes to more moderate styles and may vary considering the situation. Examples include:

- Driver communication style exhibits task-oriented responsiveness and tell-oriented assertiveness.

- Expressive communication style shares tell-oriented assertiveness with the driver style but favors people-oriented responsiveness.
- Amiable communication style involves asking rather than telling (as does the analytical style) and emphasizes people relationships over task orientation (as does the expressive style).
- Analytical communication style exhibits task-oriented responsiveness and ask-oriented assertiveness.

The most comfortable communication occurs when individuals share the same communication styles or share adjacent quadrants in Figure 1. Difficult communication may occur when individuals are in diagonal quadrants; for example, communication between an extreme amiable style and an extreme driver style. Technical leaders and others can improve communications by being aware of different communication styles (both their own and others) and by modifying their communication style to accommodate the communication styles of others.

## Management Responsibilities

Leading a systems engineering team involves communicating, coordinating, providing guidance, and maintaining progress and morale. Managing a project, according to the PMBOK® Guide (PMBOK 2013), involves application of the five process groups of project management: initiating, planning, executing, monitoring and controlling, and closing. Colloquially, systems engineering project/program management is concerned with making and updating plans and estimates, providing resources, collecting and analyzing product and process data, working with the technical leader to control work processes and work products, as well as managing the overall schedule and budget. Good engineering managers are not necessarily good technical leaders and good technical leaders are not necessarily good engineering managers; the expression of different personality traits and skill sets is required. Those who are effective as both managers and leaders have both analytical and interpersonal skills, although their comfort zone may be in one of managing or leading. Two management issues that are typically the responsibility of a systems engineering team leader are:

- Establishing and maintaining the division of responsibility among him or herself, the systems engineering team leader, and the project/program manager.
- Developing, implementing, and maintaining the systems engineering plan (SEP).

Relationships between systems engineering and project management are addressed in the Part 6 Knowledge Area (KA) of the SEBoK, Systems Engineering and Project Management. Also see the Part 5 Knowledge Area Enabling Teams for a discussion of the relationships between a project/program manager and a systems engineering technical leader.

The System Engineering Plan (SEP) is, or should be, the highest-level plan for managing the Systems Engineering effort and the technical aspects of a project or program. It defines how a project will be organized and conducted in terms of both performing and controlling the Systems Engineering activities needed to address a project's system requirements and technical content. It can have a number of secondary technical plans that provide details on specific technical areas and supporting processes, procedures, tools. Also, see the Planning article in Part 3, which includes a section on Systems Engineering Planning Process Overview.

In United States DoD acquisition programs, the System Engineering Plan (SEP) is a Government produced document which assists in the development, communication, and management of the overall systems engineering (SE) approach that guides all technical activities of the program. It provides direction to developers for program execution. The developer uses the SEP as guidance for producing the System Engineering Management Plan (SEMP), which is a separate document and usually a contract deliverable that aligns with the SEP. As the SEP is a Government produced and maintained document and the SEMP is a developer/contractor developed and maintained document, the SEMP is typically a standalone, coordinated document.

The following SEP outline from (ODASD 2011) serves as an example.

1. **Introduction – Purpose and Update Plan**
2. **Program Technical Requirements**

1. Architectures and Interface Control
2. Technical Certifications

### **3. Engineering Resources and Management**

1. Technical Schedule and Schedule Risk Assessment
2. Engineering Resources and Cost/Schedule Reporting
3. Engineering and Integration Risk Management
4. Technical Organization
5. Relationships with External Technical Organizations
6. Technical Performance Measures and Metrics

### **4. Technical Activities and Products**

1. Results of Previous Phase SE Activities
2. Planned SE Activities for the Next Phase
3. Requirements Development and Change Process
4. Technical Reviews
5. Configuration and Change Management Process
6. Design Considerations
7. Engineering Tools

### **5. Annex A – Acronyms**

SEP templates are often tailored to meet the needs of individual projects or programs by adding needed elements and modifying or deleting other elements. A systems engineering team leader typically works with other team members, the project/program manager (or management team), and other stakeholders to develop the SEP and maintain currency of the plan as a project evolves. Some organizations provide one or more SEP templates and offer guidance for developing and maintaining an SEP. Some organizations have a functional group that can provide assistance in developing the SEP.

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# Knowledge Area: Enabling Individuals

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## Enabling Individuals

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This knowledge area focuses on enabling an individual to perform SE and addresses the roles of individuals in the SE profession, how individuals are developed for and assessed in these roles, and what ethical behavior is expected of them. Once an individual is enabled to perform SE using the techniques described here, the individual can apply the knowledge found in Part 3, Systems Engineering and Management, about how to perform SE.

Part 5, Enabling Systems Engineering, to which this knowledge area belongs, explores how systems engineering (SE) is enabled at three levels of organization: the business or enterprise, the team, and the individual. Ultimately, individuals perform SE tasks within a team or business.

For the sake of brevity, the term “business” is used to mean “business or enterprise” throughout most of this knowledge area. For a nuanced explanation of what distinguishes a business from an enterprise, see Enabling Systems Engineering.

### Topics

Each part of the SEBoK is composed of knowledge areas (KAs). Each KA groups topics together around a theme related to the overall subject of the part. This KA contains four topics:

- Roles and Competencies discusses allocation of SE roles, which sets of competencies correspond to particular roles, and what competency models are current in the SE world.
- Assessing Individuals discusses how to determine the level of individual proficiency and quality of performance.
- Developing Individuals explains how SE competency is acquired.
- Ethical Behavior describes the ethical standards that apply to individuals and organizations.

### Context

The following brief review of terms and concepts provides context for the topics in this knowledge area.

#### Individuals, Teams, Businesses, and Enterprises

The ability to perform SE resides in individuals, teams, and businesses. An expert systems engineer possesses many competencies at a high level of proficiency, but no one can be highly proficient in all possible competencies. Collectively, a team and a business might possess all needed competencies at a high level of proficiency. A business performs the full range of SE roles, may have dedicated functions to perform specific SE roles, and may have a strategy for combining individual, team, and business abilities to execute SE on a complex activity. Individuals within the business may be responsible for performing one or more roles.

For descriptions of SE roles and competencies from the literature, see Roles and Competencies.

## Competency, Capability, Capacity, and Performance

The final execution and performance of SE is a function of competency, capability, and capacity. There is some complexity here. For example:

- There is disagreement in the literature about whether the term competency applies to the individual level only, or can be correctly used at the team, project, and enterprise levels as well.
- Capability encompasses not just human capital, but processes, machines, tools, and equipment as well. Even if an individual has an outstanding level of competency, having to perform within a limited timeframe might degrade the results. Capacity accounts for this.

## Systems Engineering Competency

Competency is built from knowledge, skills, abilities, and attitudes (KSAA). What is inherent in an individual may be subsequently developed through education, training, and experience. Traditionally, SE competencies have been developed primarily through experience, but recently, education and training have taken on a much greater role.

SE competency must be viewed through its relationships to the systems life cycle, the SE discipline, and the domain in which the engineer practices SE.

## Competency Models

SE competency models can be used to explicitly state and actively manage the SE competencies within in an organization.

Competency models for SE typically include:

- technical KSAs;
- “soft” KSAs such as leadership and communications;
- KSAs that focus on the domains within which SE is to be practiced;
- a set of applicable competencies; and
- a scale for assessing the level of individual proficiency in each competency (often subjective, since proficiency is not easily measured).

See Roles and Competencies for descriptions of publicly available SE competency models.

## References

None.

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# Roles and Competencies

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Enabling individuals to perform systems engineering (SE) requires an understanding of SE competencies, roles, and tasks; plus knowledge, skills, abilities, and attitudes (KSAA). Within a business or enterprise, SE responsibilities are allocated to individuals through the definition of SE roles associated with a set of tasks. For an individual, a set of KSAAAs enables the fulfillment of the competencies needed to perform the tasks associated with the assigned SE role. SE competencies reflect the individual's KSAAAs, which are developed through education, training, and on-the-job experience. Traditionally, SE competencies build on innate personal qualities and have been developed primarily through experience. Recently, education and training have taken on a greater role in the development of SE competencies.

## Relationship of SE Competencies and KSAAAs

There are many ways to define competency. It can be thought of as a measure of the ability to use the appropriate KSAAAs to successfully complete specific job-related tasks (Whitcomb, Khan, White 2014). Competencies align with the tasks that are expected to be accomplished for the job position (Holt and Perry 2011). KSAAAs belong to the individual. In the process of filling a position, organizations have a specific set of competencies associated with tasks that are directly related to the job. A person possesses the KSAAAs that enable them to perform the desired tasks at an acceptable level of competency.

The KSAAAs are obtained and developed from a combination of several sources of learning including education, training, and on-the-job experience. By defining the KSAAAs in terms of a standard taxonomy, they can be used as learning objectives for competency development (Whitcomb, Khan, White 2014). Bloom's Taxonomy for the cognitive and affective domains provides this structure (Bloom 1956, Krathwohl 2002). The cognitive domain includes knowledge, critical thinking, and the development of intellectual skills, while the affective domain describes growth in awareness, attitude, emotion, changes in interest, judgment, and the development of appreciation (Bloom 1956). The affective does not refer to additional topics which a person learns about, but rather to a transformation of the person in relation to the original set of topics learned. Cognitive and affective processes within Bloom's taxonomic classification schema refer to levels of observable actions, which indicate learning is occurring. Bloom's Taxonomy for the cognitive and affective domains define terms as categories of levels that can be used for consistently defining KSAA statements (Krathwohl 2002):

Cognitive Domain:

- Remember
- Understand
- Apply
- Analyze
- Evaluate
- Create

Affective Domain:

- Receive
- Respond
- Value
- Organize
- Characterize

Both cognitive and affective domains should be included in the development of systems engineering competency models, because the cognitive domain learning concerns the consciously developed knowledge about the various subjects and the ability to perform tasks, whilst the affective learning concerns the interest in or willingness to use particular parts of the knowledge learned and the extent to which the systems engineer is characterized by taking approaches which are inherently systemic. Using the affective domain in the specification of KSAAs, is also important as every piece of information we process in our brains goes through our affective (emotional) processors before it is integrated by our cognitive processors (Whitcomb and Whitcomb 2013).

## SE Competency Models

Contexts in which individual competency models are typically used include:

- **Recruitment and Selection:** Competencies define categories for behavioral event interviewing (BEI), increasing the validity and reliability of selection and promotion decisions.
- **Human Resources Planning and Placements:** Competencies are used to identify individuals to fill specific positions and/or identify gaps in key competency areas.
- **Education, Training, and Development:** Explicit competency models let employees know which competencies are valued within their organization. Curriculum and interventions can be designed around desired competencies.

## Commonality and Domain Expertise

No single individual is expected to be proficient in all the competencies found in any model. The organization, overall, must satisfy the required proficiency in sufficient quantity to support business needs. Organizational capability is not a direct summation of the competency of the individuals in the organization, since organizational dynamics play an important role that can either raise or lower overall proficiency and performance. The articles Enabling Teams and Enabling Businesses and Enterprises explore this further.

SE competency models generally agree that systems thinking, taking a holistic view of the system that includes the full life cycle, and specific knowledge of both technical and managerial SE methods are required to be a fully capable systems engineer. It is also generally accepted that an accomplished systems engineer will have expertise in at least one domain of practice. General models, while recognizing the need for domain knowledge, typically do not define the competencies or skills related to a specific domain. Most organizations tailor such models to include specific domain KSAAs and other peculiarities of their organization.

## INCOSE Certification

*Certification is a formal process whereby a community of knowledgeable, experienced, and skilled representatives of an organization, such as the International Council on Systems Engineering (INCOSE), provides formal recognition that a person has achieved competency in specific areas (demonstrated by education, experience, and knowledge).* (INCOSE nd). The most popular credential in SE is offered by INCOSE, which requires an individual to pass a test to confirm knowledge of the field, requires experience in SE, and recommendations from those who have knowledge about the individual's capabilities and experience. Like all such credentials, the INCOSE certificate does not guarantee competence or suitability of an individual for a particular role, but is a positive indicator of an individual's ability to perform. Individual workforce needs often require additional KSAAs for any given systems engineer, but certification provides an acknowledged common baseline.

## Domain- and Industry-specific Models

No community consensus exists on a specific competency model or small set of related competency models. Many SE competency models have been developed for specific contexts or for specific organizations, and these models are useful within these contexts.

Among the domain- and industry-specific models is the Aerospace Industry Competency Model (ETA 2010), developed by the Employment and Training Administration (ETA) in collaboration with the Aerospace Industries Association (AIA) and the National Defense Industrial Association (NDIA), and available online. This model is designed to evolve along with changing skill requirements in the aerospace industry. The ETA makes numerous competency models for other industries available online (ETA 2010). The NASA Competency Management System (CMS) Dictionary is predominately a dictionary of domain-specific expertise required by the US National Aeronautics and Space Administration (NASA) to accomplish their space exploration mission (NASA 2009).

Users of models should be aware of the development method and context for the competency model they plan to use, since the primary competencies for one organization might differ from those for another organization. These models often are tailored to the specific business characteristics, including the specific product and service domain in which the organization operates. Each model typically includes a set of applicable competencies along with a scale for assessing the level of proficiency.

## SE Competency Models — Examples

Though many organizations have proprietary SE competency models, published SE competency models can be used for reference. Table 1 lists information about several published SE competency models, and links to these sources are shown below in the references section. Each model was developed for a unique purpose within a specific context and validated in a particular way. It is important to understand the unique environment surrounding each competency model to determine its applicability in any new setting.

**Table 1. Summary of Competency Models. (SEBoK Original)**

Competency Model	Date	Author	Purpose	Development Method	Competency Model Source
INCOSE UK WG	2010	INCOSE	Identify the competencies required to conduct good systems engineering	INCOSE Working Group	(INCOSE 2010), (INCOSE UK 2010)
ENG Competency Model	2013	DAU	Identify competencies required for the DoD acquisition engineering professional	DoD and DAU internal development	(DAU 2013)
NASA APPEL Competency Model	2009	NASA	To improve project management and systems engineering at NASA	NASA internal development - UPDATE IN WORK	(NASA 2009)
MITRE Competency Model	2007	MITRE	To define new curricula for systems engineering and to assess personnel and organizational capabilities	Focus groups as described in (Trudeau 2005), (Trudeau 2005)	(Trudeau 2005), (MITRE 2007)
CMMI for Development	2007	SEI	Process improvement maturity model for the development of products and services	SEI Internal Development	(SEI 2007), (SEI 2004)

Other models and lists of traits include: Hall (1962), Frank (2000; 2002; 2006), Kasser et al. (2009), Squires et al. (2011), and Armstrong et al. (2011). Ferris (2010) provides a summary and evaluation of the existing frameworks for personnel evaluation and for defining SE education. Squires et al. (2010) provide a competency-based approach that can be used by universities or companies to compare their current state of SE capability development against a government-industry defined set of needs. SE competencies can also be inferred from standards such as ISO-15288 (ISO/IEC/IEEE 15288 2015) and from sources such as the INCOSE *Systems Engineering Handbook* (INCOSE 2012), the INCOSE Systems Engineering Certification Program, and CMMI criteria (SEI 2007). Whitcomb, Khan,

and White describe the development of a systems engineering competency model for the United States Department of Defense based on a series of existing competency models (Whitcomb, Khan, and White 2013; 2014).

To provide specific examples for illustration, more details about three SE competency model examples follow. These include:

- The International Council on Systems Engineering (INCOSE) UK Advisory Board model (INCOSE 2010), (INCOSE UK 2009);
- The DAU ENG model (DAU 2013); and
- The NASA Academy of Program/Project & Engineering Leadership (APPEL) model (NASA 2009)

## **INCOSE SE Competency Model**

The INCOSE model was developed by a working group in the United Kingdom (Cowper et al. 2005). As Table 2 shows, the INCOSE framework is divided into three theme areas - systems thinking, holistic life cycle view, and systems management - with a number of competencies in each. The INCOSE UK model was later adopted by the broader INCOSE organization (INCOSE 2010).

**Table 2. INCOSE UK Working Group Competency (INCOSE UK 2010).**

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Systems Thinking	System Concepts	
	Super-System Capability Issues	
	Enterprise and Technology Environment	
Holistic Lifecycle View	Determining and Managing Stakeholder Requirements	
	Systems Design	Architectural Design
		Concept Generation
		Design For...
		• Functional Analysis
		• Interface Management
		• Maintaining Design Integrity
		• Modeling and Simulation
		• Selecting Preferred Solution
	System Robustness	
Systems Engineering Management	Systems Integration & Verification	
	Validation	
	Transition to Operation	
	Concurrent Engineering	
	Enterprise Integration	
	Integration of Specialties	
	Lifecycle Process Definition	
	Planning, Monitoring, and Controlling	

## United States DoD Engineering Competency Model

The model for US Department of Defense (DoD) acquisition engineering professionals (ENG) includes 41 competency areas, as shown in Table 3 (DAU 2013). Each is grouped according to a “Unit of Competence” as listed in the left-hand column. For this model, the four top-level groupings are: analytical, technical management, professional, and business acumen. The life cycle view used in the INCOSE model is evident in the ENG analytical grouping but is not cited explicitly. Technical management is the equivalent of the INCOSE SE management, but additional competencies are added, including software engineering competencies and acquisition. Selected general professional skills have been added to meet the needs for strong leadership required of the acquisition engineering professionals. The business acumen competencies were added to meet the needs of these professionals to be able to support contract development and oversight activities and to engage with the defense industry.

**Table 3. DoD Competency Model (DAU 2013)** Defense Acquisition University (DAU)/U.S. Department of Defense (DoD).

<b>Analytical (11)</b>	1. Mission-Level Assessment
	2. Stakeholder Requirements Definition
	3. Requirements Analysis
	4. Architecture Design
	5. Implementation
	6. Integration
	7. Verification
	8. Validation
	9. Transition
	10. Design Considerations
	11. Tools and Techniques
<b>Technical Management (10)</b>	12. Decision Analysis
	13. Technical Planning
	14. Technical Assessment
	15. Configuration Management
	16. Requirements Management
	17. Risk Management
	18. Data Management
	19. Interface Management
	20. Software Engineering
	21. Acquisition

<b>Professional (10)</b>	22. Problem Solving 23. Strategic Thinking 24. Professional Ethics 25. Leading High-Performance Teams 26. Communication 27. Coaching and Mentoring 28. Managing Stakeholders 29. Mission and Results Focus 30. Personal Effectiveness/Peer Interaction 31. Sound Judgment
<b>Business Acumen (10)</b>	32. Industry Landscape 33. Organization 34. Cost, Pricing, and Rates 35. Cost Estimating 36. Financial Reporting and Metrics 37. Business Strategy 38. Capture Planning and Proposal Process 39. Supplier Management 40. Industry Motivation, Incentives, Rewards 41. Negotiations

## NASA SE Competency Model

The US National Aeronautics and Space Administration (NASA) APPEL website provides a competency model that covers both project engineering and systems engineering (APPEL 2009). There are three parts to the model: one that is unique to project engineering, one that is unique to systems engineering, and a third that is common to both disciplines. Table 4 below shows the SE aspects of the model. The project management items include project conceptualization, resource management, project implementation, project closeout, and program control and evaluation. The common competency areas are: NASA internal and external environments, human capital and management, security, safety and mission assurance, professional and leadership development, and knowledge management. This 2010 model is adapted from earlier versions. Squires et al. (2010, 246-260) offer a method that can be used to analyze the degree to which an organization's SE capabilities meet government-industry defined SE needs.

**Table 4. SE Portion of the APPEL Competency Model (APPEL 2009).** Released by NASA APPEL.

<b>System Design</b>	SE 1.1 - Stakeholder Expectation Definition & Management
	SE 1.2 - Technical Requirements Definition
	SE 1.3 - Logical Decomposition
	SE 1.4 - Design Solution Definition
<b>Product Realization</b>	SE 2.1 - Product Implementation
	SE 2.2 - Product Integration
	SE 2.3 - Product Verification
	SE 2.4 - Product Validation
	SE 2.5 - Product Transition
<b>Technical Management</b>	SE 3.1 - Technical Planning
	SE 3.2 - Requirements Management
	SE 3.3 - Interface Management
	SE 3.4 - Technical Risk Management
	SE 3.5 - Configuration Management
	SE 3.6 - Technical Data Management
	SE 3.7 - Technical Assessment
	SE 3.8 - Technical Decision Analysis

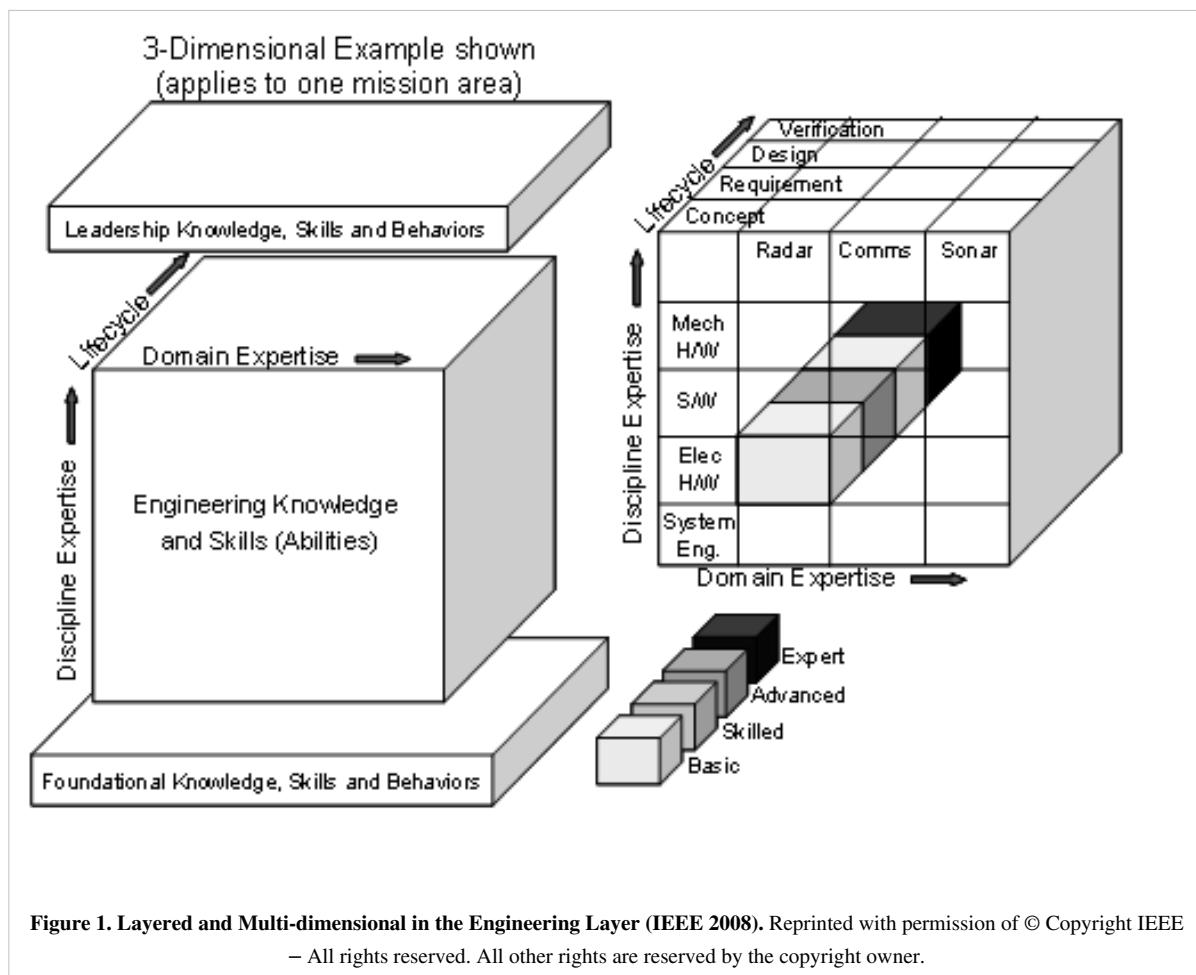
## Relationship of SE Competencies to Other Competencies

SE is one of many engineering disciplines. A competent SE must possess KSAAs that are unique to SE, as well as many other KSAAs that are shared with other engineering and non-engineering disciplines.

One approach for a complete engineering competency model framework has multiple dimensions where each of the dimensions has unique KSAAs that are independent of the other dimensions (Wells 2008). The number of dimensions depends on the engineering organization and the range of work performed within the organization. The concept of creating independent axes for the competencies was presented in Jansma and Derro (2007), using technical knowledge (domain/discipline specific), personal behaviors, and process as the three axes. An approach that uses process as a dimension is presented in Widmann et al. (2000), where the competencies are mapped to process and process maturity models. For a large engineering organization that creates complex systems solutions, there are typically four dimensions:

1. **Discipline** (e.g., electrical, mechanical, chemical, systems, optical);
2. **Life Cycle** (e.g., requirements, design, testing);
3. **Domain** (e.g., aerospace, ships, health, transportation); and
4. **Mission** (e.g., air defense, naval warfare, rail transportation, border control, environmental protection).

These four dimensions are built on the concept defined in Jansma and Derro (2007) and Widmann et al. (2000) by separating discipline from domain and by adding mission and life cycle dimensions. Within many organizations, the mission may be consistent across the organization and this dimension would be unnecessary. A three-dimensional example is shown in Figure 1, where the organization works on only one mission area so the mission dimension has been eliminated from the framework.



**Figure 1. Layered and Multi-dimensional in the Engineering Layer (IEEE 2008).** Reprinted with permission of © Copyright IEEE  
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The discipline, domain, and life cycle dimensions are included in this example, and some of the first-level areas in each of these dimensions are shown. At this level, an organization or an individual can indicate which areas are included in their existing or desired competencies. The sub-cubes are filled in by indicating the level of proficiency that exists or is required. For this example, blank indicates that the area is not applicable, and colors (shades of gray) are used to indicate the levels of expertise. The example shows a radar electrical designer that is an expert at hardware verification, is skilled at writing radar electrical requirements, and has some knowledge of electrical hardware concepts and detailed design. The radar electrical designer would also assess his or her proficiency in the other areas, the foundation layer, and the leadership layer to provide a complete assessment.

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# Assessing Individuals

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The ability to fairly assess individuals is a critical aspect of enabling individuals. This article describes how to assess the systems engineering (SE) competencies needed and possessed by an individual, as well as that individual's SE performance.

## Assessing Competency Needs

If an organization wants to use its own customized competency model, an initial decision is *make vs. buy*. If there is an existing SE competency model that fits the organization's context and purpose, the organization might want to use the existing SE competency model directly. If existing models must be tailored or a new SE competency model developed, the organization should first understand its context.

## Determining Context

Prior to understanding what SE competencies are needed, it is important for an organization to examine the situation in which it is embedded, including environment, history, and strategy. As Figure 1 shows, MITRE has developed a framework characterizing different levels of systems complexity. (MITRE 2007, 1-12) This framework may help an organization identify which competencies are needed. An organization working primarily in the *traditional program domain* may need to emphasize a different set of competencies than an organization working primarily in the *messy frontier*. If an organization seeks to improve existing capabilities in one area, extensive technical knowledge in that specific area might be very important. For example, if stakeholder involvement is characterized by multiple equities and distrust, rather than collaboration and concurrence, a higher level of competency in being able to balance stakeholder requirements might be needed. If the organization's desired outcome builds a fundamentally new capability, technical knowledge in a broader set of areas might be useful.

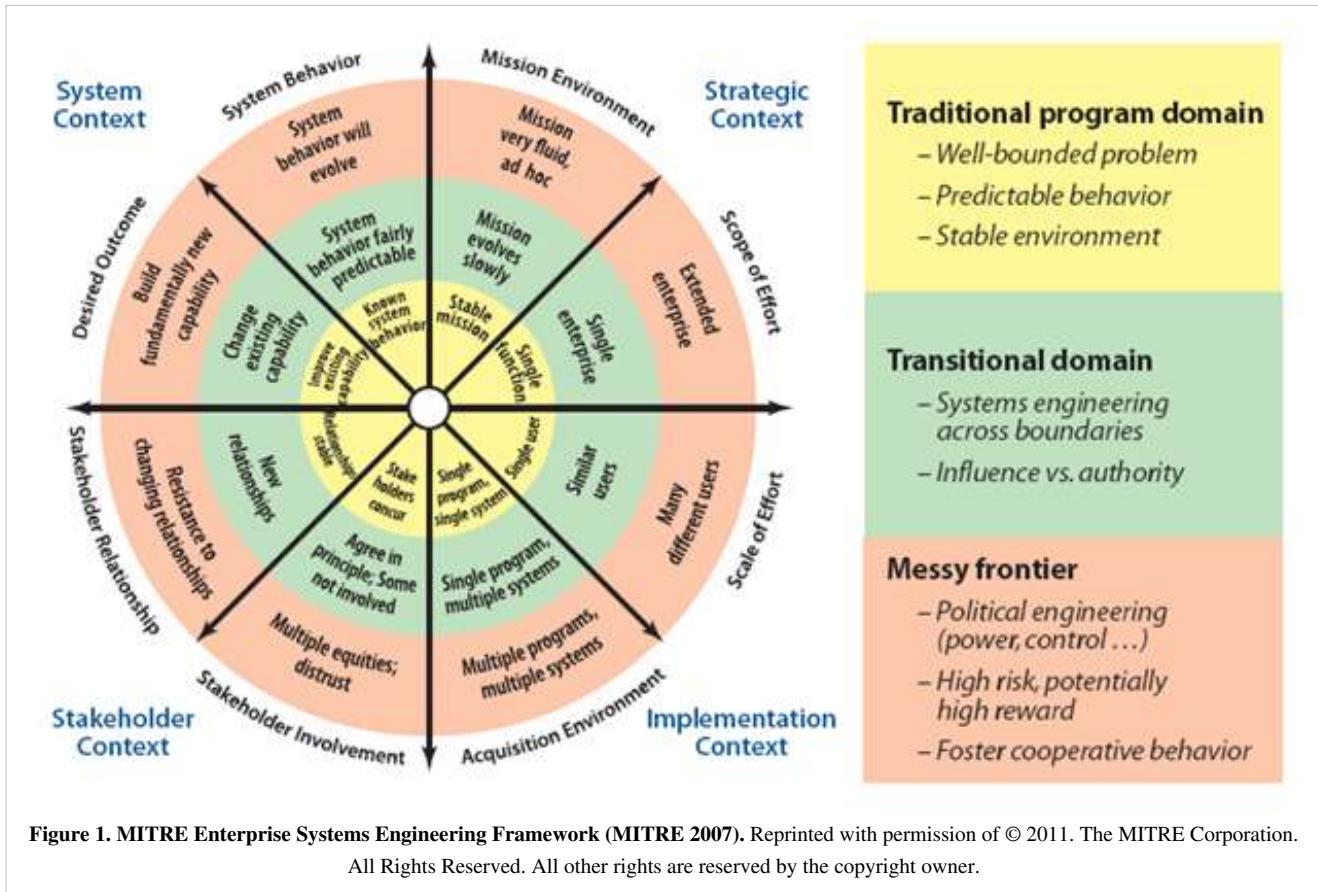


Figure 1. MITRE Enterprise Systems Engineering Framework (MITRE 2007). Reprinted with permission of © 2011. The MITRE Corporation. All Rights Reserved. All other rights are reserved by the copyright owner.

Additionally, an organization might consider both its current situation and its forward strategy. For example, if an organization has previously worked in a traditional systems engineering context (MITRE 2007) but has a strategy to transition into enterprise systems engineering (ESE) work in the future, that organization might want to develop a competency model both for what was important in the traditional SE context and for what will be required for ESE work. This would also hold true for an organization moving to a different contracting environment where competencies, such as the ability to properly tailor the SE approach to *right size* the SE effort and balance cost and risk, might be more important.

## Determining Roles and Competencies

Once an organization has characterized its context, the next step is to understand exactly what SE roles are needed and how those roles will be allocated to teams and individuals. To assess the performance of an individual, it is essential to explicitly state the roles and competencies required for that individual. See the references in Roles and Competencies for guides to existing SE standards and SE competency models.

## Assessing Individual SE Competency

In order to demonstrate competence, there must be some way to qualify and measure it, and this is where competency assessment is used (Holt and Perry 2011). This assessment informs the interventions needed to further develop individual SE KSAA upon which competency is based. Described below are possible methods which may be used for assessing an individual's current competency level; an organization should choose the correct model based on their context, as identified previously.

## Proficiency Levels

In order to provide a context for individuals and organizations to develop competencies, a consistent system of defining KSAAs should be created. One popular method is based on Bloom's taxonomy (Bloom 1984), presented below for the cognitive domain in order from least complex to most complex cognitive ability.

- **Remember:** Recall or recognize terms, definitions, facts, ideas, materials, patterns, sequences, methods, principles, etc.
- **Understand:** Read and understand descriptions, communications, reports, tables, diagrams, directions, regulations, etc.
- **Apply:** Know when and how to use ideas, procedures, methods, formulas, principles, theories, etc.
- **Analyze:** Break down information into its constituent parts and recognize their relationships to one another and how they are organized; identify sublevel factors or salient data from a complex scenario.
- **Evaluate:** Make judgments about the value of proposed ideas, solutions, etc., by comparing the proposal to specific criteria or standards.
- **Create:** Put parts or elements together in such a way as to reveal a pattern or structure not clearly there before; identify which data or information from a complex set is appropriate to examine further or from which supported conclusions can be drawn.

One way to assess competency is to assign KSAAs to proficiency level categories within each competency. Examples of proficiency levels include the INCOSE competency model, with proficiency levels of: awareness, supervised practitioner, practitioner, and expert (INCOSE 2010). The Academy of Program/Project & Engineering Leadership (APPEL) competency model includes the levels: participate, apply, manage, and guide, respectively (Menrad and Lawson 2008). The U.S. National Aeronautics and Space Administration (NASA), as part of the APPEL (APPEL 2009), has also defined proficiency levels: technical engineer/project team member, subsystem lead/manager, project manager/project systems engineer, and program manager/program systems engineer. The Defense Civilian Personnel Advisory Service (DCPAS) defines a 5-tier framework to indicate the degree to which employees perform competencies as awareness, basic, intermediate, advanced, and expert.

The KSAAs defined in the lower levels of the cognitive domain (remember, understand) are typically foundational, and involve demonstration of basic knowledge. The higher levels (apply, analyze, evaluate, and create) reflect higher cognitive ability. Cognitive and affective processes within Bloom's taxonomy refer to levels of observable actions that indicate learning is occurring (Whitcomb et al. 2015). The Bloom's domain levels should not be used exclusively to determine the proficiency levels required for attainment or assessment of a competency. Higher level cognitive capabilities belong across proficiency levels, and should be used as appropriate to the KSAA involved. These higher-level terms infer some observable action or outcome, so the context for assessing the attainment of the KSAA, or a group of KSAAs, related to a competency needs to be defined. For example, applying SE methods can be accomplished on simple subsystems or systems and so perhaps belong in a lower proficiency level such as supervised practitioner. Applying SE methods to complex enterprise or systems of systems, may belong in the practitioner or even the expert level. The determination of what proficiency level is desired for each KSAA is determined by the organization and may vary among different organizations.

## Quality of Competency Assessment

When using application as a measure of competency, it is important to have a measure of *goodness*. If someone is applying a competency in an exceptionally complex situation, they may not necessarily be successful in this application. An individual may be *managing and guiding*, but this is only helpful to the organization if it is being done well. In addition, an individual might be fully proficient in a particular competency, but not be given an opportunity to use that competency; for this reason, it is important to understand the context in which these competencies are being assessed.

## Individual SE Competency versus Performance

Even when an individual is highly proficient in an SE competency, context may preclude exemplary performance of that competency. For example, an individual with high competency in risk management may be embedded in a team or an organization which ignores that talent, whether because of flawed procedures or some other reason. Developing individual competencies is not enough to ensure exemplary SE performance.

When SE roles are clearly defined, performance assessment at least has a chance to be objective. However, since teams are most often tasked with accomplishing the SE tasks on a project, it is the team's performance which ends up being assessed. (See Team Capability). The final execution and performance of SE is a function of competency, capability, and capacity. (See Enabling Teams and Enabling Businesses and Enterprises.)

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**SEBoK v. 2.7, released 31 October 2022**

# Developing Individuals

**Lead Author:** Heidi Davidz

Developing each individual's systems engineering (SE) competencies is a key aspect of enabling individuals. The goal may be to develop competency in a broad range of SE competencies or a single aspect of SE, and it is important to know exactly which SE competencies are desired. This article describes strategies to develop SE competencies in individuals.

## Closing Competency Gaps

Delivering excellent systems that fulfill customer needs is the primary goal of the organization. Developing the "capability to deliver such systems is a secondary goal, and while necessary, is not sufficient. To attain both of these goals, the organization must assess itself and effect a strategy to identify and close competency gaps.

To identify competency gaps, an organization may take two basic steps:

1. Listing desired competencies, as discussed in Roles and Competencies; and
2. Assessing the competencies of individual systems engineers, as discussed in Assessing Individuals.

Models useful for listing competencies include the International Council on Systems Engineering (INCOSE) United Kingdom Advisory Board model (Cowper et al. 2005; INCOSE 2010), the ENG Competency Model (DAU 2013), and the Academy of Program/Project & Engineering Leadership (APPEL 2009) model (Menrad and Lawson 2008).

Once the organization knows the SE competencies it needs to develop to close the competency gaps it has identified, it may choose from the several methods (Davidz and Martin 2011) outlined in the table below.

**Table 1. SE Competency Development Framework. (SEBoK Original)**

Goal	Objective	Method
<b>PRIMARY GOAL = Delivery of excellent systems to fulfill customer needs</b>	Focus on successful performance outcome	Corporate initiatives
	Focus on performance of project team	Team coaching of project team for performance enhancement

<b>SECONDARY GOAL = Competency to deliver excellent systems to fulfill customer needs</b>	Develop individual competency	Training courses
		Job rotation
		Mentoring
		Hands-on experience
		Develop a few hand-picked individuals
		University educational degree program
		Customized educational program
		Combination program - education, training, job rotation, mentoring, hands-on experience
		Course certificate program
	Ensure individual competency through certification	Certification program
	Filter those working in systems roles	Use individual characteristics to select employees for systems roles
	Ensure organizational competency through certification	ISO 9000
	Develop organizational systems competency through processes	Process improvement using an established framework
		Concept maps to identify the thought processes of senior systems engineers
		Standardize systems policies and procedures for consistency
		Systems engineering web portal
		Systems knowledge management repository
		On-call organizational experts
		Rotating professor who works at company part-time and is at university part-time

## System Delivery

Some organizations mount initiatives which focus directly on successful system delivery. Others focus on project team performance, in some cases by offering coaching, as a means to ensure successful system delivery.

One example of the latter approach is the performance enhancement service of the US National Aeronautics and Space Administration (NASA) Academy of Program/Project & Engineering Leadership (APPEL), which assesses team performance and then offers developmental interventions with coaching (NASA 2010).

Organizations pursue multiple paths towards developing the capability to deliver excellent systems, including:

- developing the competency of individuals;
- developing the competency of the organization through processes (Davidz and Maier 2007); and
- putting measures in place to verify the efficacy of the selected methods.

## Individual Competency

An organization may choose a combination of methods to develop individual systems competency. General Electric's Edison Engineering Development Program (GE 2010) and Lockheed Martin's Leadership Development Programs (Lockheed Martin 2010) are examples among the many combination programs offered within companies.

Whether or not the program is specifically oriented to develop systems skills, the breadth of technical training and experience, coupled with business training, can produce a rich understanding of systems for the participant. Furthermore, new combination programs can be designed to develop specific systems-oriented skills for an organization.

Methods for developing individual competency include:

- **classroom or online training courses**, a traditional choice for knowledge transfer and skill acquisition. Here, an instructor directs a classroom of participants. The method of instruction may vary from a lecture format to case study work to hands-on exercises. The impact and effectiveness of this method varies considerably based on the skill of the instructor, the effort of the participants, the presentation of the material, the course content, the quality of the course design process, and the matching of the course material to organizational needs. These types of interventions may also be given online. Squires (2011) investigates the relationship between online pedagogy and student perceived learning of SE competencies.
- **job rotation**, where a participant rotates through a series of work assignments that cut across different aspects of the organization to gain broad experience in a relatively short time.
- **mentoring**, where a more experienced individual is paired with a protégé in a developmental relationship. Many organizations use mentoring, whose impact and effectiveness vary considerably. Success factors are the tenable pairing of individuals, and the provision of adequate time for mentoring.
- **hands-on experience**, where organizations provide for their engineers to get hands-on experience that they would otherwise lack. A research study by Davidz on enablers and barriers to the development of systems thinking showed that systems thinking is developed primarily by experiential learning (Davidz 2006; Davidz and Nightingale 2008, 1-14). As an example, some individuals found that working in a job that dealt with the full system, such as working in an integration and test environment, enabled development of systems thinking.
- **selecting individuals** who appear to have high potential and focusing on their development. Hand-selection may or may not be accompanied by the other identified methods.
- **formal education**, such as a university degree program. A growing number of SE degree programs are offered worldwide (Lasfer and Pyster 2011). Companies have also worked with local universities to set up customized educational programs for their employees. The company benefits because it can tailor the educational program to the unique needs of its business. In a certificate program, individuals receive a certificate for taking a specific set of courses, either at a university or as provided by the company. There are a growing number of certificate programs for developing systems competency.

## Individual Certification

Organizations may seek to boost individual systems competency through certification programs. These can combine work experience, educational background, and training classes. Certifications are offered by local, national, and international professional bodies.

SE organizations may encourage employees to seek certification from the International Council on Systems Engineering (INCOSE 2011) or may use this type of certification as a filter (see **Filters**, below). In addition, many companies have developed their own internal certification measures. For example, the Aerospace Corporation has an Aerospace Systems Architecting and Engineering Certificate Program (ASAECP). (Gardner 2007.)

### Filters

Another approach to developing individual competency is to select employees for systems roles based on certain characteristics, or filters. Before using a list of characteristics for filtering, an organization should critically examine:

1. how the list of individual characteristics was determined, and
2. how the characteristics identified enable the performance of a systems job.

Characteristics used as filters should:

- enable one to perform a systems job,
- be viewed as important to perform a systems job, or
- be necessary to perform a systems job.

A necessary characteristic is much stronger than an enabling one, and before filtering for certain traits, it is important to understand whether the characteristic is an enabler or a necessity.

Finally, it is important to understand the extent to which findings are generally applicable, since a list of characteristics that determine success in one organization may not be generalizable to another organization.

## Organizational Capability

Once an organization has determined which SE capabilities are mission critical (see Deciding on Desired Systems Engineering Capabilities within Businesses and Enterprises), there are many different ways in which an organization can seek to develop or improve these capabilities. Some approaches seen in the literature include the following:

- Organizations may choose to develop organizational systems capability through processes. One method organizations may choose is to pursue process improvement using an established framework. An example is the Capability Maturity Model® Integration (CMMI) process improvement approach (SEI 2010, 1).
- Concept maps - graphical representations of engineering thought processes - have been shown to be an effective method of transferring knowledge from senior engineering personnel to junior engineering personnel (Kramer 2007, 26-29; Kramer 2005). These maps may provide a mechanism for increasing knowledge of the systems engineering population of an organization.
- An organization may also choose to develop organizational systems competencies by standardizing systems policies and procedures. An example from NASA is their *NASA Systems Engineering Processes and Requirements* (NASA 2007).
- Some organizations use a web portal to store and organize applicable systems engineering knowledge and processes, which assists in developing organizational systems competency. An example is the Mission Assurance Portal for the Aerospace Corporation (Roberts et al. 2007, 10-13).
- Another approach being considered in the community is the development of a rotating professor role, where the person would work at the company and then at a university to strengthen the link between academia and industry.
- Another approach is to alter organizational design to foster and mature a desired competency. For example, an organization that identifies competency in the area of reliability as critical to its SE success may develop a reliability group, which will help foster growth and improvement in reliability competencies.

### **Organizational Certification**

Certification at the organizational level also exists and can be a means for ensuring competency. ISO certification is one example (ISO 2010). Before taking this approach, the organization should verify that the capabilities required by the certification are indeed the systems capabilities it seeks. For more on determining appropriate organizational capabilities, see Deciding on Desired Systems Engineering Capabilities within Businesses and Enterprises.

### **Repositioning the Product Life Cycle**

An organization may also choose to reposition its product life cycle philosophy to maintain system competency. For example, NASA has done this with its APPEL program (APPEL 2009).

Since the systems competencies of individuals are primarily developed through experiential learning, providing experiential learning opportunities is critical. Shortening the product life cycle is one way to ensure that individuals acquire the full range of desired competency sooner.

## **Maintaining Competency Plans**

An organization that has developed an SE competency plan should consider how to maintain it. How, and how often, will the competency plan be re-examined and updated? The maintenance process should account for the ongoing evolution of global contexts, business strategies, and the SEBoK. The process for assessing competencies and taking action to improve them must be part of the normal operations of the organization and should occur periodically.

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## Additional References

None.

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# Ethical Behavior

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If the competency of the systems engineer is a matter of KSAA—knowledge, skills, abilities, and attitudes—then the word “attitudes” must have an ethical dimension. The ethical framework that guides the SE’s actions ensures that the SE ultimately does good and not harm. Ethical standards apply both to individuals and to organizations. This section discusses the moral foundations of ethics, and the elements of ethical conduct that are especially relevant to systems engineering.

## Ethics and Morals in Systems Engineering

Like other people, systems engineers have morals: guiding personal thoughts and feelings about what is right and wrong. All of us also share, with other members of various communities to which we belong, ethics: standards that say what conduct is appropriate and what is not (Whitbeck 2007).

**Morals** are part of a person’s character, the result of upbringing, culture, and other environmental influences. **Ethics** apply morals within the frame of a social system, which could be professional, business, academic, recreational, cultural, political, religious, or even familial. While a person’s moral code is usually considered immutable, one’s ethics may need to account for new situations as one’s profession or role in life changes. Tensions may exist between an engineer’s responsibilities to society and those to the customer, the employer, or even the family, resulting in ethical dilemmas, and creating situations where morals come into play.

There is no shortage of discussion on ethics. Ethical codes are promulgated by professional and other organizations. **Professions** here refers to occupations that require learning and advanced knowledge and which safeguard or promote the well-being of others and of society as a whole.

Systems engineers have two ethical responsibilities over and above those of most other engineering professions:

- While engineers in general use their professional skills to address customer needs and desires, systems engineering (SE) helps *determine* those needs and desires in the course of defining and managing requirements. SEs have an obligation to ensure that problem or program definition is influenced solely by the interests of the customer or user, not by those of the systems engineer or the engineer’s firm.
- Systems engineers typically integrate and oversee the work of others whose expertise differs from their own. This makes the obligation to widen one’s understanding and to seek competent advice from other professionals more acute in SE than in other disciplines.

Caroline Whitbeck’s *Ethics in Engineering Practice and Research* explains what ethical behavior means for engineering professionals. Like most books on ethics, this one starts by clarifying the differences between ethics and morals, which can seem somewhat obscure at times (Whitbeck 2007).

A sampling of areas where ethics figure in the engineering of modern systems are described below.

## **Data Confidentiality and Security, Surveillance, and Privacy**

Privacy, confidentiality, and security in systems which touch Personally Identifiable Information (PII) have an ethical dimension for the systems engineers responsible for developing those systems.

## **Laws and Regulations**

Systems are typically developed in societies, sometimes involving international communities, which have laws concerning contracts, intellectual property, freedom of information, and employment. The requirements and restraints of those laws govern the practice of the systems engineer, who must be aware of the laws and must consider their implications for the partnerships that system development entails.

Whether or not they are stated in the system requirements document or provided by the customer, laws and regulations do, in fact, impose system requirements. SEs are responsible for knowing and applying relevant laws and regulations. This means recognizing other people's proprietary interests by safeguarding their intellectual property (trade secrets, copyrights, trademarks, and patents), and giving them credit for performing work and making innovations.

## **Cultural Issues**

Since systems engineers develop and maintain products used by humans globally, it is important that they understand the historical and cultural aspects of their profession and the related context in which their products will be used. System engineers need to be aware of societal diversity and act without prejudice or discrimination.

## **Ethical Considerations in the Systems Engineering Method**

Naturally, SE approaches to meeting customer needs must integrate SE ethics.

## **Codes of Ethics and Professional Conduct**

Codes of ethics are promulgated by the IEEE (IEEE 2009), the National Society of Professional Engineers (NSPE) (NSPE 2007), the International Council on Systems Engineering (INCOSE 2006) and other engineering organizations.

The INCOSE Code of Ethics enunciates fundamental ethical principles like honesty, impartiality, integrity, keeping abreast of knowledge, striving to increase competence, and supporting educational and professional organizations. Based on these principles, the code identifies the systems engineer's fundamental duties to society and the public, and the rules of practice that systems engineers should follow to fulfill those duties.

According to the INCOSE Code of Ethics, it is the systems engineer's duty to:

- guard the public interest and protect the environment, safety, and welfare of those affected by engineering activities and technological artifacts;
- accept responsibility for one's actions and engineering results, including being open to ethical scrutiny and assessment;
- proactively mitigate unsafe practice;
- manage risk using knowledge gained by applying a whole-system viewpoint and understanding of systemic interfaces; and
- promote the understanding, implementation, and acceptance of prudent SE measures.

## Enforcing Ethics

Many organizations enforce ethics internally by means of ethics policies. These policies typically include rules such as the following:

- There shall be no exchange of favors between anyone in the organization and entities with which it does business, such as suppliers, customers, or regulatory agencies.
- Product information, for example, test data, shall be reported accurately and completely to the contracting agency.
- There shall be no conflict of interest between the organization and entities with which it does business.

Favors can consist of providing money, reimbursement of travel or entertainment expenses, other items of equivalent value, or inappropriate job offers. Conflict of interest can arise when the personal or professional financial interests or organizational ties of an engineer are potentially at odds with the best interests of the customer or the engineer's employer. Since conflict of interest and other ethical transgressions can be hard to define, care must be taken to design ethics policies that are observable and enforceable. Internal audit functions or external regulatory agencies may enforce ethical rules at the individual, team, organizational, or enterprise level. Punishment for violating ethics policies can include termination and other disciplinary actions.

Unlike self-employed physicians who may choose to not do something specific, many systems engineers are individuals employed by organizations. Depending on the organizational context, an issue in conflict with the company might result in giving up the job. This may result in additional ethical considerations.

## Responsibility to Society

Engineers who create products and services for use in society have an obligation to serve the public good. Additionally, the IEEE Code of Ethics states that engineers have an obligation to foster the professional development and ethical integrity of colleagues (IEEE 2015). Because of the criticality and scope of many systems, systems engineers, operating in teams within projects and on behalf of the public in delivery of products, have special responsibility. Poorly designed systems or services can have calamitous effects on society. The INCOSE Code of Ethics asserts the responsibility of systems engineers to "guard the public interest and protect the environment, safety, and welfare of those affected by engineering activities and technological artifacts" (INCOSE 2006).

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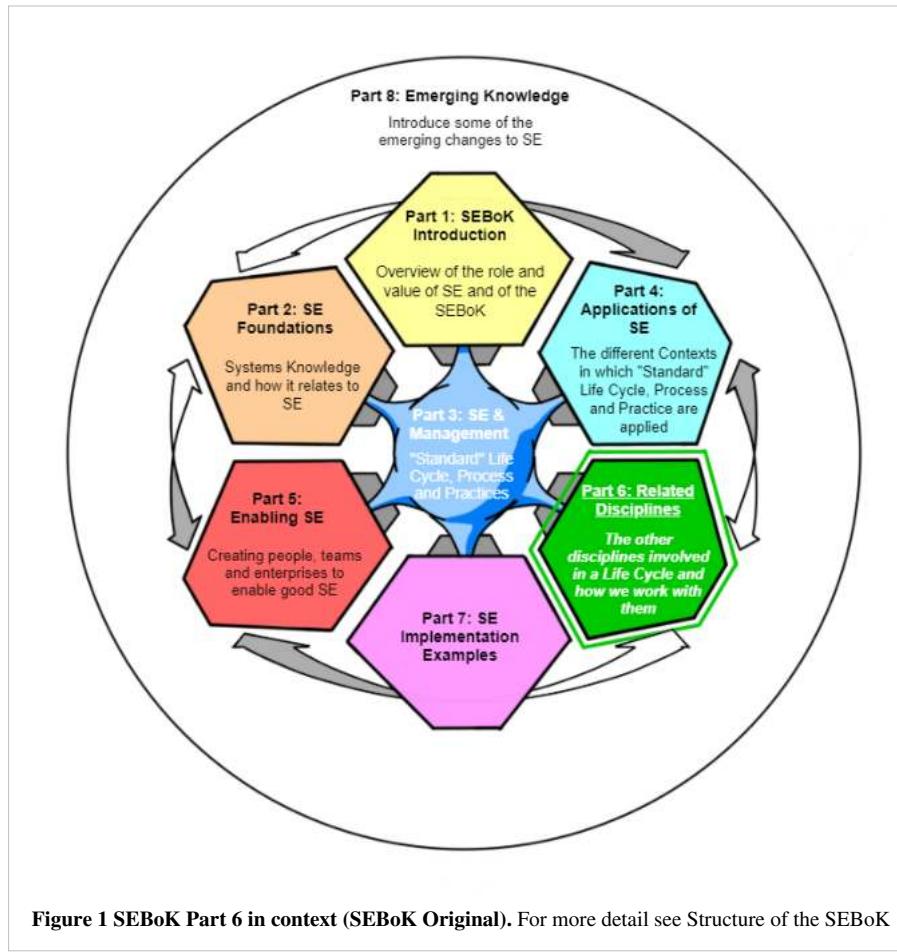
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# Part 6: Related Disciplines

## Related Disciplines

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Systems engineers routinely work within broad multidisciplinary teams (Pyster et al. 2018) and across many disciplines. Part 6 of the SEBoK presents knowledge that should be useful to systems engineers in two ways: (1) systems engineers benefit from knowing aspects of these disciplines directly; e.g. given how central software is to the functioning of virtually every interesting engineered system, a systems engineer should know a fair amount about software and software engineering; and (2) systems engineers routinely interact with these other fields and professionals in those fields.



**Figure 1 SEBoK Part 6 in context (SEBoK Original).** For more detail see Structure of the SEBoK

SE intersects with virtually every other recognized discipline. Besides the other engineering disciplines such as electrical and mechanical engineering, SE intersects with the physical sciences, social sciences, project management, philosophy, etc. For example, a systems engineer leading the design of an autonomous car would work with electrical engineers, software engineers, project managers, mechanical engineers, computer scientists, radio engineers, data analysts, human factors specialists, cybersecurity engineers, economists, and professionals from many other disciplines. The knowledge areas (KAs) contained in Part 6 and the topics under them provide an overview of some of these disciplines with emphasis on what a systems engineer needs to know to be effective,

accompanied by pointers to that knowledge. The KAs included in Part 6 could run into the dozens, but only a handful are addressed in this version of the SEBoK. Subsequent SEBoK releases will expand the number of related disciplines and offer deeper insight into their relationship with SE.

## Knowledge Areas in Part 6

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. Part 6 contains the following KAs:

- Systems Engineering and Environmental Engineering
- Systems Engineering and Geospatial/Geodetic Engineering
- Systems Engineering and Industrial Engineering
- Systems Engineering and Mechanical Engineering
- Systems Engineering and Project Management
- Systems Engineering and Software Engineering
- Systems Engineering and Quality Attributes

Each KA above except the last is a major well-recognized stand-alone discipline. Each is widely taught in universities around the world, has professional societies devoted to it, standards that assist its practitioners, publications that describe its knowledge and practices, and a vibrant community of practitioners and researchers who often have one or more university degrees in the discipline. The last KA is different. It describes the disciplines associated with engineering system qualities or properties; e.g., security is a system quality. Security engineering is the discipline through which system security is realized in a system. The security of a modern car is widely understood to be a function of many factors such as the strength of its physical exterior, its alarm system which may have extensive sensors and software, and its communications system which can wirelessly alert the owner or police if someone attempts to break into it. Similarly, the reliability of a car is a function of such factors as the reliability of its individual subsystems and components (mechanical, electronic, software, etc.) and how the car has been designed to compensate for a failed subsystem or component (e.g. if the electronic door lock fails, can the driver use a physical key to lock and unlock the car?). The topics included in this KA are among the most important qualities a systems engineer would typically consider.

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## Additional References

None.

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# Knowledge Area: Systems Engineering and Environmental Engineering

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## Systems Engineering and Environmental Engineering

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**Lead Authors:** Paul Phister, David Olwell

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Environmental engineering addresses four issues that arise in system design and operation. They are: (1) design for a given operating environment, (2) environmental impact, (3) green design, and (4) compliance with environmental regulations.

### Overview

A system is designed for a particular operating environment. Product systems, in particular, routinely consider conditions of temperature and humidity. Depending on the product, other environmental conditions may need to be considered, including UV exposure, radiation, magnetic forces, vibration, and others. The allowable range of these conditions must be specified in the requirements for the system.

### Requirements

The general principles for writing requirements also apply to specifying the operating environment for a system and its elements. Requirements are often written to require compliance with a set of standards.

### Discipline Management

Many countries require assessment of environmental impact of large projects before regulatory approval is given. The assessment is documented in an environmental impact statement (EIS). In the United States, a complex project can require an EIS that greatly adds to the cost, schedule, and risk of the project.

## Scope

In the U.S., the process in Figure 1 is followed. A proposal is prepared prior to a project being funded. The regulator examines the proposal. If it falls into an excluded category, no further action is taken. If not, an environmental assessment is made. If that assessment determines a finding of no significant impact (FONSI), no further action is taken. In all other cases, an environmental impact statement is required.

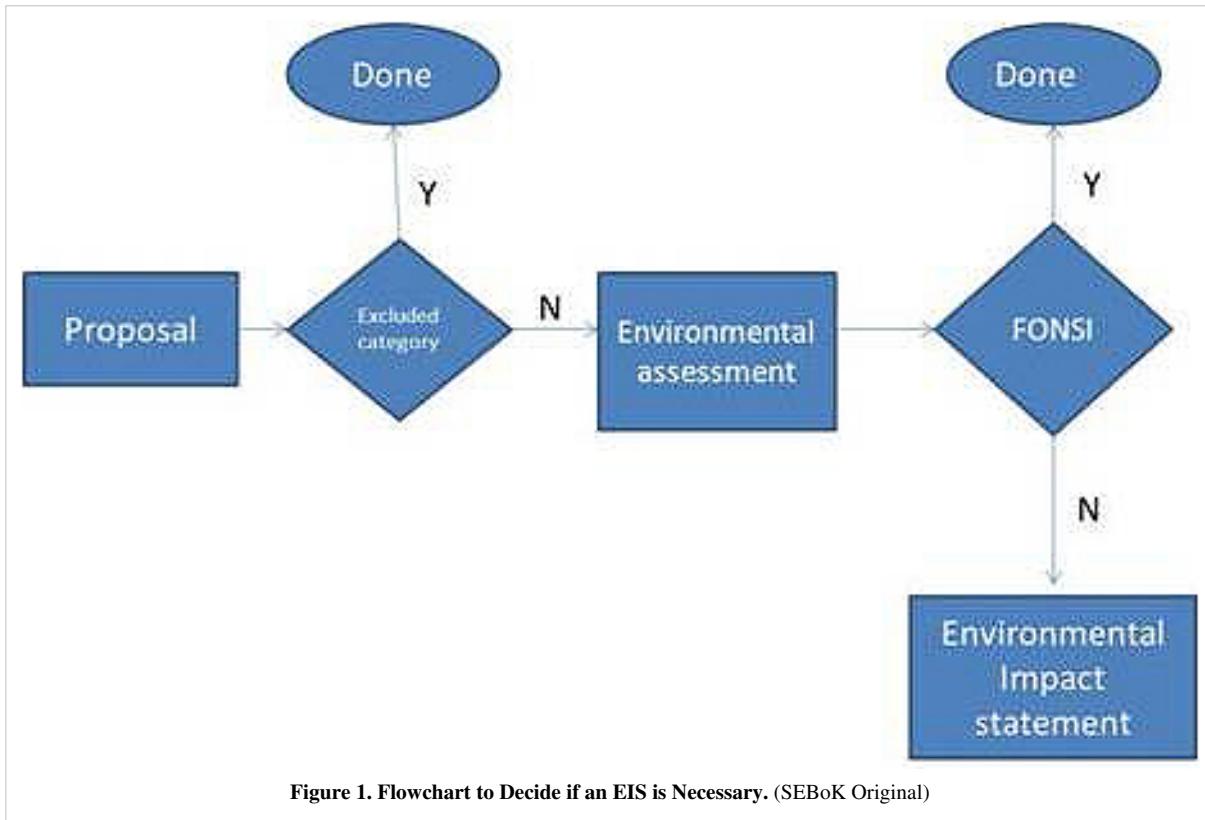


Figure 1. Flowchart to Decide if an EIS is Necessary. (SEBoK Original)

Preparation of an EIS is a resource significant task. Bregman (2000) and Kreske (1996) provide accessible overviews of the process. Lee and Lin (2000) provide a handbook of environmental engineering calculations to aid in the technical submission. Numerous firms offer consulting services.

## Legal References

Basic references in the U.S. include the National Environmental Policy Act of 1969 and its implementing regulations (NEPA 1969) and the European Commission directive (EC 1985). State and local regulations can be extensive; Burby and Paterson (1993) discuss improving compliance.

## Cost and Schedule Implications

Depending on the scale of the project, the preparation of an EIS can take years and cost millions. For example, the EIS for the Honolulu light rail project took four years and cost \$156M (Hill 2011). While a project may proceed even if the EIS finds a negative impact, opponents to a project may use the EIS process to delay a project. A common tactic is to claim the EIS was not complete in that it omitted some environmental impacts. Eccleston (2000) provides a guide to planning for EIS.

## Energy Efficiency

There is a large amount of literature that has been published about design for energy efficiency. Lovins (2010) offers ten design principles. He also provides case studies (Lovins et al. 2011). Intel (2021) provides guidance for improving the energy efficiency of its computer chips. A great deal of information is also available in regard to the efficient design of structures; DOE (2011) provides a good overview.

Increased energy efficiency can significantly reduce total life cycle cost for a system. For example, the Toyota Prius was found to have the lowest life cycle cost for 60,000 miles, three years despite having a higher initial purchase price (Brown 2011).

## Carbon Footprint

Increased attention is being paid to the emission of carbon dioxide. BSI British Standards offers a specification for assessing life cycle greenhouse emissions for goods and services (BSI 2011).

## Sustainability

Graedel and Allenby (2009), Maydl (2004), Stasinopoulos (2009), Meryman (2004), and Lockton and Harrison (2008) discuss design for sustainability. Sustainability is often discussed in the context of the UN report on Our Common Future (WCED 1987) and the Rio Declaration (UN 1992).

## Discipline Relationships

An enterprise must attend to compliance with the various environmental regulations. Dechant et al. (1994) provide the example of a company in which 17% of every sales dollar goes toward compliance activities. They discuss gaining a competitive advantage through better compliance. Gupta (1995) studies how compliance can improve the operations function. Berry (1998) and Nash (2001) discuss methods for environmental management by the enterprise.

## Dependencies

ISO14001 sets the standards for organization to comply with environmental regulations. Kwon and Seo (2002) discuss this in a Korean context, and Whitelaw (2004) presents a handbook on implementing ISO14001.

## Discipline Standards

Depending on the product being developed, standards may exist for operating conditions. For example, ISO 9241-6 specifies the office environment for a video display terminal. Military equipment may be required to meet MILSTD 810G standard (DoD 2014) in the US, or DEF STAN 00-35 in the UK (MoD 2017).

The U.S. Federal Aviation Administration publishes a list of EIS best practices (FAA 2002).

The U.S. Environmental Protection Agency (EPA) defines green engineering as: the design, commercialization, and use of processes and products, which are feasible and economical, while minimizing (1) generation of pollution at the source and (2) risk to human health and the environment (EPA 2011). Green engineering embraces the concept that decisions to protect human health and the environment can have the greatest impact and cost effectiveness when applied early to the design and development phase of a process or product.

The EPA (2011) offers the following principles of green engineering:

- Engineer processes and products holistically, use systems analysis, and integrate environmental impact assessment tools.
- Conserve and improve natural ecosystems while protecting human health and well-being.
- Use life-cycle thinking in all engineering activities.

- Ensure that all material and energy inputs and outputs are as inherently safe and benign as possible.
- Minimize depletion of natural resources.
- Strive to prevent waste.
- Develop and apply engineering solutions, while being cognizant of local geography, aspirations, and cultures.
- Create engineering solutions beyond current or dominant technologies; additionally, improve, innovate, and invent (technologies) to achieve sustainability.
- Actively engage communities and stakeholders in development of engineering solutions.

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None.

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# Knowledge Area: Systems Engineering and Geospatial/Geodetic Engineering

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## Systems Engineering and Geospatial/Geodetic Engineering

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**Lead Author:** Ulrich Lenk

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Geographic Information Systems (GIS) and geospatial applications and infrastructures are widely used and widely integrated into other systems. Among the most well-known such systems are those based on the Global Positioning System (GPS) and other Global Navigation Satellite Systems (GNSS). They have enabled such diverse applications as automobile navigation systems, smartphones that location-stamp photographs, and military weapon systems that target enemy locations. Where it is often claimed that 80% of all data may be geospatially referenced, research by Hahmann and Burghardt (2013) indicates that about 60% of all data have a spatial reference; i.e. the data can be related to a physical coordinate in a spatial reference system, or identified by a geographic identifier. Systems and their constituents reside in or operate in space and often need to know where they or their parts, constituents, etc. are; where their mobile components go; or where objects observed by the system are. In other words (Longley et al. 2015): "Almost everything that happens, happens somewhere. Knowing where something happens can be critically important." Extending this observation, potentially the system(s) and their associated constituents require synchronization of their activities and actions which is often achieved by triggering actions via time stamps; for this purpose, systems need to be time-wise synchronized to a certain extent or accuracy. The Geospatial/Geodetic Engineering (GGE) Knowledge Area provides a broad introduction into this overall topic in order to make the reader aware where relevant technologies are actually used in systems. It reflects the abundant uses and applications and even critical dependencies of geodetic and geospatial technologies in systems, such as GNSS & GPS (satellite positioning systems); GIS; spatial reference systems; processing, analysis and visualization (portrayal) of geographic data. It briefly analyzes to what extent the Systems Engineering Specialty Activities listed in the INCOSE Systems Engineering Handbook (2015) and modeling and simulation may be supported by related subject matter expertise. As a consequence it concludes that GGE activities could be considered as dedicated Specialty Engineering activities themselves within Systems Engineering.

### Topics

This Knowledge Area includes three topic articles:

- Overview of Geospatial/Geodetic Engineering
- Relationship between Systems Engineering and Geospatial/Geodetic Engineering
- Further Insights into Geospatial/Geodetic Engineering

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# Overview of Geospatial/Geodetic Engineering

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This article is part of the Systems Engineering and Geospatial/Geodetic Engineering (GGE) Knowledge Area. It provides a broad introduction into the overall topic including related applications in order to make the reader aware where GGE is used in systems.

## GIS and Geospatial Applications

Perhaps the most comprehensive recent standard textbooks on Geographical Information Systems (GIS) are Longley et al. (2015) and Kresse and Danko (2012). Beyond these two books, there are many others on GIS and respective spatial data capture procedures (surveying, photogrammetry, and remote sensing) and management applications. Tomlinson (2019) and Peters (2012) as well as the online successor to this text book, System Design Strategies<sup>[1]</sup>, provide valuable insights into aspects of how to set up a GIS system. While Tomlinson (2019) looks more at the management perspective and processes of implementing a GIS, Peters (2012) focuses more on technical aspects.

Domain-specific GIS applications are also documented in numerous textbooks. Domain areas include agriculture and forestry, insurance economics and risk analysis, simulation and environmental impact analysis, hydrology, archaeology, ecology, crime investigation and forensics, disaster management and first responders, marketing, municipalities and cadaster, land administration and urban planning, utility sectors, telecommunications, smart cities and military applications. The latter include Command and Control (C2) systems, or are even extended in Command, Control, Communications, Computers Intelligence, Surveillance and Reconnaissance (C4ISR) systems. Generally speaking, wherever data about events is displayed or portrayed, processed and/or analyzed in a geospatial context, GIS technology is involved. The particular type of user interface doesn't matter. It could be a web interface, a desktop client, or a mobile device such as a smartphone or tablet computer. To provide visualization of this data there must be spatial context for orientation, geographic data such as digital topographic maps, or geographic imagery, Digital Terrain Models (DTM), etc. Beyond such classical geographical data, other types of data are also often used, such as meteorological and other environmental data.

Interoperability is of major concern in geospatial technology. The Open Geospatial Consortium<sup>[2]</sup> (OGC) is probably the most relevant organization that deals with GIS and sensor systems interoperability. The OGC has published a dedicated set of interface specification standards<sup>[3]</sup> on their topics.

## Positioning, Navigation and Timing

The previous description of geospatial technology focused mostly on stationary objects, i.e. on non-moving geospatial data. This section is mainly concerned with objects in motion, i.e. objects moving in space and with derived applications such as navigation, monitoring, and tracking such objects. The basic operations needed are (geo-)positioning and navigation. Certainly, the majority of people using smartphones are also using various location based services (LBS) that are provided in conjunction with GIS databases and services, such as Google Maps, a well-known online GIS application. As a consequence, positioning and navigation, which are mainly achieved with satellite positioning systems such as Global Navigation Satellite Systems (GNSS), have became ubiquitous and transparent technologies in the last decade. Clearly the most relevant system in common use in the past has been the US Global Positioning System (GPS) since it was the first of its kind. However, it is not the only one of its kind. Russia developed a GNSS called GLONASS; Europe developed the Galileo system which is close to achieving full operating capability; China is working on its Beidou GNSS. GNSS are used for more than positioning and navigation. Since range measurements conducted by GNSS are based on extremely accurate one-way travel times of signals, these satellites have extremely accurate clocks. GNSS transmit this time for use by other systems, enabling time synchronization of systems and also applications that require frequency normals that can be derived from these time signals. Together, these three GNSS services are called Positioning, Navigation and Timing (PNT). For more on satellite positioning systems and satellite navigation, two excellent sources are Teunissen and Montenbruck (2017) and Hofmann-Wellenhof et al. (2008).

The public does not generally appreciate how many systems used in various domains rely on the availability of GPS/GNSS signals. The majority of national critical infrastructures is now dependent on GNSS (Royal Academy of Engineering 2013; Wallischeck 2016). Thus the availability of open access to GNSS signals is itself considered critical infrastructures. Example infrastructures and applications that depend on GNSS include transport (rail, road, aviation, marine, cycling, walking), agriculture, fisheries, law enforcement, highways management, services for vulnerable people, energy production and management, surveying, dredging, health services, financial services, information services, cartography, safety monitoring, scientific and environmental studies, search and rescue (e.g. as given with the Global Maritime Distress and Safety System, GMDSS), telecommunications, tracking vehicles and valuable or hazardous cargoes, and quantum cryptography (Royal Academy of Engineering 2013).

## Geodesy and Geodetic Engineering for Providing the Frameworks for All Spatial Applications

The above sections are application-oriented. However, at a more basic level, all numerical (coordinate-wise) descriptions of natural and man-made stationary and mobile objects, including satellites, need to be referenced to a spatial reference system. It may be a local stationary engineering coordinate reference system, a (moving) internal coordinate reference system that is fixed to an object (in motion), a national spatial reference system, a regional spatial reference system, or even a global spatial reference system, e.g. that given by the World Geodetic System 1984 (WGS84, cf. National Imagery and Mapping Agency 2004), which is the spatial reference system in which GPS works. 2-dimensional ("horizontal") coordinates such as the combination of latitude and longitude in a geodetic coordinate system are fairly straightforward because they are based mainly on mathematical assumptions. The shape of the Earth is approximated by an ellipsoid on whose surface the coordinates are defined, and the ellipsoid is fixed to the Earth via a geodetic datum/geodetic reference frame. Actually also the definition of the ellipsoid itself is part of the geodetic reference frame. Only little input from geophysics is needed (the localization of the rotation axis of the Earth). The third dimension, however, is mostly treated differently. Heights in general are referenced to a reference surface. For ellipsoidal heights this is the ellipsoid, but since ellipsoidal heights can cause confusion as they do not consider the mass characteristics of the Earth with their distribution, it is more common to use heights that are related to a mean sea level (MSL) surface. The latter is mainly dependent on the (irregular!) distribution of masses on Earth and thus on their physical properties. The typical surface used for referencing these gravity-related

heights is the so-called geoid which may be approximated by MSL. Beyond these Earth related aspects, however, there are also celestial spatial reference systems and spatial reference systems on other celestial bodies. Torge and Müller (2012) offers more information on these systems. Thus, geodetic engineering with its sub-disciplines of physical and mathematical geodesy together with related engineering disciplines provide fundamental frameworks for various applications in science and technology including systems of systems.

## Portrayal of Geographic Data with Map Projections and Cartography

Because people often rely on visual depictions more so than on verbal descriptions, the complicated surface of the Earth typically needs to be “pressed” onto a flat screen, or a map or chart like in traditional cartography, even when it is a 3-dimensional perspective view on a 2D screen. Depending on the display scale, reducing from 3D to 2D cannot be achieved without somewhat or even significantly distorting the shape of the objects. Mathematical geodesy and map projections based on differential geometry provide the basics to achieve these goals (Grafarend et al. 2014). By carefully selecting an appropriate map projection, different characteristics of land masses and applications can be emphasized. One example may be the difference between the classical Mercator projection that is used for nautical charts from the equator up to medium latitudes, and the Stereographic projection that is often used in aeronautics since the shortest distance between two locations there is a straight line. For the Mercator projection, a straight line is a rhumb line, i.e. the line of constant bearing which eases the use of a magnetic compass for steering a vessel (neglecting variations of magnetic declination on Earth). Here, the shortest distance between two points on the Earth’s surface (the geodesic) is a curved line on the chart whose curve is bent towards the pole of the respective hemisphere.

As portrayal of geographic data is a fundamental functionality of GIS, respective map projection modules are generally included in GIS software packages. Beyond these purely projection-related aspects of visualizing geographic data, cartography offers rules and procedures for what to display and how to visualize geographic data. Kraak and Ormeling (2020) show such data may be abstracted by symbols, lines, and areas, including what color and styles to apply to the graphical elements in a map, how to relate these to each other on a screen or paper map, how to generalize them, i.e. how to simplify their shape and depiction or even discard on display, when the scale of display is changed, etc.

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- [2] <http://www.opengeospatial.org>
- [3] <http://www.opengeospatial.org/standards>

# Relationship between Systems Engineering and Geospatial/Geodetic Engineering

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This article discusses the relationship between Systems Engineering (SE) and Geospatial/Geodetic Engineering (GGE) as reflected through relationships between several Specialty Engineering disciplines listed in INCOSE (2015) and GGE. For most of these disciplines, there are also SEBoK articles in the Knowledge Area SE and Quality Attributes.

## Geospatial Aspects in the INCOSE Specialty Engineering Activities

Systems that directly include geospatial components and system elements, or that perform navigation operations or deal with referenceable objects in their broadest interpretations require dedicated contributions from the geodetic/geospatial domain. Those contributions should be achieved by integrating appropriate subject matter experts into SE teams.

The following sections briefly describe possible geospatial solutions or contributions which may directly support some of the Specialty Engineering activities in INCOSE (2015).

### Environmental Engineering/Impact Analysis

Analyzing a spatial distribution or dispersal of pollutants typically depends on specific modules that have been integrated into Geographic Information Systems (GIS); e.g. a plume modeler will estimate how chemicals dissolve in the atmosphere under certain meteorological conditions. Other applications determine run-off for flooding simulations, or reveal dependencies between different types of environmental parameters during geospatial analysis. The list of such applications is long. The Knowledge Area (KA) Systems Engineering and Environmental Engineering provides more information.

### Interoperability Analysis

Interoperability has been a major issue in geospatial infrastructures for decades. The Open Geospatial Consortium<sup>[1]</sup> (OGC), founded in 1994, published its first standard (OpenGIS Simple Features Specification) in 1997. Other organizations also publish standards including the International Organization for Standards<sup>[2]</sup> (ISO) with its Technical Committee 211 Geographic information/Geomatics<sup>[3]</sup> (see also here<sup>[4]</sup>), the International Hydrographic Organization<sup>[5]</sup> (IHO) and the North Atlantic Treaty Organization<sup>[6]</sup> (NATO). For meteorological data, the World Meteorological Organization<sup>[7]</sup> (WMO) standardizes respective services and data formats. Typically, these bodies closely cooperate.

Using these standards can lead to significant cost savings in the development and operation of systems and thus contributes to another INCOSE Specialty Engineering activity: Affordability/Cost-Effectiveness/Life Cycle Cost Analysis. NASA funded a study that was conducted by Booz Allen Hamilton (2005). The study found that the project that adopted and implemented geospatial interoperability standards:

- had a risk-adjusted Return on Investment (ROI) of 119.0%. This ROI is a “Savings to Investment” ratio over the 5-year project life cycle.
- had a risk-adjusted Return on Investment (ROI) of 163.0% over a 10-year period.
- saved 26.2% compared to the project that relied upon proprietary standards.

Another finding was that standards-based projects have lower maintenance and operations costs than those relying exclusively on proprietary products for data exchange.

As a general conclusion from the above, there are substantial contributions from the geospatial domain that support interoperability analyses.

## **Logistics Engineering**

According to INCOSE (2015), “Logistics engineering … is the engineering discipline concerned with the identification, acquisition, procurement, and provisioning of all support resources required to sustain operation and maintenance of a system.” Amongst others, the following elements supporting logistics engineering are identified in INCOSE (2015) that have a direct relation to geospatial, GIS and PNT/Global Navigation Satellite Systems (GNSS) technologies:

- Sustaining engineering;
- Training and training support;
- Supply support;
- Facilities and infrastructures; and
- Packaging, handling, storage, and transportation (PHS&T).

Typical keywords associated with related activities are:

- “Technical surveillance” where, e.g., fielded systems are monitored with means of geodetic engineering techniques, such as deformation analysis of structures and sites,
- “Simulation” that requires virtual 3D environments and GIS,
- “Facilities” that are nowadays managed with Building Information Modeling (BIM) techniques which have a close connection to GIS, based on cadastre data from local authorities,
- “Transfer” and “transportation” where objects, material and goods are moved in space involving amongst others GIS with navigable map used for planning routes and navigation during transport.

Sometimes, GNSS and real-time GIS technologies are also used for tracking cargo of interest for safety reasons.

## **Reliability, Availability, and Maintainability**

How reliable is a map, or, in the digitized world, a geographic data set displayed on screen or a mobile device? That depends firstly on the source of data, i.e. how reliable the source is, and on the other hand even for trusted data sources on the need to update that data set according to operational requirements and the changes that take place in the landscape of the area of interest. Updating and otherwise maintaining geospatial databases is a costly and sometimes time-consuming operation (again tied to the Specialty Engineering activity “Affordability/Cost-Effectiveness/Life Cycle Cost Analysis”). Efficiently updating geospatial databases is discussed from a technical perspective in Peters (2012) and, at least to a certain extent, must be reflected as well in the design of a geospatial data infrastructure. Using central services to provision geographic data is one possibility to address this issue since then, only one data set needs to be updated according to the single source of information principle. Others will access this data set via services to always receive the latest version of available data. The required availability constraints clearly must be addressed in the design of the IT infrastructure that hosts such a geospatial database, and also IT security aspects need to be considered.

## **Resilience Engineering**

In recent years there has been an increasing awareness of the vulnerabilities of systems depending on GPS/GNSS. Resilient PNT is heavily discussed and alternatives like eLoran and Satelles are often mentioned in this context. According to the Royal Academy of Engineering (2013), “all critical infrastructure and safety critical systems that require accurate GNSS derived time and or timing should be specified to operate with holdover technology for up to three days.” This source also lists other recommendations to be considered for system design.

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A source that provides example cases on a regular basis is the Resilient Navigation and Timing Foundation<sup>[8]</sup> (RNT Foundation). Examples of official reports in the US and the UK are also Wallischeck (2016) and Royal Academy of Engineering (2011). Jamming and GPS disruptions actually occur and sometimes official warnings are issued, e.g. by the US Coast Guard (DHS 2016). According to an RNT Foundation notice<sup>[9]</sup>, there was an official warning from flight authorities during the 2017 G20 event in Hamburg, Germany. It cautioned to consider the possibility of GPS disruptions caused by intentionally initiated activities and actions to protect the G20 conference.

Prudent systems engineers will consider such dependencies and ensure to the degree practical that the systems at hand are resilient and fault tolerant, i.e. those systems do not terminate safe and reliable operation in the absence of GNSS signals, or cause major problems when they need to continue to communicate with other systems.

## System Safety Engineering

Although it may not be straightforward, even in System Safety Engineering there are aspects that may be supported by geodetic and surveying engineering. One example may be the monitoring of dams, bridges and buildings etc., i.e. to what extent constructions move under differing environmental conditions, especially when subject to wind or water pressure or heat. Another example is the monitoring of natural objects such as volcanoes or slopes to detect early the possibility of future volcanic eruptions or potential landslides, or the monitoring of fracture zones or areas prone to earthquakes.

## Usability Analysis/Human Systems Integration

Geographical displays sometimes form a central part of user interfaces. In such cases, proper usability analysis and other aspects of Human Systems Integration (all of these activities are part of Human Factors Engineering, HFE), geospatial expertise may be required. But beyond this, in HFE several other aspects are considered covering the general interaction of users with systems (Stanton et al. 2013). Nevertheless, in displaying virtual environments, HFE is related to the science and application of cartography (Kraak and Ormeling 2020) because the latter deals not only with portrayal of geographic data but also heavily with the different ways of human perception and abstraction of spatial phenomena, especially in dependence of the different scales the data is displayed.

## Geospatial Aspects in Modeling and Simulation

Modeling and simulation is a broad field and heavily used in various disciplines and as such also in different SE life cycle processes. Geospatial technologies contribute to these activities amongst others by providing geographic data to create realistic environments, either for 2- or 3-dimensional applications. According to INCOSE (2015), such a model is then termed a "formal geometric model". When considering temporal aspects and phenomena as well, 4-dimensional models are used. The modeler has to discern what types of geographic information must be modeled, and whether they are discrete objects which can be delimited with boundaries or whether they are continuous fields representing "the real world as a finite number of variables, each one defined at every possible position" (Longley et al. 2015), like temperature. For a comprehensive introduction to the general theory of geographic representation in GIS with continuous fields and discrete objects and how these concepts may be integrated see Longley et al. (2015), Goodchild et al. (2007) and Worboys and Duckham (2004).

In traditional cartography a map model was described by the well-known map legend that explained the portrayal of depicted features or phenomena. Today, fairly straightforward models for perspective visualization of landscapes are created using so-called Digital Terrain Models (DTM) and rendering them with geographic imagery. With these types of models no further descriptive information may be extracted besides geometric information and visual interpretation of the imagery to decide what is actually there. A well-known application for this is Google Earth. Vector models can provide more information. Discrete objects in a vector model may be further described by attributes, e.g. the width of a street. Vector models are created using so-called "feature catalogues" that define which real world objects and domain values are to be represented. A typical military feature catalogue was created by the

Defence Geospatial Information Working Group (DGIWG) for worldwide military mapping projects and is called the DGIWG Feature Data Dictionary<sup>[10]</sup> (DFDD). Feature catalogues vary with different levels of modeling scales, i.e. large-scale models provide a higher granularity than small-scale models that provide more of an overview.

INCOSE (2015) lists the following purposes for models throughout the system life cycle:

- Characterizing an existing system,
- Mission and system concept formulation and evaluation,
- System architecture design and requirements flow-down,
- Support for systems integration and verification,
- Support for training, and
- Knowledge capture and system design evolution.

The second and fifth purposes may be supported by geospatial technologies; i.e. data and software components that create, store, simulate and visualize/portray real world or virtual models of environments where a system is going to be deployed, or where operations are going to take place (Tolk 2012). “Mission and system concept formulation and evaluation” tie to the definition of the Concept of Operation (ConOPS). By analyzing different variants of system deployment and categorizing them based on defined cost functions, it is possible to optimize a system design to provide a solid basis for decision making.

## Conclusions

Geodetic and geospatial technologies and services play a fundamental role in many systems of systems and stand-alone systems. The general public is often not aware how strongly their lives and activities depend on these assets to provide and maintain critical infrastructure such as electric power and communications services. Against this background, systems engineers often need mastery of GGE knowledge and access to GGE subject matter experts and as a consequence, Geospatial and Geodetic Engineering may be considered as well a Specialty Engineering Discipline for Systems and Systems of Systems Engineering endeavors.

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- [8] <https://rntfnd.org>
- [9] <https://rntfnd.org/2017/07/28/g20-jams-gps/>
- [10] <https://www.dgiwg.org/FAD/overview.jsp>

# Further Insights into Geospatial/Geodetic Engineering

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This article is part of the Systems Engineering and Geospatial/Geodetic Engineering (GGE) Knowledge Area. It discusses in more detail a selected set of topics that a beginner in Geographic Information Systems (GIS) and science or a systems engineer adopting respective techniques might be interested in or should be aware of. Topics discussed include bodies of knowledge on geospatial technologies, various aspects associated with geographic data, and standardization in the geospatial domain.

## GIS related Bodies of Knowledge

The emphasis of the article Overview of Geospatial/Geodetic Engineering was to focus on to what extent systems and systems of systems are dependent on GIS related technologies and where potential interfaces or contributions are. In order to provide now an improved but still brief overview of which topics are related in general to geospatial and geodetic engineering and how broad the geospatial domain actually is, a high-level introduction into existing bodies of knowledge in the geospatial domain is provided here.

The work on a body of knowledge (BOK) for the geospatial domain actually goes back into the 1980s (cf. Kemp & Goochild 1991, cited in Stelmaszczuk-Górska et al. 2020), and since then at least two major workstreams have evolved. One in the United States that culminated first in 2006 with the publication of Edition 1 of the Geographic Information Science and Technology Body of Knowledge (GISTBoK) by the University Consortium for Geographic Information Science (UCGIS) <sup>[1]</sup> (DiBiase et al. 2006). For the Geospatial Intelligence (GEOINT) discipline, a refinement was elaborated by the United States Geospatial Intelligence Foundation (USGIF) <sup>[2]</sup>. The UCGIS GISTBoK also formed the nucleus for the other workstream in Europe which started with the GI-N2K: Geographic Information – Need to Know <sup>[3]</sup> project (Vandenbroucke and Vancauwenbergh 2016) that aimed to better reflect European aspects in a BOK and to provide an ontological structure of concepts and relationships (Hofer et al. 2020). The European workstream was then further pursued as part of the Earth Observation for Geoinformation project (EO4GEO) <sup>[4]</sup> that refined and extended the work from GI-N2K (Stelmaszczuk-Górska et al. 2020; Hofer et al. 2020).

## UCGIS: Geographic Information Science and Technology Body of Knowledge (GISTBoK)

For the 2006 GISTBoK a hierarchical decomposition of the geospatial domain was conducted into 10 Knowledge Areas which were again divided into 73 Units and then into 329 Topics. There were over 1600 Learning Objectives listed in these topics. With the update that began in 2013 (Wilson 2014), there are also 10 Knowledge Areas in the current GISTBoK but they have changed partly versus the 2006 version. As of the beginning of 2022, there are 54 Units and 363 Topics. The current Knowledge Areas are:

- Foundational Concepts, with 7 Units and 35 Topics;
- Knowledge Economy, with 4 Units and 20 Topics;
- Computing Platforms, with 5 Units and 28 Topics;
- Programming and Development, with 5 Units and 23 Topics;
- Data Capture, with 8 Units and 35 Topics;
- Data Management, with 7 Units and 53 Topics;
- Analytics and Modeling, with 9 Units and 70 Topics;
- Cartography and Visualization, with 6 Units and 36 Topics;
- Domain Applications, with 44 Topics (with no categorization into Units); and

- GIS&T and Society, with 3 Units and 19 Topics.

It should be noted however that the GISTBoK is constantly evolving and for the latest version the respective GISTBoK online resource<sup>[5]</sup> has to be checked. Additionally, a feature of this BOK is that many Topics are linked with respective citable articles providing insights into the subjects at hand. The UCGIS also provides at its web site (UCGIS BOK<sup>[6]</sup>) information on open educational resources on GIS and GIScience.

## **USGIF: GEOINT Essential Body of Knowledge**

Aside from the activities hosted by the UCGIS that were mainly driven by academia, the USGIF published in 2014 the first version of its GEOINT Essential Body of Knowledge that targeted the GEOINT discipline. Among other sources, it was based on the 2006 GISTBoK (DiBiase et al. 2006) but extending it where necessary to better reflect the broader needs of GEOINT and related industries. The second version (Brooks et al. 2019) was published in 2019 after an 18 months period of preparation with a survey in the GEOINT community involving various subject matter experts that interpreted the results of the survey. It serves as a guide to what skills are required in the GEOINT discipline and acts as a blueprint for respective Certified GEOINT Professional exams (Brooks et al. 2019; Baber 2018). The GEOINT Essential Body of Knowledge version 2.0 is divided into three parts. The first one is related to "Technical Competencies" with the following areas:

- GIS & Analysis Tools;
- Remote Sensing & Imagery Analysis;
- Geospatial Data Management; and
- Data Visualization.

The second part is related to "Cross Functional Competencies" which cover general skills like soft skills or common GEOINT knowledge and practices suitable for the GEOINT practitioner, whereas the third part looks at "Emerging Competencies", like data science, machine learning techniques, virtual reality, artificial intelligence, and unmanned aerial platforms.

It is worth mentioning that, since 2015, USGIF also publishes the "State and Future of GEOINT Reports" on a yearly basis. These may also serve as a general reference on future trends in geospatial technologies.

## **Europe: The "GI-N2K: Geographic Information - Need to Know" and the "EO4GEO: Earth Observation for Geoinformation" BOKs**

The GI-N2K project funded by the European Union's (EU) Erasmus Lifelong Learning Program and its BOK started as well with the 2006 GISTBoK (DiBiase et al. 2006) and had 10 Knowledge Areas. For these Knowledge Areas 63 sub-concepts were identified and further divided into 301 on level 3. However, in some instances level 3 was even further de-composed into level 4 and partly into level 5 concepts. At the end, 411 concepts were defined on these levels. Additional features that were provided with this BOK were curriculum design tools and a GeoWiki to enable discussion between experts.

The most recent development in European GIS-related BOKs is the EO4GEO BOK that continues and further develops as part of the Erasmus+ Sector Skills Alliance project EO4GEO the work conducted in the GI-N2K project. As Earth Observation (EO) and Geoinformation (GI) data sources, especially from the space sector, are gaining nowadays much more importance for data capture and updates of derivative data, the respective skills for data capture, information processing, standalone and combined analysis and associated applications need to be defined and matched or merged with the previous BOKs to reflect this change in academia, business and applications (Stelmaszczuk-Górska et al. 2020). An analysis revealed that "neither the American nor the European GIS&T (comment: Geographic Information Science and Technology) and GI-N2K BOKs include comprehensive information on EO" (Stelmaszczuk-Górska et al. 2020). Additionally, since there was a criticism that the previous BOKs were too much oriented along education driven by academia and too theoretical with a lack of practical aspects, an emphasis was made to "better align" the academically oriented EO4GEO BOK "with the business,

professional, and industrial perspective" (Hofer et al. 2020) by analyzing a set of relevant business processes with regard to applicable concepts.

The EO4GEO BOK<sup>[7]</sup> has at its highest level 14 subconcepts as follows:

- Analytical Methods, with 14 subconcepts;
- Conceptual Foundations, with 8 subconcepts;
- Cartography and Visualization, with 6 subconcepts;
- Design and Setup of Geographic Information Systems, with 4 subconcepts;
- Data Modeling, Storage and Exploitation, with 5 subconcepts;
- Geocomputation, with 4 subconcepts;
- Geospatial Data, with 4 subconcepts;
- GI and Society, with 6 subconcepts;
- Image processing and analysis, with 6 subconcepts;
- Organizational and Institutional Aspects, with 5 subconcepts;
- Physical principles, with 2 subconcepts;
- Platforms, sensors and digital imagery, with 4 subconcepts;
- Thematic and application domains, with 5 subconcepts; and
- Web-based GI, with 7 subconcepts.

Similar as with the GIN-2K BOK, there are partly also further levels below the subconcepts. In addition to the BOK, it provides an occupational profile tool, a job offer tool, a curriculum design tool, a BOK annotation tool, a BOK matching tool and other educational features. For the concepts, their names are given along with descriptions and references. A set of 5 relationships between the concepts is maintained, and skills explaining the practical use of the EO\*GEO knowledge are associated with the concepts (Hofer et al. 2020). The BOK exploration is supported by a graphical tool.

## Geographic Data and Metadata

### Geographic Data

Geospatial data is actually the fuel needed for any type of geographic application, whether it might be only for visualization purpose, e.g. as background information for real-time situational awareness applications, or for advanced spatial analytics involving different data sources and specific analysis methods. A first categorization into the two fundamental concepts of geographic data has already been given in the SEBoK article Relationship between Systems Engineering and Geospatial/Geodetic Engineering. They are:

- Continuous fields, i.e. spatially distributed phenomena with no clear limits or boundaries and representing "the real world as a finite number of variables, each one defined at every possible position" (Longley et al. 2015). For the case that repeated pattern of positions is used, the term raster data is commonly used, especially for the case that an equidistant matrix pattern is used. However, a matrix could potentially have different resolutions in columns and rows, or theoretically also other regular patterns could be involved, such as hexagonal patterns, but these applications are very rare.
- Discrete objects or features, which are delimited by boundaries and potentially associated with a set of attribute data to describe them further beyond their spatial properties. This type of data is also termed vector data in a GIS context.

Beyond these two fundamental concepts, the different aspects that need to be considered for geographic data when designing a system using this data are very diverse and cannot be treated in full detail here. A selection of important key words coming from practical experiences to be considered when implementing GIS databases include:

- What data is actually needed (examples see below)?

- At what scales shall the data be visualized, i.e. the level of detail needed.
- Dimensionality: typical dimensionalities used in GIS technologies are:
  - 2D, describing the earth surface in a flat plane, like a paper map;
  - 2.5D, with a unique z-value to a position in the horizontal plane;
  - 3D, where all three dimensions are considered; and
- Time dimension: for the case of 3D data then 4D, but as also the former 2 cases may have variations in time this is treated here as time dimension.
- What are the critical infrastructures that need to be shown, such as transport networks?
- What standards need to be considered, such as feature catalogues, interface and data format standards, data acquisition standards etc.?
- What is the positional accuracy required for the geographic data? This is typically associated with data acquisition method to be selected and obviously with the costs involved.
- What is the level of semantic detail needed, e.g. how many feature attributes shall be captured for features / vector data and how big is the set of domain values from which they shall be selected?
- Are there complex topological relations to be captured and maintained, i.e. to establish connectivity for the vector data, for example, for routing applications or utility networks?
- Questions on updates:
  - How often does the data need to be updated? This is directly related to maintenance costs for the database, i.e. recurring costs to be considered, but also to availability of resources for the updates.
  - How shall the data be updated? Is it possible to use a central service for the data which is updated, i.e. can the responsibility for the updates be delegated?
  - What communication lines are used when data and updates are distributed in a system? Or is a service model the better choice as it realizes a single source of information principle? A systems engineer has to keep in mind that geographic data can reach considerable data volumes (depending on type of data terabytes and petabytes) that cannot be easily distributed over the air for example.
- What are the data sources that may or have to be used? How are bounding conditions on the use of the data?
  - Authoritative data from a spatial data infrastructure, from international or national governmental agencies (or even intergovernmental agencies), such as national surveys like the USGS or the British Ordnance Survey, or on an international level the United Nations.
  - Commercial data sources, such as satellite imagery service providers, or mapping service providers.
  - Open sources, from activities like the Open Street Map<sup>[8]</sup> or Open Seamap<sup>[9]</sup> initiatives.
  - Copyrights and Intellectual Property Rights associated with the data sources.
  - Classification of data.
  - Bounding legal conditions (e.g. export control laws and regulations for export of data, as for example some satellite image resolutions may have export restrictions).
  - Liability aspects for the data, especially for the cases of legal boundaries, i.e. national borders. This is of particular relevance when borders are under dispute between neighboring countries!

For implementation aspects again Tomlinson (2019) and Peters (2012) are referred to as well as the online successor to the latter text book, System Design Strategies<sup>[11]</sup>.

## Metadata for Geographic Data

Whereas the section above discusses aspects of geographic data itself, it is also of fundamental importance to make this data available to or detectable by potential users. This is done by describing the data by metadata and having the metadata available, for example in a catalog where users can search for it. Whereas the Dublin Core data set (ISO 2017; ISO 2019b) defined by the Dublin Core Metadata Initiative is now used to describe general items, for the special case of geographic data, a set of dedicated ISO standards has been developed (ISO 2014, with its

amendments ISO 2018 & ISO 2022; ISO 2020d). As such, ISO 19115 "provides information about the identification, the extent, the quality, the spatial and temporal aspects, the content, the spatial reference, the portrayal, distribution, and other properties of digital geographic data and services" (ISO 2014).

## Geocoding Systems, Localization and Geographic Search

One further particular aspect looked at here is how a spatial reference for a feature may be expressed. Certainly the most well-known way to describe a location technically or mathematically is by coordinates, either in 2 dimensions for the simple case of a plane, or in 3 dimensions or even adding a time dimension. Standardized ways to express geographic coordinates are covered by ISO 6709 (ISO 2009) but also Cartesian coordinate systems are in use. However, a spatial reference may also be given by other types of geographic identifiers where a location is expressed by a specific (sometimes non-numeric) code or name. A gazetteer is used to manage geographic identifiers, such as geographic names, e.g. names of states, provinces, or other geographically identifiable features such as lakes etc. Other codes in use are for example addresses (where it should be remembered that there are also different postal address types in use), country codes (ISO 3166-1, ISO 2020a) and codes of country principal subdivisions such as states and provinces (ISO 3166-2; ISO 2020b), but there are many other, sometimes application or domain specific or even commercially developed geocodes.

An example of a commercially developed and thus proprietary geocode is the What3words<sup>[10]</sup> system that is even in use as a postal addressing system in some countries. By dividing the Earth's surface into squares of about 3 meters by 3 meters and assigning unique 3 ordered words to each of them, the codes for each location are established. There are, however, several other systems available, like Geohash<sup>[11]</sup> or Mapcode<sup>[12]</sup>, which have no license restrictions.

In general, geocodes may be categorized into non-hierarchical and hierarchical geocodes, while for the latter the accuracy of location position increases in a refinement/subdivision process, similar to adding more significant digits to a coordinate. A well-known dataset of geographic names often used in GIS applications is provided by [geonames.org](http://geonames.org)<sup>[13]</sup>.

These codes can then also be used to navigate in a geographic display, i.e. by inserting a geocode one can jump directly in the display to the respective position or features (described by positions) associated with the code. In case the code is ambiguous (as it is sometimes the case for geographic names like city names) a disambiguation could be given, in order to clarify the selection. While this approach is mainly used to navigate in a display or to find a location, it should not be confused with the topic of efficiently searching in multidimensional spatial databases. This is not treated here as it relates to database management system design and implementation, including spatial indexing, for example with space filling curves.

## Example: The United Nations 14 Global Fundamental Geospatial Data Themes

The set of geographic data to be used in a system will always be dependent on the purpose and goals of the system at hand, and therefore no general purpose structure can be provided here. Some examples of geographic data have already been given in the SEBoK article Relationship between Systems Engineering and Geospatial/Geodetic Engineering in the frame of Geospatial Aspects in Modeling and Simulation. In order to extend this for a better and broader overview of what may considered as relevant in general, the following list of geospatial data themes may serve as a first indicator. It has been elaborated as "The 14 Global Fundamental Geospatial Data Themes" by the United Nations Committee of Experts on Global Geospatial Information Management (UN-GGIM 2019).

- Global Geodetic Reference Frame;
- Addresses, such as postal addresses, see above;
- Buildings and Settlements;
- Elevation and Depth, e.g. provided by Digital Elevation Models and Digital Terrain Models (DTM);
- Functional Areas, such as administrative or legislative areas;
- Geographical Names, e.g. geographic identifiers managed and provided by a gazetteer, see above;

- Geology and Soils;
- Land Cover and Land Use;
- Land Parcels, e.g. a cadastre or a land register;
- Physical Infrastructure, including industrial and utility facilities;
- Population Distribution;
- Orthoimagery, which is a special case of geographic imagery in orthogonal projection;
- Transport Networks, e.g. rails, roads, waterways and air transport routes associated potentially with connectivity relations; and
- Water, including rivers, lakes and marine features.

The UN-GGIM (2019) provides more insights and information into the themes, e.g. what standards are available and possible sources for data. In GIS where often multiple geographic data sets from different sources are processed in a combined way, these data sets are organized into a stacked set of layers which may be for example switched on and off individually for visualization purpose.

## Standardization Organizations active in the Geospatial Domain

In the following selected international civil organizations are briefly introduced that publish standards related to the geospatial domain.

### The Open Geospatial Consortium (OGC)

The Open Geospatial Consortium (OGC) was founded in 1994 and publishes open standards and specifications in the geospatial domain. The documents are created in a member-driven consensus process. The most successful standards are the Web Map Service (WMS; OGC 2006) and the Web Feature Service (WFS; OGC 2010), but OGC has published about 70 implementation standards and about 20 abstract specifications.

OGC works closely with ISO TC211 (see next section), and some documents are jointly elaborated and published. For example, the above mentioned WMS is also an ISO standard (namely ISO 2005), as is the WFS (ISO 2010). Another example is the specification of the Geography Markup language (OGC, 2012; and ISO, 2015 & 2020a) that is published by both OGC and ISO. Special care has to be taken which version is published in which document since they are not necessarily published in the same versions at the same time. Besides the cooperation with ISO TC211, OGC has in addition other alliance partners, such as the Object Management Group (OMG), the Organization for Advancement of Structured Information Standards (OASIS), the Web3D Consortium, the World Wide Web Consortium (W3C), the International Hydrographic Organization (IHO) and the World Meteorological Organization (WMO) (both see below), and also with other ISO TCs.

Several companies well-known to the general public such as Amazon Web Services, Apple, Google, Microsoft, Oracle and SAP, and universities, governmental, inter-governmental and non-governmental organizations as well as individuals are members of the OGC at different levels of membership, summing up to more than 500 members.

### ISO TC 211 “Geographic information/Geomatics”

The International Organization for Standardization (ISO) is certainly the best known international standardization organization in the world and is organized into technical committees which develop the standards. The Technical Committee (TC) 211 is related to “Geographic information/Geomatics”. TC211 has published more than 80 standards, most of them as part of the 191xx family of standards, including abstract specifications and interface standards together with the OGC. Several ISO TC211 standards are referenced in the list of references below. TC211 also maintains the Online Multi-Lingual Glossary of Terms (MLGT)<sup>[14]</sup> at Geolexica that was used to define terms used in this Knowledge Area. Typically ISO standards are also promulgated as national standards, or as European standards from the respective European standardization organizations.

## International Hydrographic Organization (IHO)

Founded in 1921 as the International Hydrographic Bureau and renamed in 1970 to the International Hydrographic Organization (IHO), IHO is an intergovernmental organization that standardizes and coordinates activities in the area of hydrography, nautical cartography and thus nautical charts to ensure initially and still primarily the safety of navigation. With the increasing interest in the marine environment, e.g. for the installation of offshore wind farms, the importance of the activities of IHO has even more increased as it publishes standards for the creation and exchange of digital hydrographic data (IHO 2020; IHO 2017a; IHO 2000, with its appendices) that may serve as a GIS base map layer, and also for the portrayal of data (IHO 2014). The way how hydrographic offices can support the creation of spatial data infrastructures by providing data for the marine environment is discussed in IHO (2017b). With the revision of its standards to adhere to ISO TC211 standards, IHO is now transitioning to the S-100 family of standards (IHO 2018).

## World Meteorological Organization (WMO)

Originally founded in 1873 as the International Meteorological Organization and renamed in 1950 into the World Meteorological Organization (WMO), WMO is an intergovernmental organization and specialized agency of the United Nations. According to its mandate as described on its website<sup>[15]</sup>, it provides the framework for international cooperation "in the areas of meteorology (weather and climate), operational hydrology and related geophysical sciences" and facilitates "free and unrestricted exchange of data and information, products and services in real- or near-real time on matters relating to safety and security of society, economic welfare and the protection of the environment." WMO defines several data formats for the exchange of weather information (WMO 2019 & 2021a/b). Clearly the scientific background needed to create meteorological information goes far beyond of what is needed in standard GIS applications. From a GIS perspective, weather information may be treated as one or several information layer(s), and due to the typically required real- or near-real time information respective online interfaces have to be established with weather data providers, whether they are national weather services or commercial companies.

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# Knowledge Area: Systems Engineering and Industrial Engineering

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## Systems Engineering and Industrial Engineering

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Systems Engineering (SE) overlaps with many fields, such as Industrial Engineering (IE), Engineering Management, Operations Research, Project Management, and Design Engineering. In fact, the main Industrial Engineering body of knowledge, called the Industrial and Systems Engineering Body of Knowledge (ISEBoK) (IISE 2021), includes the word "systems" in its title and includes a section on systems design and engineering, which references the SEBoK. This article describes the similarities and differences between SE and IE based upon their respective standards, handbooks, and bodies of knowledge. Based on this assessment, this article describes potential roles that systems engineers and industrial engineers perform during a system's life cycle.

### Introduction

When systems engineers and industrial engineers are in the same organization, they have different roles and responsibilities. While job titles vary by organization, many organizations have individuals that perform both SE and IE activities. This article tries to help systems engineers and industrial engineers better understand the different perspectives of the fields and the knowledge needed to meet the needs of their organizations and customers. The article compares the use of international standards and the contents of the bodies of knowledge for SE and IE.

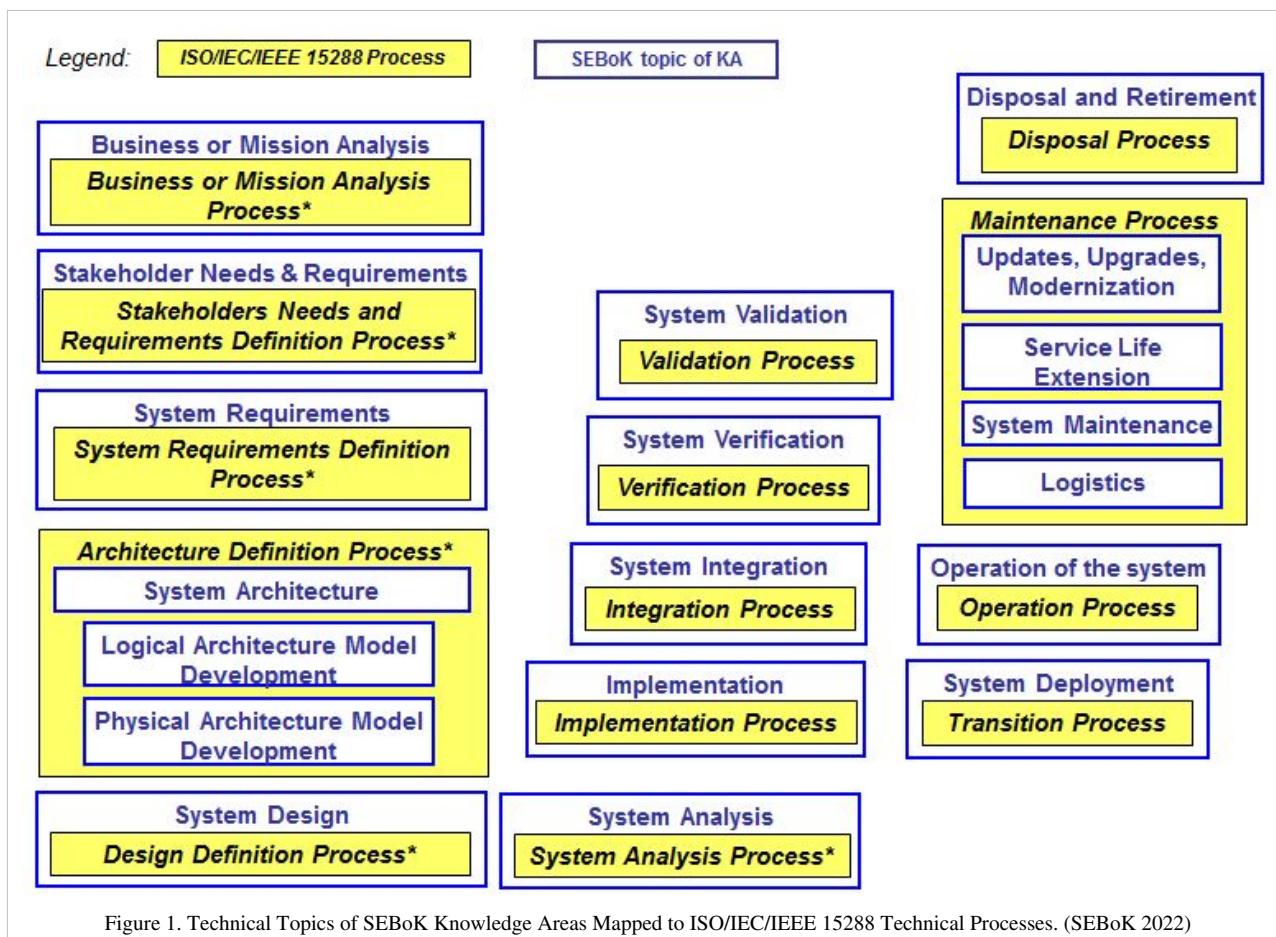
### Systems Engineering

The International Council on Systems Engineering (INCOSE) is a "not-for-profit membership organization founded to develop and disseminate the interdisciplinary principles and practices that enable the realization of successful systems." INCOSE defines systems engineering as

*a transdisciplinary and integrative approach to enable the successful realization, use, and retirement of engineered systems, using systems principles and concepts, and scientific, technological, and management methods. (INCOSE 2021)*

Here, the terms "engineering" and "engineered" are used in their widest sense: "the action of working artfully to bring something about." "Engineered systems" may be composed of any or all of people, products, services, information, processes, and natural elements.

INCOSE aligns its SE Handbook with ISO/IEC/IEEE 15288, System Life Cycle Processes, which focuses on processes. SEBoK Part 3 Systems Engineering and Management, which addresses the major SE technical and management processes, is also organized around 15288 process areas. In this view, SE is process oriented. Each edition of the SE Handbook aligns to an ISO/IEC/IEEE 15288 edition. Figure 1 shows the 15288 processes and how they align with the SE Handbook and SEBoK topic areas. Later in this article, these SEBoK topics and knowledge areas are compared with the knowledge areas of IE. The knowledge areas in Figure 1 align with the system life cycle if started at the top of the first column and traversed to the bottom, continued at the bottom of the second column and traversed to the top, and then continued at the bottom of the third column and traversed to the top.



## Industrial Engineering

The Institute of Industrial and Systems Engineers (IISE) states that it is “the only international, non-profit, professional society dedicated to advancing the technical and managerial excellence of industrial engineers.” (IISE 2021). IISE started in 1948 as the American Institute of Industrial Engineers. In 1981, the organization was renamed the Institute of Industrial Engineers to reflect its growing international membership. In 2016, the membership voted to change the name to the Institute of Industrial and Systems Engineers. This addition reflects a vote by its membership and aligns with the “changing scope of the profession that, while keeping its industrial base, has seen more industrial and systems engineers working with large scale integrated systems in a variety of sectors”.

At the turn of this century, industrial engineering was well reflected in two prominent publications: *Handbook of Industrial Engineering* (Salvendy 2001) and the fifth edition of *Maynard's Industrial Engineering Handbook* (Zandin 2001). Salvendy (2001) stated that industrial engineers are trained to design and analyze the components of which man-machine systems are composed. They bring together individual elements that are designed via other engineering disciplines and properly synergize these subsystems together with the people components for a completely integrated man-machine system. Industrial engineers are focused on the improvement of any system that is being designed or evaluated. They make individual human tasks more productive and efficient by optimizing flow, eliminating unnecessary motions, utilizing alternate materials to improve manufacturing, improving the flow of product through processes, and optimizing the configuration of workspaces. Fundamentally, the industrial engineer is charged with reducing costs and increasing profitability through ensuring the efficient use of human, material, physical, and/or financial resources.

The view of IE has evolved over the last two decades. IISE developed the IISE Body of Knowledge in 2021 (IISE 2021). The sixth edition of *Maynard's Industrial Engineering Handbook* (Zandin 2022) is expected to be published

in 2022. The IISEBoK has 14 knowledge areas, as shown in Figure 2. The first 13 knowledge areas identify the Industrial Engineering knowledge. The fourteenth is Systems Design and Engineering, which references the SEBoK. The IISEBoK provides a short description of each knowledge area, a detailed outline of knowledge area topics, and a list of references. The IISEBoK does not use standards as its foundation. In fact, the Standard Practice for Systems Safety (MIL-STD-0-882D) is the only standard cited in the reference section. IISE does not currently have a handbook developed by or for the Institute, although Zandin (2022) is expected to align with the IISEBoK.

The 14 topic areas included in the IISEBoK could be tied to many international standards even though the IISEBoK does not use standards as its foundation or provide references to standards in most of its topic areas.

## Venn Diagram Comparison

This section compares the two bodies of knowledge. Figure 3 is a Venn Diagram that identifies knowledge areas that are usually performed by systems engineers, ones usually performed by industrial engineers, and ones that are used by both disciplines.

There are 11 primarily SE knowledge areas, 7 primarily IE knowledge areas, and 12 overlapping knowledge areas. Table 1 provides some illustrative examples of the differences in SE and IE focus in the overlapping knowledge areas.

**Table 1. Illustrative Examples of Differences in SE and IE Focus**

Knowledge Area	Systems Engineering Focus	Industrial Engineering Focus
2. Operations Research (OR) and Analysis	OR and analysis is used in systems analysis to assess system performance and to evaluate system designs (Levis and Wagenhals 2000; Wagenhals, Shin, Kim, and Levis 2000; Wagenhals, Haider, and Levis 2003; Raz, Kenley, and DeLaurentis 2018)	OR and analysis is used to optimize operations, maintenance, and logistics. OR is also used to evaluate and optimize manufacturing systems.
5. Quality & Reliability Engineering	Quality and reliability requirements are treated as system-wide performance requirements (Buede and Miller 2016: 157-159; Wymore 1993: 401) that are assessed at the systems level. One example is availability, $A_0$ , which measures the degree to which a system is either operating or can operate at any time when used in its typical operational and support environment. (DA PAM 70-3 2008: 87)	Quality and reliability are used to evaluate and improve the manufacturing process of goods and services. Reliability is also used to evaluate and improve system operations.
6. Ergonomics and Human Factors	Ergonomics and human factors are considerations in assessing the potential usability of a system for end-users in an operational environment. According to Buede and Miller (2016: 180), "Performance elements of usability are ease of learning (learnability), ease of use (efficiency), ease of remembering (memorability), error rate, and subjectively pleasing (satisfaction)."	Ergonomics and human factors are used to assess and improve manufacturing and operational processes. They are also used to assess and improve the actual usability of products and services.
9. Engineering Management	Engineering managers and SEs work with program managers to develop and improve new products and services.	Engineering managers and IEs support operations managers responsible for manufacturing processes and the operation of systems providing products and services.
11. Information Engineering	Information Engineering is critical to the development of new products and services that are increasingly software intensive. Information engineering is relevant for model-based systems engineering software tools and databases, requirements management software tools and databases, and overall configuration management of the systems design and requirements baseline.	The Information Engineering knowledge area focuses on using data in information systems to facilitate decision-making and business communication.

13. Product Design and Development	SE focuses on the design of systems that provide products and services and the system life cycle. SE includes the technical processes for system design and verification and the technical management processes for project planning, assessment, and control; risk management; and decision management in the <i>Systems Engineering Handbook</i> (2015: 47-83, 104-121).	The knowledge area of the ISEBoK (2021: 53-46) focuses on the design of products and the product life cycle. It closely parallels the technical processes for system design and development of SEBoK.
Systems Deployment	Systems engineers participate in defining requirements, defining the architecture, and verification and validation of deployment systems needed to deploy the system of interest, e.g., special transport equipment such as the Shuttle Carrier Aircraft (SCA) that NASA used to transport Space Shuttle orbiters. (Jenkins 2000)	Industrial engineers are more focused on air, ground, water, and intermodal logistics to include transportation and distribution of systems and products.
Updates, Upgrades, Modernization	Systems engineers are involved defining requirements, defining the architecture, and verification and validation of updates, upgrades, and modernization of systems. One way that this has been explained is that a second iteration of the systems engineering V-model is completed as the system remains in service while a system change project is implemented (Ven, Talik, and Hulse 2012).	Industrial engineers are involved in manufacturing processes and supporting operations of systems to provide goods and services. Industrial engineers can help identify the need for updates, upgrades, and modernization of manufacturing and service processes and work with engineering managers, systems engineers, and design engineers to provide improved capabilities.
Service Life Extension	Systems engineers are involved in service life extension efforts in the same way that they are involved in updates, upgrades, and modernization of systems.	Industrial engineers are involved in service life extension efforts in the same way that they are involved in updates, upgrades, and modernization of systems.
System Maintenance	Systems engineers participate in defining requirements for maintenance across the life cycle of the system, determine the impact of maintenance constraints on the system requirements and the system architecture (Walden, et al. 2015: 97-98).	Industrial engineers provide engineering support to production processes maintenance and system maintenance to sustain operation of production and service processes and systems.
Logistics	Systems engineers participate in defining requirements for logistics across the life cycle of the system, determine the impact of maintenance constraints on the system requirements and the system architecture (Walden, et al. 2015: 97-98).	Industrial engineers are very involved in logistics planning and operations including supply chain management, transportation, and distribution.
Disposal and Retirement	Systems engineers identify requirements, define the architecture, and verification and validation of disposal and retirement needed to the disposition or retire the system of interest, e.g., nuclear material stabilization processes and equipment needed to disposition fissile nuclear materials to enable shutdown of the nuclear production facilities (Kenley, et al. 1999).	Industrial engineers plan for disposal and retirement as part of their product design process. Increasingly, industrial engineers must consider environmental impact and sustainability issues.

## Roles in a System Life Cycle

Systems engineers and industrial engineers play important roles in a system life cycle. Figure 4 modifies a format from Buedo and Miller (2016). It shows the system life cycle stages and, based on analysis in the previous section, identifies and summarizes the major roles of systems engineers, industrial engineers, and design engineers. Some processes have been aggregated to simplify the figure.

## Summary

In summary:

- The SEBoK *SE and Management* Part is based on an ISO standard. IE has several related ISO standards. IISE does not link its body of knowledge to standards.
- The SEBoK is more process focused, while IISEBoK focuses more on concepts and techniques.

- SE and IE have overlapping bodies of knowledge.
- The SEBoK and INCOSE's SE Handbook align with the system life cycle. The IISEBoK does not have an analogous organizing structure.
- Systems engineers and industrial engineers both play important roles in the system life cycle with some overlapping responsibilities.

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# Knowledge Area: Systems Engineering and Project Management

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## Systems Engineering and Project Management

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The goal of project management is to plan and coordinate the work activities needed to deliver a satisfactory product, service, or enterprise endeavor within the constraints of schedule, budget, resources, infrastructure, and available staffing and technology. The purpose of this knowledge area (KA) is to acquaint systems engineers with the elements of project management and to explain the relationships between systems engineering (SE) and project management (PM).

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- The Nature of Project Management
- An Overview of the PMBOK® Guide
- Relationships between Systems Engineering and Project Management
- The Influence of Project Structure and Governance on Systems Engineering and Project Management Relationships
- Procurement and Acquisition
- Portfolio Management

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## Additional References

None.

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# The Nature of Project Management

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While *A Guide to the Project Management Body of Knowledge (PMBOK® Guide)* provides an overview of project management for those seeking PMI certification, Fairley (2009) and Forsberg (2005) suggest another way to characterize the important aspects of project management:

- Planning and Estimating
- Measuring and Controlling
- Leading and Directing
- Managing Risk

## Introduction

Project managers and systems engineers are both concerned with management issues such as planning, measuring and controlling, leading, directing, and managing risk. In the case of project managers, the project attributes to be managed include project plans; estimates; schedule; budget; project structure; staffing; resources; infrastructure; and risk factors. Product attributes managed by systems engineers include items such as requirements allocation and flow-down; system architecture; structure of and interactions among technical teams; specialty engineering; integration; verification; and validation.

The exact allocation of the SE and PM duties depend on many factors, such as customer and stakeholder interactions, organizational structure of the parent organization, and relationships with affiliate contractors and subcontractors. (See the article on The Influence of Project Structure and Governance on Systems Engineering and Project Management Relationships in this KA.)

## Planning and Estimating

### Planning

Planning a project involves providing answers to the who, what, where, when, and why of every project:

- **Who:** Addresses staffing issues (competencies, numbers of staff, communication and coordination)
- **What:** Addresses the scope of activities
- **Where:** Addresses issues of locale (local, geographically distributed)
- **When:** Addresses scheduling issues
- **Why:** Addresses rationale for conducting a project

Guidance for developing project plans can be found in INCOSE (2012), NASA (2007), and ISO/IEC/IEEE Standard 16326:2009. It is often observed that communication and coordination among stakeholders during project planning are equally as important as (and sometimes more important than) the documented plan that is produced.

In defense work, event-driven integrated master plans and time-driven integrated master schedules are planning products. Chapter 11 of the Defense Acquisition Guidebook provides details (DAU 2010).

## Estimating

Estimation is an important element of planning. An estimate is a projection from past to future, adjusted to account for differences between past and future. Estimation techniques include analogy, rule of thumb, expert judgment, and use of parametric models such as the PRICE model for hardware, COCOMO for software projects and COSYSMO for systems projects (Stewart 1990; Boehm et al. 2000; Valerdi 2008).

Entities estimated include (but are not limited to) schedule, cost, performance, and risk.

Systems engineering contributes to project estimation efforts by ensuring that:

- the overall system life cycle is understood;
- dependencies on other systems and organizations are identified;
- the logical dependencies during development are identified; and
- resources and key skills are identified and planned.

Additionally, high-level system architecture and risk assessment provide the basis for both the work breakdown structure and the organizational breakdown structure.

## Measuring and Controlling

Measuring and controlling are the key elements of executing a project. Measurement includes collecting measures for work products and work processes. For example, determining the level of coverage of requirements in a design specification can be assessed through review, analysis, prototyping, and traceability. Effort and schedule expended on the work processes can be measured and compared to estimates; earned value tracking can be used for this purpose. Controlling is concerned with analyzing measurement data and implementing corrective actions when actual status does not align with planned status.

Systems engineers may be responsible for managing all technical aspects of project execution, or they may serve as staff support for the project manager or project management office. Organizational relationships between systems engineers and project managers are presented in Team Capability. Other organizational considerations for the relationships between systems engineering and project management are covered in the Enabling Systems Engineering knowledge area.

Additional information on measurement and control of technical factors can be found in the Measurement and Assessment and Control articles in Part 3: Systems Engineering and Management.

## Leading and Directing

Leading and directing requires communication and coordination among all project stakeholders, both internal and external. Systems engineers may be responsible for managing all technical aspects of project execution, or they may serve as staff support for the project manager or project management office. Organizational relationships between systems engineers and project managers are presented in the article Team Capability in Part 5. Other organizational considerations for the relationships between systems engineering and project management are discussed in Part 5: Enabling Systems Engineering.

## Managing Risk

Risk management is concerned with identifying and mitigating potential problems before they become real problems. Systems engineering projects are, by nature, high-risk endeavors because of the many unknowns and uncertainties that are inherent in projects. Because new risk factors typically emerge during a project, ongoing continuous risk management is an important activity for both systems engineers and project managers.

Potential and actual problems may exist within every aspect of a project. Systems engineers are typically concerned with technical risk and project managers with programmatic risk. Sometimes, technical risk factors are identified and confronted by systems engineers and programmatic risk factors are identified and confronted by project managers without adequate communication between them. In these cases, appropriate tradeoffs among requirements, schedule, budget, infrastructure, and technology may not be made, which creates additional risk for the successful outcome of a project.

In the last ten years, there has been an increasing interest in opportunity management as the converse of risk management. Hillson (2003), Olsson (2007), and Chapman and Ward (2003) provide highly cited introductions.

Additional information on risk management for systems engineering projects can be found in the Risk Management article in Part 3: Systems Engineering and Management.

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# An Overview of the PMBOK® Guide

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The *Guide to the Project Management Book of Knowledge (PMBOK® Guide)* is published and maintained by the Project Management Institute (PMI). It is acknowledged as the authoritative documentation of good practices in project management. It is also the basis for certification exams to qualify Project Management Professionals (PMPs). Many organizations require PMP certification as a basic qualification for the role of project manager.

The PMBOK 6<sup>th</sup> edition and prior editions were organized in a process focus. The PMBOK 7<sup>th</sup> edition is radically different from the 6<sup>th</sup> edition, shifting away from a process focus to a principles focus. The 7<sup>th</sup> edition emphasizes the mindsets, behaviors, and actions of the project manager. The 7<sup>th</sup> edition is also about a third the length of the 6<sup>th</sup> edition. This current SEBoK article references the 5th edition. An update is planned to reflect the 6th and 7th editions in a future release of the SEBoK.

## Overview

According to Section 1.3 of the *PMBOK® Guide*, project management is *accomplished through the appropriate application and integration of the 47 logically grouped project management processes, which are categorized into five Process Groups* (PMI 2013). The five Process Groups are:

1. Initiating Process Group
2. Planning Process Group
3. Executing Process Group
4. Monitoring and Controlling Process Group
5. Closing Process Group

Each of the 47 processes is specified by Inputs, Tools & Techniques, and Outputs. Data flow diagrams are used in the PMBOK to illustrate the relationships between each process and the other processes in which each process interacts. The processes are also grouped into ten Knowledge Areas. These Knowledge Areas are:

1. Project Integration Management
2. Project Scope Management
3. Project Time Management

4. Project Cost Management
5. Project Quality Management
6. Project Human Resources Management
7. Project Communications Management
8. Project Risk Management
9. Project Procurement Management
10. Project Stakeholder Management

The five process groups are discussed in more detail in the following section.

## **Initiating Process Group**

Activities performed in the **Initiating** process group include: obtaining authorization to start a project; defining the high-level scope of the project; developing and obtaining approval for the project charter; performing key stakeholder analysis; and identifying and documenting high-level risks, assumptions, and constraints. The **Initiating** process group contains two processes: develop the project charter and identify stakeholders.

## **Planning Process Group**

The **Planning** process group consists of 24 processes, including: assessing detailed project requirements, constraints, and assumptions with stakeholders; developing the project management plan; creating the work breakdown structure; developing a project schedule; determining a project budget; and planning for quality management, human resource management, communication management, change and risk management, procurement management, and stakeholder management. The integrated project management plan is presented to key stakeholders.

## **Executing Process Group**

The **Executing** process group includes eight processes that involve performing the work necessary to achieve the stated objectives of the project. Activities include: obtaining and managing project resources; executing the tasks defined in the project plan; implementing approved changes according to the change management plan; performing quality assurance; acquiring, developing, and managing the project team; managing communications; conducting procurements; and managing stakeholder engagement.

## **Monitoring and Controlling Process Group**

The **Monitoring and Controlling** process group is comprised of 11 processes that include: validate and control scope; control schedule; control cost; control quality; control communications; control risks; control procurements; and control stakeholder engagement. Activities include: measuring project performance and using appropriate tools and techniques; managing changes to the project scope, schedule, and costs; ensuring that project deliverables conform to quality standards; updating the risk register and risk response plan; assessing corrective actions on the issues register; and communicating project status to stakeholders.

## **Closing Process Group**

The **Closing** process group involves two processes: closing project or phase and closing procurements. Closing the project or phase involves finalizing all project activities, archiving documents, obtaining acceptance for deliverables, and communicating project closure. Other activities include: transferring ownership of deliverables; obtaining financial, legal, and administrative closure; distributing the final project report; collating lessons learned; archiving project documents and materials; and measuring customer satisfaction.

The scope of project management, as specified in the PMBOK Guide, encompasses the total set of management concerns that contribute to successful project outcomes.

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# Relationships between Systems Engineering and Project Management

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This topic discusses the relationship between systems engineering (SE) and project management (PM). As with software engineering, there is a great deal of overlap. Depending on the environment and organization, the two disciplines can be disjoint, partially intersecting, or one can be seen as a subset of the other. While there is no standard relationship, the project manager and the systems engineer encompass the technical and managerial leadership of a project between them, which requires the enterprise of each project manager and system engineer to work out the particular details for their own context.

## Overlap

There is a great deal of significant overlap between the scope of systems engineering, as described here (in the SEBoK), CMMI (2011), and other resources and the scope of project management, as described in the *PMBOK® Guide* (PMI 2013), CMMI (2011), and other resources as illustrated in Figure 1.

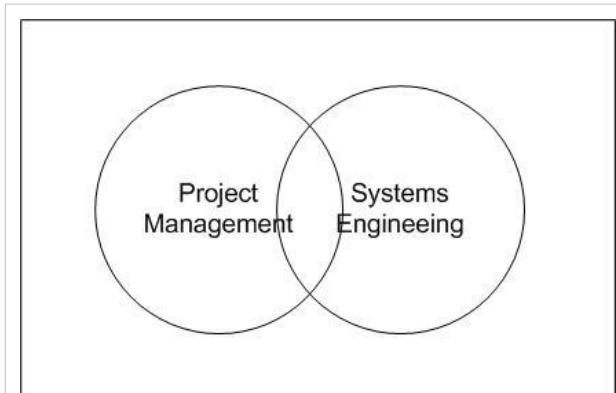


Figure 1. Overlap of PM and SE. (SEBoK Original)

These sources describe the importance of understanding the scope of the work at hand, how to plan for critical activities, how to manage efforts while reducing risk, and how to successfully deliver value to a customer. The systems engineer working on a project will plan, monitor, confront risk, and deliver the technical aspects of the project, while the project manager is concerned with the same kinds of activities for the overall project. Because of these shared concerns, at times there may be confusion and tension between the roles of the project manager and the systems engineer on a given project. As shown in Figure 2, on some projects there is no overlap in responsibility. On other projects, there may be shared responsibilities for planning and managing activities. In some cases, particularly for smaller projects, the project manager may also be the lead technical member of the team performing both roles of project manager and systems engineer.

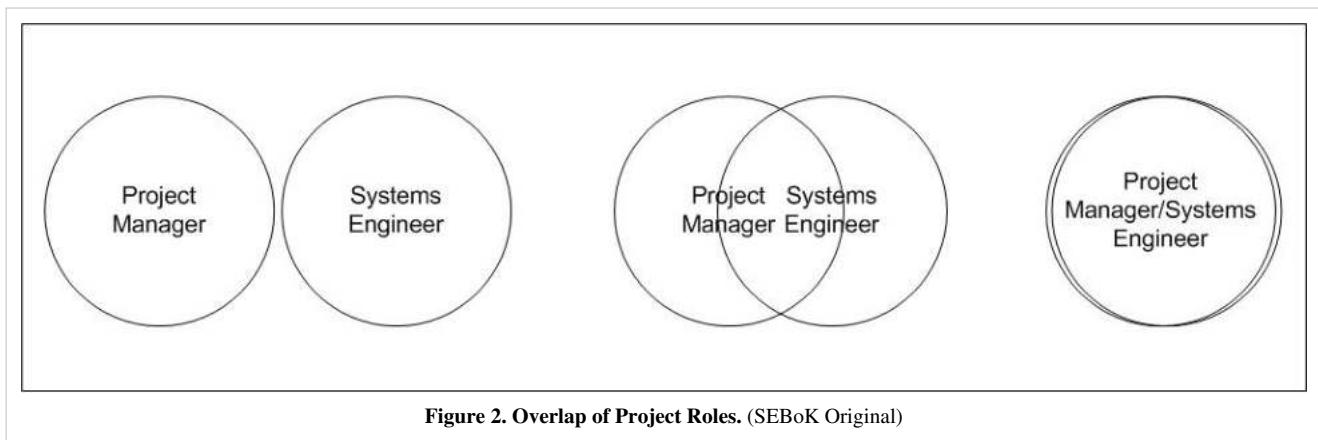


Figure 2. Overlap of Project Roles. (SEBoK Original)

## Defining Roles and Responsibilities

Regardless of how the roles are divided up on a given project, the best way to reduce confusion is to explicitly describe the roles and responsibilities of the project manager and the systems engineer, as well as other key team members. The Project Management Plan (PMP) and the Systems Engineering Management Plan (SEMP) are key documents used to define the processes and methodologies the project will employ to build and deliver a product or service.

The PMP is the master planning document for the project. It describes all activities, including technical activities, to be integrated and controlled during the life of the program. The SEMP is the master planning document for the systems engineering technical elements. It defines SE processes and methodologies used on the project and the relationship of SE activities to other project activities. The SEMP must be consistent with and evolve in concert with the PMP. In addition, some customers have technical management plans and expectations that the project's SEMP integrate with customer plans and activities. In the U.S. Department of Defense, most government project teams have a systems engineering plan (SEP) with an expectation that the contractor's SEMP will integrate and remain consistent with customer technical activities. In cases where the project is developing a component of a larger system, the component project's SEMP will need to integrate with the overall project's SEMP.

Given the importance of planning and managing the technical aspects of the project, an effective systems engineer will need to have a strong foundation in management skills and prior experience, as well as possess strong technical depth. From developing and defending basis of estimates, planning and monitoring technical activities, identifying and mitigating technical risk, and identifying and including relevant stakeholders during the life of the project, the systems engineer becomes a key member of the project's management and leadership team. Additional information on Systems Engineering Management and Stakeholder Needs and Requirements can be found in Part 3: Systems Engineering and Management.

## Practical Considerations

Effective communication between the project manager and the system engineer is essential for mission accomplishment. This communication needs to be established early and occur frequently.

Resource reallocation, schedule changes, product/system changes and impacts, risk changes: all these and more need to be quickly and clearly discussed between the PM and SE.

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# The Influence of Project Structure and Governance on Systems Engineering and Project Management Relationships

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This article reviews various project structures that impact or provide governance to the project and that require key involvement from the program manager and the systems engineer. These structures include: the structure of the organization itself (functional, project, matrix, and specialized teams, such as Integrated Product Teams (IPTs), Change Control Boards (CCBs), and Engineering Review Boards (ERBs). This article also addresses the influence of schedule-driven versus requirements-driven projects on these structures.

Relationships between Systems Engineering and Project Management are covered in a related article.

## An Overview of Project Structures

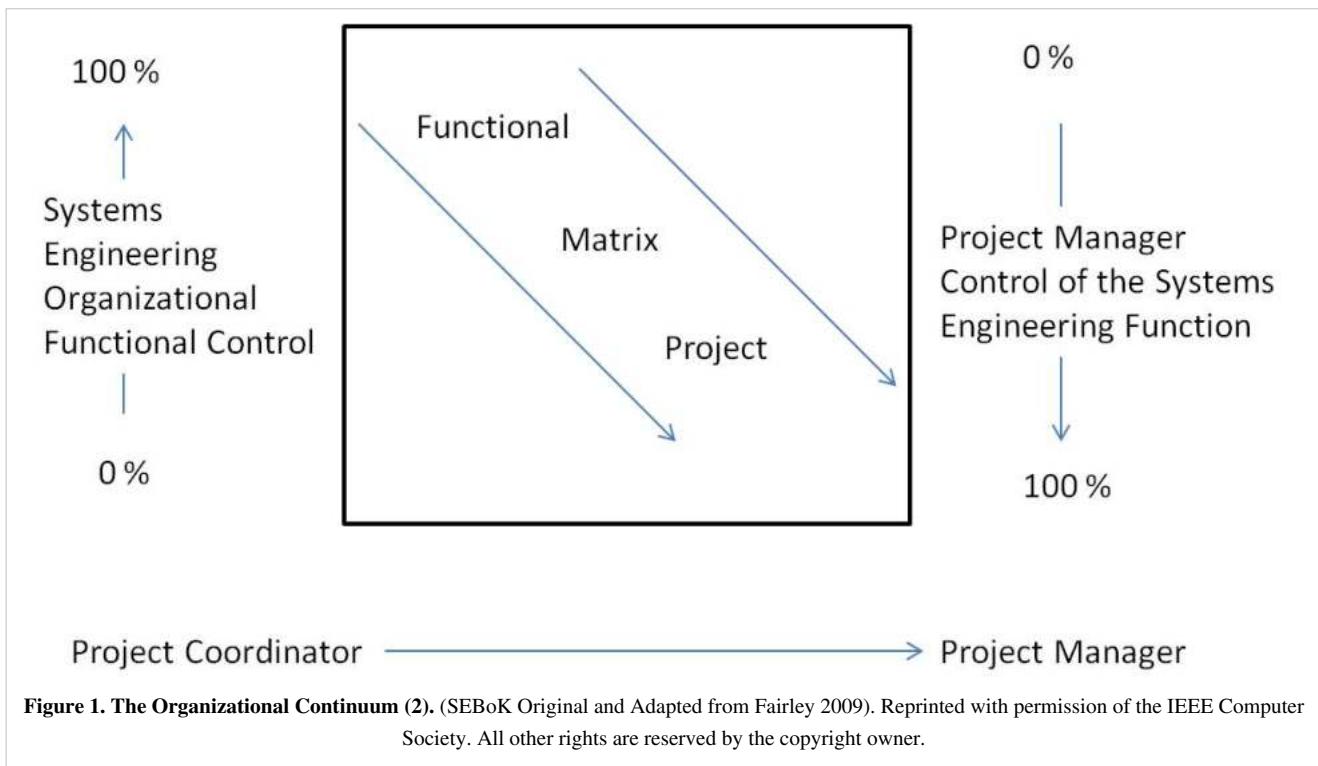
Project management and systems engineering governance are dependent on the organization's structure. For some projects, systems engineering is subordinated to project management and in other cases, project management provides support to systems engineering. These alternatives are illustrated in Figures 1 and 2 of the Organizing the Team section in Team Capability.

A project exists within the structural model of an organization. Projects are one-time, transient events that are initiated to accomplish a specific purpose and are terminated when the project objectives are achieved. Sometimes, on small projects, the same person accomplishes the work activities of both project management and systems engineering. Because the natures of the work activities are significantly different, it is sometimes more effective to have two persons performing project management and systems engineering, each on a part-time basis. On larger projects there are typically too many tasks to be accomplished for one person to accomplish all of the necessary work. Very large projects may have project management and systems engineering offices with a designated project manager and a designated lead systems engineer.

Projects are typically organized in one of three ways: (1) by functional structure, (2) by project structure, and (3) by a matrix structure (see Systems Engineering Organizational Strategy for a fourth structure and related discussion). In a function-structured organization, workers are grouped by the functions they perform. The systems engineering functions can be: (1) distributed among some of the functional organizations, (2) centralized within one organization

or (3) a hybrid, with some of the functions being distributed to the projects, some centralized and some distributed to functional organization. The following figure provides an organizational structure continuum and illustrates levels of governance among the functional organizations and the project.

- In a functional-structured organization, the project manager is a coordinator and typically has only limited control over the systems engineering functions. In this type of organization, the functional manager typically controls the project budget and has authority over the project resources. However, the organization may or may not have a functional unit for systems engineering. In the case where there is a functional unit for systems engineering, systems engineers are assigned across existing projects. Trades can be made among their projects to move the priority of a specific systems engineering project ahead of other projects; thus reducing the nominal schedule for that selected project. However, in the case where there is not a functional unit for systems engineering, the project manager may have to find alternate sources of staffing for systems engineering – for example, hiring systems engineering talent or consultants, promoting or expanding the responsibilities of a current team member, etc.
- In a project-structured organization, the project manager has full authority and responsibility for managing the budget and resources to meet the schedule requirements. The systems engineer is subject to the direction of the project manager. The project manager may work with human resources or a personnel manager or may go outside the organization to staff the project.
- Matrix-structured organization can have the advantages of both the functional and project structures. For a schedule driven project, function specialists are assigned to projects as needed to work for the project manager to apply their expertise on the project. Once they are no longer needed, they are returned to their functional groups (e.g. home office). In a weak matrix, the functional managers have authority to assign workers to projects and project managers must accept the workers assigned to them. In a strong matrix, the project manager controls the project budget and can reject workers from functional groups and hire outside workers if functional groups do not have sufficient available and trained workers.



**Figure 1. The Organizational Continuum (2).** (SEBoK Original and Adapted from Fairley 2009). Reprinted with permission of the IEEE Computer Society. All other rights are reserved by the copyright owner.

In all cases, it is essential that the organizational and governance relationships be clarified and communicated to all project stakeholders and that the project manager and systems engineer work together in a collegial manner.

The Project Management Office (PMO) provides centralized control for a set of projects. The PMO is focused on meeting the business objectives leveraging a set of projects, while the project managers are focused on meeting the

objectives of those projects that fall under their purview. PMOs typically manage shared resources and coordinate communication across the projects, provide oversight and manage interdependencies, and drive project-related policies, standards, and processes. The PMO may also provide training and monitor compliance (PMI 2013).

## Schedule-Driven versus Requirements-Driven Influences on Structure and Governance

This article addresses the influences on governance relationships between the project manager and the systems engineer. One factor that establishes this relationship is whether a project is schedule-driven or requirements-driven.

In general, a project manager is responsible for delivering an acceptable product/service on the specified delivery date and within the constraints of the specified schedule, budget, resources, and technology.

The systems engineer is responsible for collecting and defining the operational requirements, specifying the systems requirements, developing the system design, coordinating component development teams, integrating the system components as they become available, verifying that the system to be delivered is correct, complete and consistent to its technical specification, and validating the operation of the system in its intended environment.

From a governance perspective, the project manager is often thought of as being a movie producer who is responsible for balancing the schedule, budget, and resource constraints to meet customer satisfaction. The systems engineer is responsible for product content; ergo, the systems engineer is analogous to a movie director.

Organizational structures, discussed previously, provide the project manager and systems engineer with different levels of governance authority. In addition, schedule and requirements constraints can influence governance relationships. A schedule-driven project is one for which meeting the project schedule is more important than satisfying all of the project requirements; in these cases lower priority requirements may not be implemented in order to meet the schedule.

Classic examples of these types of projects are:

- a project that has an external customer with a contractual delivery date and an escalating late delivery penalty, and
- a project for which delivery of the system must meet a major milestone (e.g. a project for an announced product release of a cell phone that is driven by market considerations).

For schedule-driven projects, the project manager is responsible for planning and coordinating the work activities and resources for the project so that the team can accomplish the work in a coordinated manner to meet the schedule. The systems engineer works with the project manager to determine the technical approach that will meet the schedule. An Integrated Master Schedule (IMS) is often used to coordinate the project.

A requirements-driven project is one for which satisfaction of the requirements is more important than the schedule constraint. Classic examples of these types of projects are:

1. exploratory development of a new system that is needed to mitigate a potential threat (e.g. military research project) and
2. projects that must conform to government regulations in order for the delivered system to be safely operated (e.g., aviation and medical device regulations).

An Integrated Master Plan is often used to coordinate event-driven projects.

To satisfy the product requirements, the systems engineer is responsible for making technical decisions and making the appropriate technical trades. When the trade space includes cost, schedule, or resources, the systems engineer interacts with the project manager who is responsible for providing the resources and facilities needed to implement a system that satisfies the technical requirements.

Schedule-driven projects are more likely to have a management structure in which the project manager plays the central role, as depicted in Figure 1 of the Organizing the Team section in Team Capability. Requirement-driven projects are more likely to have a management structure in which the systems engineer plays the central role, as

depicted in Figure 2 of the Organizing the Team section in Team Capability.

Along with the Project Management Plan and the Systems Engineering Management Plan, IMP/IMS are critical to this process.

## Related Structures

Integrated Product Teams (IPTs), Change Control Boards (CCBs), and Engineering Review Boards (ERBs) are primary examples of project structures that play a significant role in project governance and require coordination between the project manager, systems engineer and other members of the team.

### Integrated Product Team

The Integrated Product Team (IPT) ensures open communication flow between the government and industry representatives as well as between the various product groups (see Good Practices in Planning). There is typically a top level IPT, sometimes referred to as the Systems Engineering and Integration Team (SEIT) (see Systems Engineering Organizational Strategy), that oversees the lower level IPTs. The SEIT can be led by either the project manager for a specific project or by the systems engineering functional manager or functional lead across many projects. Each IPT consists of representatives from the appropriate management and technical teams that need to collaborate on systems engineering, project management, and other activities to create a high-quality product. These representatives meet regularly to ensure that the technical requirements are understood and properly implemented in the design. Also see Team Capability for more information.

### Change Control Board

An effective systems engineering approach includes a disciplined process for change control as part of the larger goal of configuration management. The primary objective of configuration management is to track changes to project artifacts that include software, hardware, plans, requirements, designs, tests, and documentation. Alternatively, a Change Control Board (CCB) with representatives from appropriate areas of the project is set up to effectively analyze, control and manage changes being proposed to the project. The CCB typically receives an Engineering Change Proposal (ECP) from design/development, production, or operations/support and initially reviews the change for feasibility. The ECP may also be an output of the Engineering Review Board (ERB) (see next section). If determined feasible, the CCB ensures there is an acceptable change implementation plan and proper modification and installation procedures to support production and operations.

There may be multiple CCBs in a large project. CCBs may be comprised of members from both the customer and the supplier. As with the IPTs, there can be multiple levels of CCB starting with a top level CCB with CCBs also existing at the subsystem levels. A technical lead typically chairs the CCB; however, the board includes representation from project management since the CCB decisions will have an impact on schedule, budget, and resources.

See Figure 2 under Configuration Management for a flow of the change control process adapted from Blanchard and Fabrycky (2011). See also Capability Updates, Upgrades, and Modernization, and topics included under Enabling Teams. See also the UK West Coast Modernization Project which provides an example where change control was an important success factor.

## Engineering Review Board

Another example of a board that requires collaboration between technical and management is the Engineering Review Board (ERB). Examples of ERBs include the Management Safety Review Board (MSRB) (see Safety Engineering). Responsibilities of the ERB may include technical impact analysis of pending change requests (like the CCB), adjudication of results of engineering trade studies, and review of changes to the project baseline. In some cases, the ERB may be the management review board and the CCB may be the technical review board. Alternatively, in a requirement driven organization the ERB may have more influence while in a schedule driven organization the CCB may have more impact.

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# Procurement and Acquisition

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Procurement is the act of buying goods and services. Acquisition covers the conceptualization, initiation, design, development, testing, contracting, production, deployment, logistics support, modification, and disposal of weapons and other systems, as well as supplies or services (including construction) to satisfy organizational needs intended for use in, or in support of, defined missions (DAU 2010; DoD 2001).

Acquisition covers a much broader range of topics than procurement. Acquisition spans the whole life cycle of acquired systems. The procurement of appropriate systems engineering (SE) acquisition activities and levels of SE support is critical for an organization to meet the challenge of developing and maintaining complex systems.

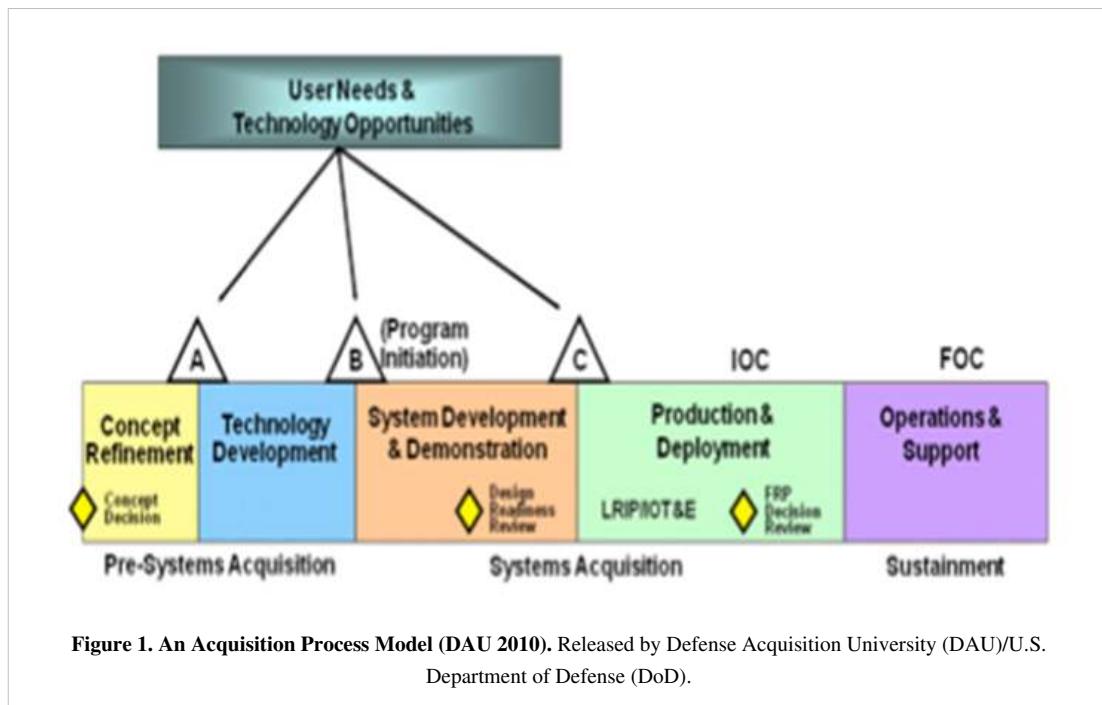
The *Guide for Integrating Systems Engineering into DoD Acquisition Contracts* addresses how systems engineering activities are integrated into the various elements of acquisition and procurement (DoD 2006a).

## Acquisition Process Model

Multiple acquisition process models exist. An acquisition process for major systems in industry and defense is shown in Figure 1. The process of acquisition is defined by a series of phases during which technology is defined and matured into viable concepts. These concepts are subsequently developed and readied for production, after which the systems produced are supported in the field.

Acquisition planning is the process of identifying and describing needs, capabilities, and requirements, as well as determining the best method for meeting those requirements (e.g., program acquisition strategy). This process includes procurement; thus, procurement is directly linked to the acquisition process model. The process model present in Figure 1 allows a given acquisition to enter the process at any of the development phases.

For example, a system using unproven technology would enter at the beginning stages of the process and would proceed through a lengthy period of technology maturation. On the other hand, a system based on mature and proven technologies might enter directly into engineering development or sometimes even production.



## Systems Engineering Role in the Acquisition Process

The procurement of complex systems usually requires a close relationship between the offeror and supplier SE teams due to the breadth and depth of SE activities. SE is an overarching process that the program team applies in order to transition from a stated capability need to an affordable, operationally effective, and suitable system.

SE is important to every phase of the acquisition process. SE encompasses the application of SE processes across the acquisition life cycle and is intended to be an integrating mechanism for balanced solutions addressing capability needs, design considerations, and constraints. It is also intended to address limitations imposed by technology, budget, and schedule.

SE is an interdisciplinary approach; that is, it is a structured, disciplined, and documented technical effort to simultaneously design and develop system products and processes to satisfy the needs of the customer. Regardless of the scope and type of program, or at what point it enters the program acquisition life cycle, the technical approach to the program needs to be integrated with the acquisition strategy to obtain the best program solution.

Acquisition and procurement in the commercial sector have many characteristics in common with their counterparts in the realm of government contracting, although the processes in the commercial world are usually accomplished with fewer rigors than occur between government and contractor interactions. Offshore outsourcing is commonly practiced in the commercial software arena with the goal of reducing the cost of labor. Commercial organizations sometimes subcontract with other commercial organizations to provide missing expertise and to balance the ebb and flow of staffing needs.

In some cases, relations between the contracting organization and the subcontractor are strained because of the contracting organization's desire to protect its intellectual property and development practices from potential exposure to the subcontractor. Commercial organizations often have lists of approved vendors that are used to expedite the procurement of needed equipment, products, and services. In these situations, commercial organizations have processes to evaluate and approve vendors in ways that are analogous to the qualification of government contractors. Many commercial organizations apply SE principles and procedures even though they may not identify the personnel and job functions as "systems engineers" or "systems engineering."

## Importance of the Acquisition Strategy in the Procurement Process

The acquisition strategy is usually developed during the front end of the acquisition life cycle. (For an example of this, see the Technology Development Phase in Figure 1.) The acquisition strategy provides the integrated strategy for all aspects of the acquisition program throughout the program life cycle.

In essence, the acquisition strategy is a high-level business and technical management approach designed to achieve program objectives within specified resource constraints. It acts as the framework for planning, organizing, staffing, controlling, and leading a program, as well as for establishing the appropriate contract mechanisms. It provides a master schedule for research, development, testing, production, fielding, and other SE related activities essential for program success, as well as for formulating functional strategies and plans.

The offeror's program team, including systems engineering, is responsible for developing and documenting the acquisition strategy, which conveys the program objectives, direction, and means of control based on the integration of strategic, technical, and resource concerns. A primary goal of the acquisition strategy is the development of a plan that will minimize the time and cost of satisfying an identified, validated need while remaining consistent with common sense and sound business practices. While the contract officer (CO) is responsible for all contracting aspects, including determining which type of contract is most appropriate, and following the requirements of existing regulations, directives, instructions, and policy memos of an organization, the program manager (PM) works with the CO to develop the best contract/procurement strategy and contract types.

## Relating Acquisition to Request for Proposal and Technical Attributes

There are several formats for requesting proposals from offerors for building complex systems. Figure 2 relates acquisition program elements to a representative request for proposal (RFP) topical outline and key program technical attributes that have been used by the Department of Defense. In general, programs have a better chance of success when both the offeror and supplier understand the technical nature of the program and the need for the associated SE activities.

The offeror and supplier need to clearly communicate the technical aspect of the program throughout the procurement process. The offeror's RFP and the associated supplier proposal represent one of the formal communications paths. A partial list of key program technical attributes is presented in Figure 2.

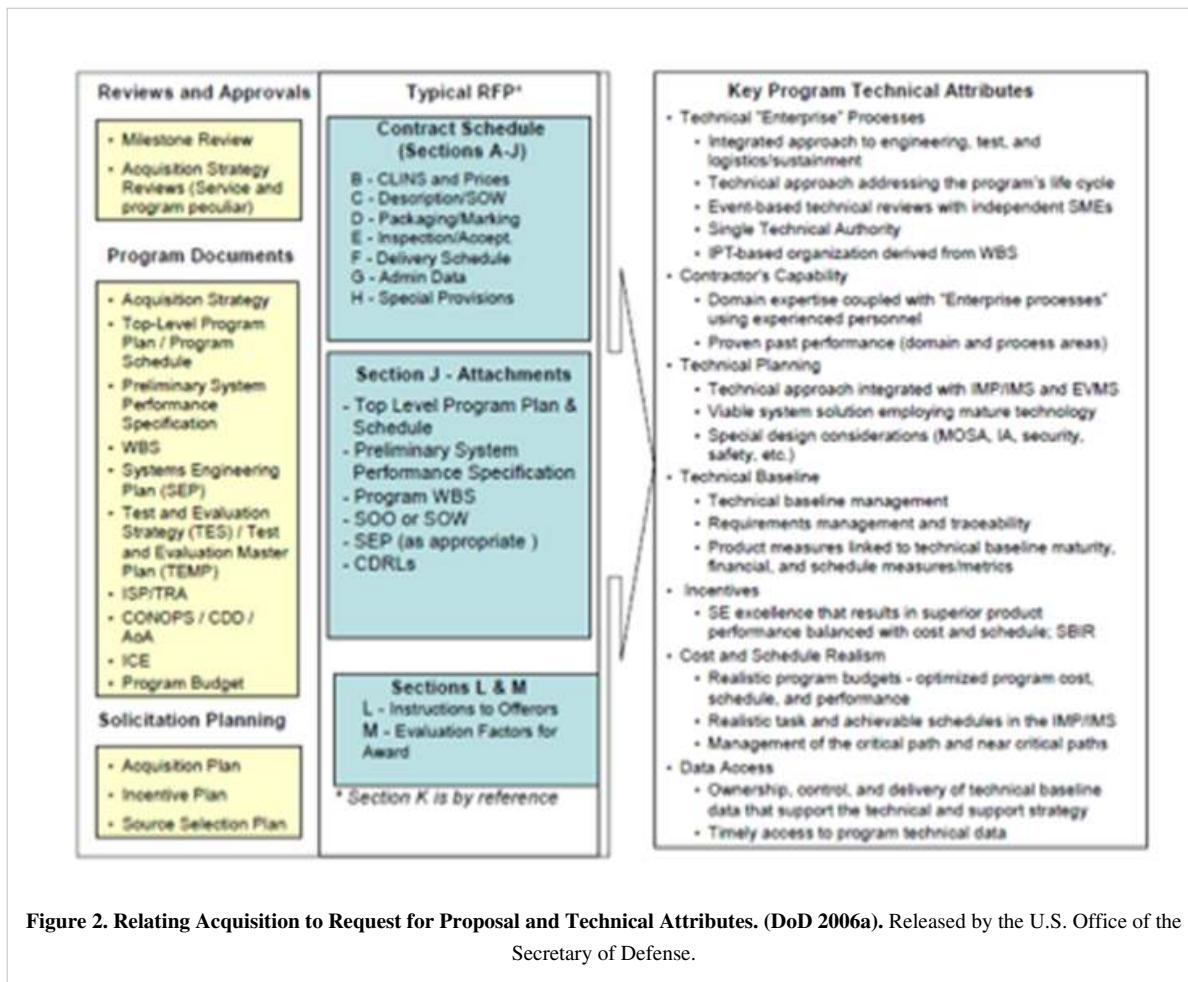


Figure 2. Relating Acquisition to Request for Proposal and Technical Attributes. (DoD 2006a). Released by the U.S. Office of the Secretary of Defense.

## Contract-Related Activities and the Offeror's Systems Engineering and Project Management Roles

A clear understanding of the technical requirements is enhanced via the development of a Systems Engineering Plan (SEP). The SEP documents the systems engineering strategy for a project or program and acts as the blueprint for the conduct, management, and control of the technical aspects of the acquisition program (DoD 2011). The SEP documents the SE structure and addresses government and contractor boundaries. It summarizes the program's selected acquisition strategy and identifies and links to program risks. It also describes how the contractor's, and sometimes the subcontractor's and suppliers', technical efforts are to be managed.

Once the technical requirements are understood, a contract may be developed and followed by the solicitation of suppliers. The offeror's PM, chief or lead systems engineer, and CO must work together to translate the program's acquisition strategy and associated technical approach (usually defined in a SEP) into a cohesive, executable

contract(s).

Table 1 shows some key contracting-related tasks with indicators of the roles of the PM and LSE.

**Table 1. Offeror's Systems Engineering and Program Management Roles (DoD 2006). Released by the U.S. Office of the Secretary of Defense.**

Typical Contract-Related Activities	Systems Engineer and Project Manager Roles
1. Identify overall procurement requirements and associated budget. Describe the offer's needs and any constraints on the procurement.	1. Lead systems engineer (LSE) provides program technical requirements. PM provides any programmatic related requirements.
2. Identify technical actions required to successfully complete technical and procurement milestones. The program's SEP is the key source for capturing this technical planning.	2. LSE defines the technical strategy/approach and required technical efforts. This should be consistent with the program's Acquisition Strategy.
3. Document market research results and identify potential industry sources.	3. PM and LSE identify programmatic and technical information needed and assist in evaluating the results.
4. Prepare a Purchase Request, including product descriptions; priorities, allocations and allotments; architecture; government-furnished property or equipment (or Government-Off-The-Shelf (GOTS); government-furnished information; information assurance and security considerations; and required delivery schedules.	4. PM and LSE ensure the specific programmatic and technical needs are defined clearly (e.g., commercial-off-the-shelf (COTS) products).
5. Identify acquisition streamlining approach and requirements, budgeting and funding, management information requirements, environmental considerations, offeror's expected skill sets, and milestones. These should be addressed in the Acquisition Strategy.	5. The procurement team work together, but the CO has the prime responsibility. The PM is the owner of the program Acquisition Strategy. The LSE develops and reviews (and the PM approves) the technical strategy.
6. Plan the requirements for the contract Statement of Objectives (SOO) / Statement of Work (SOW) / specification, project technical reviews, acceptance requirements, and schedule.	6. LSE is responsible for the development of the technical aspects of the SOO/SOW.
7. Plan and conduct Industry Days as appropriate.	7. PM and LSE support the CO in planning the meeting agenda to ensure technical needs are discussed.
8. Establish contract cost, schedule, and performance reporting requirements. Determine an incentive strategy and appropriate mechanism (e.g., Award Fee Plan and criteria).	8. LSE provides technical resource estimates. LSE supports development of the Work Breakdown Structure (WBS) based on preliminary system specifications, determines event-driven criteria for key technical reviews, and determines what technical artifacts are baselined. The PM and LSE advise the CO in developing the metrics/criteria for an incentive mechanism.
9. Identify data requirements.	9. LSE identifies all technical Contractor Data Requirements List (CDRL) and technical performance expectations.
10. Establish warranty requirements, if applicable.	10. LSE works with the CO to determine cost-effective warranty requirements.
11. Prepare a Source Selection Plan (SSP) and RFP (for competitive contracts).	11. PM and LSE provide input to the SSP per the SOO/SOW.
12. Conduct source selection and award the contract to the successful offeror.	12. PM and LSE participate on evaluation teams.

## Offeror and Supplier Interactions

There should be an environment of open communication prior to the formal source selection process. This ensures that the supplier understands the offeror's requirements and that the offeror understands the supplier's capabilities and limitations, as well as enhancing the supplier's involvement in the development of a program acquisition strategy. During the pre-solicitation phase, the offeror develops the solicitation and may ask suppliers to provide important insights into the technical challenges, program technical approach, and key business motivations.

For example, potential bidders could be asked for their assessment of a proposed system's performance based on the maturity level of new and existing technologies.

## Contracts and Subcontracts

Typical types of contracts include the following:

- **Fixed Price:** In a fixed price contract the offeror proposes a single price for all products and services to implement the project. This single price is sometimes referred to as low bid or lump sum. A fixed price contract transfers the project risks to the supplier. When there is a cost overrun, the supplier absorbs it. If the supplier performs better than planned, their profit is higher. Since all risks are absorbed by the supplier, a fixed price bid may be higher to reflect this.
- **Cost-reimbursement [Cost plus]:** In a cost-reimbursement contract the offeror provides a fixed fee, but also reimburses the contractor for labor, material, overhead, and administration costs. Cost-reimbursement type contracts are used when there is a high level of project risk and uncertainty. With this type of contract, the risks reside primarily with the offeror. The supplier gets reimbursed for all of its costs. Additional costs that arise due to changes or rework are covered by the offeror. This type of contract is often recommended for the system definition of hardware and software development when there is a risk of stakeholder changes to the system.
- **Subcontracts:** A subcontractor performs work for another company as part of a larger project. A subcontractor is hired by a general contractor (also known as a prime or main contractor) to perform a specific set of tasks as part of the overall project. The incentive to hire subcontractors is either to reduce costs or to mitigate project risks. The systems engineering team is involved in establishing the technical contract requirements, technical selection criteria, acceptance requirements, and the technical monitoring and control processes.
- **Outsource contracts:** Outsourced contracts are used to obtain goods or services by contracting with an outside supplier. Outsourcing usually involves contracting a business function, such as software design and code development, to an external provider.
- **Exclusively Commercial Off-the-Shelf (COTS):** Exclusively COTS contracts are completely satisfied with commercial solutions that require no modification for use. COTS solutions are used in the environment without modifying the COTS system. They are integrated into an existing user's platform or integrated into an existing operational environment. The systems engineering team is involved in establishing the technical contract requirements, technical acceptance, and technical selection criteria.
- **Integrated COTS:** Integrated COTS contracts use commercially available products and integrate them into existing user platforms or operational environments. In some cases, integrated COTS solutions modify the system's solution. The cost of integrating the commercial COTS product into the operational environment can exceed the cost of the COTS product itself. As a result, the systems engineering team is usually involved in establishing the technical outsourcing contract requirements, technical selection criteria, technical monitoring and control processes, and technical acceptance and integration processes.
- **COTS Modification:** COTS modification requires the most time and cost because of the additional work needed to modify the COTS product and integrate it into the system. Depending on how complex and critical the need is, the systems engineering team is usually involved in establishing the technical outsource contract requirements, technical selection criteria, technical monitoring and control processes, and technical acceptance requirements.

- **IT services:** IT services provide capabilities that can enable an enterprise, application, or Web service solution. IT services can be provided by an outsourced service provider. In many cases, the user interface for these Web services is as simple as a Web browser. Depending on how complex and critical the needs are, the systems engineering team can be involved in establishing the technical outsourcing contract requirements, technical selection criteria, and technical acceptance process.

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# Portfolio Management

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Systems engineers need to be aware of and understand the role of systems engineering in project, program, and portfolio management (PfM) processes to achieve maximum stakeholder value. In general, program and project management practices help ensure that organizations execute programs and projects the “right” way. Portfolio management can help to ensure they select the “right” programs and projects, and systems engineering ensures they use the “right” systems thinking (Specking et al. 2020). Not using portfolio management practices increases organizational risk and could decrease stakeholder value.

This article provides:

- a description of the ISO/IEC/IEEE 15288 activities and tasks with regards to portfolio management;
- a description of the Project Management Institute's (PMI's) portfolio life cycle process based on PMI's Guide to the Project Management Body of Knowledge (PMI 2017a);
- the connection of the PMI's portfolio life cycle process to ISO/IEC/IEEE 15288;
- a reference to the principles of portfolio management from the PfM Standard;
- a realignment of the SE Handbook's common approaches/tips with the PfM Standard's six domains;
- a discussion to better clarify systems engineering's relationship to portfolio management, as well as systems engineering's relationship to other topics, such as project management and program management; and
- a description of the systems engineer's role to support portfolio managers that explicitly states how a systems engineer (a) helps evaluate the value of projects to authorize, continue, or terminate enterprise projects and (b) manages their portfolio of systems engineering activities to support portfolio managers and to support enterprise processes, products, and services.

## Portfolio Management Overview

ISO/IEC/IEEE 15288 (ISO/IEC/IEEE 2015) establishes portfolio management's importance to systems engineering by including it as an organizational project-enabling process. This organizational project-enabling process uses an organization's strategic plan, portfolio direction and constraints, supply strategy, and project status report as inputs, while a portfolio management plan, organization infrastructure needs, project direction, project portfolio, organization lessons learned, portfolio management report, and portfolio management records are outputs (INCOSE 2015). Portfolio management uses these inputs to perform processes that help enterprises define and authorize projects; evaluate the portfolio of projects and programs; and terminate projects to develop the portfolio management outputs. These activities take place throughout the portfolio life cycle, which includes optimization, initiation, planning, and execution (PMI 2017b).

## Portfolio Management Process Implementation

The proper implementation of portfolio management processes results in seven major portfolio management outcomes: 1) qualification and prioritization of business venture opportunities, investments, or necessities; 2) identification of projects; 3) allocation of project resources and budgets; 4) description of project management responsibilities, accountability, and authorities; 5) sustainment of project meeting agreement and stakeholder requirements; 6) redirection or termination of unsatisfactory projects; and 7) closure of successfully completed projects (ISO/IEC/IEEE, 2015). A project should continue if it contributes to organizational strategy; makes progress on achieving its pre-established goals; obeys organizational project directives; is executed according to its pre-approved plan; and continues to add value to the organization with acceptable returns (INCOSE 2015).

Organizations can increase portfolio value by successfully implementing portfolio management processes through six performance management domains throughout the portfolio life cycle (PMI 2017b). These domains, described in Table 1, include portfolio strategic management, portfolio governance, portfolio capacity and capability management, portfolio stakeholder engagement, portfolio value management, and portfolio risk management.

**Table 1. Performance Management Domain Descriptions for Portfolio Management  
(Specking et al. 2020)**

Domain	Description
Portfolio Strategic Management	Align portfolio components to one or more strategic objectives and monitor impact
Portfolio Governance	"Through open and transparent governance, including processes for categorizing, prioritizing, selecting, and approving portfolio components, key stakeholders are more likely to accept the decisions and agree with the process, even when they may not fully endorse the decisions made" (PMI 2017b).
Portfolio Capacity and Capability Management	"The selection of portfolio components and the roadmap for their implementation is balanced against the organization's current capacity and capability with the potential of bringing in additional resources" (PMI 2017b).
Portfolio Stakeholder Engagement	"Key portfolio stakeholders require active expectation management" (PMI 2017b).
Portfolio Value Management	Use the organizational strategy to enable investment in a portfolio with the expectation of a pre-determined return
Portfolio Risk Management	Evaluate risk (positive/opportunities, negative/threats) and consider how those risks might impact accomplishing the portfolio strategic plan and objectives

These domains use some or all of the seven PMI fundamental principles for portfolio management (PMI 2017b). The seven PMI fundamental principles for portfolio management include:

- *Strive to achieve excellence in strategic execution;*
- *Enhance transparency, responsibility, accountability, sustainability, and fairness;*
- *Balance portfolio value against overall risks;*
- *Ensure that investments in portfolio components are aligned with the organization's strategy;*
- *Obtain and maintain the sponsorship and engagement of senior management and key stakeholders;*
- *Exercise active and decisive leadership for the optimization of resource utilization;*
- *Foster a culture that embraces change and risk; and*
- *Navigate complexity to enable successful outcomes.*

## **Portfolio Management Process Best Practices**

INCOSE's Systems Engineering Handbook (INCOSE 2015) provides several best practices for performing portfolio management processes. These best practices connect to one or more of the six performance management domains seen in Table 2.

**Table 2. SE Handbook Best Practices for Portfolio Management (Modified from (Specking et al. 2020))**

Performance Management Domain for Portfolio Management	Key Word for Best Practice	Description of Best Practices
• Portfolio Strategic Management	Right Stakeholders	Include relevant stakeholders when developing the organization's business area plan to enable the organization to determine present and future strategic objectives for focusing resources
• Portfolio Strategic Engagement		
• Portfolio Value Management		
• Portfolio Value Management	Measurable Criteria	Prioritize opportunities based upon measurable criteria that contains a stated threshold of acceptable performance
• Portfolio Governance		
• Portfolio Value Management	Progress Assessment	Base expected project outcomes on defined, measurable criteria with specific investment assessment information to enable an impartial progress assessment
• Portfolio Capacity and Capability Management		
• Portfolio Governance	Coordinate Interactions	Use some type of coordination organization, such as a program office, to manage the interactions among active projects
• Portfolio Governance	Consider Products and Systems	Use a product line approach for scenarios where multiple customers need the same/similar system but customize the system as necessary
• Portfolio Risk Management	Assess Risk	Assess risk during current project evaluation and cancel/suspend projects with risks that outweigh the investment
• Portfolio Strategic Management	Align with Strategy	Perform opportunity assessments of ongoing projects and avoid opportunities that contain unacceptable levels of risks, resource demands, or uncertainties or does not aligned with organization capabilities, strategic goals, or strategic objectives
• Portfolio Capacity and Capability Management		
• Portfolio Value Management	Allocate Resources	Allocate resources based upon project requirements
• Portfolio Governance		
• Portfolio Governance	Effective Governance	Use effective governance processes, which support investment decision making and project management communications

## Relationships Between Systems Engineering, Portfolio Management, and Project Management

It is often difficult for systems engineers to understand the relationships between systems engineering, portfolio management, and project management because of their overlapping processes and the use of similar tools. Figure 1 shows the role of project management, systems engineering, and portfolio management for developing and improving an enterprise architecture to provide products or services to many stakeholders. Project and program managers and systems engineers all interact with stakeholders and the enterprise architecture, which consists of products or services and the systems that make them. Systems engineers use the enterprise architecture to develop user and system functional hierarchies, which enable capability development. These capabilities help systems engineers evaluate the enterprise's current and future states. From this evaluation, the Project Management Office (portfolio managers) can develop a potential list of projects or programs to fund. Portfolio managers use best practices in decision analysis (Parnell et al. 2013) to develop a project prioritization value model (e.g. single or multiple objective decision analysis model). Portfolio managers then use optimization techniques to determine which projects or programs to fund based upon the prioritization value model. Project managers then execute the funded projects to ensure that the projects stay on schedule and within budget constraints while meeting desired performance metrics. Information impacting systems engineering documentation discovered from the funded

projects updates the functional hierarchies and system architecture. Throughout the project, portfolio managers receive updates from project managers on project progress. Portfolio managers use progress information to evaluate the project for continuation or termination. If the project is terminated upon successful completion of the project, the project's outcomes update the enterprises' architecture. Otherwise (i.e. terminated early or upon an unsuccessful completion), portfolio managers update their list of potential projects and/or programs for reprioritization. This cycle continues and evolves with time based upon the enterprise's strategy.

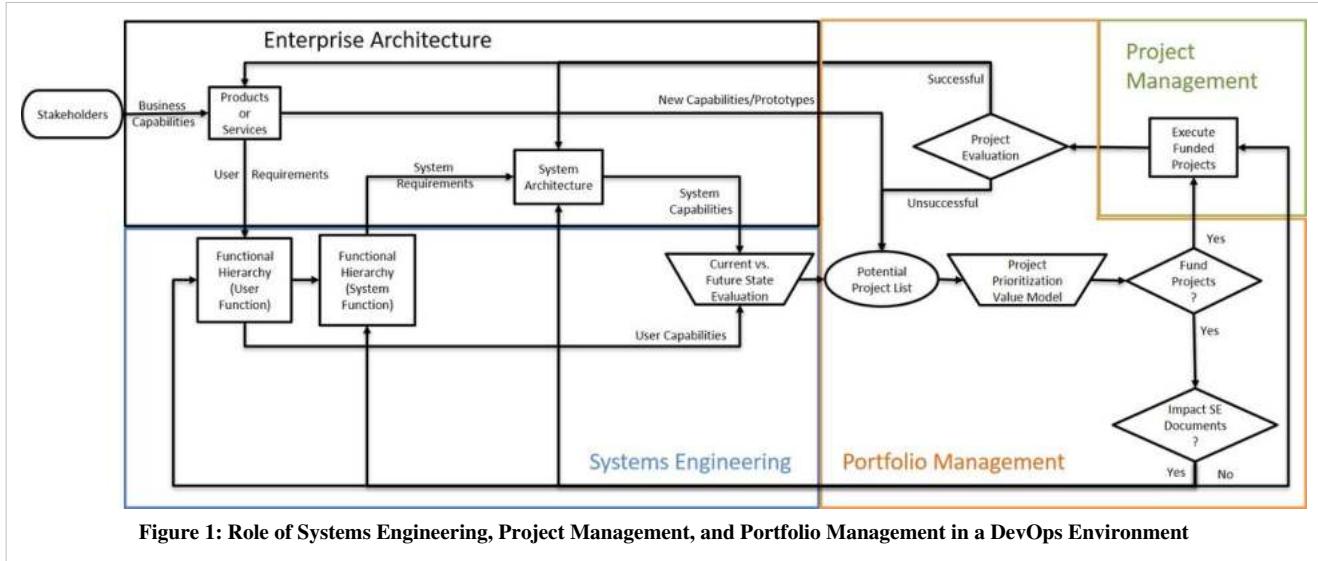


Figure 1: Role of Systems Engineering, Project Management, and Portfolio Management in a DevOps Environment

In addition to helping systems engineers understand the roles of systems engineering, portfolio management, and project management, Figure 1 provides insights into the relationships between the processes from an enterprise DevOps environment perspective.

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## Additional References

None.

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# Knowledge Area: Systems Engineering and Software Engineering

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## Systems Engineering and Software Engineering

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Software is prominent in most modern systems architectures and is often the primary means for integrating complex system components. Software engineering and systems engineering are not merely related disciplines; they are intimately intertwined. (See Systems Engineering and Other Disciplines.) Good systems engineering is a key factor in enabling good software engineering.

The SEBoK explicitly recognizes and embraces the intertwining between systems engineering and software engineering, as well as defining the relationship between the SEBoK and the Guide to the Software Engineering Body of Knowledge (SWEBOk) (Bourque, and Fairley 2014).

This knowledge area describes the nature of software, provides an overview of the SWEBOk, describes the concepts that are shared by systems engineers and software engineers, and indicates the similarities and difference in how software engineers and systems engineers apply these concepts and use common terminology. It also describes the nature of the relationships between software engineering and systems engineering and describes some of the methods, models and tools used by software engineers.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Software Engineering in the Systems Engineering Life Cycle
- The Nature of Software
- An Overview of the SWEBOk Guide
- Key Points a Systems Engineer Needs to Know about Software Engineering
- Software Engineering Features - Models, Methods, Tools, Standards, and Metrics

### Discussion

Software engineers, like systems engineers:

- engage in analysis and design, allocation of requirements, oversight of component development, component integration, verification and validation, life cycle sustainment, and system retirement.
- work with or as a component specialist (for example, user interface, database, computation, and communication specialists) who construct or otherwise obtain the needed software components.
- adapt existing components and incorporate components supplied by customers and affiliated organizations.

These commonalities would make it appear that software engineering is merely an application of systems engineering, but this is only a superficial appearance. The differences between the two disciplines arise from two fundamental concerns:

1. Differences in educational backgrounds (traditional engineering disciplines for SE and the computing disciplines for SWE) and work experiences that result in different approaches to problem solving, and

2. Different ways of applying shared concepts based on the contrasting natures of the software medium and the physical media of traditional engineering.

Table 1 itemizes some of the shared concepts that are applied in different ways by systems engineers and software engineers. Each discipline has made contributions to the other. Table 1 indicates the methods and techniques developed by systems engineers adapted for use by software engineers and, conversely, those that have been adapted for use by systems engineers.

**Table 1. Adaptation of Methods Across SE and SWE (Fairley and Willshire 2011)** Reprinted with permission of Dick Fairley and Mary Jane Willshire. All other rights are reserved by the copyright owner.\*

<b>Systems Engineering Methods Adapted to Software Engineering</b>	<b>Software Engineering Methods Adapted to Systems Engineering</b>
• Stakeholder Analysis	• Model-Driven Development
• Requirements Engineering	• UML-SysML
• Functional Decomposition	• Use Cases
• Design Constraints	• Object-Oriented Design
• Architectural Design	• Iterative Development
• Design Criteria	• Agile Methods
• Design Tradeoffs	• Continuous Integration
• Interface Specification	• Process Modeling
• Traceability	• Process Improvement
• Configuration Management	• Incremental Verification and Validation
• Systematic Verification and Validation	

The articles in this knowledge area give an overview of software and software engineering aimed at systems engineers. It also provides more details on the relationship between systems and software life cycles and some of the detailed tools used by software engineers. As systems become more dependent on software as a primary means of delivering stakeholder value, the historical distinction between software and systems engineering may need to be challenged. This is a current area of joint discussion between the two communities which will affect the future knowledge in both SEBoK and SWEBOK.

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# Software Engineering in the Systems Engineering Life Cycle

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This article describes how software engineering (SwE) life cycle processes integrate with the SE life cycle. A joint workshop organized by INCOSE, the Systems Engineering Research Center and the IEEE Computer Society was held to consider this relationship (Pyster et al. 2015). This workshop concluded that:

*Software is fundamental to the performance, features, and value of most modern engineering systems. It is not merely part of the system, but often shapes the system architecture; drives much of its complexity and emergent behavior; strains its verification; and drives much of the cost and schedule of its development. Given how significant an impact software has on system development and given how complex modern systems are, one would expect the relationship between the disciplines of systems engineering (SE) and software engineering (SWE) to be well defined. However, the relationship is, in fact, not well understood or articulated.*

In this article we give some of the basic relationships between SwE and SE and discuss how these can be related to some of the SEBoK knowledge areas.

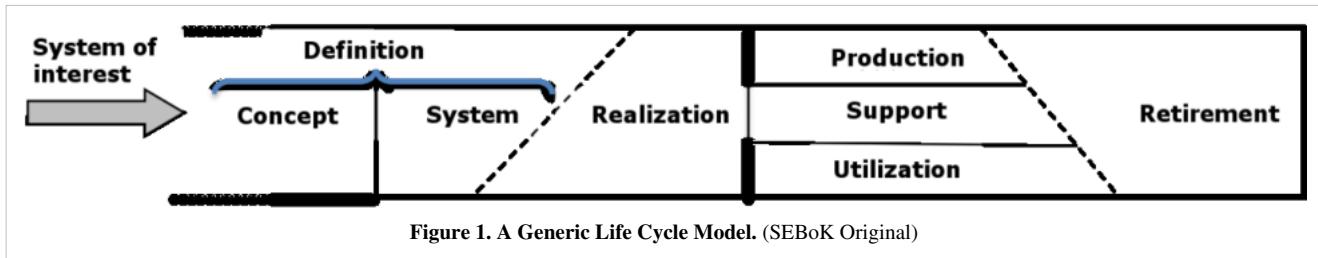
## Systems Engineering and Software Engineering Life Cycles

The Guide to the Software Engineering Body of Knowledge (SWEBoK) (Bourque and Fairley, 2014) describes the life cycle of a software product as:

- analysis and design,
- construction,
- testing,
- operation,
- maintenance, and eventually
- retirement or replacement.

This life cycle is common to most other mature engineering disciplines.

In Part 3 of the SEBoK, SE and Management, there is a discussion of SE life cycle models and life cycle processes. A Generic Life Cycle Model is described and reproduced in Fig. 1 below. This is used to describe necessary stages in the life cycle of a typical engineered system.



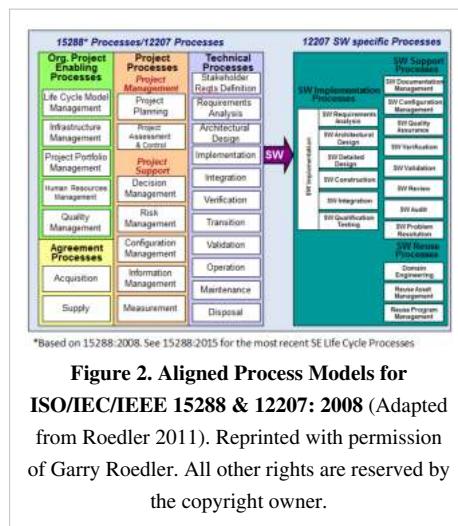
Part 3 defines a collection of generic SE life cycle processes which define the activities and information needed across the SE life cycle. These processes include activities which contribute across the whole life cycle, with peaks of focused activity in certain stages (see Applying Life Cycle Processes for details).

The following sections provide a brief discussion of how SwE life cycle processes fit into SE life cycle process models. In practice, the details of this relationship are a key part of how a system life cycle is planned and delivered. The relationship will be shaped by the operating domain practice and solution type. Some examples of this are provided in the Implementation Examples.

## Systems Engineering and Software Engineering Standards

The Systems Engineering life cycle processes described in Part 3, SE and Management, are largely based on those defined in the ISO/IEC/IEEE SE Life Cycle Processes 15288 Standard (2015).

The SWEBOK references the equivalent ISO/IEC/IEEE Software Engineering Life Cycle Processes 12207 Standard (2008), which defines a very similar set of processes for software systems. Figure 2 shows the relationship between the Enabling, Acquisition, Project and Technical Systems and Software processes in both 15288 and 12207 and the software specific processes of 12207. This alignment is from the last updates of both 12207 and 15288 in 2008. The SE processes have been further updated in 15288:2015, see Systems Engineering and Management for details. This change has not yet been applied to 12207. An update of 12207 was released in 2017, in which the alignment to 15288 was reviewed. See Alignment and Comparison of the Standards for more discussion of the relationships between the standards.



## Systems Engineering and Software Engineering Life Cycle Relationships

Pyster et al. (2015) define two technical dimensions of engineered systems and of the engineering disciplines associated with them. The vertical dimensions of a system are those that modularize around technically focused engineering concerns involving specific elements of the system; the horizontal dimensions of a system involve cross-cutting concerns at the systems level. Examples of vertical concerns include quality attributes and performance effectiveness; and cost, schedule and risk of physical, organizational or human system elements associated with a particular technology domain. Examples of horizontal concerns include addressing evolving customer preferences that drive systems-level quality attributes, trade-off and optimization; resolving system architecture, decomposition and integration issues; implementing system development processes; and balancing system economics, cost, risk and schedule.

In complex systems projects, SE has a horizontal role while traditional engineering disciplines such as electrical, mechanical, and chemical engineering have vertical roles. To the extent that it is responsible for all aspects of the successful delivery of software related elements, SwE can be considered as one of the vertical disciplines. All of these traditional vertical disciplines will have some input to the horizontal dimension. However, the nature of software and its role in many complex systems makes SwE a critical discipline for many horizontal concerns. This is discussed further below.

The ISO/IEC/IEEE 12207 software engineering standard (2008) considers two situations:

- The life cycle of software products, containing minimal physical hardware, should use software specific processes and a simple life cycle
- The life cycle of systems with a significant software content (sometimes called software intensive systems) should integrate the software processes into the SE life cycle

The second of these situations is the one relevant to the practice of SE and requires a significant horizontal contribution from SwE.

The relationship central to this is the way **SwE Implementation Processes** (see Fig 2) are used in the SE life cycle to support the implementation of software intensive system elements. This simple relationship must be seen in the context of the concurrency, iteration and recursion relationship between SE life cycle processes described in Applying Life Cycle Processes. This means that, in general, software requirements and architecture processes will be applied alongside system requirements and architecture processes; while software integration and test processes are applied alongside system integration, verification and validation processes. These interrelationships help with vertical software concerns, ensuring detailed software design and construction issues are considered at the system level. They also help with horizontal concerns, ensuring whole system issues are considered and are influenced by an understanding of software. See the Nature of Software for more details.

The ways these related processes work together will depend on the systems approach to solution synthesis used and how this influences the life cycle. If a top down approach is used, problem needs and system architecture will drive software implementation and realization. If a bottom up approach is used, the architecture of existing software will strongly influence both the system solution and the problem which can be considered. In Applying Life Cycle Processes, a "middle-out" approach is described which combines these two ideas and is the most common way to develop systems. This approach needs a two-way relationship between SE and SwE technical processes.

The **SW Support Processes** may also play these vertical and horizontal roles. Part 3 contains knowledge areas on both System Deployment and Use which includes operation, maintenance and logistics; and Systems Engineering Management which covers the project processes shown in Figure 2. SwE support processes focus on the successful vertical deployment and use of software system elements and the management needed to achieve this. They also support their equivalent horizontal SE processes in contributing to the success of the whole system life cycle. The **Software Reuse Processes** have a particularly important role to play in deployment and use and Product and Service Life Management processes. The latter considers Service Life Extension; Capability Updates, Upgrades, and

Modernization; and system Disposal and Retirement. All of these horizontal software engineering activities rely on the associated SE activities having a sufficient understanding of the strengths and limitations of software and SwE (see Key Points a Systems Engineer Needs to Know about Software Engineering).

The Life Cycle Models knowledge area also defines how Vee and Iterative life cycle models provide a framework to tailor the generic life cycle and process definitions to different types of system development. Both models, with some modification, apply equally to the development of products and services containing software. Thus, the simple relationships between SE and SwE processes will form the basis for tailoring to suit project needs within a selected life cycle model.

## Software and Systems Challenges

Pyster et al. (2015) define three classes of software intensive systems distinguished by the primary sources of novelty, functionality, complexity and risk in their conception, development, operation and evolution. These are briefly described below:

- **Physical Systems** operate on and generate matter or energy. While they often utilize computation and software technologies as components, those components are not dominant in the horizontal dimension of engineering. Rather, in such systems, they are defined as discrete system elements and viewed and handled as vertical concerns.
- **Computational Systems** include those in which computational behavior and, ipso facto, software are dominant at the systems level. The primary purpose of these systems is to operate on and produce data and information. While these systems always include physical and human elements, these are not the predominant challenges in system development, operation and evolution.
- **Cyber-Physical Systems** are a complex combination of computational and physical dimensions. Such systems are innovative, functionally complex and risky in both their cyber and physical dimensions. They pose major horizontal engineering challenges across the board. In cyber-physical systems, cyber and physical elements collaborate in complex ways to deliver expected system behavior.

Some of the challenges of physical and computational systems are well known and can be seen in many SE and SwE case studies. For example, physical system life cycles often make key decisions about the system architecture or hardware implementation which limit the subsequent development of software architecture and designs. This can lead to software which is inefficient and difficult or expensive to change. Problems which arise later in the life of such systems may be dealt with by changing software or human elements. This is sometimes done in a way which does not fully consider SwE design and testing practices. Similarly, computational systems may be dominated by the software architecture, without sufficient care taken to consider the best solutions for enabling hardware or people. In particular, operator interfaces, training and support may not be considered leading to the need for expensive organizational fixes once they are in use. Many computational systems in the past have been developed without a clear view of the user need they contribute to, or the other systems they must work with to do so. These and other related issues point to a need for system and software engineers with a better understanding of each other's disciplines. Pyster et al. (2015) consider how SE and SwE education might be better integrated to help achieve this aim.

Examples of cyber-physical systems increasingly abound – smart automobiles, power grids, robotic manufacturing systems, defense and international security systems, supply-chain systems, the so-called internet of things, etc. In these systems there is no clear distinction between software elements and the whole system solution. The use of software in these systems is central to the physical outcome and software is often the integrating element which brings physical elements and people together. These ideas are closely aligned with the Service System Engineering approach described in Part 4.

SEBoK Part 3 includes a Business and Mission Analysis process which is based on the equivalent process in the updated ISO/IEC/IEEE 15288 (2015). This process enables SE to be involved in the selection and bounding of the

problem situation which forms the starting point for an engineered system life cycle. For cyber physical systems, an understanding of the nature of software is needed in the formulation of the problem, since this is often fundamentally driven by the use of software to create complex adaptive solution concepts. This close coupling of software, physical and human system elements across the system of interest continues throughout the system life cycle making it necessary to consider all three in most horizontal system level decisions.

The life cycle of cyber physical systems cannot be easily partitioned into SE and SwE achieving their own outcomes but working together on horizontal system issues. It will require a much more closely integrated approach, requiring systems and software engineers with a complementary set of competencies, and changes how the two disciplines are seen in both team and organizational structures. See Enabling Systems Engineering.

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# The Nature of Software

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**Lead Author:** Alice Squires

The nature of the software medium has many consequences for systems engineering (SE) of software-intensive systems. Fred Brooks has famously observed that four properties of software, taken together, differentiate it from other kinds of engineering artifacts (Brooks 1995). These four properties are:

1. complexity,
2. conformity,
3. changeability,
4. invisibility.

Brooks states:

*Software entities are more complex for their size than perhaps any other human construct because no two parts are alike (at least above the statement level). If they are, we make the two similar parts into a subroutine — open or closed. In this respect, software systems differ profoundly from computers, buildings, or automobiles, where repeated elements abound. (Brooks 1995, p 82)*

## Complexity

The complexity of software arises from the large number of unique interacting parts in a software system. The parts are unique because they are encapsulated as functions, subroutines, or objects, and invoked as needed rather than being replicated. Software parts have several different kinds of interactions, including serial and concurrent invocations, state transitions, data couplings, and interfaces to databases and external systems.

Depiction of a software entity often requires several different design representations to portray the numerous static structures, dynamic couplings, and modes of interaction that exist in computer software. Complexity within the parts and in the connections among parts requires that changes undergo substantial design rigor and regression testing. Software provides functionality for components that are embedded, distributed and data centric. Software can implement simple control loops as well as complex algorithms and heuristics.

Complexity can hide defects that may not be discovered easily, thus requiring significant additional and unplanned rework.

## Conformity

Software, unlike a physical product, has no underlying natural principles which it must conform to, such as Newton's laws of motion. However, software must conform to exacting specifications in the representation of each of its parts, in the interfaces to other internal parts, and in the connections to the environment in which it operates. A missing semicolon or other syntactic error can be detected by a compiler, but a defect in the program logic or a timing error may be difficult to detect until encountered during operation.

Unlike software, tolerance among the interfaces of physical entities is the foundation of manufacturing and assembly. No two physical parts that are joined together have, or are required to have, exact matches. There are no corresponding tolerances in the interfaces among software entities or between software entities and their environments. There are no interface specifications for software stating that a parameter can be *an integer plus or minus 2%*. Interfaces among software parts must agree exactly in numbers, types of parameters and kinds of couplings.

Lack of conformity can cause problems when an existing software component cannot be reused as planned because it does not conform to the needs of the product under development. Lack of conformity might not be discovered until

late in a project, thus necessitating the development and integration of an acceptable component to replace the one that cannot be reused. This requires an unplanned allocation of resources (usually) and can delay project completion.

## Changeability

Software coordinates the operation of physical components and provides most of the functionality in software-intensive systems. Because software is the most malleable (easily changed) element in a software-intensive system, it is the most frequently changed element. This is particularly true during the late stages of a development project and during system sustainment. However, this does not mean that software is easy to change. Complexity and the need for conformity can make changing software an extremely difficult task. Changing one part of a software system often results in undesired side effects in other parts of the system, requiring more changes before the software can operate at maximum efficiency.

## Invisibility

Software is said to be invisible because it has no physical properties. While the effects of executing software on a digital computer are observable, software itself cannot be seen, tasted, smelled, touched, or heard. Software is an intangible entity because our five human senses are incapable of directly sensing it.

Work products such as requirements specifications, design documents, source code and object code are representations of software, but they are not the software. At the most elemental level, software resides in the magnetization and current flow in an enormous number of electronic elements within a digital device. Because software has no physical presence, software engineers must use different representations at different levels of abstraction in an attempt to visualize the inherently invisible entity.

## Uniqueness

One other point about the nature of software that Brooks alludes to but does not explicitly call out is the uniqueness of software. Software and software projects are unique for the following reasons:

- Software has no physical properties;
- Software is the product of intellect-intensive teamwork;
- Productivity of software developers varies more widely than the productivity of other engineering disciplines;
- Estimation and planning for software projects is characterized by a high degree of uncertainty, which can be at best partially mitigated by best practices;
- Risk management for software projects is predominantly process-oriented;
- Software alone is useless, as it is always a part of a larger system; and
- Software is the most frequently changed element of software intensive systems.

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**SEBoK v. 2.7, released 31 October 2022**

# An Overview of the SWEBOK Guide

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**Lead Authors:** Heidi Davidz, Alice Squires

Systems engineers are fortunate that the software community has developed its own body of knowledge. The introduction to Version 3 of the *Guide to the Software Engineering Body of Knowledge* states:

*The purpose of the Guide is to describe the portion of the Body of Knowledge that is generally accepted, to organize that portion, and to provide topical access to it. (Bourque and Fairley 2014)*

## SWEBOK Guide Version 3

The purposes of SWEBOK V3 are as follows:

- to characterize the contents of the software engineering discipline;
- to promote a consistent view of software engineering worldwide;
- to clarify the place of, and set the boundary of, software engineering with respect to other disciplines;
- to provide a foundation for training materials and curriculum development; and
- to provide a basis for certification and licensing of software engineers.

SWEBOK V3 contains 15 knowledge areas (KAs). Each KA includes an introduction, a descriptive breakdown of topics and sub-topics, recommended references, references for further reading, and a matrix matching reference material with each topic. An appendix provides a list of standards most relevant to each KA. An overview of the individual KAs presented in the guide is provided in the next two sections.

## Knowledge Areas Characterizing the Practice of Software Engineering

### Software Requirements

The Software Requirements KA is concerned with the elicitation, negotiation, analysis, specification, and validation of software requirements. It is widely acknowledged within the software industry that software engineering projects are critically vulnerable when these activities are performed poorly. Software requirements express the needs and constraints placed on a software product that contribute to the solution of some real-world problems.

### Software Design

Design is defined as both *the process of defining the architecture, components, interfaces, and other characteristics of a system or component* and *the result of [that] process* (IEEE 1991). The Software Design KA covers the design process and the resulting product. The software design process is the software engineering life cycle activity in which software requirements are analyzed in order to produce a description of the software's internal structure and its behavior that will serve as the basis for its construction. A software design (the result) must describe the software architecture – that is, how software is decomposed and organized into components and the interfaces between those components. It must also describe the components at a level of detail that enables their construction.

### Software Construction

Software construction refers to the detailed creation of working software through a combination of detailed design, coding, unit testing, integration testing, debugging, and verification. The Software Construction KA includes topics related to the development of software programs that will satisfy their requirements and design constraints. This KA covers software construction fundamentals; managing software construction; construction technologies; practical considerations; and software construction tools.

### Software Testing

Testing is an activity performed to evaluate product quality and to improve it by identifying defects. Software testing involves dynamic verification of the behavior of a program against expected behavior on a finite set of test cases. These test cases are selected from the (usually very large) execution domain. The Software Testing KA includes the fundamentals of software testing; testing techniques; human-computer user interface testing and evaluation; test-related measures; and practical considerations.

### Software Maintenance

Software maintenance involves enhancing existing capabilities, adapting software to operate in new and modified operating environments, and correcting defects. These categories are referred to as perfective, adaptive, and corrective software maintenance. The Software Maintenance KA includes fundamentals of software maintenance (nature of and need for maintenance, categories of maintenance, maintenance costs); key issues in software maintenance (technical issues, management issues, maintenance cost estimation, measurement of software maintenance); the maintenance process; software maintenance techniques (program comprehension, re-engineering, reverse engineering, refactoring, software retirement); disaster recovery techniques, and software maintenance tools.

## Software Configuration Management

The configuration of a system is the functional and/or physical characteristics of hardware, firmware, software, or a combination of these. It can also be considered as a collection of specific versions of hardware, firmware, or software items combined according to specific build procedures to serve a particular purpose. Software configuration management (SCM) is thus the discipline of identifying the configuration of a system at distinct points in time for the purposes of systematically controlling changes to the configuration, as well as maintaining the integrity and traceability of the configuration throughout the software life cycle. The Software Configuration Management KA covers management of the SCM process; software configuration identification, control, status accounting, and auditing; software release management and delivery; and software configuration management tools.

## Software Engineering Management

Software engineering management involves planning, coordinating, measuring, reporting, and controlling a project or program to ensure that development and maintenance of the software is systematic, disciplined, and quantified. The Software Engineering Management KA covers initiation and scope definition (determining and negotiating requirements, feasibility analysis, and review and revision of requirements); software project planning (process planning, estimation of effort, cost, and schedule, resource allocation, risk analysis, planning for quality); software project enactment (measuring, reporting, and controlling; acquisition and supplier contract management); product acceptance; review and analysis of project performance; project closure; and software management tools.

## Software Engineering Process

The Software Engineering KA is concerned with definition, implementation, assessment, measurement, management, and improvement of software life cycle processes. Topics covered include process implementation and change (process infrastructure, models for process implementation and change, and software process management); process definition (software life cycle models and processes, notations for process definition, process adaptation, and process automation); process assessment models and methods; measurement (process measurement, products measurement, measurement techniques, and quality of measurement results); and software process tools.

## Software Engineering Models and Methods

The Software Engineering Models and Methods KA addresses methods that encompass multiple life cycle stages; methods specific to particular life cycle stages are covered by other KAs. Topics covered include modeling (principles and properties of software engineering models; syntax vs. semantics vs. invariants; preconditions, post-conditions, and invariants); types of models (information, structural, and behavioral models); analysis (analyzing for correctness, completeness, consistency, quality and interactions; traceability; and tradeoff analysis); and software development methods (heuristic methods, formal methods, prototyping methods, and agile methods).

## Software Quality

Software quality is a pervasive software life cycle concern that is addressed in many of the SWEBOK V3 KAs. In addition, the Software Quality KA includes fundamentals of software quality (software engineering cultures, software quality characteristics, the value and cost of software quality, and software quality improvement); software quality management processes (software quality assurance, verification and validation, reviews and audits); and practical considerations (defect characterization, software quality measurement, and software quality tools).

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## Software Engineering Professional Practice

Software engineering professional practice is concerned with the knowledge, skills, and attitudes that software engineers must possess to practice software engineering in a professional, responsible, and ethical manner. The Software Engineering Professional Practice KA covers professionalism (professional conduct, professional societies, software engineering standards, employment contracts, and legal issues); codes of ethics; group dynamics (working in teams, cognitive problem complexity, interacting with stakeholders, dealing with uncertainty and ambiguity, dealing with multicultural environments); and communication skills.

## Knowledge Areas Characterizing the Educational Requirements of Software Engineering

### Software Engineering Economics

The Software Engineering Economics KA is concerned with making decisions within the business context to align technical decisions with the business goals of an organization. Topics covered include fundamentals of software engineering economics (proposals, cash flow, the time-value of money, planning horizons, inflation, depreciation, replacement and retirement decisions); not for-profit decision-making (cost-benefit analysis, optimization analysis); estimation; economic risk and uncertainty (estimation techniques, decisions under risk and uncertainty); and multiple attribute decision making (value and measurement scales, compensatory and non-compensatory techniques).

### Computing Foundations

The Computing Foundations KA covers fundamental topics that provide the computing background necessary for the practice of software engineering. Topics covered include problem solving techniques, abstraction, algorithms and complexity, programming fundamentals, the basics of parallel and distributed computing, computer organization, operating systems, and network communication.

### Mathematical Foundations

The Mathematical Foundations KA covers fundamental topics that provide the mathematical background necessary for the practice of software engineering. Topics covered include sets, relations, and functions; basic propositional and predicate logic; proof techniques; graphs and trees; discrete probability; grammars and finite state machines; and number theory.

### Engineering Foundations

The Engineering Foundations KA covers fundamental topics that provide the engineering background necessary for the practice of software engineering. Topics covered include empirical methods and experimental techniques; statistical analysis; measurements and metrics; engineering design; simulation and modeling; and root cause analysis.

### Related Disciplines

SWEBOK V3 also discusses related disciplines. The related disciplines are those that share a boundary, and often a common intersection, with software engineering. SWEBOK V3 does not characterize the knowledge of the related disciplines but, rather, indicates how those disciplines interact with the software engineering discipline. The related disciplines include:

- Computer Engineering
  - Computer Science
  - General Management
-

- Mathematics
- Project Management
- Quality Management
- Systems Engineering

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### Additional References

None.

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# Key Points a Systems Engineer Needs to Know about Software Engineering

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**Lead Author:** Dick Fairley, **Contributing Author:** Alice Squires

The field of software engineering is extensive and specialized. Its importance to modern systems makes it necessary for systems engineers to be knowledgeable about software engineering and its relationship to systems engineering.

## Key Concepts a Systems Engineer Needs to Know about Software Engineering

The following items are significant aspects that systems engineers need to know about software and software engineering. Most are documented in (Fairley and Willshire 2011):

1. **For the time, effort, and expense devoted to developing it, software is more complex than most other system components** - Software complexity arises because few elements in a software program (even down to the statement level) are identical, as well as because of the large number of possible decision paths found even in small programs, with the number of decision paths through a large program often being astronomical. There are several detailed references on software complexity. The SWEBOK (Bourque and Fairley 2014) discusses minimizing complexity as part of software construction fundamentals. Zuse (1991) has a highly cited article on software complexity measures and methods. Chapters 2 and 3 of the SWEBOK also have further references.
2. **Software testing and reviews are sampling processes** - In all but the simplest cases, exhaustive testing of software is impossible because of the large number of decision paths through most programs. Also, the combined values of the input variables selected from a wide combinatorial range may reveal defects that other combinations of the variables would not detect. Software test cases and test scenarios are chosen in an attempt to gain confidence that the testing samples are representative of the ways the software will be used in practice. Structured

reviews of software are an effective mechanism for finding defects, but the significant effort required limits exhaustive reviewing. Criteria must be established to determine which components (or sub-components) should be reviewed. Although there are similar concerns about exhaustive testing and reviewing of physical products, the complexity of software makes software testing, reviews, and the resulting assurance provided more challenging. Other points include:

1. All software testing approaches and techniques are heuristic. Hence, there is no universal "best" approach, practice, or technique for testing, since these must be selected based on the software context.
  2. Exhaustive testing is not possible.
  3. Errors in software tend to cluster within the software structures; therefore, any one specific approach or a random approach to testing is not advised.
  4. Pesticide paradox exists. As a result, running the same test over and over on the same software-system provides no new information.
  5. Testing can reveal the presence of defects but cannot guarantee that there will be no errors, except under the specific conditions of a given test.
  6. Testing, including verification and validation (V&V), must be performed early and continually throughout the lifecycle (end to end).
  7. Even after extensive testing and V&V, errors are likely to remain after long term use of the software.
  8. Chapter 4 of the SWEBOK discusses software testing and provides a bibliography.
3. **Software often provides the interfaces that interconnect other system components** - Software is often referred to as the *glue* that holds a system together because the interfaces among components, as well as the interfaces to the environment and other systems, are often provided by digital sensors and controllers that operate via software. Because software interfaces are behavioral rather than physical, the interactions that occur among software components often exhibit emergent behaviors that cannot always be predicted in advance. In addition to component interfaces, software usually provides the computational and decision algorithms needed to generate command and control signals. The SWEBOK has multiple discussions of interfaces: Chapter 2 on Software Design is a good starting point and includes a bibliography.
  4. **Every software product is unique** - The goal of manufacturing physical products is to produce replicated copies that are as nearly identical as possible, given the constraints of material sciences and manufacturing tools and techniques. Because replication of existing software is a trivial process (as compared to manufacturing of physical products), the goal of software development is to produce one perfect copy (or as nearly perfect as can be achieved given the constraints on schedule, budget, resources, and technology). Much of software development involves altering existing software. The resulting product, whether new or modified, is uniquely different from all other software products known to the software developers. Chapter 3 of the SWEBOK provides discussion of software reuse and several references.
  5. **In many cases, requirements allocated to software must be renegotiated and reprioritized** - Software engineers often see more efficient and effective ways to restate and prioritize requirements allocated to software. Sometimes, the renegotiated requirements have system-wide impacts that must be taken into account. One or more senior software engineers should be, and often are, involved in analysis of system-level requirements. This topic is addressed in the SWEBOK in Chapter 1, with topics on the iterative nature of software and change management.
  6. **Software requirements are prone to frequent change** - Software is the most frequently changed component in complex systems, especially late in the development process and during system sustainment. This is because software is perceived to be the most easily changed component of a complex system. This is not to imply that changes to software requirements and the resulting changes to the impacted software can be easily done without undesired side effects. Careful software configuration management is necessary, as discussed in Chapter 6 of the SWEBOK, which includes extensive references.

7. **Small changes to software can have large negative effects** (A corollary to frequently changing software requirements: *There are no small software changes*) - In several well-known cases, modifying a few lines of code in very large systems that incorporated software negatively impacted the safety, security, and/or reliability of those systems. Applying techniques such as traceability, impact analysis, object-oriented software development, and regression testing reduces undesired side effects of changes to software code. These approaches limit but do not eliminate this problem.
8. **Some quality attributes for software are subjectively evaluated** - Software typically provides the interfaces to systems that have human users and operators. The intended users and operators of these systems often subjectively evaluate quality attributes, such as ease of use, adaptability, robustness, and integrity. These quality attributes determine the acceptance of a system by its intended users and operators. In some cases, systems have been rejected because they were not judged to be suitable for use by the intended users in the intended environment, even though those systems satisfied their technical requirements. Chapter 10 of the SWEBOK provides an overview of software quality, with references.
9. **The term prototyping has different connotations for systems engineers and software engineers** - For a systems engineer, a prototype is typically the first functioning version of hardware. For software engineers, software prototyping is primarily used for two purposes: (1) as a mechanism to elicit user requirements by iteratively evolving mock-ups of user interfaces, and (2) as an experimental implementation of some limited element of a proposed system to explore and evaluate alternative algorithms. Chapter 1 of the SWEBOK discusses this and provides excellent references.
10. **Cyber security is a present and growing concern for systems that incorporate software** - In addition to the traditional specialty disciplines of safety, reliability, and maintainability, systems engineering teams increasingly include security specialists at both the software level and the systems level in an attempt to cope with the cyber-attacks that may be encountered by systems that incorporate software. Additional information about System Security can be found in the Systems Engineering and Quality Attributes Part.
11. **Software growth requires spare capacity** - Moore's Law no longer fully comes to the rescue (Moore, 1965). As systems adapt to changing circumstances, the modifications can most easily be performed and upgraded in the software, requiring additional computer execution cycles and memory capacity (Belady and Lehman 1979). For several decades, this growth was accommodated by Moore's Law, but recent limits that have occurred as a result of heat dissipation have influenced manufacturers to promote potential computing power growth by slowing down the processors and putting more of them on a chip. This requires software developers to revise their programs to perform more in parallel, which is often an extremely difficult problem (Patterson 2010). This problem is exacerbated by the growth in mobile computing and limited battery power.
12. **Several Pareto 80-20 distributions apply to software** - These refers to the 80% of the avoidable rework that comes from 20% of the defects, that 80% of the defects come from 20% of the modules, and 90% of the downtime comes from at most 10% of the defects (Boehm and Basili 2001). These, along with recent data indicating that 80% of the testing business value comes from 20% of the test cases (Bullock 2000), indicate that much more cost-effective software development and testing can come from determining which 20% need the most attention.
13. **Software estimates are often inaccurate** - There are several reasons software estimates are frequently inaccurate. Some of these reasons are the same as the reasons systems engineering estimates are often inaccurate: unrealistic assumptions, vague and changing requirements, and failure to update estimates as conditions change. In addition, software estimates are often inaccurate because productivity and quality are highly variable among seemingly similar software engineers. Knowing the performance characteristics of the individuals who will be involved in a software project can greatly increase the accuracy of a software estimate. Another factor is the cohesion of the software development team. Working with a team that has worked together before and knowing their collective performance characteristics can also increase the accuracy of a software estimate. Conversely, preparing an estimate for unknown teams and their members can result in a very low degree of accuracy. Chapter

7 of the SWEBOK briefly discusses this further. Kitchenam (1997) discusses the organizational context of uncertainty in estimates. Lederer and Prasad (1995) also identify organizational and management issues that increase uncertainty; additionally, a recent dissertation from Sweden by Magazin (2012) shows that the issues persist.

14. **Most software projects are conducted iteratively** - "Iterative development" has a different connotation for systems engineers and software engineers. A fundamental aspect of iterative software development is that each iteration of a software development cycle adds features and capabilities to produce a next working version of partially completed software. In addition, each iteration cycle for software development may occur on a daily or weekly basis, while (depending on the scale and complexity of the system) the nature of physical system components typically involves iterative cycles of longer durations. Classic articles on this include (Royce 1970) and (Boehm 1988), among others. Larman and Basili (2003) provide a history of iterative development, and the SWEBOK discusses this in life cycle processes in Chapter 8.
15. **Teamwork within software projects is closely coordinated** - The nature of software and its development requires close coordination of work activities that are predominately intellectual in nature. Certainly, other engineers engage in intellectual problem solving, but the collective and ongoing daily problem solving required of a software team requires a level of communication and coordination among software developers that is of a different, more elevated type. Highsmith (2000) gives a good overview.
16. **Agile development processes are increasingly used to develop software** - Agile development of software is a widely used and growing approach to developing software. Agile teams are typically small and closely coordinated, for the reasons cited above. Multiple agile teams may be used on large software projects, although this is highly risky without an integrating architecture (Elssamadisy and Schalliol 2002). Agile development proceeds iteratively in cycles that produce incremental versions of software, with cycle durations that vary from one day to one month, although shorter durations are more common. Among the many factors that distinguish agile development is the tendency to evolve the detailed requirements iteratively. Most agile approaches do not produce an explicit design document. Martin (2003) gives a highly cited overview.
17. **Verification and validation (V&V) of software should preferably proceed incrementally and iteratively** - Iterative development of working product increments allows incremental verification, which ensures that the partial software product satisfies the technical requirements for that incremental version; additionally, it allows for the incremental validation (ISO/IEC/IEEE 24765) of the partial product to make certain that it satisfies its intended use, by its intended users, in its intended environment. Incremental verification and validation of working software allows early detection and correction of encountered problems. Waiting to perform integration, verification, and validation of complex systems until later life cycle stages, when these activities are on the critical path to product release, can result in increased cost and schedule impacts. Typically, schedules have minimal slack time during later stages in projects. However, with iterative V&V, software configuration management processes and associated traceability aspects may become complex and require special care to avoid further problems. Chapter 4 of the SWEBOK discusses software testing, and provides numerous references, including standards. Much has been written on the subject; a representative article is (Wallace and Fujii 1989).
18. **Performance trade-offs are different for software than systems** - Systems engineers use "performance" to denote the entire operational envelope of a system; whereas software engineers use "performance" to mean response time and the throughput of software. Consequentially, systems engineers have a larger design space in which to conduct trade studies. In software, performance is typically enhanced by reducing other attributes, such as security or ease of modification. Conversely, enhancing attributes such as security and ease of modification typically impacts performance of software (response time and throughput) in a negative manner.
19. **Risk management for software projects differs in kind from risk management for projects that develop physical artifacts** - Risk management for development of hardware components is often concerned with issues such as supply chain management, material science, and manufacturability. Software and hardware share some similar risk factors: uncertainty in requirements, schedule constraints, infrastructure support, and resource

availability. In addition, risk management in software engineering often focuses on issues that result from communication problems and coordination difficulties within software development teams, across software development teams, and between software developers and other project members (e.g., hardware developers, technical writers, and those who perform independent verification and validation). See (Boehm 1991) for a foundational article on the matter.

20. **Software metrics include product measures and process measures** - The metrics used to measure and report progress of software projects include product measures and process (ISO/IEC/IEEE 24765) measures. Product measures include the amount of software developed (progress), defects discovered (quality), avoidable rework (defect correction), and budgeted resources used (technical budget, memory and execution cycles consumed, etc.). Process measures include the amount of effort expended (because of the people-intensive nature of software development), productivity (software produced per unit of effort expended), production rate (software produced per unit time), milestones achieved and missed (schedule progress), and budgeted resources used (financial budget). Software metrics are often measured on each (or, periodically, some) of the iterations of a development project that produces a next working version of the software. Chapter 8 and Chapter 7 of the SWEBOK address this.
21. **Progress on software projects is sometimes inadequately tracked** - In some cases, progress on software projects is not adequately tracked because relevant metrics are not collected and analyzed. A fundamental problem is that accurate tracking of a software project depends on knowing how much software has been developed that is suitable for delivery into the larger system or into a user environment. Evidence of progress in the form of working software is one of the primary advantages of the iterative development of working software increments.

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# Software Engineering Features - Models, Methods, Tools, Standards, and Metrics

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**Lead Author:** Tom Hilburn

In recent decades, software has become ubiquitous. Almost all modern engineered systems include significant software subsystems; this includes systems in the transportation, finance, education, healthcare, legal, military, and business sectors. Along with the increase in software utility, capability, cost, and size there has been a corresponding growth in methods, models, tools, metrics and standards, which support software engineering.

Chapter 10 of the SWEBOK discusses modeling principles and types, and the methods and tools that are used to develop, analyze, implement, and verify the models. The other SWEBOK chapters on the software development phases (e.g., Software Design) discuss methods and tools specific to the phase. Table 1 identifies software engineering features for different life-cycle phases. The table is not meant to be complete; it simply provides examples. In Part 2 of the SEBoK there is a discussion of models and the following is one of the definitions offered: “an abstraction of a system, aimed at understanding, communicating, explaining, or designing aspects of interest of that system” (Dori 2002).

For the purposes of Table 1 the definition of a model is extended to some aspect of the software system or its development. As an example, “Project Plan” is listed as a model in the Software Management area. The idea is that the Project Plan provides a model of how the project is going to be carried out: the project team organization, the process to be used, the work to be done, the project schedule, and the resources needed.

**Table 1: SWE Features (SEBoK Original)**

Life-Cycle Activity	Models	Methods & Tools	Standards
Software Management	<ul style="list-style-type: none"> <li>• Life-Cycle Process Model</li> <li>• Work Breakdown Structure</li> <li>• Constructive Cost Model (COCOMO)</li> <li>• Project Plan</li> <li>• Configuration Management (CM) Plan</li> <li>• Risk Management Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Effort, Schedule and Cost Estimation</li> <li>• Risk Analysis</li> <li>• Data Collection</li> <li>• Project Tracking</li> <li>• CM Management</li> <li>• Iterative/Incremental Development</li> <li>• Agile Development</li> </ul>	<ul style="list-style-type: none"> <li>• [IEEE 828]</li> <li>• [IEEE 1058]</li> <li>• [IEEE 1540]</li> <li>• [IEEE 12207]</li> </ul>
Software Requirements	<ul style="list-style-type: none"> <li>• Functional Model</li> <li>• User Class Model</li> <li>• Data Flow Diagram</li> <li>• Object Model</li> <li>• Formal Model</li> <li>• User Stories</li> </ul>	<ul style="list-style-type: none"> <li>• Requirements Elicitation</li> <li>• Prototyping</li> <li>• Structural Analysis</li> <li>• Data-Oriented Analysis</li> <li>• Object-Oriented Analysis</li> <li>• Object Modeling Language (OML)</li> <li>• Formal Methods</li> <li>• Requirements Specification</li> <li>• Requirements Inspection</li> </ul>	<ul style="list-style-type: none"> <li>• [IEEE 830]</li> <li>• [IEEE 1012]</li> <li>• [IEEE 12207]</li> </ul>
Software Design	<ul style="list-style-type: none"> <li>• Architectural Model</li> <li>• Structure Diagram</li> <li>• Object Diagram</li> <li>• Class Specification</li> <li>• Data Model</li> </ul>	<ul style="list-style-type: none"> <li>• Structured Design</li> <li>• Object-Oriented Design</li> <li>• OML</li> <li>• Modular Design</li> <li>• Integrated Development Environment (IDE)</li> <li>• Database Management System (DBMS)</li> <li>• Design Review</li> <li>• Refinement</li> </ul>	<ul style="list-style-type: none"> <li>• [IEEE 1012]</li> <li>• [IEEE 1016]</li> <li>• [IEEE 12207]</li> <li>• [IEEE 42010]</li> </ul>

Software Construction	<ul style="list-style-type: none"> <li>• Detail Design Document</li> <li>• Pseudocode</li> <li>• Flow Chart</li> <li>• Program Code</li> <li>• Unit Test Plan</li> <li>• Integration Test Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Detailed Design</li> <li>• Functional Programming</li> <li>• Object-Oriented Programming</li> <li>• IDE</li> <li>• DBMS</li> <li>• Black Box/White Box Testing</li> <li>• Basic Path Testing</li> <li>• Unit Testing</li> <li>• Code Review</li> <li>• Proof of Correctness</li> <li>• Software Reuse</li> <li>• Integration</li> <li>• Integration Testing</li> </ul>	<ul style="list-style-type: none"> <li>• [IEEE 1008]</li> <li>• [IEEE 1012]</li> <li>• [IEEE 1016]</li> <li>• [IEEE 12207]</li> </ul>
Software Testing	<ul style="list-style-type: none"> <li>• System Test Plan</li> <li>• Reliability Model</li> <li>• Software Maintenance Process</li> </ul>	<ul style="list-style-type: none"> <li>• Usability Testing</li> <li>• System Testing</li> <li>• Acceptance Testing</li> <li>• Regression Testing</li> <li>• Reliability Testing</li> <li>• Non-Functional Software Testing</li> </ul>	<ul style="list-style-type: none"> <li>• [IEEE 829]</li> <li>• [IEEE 1012]</li> <li>• [IEEE 12207]</li> </ul>
Software Maintenance	<ul style="list-style-type: none"> <li>• Software Maintenance Process</li> </ul>	<ul style="list-style-type: none"> <li>• Automated Testing Tools</li> <li>• Maintenance Change</li> <li>• Impact Analysis</li> <li>• Inventory Analysis</li> <li>• Restructuring</li> <li>• Reverse Engineering</li> <li>• Re-engineering</li> </ul>	<ul style="list-style-type: none"> <li>• [IEEE 1219]</li> <li>• [IEEE 12207]</li> <li>• [IEEE 14764]</li> </ul>

## Software Metric

A software metric is a quantitative measure of the degree a software system, component, or process possesses a given attribute. Because of the abstract nature of software and special problems with software schedule, cost, and quality, data collection and the derived metrics are an essential part of software engineering. This is evidenced by the repeated reference to measurement and metrics in the SWEBOK. Table 2 describes software metrics that are collected and used in different areas of software development. As in Table 1 the list is not meant to be complete, but to illustrate the type and range of measures used in practice.

**Table 2: Software Metrics \*** (SEBoK Original)

Category	Metrics
Management Metrics	<ul style="list-style-type: none"> <li>• Size: Lines of Code (LOC*), Thousand Lines of Code (KLOC)</li> <li>• Size: Function points, Feature Points</li> <li>• Individual Effort: Hours</li> <li>• Task Completion Time: Hours, Days, Weeks</li> <li>• Project Effort: Person-Hours</li> <li>• Project Duration: Months</li> <li>• Schedule: Earned Value</li> <li>• Risk Projection: Risk Description, Risk Likelihood, Risk Impact</li> </ul>
Software Quality Metrics	<ul style="list-style-type: none"> <li>• Defect Density - Defects/KLOC (e.g., for system test)</li> <li>• Defect Removal Rate – Defects Removed/Hour (for review and test)</li> <li>• Test Coverage</li> <li>• Failure Rate</li> </ul>

Software Requirements Metrics	<ul style="list-style-type: none"> <li>• Change requests (received, open, and closed)</li> <li>• Change request frequency</li> <li>• Effort required to implement a requirement change</li> <li>• Status of requirements traceability</li> <li>• User stories in the backlog</li> </ul>
Software Design Metrics	<ul style="list-style-type: none"> <li>• Cyclomatic Complexity</li> <li>• Weighted Methods per Class</li> <li>• Cohesion - Lack of Cohesion of Methods</li> <li>• Coupling - Coupling Between Object Classes</li> <li>• Inheritance - Depth of Inheritance Tree, Number of Children</li> </ul>
Software Maintenance and Operation	<ul style="list-style-type: none"> <li>• Mean Time Between Changes (MTBC)</li> <li>• Mean Time to Change (MTTC)</li> <li>• System Reliability</li> <li>• System Availability</li> <li>• Total Hours of Downtime</li> </ul>

\*Note: Even though the LOC metric is widely used, using it comes with some problems and concerns: different languages, styles, and standards can lead to different LOC counts for the same functionality; there are a variety of ways to define and count LOC—source LOC, logical LOC, with or without comment lines, etc.; and automatic code generation has reduced the effort required to produce LOC.

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# Knowledge Area: Systems Engineering and Aerospace Engineering

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## Systems Engineering and Aerospace Engineering

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None.

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# Knowledge Area: Systems Engineering and Electrical Engineering

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## Systems Engineering and Electrical Engineering

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#### Primary References

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# Knowledge Area: Systems Engineering and Mechanical Engineering

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## Systems Engineering and Mechanical Engineering

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**Lead Authors:** Leigh McCue and John Shortle, **Contributing Author:** Art Pyster

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This treatment opens with a brief overview of subdisciplines of mechanical engineering. The interested reader seeking a more thorough study on Mechanical Engineering (ME) is referred to Sagdeh and Worek (2017) and other references identified below. As stated by Hibbeler (2015), "Mechanics is a branch of the physical sciences that is concerned with the state of rest or motion of bodies that are subjected to the action of forces. In general, this subject can be subdivided into three branches: rigid-body mechanics, deformable-body mechanics, and fluid mechanics." It is with those branches that this summary begins, before delving into thermodynamics, controls, and mechanical engineering design and the relationship between SE and ME.

### Rigid-Body Mechanics and Deformable Body Mechanics

Mechanical engineering and civil engineering structural analysis bear much in common, as both fundamentally seek to create structures to satisfy a design need. While the bridge designer may prioritize material selections that hold up under constant use and varying weather conditions, the race car designer may prioritize light weight while maintaining crash worthiness. In the process of structural analysis, one applies Newton's laws to analyze loads at joints and calculates internal forces, shear, and moment on structural elements. By understanding the loads a joint or structural element must withstand, one can select materials with appropriate properties to prevent failure. A structural element that changes its shape under load is known as a deformable body, whereas a body for which the distances between points on the body remain constant regardless of loading is known as a rigid body. The study of static structures, solid mechanics, and materials are typically foundational in a mechanical engineering undergraduate curriculum (e.g. (Hibbeler 2015), (Philpot and Thomas 2020), and (Callister and Rethwich 2019)).

### Dynamics

A subset of mechanics is dynamics. Eloquently summarized by Greenwood (1965), "[t]he science of mechanics is concerned with the study of the interactions of material bodies. Dynamics is that branch of mechanics which consists of the study of the motions of interacting bodies and the description of these motions in terms of postulated laws." In static rigid-body mechanics, with structures that are not accelerating, we write Newton's second law as  $\Sigma F=0$ . In dynamics we utilize  $\Sigma F=ma$  and leverage conservation of energy and momentum in analyzing systems. Simple dynamics problems typically involve the swinging of a pendulum or a spring-mass-damper system and evolve in complexity to modern suspension systems, orbital dynamics, and the multi-body challenges one might see when landing a rescue helicopter on the deck of a Coast Guard vessel.

## Fluid Mechanics

Fluid mechanics includes experimental, computational, and analytical modeling of forces on a body moving in a liquid. Models of fluid dynamics often utilize the Navier-Stokes equations<sup>[1]</sup>, a collection of partial differential equations arising from conservation of mass and momentum. For inviscid flows, the Navier-Stokes equations can be simplified to the Euler equations<sup>[2]</sup>. The Euler equations can be further simplified to Bernoulli's equation<sup>[3]</sup> in the special case of steady, incompressible, irrotational flow along a streamline. Common dimensionless parameters to characterize a flow include Reynolds number<sup>[4]</sup>, Froude number, and Mach number. Reynolds number is a measure of the inertial forces to viscous forces, Froude number<sup>[5]</sup> characterizes the ratio of inertial forces to gravitational forces, and Mach number<sup>[6]</sup> provides a ratio of flow speed to the speed of sound. A comprehensive introductory text on fluid mechanics is Batchelor (2000).

## Thermodynamics

Mechanical engineering thermodynamics involves products where heat is a primary consideration in the generation or transfer of energy – examples include engines, refrigeration systems, and nuclear reactors. At a broad level, the study of thermodynamics is captured by the following laws:

- *Zeroth law:* “[W]hen two bodies are in thermal equilibrium with a third body, they are in thermal equilibrium with one another.” (Moran and Shapiro 1998).
- *First law:* “[T]he value of the net work done by or on a closed system undergoing an adiabatic process between two given states depends solely on the end states and not on the details of the adiabatic process.” (Moran and Shapiro 1998). In short, energy can be neither created nor destroyed.
- *Second law:* “It is impossible for any system to operate in such a way that the sole result would be an energy transfer by heat from a cooler to a hotter body.” (Moran and Shapiro 1998). Notably, the first and second laws together are what render a perpetual motion machine physically impossible.
- *Third law:* “[T]he entropy of a pure crystalline substance is zero at the absolute zero of temperature...” (Moran and Shapiro 1998).

Relating thermodynamics to the mechanics topics described above, in a comprehensive summary paper, Graham Baker quotes Clifford Truesdell stating “As mechanics is the science of motions and forces, so thermodynamics is the science of forces and entropy.” (Baker 2005).

## Controls

Controls refers to “the process of causing a system variable to conform to some desired value, called a reference value.” (Franklin et al. 1994) In application, this requires assimilating knowledge of the above disciplines to devise a system to achieve a desired outcome; e.g. measuring room temperature and using that as feedback to control an HVAC system, or measuring orientation and angular velocity to ideally time the firing of a spacecraft thruster to achieve a target orbit.

## Design

In design, one combines knowledge of these specific fields to develop products of need by a customer or society. The Accreditation Board for Engineering and Technology (ABET) definition of design is agnostic to engineering discipline; specifically, they state “Engineering design is a process of devising a system, component, or process to meet desired needs and specifications within constraints. It is an iterative, creative, decision-making process in which the basic sciences, mathematics, and engineering sciences are applied to convert resources into solutions. Engineering design involves identifying opportunities, developing requirements, performing analysis and synthesis, generating multiple solutions, evaluating solutions against requirements, considering risks, and making trade-offs, for the purpose of obtaining a high-quality solution under the given circumstances.” (ABET n.d.) In the design

process, mechanical engineers use their knowledge of these disciplines to address societal needs. Furthermore, a key aspect of mechanical engineering design is the decision-making process. As such, decision theory is a key component to the study of design. (Tebay et al. 1984). Approaches to mechanical engineering design vary from waterfall (sequential) style to agile (parallel) methods, with waterfall methods more likely to be governed by a design spiral leading to a single point design whereas agile methods are iterative. Set-based design has become increasingly common in recent years, gaining benefit from increased flexibility by pursuing a broad design space, eliminating options over time as data and validation of underlying assumptions warrant. (Scaled Agile n.d.)

## Application to Related Subdisciplines

These fundamental knowledge areas provide core skills for deeper knowledge in numerous subdisciplines, often taught as standalone multi-disciplinary fields. For example:

### Aerospace Engineering

Aircraft and spacecraft require command of each of these core areas. For example fluid-dynamics permits understanding the forces of lift and draft on a body. Thermodynamics allows modeling thermal effects on engines, craft operating at high speeds, or subject to large thermal load fluctuations in space. Application of knowledge of dynamics and control allows engineers to develop safe, operable vehicles with performance traits tailored to design need. Expertise in mechanics and materials allows one to develop light weight structures. And ultimately, the design process enables the development and refinement of prototype and production vehicles. Aircraft provide numerous examples of the ties between mechanical engineering and systems engineering. For example, a Boeing 747 has approximately 6 million parts, provided by over 550 suppliers (Boeing 2013), relying on supply chain management. Furthermore, an airline fleet becomes a system of aircraft with the air traffic network constituting a system of systems.

### Naval Engineering

Naval engineers function in many ways as systems engineers. Recognizing, for example, the wide range of engineering complexities involved in designing, building, and operating an aircraft carrier – from hull, mechanical, and electrical system design, to hydrodynamics and maneuvering, to integrated warfare systems, to aircraft operations, to hotel services for crew, the modern naval combatant is a highly complicated system of systems. A representative reference is provided in Lamb (2003).

### Codes and Standards

The American Society of Mechanical Engineers (ASME) has been involved in the development of codes and standards for mechanical engineering systems since its first standard, "Code for the Conduct of Trials of Steam Boilers" released in 1884. (ASME n.d.a) As a testament to the complexity of mechanical engineering systems, in the present day, ASME standards are used in more than 100 countries and cover topics as diverse as elevators to nuclear plants with guidance under development for additive manufacturing and robotics, amongst other fields. (ASME n.d.)

## Relationship between Mechanical and Systems Engineering

ME emphasizes design, development, and research on dynamic systems, be it turbines, prosthetics, or autonomous vehicles. Mechanical engineering products often form the building blocks for systems of systems; for example, a materials scientist designs the fan blade that goes into another mechanical engineer's turbine engine design which resides on an aerospace engineer designed fighter jet, operating off an aircraft carrier designed by naval and systems engineers. One of the best examples of the relationship between ME and SE is with regard to human systems integration, in which multidisciplinary teams assess topics such as ergonomics, health, safety, user interface design,

and human performance in designing mechanical systems. Systems engineers often lead such assessments. A comprehensive reference on human systems integration is Booher (2003).

Relatively junior mechanical engineers often focus heavily on the individual subdisciplines of ME, such as those described earlier in this article. They might, for example, conduct a structural analysis of an individual physical assembly. As mechanical engineers gain experience and take on more senior roles, they often become concerned with the larger context in which mechanical components fit and hence take on many of the roles that systems engineers perform but with a focus on the mechanical subsystems. This becomes quite evident when looking at advertisements for senior mechanical engineers. For example, in a May 2022 listing of 20 senior mechanical engineer positions on one online job site, responsibilities included such systems engineering activities as reviewing mechanical documents for areas of conflict with all disciplines, resolving discrepancies between the employer and customer requirements, working with external partners and projects to ensure interoperability of internal and external components, driving internal development methodology, owning the full life cycle for parts, and managing the quality of deliverables while coordinating with other project disciplines.

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# Knowledge Area: Systems Engineering and Civil Engineering

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## Systems Engineering and Civil Engineering

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# Knowledge Area: Systems Engineering and Economics

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## Systems Engineering and Economics

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# Knowledge Area: Systems Engineering and Enterprise IT

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## Systems Engineering and Enterprise IT

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# Knowledge Area: Systems Engineering and Quality Attributes

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## Systems Engineering and Quality Attributes

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**Lead Authors:** Art Pyster and Dave Olwell **Contributing Authors:** Richard Turner, Dick Fairley, Scott Jackson, Alice Squires

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Every system has a set of properties that are largely a function of the system as a whole rather than just its constituent parts. There are dozens of these properties such as security, reliability, safety, resistance to electromagnetic interference, usability, and resilience. This Knowledge Area (KA) describes many of the most important such properties and how they are realized. The vocabulary to talk about these properties is not standard. Alternatively, they are called *quality attributes*, *non-functional requirements*, *-ilities*, and *specialties*. In this KA, the term specialty engineering refers to the collective engineering of all quality attributes of a system.

Quality attributes are often interdependent rather than orthogonal; e.g. making a system more secure may make it harder to use but also safer. Increasing system reliability often requires using more expensive parts and adding redundant components. Hence, higher reliability often means higher cost to deliver a system – another system property. However, higher reliability might mean lower maintenance cost – another system property. A systems engineer typically makes many decisions and takes many actions with regard to system properties; e.g. specifying which properties are important for a particular system, stating how those properties will be measured, trading off conflicting properties, and verifying that a system has the specified properties. Barry Boehm (2016), as the lead for a project of the Systems Engineering Research Center<sup>[1]</sup>, introduced an ontology to describe system quality attributes as a way of enabling smarter tradeoffs between them and understanding the impact of those trades on cost. Also, see the article on Quality Management for more information on how these decisions and actions are managed.

Many consider specialty engineering to be a sub-discipline of SE itself; e.g. they consider security engineering, safety engineering, resilience engineering, etc. to be part of SE. Others consider them to be stand-alone disciplines in their own right with close ties to SE. Either way, their mastery is important to a system engineer. This KA includes topical articles on several specialty engineering disciplines. Some articles will treat the topic of the article as a sub-discipline of SE itself; others will treat it as a closely related but separate discipline. This disparity reflects both the diversity of opinions on this matter and the fact that SEBoK articles are written by a wide array of authors.

### Topics

Each part of the SEBoK is divided into knowledge areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains articles on the following topics, shown in alphabetical order:

- A Framework for Viewing Quality Attributes from the Lens of Loss
- Human Systems Integration
- Manufacturability and Producibility
- System Affordability
- System Hardware Assurance
- System Reliability, Availability, and Maintainability
- System Resilience

- System Resistance to Electromagnetic Interference
- System Safety
- System Security

Over time, this KA will expand to add topical articles about other quality attributes.

## Specialty Requirements

The systems engineering team must ensure that requirements about quality attributes (also called specialty requirements) are properly reviewed with regard to their impact on life cycle costs, development schedule, technical performance, and operational utility. For example, security requirements can impact operator workstations, electromagnetic interference requirements can impact the signal in the interfaces between subsystems, and mass-volume requirements may preclude the use of certain materials to reduce subsystem weight.

Engineering specialists audit the evolving design and resulting configuration items to ensure that the overall system performance also satisfies the specialty requirements. Including appropriate specialty engineers within each systems engineering team ensures that all specialty requirements are identified and balanced throughout the development cycle.

## Integration of Specialty Engineering

Integration of specialty engineering into a project or program is, or should be, a major objective of systems engineering management. (Endler 2016, Kossiakoff et al. 2020) With properly implemented procedures, the rigor of the systems engineering process ensures participation of the specialty disciplines at key points in the technical decision-making process. Special emphasis on integration is mandatory because a given design could in fact be accomplished without consideration of these specialty disciplines, leading to the possibility of system ineffectiveness or failure when an unexamined situation occurs in the operational environment.

For example, human factors considerations can contribute to reduced workloads and therefore lower error rates by operators in aircraft cockpits, at air-traffic consoles, or in nuclear reactor stations. Similarly, mean-time-to-repair features can significantly increase overall system availability in challenging physical environments, such as mid-ocean or outer space or in safety critical environments such as hospital intensive care units or in traffic control systems in city centers. Specialty engineering requirements are often manifest as constraints on the overall system design space. The role of systems engineering is to balance these constraints with other functionality in order to harmonize total system performance. The end goal is to produce a system that provides utility and effectiveness to the customer at an affordable price.

As depicted in Figure 1, systems engineering plays a leadership role in integrating traditional disciplines, specialty disciplines, and unique system product demands to define the system design. Relationships for this integration process are represented as interactions among three filters.

The first filter is a conceptual analysis that leverages traditional design consideration (structural, electronics, aerodynamics, mechanical, thermodynamics, etc.). The second filter evaluates the conceptual approach using specialty disciplines, such as safety, affordability, quality assurance, human factors, reliability and maintainability, producibility, packaging, test, logistics, and others, to further requirements development. Design alternatives that pass through these two processes go through a third filter that incorporates facility design, equipment design, procedural data, computer programs, and personnel to develop the final requirements for design selection and further detailed development.

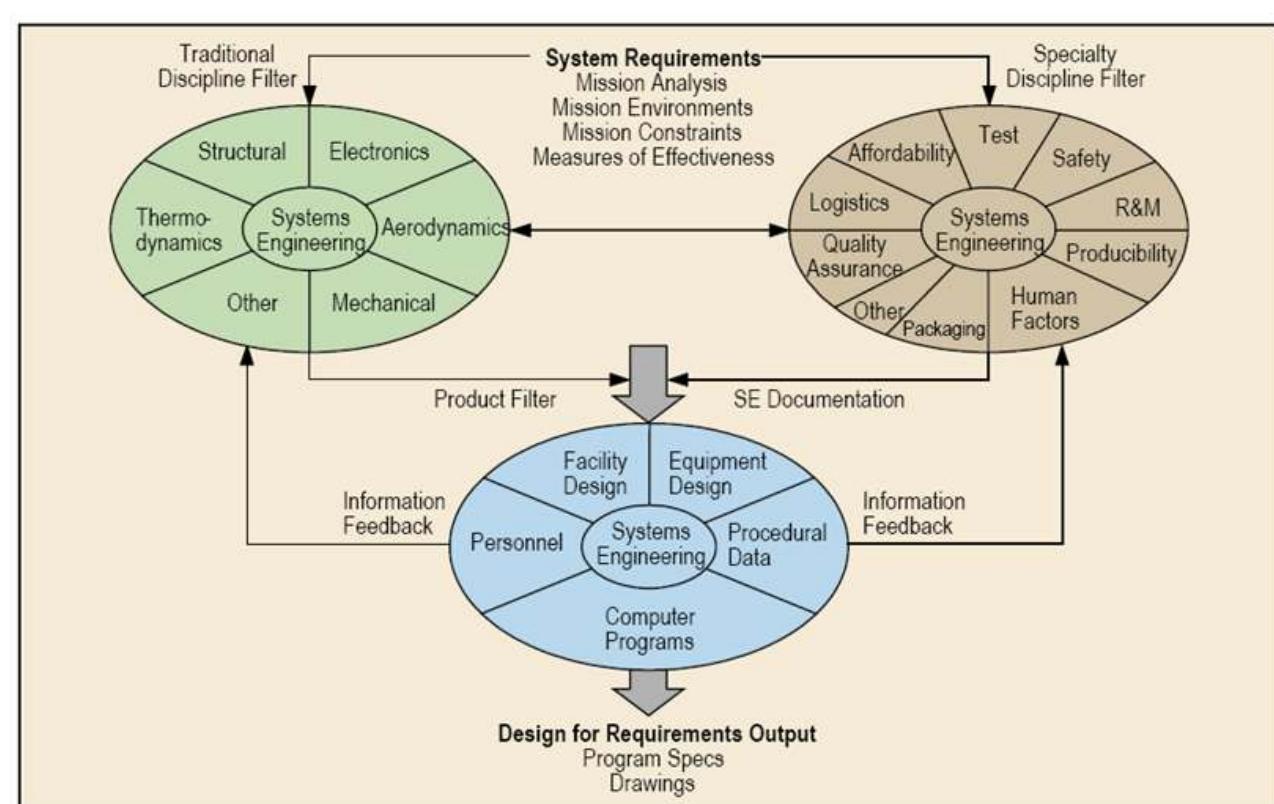


Figure 1. Integration Process for Specialty Engineering (USAF 2000). Released by the U.S. Air Force.

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None.

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**SEBoK v. 2.7, released 31 October 2022**

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[1] <https://sercuar.org>

# A Framework for Viewing Quality Attributes from the Lens of Loss

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**Lead Author:** John S. Brtis

Important but often under-considered areas of systems engineering address potential losses associated with the development and use of systems. These areas fall under the rubric of loss-driven systems engineering (LDSE), the value-adding unification of the systems engineering specialty areas that address the potential losses associated with systems. LDSE can be defined as an overarching systems engineering process which holistically addresses the quality characteristics concerned with loss (such as resilience, safety, and security).

## Overview

Systems engineering methodologies often focus on the delivery of desired capability. Methodology sources such as the Systems Engineering Handbook (Walden 2015) and ISO/IEC/IEEE 15288 (ISO) provide full lifecycle and fully integrated methodologies that focus on the generation and deployment of a system to deliver capabilities. Those methodologies are largely capability-driven, and do not provide detailed fully integrated attention to potential loss. Loss and loss-driven specialty areas are largely treated in isolation. Examples of loss-driven specialty areas include resilience, safety, security, operational risk, environmental protection, quality, and availability. There is commonality and synergy among these specialty areas, which should be addressed by systems engineering. Potential synergies include:

- Shared loss scenarios
- Shared requirements
- Shared modeling and analysis techniques
- Shared architecture and design solutions
- Shared risk management

The expected benefits of applying a unified loss-driven viewpoint in the systems engineering processes include:

- Reducing engineering effort by eliminating redundant efforts among the specialty areas
- Helping to ensure a comprehensive consideration of loss
- Ensuring cohesion and elimination of conflicts among the loss-driven solutions

- Identifying highly effective solutions that address the interests of multiple loss-driven specialty areas
- Providing a holistic viewpoint addressing the multiple perspectives
- Reducing the load of data generated by multiple specialty areas to a minimal, non-redundant set
- Mutual learning among the loss-driven specialty areas

## Background and Origins

Engineers at the MITRE Corporation explored the commonality of “protecting against loss” in the areas of security, safety, and resilience as part of an effort to improve a sponsor’s systems engineering methodologies (Brtis 2020). In parallel, these engineers raised and explored the issue with the INCOSE resilience and security working groups. This led to the realization that these specialty areas had commonalities, and synergies with many of the systems engineering specialty areas. The term “loss-driven systems engineering” was coined to identify this area of common interest. These concepts were discussed with the INCOSE TechOps Director at IS17, and he recommended that the concept be pursued as an INCOSE initiative. An exploratory meeting on LDSE was held at INCOSE IW18. At that meeting participants agreed that this concept should be pursued and decided that as a first step, a special theme issue, on loss-driven systems engineering, of INCOSE *Insight* magazine should be pursued, to be followed by a section in the INCOSE SEBOK. That issue of *Insight* was published in December 2021.

## The Basis of Commonality

Systems engineering must address all loss-driven specialty areas in a mutually supportive and optimized manner. The exact definitions and demarcation between the different specialty areas are moot. What matters is meeting all the objectives of the loss-driven areas. Loss-driven areas often have common objectives, common concepts and principles, common requirements, common architectural solutions, common design solutions, common analyses, and common methodologies. Engineers responsible for loss-driven areas can often do a better job if they work collaboratively. This is because they are all interested in the same overarching concern: addressing potential losses associated with the system of interest. An inspection of the Systems Engineering Handbook (Walden 2015) identified specialty engineering areas that shared the concerns of loss-driven systems engineering. Those identified include:

- availability
- environmental impact
- maintainability
- resilience engineering
- reliability
- risk management
- system safety engineering
- system security engineering
- quality management

## Attributes Shared by the Loss-Driven Specialty Areas, a Potential for Unification

The loss-driven specialty areas share attributes that specify the scope of each specialty area. All the loss-driven specialty areas have as attributes:

- the types of assets considered
- the types of loss addressed
- the types of adversity addressed
- the coping strategies considered
- the aspects of the system and its environment under consideration

These attributes define the scope of each specialty area. These scopes differ among the loss-driven specialty areas, but in many cases, they overlap. These loss-driven attributes and the possibility of aggregating their overall values, provide a basis for integrating the loss-driven specialty areas, by aggregating the range of values of the parameters and then by addressing their aggregate scopes. Brtis (2020) considers each of these attributes. Figure 1 provides an aggregate summary of the scope of considerations identified for loss-driven attributes. Properly engineering a system requires consideration of the full range of each of the loss-driven attributes.

## Core Principles for LDSE

Winstead (2020) investigated the commonality among principles being articulated for individual loss-driven specialty areas. He identified fundamental principles that can be unified across the specialties.

- Candidate principle 1: Systems engineering minimizes hazards.
- Candidate principle 2: Systems engineering seeks to control hazards that cannot be avoided, including assuring transitions from one known acceptable mode or state to another known and acceptable one.
- Candidate principle 3: Systems engineering uses proven and accepted processes, solutions, methods, materials, etc. when the process, etc. achieves the intended trustworthiness.
- Candidate principle 4: The human within the system should be enabled to prevent, minimize, and recover from loss when possible.
- Candidate principle 5: Systems engineering should strive for the simplest solutions
- Candidate principle 6: Systems engineering produces evolvable systems likely to maintain or improve on loss-driven properties through change.
- Candidate principle 7: Actions should trace to the entity responsible.
- Candidate principle 8: Any critical task should be possible to perform in more than one way.

Winstead (2020) also considered the systems engineering principles of Watson (2019) and discusses minimal changes needed to make them well-suited for application to loss-driven systems engineering.

## LDSE in the SE Activities

Brtis (2020) found that several the SE practices identified in ISO 15288 and the INCOSE SE Handbook need to be augmented to adequately address the needs of LDSE and recommended specific additions for the following practice areas.

- Business or Mission Analysis Process
- Stakeholder Needs and Requirements Definition Process
- System Requirements Definition Process
- Architecture Definition Process
- Design Definition Process
- Risk Management Process

## LDSE Design Techniques

Winstead (2021) investigates what he calls “loss control” for cyber-physical systems. He investigates loss control independent of any particular systems engineering specialty area. He recommends a set of loss control design principles.

- **Anomaly Detection** - Any salient anomaly in the system or in its environment is detected in a timely manner that enables effective response action.
- **Commensurate Protection** - The strength and type of protection provided to an element must be commensurate with the most significant adverse effect that results from a failure of that element.
- **Commensurate Response** - The design should match the aggressiveness of an engineered response action’s effect to the needed immediacy to control the effects of each loss scenario.
- **Continuous Protection** - The protection provided for an element must be effective and uninterrupted during the time that the protection is required.
- **Defense-in-depth** - Loss is prevented or minimized by employing multiple coordinated techniques and strategies.
- **Distributed Privilege** - Multiple authorized entities must act in a coordinated manner before an operation on the system is allowed to occur.
- **Diversity (Dynamicity)** - The design delivers the required capability through structural, behavioral, data, or control flow variation.
- **Domain Separation** - Domains with distinctly different protection needs should be physically or logically separated.
- **Least Functionality** - Each element should have the capability to accomplish its required functions, but no more.
- **Least Persistence** - System elements and other resources should be available, accessible, and able to fulfill their design intent only for the time they are needed.
- **Least Privilege** - Each element should be allocated privileges that are necessary to accomplish its specified functions, but no more.
- **Least Sharing** - System resources should be shared among system elements only when necessary, and among as few system elements as possible.
- **Loss Margins** - The system is designed to operate in a state space sufficiently distanced below the threshold at which loss occurs.
- **Mediated Access** - All access to and operations on system elements are mediated.
- **Protective Defaults** - The default configuration of the system provides maximum protection effectiveness.
- **Protective Failure** - A failure of a system element should neither result in an unacceptable loss, nor invoke another loss scenario.
- **Protective Recovery** - The recovery of a system element should not result in, nor lead to, unacceptable loss.
- **Redundancy** - The design delivers the required capability by the replication of functions or elements.

## Technical Management Considerations

The effective coordination and management of LDSE specialty areas – areas that have often operated independently and in isolation of one another -- poses a challenge. Jackson (2020) discusses the concept of siloism in the context of LDSE projects and ways to mitigate that effect. Siloism is the unwillingness of members of any team to share information. Failure to mitigate siloism can reduce the effectiveness of the entire team. Jackson recommends mitigating siloism using integrated product teams (IPT), which utilize organizational structure and rigorous management to encourage sharing of information among specialties. Brtis (2021) suggests that for LDSE the systems engineer should holistically consider:

- the full spectrum of adversities
- the full spectrum of weaknesses, defects, flaws, exposures, hazards, and vulnerabilities
- the full spectrum of assets and losses

- the full spectrum of timeframes of interest
- the full spectrum of coping mechanisms

and further, suggests the systems engineer:

- elicit, analyze, and capture loss-driven requirements as part of the overall stakeholder and system requirements development.
- make the loss-driven architectural decisions holistically across the loss-driven specialty areas
- make the loss-driven design decisions holistically across the loss-driven specialty areas
- integrate the management of risks associated with all loss-driven areas

Endler (2021) considers real life integration of loss-driven systems engineering activities into system development activities. Challenges identified include lack of appreciation of the importance of loss-driven systems engineering activities and organizational barriers. He finds that existing systems engineering standards poorly describe loss-driven systems engineering activities and fail to integrate loss-drive activities with traditional engineering activities. He proposes methods to overcome those barriers based on widely accepted standards. He offers an approach to accomplish the needed integration with emphasis on the need that loss-driven systems engineers participate throughout the system life cycle and be supported by a common understanding of an integrated approach.

## Consequences for Model-Based Systems Engineering

Model-based systems engineering data and models need to be augmented to address the shared attributes of loss-driven systems engineering: assets, losses, adversities, and coping techniques and the common information artifacts identified above. Table 1 identifies some of the additional modeling information (in SysML form) that needs to be captured during the various lifecycle stages to support the effective development and documentation of loss management scenarios and loss management requirements.

**Table 1. Modeling Information and Artifacts During Lifecycle Phases (Brtis 2020).**

Lifecycle Phase	Artifacts and Information
Mission and Stakeholder Needs Analysis	Add adversities to the context diagram as actors <ul style="list-style-type: none"> <li>• Add loss management scenarios as use cases</li> </ul>
Stakeholder Requirements	Develop use case interaction diagrams to document the interaction of actors and architectural modules during the loss management scenarios <ul style="list-style-type: none"> <li>• Develop sequence diagrams to represent the activity flow during loss management scenarios</li> </ul>
System Requirements	Develop activity diagrams to show the states of the system (and adversities) during loss management scenarios
Architecture and System Design	Develop state models of the loss management scenarios <ul style="list-style-type: none"> <li>• Model events and signals among the architectural nodes</li> </ul>
System Design	Propose and select loss management design features <ul style="list-style-type: none"> <li>• Document loss management related object distribution</li> </ul>

## Use Case: Manned Space Rescue Vehicle

Cureton (2020) explores the applicability of LDSE to a use case, a hypothetical manned space rescue vehicle, via a thought experiment regarding desirable characteristics for achieving resilience, safety, reliability, security, and other loss-driven goals. Various design reference missions are explored for assessment of required loss-driven capabilities in automated flight operations for a hypothetical manned space rescue vehicle.

## Summary

Loss-driven systems engineering offers a valuable unification of loss-driven systems engineering specialty areas. Applying this can integrate currently isolated systems engineering activities, leading to improved system effectiveness, and reduced systems engineering costs, while improving the management of potential losses associated with the development and use of systems.

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None.

# Human Systems Integration

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Human systems integration (HSI) is “the management and technical discipline of planning, enabling, coordinating, and optimizing all human-related considerations during system design, development, test, production, use and disposal of systems, subsystems, equipment and facilities.” (SAE 2019).

Though used by industries around the world, HSI was initiated by the U.S. Department of Defense (DoD) as part of the “total system approach” to acquisition. The goal of HSI is to “optimize total system performance (hardware, software, and human), operational effectiveness, and suitability, survivability, safety, and affordability.” (DoD 2003.) This article itself focuses on HSI within the DoD, although much of it is applicable to other government and commercial organizations worldwide.

HSI activities must be initiated “early in system development (during stakeholder requirements generation) and continuously through the development process to realize the greatest benefit to the final system solution and substantial life cycle cost savings.” (INCOSE 2015).

HSI generally incorporates the following seven domains as integration considerations (although some organizations may use a slightly different set): manpower, personnel, training, human factors engineering, safety and occupational health, force protection and survivability, and habitability.

## Overview

Historically, insufficient systems engineering resources were dedicated to ensuring proper integration of humans with the rest of the system. Most projects were technology-centered with human considerations being addressed through training. Technological systems were hard to use and maintain resulting in large manpower and training costs, reduced system performance, and increased risk of catastrophic loss, among other impacts.

The U.S. Army was among the first to address this with the Manpower and Personnel Integration (MANPRINT) program in 1986. MANPRINT emphasized the consideration of the HSI domains throughout the system acquisition as a standard part of the systems engineering effort. The approach has since been adopted by the broader DoD, by other militaries, and by civilian government agencies around the world. (Booher 2003). Some organizations, particularly the U.K. Ministry of Defence, use the term Human Factors Integration (HFI).

HSI applies systems engineering processes, tools, and techniques to ensure that human considerations are given proper weight in all system development activities. HSI should not be confused with Human Factors Engineering (HFE); HFE is a domain of HSI focusing on designing human interfaces. HSI is about mutual integration of technology, organizations, and people.

## System Description

HSI is more than human factors, human-computer interaction, or systems engineering. It is a technical and managerial set of processes that involves the consideration and integration of multiple domains. In addition, HSI involves complexity analysis and organization design and management. Various organizations represent the HSI domains differently as the number and names of the domains are aligned with existing organizational structures. Booher (2003) first presented the original seven US Army domains as manpower, personnel, training, human factors engineering, soldier survivability, system safety and health hazards. Other countries may have a different number of domains with slightly different names, however, all the technical work of the domains is present. For example, the UK Defence Standard (00-251) includes seven similar domains: manpower, personnel, health hazards, training, human factors engineering, social/ organizational and system safety. The seven domains used across the DoD

Instruction (DoD 2017) that tells how to operate the DoD Acquisition System are as follows:

1. **Manpower** Determining the most efficient and cost-effective mix of manpower and contract support necessary to operate, maintain, provide training and support the system. Manpower describes the number and mix of personnel required to carry out a task, multiple tasks, or mission in order to operate, maintain, support, and provide training for a system. Manpower factors are those variables that define manpower requirements. These variables include job tasks, operation/maintenance rates, associated workload, and operational conditions (e.g., risk of operator injury) (DAU 2010).
2. **Personnel:** Determining and selecting the appropriate cognitive, physical, and social capabilities required to train, operate, maintain, and sustain systems based on available personnel inventory or assigned to the mission. Personnel factors are those human aptitudes (i.e., cognitive, physical, and sensory capabilities), knowledge, skills, abilities, and experience levels that are needed to properly perform job tasks. Personnel factors are used to develop occupational specialties for system operators, maintainers, trainers, and support personnel (DAU 2010). The selection and assignment of personnel is critical to the success of a system, as determined by the needs set up by various work-related requirements.
3. **Training:** Developing efficient and cost-effective options that enhance user capabilities and maintain skill proficiencies for individual, collective, and joint training of operators and maintainers. Training is the learning process by which personnel individually or collectively acquire or enhance pre-determined job-relevant knowledge, skills, and abilities by developing their cognitive, physical, sensory, and team dynamic abilities. The "training/instructional system" integrates training concepts and strategies, as well as elements of logistic support to satisfy personnel performance levels required to operate, maintain, and support the systems. It includes the "tools" used to provide learning experiences, such as computer-based interactive courseware, simulators, actual equipment (including embedded training capabilities on actual equipment), job performance aids, and Interactive Electronic Technical Manuals (DAU 2010).
4. **Human Factors Engineering:** The integration of human characteristics into system definition, design, development, and evaluation to optimize human-system performance under operational conditions. Human factors engineering (HFE) is primarily concerned with designing human-machine interfaces consistent with the physical, cognitive, and sensory abilities of the user population (DAU 2010). It focuses on ensuring that the system design is compatible with the human user. HFE considers required human tasks, and the sensory, perceptual, mental, and physical attributes of the user personnel who will operate, control, maintain, and support the equipment, system, or facility. The objective of HFE is to optimize human-system performance within the desired levels of life-cycle costs. HFE domain considerations span a wide range and include design and layout of working areas, user-equipment interfaces, use of automation and decision aids, and normal, non-normal, and emergency conditions.
5. **Safety & Occupational Health:** Consider environmental, safety and occupational health in determining system design characteristics to enhance job performance and minimize risks of illness, disability, injury and death to operators and maintainers. Safety considers the design features and operating characteristics of a system that serve to minimize the potential for human or machine errors or failure that cause injurious accidents (DAU 2010). Safety also encompasses the administrative procedures and controls associated with the operations, maintenance, and storage of a system. Occupational health factors are those system design features that serve to minimize the risk of injury, acute or chronic illness, or disability, and/or reduce job performance of personnel who operate, maintain, or support the system. Prevalent issues include noise, chemical safety, atmospheric hazards (including those associated with confined space entry and oxygen deficiency), vibration, ionizing and non-ionizing radiation, and human factors issues that can create chronic disease and discomfort such as repetitive motion diseases. Many occupational health problems, particularly noise and chemical management, overlap with environmental impacts. Human factors stress that creating a risk of chronic disease and discomfort overlaps with occupational health considerations (DAU 2010).

6. **Force Protection & Survivability:** Impact system design (e.g., egress, survivability) to protect individuals and units from direct threat events and accidents, including chemical, biological, and nuclear threats. Force Protection and Survivability is the HSI domain that facilitates system operation and personnel safety during and after exposure to hostile situations or environments. Force protection refers to all preventive measures taken to mitigate hostile actions against personnel (to include family members), resources, facilities, and critical information. Survivability denotes the capability of the system and/or personnel manning the system to avoid or withstand manmade hostile environments without suffering an abortive impairment of his/her ability to accomplish its designated mission. Survivability factors consist of those system design features that reduce the risk of fratricide, detection, and the probability of being attacked, and that enable personnel to withstand man-made hostile environments without aborting the mission or objective, or suffering acute chronic illness, disability, or death. Survivability attributes are those that contribute to the survivability of manned systems (DAU 2010).
7. **Habitability:** Establishing and enforcing requirements for individual and unit physical environments, personnel services, and living conditions, to prevent or mitigate risk conditions that adversely impact performance, quality of life and morale, or degrade recruitment or retention. Habitability factors are those living and working conditions that are necessary to sustain the morale, safety, health, and comfort of the user population. They directly contribute to personnel effectiveness and mission accomplishment and often preclude recruitment and retention problems. Examples include lighting, space, ventilation, and sanitation; noise and temperature control (i.e., heating and air conditioning); religious, medical, and food services availability; and berthing, bathing, and personal hygiene. Habitability consists of those characteristics of systems, facilities (temporary and permanent), and services necessary to satisfy personnel needs. Habitability factors are those living and working conditions that result in levels of personnel morale, safety, health, and comfort adequate to sustain maximum personnel effectiveness, support mission performance, and avoid personnel retention problems (DAU 2010).

## Discipline Management

In a contractor project organization, the human systems integrator is typically a member of the senior engineering staff reporting to either the systems engineering lead or chief engineer.

HSI activities are documented in the Systems Engineering Management Plan (SEMP). Larger programs may have a stand-alone HSI Plan (HSIP) compatible with and referenced by the SEMP. HSI activities are tailored to the needs of the project and the project life cycle (NASA 2016).

Most projects implement a Joint HSI Working Group between the customer and contractor. This enables sharing of priorities, knowledge, and effort to allow each group to achieve their objectives.

## Discipline Relationships

### Interactions

Interactions include:

- SE: HSI is an integral part of the systems engineering effort and the integrator participates in all relevant systems engineering activities during the whole life cycle of the system being considered.
- HSI domain experts: Domain experts collaborate with the human systems integrator to achieve HSI objectives, though this may or may not be a direct reporting relationship.
- The contractor and customer may each have a human systems integrator and various domain experts; each role should collaborate with their counterparts to the appropriate extent.
- HSI domain experts may participate in integrated product teams (IPTs)/design teams as full participants or consultants as appropriate for the needs of the project.
- HSI shares many concerns with Reliability, Availability, and Maintainability (RAM). The integrator and/or domain experts may collaborate with RAM specialists as appropriate.

- The integrator and/or domain experts should work with the Test & Evaluation team to ensure that HSI is represented in test and evaluation events.
- HSI shares many concerns with logistics and supportability, the integrator and/or domain experts may collaborate with this team as appropriate.

## Dependencies

HSI depends on sufficient scope of work and authorization from the project. Proper planning and leadership buy-in is a key enabler.

## Discipline Standards

Note: These are standards relevant to the practice of HSI specifically and not each of the HSI domains, which have their own standards and practices.

- National Aeronautics and Space Administration (NASA). 2015. Human Systems Integration Practitioner's Guide. NASA/SP-2015-3709. Houston: Johnson Space Center.
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## Personnel Considerations

HSI is conducted by a human systems integrator. The integrator is part of the systems engineering team responsible for conducting systems engineering related to human and organizational considerations and for coordinating the work of the HSI domain experts.

HSI uses the same techniques and approaches as systems engineering with additional consideration for non-materiel aspects of the system. Therefore, the integrator must be well-versed in the SE process and have a working understanding of each of the domains. The integrator does not need to be an expert in any of the domains.

The human systems integrator's responsibilities include:

- providing inputs to the SEMP and/or creating an HSI Plan (HSIP) compatible with the SEMP and the project life cycle (NASA Systems Engineering Handbook 2016)
- tailoring the scope of HSI efforts to the needs of the project and system life cycle
- ensuring HSI domains are given appropriate consideration across all programmatic and engineering activities
- assisting domain personnel in planning domain activities
- facilitating execution of domain tasks and collaboration among domains
- making tradeoffs among domains to optimize the attainment of HSI goals
- optimizing the impact of domains on the acquisition program from the perspectives of performance, sustainability, and cost
- integrating the results of domain activities and representing them to the rest of the acquisition program from a total HSI perspective
- facilitating interactions among domains within the scope of HSI, and between HSI and the rest of the program

- tracking, statusing, and assessing HSI risks, issues and opportunities that have surfaced during the execution of the program

## Metrics

### Human-System Measures of Effectiveness

A measure of effectiveness (MOE) is a metric corresponding to the accomplishment of the mission objective. MOEs measure system performance in a representative mission context, including with representative users. Effectiveness is typically achieved through a combination of hardware, software, and human components, thus there are not typically HSI-specific MOEs.

MOEs may be decomposed into measures of performance (MOP) and measures of suitability (MOS). There may be HSI-specific MOPs and MOSs. For example, an MOE for an air defense radar might be positive detection probability, with an MOP for the radar's effective resolution and an MOP for the operator's ability to identify the target. It is the human system integrator's responsibility to ensure that relevant MOPs and MOSs are identified and incorporated into modeling, simulation, test, and evaluation efforts. The integrator and domain experts may contribute to these efforts as appropriate.

## Models

### HSI Process Models

HSI shares common systems engineering models with general systems engineering; e.g. the SE Vee process model. Additionally, a number of HSI-specific models and processes exist. A particularly good resource is "A User-Centered Systems Engineering Framework" by Ehrhart and Sage (in Booher 2003).

### Human Performance and Domain Models

A variety of human performance models exist for cognition, behavior, anthropometry, strength, fatigue, attention, situation awareness, etc. Additionally, a variety of models exist for each HSI domain. The integrator should have a good understanding of the types of models available and the appropriate applications. In a project utilizing model-based systems engineering, the system model should include humans. The integrator should ensure sufficient fidelity to meet the needs of the project. Human-in-the-loop simulations should be encouraged during the design process as during the whole life cycle of a product.

## Tools

HSI shares common tools with systems engineering. A sample of HSI-specific tools include:

- Command Control and Communications - Techniques for Reliable Assessment of Concept Execution (C3TRACE)<sup>[1]</sup> developed by U.S. Army Research Labs.
- Comprehensive Human Integration Evaluation Framework (CHIEF)<sup>[2]</sup> developed by U.S. Navy.
- Human Analysis and Requirements Planning System (HARPS)<sup>[3]</sup> developed by U.S. Navy Space and Naval Warfare Systems Command.
- Human Systems Integration Framework (HSIF)<sup>[4]</sup> developed by U.S. Air Force. (USAF 2009)
- Improved Performance and Research Integration Tool (IMPRINT)<sup>[1]</sup> developed by U.S. Army Research Labs.

Additionally, each HSI domain has specific tools and approaches for their unique efforts and considerations.

## Practical Considerations

### Pitfalls

Many organizations assign a human factors engineer to the human systems integrator role. This can be a mistake if the individual is not well versed in the SE process. Relegating HSI to a “specialty engineering” team deprives the integrator of sufficient scope and authority to accomplish their mission.

### Proven Practices

Ensure the human systems integrator is a knowledgeable systems engineer with the respect of the other systems engineers and with a good understanding of each of the HSI domains. A human systems integrator should be involved in program planning activities to ensure sufficient budget and schedule. They should be involved in technical planning activities to create sufficient scope in the SEMP/HISPP, identify HSI-related risks and opportunities, recommend HSI trade studies, etc. There is significant overlap and trade space among the HSI domains, therefore the domain experts, led by the integrator, should collaborate throughout the project to optimize the impact of HSI.

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# Manufacturability and Producibility

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Manufacturability and producibility is an engineering specialty. The machines and processes used to build a system must be architected and designed. A systems engineering approach to manufacturing and production is necessary because manufacturing equipment and processes can sometimes cost more than the system being built (Maier and Rechtin 2009). Manufacturability and producibility can be a discriminator between competing system solution concepts and therefore must be considered early in the study period, as well as during the maturing of the final design solution.

## Overview

The system being built might be intended to be one-of-a-kind or to be reproduced multiple times. The manufacturing system differs for each of these situations and is tied to the type of system being built. For example, the manufacture of a single-board computer would be vastly different from the manufacture of an automobile. Production involves the repeated building of the designed system. Multiple production cycles require the consideration of production machine maintenance and downtime.

Manufacturing and production engineering involve similar systems engineering processes specifically tailored to the building of the system. Manufacturability and producibility are the key attributes of a system that determine the ease of manufacturing and production. While manufacturability is simply the ease of manufacture, producibility also encompasses other dimensions of the production task, including packaging and shipping. Both these attributes can be improved by incorporating proper design decisions that take into account the entire system life cycle (Blanchard and Fabrycky 2010).

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# System Affordability

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According to MITRE (2014), affordability is the "ability to fund desired investment". "Solutions are affordable if they can be deployed in sufficient quantity to meet mission needs within the (likely) available budget." INCOSE (2015) offers a slightly deeper definition. A system is affordable to the degree that system performance, cost, and schedule constraints are balanced over the system life, while mission needs are satisfied in concert with strategic investment and organizational needs. Design for affordability is the practice of considering affordability as a design characteristic or constraint.

Increasing competitive pressures and the scarcity of resources demand that systems engineering (SE) improve affordability. Several recent initiatives have made affordability their top technical priority. They also call for a high priority to be placed on research into techniques — namely, improved systems autonomy and human performance augmentation — that promise to reduce labor costs, provide more efficient equipment to reduce supply costs, and create adaptable systems whose useful lifetime is extended cost-effectively.

However, methods for cost and schedule estimation have not changed significantly to address these new challenges and opportunities. There is a clear need for:

- new methods to analyze tradeoffs between cost, schedule, effectiveness, and resilience;
- new methods to adjust priorities and deliverables to meet budgets and schedules; and
- more affordable systems development processes.

All of this must be accomplished in the context of the rapid changes underway in technology, competition, operational concepts, and workforce characteristics.

## Overview

Historically, cost and schedule estimation has been decoupled from technical SE tradeoff analyses and decision reviews. Most models and tools focus on evaluating either cost-schedule performance or technical performance, but not the tradeoffs between the two. Meanwhile, organizations and their systems engineers often focus on affordability to minimize acquisition costs. They are then drawn into the easiest-first approaches that yield early successes, at the price of being stuck with brittle, expensive-to-change architectures that increase technical debt and life cycle costs.

Two indications that the need for change is being recognized in systems engineering are that the *INCOSE SE Handbook* now includes affordability as one of the criteria for evaluating requirements (INCOSE 2015) and that there is a trend in SE towards stronger focus on maintainability, flexibility, and evolution (Blanchard, Verma, and Peterson 1995).

There are pitfalls for the unwary. Autonomous systems experience several hazardous failure modes, including:

- **system instability due to positive feedback** — where an agent senses a parameter reaching a control limit and gives the system a strong push in the other direction, causing the system to rapidly approach the other control limit, causing the agent (or another) to give it an even stronger push in the original direction, and so on
- **self-modifying autonomous agents which fail** after several self-modifications — the failures are difficult to debug because the agent's state has been changing
- **autonomous agents performing weakly at commonsense reasoning** about system control decisions by human operators, and so tend to reach incorrect conclusions and make incorrect decisions about controlling the system

- **multiple agents making contradictory decisions** about controlling the system, and lacking the ability to understand the contradiction or to negotiate a solution to resolve it

Modularization of the system's architecture around its most frequent sources of change (Parnas 1979) is a key SE principle for affordability. This is because when changes are needed, their side effects are contained in a single systems element, rather than rippling across the entire system.

This approach creates the need for three further improvements:

- refocusing the system requirements, not only on a snapshot of current needs, but also on the most likely sources of requirements change, or evolution requirements;
- monitoring and acquiring knowledge about the most frequent sources of change to better identify requirements for evolution;
- evaluating the system's proposed architecture to assess how well it supports the evolution requirements, as well as the initial snapshot requirements.

This approach can be extended to produce several new practices. Systems engineers can

- identify the commonalities and variability across the families of products or product lines, and develop architectures for creating (and evolving) the common elements *once* with plug-compatible interfaces for inserting the variable elements; (Boehm, Lane, and Madachy 2010)
- extrapolate principles for service-oriented system elements that are characterized by their inputs, outputs, and assumptions, and that can easily be composed into systems in which the sources of change were not anticipated;
- develop classes of smart or autonomous systems whose many sensors identify needed changes, and whose autonomous agents determine and effect those changes in microseconds, or much more rapidly than humans can, reducing not only reaction time, but also the amount of human labor needed to operate the systems, thus improving affordability.

## Personnel Considerations

Autonomous systems need human supervision, and the humans involved require better methods for trend analysis and visualization of trends (especially undesired ones).

There is also the need, with autonomous systems, to extend the focus from life cycle costs to total ownership costs, which encompass the costs of failures, including losses in sales, profits, mission effectiveness, or human quality of life. This creates a further need to evaluate affordability in light of the value added by the system under consideration. In principle, this involves evaluating the system's total cost of ownership with respect to its mission effectiveness and resilience across a number of operational scenarios. However, determining the appropriate scenarios and their relative importance is not easy, particularly for multi-mission systems of systems. Often, the best that can be done involves a mix of scenario evaluation and evaluation of general system attributes, such as cost, schedule, performance, and so on.

As for these system attributes, different success-critical stakeholders will have different preferences, or utility functions, for a given attribute. This makes converging on a mutually satisfactory choice among the candidate system solutions a difficult challenge involving the resolution of the multi-criteria decision analysis (MCDA) problem among the stakeholders (Boehm and Jain 2006). This is a well-known problem with several paradoxes, such as Arrow's impossibility theorem that describes the inability to guarantee a mutually optimal solution among several stakeholders, and several paradoxes in stakeholder preference aggregation in which different voting procedures produce different winning solutions. Still, groups of stakeholders need to make decisions, and various negotiation support systems enable people to better understand each other's utility functions and to arrive at mutually satisfactory decisions, in which no one gets everything that they want, but everyone is at least as well off as they are with the current system.

Also see System Analysis for considerations of cost and affordability in the technical design space.

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# System Hardware Assurance

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This article describes the discipline of hardware assurance, especially as it relates to systems engineering. It is part of the SE and Quality Attributes Knowledge Area.

## Overview

System hardware assurance is a set of system security engineering activities (see System Security for more information) undertaken to quantify and increase the confidence that electronics function as intended and only as intended throughout their life cycle, and to manage identified risks. The term *hardware* refers to electronic components, sometimes called integrated circuits or chips. As products of multi-stage processes involving design, manufacturing and post-manufacturing, packaging, and test, they must function properly under a wide range of circumstances. Hardware components – alone and integrated into subcomponents, subsystems, and systems – have weaknesses and vulnerabilities enabling exploitation. Weaknesses are flaws, bugs, or errors in design, architecture, code, or implementation. Vulnerabilities are weaknesses that are exploitable in the context of use (Martin 2014).

Hardware assurance is conducted to minimize risks related to hardware that can enable adversarial exploitation and subversion of functionality, counterfeit production, and loss of technological advantage. Challenges include increasing levels of sophistication and complexity of hardware architectures, integrated circuits, operating systems, and application software, combined with supply chain risks, emergence of new attack surfaces, and reliance on global sources for some components and technologies.

After identifying concerns and applicable mitigations, hardware assurance offers a range of possible activities and processes. At the component level, hardware assurance focuses on the hardware itself and the supply chain used to design and manufacture it; at the subcomponent, subsystems, and system levels, hardware assurance incorporates the software and firmware integrated with the component.

Engineering efforts to enhance trust in hardware have increased in response to complex hardware architectures, the increasing sophistication of adversarial attacks on hardware, and globalization of supply chains. These factors raise serious concerns about the security, confidentiality, integrity, and availability as well as the provenance and authenticity of hardware. The “root of trust” (NIST 2020) of a system is typically contained in the processes, steps, and layers of hardware components and across the systems engineering development cycle. System hardware assurance focuses on hardware components and their interconnections with software and firmware to reduce risks to proper function or other compromises of the hardware throughout the complete life cycle of components and systems. Advances in hardware assurance tools and techniques will strengthen designs, and enhance assurance during manufacturing, packaging, test, and deployment and operational use.

## Life Cycle Concerns of Hardware Components

Hardware assurance should be applied at various stages of a component's life cycle from hardware architecture and design, through manufacturing and testing, and finally throughout its inclusion in a larger system. The need for hardware assurance then continues throughout its operational life including sustainment and disposal.

As semiconductor technology advances the complexity of electronic components, it increases the need to "bake-in" assurance. Risks created during architecture, design, and manufacturing are challenging to address during the operational phase. Risks associated with interconnections between and among chips are also a concern. Therefore, improving a hardware assurance posture must occur as early as possible in the life cycle, thereby reducing the cost and schedule impacts associated with "fixing" components later in the life cycle of the system.

A conceptual overview of the typical hardware life cycle (Figure 1) illustrates the phases of the life cycle of components, as well as the subsystems and systems in which they operate. In each phase multiple parties and processes contribute a large set of variables and corresponding attack surfaces. As a result, the potential exists for compromise of the hardware as well as the subcomponents and systems in which they operate; therefore, matching mitigations should be applied at the time the risks are identified.

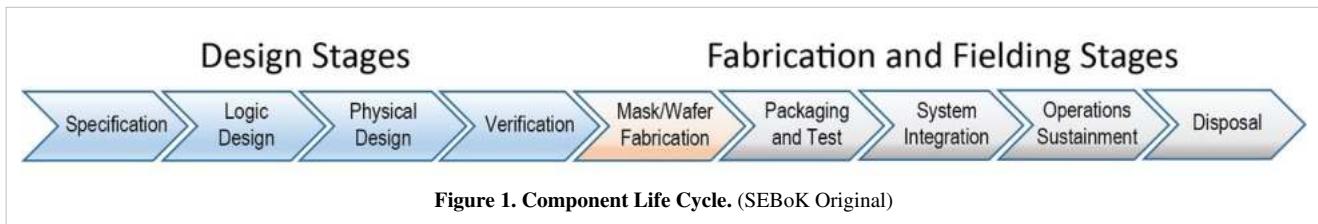


Figure 1. Component Life Cycle. (SEBoK Original)

Both the value of the hardware component and the associated cost of mitigating risks increase at each stage of the life cycle. Therefore, it is important to identify and mitigate vulnerabilities as early as possible. It takes longer to find and fix defects later, thereby increasing the complexity of replacing hardware with "corrected" designs that create system integration issues. In addition to cost savings, early correction and mitigation avoid delays in creating an operational system. It is essential to re-assess risks associated with hardware components throughout the life cycle periodically, especially as operational conditions change.

Hardware assurance during system sustainment is a novel challenge given legacy hardware and designs with their associated supply chains. In long-lived high-reliability systems, hardware assurance issues are compounded by obsolescence and diminished sourcing of components, thereby increasing concerns related to counterfeits and acquisitions from the gray market.

## Function as Intended and Only as Intended

Exhaustive testing can check system functions against specifications and expectations; however, checking for unintended functions is problematic. Consumers have a reasonable expectation that a purchased product will perform as advertised and function properly (safely and securely, under specified conditions) – but consumers rarely consider if additional functions are built into the product. For example, a laptop with a web-conferencing capability comes with a webcam that will function properly when enabled, but what if the webcam also functions when turned off, thereby violating expectations of privacy? Given that a state-of-the-art semiconductor component might have billions of transistors, "hidden" functions might be exploitable by adversaries. The statement "function as intended and only intended" communicates the need to check for unintended functions.

Hardware specifications and information in the design phase are needed to validate that components function properly to support systems or missions. If an engineer creates specifications that support assurance that flow down the system development process, the concept of "function as intended" can be validated for the system and mission through accepted verification and validation processes. "Function only as intended" is also a consequence of capturing the requirements and specifications to assure the product is designed and developed without extra

functionality. For example, a Field Programmable Gate Array (FPGA) contains programmable logic that is highly configurable; however, the programmable circuitry might be susceptible to exploitation.

Given the specifications of a hardware component, specialized tools and processes can be used to determine with a high degree of confidence whether the component's performance meets specifications. Research efforts are underway to develop robust methods to validate that a component does not have capabilities that threaten assurance or that are not specified in the original design. Although tools and processes can test for known weaknesses, operational vulnerabilities, and deviations from expected performance, all states of possible anomalous behavior cannot currently be determined or predicted.

Data and information can be used to validate the component's function and should be collected from multiple sources including designers, developers, and members of the user community. Designers and developers can provide deep understanding of the component's intended function and provide tests used to verify its functional performance before fielding. The merging of component design and development information with extensive field data, including third-party evaluation, contributes to assurance that the component is performing specified functions and that no unintended functionality is observed.

## Risks to Hardware

Modern systems depend on complex microelectronics, but advances in hardware without attention to associated risks can expose critical systems, their information, and the people who rely on them. "Hardware is evolving rapidly, thus creating fundamentally new attack surfaces, many of which will never be entirely secured". (Oberg 2020) Therefore, it is imperative that risk be modeled through a dynamic risk profile and be mitigated in depth across the entire profile. Hardware assurance requires extensible mitigations and strategies that can and do evolve as threats do. Hardware assurance methods seek to quantify and improve confidence that weaknesses that can become vulnerabilities that create risks are mitigated.

Most hardware components are commercially designed, manufactured, and inserted into larger assemblies by multi-national companies with global supply chains. Understanding the provenance and participants in complex global supply chains is fundamental to assessing risks associated with the components.

Operational risks that derive from unintentional or intentional features are differentiated based on the source of the feature. Three basic operational risk areas related to goods, products, or items are: failure to meet quality standards, maliciously tainted goods, and counterfeit hardware. Counterfeits are usually offered as legitimate products, but they are not. They may be refurbished or mock items made to appear as originals, re-marked products, the result of overproduction, or substandard production parts rejected by the legitimate producer. Counterfeit risks and substandard quality offer avenues for malware insertion and potential impacts to overall system performance and availability.

Failure to follow quality standards including safety and security standards, especially in design, can result in unintentional features or flaws being inadvertently introduced. These can occur through mistakes, omissions, or lack of understanding how features might be manipulated by future users for nefarious purposes. Features introduced intentionally for specific purposes can also make the hardware susceptible to espionage or control of the hardware at some point in its life cycle.

## Quantify and Improve Confidence

The quantification of hardware assurance is a key technical challenge because of the complex interplay among designer, manufacturer and supply chains, and adversarial intent, as well as the challenge of defining "security" with respect to hardware function. Quantification is necessary to identify and manage hardware risks within program budgets and timeframes. It enables a determination of the required level of hardware assurance and whether quantification is achievable throughout the hardware's life cycle.

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Current methods for quantifying hardware assurance are adapted from the fields of quality and reliability engineering, which use methods like Failure Mode and Effects Analysis (FMEA). (SAE 2021) FMEA is semi-quantitative and combines probabilistic hardware failure data and input from experts. Adapting FMEA to quantify hardware assurance is hampered when it relies on assigning probabilities to human behavior that may be motivated by money, malicious intent, etc. Expert opinion often varies when quantifying and weighting factors used in generating risk matrices and scores. In response, recent efforts are attempting to develop quantitative methods that reduce subjectivity.

Game theoretic analysis (game theory) is the creation of mathematical models of conflict and cooperation between intelligent and rational decision-makers. (Myerson 1991) Models include dynamic, as opposed to static, interactions between attackers and defenders that can quantify the risks associated with potential interactions among adversaries, hardware developers, and manufacturing processes. (Eames and Johnson 2017) Creation of the models forces one to define attack scenarios explicitly and to input detailed knowledge of hardware development and manufacturing processes. Outputs of the model may include a ranking of the most likely attacks to occur based on cost-benefit constraints on the attackers and defenders. (Graf 2017) The results can empower decision-makers to make quantitative trade-off decisions about hardware assurance.

Another quantification method that results in a confidence interval for detecting counterfeit/suspect microelectronics is presented in the SAE AS6171 standard. (SAE 2016) Confidence is based on knowing the types of defects associated with counterfeits, and the effectiveness of different tests to detect those defects. Along the same lines, a standard for hardware assurance might be developed to quantify the confidence interval by testing against a catalogue of known vulnerabilities, such as those documented in the MITRE Common Vulnerabilities and Exposures (CVE) list. (MITRE 2020)

Distributed ledger technology (DLT) is an example of an emerging technology that could enable a standardized approach for quantifying hardware assurance attributes such as data integrity, immutability, and traceability. DLT can be used in conjunction with manufacturing data (such as dimensional measurement, parametric testing, process monitoring, and defect mapping) to improve tamper resistance using component provenance and traceability data. DLT also enables new scenarios of cross-organizational data fusion, opening the door to new classes of hardware integrity checks.

## Manage Risks

The selection of specific components for use in subsystems and systems should be the outcome of performance-risk and cost-benefit trade-off assessments in their intended context of use. The goal of risk management and mitigation planning is to select mitigations with the best overall operational risk reduction and the lowest cost impact. The required level of hardware assurance varies with the criticality of a component's use and the system in which it is used.

During a typical development life cycle of a system – architecture, design, code, and implementation – various types of problems can pose risks to the operational functionality of the hardware components provided. These risks include weaknesses or defects that are inadvertent (unintentional), as well as counterfeits that may be either inadvertent or intentionally injected into the supply chain for financial motivations or malicious components designed to change functionality.

Managing risk in the context of hardware assurance seeks to decrease the risk of weaknesses that create attack surfaces that can be exploited, while improving confidence that an implementation resists exploitation. Ideally, risk management reduces risk and maximizes assurance to an acceptable level. Often, risks are considered in the context of likelihood of consequences and the costs and effectiveness of mitigations. However, new operationally impactful risks are recognized continuously over the hardware life cycle and supply chains of components. At the same time hardware weaknesses are often exploited through software or firmware. Therefore, to maximize assurance and minimize operationally impactful risks mitigation-in-depth across all constituent components must be considered.

This highlights the need for a dynamic risk profile.

An example of a post-manufacturing mitigation involves a new hardware risk identified during field operation. A dynamic risk profile can be used to characterize the issue and identify possible resources to address the suspect component function. This profile can also be used to track and address risks throughout its life, including obsolescence-related risk. One means of mitigating this kind of hardware life cycle risk is the use of existing programmable logic.

Just as with software patches and updates, new attack surfaces on hardware may become exposed through the mitigation being applied, and they will likely take a long time to discover. In the example above, the programmable logic is updated to provide a new configuration to protect the hardware. In this context, access to hardware reconfiguration must be limited to authorized parties to prevent an unauthorized update that introduces weaknesses on purpose or by accident. While programmable logic may have mitigated a specific attack surface or type of weakness, additional mitigations are needed to minimize risk more completely. This is mitigation-in-depth – multiple mitigations building upon one another.

Throughout the entire supply chain, critical pieces of information can be inadvertently exposed. The exposure of such information directly enables the creation and exploitation of new attack surfaces. Therefore, the supply chain infrastructure must also be assessed for weaknesses, and the development, use, and maintenance of hardware components assured. The dynamic risk profile offers a framework to balance mitigations in the context of risk and cost throughout the complete hardware and system life cycles.

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# System Reliability, Availability, and Maintainability

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Reliability, availability, and maintainability (RAM) are three system attributes that are of tremendous interest to systems engineers, logisticians, and users. They are often studied together. Collectively, they affect economic life-cycle costs of a system and its utility.

## Overview

Reliability, maintainability, and availability (RAM) are three system attributes that are of great interest to systems engineers, logisticians, and users. Collectively, they affect both the utility and the life-cycle costs of a product or system. The origins of contemporary reliability engineering can be traced to World War II. The discipline's first concerns were electronic and mechanical components. (Ebeling 2010) However, current trends point to a dramatic rise in the number of industrial, military, and consumer products with integrated computing functions. Because of the rapidly increasing integration of computers into products and systems used by consumers, industry, governments, and the military, reliability must consider both hardware, and software.

Maintainability models present some interesting challenges. The time to repair an item is the sum of the time required for evacuation, diagnosis, assembly of resources (parts, bays, tool, and mechanics), repair, inspection, and return. Administrative delay (such as holidays) can also affect repair times. Often these sub-processes have a minimum time to complete that is not zero, resulting in the distributions used to model maintainability having a threshold parameter.

A threshold parameter is defined as the minimum probable time to repair. Estimation of maintainability can be further complicated by queuing effects, resulting in times to repair that are not independent. This dependency frequently makes analytical solution of problems involving maintainability intractable and promotes the use of simulation to support analysis.

## System Description

This section sets forth basic definitions, briefly describes probability distributions, and then discusses the role of RAM engineering during system development and operation. The final subsection lists the more common reliability test methods that span development and operation.

### Basic Definitions

#### Reliability

Reliability is defined as the probability of a product performing its intended function under stated conditions without failure for a given period of time. (ASQ 2022) A precise definition must include a detailed description of the function, the environment, the time scale, and what constitutes a failure. Each can be surprisingly difficult to define precisely.

### Maintainability

The probability that a given maintenance action for an item under given usage conditions can be performed within a stated time interval when the maintenance is performed under stated conditions using stated procedures and resources. Maintainability has two categories: serviceability (the ease of conducting scheduled inspections and servicing) and repairability (the ease of restoring service after a failure). (ASQ 2022)

### Availability

Defined as the probability that a repairable system or system element is operational at a given point in time under a given set of environmental conditions. Availability depends on reliability and maintainability and is discussed in detail later in this topic. (ASQ 2011)

### Failure

A failure is the event(s), or inoperable state, in which any item or part of an item does not, or would not, perform as specified. (GEIA 2008) The failure mechanism is the physical, chemical, electrical, thermal, or other process that results in failure (GEIA 2008). In computerized systems, a software defect or fault can be the cause of a failure (Laprie 1992) which may have been preceded by an error which was internal to the item. The failure mode is the way or the consequence of the mechanism through which an item fails. (GEIA 2008, Laprie 1992) The severity of the failure mode is the magnitude of its impact. (Laprie 1992)

## Probability Distributions used in Reliability Analysis

Reliability can be thought of as the probability of the survival of a component until time  $t$ . Its complement is the probability of failure before or at time  $t$ . If we define a random variable  $T$  as the time to failure, then:

where  $R(t)$  is the reliability and  $F(t)$  is the failure probability. The failure probability is the cumulative distribution function (CDF) of a mathematical probability distribution. Continuous distributions used for this purpose include exponential, Weibull, log-normal, and generalized gamma. Discrete distributions such as the Bernoulli, Binomial, and Poisson are used for calculating the expected number of failures or for single probabilities of success.

The same continuous distributions used for reliability can also be used for maintainability although the interpretation is different (i.e., probability that a failed component is restored to service prior to time  $t$ ). However, predictions of maintainability may have to account for processes such as administrative delays, travel time, sparing, and staffing and can therefore be extremely complex.

The probability distributions used in reliability and maintainability estimation are referred to as models because they only provide estimates of the true failure and restoration of the items under evaluation. Ideally, the values of the parameters used in these models would be estimated from life testing or operating experience. However, performing such tests or collecting credible operating data once items are fielded can be costly. Therefore, approximations sometimes use data from “similar systems”, “engineering judgment”, and other methods. As a result, those estimates based on limited data may be very imprecise. Testing methods to gather such data are discussed below.

## RAM Considerations during Systems Development

RAM are inherent product or system attributes that should be considered throughout the development lifecycle. Reliability standards, textbook authors, and others have proposed multiple development process models. (O’Connor 2014, Kapur 2014, Ebeling 2010, DoD 2005) The discussion in this section relies on a standard developed by a joint effort by the Electronic Industry Association and the U.S. Government and adopted by the U.S. Department of Defense (GEIA 2008) that defines 4 processes: understanding user requirements and constraints, design for reliability, production for reliability, and monitoring during operation and use (discussed in the next section).

## **Understanding User Requirements and Constraints**

Understanding user requirements involves eliciting information about functional requirements, constraints (e.g., mass, power consumption, spatial footprint, life cycle cost), and needs that correspond to RAM requirements. From these emerge system requirements that should include specifications for reliability, maintainability, and availability, and each should be conditioned on the projected operating environments. RAM requirements definition is as challenging but as essential to development success as the definition of general functional requirements.

## **Design for Reliability**

System designs based on user requirements and system design alternatives can then be formulated and evaluated. Reliability engineering during this phase seeks to increase system robustness through measures such as redundancy, diversity, built-in testing, advanced diagnostics, and modularity to enable rapid physical replacement. In addition, it may be possible to reduce failure rates through measures such as use of higher strength materials, increasing the quality components, moderating extreme environmental conditions, or shortened maintenance, inspection, or overhaul intervals. Design analyses may include mechanical stress, corrosion, and radiation analyses for mechanical components, thermal analyses for mechanical and electrical components, and Electromagnetic Interference (EMI) analyses or measurements for electrical components and subsystems.

In most computer-based systems, hardware mean time between failures are hundreds of thousands of hours so that most system design measures to increase system reliability are focused on software. The most obvious way to improve software reliability is by improving its quality through more disciplined development efforts and tests. Methods for doing so are in the scope of software engineering but not in the scope of this section. However, reliability and availability can also be increased through architectural redundancy, independence, and diversity. Redundancy must be accompanied by measures to ensure data consistency, and managed failure detection and switchover. Within the software architecture, measures such as watchdog timers, flow control, data integrity checks (e.g., hashing or cyclic redundancy checks), input and output validity checking, retries, and restarts can increase reliability and failure detection coverage (Shooman 2002).

System RAM characteristics should be continuously evaluated as the design progresses. Where failure rates are not known (as is often the case for unique or custom developed components, assemblies, or software), developmental testing may be undertaken to assess the reliability of custom-developed components. Evaluations based on quantitative analyses assess the numerical reliability and availability of the system and are usually based on reliability block diagrams, fault trees, Markov models, and Petri nets. (O'Connor 2011) Markov models and Petri nets are of particular value for computer-based systems that use redundancy. Evaluations based on qualitative analyses assess vulnerability to single points of failure, failure containment, recovery, and maintainability. The primary qualitative methods are the failure mode effects and criticality analyses (FMECA). (Kececioglu 1991) The development program Discrepancy Reporting (DR) or Failure Reporting and Corrective Action System (FRACAS) should also be used to identify failure modes which may not have been anticipated by the FMECA and to identify common problems that can be corrected through an improved design or development process.

Analyses from related disciplines during design time also affect RAM. Human factor analyses are necessary to ensure that operators and maintainers can interact with the system in a manner that minimizes failures and the restoration times when they occur. There is also a strong link between RAM and cybersecurity in computer-based systems. On the one hand, defensive measures reduce the frequency of failures due to malicious events. On the other hand, devices such as firewalls, policy enforcement devices, and access/authentication servers (also known as “directory servers”) can also become single points of failure or performance bottlenecks that reduce system reliability and availability.

### Production for Reliability

Many production issues associated with RAM are related to quality. The most important of these are ensuring repeatability and uniformity of production processes and complete unambiguous specifications for items from the supply chain. Other are related to design for manufacturability, storage, and transportation. (Kapur 2014; Eberlin 2010) Large software intensive information systems are affected by issues related to configuration management, integration testing, and installation testing. Testing and recording of failures in the problem reporting and corrective action systems (PRACAS) or the FRACAS capture data on failures and improvements to correct failures. Depending on organizational considerations, this may be the same or a separate system as used during the design.

### Monitoring During Operation and Use

After systems are fielded, their reliability and availability are monitored to assess whether the system or product has met its RAM objectives, identify unexpected failure modes, record fixes, and assess the utilization of maintenance resources and the operating environment. The FRACAS or a maintenance management database may be used for this purpose. In order to assess RAM, it is necessary to maintain an accurate record not only of failures but also of operating time and the duration of outages. Systems that report only on repair actions and outage incidents may not be sufficient for this purpose.

An organization should have an integrated data system that allows reliability data to be considered with logistical data, such as parts, personnel, tools, bays, transportation and evacuation, queues, and costs, allowing a total awareness of the interplay of logistical and RAM issues. These issues in turn must be integrated with management and operational systems to allow the organization to reap the benefits that can occur from complete situational awareness with respect to RAM.

### Reliability and Maintainability Testing

Reliability Testing can be performed at the component, subsystem, and system level throughout the product or system lifecycle. Examples of hardware related categories of reliability testing are detailed in Ebeling (2010) and O'Connor (2014).

- **Reliability Life Tests:** Reliability life tests are used to empirically assess the time to failure for non-repairable products and systems and the times between failure for repairable or restorable systems. Termination criteria for such tests can be based on a planned duration or planned number of failures. Methods to account for "censoring" of the failures or the surviving units enable a more accurate estimate of reliability. (Meeker, Escobar, Pascual 2022)
- **Accelerated Life Tests:** Accelerated life testing is performed by subjecting the items under test (usually electronic parts) to increased stress well above the expecting operating range and extrapolating results using model such as an Arrhenius relation (temperature acceleration), inverse power law (voltage), or a cumulative damage model (non-constant stress). (Meeker, Escobar, Pascual 2022)
- **Highly Accelerated Life Testing/Highly Accelerated Stress Testing (HALT/HASS):** is performed by subjecting units under test (components or subassemblies) to extreme temperature and vibration tests with the objective of identifying failure modes, margins, and design weaknesses.
- **Parts Screening:** Parts screening is not really a test but a procedure to operate components for a duration beyond the "infant mortality" period during which less durable items fail and the more durable parts that remain are then assembled into the final product or system. This is also known as "burn-in."
- **System Level Testing:** Examples of system level testing (including both hardware and software) are detailed in O'Connor (2014) and Ebeling (2010).
- **Stability Tests:** Stability tests are life tests for integrated hardware and software systems. The goal of such testing is to determine the integrated system failure rate and assess operational suitability. Test conditions must include

accurate simulation of the operating environment (including workload) and a means of identifying and recording failures.

- **Reliability Growth Tests:** Reliability growth testing is part of a reliability growth program in which items are tested throughout the development and early production cycle with the intent of assessing reliability increases due to improvements in the manufacturing process (for hardware) or software quality (for software). Also known as "Test-Analyze-And-Fix (TAAF)." (NRC 2015)
- **Failure/Recovery Tests:** Such testing assesses the fault tolerance of a system by measuring probability of switchover for redundant systems. Failures are simulated and the ability of the hardware and software to detect the condition and reconfigure the system to remain operational are tested.
- **Maintainability Tests:** Such testing assesses the system diagnostics capabilities, physical accessibility, and maintainer training by simulating hardware or software failures that require maintainer action for restoration.

Because of its potential impact on cost and schedule, reliability testing should be coordinated with the overall system engineering effort. Test planning considerations include the number of test units, duration of the tests, environmental conditions, and the means of detecting failures.

## Data Issues

True RAM models for a system are generally never known. Data on a given system is assumed or collected, used to select a distribution for a model, and then used to fit the parameters of the distribution. This process differs significantly from the one usually taught in an introductory statistics course.

First, the normal distribution is seldom used as a life distribution, since it is defined for all negative times. Second, and more importantly, reliability data is different from classic experimental data. Reliability data is often censored, biased, observational, and missing information about covariates such as environmental conditions. Data from testing is often expensive, resulting in small sample sizes. These problems with reliability data require sophisticated strategies and processes to mitigate them.

One consequence of these issues is that estimates based on limited data can be and usually are very imprecise.

## Discipline Management

In most large programs, RAM experts report to the system engineering organization. At project or product conception, top level goals are defined for RAM based on operational needs, lifecycle cost projections, and warranty cost estimates. These lead to RAM derived requirements and allocations that are approved and managed by the system engineering requirements management function. RAM testing is coordinated with other product or system testing through the testing organization, and test failures are evaluated by the RAM function through joint meetings such as a Failure Review Board. In some cases, the RAM function may recommend design or development process changes as a result of evaluation of test results or software discrepancy reports, and these proposals must be adjudicated by the system engineering organization, or in some cases, the acquiring customer if cost increases are involved.

## Post-Production Management Systems

Once a system is fielded, its reliability and availability should be tracked. Doing so allows the producer/owner to verify that the design has met its RAM objectives, to identify unexpected failure modes, to record fixes, to assess the utilization of maintenance resources, and to assess the operating environment.

One such tracking system is generically known as a FRACAS system (Failure Reporting and Corrective Action System). Such a system captures data on failures and improvements to correct failures. This database is separate from a warranty database, which is typically run by the financial function of an organization and tracks costs only.

A FRACAS for an organization is a system, and itself should be designed following systems engineering principles. In particular, a FRACAS system supports later analyses, and those analyses impose data requirements. Unfortunately, the lack of careful consideration of the backward flow from decision to analysis to model to required data too often leads to inadequate data collection systems and missing essential information. Proper prior planning prevents this poor performance.

Of particular importance is a plan to track data on units that have not failed. Units whose precise times of failure are unknown are referred to as censored units. Inexperienced analysts frequently do not know how to analyze censored data, and they omit the censored units as a result. This can bias an analysis.

An organization should have an integrated data system that allows reliability data to be considered with logistical data, such as parts, personnel, tools, bays, transportation and evacuation, queues, and costs, allowing a total awareness of the interplay of logistical and RAM issues. These issues in turn must be integrated with management and operational systems to allow the organization to reap the benefits that can occur from complete situational awareness with respect to RAM.

## Discipline Relationships

### Interactions

RAM interacts with nearly all aspects of the system development effort. Specific dependencies and interactions include:

- **Systems Engineering:** RAM interacts with systems engineering as described in the previous section.
- **Product Management (Life Cycle Cost and Warranty):** RAM interacts with the product or system lifecycle cost and warranty management organizations by assisting in the calculation of expected repair rates, downtimes, and warranty costs. RAM may work with those organizations to perform tradeoff analyses to determine the most cost-efficient solution and to price service contracts.
- **Quality Assurance:** RAM may also interact with the procurement and quality assurance organizations with respect to selection and evaluation of materials, components, and subsystems.

### Dependencies

- **Systems Safety:** RAM and system safety engineers have many common concerns with respect to managing the failure behavior of a system (i.e., single points of failure and failure propagation). RAM and safety engineers use similar analysis techniques, with safety being concerned about failures affecting life or unique property and RAM being concerned with those failures as well as lower severity events that disrupt operations. RAM and system safety are both concerned with failures occurring during development and test – FRACAS is the primary methodology used for RAM; hazard tracking is the methodology used for system safety.
- **Cybersecurity:** In systems or products integrating computers and software, cybersecurity and RAM engineers have common concerns relating to the availability of cyber defenses and system event monitoring. However, there are also tradeoffs with respect to access control, boundary devices, and authentication where security device failures could impact the availability of the product or system to users.

- **Software and Hardware Engineering:** Design and RAM engineers have a common goal of creating dependable products and systems. RAM interacts with the software and hardware reliability functions through design analyses such as failure modes and effects analyses, reliability predictions, thermal analyses, reliability measurement, and component specific analyses. RAM may recommend design changes as a result of these analyses that may have to be adjudicated by program management, the customer, or systems engineering if there are cost or schedule impacts.
- **Testing:** RAM interacts with the testing program during planning to assess the most efficient (or feasible) test events to perform life testing, failure/recovery testing, and stability testing as well as to coordinate requirements for reliability or stress tests. RAM also interacts with the testing organization to assess test results and analyze failures for the implications on product or system RAM.
- **Logistics:** RAM works with logistics in providing expected failure rates and downtime constraints in order for logistics engineers to determine staffing, sparing, and special maintenance equipment requirements.

## Discipline Standards

Because of the importance of reliability, availability, and maintainability, as well as related attributes, there are hundreds of standards associated. Some are general but more are specific to domains such as automotive, aviation, electric power distribution, nuclear energy, rail transportation, software, etc. Standards are produced by both governmental agencies, professional associations and international standards bodies such as:

- The International Electrotechnical Commission (IEC), Geneva, Switzerland and the closely associated International Standards Organization (ISO)
- The Institute of Electrical and Electronic Engineers (IEEE), New York, NY, USA
- The Society of Automotive Engineers (SAE), Warrendale, PA, USA
- Governmental Agencies – primarily in military and space systems

The following table lists selected standards from each of these agencies. Because of differences in domains and because many standards handle the same topic in slightly different ways, selection of the appropriate standards requires consideration of previous practices (often documented as contractual requirements), domain specific considerations, certification agency requirements, end user requirements (if different from the acquisition or producing organization), and product or system characteristics.

**Table 1. Selected Reliability, Availability, Maintainability standards (SEBoK Original)**

Organization	Number, Title, and Year	Domain	Comment
IEC	IEC 60812, Analysis techniques for system reliability - Procedure for failure mode and effects analysis (FMEA), 2006	General	
IEC	IEC 61703 Ed 2.0, Mathematical expressions for reliability, availability, maintainability and maintenance support terms [1], 2016	General	
IEC	IEC 62308, Equipment reliability - Reliability assessment methods, 2006	General	
IEC	IEC 62347, Guidance on system dependability specifications, 2006	General	
IEC	IEC 62278, Railway applications – Specification and demonstration of reliability, availability, maintainability and safety (RAMS), 2002	Railways	

IEEE	IEEE Std 352-2016, IEEE Guide for General Principles of Reliability Analysis of Nuclear Power Generating Station Safety Systems and Other Nuclear Facilities [2], 2016	Nuclear Energy
IEEE	IEEE Std 1044-2009, IEEE Standard Classification for Software Anomalies, 2009	Software
IEEE	IEEE Std 1633-2008, IEEE Recommended Practice on Software Reliability [3], 2016	Software
SAE	ARP 4754A, Guidelines for the Development of Civil Aircraft and Systems, 2010	Aviation
SAE	ARP 5890B, Guidelines for Preparing Reliability AssessmentPlans for Electronic Engine Controls [4], 2018	Aviation
SAE	J2940_202002, Use of Model Verification and Validation in Product Reliability and Confidence Assessments [5], 2020	General
SAE	SAE-GEIA-STD-0009A, Reliability Program Standard for SystemsDesign, Development, and Manufacturing [6], 2020	General
SAE	JA 1002_201205, Software Reliability Program Standard [7], 2012	Software
U.S. Government	NASA-STD-8729.1A, Planning, Developing and Managing an Effective Reliability And Maintainability (R&M) Program [8], 2017	Space Systems
U.S. Government	MIL HDBK 470A, Designing and Developing Maintainable Products and Systems [9], 1997	Defense Systems
U.S. Government	MIL HDBK 217F (Notice 2), Reliability Prediction of Electronic Equipment [10], 1995	Defense Systems
U.S. Government	MIL-STD-1629A (Notice 3), Procedures for Performing a Failure Mode Effects and Criticality Analysis -Revision A [11], 1998	The parent of FMEA standards produced by the IEEE, SAE, ISO, and many other agencies. Still valid and in use after 4 decades.

## Personnel Considerations

Becoming a reliability engineer requires education in probability and statistics as well as the specific engineering domain of the product or system under development or in operation. A number of universities throughout the world have departments of reliability engineering (which also address maintainability and availability) and more have research groups and courses in reliability and safety – often within the context of another discipline such as computer science, systems engineering, civil engineering, mechanical engineering, or bioengineering. Because most academic engineering programs do not have a full reliability department, most engineers working in reliability have been educated in other disciplines and acquire the additional skills through additional coursework or by working with other qualified engineers. A certification in reliability engineering [12] is available from the American Society for Quality (ASQ 2016). However, only a minority of engineers working in the discipline have this certification.

## Metrics

The three basic metrics of RAM are (not surprisingly) Reliability, Maintainability, and Availability. Reliability can be characterized in terms of the parameters, mean, or any percentile of a reliability distribution. However, in most cases, the exponential distribution is used, and a single value, the mean time to failure (MTTF) for non-restorable systems, or mean time between failures (MTBF for restorable systems are used). The metric is defined as:

where  $T$  is the total operating time and  $N_f$  is the number of failures.

Maintainability is often characterized in terms of the exponential distribution and the mean time to repair and be similarly calculated, i.e.,

Where  $T_d$  is the total down time and  $N_o$  is the number of outages.

As was noted above, accounting for downtime requires definitions and specificity. Down time might be counted only for corrective maintenance actions, or it may include both corrective and preventive maintenance actions. Where the lognormal rather than the exponential distribution is used, a mean down time can still be calculated, but both the log of the downtimes and the variance must be known in order to fully characterize maintainability. Availability can be calculated from the total operating time and the downtime, or in the alternative, as a function of MTBF and MTTR (Mean Time To Repair.)

As was the case with maintainability, availability may be qualified as to whether it includes only unplanned failures and repairs (inherent availability) or downtime due to all causes including administrative delays, staffing outages, or spares inventory deficiencies (operational availability).

Probabilistic metrics describe system performance for RAM. Quantiles, means, and modes of the distributions used to model RAM are also useful.

Availability has some additional definitions, characterizing what downtime is counted against a system. For **inherent availability**, only downtime associated with corrective maintenance counts against the system. For **achieved availability**, downtime associated with both corrective and preventive maintenance counts against a system. Finally, **operational availability** counts all sources of downtime, including logistical and administrative, against a system.

Availability can also be calculated instantaneously, averaged over an interval, or reported as an asymptotic value. **Asymptotic availability** can be calculated easily, but care must be taken to analyze whether or not a system settles down or settles up to the asymptotic value, as well as how long it takes until the system approaches that asymptotic value.

**Reliability importance** measures the effect on the system reliability of a small improvement in a component's reliability. It is defined as the partial derivative of the system reliability with respect to the reliability of a component.

**Criticality** is the product of a component's reliability, the consequences of a component failure, and the frequency with which a component failure results in a system failure. Criticality is a guide to prioritizing reliability improvement efforts.

Many of these metrics cannot be calculated directly because the integrals involved are intractable. They are usually estimated using simulation.

## Models

There are a wide range of models that estimate and predict reliability (Meeker, Escobar, Pascual 2022). Simple models, such as exponential distribution, can be useful for “back of the envelope” calculations.

System models are used to (1) combine probabilities or their surrogates, failure rates and restoration times, at the component level to find a system level probability or (2) to evaluate a system for maintainability, single points of failure, and failure propagation. The three most common are reliability block diagrams, fault trees, and failure modes and effects analyses.

There are more sophisticated probability models used for life data analysis. These are best characterized by their failure rate behavior, which is defined as the probability that a unit fails in the next small interval of time, given it has lived until the beginning of the interval, and divided by the length of the interval.

Models can be considered for a fixed environmental condition. They can also be extended to include the effect of environmental conditions on system life. Such extended models can in turn be used for accelerated life testing (ALT), where a system is deliberately and carefully overstressed to induce failures more quickly. The data is then extrapolated to usual use conditions. This is often the only way to obtain estimates of the life of highly reliable products in a reasonable amount of time. (Nelson 1990)

Also useful are **degradation models**, where some characteristic of the system is associated with the propensity of the unit to fail (Nelson 1990). As that characteristic degrades, we can estimate times of failure before they occur.

The initial developmental units of a system often do not meet their RAM specifications. **Reliability growth models** allow estimation of resources (particularly testing time) necessary before a system will mature to meet those goals. (Meeker, Escobar, and Pascual 2022, NRC 2015)

**Maintainability models** describe the time necessary to return a failed repairable system to service. They are usually the sum of a set of models describing different aspects of the maintenance process (e.g., diagnosis, repair, inspection, reporting, and evacuation). These models often have threshold parameters, which are minimum times until an event can occur.

**Logistical support models** attempt to describe flows through a logistics system and quantify the interaction between maintenance activities and the resources available to support those activities. Queue delays, in particular, are a major source of down time for a repairable system. A logistical support model allows one to explore the trade space between resources and availability.

All these models are abstractions of reality, and so at best approximations to reality. To the extent they provide useful insights, they are still very valuable. The more complicated the model, the more data necessary to estimate it precisely. The greater the extrapolation required for a prediction, the greater the imprecision.

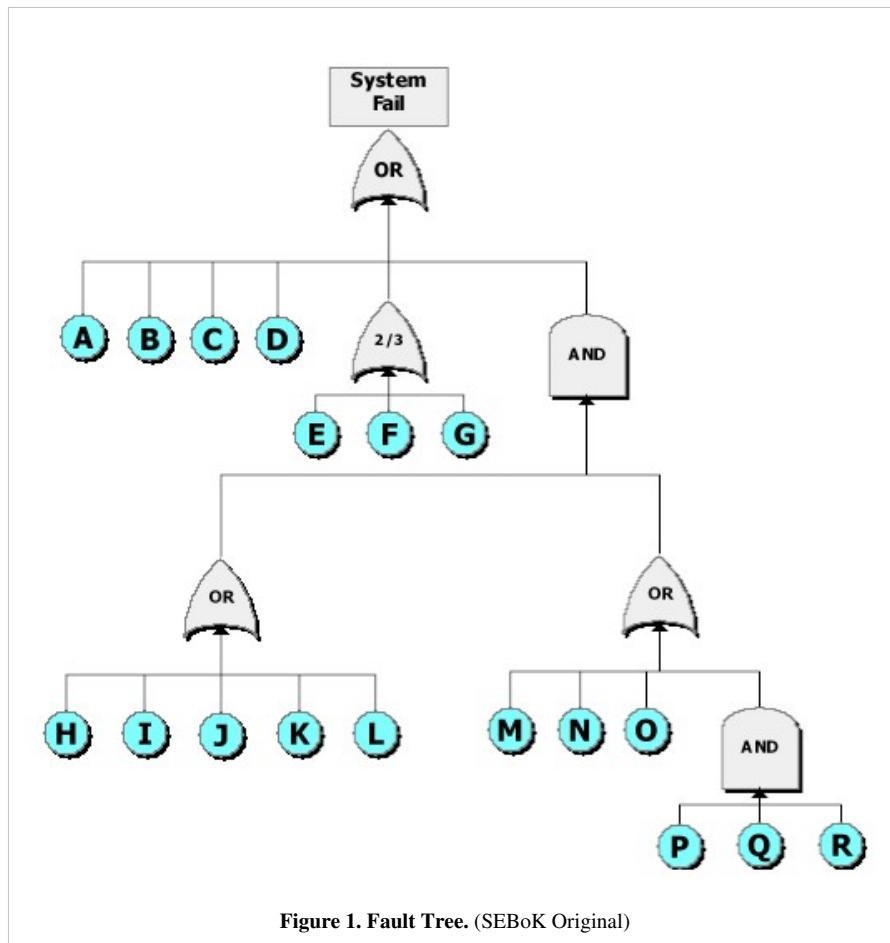
Extrapolation is often unavoidable, because high reliability equipment typically can have long life and the amount of time required to observe failures may exceed test times. This requires strong assumptions be made about future life (such as the absence of masked failure modes) and that these assumptions increase uncertainty about predictions. The uncertainty introduced by strong model assumptions is often not quantified and presents an unavoidable risk to the system engineer.

There are many ways to characterize the reliability of a system, including fault trees, reliability block diagrams, and failure mode effects analysis.

A **Fault Tree** (Kececioglu 1991) is a graphical representation of the failure modes of a system. It is constructed using logical gates, with AND, OR, NOT, and K of N gates predominating. Fault trees can be complete or partial; a partial fault tree focuses on a failure mode or modes of interest. They allow “drill down” to see the dependencies of systems on nested systems and system elements. Fault trees were pioneered by Bell Labs in the 1960s.

A Failure Mode Effects Analysis is a table that lists the possible failure modes for a system, their likelihood, and the effects of the failure. A Failure Modes Effects Criticality Analysis scores the effects by the magnitude of the product

of the consequence and likelihood, allowing ranking of the severity of failure modes. (Kececioglu 1991)



A **Reliability Block Diagram** (RBD) (DOD, 1998) is a graphical representation of the reliability dependence of a system on its components. It is a directed, acyclic graph. Each path through the graph represents a subset of system components. As long as the components in that path are operational, the system is operational. Component lives are usually assumed to be independent in an RBD. Simple topologies include a series system, a parallel system, a  $k$  of  $n$  system, and combinations of these.

RBDs are often nested, with one RBD serving as a component in a higher-level model. These hierarchical models allow the analyst to have the appropriate resolution of detail while still permitting abstraction.

RBDs depict paths that lead to success, while fault trees depict paths that lead to failure.

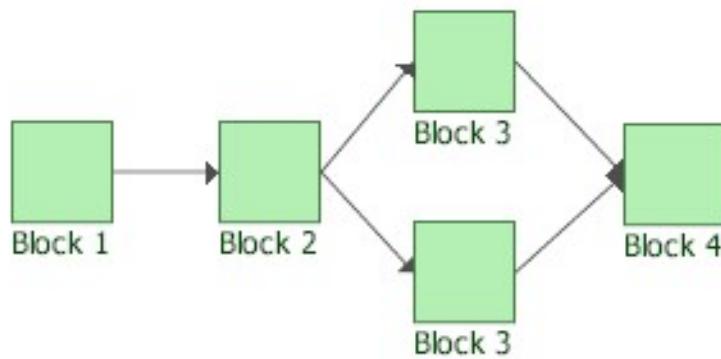


Figure 2. Simple Reliability Block Diagram. (SEBoK Original)

A **Failure Mode Effects Analysis** is a table that lists the possible failure modes for a system, their likelihood, and the effects of the failure. A **Failure Modes Effects Criticality Analysis** scores the effects by the magnitude of the product of the consequence and likelihood, allowing ranking of the severity of failure modes. (Kececioglu 1991)

System models require even more data to fit them well. “Garbage in, garbage out” (GIGO) particularly applies in the case of system models.

## Tools

The specialized analyses required for RAM drive the need for specialized software. While general purpose statistical languages or spreadsheets can, with sufficient effort, be used for reliability analysis, almost every serious practitioner uses specialized software.

Minitab (versions 13 and later) includes functions for life data analysis. Win Smith is a specialized package that fits reliability models to life data and can be extended for reliability growth analysis and other analyses. Relex has an extensive historical database of component reliability data and is useful for estimating system reliability in the design phase.

There is also a suite of products from ReliaSoft (2007) that is useful in specialized analyses. Weibull++ fits life models to life data. ALTA fits accelerated life models to accelerated life test data. BlockSim models system reliability, given component data.

## Discipline Specific Tool Families

Reliasoft<sup>[13]</sup> and PTC Windchill Product Risk and Reliability<sup>[14]</sup> produce a comprehensive family of tools for component reliability prediction, system reliability predictions (both reliability block diagrams and fault trees), reliability growth analysis, failure modes and effects analyses, FRACAS databases, and other specialized analyses. In addition to these comprehensive tool families, there are more narrowly scoped tools. Minitab (versions 13 and later) includes functions for life data analysis.

## General Purpose Statistical Analysis Software with Reliability Support

Some general-purpose statistical analysis software includes functions for reliability data analysis. Minitab<sup>[15]</sup> has a module for reliability and survival analysis. SuperSmith<sup>[16]</sup> is a more specialized package that fits reliability models to life data and can be extended for reliability growth analysis and other analyses.

R<sup>[17]</sup> is a widely used open source and well-supported general purpose statistical language with specialized packages that can be used for fitting reliability models, Bayesian analysis, and Markov modeling.

## Special Purpose Analysis Tools

Fault tree generation and analysis tools include CAFTA<sup>[18]</sup> from the Electric Power Research Institute and OpenFTA<sup>[19]</sup>, an open source software tool originally developed by Aviation Software.

PRISM<sup>[20]</sup> is an open source probabilistic model checker that can be used for Markov modeling (both continuous and discrete time) as well as for more elaborate analyses of system (more specifically, “timed automata”) behaviors such as communication protocols with uncertainty.

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## Relevant Videos

- Availability [23]
- Reliability, Availability [24]

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**SEBoK v. 2.7, released 31 October 2022**

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# System Resilience

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Resilience is a relatively new term in the SE realm, appearing only in the 2006 time frame and becoming popularized in 2010. The recent application of “resilience” to engineered systems has led to confusion over its meaning and a proliferation of alternative definitions. (One expert claims that well over 100 unique definitions of resilience have appeared.) While the details of definitions will continue to be discussed and debated, the information here should provide a working understanding of the meaning and implementation of resilience, sufficient for a system engineer to effectively address it.

## Overview

### Definition

According to the Oxford English Dictionary on Historical Principles (OED 1973), resilience is “the act of rebounding or springing back.” This definition most directly fits the situation of materials which return to their original shape after deformation. For human-made or engineered systems the definition of resilience can be extended to include the ability to maintain capability in the face of a disruption. The US Department of Homeland Security defines resilience as “ability of systems, infrastructures, government, business, and citizenry to resist, absorb, recover from, or adapt to an adverse occurrence that may cause harm, destruction, or loss of national significance.” (DHS 2017) Some practitioners define resilience only to include system reactions following an encounter with an adversity, sometimes called the reactive perspective. The INCOSE Resilient Systems Working Group (RSWG) recommends a definition that includes actions before the encounter with the adversity; this is called the proactive perspective.

The definition recommended by the RSWG is: resilience is the ability to provide required capability when facing adversity.

### Scope of the Means

In applying this definition, one needs to consider the range of means by which resilience is achieved: The means of achieving resilience include avoiding, withstanding, and recovering from adversity. These may also be considered the fundamental objectives of resilience (Brtis and McEvilley 2019). Classically, resilience includes “withstanding” and “recovering” from adversity. For the purpose of engineered systems, “avoiding” adversity is considered a legitimate means of achieving resilience (Jackson and Ferris 2016). Also, it is believed that resilience should consider the system’s ability to “evolve and adapt” to future threats and unknown-unknowns.

### Scope of the Adversity

Adversity is any condition that may degrade the desired capability of a system. Ideally, the systems engineer should consider all sources and types of adversity; e.g. from environmental sources, due to normal failure, as well as from opponents, friendlies and neutral parties. Adversity from human sources may be malicious or accidental. Adversities may be expected or not. Adversity may include “unknown unknowns.” The techniques for achieving resilience discussed below are applicable to both hostile and non-hostile adversities. Notably, a single incident may be the result of multiple adversities, such as a human error committed in the attempt to recover from another adversity.

## Taxonomy for Achieving Resilience

Achieving resilience can be facilitated by considering a taxonomy of its objectives and techniques. A useful three-layer, objectives-based taxonomy includes: first level, the fundamental objectives of resilience; second level, the means objectives of resilience; and, third level, architecture, design, and operational techniques for achieving resilience. The items in the three layers relate by many-to-many relationships. The aggregation of work on resilience taxonomies by (Brtis 2016) and (Jackson and Ferris 2013) is:

### Taxonomy Layer 1: The Intrinsic Value of Resilience

There are three objectives that reveal the intrinsic value of resilience:

- Avoid adversity
- Withstand adversity
- Recover from adversity

### Taxonomy Layer 2: Means Objectives that are not Ends in Themselves

Table 1 shows a set of objectives that are not as fundamental as those in Layer 1, but enable achieving Layer 1's objectives:

**Table 1. Means Objectives**

• adaptability/flexibility	• agility	• anticipation
• constraint	• continuity	• disaggregation
• evolution	• graceful degradation	• integrity
• preparation	• prevention	• re-architecting
• redeployment	• robustness	• situational awareness
• tolerance	• transformation	• understanding

### Taxonomy layer 3: Architecture, Design, and Operational Techniques to Achieve Resilience Objectives

The engineering techniques in Table 2 support achieving resilience objectives.

**Table 2. Architecture, Design, and Operational Techniques to Achieve Resilience Objectives**

• absorption	• adaptive response	• analytic monitoring and modeling
• boundary enforcement	• buffering	• complexity avoidance
• coordinated defense	• deception	• defense in depth
• detection avoidance	• distribution	• diversification
• drift correction	• dynamic positioning	• dynamic representation
• effect tolerance	• human participation	• internode interaction and interfaces
• least privilege	• loose coupling	• modularity
• neutral state or safe state	• non-persistence	• physical & functional redundancy
• privilege restriction	• proliferation	• protection
• realignment	• reconfiguring	• reparability

- |  |   |  |
|--|---|--|
| • replacement<br>• substantiated integrity<br>• unpredictability | • restructuring<br>• substitution<br>• virtualization | • segmentation<br>• threat suppression |
|--|---|--|

Definitions of these terms are available in Brtis (2016) and Jackson and Ferris (2013). The list of means objectives and architectural and design techniques will evolve as the resilience domain matures.

## The Resilience Process

Implementation of resilience in a system requires the execution of both analytic and holistic processes. In particular, the use of architecting with the associated heuristics is required. Inputs are the desired level of resilience and the characteristics of a threat or disruption. Outputs are the characteristics of the system, particularly the architectural characteristics and the nature of the elements (e.g., hardware, software, or humans).

Artifacts depend on the domain of the system. For technological systems, specification and architectural descriptions will result. For enterprise systems, enterprise plans will result.

Both analytic and holistic methods, including the techniques of architecting, are required. Analytic methods determine required robustness. Holistic methods determine required adaptability, tolerance, and integrity.

One pitfall is to depend on just a single technique to achieving resilience. The technique of defense in depth suggests that multiple techniques may be required to achieve resilience.

While resilience should be considered throughout the systems engineering life cycle, it is critical that resilience be considered in the early life cycle activities that lead to the development of resilience requirements. Once resilience requirements are established, they can and should be managed along with all of the other requirements in the trade space throughout the system life cycle. Brtis and McEvilley (2019) recommend specific considerations, listed below, to be included in early life cycle activities.

- **Business or Mission Analysis Process**

- Defining the problem space should include identification of adversities and expectations for performance under those adversities.
- ConOps, OpsCon, and solution classes should consider the ability to avoid, withstand, and recover from the adversities
- Evaluation of alternative solution classes must consider ability to deliver required capabilities under adversity

- **Stakeholder Needs and Requirements Definition Process**

- The stakeholder set should include persons who understand potential adversities and stakeholder resilience needs.
- When identifying stakeholder needs, identify expectations for capability under adverse conditions and degraded/alternate, but useful, modes of operation.
- Operational concept scenarios should include resilience scenarios.
- Transforming stakeholder needs into stakeholder requirements includes stakeholder resilience requirements.
- Analysis of stakeholder requirements includes resilience scenarios in the adverse operational environment.

- **System Requirements Definition Process**

- Resilience should be considered in the identification of requirements.
- Achieving resilience and other adversity-driven considerations should be addressed holistically.

- **Architecture Definition Process**

- Selected viewpoints should support the representation of resilience.
- Resilience requirements can significantly limit and guide the range of acceptable architectures. It is critical that resilience requirements are mature when used for architecture selection.

- Individuals developing candidate architectures should be familiar with architectural techniques for achieving resilience.
- Achieving resilience and other adversity-driven considerations should be addressed holistically.
- **Design Definition Process**
  - Individuals developing candidate designs should be familiar with design techniques for achieving resilience.
  - Achieving resilience and the other adversity-driven considerations should be addressed holistically.
- **Risk Management Process**
  - Risk management should be planned to handle risks, issues, and opportunities identified by resilience activities.

## Resilience Requirements

Brtis and McEvilley (2019) investigated the content and structure needed to specify resilience requirements. Resilience requirements often take the form of a resilience scenario. There can be many such scenario threads in the Conops or OpsCon.

The following information is often part of a resilience requirement:

- operational concept name
- system or system portion of interest
- capability(s) of interest their metric(s) and units
- target value(s); i.e. the required amount of the capability(s)
- system modes of operation during the scenario; e.g. operational, training, exercise, maintenance, and update
- system states expected during the scenario
- adversity(s) being considered, their source, and type
- potential stresses on the system, their metrics, units, and values
- resilience related scenario constraints; e.g. cost, schedule, policies, and regulations
- timeframe and sub-timeframes of interest
- resilience metric, units, determination methods, and resilience metric target; example metrics: expected availability of required capability, maximum allowed degradation, maximum length of degradation, and total delivered capability. There may be multiple resilience targets; e.g. threshold, objective, and "as resilient as practicable"

Importantly, many of these parameters may vary over the timeframe of the scenario (see Figure 1). Also, a single resilience scenario may involve multiple adversities, which may be involved at multiple times throughout the scenario.

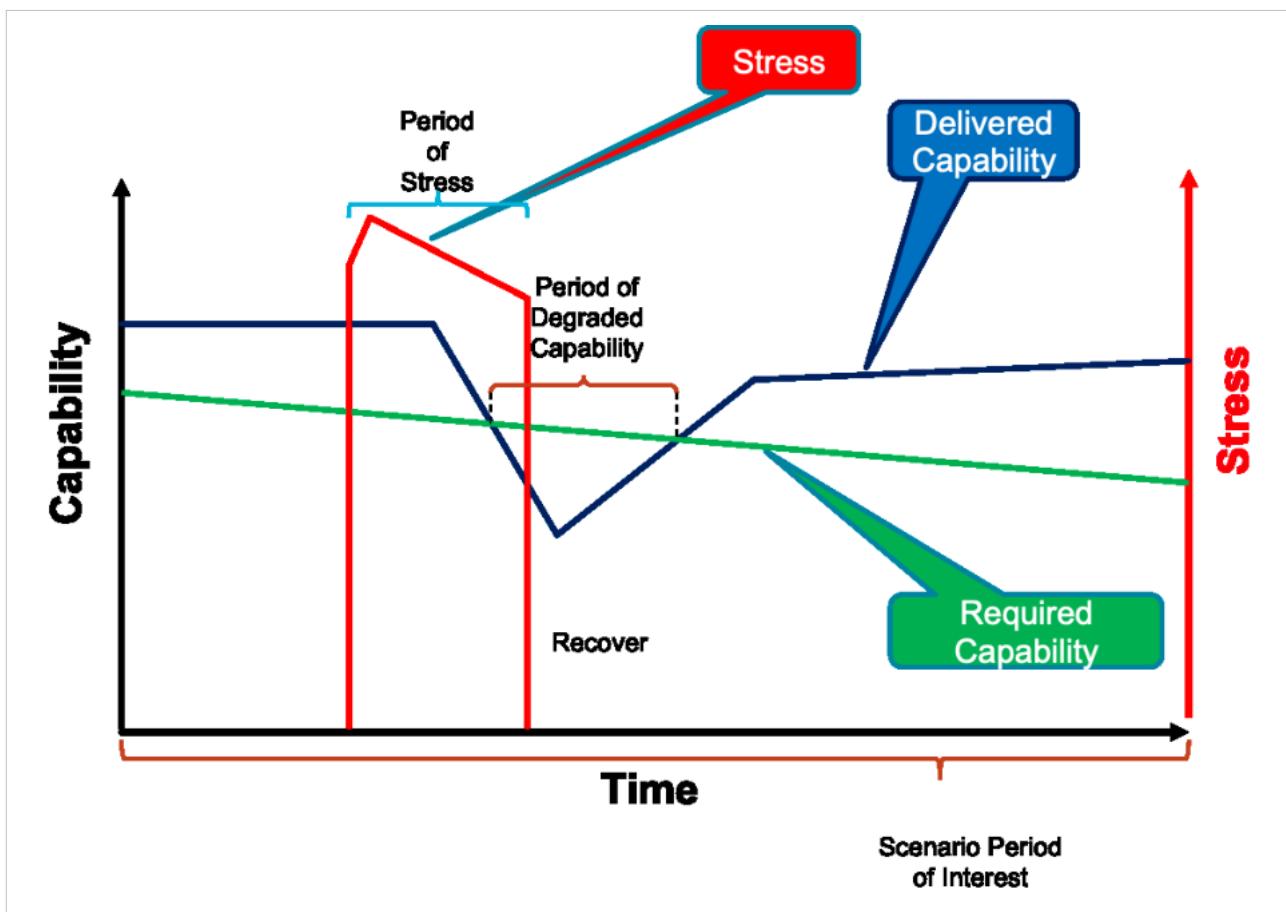


Figure 1. Time-Wise Values of Notional Resilience Scenarios Parameters. (Brtis et al. 2021, Used with Permission)

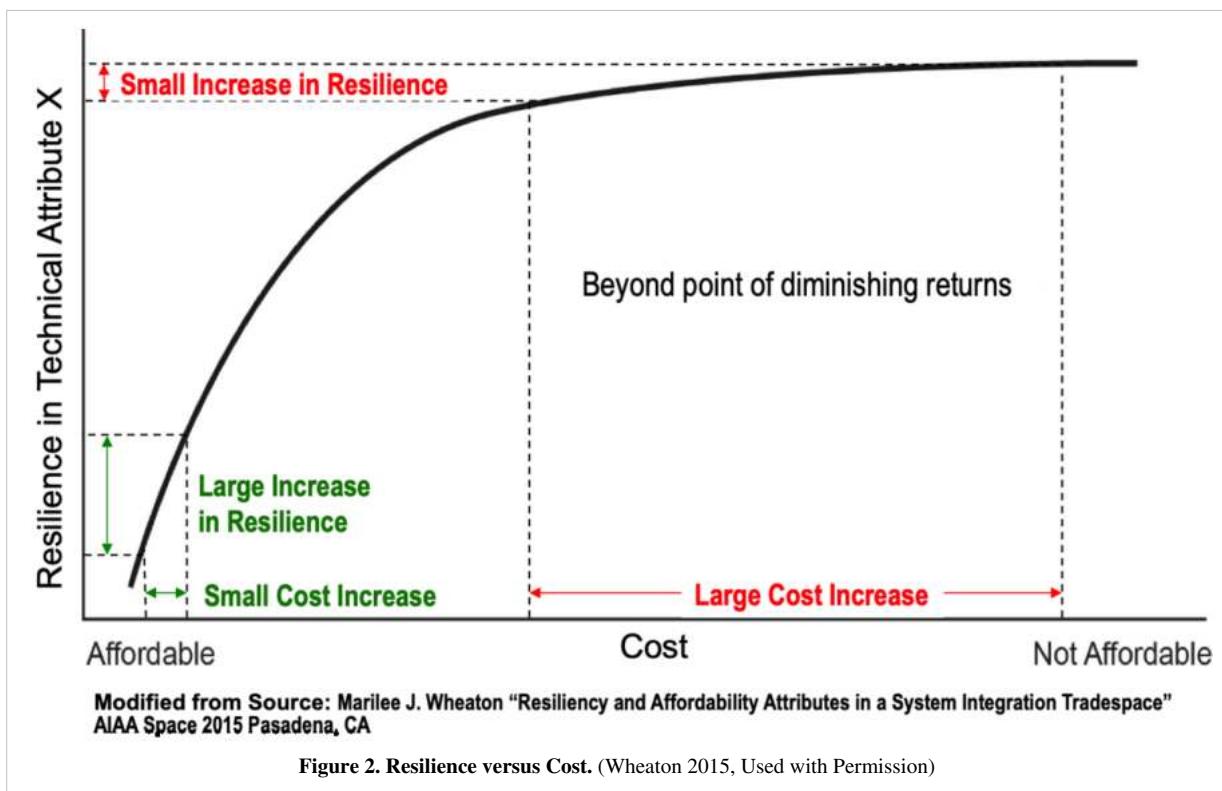
Representing the complexity of resilience requirements is not straight forward. Brtis, et al. (2021) studied this challenge and recommend patterns for resilience requirements. They recommend patterns in three forms to address the needs of different audiences: (1) natural language, (2) entity-relationship diagram (date structure), and (3) an extension to SysML. An example of a natural language pattern for representing a resilience requirement is:

The <system, mode(t), state(t)> encountering <adversity(t), source, type>, which imposes <stress(t), metric, units, value(t)> thus affecting delivery of <capability(t), metric, units> during <scenario timeframe, start time, end time, units> and under <scenario constraints>, shall achieve <resilience target(t) (include excluded effects)> for <resilience metric, units, determination method>

## Affordable Resilience

"Affordable Resilience" means to achieve an effective balance across Life Cycle Cost and Technical attributes of Resilience Engineering. This implies providing required capability when facing adversity in current and changing conditions as required to satisfy the needs of multiple stakeholders throughout a system's life cycle. Life cycle considerations for affordable resilience should address not only risks and issues associated with known and unknown adversities over time, but also opportunities for seeking gain in known and unknown future environments.

Technical attributes for affordable resilience include potential treatment of technical risks, reliability, robustness, flexibility, adaptability, tolerance, and integrity; as well as the ability to prepare for and avoid, withstand, and recover from adversity. This often requires balancing the time value of funding vs. the time value of resilience in order to achieve affordable resilience as shown in Figure 2.



Once the affordable levels of resilience are determined for each key technical attribute, the affordable levels across those attributes can be prioritized via standard techniques, such as Multi-attribute Utility Theory (MAUT) (Keeney and Raiffa 1993) and Analytical Hierarchy Process (AHP). (Saaty 2009)

The priority of affordable resilience attributes for systems is typically domain-dependent; for example:

- Public transportation systems may emphasize safety as well as meeting regulatory requirements and mitigating liability risks, with spending spread out in time to match current and future budgets
- Electronic funds transfer systems may emphasize cyber security, with whatever funding is required to meet regulatory requirements and liability risks
- Unmanned space exploration systems may emphasize survivability to withstand previously-unknown environments, usually with specified (and often limited) near-term funding constraints
- Electrical power grids may emphasize safety, reliability, and meeting regulatory requirements together with adaptability to change in the balance of power generation and storage technologies with shifts in power distribution and usage
- Medical capacity for disasters may emphasize rapid adaptability to major incidents, with affordable levels of planning, preparation, response, and recovery to meet public health demands. This emphasis must balance potential liability and concurrent accomplishment of key emergency medical practices, such as triage and "first do no harm".

## Discipline Relationships

Resilience has commonality and synergy with a number of other quality areas. Examples include availability, environmental impact, survivability, maintainability, reliability, operational risk management, safety, security and, quality. This group of quality areas is referred to as loss-driven systems engineering because they all focus on potential losses involved in the development and use of systems. These areas frequently share: the assets considered, losses considered, adversities considered, requirements, and architectural, design and process techniques. It is imperative that these areas work closely with one another and share information and decision-making in order to achieve a holistic approach. The concept of pursuing loss-driven systems engineering, its expected benefits, and the

means by which it can be pursued are addressed extensively in an edition of *INCOSE Insight* (2020).

## Discipline Standards

Two standards stand out for insight on resilience:

- ASISI (2009) is a standard pertaining to the resilience of organizational systems.
- NIST 800-160 (Ross, R. et al. 2018) considers the resilience of physical systems.

## Personnel Considerations

Humans are important components of systems for which resilience is desired. This aspect is reflected in the human in the loop technique identified by Jackson and Ferris (2013). Decisions made by the humans are at the discretion of the humans in real time. Apollo 11 described by Eyles (2009) is a good example.

## Metrics

Uday and Marais (2015) performed a survey of resilience metrics. Those identified include:

- Time duration of failure
- Time duration of recovery
- Ratio of performance recovery to performance loss
- A function of speed of recovery
- Performance before and after the disruption and recovery actions
- System importance measures

Jackson (2016) developed a metric to evaluate various systems in four domains: aviation, fire protection, rail, and power distribution, for the principles that were lacking in ten different case studies. The principles are from the set identified by Jackson and Ferris (2013) and are represented in the form of a histogram plotting principles against frequency of omission. The data in these gaps were taken from case studies in which the lack of principles was inferred from recommendations by domain experts in the various cases cited.

Brtis (2016) surveyed and evaluated a number of potential resilience metrics and identified the following:

- Maximum outage period
- Maximum brownout period
- Maximum outage depth
- Expected value of capability: the probability-weighted average of capability delivered
- Threat resiliency; i.e. the time integrated ratio of the capability provided divided by the minimum needed capability
- Expected availability of required capability; i.e. the likelihood that for a given adverse environment the required capability level will be available
- Resilience levels; i.e. the ability to provide required capability in a hierarchy of increasingly difficult adversity
- Cost to the opponent
- Cost-benefit to the opponent
- Resource resiliency; i.e. the degradation of capability that occurs as successive contributing assets are lost

Brtis found that multiple metrics may be required, depending on the situation. However, if one had to select a single most effective metric for reflecting the meaning of resilience, Brtis proposed that it would be "the expected availability of the required capability." Expected availability of the required capability is the probability-weighted sum of the availability summed across the scenarios under consideration. In its most basic form, this metric can be represented mathematically as:

where,

$R$  = Resilience of the required capability ( $Cr$ );

$n$  = the number of exhaustive and mutually exclusive adversity scenarios within a context ( $n$  can equal 1);

$P_i$  = the probability of adversity scenario  $i$ ;

$Cr(t)_i$  = time wise availability of the required capability during scenario  $i$ : 0 if below the required level, 1 if at or above the required value. Where circumstances dictate this may take on a more complex, non-binary function of time;

$T$  = length of the time of interest.

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# System Resistance to Electromagnetic Interference

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**Electromagnetic Interference (EMI)** is the disruption of operation of an electronic device when it is in the vicinity of an electromagnetic field in the radio frequency (RF) spectrum. Many electronic devices fail to work properly in the presence of strong RF fields. The disturbance may interrupt, obstruct, or otherwise degrade or limit the effective performance of the circuit. The source may be any object, artificial or natural, that carries rapidly changing electrical currents.

**Electromagnetic Compatibility (EMC)** is the ability of systems, equipment, and devices that utilize the electromagnetic spectrum to operate in their intended operational environments without suffering unacceptable degradation or causing unintentional degradation because of electromagnetic radiation or response. It involves the application of sound electromagnetic spectrum management; system, equipment, and device design configuration that ensures interference-free operation; and clear concepts and doctrines that maximize operational effectiveness (DAU 2010, Chapter 7).

## Overview

### Spectrum

Each nation has the right of sovereignty over the use of its spectrum and must recognize that other nations reserve the same right. It is essential that regional and global forums exist for the discussion and resolution of spectrum development and infringement issues between bordering and proximal countries that might otherwise be difficult to resolve.

The oldest, largest, and unquestionably the most important such forum, with 193 member countries, is the International Telecommunications Union (ITU) agency of the United Nations, which manages spectrum at a global level. As stated in Chapter 3 of the NTIA Manual, “The International Telecommunication Union (ITU)...is responsible for international frequency allocations, worldwide telecommunications standards and telecommunication development activities” (NTIA 2011, 3-2). The broad functions of the ITU are the regulation, coordination and development of international telecommunications.

The spectrum allocation process is conducted by many different international telecommunication geographical committees. Figure 1 shows the various international forums represented worldwide.



Assigning frequencies is very complicated, as shown in the radio spectrum allocation chart in Figure 2. Sometimes, commercial entities try to use frequencies that are actually assigned to US government agencies, such as the Department of Defense (DoD). One such incident occurred when an automatic garage door vendor installed doors on homes situated near a government installation. Random opening and closing of the doors created a problem for the vendor that could have been avoided.

Four ITU organizations affect spectrum management (Stine and Portigal 2004):

1. World Radio-communication Conference (WRC)
2. Radio Regulations Board (RRB)
3. Radio-communications Bureau (RB)
4. Radio-communication Study Groups (RSG)

The WRC meets every four years to review and modify current frequency allocations. The RB registers frequency assignments and maintains the master international register. The RRB approves the Rules of Procedures used by the BR to register frequency assignments and adjudicates interference conflicts among member nations. The SG analyzes spectrum usage in terrestrial and space applications and makes allocation recommendations to the WRC. Most member nations generally develop national frequency allocation policies that are consistent with the Radio Regulations (RR). These regulations have treaty status.

### Dual Management of Spectrum in the US

Whereas most countries have a single government agency to perform the spectrum management function, the US has a dual management scheme intended to insure that

- decisions concerning commercial interests are made only after considering their impact on government systems; and
- government usage supports commercial interests.

The details of this scheme, established by the Communications Act of 1934, are as follows:

- the Federal Communications Commission (FCC) is responsible for all non-government usage
- the FCC is directly responsible to Congress;
- the president is responsible for federal government usage, and by executive order, delegates the federal government spectrum management to the National \*Telecommunications and Information Administration (NTIA); and
- the NTIA is under the authority of the Secretary of Commerce.

The FCC regulates all non-federal government telecommunications under Title 47 of the Code of Federal Regulations. For example, see FCC (2009, 11299-11318). The FCC is directed by five Commissioners appointed by the president and confirmed by the Senate for five-year terms. The Commission staff is organized by function. The responsibilities of the six operating Bureaus include processing applications for licenses, analyzing complaints, conducting investigations, implementing regulatory programs, and conducting hearings (<http://www.fcc.gov>).

The NTIA performs spectrum management function through the Office of Spectrum Management (OSM), governed by the Manual of Regulations and Procedures for Federal Radio Frequency Management. The IRAC develops and executes policies, procedures, and technical criteria pertinent to the allocation, management, and usage of spectrum. The Spectrum Planning and Policy Advisory Committee (SPAC) reviews the reviews IRAC plans, balancing considerations of manufacturing, commerce, research, and academic interests.

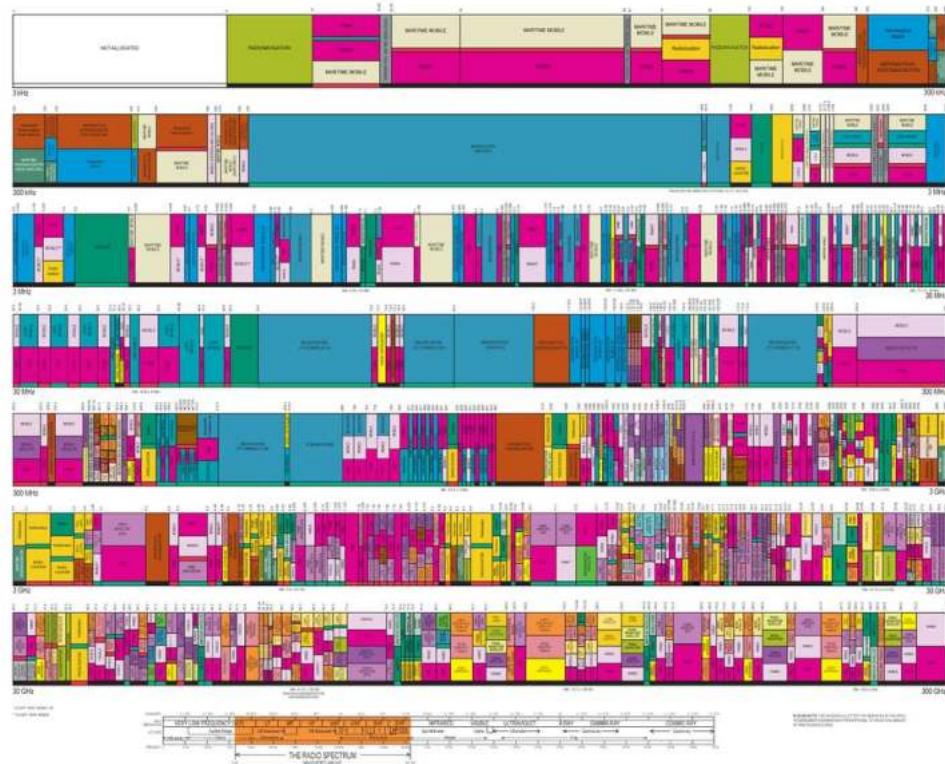
Within the DoD, spectrum planning and routine operation activities are cooperatively managed. Spectrum certification is a mandated process designed to ensure that

1. frequency band usage and type of service in a given band are in conformance with the appropriate national and international tables of frequency allocations;
2. equipment conforms to all applicable standards, specifications, and regulations; and
3. approval is provided for expenditures to develop equipment dependent upon wireless communications.

### Host Nation Coordination and Host Nation Approval

In peacetime, international spectrum governance requires military forces to obtain host nation permission — Host Nation Coordination (HNC)/Host Nation Approval (HNA) — to operate spectrum-dependent systems and equipment within a sovereign nation. For example, international governance is honored and enforced within the United States by the US departments of State, Defense, and the user service.

In wartime, international spectrum governance is not honored between warring countries; however, the sovereign spectrum rights of bordering countries must be respected by military forces executing their assigned missions. For example, HNA is solicited by US naval forces to use spectrum-dependent systems and equipment in bordering countries' airspace and/or on bordering countries' soil. HNA must be obtained before the operation of spectrum-dependent systems and equipment within a sovereign nation. The combatant commander is responsible for coordinating requests with sovereign nations within his or her area of responsibility. Because the combatant commander has no authority over a sovereign nation, the HNC/HNA process can be lengthy and needs to be started early in the development of a system. Figure 2 illustrates a spectrum example.



**Figure 2. The Radio Spectrum (Department of Commerce 2003).** Released by the U.S. Department of Commerce. Source is available at <http://www.ntia.doc.gov/files/ntia/publications/2003-allochrt.pdf> (Retrieved September 15, 2011)

# Practical Considerations

EMI/EMC is difficult to achieve for systems that operate world-wide because of the different frequencies in which products are designed to operate in each of the telecommunication areas. Billions of US dollars have been spent in retrofitting US DoD equipment to operate successfully in other countries.

It is important to note that the nuclear radiation environment is drastically more stressing than, and very different from, the space radiation environment.

## System Description

## Narrowband and Broadband Emissions

To help in analyzing conducted and radiated interference effects, EMI is categorized into two types—narrowband and broadband—which are defined as follows:

- **Narrowband Emissions**

A narrowband signal occupies a very small portion of the radio spectrum... Such signals are usually continuous sine waves (CW) and may be continuous or intermittent in occurrence... Spurious emissions, such as harmonic outputs of narrowband communication transmitters, power-line hum, local oscillators, signal generators, test equipment, and many other man made sources are narrowband emitters. (Bagad 2009, G-1)

- **Broadband Emissions**

*A broadband signal may spread its energy across hundreds of megahertz or more... This type of signal is composed of narrow pulses having relatively short rise and fall times. Broadband signals are further*

*divided into random and impulse sources. These may be transient, continuous or intermittent in occurrence. Examples include unintentional emissions from communication and radar transmitters, electric switch contacts, computers, thermostats, ignition systems, voltage regulators, pulse generators, and intermittent ground connections.* (Bagad 2009, G-1)

## TEMPEST

TEMPEST is a codename used to refer to the field of emission security. The National Security Agency (NSA) investigations conducted to study compromising emission (CE) were codenamed TEMPEST. National Security Telecommunications Information Systems Security Issuance (NSTISSI)-7000 states:

*Electronic and electromechanical information-processing equipment can produce unintentional intelligence-bearing emanations, commonly known as TEMPEST. If intercepted and analyzed, these emanations may disclose information transmitted, received, handled, or otherwise processed by the equipment.* (NSTISSI 1993, 3)

These compromising emanations consist of electrical, mechanical, or acoustical energy intentionally or unintentionally emitted by sources within equipment or systems which process national security information. Electronic communications equipment needs to be secured from potential eavesdroppers while allowing security agencies to intercept and interpret similar signals from other sources. The ranges at which these signals can be intercepted depends upon the functional design of the information processing equipment, its installation, and prevailing environmental conditions.

Electronic devices and systems can be designed, by means of Radiation Hardening techniques, to resist damage or malfunction caused by ionizing and other forms of radiation (Van Lint and Holmes Siedle 2000). Electronics in systems can be exposed to ionizing radiation in the Van Allen radiation belts around the Earth's atmosphere, cosmic radiation in outer space, gamma or neutron radiation near nuclear reactors, and electromagnetic pulses (EMP) during nuclear events.

A single charged particle can affect thousands of electrons, causing electronic noise that subsequently produces inaccurate signals. These errors could affect safe and effective operation of satellites, spacecraft, and nuclear devices. Lattice displacement is permanent damage to the arrangement of atoms in element crystals within electronic devices. Lattice displacement is caused by neutrons, protons, alpha particles, and heavy ions. Ionization effects are temporary damages that create latch-up glitches in high power transistors and soft errors like bit flips in digital devices. Ionization effects are caused by charged particles.

Most radiation-hardened components are based on the functionality of their commercial equivalents. Design features and manufacturing variations are incorporated to reduce the components' susceptibility to interference from radiation. Physical design techniques include insulating substrates, package shielding, chip shielding with depleted boron, and magneto-resistive RAM. Logical design techniques include error-correcting memory, error detection in processing paths, and redundant elements at both circuit and subsystem levels (Dawes 1991). Nuclear hardness is expressed as susceptibility or vulnerability for given environmental conditions. These environmental conditions include peak radiation levels, overpressure, dose rates, and total dosage.

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None.

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# System Safety

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In the most general sense, safety is freedom from harm. As an engineering discipline, system safety is concerned with minimizing hazards that can result in a mishap with an expected severity and with a predicted probability. These events can occur in elements of life-critical systems as well as other system elements. MIL-STD-882E defines system safety as "the application of engineering and management principles, criteria, and techniques to achieve acceptable risk, within the constraints of operational effectiveness and suitability, time, and cost, throughout all phases of the system life cycle" (DoD 2012). MIL-STD-882E defines standard practices and methods to apply as engineering tools in the practice of system safety. These tools are applied to both hardware and software elements of the system in question.

## Overview

System safety engineering focuses on identifying hazards, their causal factors, and predicting the resultant severity and probability. The ultimate goal of the process is to reduce or eliminate the severity and probability of the identified hazards, and to minimize risk and severity where the hazards cannot be eliminated. MIL STD 882E defines a hazard as "a real or potential condition that could lead to an unplanned event or series of events (i.e., mishap) resulting in death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment." (DoD 2012).

While systems safety engineering attempts to minimize safety issues throughout the planning and design of systems, mishaps do occur from combinations of unlikely hazards with minimal probabilities. As a result, safety engineering is often performed in reaction to adverse events after deployment. For example, many improvements in aircraft safety come about as a result of recommendations by the U.S. National Air Traffic Safety Board based on accident investigations. Risk is defined as "a combination of the severity of the mishap and the probability that the mishap will occur" (DoD 2012). Failure to identify risks to safety and the according inability to address or "control" these risks can result in massive costs, both human and economic (Roland and Moriarty 1990)."

## Personnel Considerations

System Safety Specialists are typically responsible for ensuring system safety. Chapter 11 of Air Force Instruction (AFI) 191-202 (USAF 2020) is a lengthy exposition of the responsibilities of system safety specialists. AFI 191-202 defines system safety as "the application of engineering and management principles, criteria and techniques to achieve acceptable risk within the constraints of operational effectiveness and suitability, time and cost throughout all phases of the system life cycle." The AFI identifies eight activities to achieve systems safety:

1. Documenting the system safety approach
2. Hazard identification and analysis over the system life cycle
3. Assessment of risk, expressed as severity and probability of consequences
4. Identification and assessment of potential risk mitigation measures
5. Implementation of measures to reduce risks to acceptable levels
6. Verification of risk reduction
7. Acceptance of risks by appropriate authorities
8. Tracking of hazards and risks throughout the system life cycle

Although these activities are documented in an Air Force Instruction, they are actually quite generic and applicable to almost any system safety process.

Safety personnel are responsible for the integration of system safety requirements, principles, procedures, and processes into the program and into lower system design levels to ensure a safe and effective interface. Two common mechanisms are the Safety Working Group (SWG) and the Management Safety Review Board (MSRB). The SWG enables safety personnel from all integrated product teams (IPTs) to evaluate, coordinate, and implement a safety approach that is integrated at the system level in accordance with MIL-STD-882E (DoD 2012). Increasingly, safety reviews are being recognized as an important risk management tool. The MSRB provides program level oversight and resolves safety related program issues across all IPTs.

Table 1 provides additional information on safety.

**Table 1. Safety Ontology. (SEBoK Original)**

Ontology Element Name	Ontology Element Attributes	Relationships to Safety
Failure modes	Manner of failure	Required attribute
Severity	Consequences of failure	Required attribute
Criticality	Impact of failure	Required attribute
Hazard Identification	Identification of potential failure modes	Required to determine failure modes
Risk	Probability of a failure occurring	Required attribute
Mitigation	Measure to take corrective action	Necessary to determine criticality and severity

Table 1 indicates that achieving system safety involves a close tie between Safety Engineering and other specialty Systems Engineering disciplines such as System Reliability, Availability, and Maintainability.

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**SEBoK v. 2.7, released 31 October 2022**

# System Security

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**Lead Author:** Dick Fairley, **Contributing Authors:** Alice Squires, Keith Willett

Security engineering is concerned with building systems that remain secure despite malice or error. It focuses on the tools, processes, and methods needed to design and implement complete systems that proactively and reactively mitigate vulnerabilities. Security engineering is a primary discipline used to achieve system assurance.

The term System Security Engineering (SSE) is used to denote this specialty engineering field and the US Department of Defense define it as: "*an element of system engineering that applies scientific and engineering principles to identify security vulnerabilities and minimize or contain risks associated with these vulnerabilities*" (DODI5200.44, 12).

## Overview

Security engineering incorporates a number of cross-disciplinary skills, including cryptography, computer security, tamper-resistant hardware, applied psychology, supply chain management, and law. Security requirements differ greatly from one system to the next. System security often has many layers built on user authentication, transaction accountability, message secrecy, and fault tolerance. The challenges are protecting the right items rather than the wrong items and protecting the right items but not in the wrong way.

Security engineering is an area of increasing emphasis in the defense domain. Baldwin et al. (2012) provide a survey of the issues and a detailed reference list.

The purpose of system security is to help assure system value-delivery while undergoing adversity. The primary objective of System Security Engineering (SSE) is to minimize or contain defense system vulnerabilities to known or postulated security threats and to ensure that developed systems protect against these threats. Engineering principles and practices are applied during all system development phases to identify and reduce these system vulnerabilities to the identified system threats.

The basic premise of SSE is recognition that an initial investment in "engineering out" security vulnerabilities and "designing-in" countermeasures is a long-term benefit and cost saving measure. Further, SSE provides a means to ensure adequate consideration of security requirements, and, when appropriate, that specific security-related designs are incorporated into the overall system design during the engineering development program. Security requirements include: physical; personnel; procedural; emission; transmission; cryptographic; communications; operations; and, computer security.

There may be some variation in the SSE process from program to program, due mainly to the level of design assurance—that is, ensuring that appropriate security controls have been implemented correctly as planned—required of the contractor. These assurance requirements are elicited early in the program (where they can be adequately planned), implemented, and verified in due course of the system development.

The System Security Engineering Management Plan (SSEMP) is a key document to develop for SSE. The SSEMP identifies the planned security tasks for the program and the organizations and individuals responsible for security aspects of the system. The goals of the SSEMP are to ensure that pertinent security issues are raised at the appropriate points in the program, to ensure adequate precautions are taken during design, implementation, test, and fielding, and to ensure that only an acceptable level of risk is incurred when the system is released for fielding. The SSEMP forms the basis for an agreement with SSE representing the developer, the government program office, the certifier, the accreditor, and any additional organizations that have a stake in the security of the system. The SSEMP identifies the major tasks for certification & accreditation (C&A), document preparation, system evaluation, and engineering; identifies the responsible organizations for each task; and presents a schedule for the completion of those tasks.

SSE security planning and risk management planning includes task and event planning associated with establishing statements of work and detailed work plans as well as preparation and negotiation of SSE plans with project stakeholders. For each program, SSE provides the System Security Plan (SSP) or equivalent. An initial system security Concept of Operations (CONOPS) may also be developed. The SSP provides: the initial planning of the proposed SSE work scope; detailed descriptions of SSE activities performed throughout the system development life cycle; the operating conditions of the system; the security requirements; the initial SSE risk assessment (includes risks due to known system vulnerabilities and their potential impacts due to compromise and/or data loss); and, the expected verification approach and validation results.

These plans are submitted with the proposal and updated as required during engineering development. In the case where a formal C&A is contracted and implemented, these plans comply with the government's C&A process, certification responsibilities, and other agreement details, as appropriate. The C&A process is the documented agreement between the customer and contractor on the certification boundary. Upon agreement of the stakeholders, these plans guide SSE activities throughout the system development life cycle.

## System Assurance

NATO AEP-67 (Edition 1), Engineering for System Assurance in NATO Programs, defines system assurance as:

...the justified confidence that the system functions as intended and is free of exploitable vulnerabilities, either intentionally or unintentionally designed or inserted as part of the system at any time during the life cycle... This confidence is achieved by system assurance activities, which include a planned, systematic set of multi-disciplinary activities to achieve the acceptable measures of system assurance and manage the risk of exploitable vulnerabilities. (NATO 2010, 1)

The NATO document is organized based on the life cycle processes in ISO/IEC 15288:2008 and provides process and technology guidance to improve system assurance.

One may consider a system with respect to what it is (structure), what it does (function), what it contains (contents), what it uses, (inputs, resources), or where it resides (environment). The focus of security (that which we safeguard) may be structure, state, function, functional exchange (input, output), raw materials (access, supply), fuel/energy to run the system, containing whole (system of systems), or the broader current order (ecosystem). System security focus includes but is not limited to harden, defend, protect, maximize use of renewable resources, minimize use of depletable resources, remain compatible with the current order, and remain viable and relevant.

## Software Assurance

Since most modern systems derive a good portion of their functionality from software, software assurance becomes a primary consideration in systems assurance. The Committee on National Security Systems (CNSS) (2010, 69) defines software assurance as a “level of confidence that software is free from vulnerabilities, either intentionally designed into the software or accidentally inserted at anytime during its life cycle and that the software functions in the intended manner.”

Goertzel, et. al (2008, 8) point out that “the reason software assurance matters is that so many business activities and critical functions—from national defense to banking to healthcare to telecommunications to aviation to control of hazardous materials—depend on the on the correct, predictable operation of software.”

## Hardware Assurance

System hardware assurance is a set of system security engineering activities undertaken to quantify and increase the confidence that electronics function as intended and only as intended throughout their life cycle and to manage identified risks. See System Hardware Assurance for more information.

## System Description

Robust security design explicitly rather than implicitly defines the protection goals. The Certified Information Systems Security Professional (CISSP) Common Body of Knowledge (CBK) partitions robust security into ten domains (Tipton 2006):

1. Information security governance and risk management addresses the framework, principles, policies, and standards that establish the criteria and then assess the effectiveness of information protection. Security risk management contains governance issues, organizational behavior, ethics, and security awareness training.
2. Access control is the procedures and mechanisms that enable system administrators to allow or restrict operation and content of a system. Access control policies determine what processes, resources, and operations users can invoke.
3. Cryptography can be defined as the principles and methods of disguising information to ensure its integrity, confidentiality, and authenticity during communications and while in storage. Type I devices are certified by the US National Security Agency (NSA) for classified information processing. Type 2 devices are certified by NSA for proprietary information processing. Type 3 devices are certified by NSA for general information processing. Type 4 devices are produced by industry or other nations without any formal certification.
4. Physical (environmental) security addresses the actual environment configuration, security procedures, countermeasures, and recovery strategies to protect the equipment and its location. These measures include separate processing facilities, restricted access into those facilities, and sweeps to detect eavesdropping devices.
5. Security architecture and design contains the concepts, processes, principles, and standards used to define, design, and implement secure applications, operating systems, networks, and equipment. The security architecture must integrate various levels of confidentiality, integrity, and availability to ensure effective operations and adherence to governance.
6. Business continuity and disaster recovery planning are the preparations and practices which ensure business survival given events, natural or man-made, which cause a major disruption in normal business operations. Processes and specific action plans must be selected to prudently protect business processes and to ensure timely restoration.
7. Telecommunications and network security are the transmission methods and security measures used to provide integrity, availability, and confidentiality of data during transfer over private and public communication networks.
8. Application development security involves the controls applied to application software in a centralized or distributed environment. Application software includes tools, operating systems, data warehouses, and knowledge systems.

9. Operations security is focused on providing system availability for end users while protecting data processing resources both in centralized data processing centers and in distributed client/server environments.
10. Legal, regulations, investigations, and compliance issues include the investigative measures to determine if an incident has occurred and the processes for responding to such incidents.

One response to the complexity and diversity of security needs and domains that contribute to system security is “defense in depth,” a commonly applied architecture and design approach. Defense in depth implements multiple layers of defense and countermeasures, making maximum use of certified equipment in each layer to facilitate system accreditation.

## Discipline Management

Discipline management includes the following fundamental security principles (Willett 2008) with informal descriptions. There are many formal definitions that take on different nuances depending on context; e.g., government-based, international standards, or particular legislation.

Principle	Description (Positive)	Description (Negative)
Confidentiality	Ensure only authorized disclosure	Safeguard against unauthorized disclosure
Integrity	Ensure only authorized modification	Safeguard against unauthorized modification
Availability	Ensure ready for use	Safeguard against denial of service
Possession	Ensure physical possession	Safeguard against loss or theft; minimize damage resulting from loss or theft
Utility	Ensure <i>fit for purpose</i> , or <i>ready for use</i>	Safeguard against loss of purpose
Authenticity	Ensure system conforms to reality or acts upon information that conforms to reality	Safeguard against deception
Privacy	Ensure the right to be unobserved and the right to be forgotten	Safeguard against unwanted observation and persistence of personal details (e.g., photos)
Non-Repudiation	Ensure non-deniability	Safeguard against anonymity in performing actions
Authorized Use	Ensure only authorized use of services	Safeguard against misuse of cost-incurring (resource expending) activity

## Security Domains

There are many security domains, each of which may have distinct or overlapping disciplines. Some security domains for consideration:

- Orchestration Space guides workflow execution
- Workflow Space fulfills the organizational mission
- Organizational Efficacy is the capacity to fulfill mission
- Safeguards preserve organizational efficacy
- Desired Security Posture is an intentionally assumed position to define applicable safeguards
- Risk Posture is an intentionally assumed position to drive desired security posture
- Mission Risk Tolerance helps define risk posture
- Tolerance for workflow disruption drives mission risk tolerance
- Marketplace Dynamics (ecosystem dynamics) drive mission priorities
- Mission Priorities are non-static and influence mission risk tolerance
- Vulnerability Space contains weaknesses within orchestration and workflow
- Vulnerabilities influence risk posture
- Threat Space contains potential disruptions to workflow

- Compliance Space partially address the threat space
- Compliance drivers influence risk posture
- Continuous Monitoring provides snapshots of current security posture
- Gap Analysis provides difference between desired and current security posture
- Corrective Action provides gap closure within resource constraints
- Resource Constraints: people (skills, knowledge), budget, technology, etc.

A change in any one domain has cascading effects on the other domains. In this sense, they have causal loop or dynamic feedbacks resulting in infinite cycles. An emerging goal is to identify, understand, and act upon domain states and interactions within cyber-relevant time (Herring and Willett 2014).

### Web-based Resource

A good online resource for system and software assurance is the US Department of Homeland Security's Build Security In<sup>[1]</sup> web site (DHS 2010), which provides resources for best practices, knowledge, and tools for engineering secure systems.

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## Videos

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## References

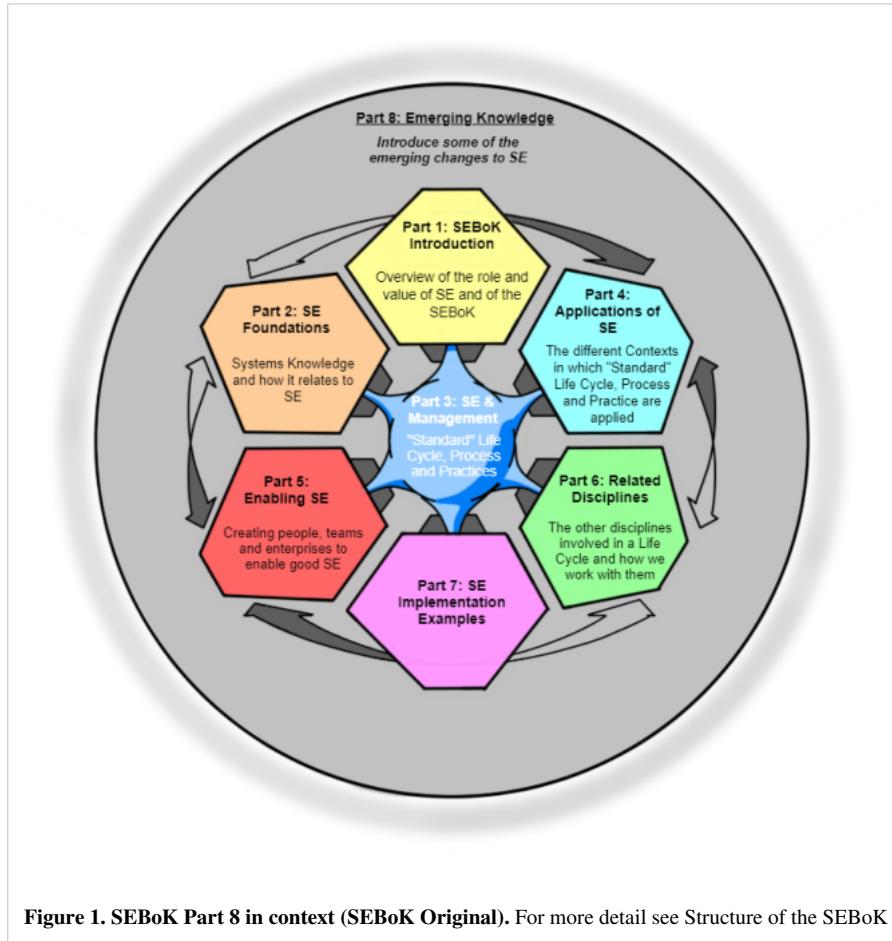
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# Part 8: Emerging Knowledge

## Emerging Knowledge

**Lead Authors:** Robert Cloutier, Daniel DeLaurentis, Ha Phuong Le

Like other portions of the SEBoK, the notion and content of Part 8 is evolving. Part 8 consists of two Knowledge Areas (KAs): Emerging Topics and Emerging Research.



## Scope and Purpose

While the practice and need for systems engineering began appearing in journals from 1950 onward, the practice currently seems to be gaining momentum in most engineering and even non-engineering circles.

The classically trained systems engineers of the 1970s and even 1980s are faced with a C note shift in thinking brought on by the rapid advance of the software centricity of our systems, cybersecurity, agent-based, object-oriented, and model-based practices. These emerging practices bring their own methods and tools. Hall (1962, p. 5) may have been prescient when he wrote “It is hard to say whether increasing complexity is the cause or the effect of man's effort to cope with his expanding environment. In either case a central feature of the trend has been the development of large and very complex systems which tie together modern society. These systems include abstract or non-physical systems, such as government and the economic system.”

These changes and the rate of change are causing systems engineering to evolve. Some of the practices may not even be recognizable to classically trained systems engineers. This Part of the SEBoK is intended to introduce some of the more significant emerging changes to systems engineering. As topics discussed in this Part evolve and become mainstream, they will be moved into the appropriate Part of the SEBoK.

System of Systems Engineering (SoSE) provides examples in recent times of an emerging topic from Systems Engineering community that generated emerging research, ultimately resulting in a foundational body of knowledge that continues to expand. A recent article describing this evolution from emerging topic to solution is now referenced in Part 4 - Systems of Systems (SoS).

## Overview of Emerging Topics

*See further: Emerging Topics*

The Emerging Topics section is meant to inform the reader on the more significant and emerging changes to the practice of systems engineering. Examples of these emerging topics include:

- What is the potential to change systems engineering processes or the ways in which we perform systems engineering?
- How will the development of artificial intelligence impact systems engineering?
  - Will AI change the way we think of systems architecture?
  - How will we perform V&V of an AI system?
- How will the push towards vertically integrated digital engineering influence systems engineering?
- How are social features becoming more tightly connected to technical features of systems, and how is the modeling of socio-technical systems infusing into practice?

## Overview of Emerging Research

*See further: Emerging Research*

As these emerging topics gain visibility, researchers will begin to investigate them. Corporate R&D may do early work, but academia and government will formalize this research. The Emerging Research section is a place to gather the references to this disparate work into a single repository to better inform systems engineers working on related topics. The references are collected from the following sources:

- PhD dissertations
- INCOSE publications and events
- IEEE publications and events
- Research funded by National Science Foundation (NSF) – Engineering Design and Systems Engineering (EDSE)
- Research funded by Systems Engineering Research Center (SERC)

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None.

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# Emerging Topics

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## Emerging Topics

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**Lead Author:** Robert Cloutier

The Emerging Topics section is intended to introduce and inform the reader on significant and rapidly emerging needs and trends in practicing systems engineering within the community. It is not intended to be all-inclusive. Instead, those topics that have a high probability of significantly impacting the practice of systems engineering, as determined by the SEBoK editorial board, are covered. If the reader has recommendations of emerging topics that should be covered, please send an email to [SEBoK@incose.org](mailto:SEBoK@incose.org), or leave a comment in the comment feature at the bottom of this page.

### Introduction to Systems Engineering Transformation

The knowledge covered in this KA reflects the transformation and continued evolution of SE, which are formed by the current and future challenges (see Systems Engineering: Historic and Future Challenges). This notion of SE transformation and the other areas of knowledge which it includes are discussed briefly below.

The INCOSE Systems Engineering Vision 2035 (INCOSE 2021) describes the global context for SE, the current state of SE practice and the possible future state of SE. It describes a number of ways in which SE continues to evolve to meet modern system challenges. These are summarized briefly below.

Systems engineering has evolved from a combination of practices used in a number of related industries (particularly aerospace and defense). These have been used as the basis for a standardized approach to the life cycle of any complex system (see Systems Engineering and Management). Hence, SE practices are largely based on heuristics, with efforts under-way to evolve a theoretical foundation for systems engineering (see Foundations of Systems Engineering) considering foundational knowledge from a variety of sources.

Systems engineering continues to evolve in response to a long history of increasing system **complexity**. Such complexity arises from human and societal needs, global megatrends, grand engineering challenges, and then are shaped by stakeholders expectations, and the enterprise environment. System solutions require both depth and breadth, and the design of those solutions must consider both technical and social aspects (see Socio-technical Systems).

Many systems engineering practices have become standard (e.g. studies, risk analysis) while some other are in transitioning phase (e.g. Model-Based Systems Engineering, agile, systems-of-systems). More recently, the rise of Artificial Intelligence (AI) introduces unprecedented challenges in verification and validation of AI-infused systems, but also opens up new opportunities to implement AI methodologies in the design of systems.

Systems engineering has gained recognition across industries, academia and governments. However, SE practice varies across industries, organizations, and system types. Cross fertilization of systems engineering practices across industries has begun slowly but surely; however, the global need for systems capabilities has outpaced the progress in systems engineering.

INCOSE Vision 2035 concludes that SE is poised to play a major role in some of the global challenges of the 21st century, that it has already begun to change to meet these challenges and that it needs to undergo a more significant **transformation** to fully meet these challenges. The following bullet points are taken from the summary section of Vision 2035 and define the attributes of a transformed SE discipline in the future:

- The future of systems engineering is model-based, enabled by enterprise digital transformation.

- Systems engineering practices will make significant advancements to deal with systems complexity and enable enterprise agility.
- Systems engineering will leverage practices from other disciplines such as data science to help manage the growth in data.
- Formal systems engineering theoretical foundations will be codified leading to new research and development in the next generation of systems engineering methods and tools.
- AI will both impact the systems engineering practice and the types of systems designed by the systems engineering community.
- There will be a step change in systems engineering education starting with early education with a heavy focus on lifelong learning.

Some of these future directions of SE are covered in the SEBoK. Others need to be introduced and fully integrated into the SE knowledge areas as they evolve. This KA will be used to provide an overview of these transforming aspects of SE as they emerge. This transformational knowledge will be integrated into all aspects of the SEBoK as it matures.

## Topics in Part 8

- Transitioning Systems Engineering to a Model-based Discipline
- Model-Based Systems Engineering Adoption Trends 2009-2018
- Digital Engineering
- Set-Based Design
- Socio-technical Systems
- Systems Engineering and Artificial Intelligence

## References

### Works Cited

None.

### Primary References

None.

### Additional References

None.

# Introduction to SE Transformation

While the primary focus of the SEBoK is on the current practice of domain independent systems engineering, it is also concerned with the future evolution of the discipline.

The topics in this Knowledge Area (KA) summarize SE knowledge which is emerging and transitioning to become part of the practice of systems engineering, such as Model-Based Systems Engineering (MBSE). In general, topics will be introduced here and then expanded into other SEBoK KA's over time.

The knowledge covered in this KA reflects the transformation and continued evolution of SE. For a summary of the current and future challenges that contribute to this evolution, see *Systems Engineering: Historic and Future Challenges*. This notion of SE transformation and the other areas of knowledge which it includes are discussed briefly below.

## Topics

Each part of the SEBoK is divided into Knowledge Areas (KAs), which are groupings of information with a related theme. The KAs, in turn, are divided into topics. This KA contains the following topics:

- Transitioning Systems Engineering to a Model-based Discipline
- Digital Engineering
- Set-Based Design
- Model-Based Systems Engineering Adoption Trends 2009-2018
- Systems Engineering Core Concepts

## Systems Engineering Transformation

The INCOSE Systems Engineering Vision 2025 (INCOSE 2014) describes the global context for SE, the current state of SE practice and the possible future state of SE. It describes a number of ways in which SE continues to evolve to meet modern system challenges. These are summarized briefly below.

Systems engineering has evolved from a combination of practices used in a number of related industries (particularly aerospace and defense). These have been used as the basis for a standardized approach to the life cycle of any complex system (see *Systems Engineering and Management*). Hence, SE practices are still largely based on heuristics. Efforts are under-way to evolve a theoretical foundation for systems engineering (see *Foundations of Systems Engineering*) considering foundational knowledge from a variety of sources.

Systems engineering continues to evolve in response to a long history of increasing system complexity. Much of this evolution is in the models and tools focused on specific aspects of SE, such as understanding stakeholder needs, representing system architectures or modeling specific system properties. The integration across disciplines, phases of development, and projects continues to represent a key systems engineering challenge.

Systems engineering is gaining recognition across industries, academia and governments. However, SE practice varies across industries, organizations, and system types. Cross fertilization of systems engineering practices across industries has begun slowly but surely; however, the global need for systems capabilities has outpaced the progress in systems engineering.

INCOSE Vision 2025 concludes that SE is poised to play a major role in some of the global challenges of the 21st century, that it has already begun to change to meet these challenges and that it needs to undergo a more significant **transformation** to fully meet these challenges. The following bullet points are taken from the summary section of Vision 2025 and define the attributes of a transformed SE discipline in the future:

- Relevant to a broad range of application domains, well beyond its traditional roots in aerospace and defense, to meeting society's growing quest for sustainable system solutions to providing fundamental needs, in the globally

competitive environment.

- Applied more widely to assessments of socio-physical systems in support of policy decisions and other forms of remediation.
- Comprehensively integrating multiple market, social and environmental stakeholder demands against “end-to-end” life-cycle considerations and long-term risks.
- A key integrating role to support collaboration that spans diverse organizational and regional boundaries, and a broad range of disciplines.
- Supported by a more encompassing foundation of theory and sophisticated model-based methods and tools allowing a better understanding of increasingly complex systems and decisions in the face of uncertainty.
- Enhanced by an educational infrastructure that stresses systems thinking and systems analysis at all learning phases.
- Practiced by a growing cadre of professionals who possess not only technical acumen in their domain of application, but who also have mastery of the next generation of tools and methods necessary for the systems and integration challenges of the times.

Some of these future directions of SE are covered in the SEBoK. Others need to be introduced and fully integrated into the SE knowledge areas as they evolve. This KA will be used to provide an overview of these transforming aspects of SE as they emerge. This transformational knowledge will be integrated into all aspects of the SEBoK as it matures.

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### Primary References

None.

### Additional References

None.

### Relevant Videos

- Leading the Transformation of Model-Based Engineering <sup>[1]</sup>

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## References

[1] <https://www.youtube.com/watch?v=VRnNun2EH-o>

# Socio-technical Systems

**Lead Author:** Erika Palmer

Though there are a few specific definitions, there are many ways in which the term “socio-technical system” is used depending on the specific engineering/scientific domain. There are also different approaches for considering socio-technical systems depending on the life cycle stage and the specific systems engineering challenge.

## The Concept and Theory

The concept of a socio-technical system describes the interrelationship between humans and machines, and the motivation behind developing research on socio-technical systems was to cope with theoretical and practical work environment problems in industry (Ropohl, 1999).

Socio-technical systems theory has been developing over the past 60 years predominately focusing on new technology and work design (Davis et al., 2014). This theory has developed into socio-technical systems thinking, and research has concentrated in several key areas:

- Human factors and ergonomics (Carayon, 2006)
- Organizational design (Cherns, 1976)
- System design (Clegg, 2000; van Eijnatten, 1998)
- Information systems (Mumford, 2006)

## A Design Approach

As a design approach —socio-technical systems design (STSD)—socio-technical systems bring human, social, organizational and technical elements in the design of organizational systems (Baxter and Sommerville, 2011). While Baxter and Sommerville (2011) refer to computer-based systems in their definition of socio-technical systems thinking as a design approach, the generic term “technical system” is also applicable: “The underlying premise of socio-technical systems thinking is that system design should be a process that takes into account both social and technical factors that influence the functionality and usage of computer-based systems” (p.4).

## Systems Engineering Context

In a systems engineering context, it has been argued that all systems are socio-technical systems (Palmer, et al., 2019). However, socio-technical systems in a systems engineering context is not well defined though the topic has gained traction in recent years (Donaldson, 2017; Broniatowski, 2018). There are examples in systems engineering literature, where the term socio-technical systems is used to refer to a system where social and technical elements are relevant. These include studies of agent-based modeling of socio-technical systems (Heydari and Pennock, 2018), insurance systems as socio-critical systems (Yasui, 2011) and interdisciplinary systems engineering approaches to influence enterprise systems (Pennock and Rouse, 2016; Wang et al., 2018).

Based on the work that the systems engineering community has produced thus far, the working definition of the term socio-technical systems in a systems engineering context is simply:

*Socio-technical systems: Systems operating at the intersection of social and technical systems* (Kroes et al., 2006).

## Modeling Sociotechnical Systems

There is no “state of the practice” for how to model sociotechnical systems. There are, however, a few examples in systems engineering literature of how systems engineers could analyze these types of systems. Outside systems engineering/engineering literature, there is an ever-increasing number of examples of social system models. The modeling techniques found in these examples can be adapted to evaluate sociotechnical systems in a systems engineering context. Many of these are system dynamics models, and there is a journal dedicated to social system analysis, called the Journal for Artificial Societies and Social Simulation (JASS), which focuses on agent-based modeling.

### 1) Qualitative Modeling

- Insurance systems as socio-critical systems (Yasui, 2011)

Yasui (2011) provides a new methodology to accommodate stakeholder goals in social system failures. This new methodology is a “soft” systems approach that brings together the Holon concept by Checkland and Scholes (1990) and the Vee Model.

### 2) Agent-Based Modeling of Sociotechnical Systems in Systems Engineering

- Agent-based modeling of sociotechnical systems (Heydari and Pennock, 2018)

Heydari and Pennock (2018) illustrate how to support the design and governance of sociotechnical systems with agent-based modeling (ABM). Critically, they outline the difference between how ABM is used in physical, natural and social applications versus sociotechnical applications.

- Interdisciplinary systems engineering approaches to influence enterprise systems (Pennock and Rouse, 2016)

Pennock and Rouse (2016) not only provide how to define an enterprise as a system, but they also illustrate this with several ABM examples. They also highlight that when modeling sociotechnical systems versus traditional engineering systems, it is important to focused less on “control” and more on “influence.”

### 3) Economic modeling

- Social System Modeling Challenges (Wang et al., 2018)

In their book, Social Systems Engineering, Wang et al. (2018) provide an overview of not only modeling and its challenges in evaluating social systems, but they also give insight into how social system modeling is approached in economics.

### 4) System Dynamics Modeling of Social Systems for Adaptation in an SE Sociotechnical Context

- Social policy (Palmer, 2017)

Palmer (2017) provides an overview of social systems in a systems engineering context, and uses system dynamics modeling of pension and sick leave policy systems to illustrate how to use systems engineering methods for social policy.

- Social Systems Engineering (García-Díaz and Olaya, 2018)

García-Díaz and Olaya (2018) give not only a thorough overview in their book (called Social Systems Engineering) of social systems and various qualitative and quantitative modeling types, but they also highlight participatory system dynamics modeling (stakeholder-led system design).

- Health care (Homer and Hirsch, 2006)

As there is increasing attention in the systems engineering community towards health care technology, Homer and Hirsch’s (2006) paper on system dynamics modeling of public health gives a basis for how to model social systems in this domain. For example, chronic disease prevention, disease outcomes, health and risk behaviors, environmental factors, and health-related resources and delivery systems.

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**SEBoK v. 2.7, released 31 October 2022**

# Artificial Intelligence

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**Lead Authors:** Barclay Brown, Tom McDermott, Rael Kopace, Ramakrishnan Raman, Ali Raz, and Kevin Robinson

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This article provides an overview and definitions of artificial intelligence and machine learning and their importance to and relationships with systems engineering.

## Introduction

Artificial Intelligence (AI) is perhaps best defined as the ability of a system to exhibit behavior, which if exhibited by a human being, would be considered intelligent. It's the ability of a machine to process and learn from data, to recognize and understand patterns, to solve problems, and make decisions autonomously. The term "Artificial Intelligence" dates to the early 1950s where it was first introduced to mimic human-level intelligence capabilities in software and hardware systems—a goal which still is far from reachable in the near future despite the rapid technological advancement in the AI field . It is important for systems engineers to note that "AI" does not designate a specific technology—intelligent behavior can be implemented in a system in a number of ways, including conventional software or hardware logic. Modern systems that use AI fall into two major categories: systems where the decision-making logic is explicitly pre-programmed, and systems where the decision-making capability is learned from data. This latter category, known as Machine Learning (ML), is the predominant category for the modern paradigm shift in capabilities enabled by AI.

## Machine Learning Foundations of AI

ML builds its foundation from statistics and computer science disciplines, accelerated by the advances in computational power and memory offered by modern hardware systems (i.e., CPUs and GPUs). The ever-increasing number of ML algorithms available today can be classified into three major categories of Supervised, Unsupervised, and Reinforcement learning.

- Supervised Learning is where labelled input-output datasets are available and ML algorithms learn the mapping between input-output pairs presented in the datasets (for example, learning from clearly labelled pictures of cars and tanks)
- Unsupervised Learning is where the labels in data sets are not available and the ML algorithms learn the grouping or clustering of input and outputs (for example, identifying common customer attributes, classifying spam email, or detecting fraudulent transactions)
- Reinforcement Learning is where an AI agent trains itself to make decisions to effect a positive change in the environment based on a defined reward function (e.g., training a robot to avoid obstacles by penalizing crashes)

The implementation approaches for all ML types require large datasets and can be based on statistical models or neural networks including Deep Neural Networks (DNNs). Irrespective of the implementation approaches and the

type of ML, the workflow for deploying an ML-based AI solution remains largely common and is shown in Figure 1 (details on each of these steps can be found in the Digital Transformation book by Thomas Siebel).

### Figure 1 A typical ML Workflow

Understanding the subtleties of statistical models and neural networks for ML implementation along with the related workflow will become imperative for systems engineers as they begin to incorporate ML solutions in systems and perform systems engineering activities for AI systems.

## Systems Engineers and AI

Given the holistic nature of the systems engineering discipline, it is practical to think about AI and its role in the larger context of digital transformation, which can be defined as the confluence of big data, cloud computing, AI and Internet of Things (IoT). Digital transformation is enabling organizations to evolve their business and operational models. As such most organizations are collecting vast amounts of data pertaining to their business, operations, systems, customers, and personnel. Big data has created the conditions that necessitate the application of AI solutions supported by the technological advancements in computational power and memory to aid in the analysis of big data and the automation of labor intensive and time-consuming processes.

The ability to collaborate and communicate with data scientists, AI engineers, cloud computing specialists, application developers, and other experts is becoming a necessity for many systems engineers. Systems engineers must become sufficiently knowledgeable and familiar with as many elements of the digital transformation ecosystem as possible to best serve the needs of the organization and its mission in order to identify the areas of business or the systems that would most benefit from the application of AI. Understanding the benefits as well as the potential pitfalls of an AI development initiatives is also important. To that end, systems engineers must be able to identify the right requirements and architectures, expertise, partnering organizations, technology stack, development platforms, and other relatable elements. The roles and responsibilities of systems engineers versus data scientists, data engineers, application developers, and AI engineers must be differentiated. The market is filled with an ever-growing number of AI platforms and it is virtually impossible for a non-data scientist to be able to master each of them. Moreover, the advances in the AI domain happen at such a rapid pace that nowadays many companies may choose to avoid investing in their own internal data science teams to develop AI solutions. Instead, they can purchase or license models that are ready for implementation from companies that have solved similar problems before. Additionally, there exist unified platforms that aim to standardize workflows and come equipped with the appropriate technology stack to collect, label, and feed data into supervised learning models or alternatively assist with the development of models.

As a result, rather than mirroring the roles and responsibilities of data scientists and other AI domain professionals, it is beneficial for most systems engineering professionals to develop an understanding at various degrees of depth of the relevant technologies that support and are used to create AI applications including but not limited to the following:

- Data integration
- Relational and non-relational databases
- Cloud storage
- Enterprise architecture infrastructure and APIs
- ML learning frameworks
- Batch and online processing
- Executable environments
- Commonly used programming languages
- UI and data visualization tools

## Systems Engineering and AI: SE4AI and AI4SE

At an early 2019 Future of Systems Engineering (FuSE) workshop hosted by the International Council on Systems Engineering (INCOSE), the terms AI for SE and SE for AI were first used to describe the dual transformation envisioned for both the SE and AI disciplines. The “AI4SE” and “SE4AI” labels have quickly become symbols for an upcoming rapid evolutionary phase in the SE community. SE’s Digital Engineering transformation will enable both transformation of SE practices using AI for SE and drive the need for new systems engineering practices that support a new wave of automated, adaptive, and learning systems, termed SE for AI. AI4SE applies AI and ML techniques to improve human-driven engineering practices. This goal of “augmented intelligence” includes outcomes such as achieving scale in model construction and efficiency in designing space exploration systems. SE4AI applies SE methods to the design and operation of intelligent systems, with outcomes such as improved safety, security, ethics, etc.

Systems engineers have long sought to evolve engineered systems to include human-like intelligence, thinking, and autonomous decision-making. In many cases, the inclusion of intelligent capabilities means increasing non-determinism in the system’s behavior, exponentially increasing complexity in the design, verification, and validation of such systems. The initial approaches of inculcating intelligence predominantly involved human-in-the-loop for capturing knowledge from experts, codifying it in some form that is machine understandable (for instance, a “knowledge database”), and enabling the system to interpret the codified knowledge so as to make the required optimal decisions and exhibit the desired intelligent behavior. These initial approaches involved human-in-the loop for the entire gamut of activities from capturing the knowledge and codifying the knowledge to enabling (programming) the system to leverage the knowledge.

More recent contemporary approaches represent the next evolution of inculcating intelligence in systems, wherein the human gathers the required data and programs the system such that the system can learn/build the knowledge from the data provided by the human. Learning from data requires significant computing resources (processing power and memory) but recent advances have expanded the availability of large amounts of both source data and matching computing resources to enable intensive processing and learning from data. Recent ML algorithms are the result of this evolution. The system learns during the design and development phases and is expected to demonstrate limited forms of adaptive behavior.

In both approaches, a human is in the loop to validate the intelligence gained by the system, and to make a conscious decision to deploy the intelligence in the system. The next evolution is expected to be predominantly based on a system learning from the other systems it interacts with (machine-to-machine learning) and building its intelligence from the interactions and from the ecosystem (cloud). Evolution in that direction is as seen by some of the recent progress made in reinforcement learning models and algorithms. The system learns by trial-and-error and once it meets performance expectations, can apply its behavior on a larger scale.

The augmented intelligence scenarios described above will need an underlying and synergistic foundation of both SE4AI and AI4SE which are briefly described in the following subsections.

### SE4AI: Addressing Practical Implementation Challenges for AI

The increasing application of AI in systems presents challenges for both the systems engineering community and the AI community. Their common goal is to ensure that the future users of the system can be certain that the behavior and performance of that system is what is needed. That is, the AI system’s behavior is verified through a set of activities that check its compliance against system requirements and validate it for fitness to meet user needs. The need for verification and validation presents a challenge for the engineering of AI systems as the failure modes observed in AI systems are different and may not be adequately addressed by traditional Systems Engineering life-cycle approaches. From a systems engineering lifecycle perspective, appropriate tailoring of conventional processes is needed to “engineer” a system that is intelligent—a system that learns during development and is designed for adaptive behavior. New approaches are required for developing requirements, evaluating when these

intelligent systems are ready for operations, and for ensuring their adaptive behavior is safe and produces the desired outcomes. The data required for enabling a system to acquire the desired intelligence poses several challenges from being biased (inculcating a biased intelligence reflected in the system's behavior) to not being representative of the various use case scenarios envisaged for the system. The system's intelligence is only as good as the data that was used to train it. There are many considerations pertaining to the broader challenge of engineering safe and effective human interaction with intelligent systems. These include (a) leveraging cognitive strengths of humans and AI, (b) gaining trust, (c) explainable intelligence (d) identifying and understanding bias, and (e) dealing with uncertainty.

Broadly there are three key challenges for the systems engineering of intelligent systems:

1. **New failure modes not previously experienced in the engineering of systems.** The AI community recognizes that there are five main failure modes that cause the AI systems to not behave safely and as expected. These new failure modes include negative side effects, reward hacking, scalable oversight, unsafe exploration, and distributional shift .
2. **The unpredictability of performance due to non-deterministic and evolving behavior.** ML systems initially learn from predetermined data and through the activity of validation, system engineers check the compliance of the system performance against its intended purpose, captured in a Systems Specification. The challenge with AI, and specifically ML, is predicting the performance and behaviour of the AI algorithm on unseen data in future operations. ML systems exhibit non-deterministic performance, with the performance of some systems evolving as the system learns (changes performance) during operations. This presents challenges in validating system compliance before the system enters operations.
3. **Lack of trust and robustness in future systems performance.** System validation is based on a basic four step approach: obtaining results from a validation test, comparing the measured results to expect results, deducing the degree of compliance, and deciding on the acceptability of this compliance. A key aspect in deciding the acceptability of compliance is expert judgement. Expert judgement requires an understanding of the result as compared to the relevance of the context of use, and therefore the results need to be explainable. Explainable behaviour of AI Systems is problematic, and therefore determining a level of trust and robustness in future systems performance is challenging.

## AI4SE: Leveraging AI to Advance State-of-the-Art in Systems Engineering

The next evolution of SE practices is expected to be predominantly driven by AI technologies assisting systems engineers in the engineering development lifecycle activities. AI4SE addresses how AI can enhance the systems engineering lifecycle for engineered systems, across the various lifecycle phases including concept development, requirements, architecture design, implementation, integration, verification, validation, and deployment. Enhancing and assisting systems engineering processes, methods, and tools, with tangible impacts on the quality of the engineered system as well as on the cycle time for the various life cycle activities, would be some of the primary focus areas of AI4SE. For instance, AI technologies can be leveraged to advise system architects on the various architecture and design decisions options based on intelligence built from collective prior experience of decisions made in earlier systems. A second example is leveraging AI technologies to assist in arriving at various corner test cases during verification. Historical systems engineering life cycle data would be the predominant drivers for the use of AI for such applications. A third example would pertain to the simulation aspects, where digital and synthetic environments (e.g., digital twins) are leveraged to understand various lifecycle operation scenarios and providing better insights to systems engineers on understanding the implications of architecture design decisions on the engineered systems. However, some forms of distinction are being envisaged in the community between AI4SE as against automation, digitization and digital linking of various SE life cycle artifacts and work products. While automation and digitization activities may be enhanced by AI, these activities may still be dominated by conventional software, with outcomes focused on significant reduction in life cycle time and efficiency on managing scale.

## Landscape of AI Applications in Industry and Systems

Over the last few decades, ML-based solutions have become ubiquitous in technical and social systems and have enabled new business opportunities and even new business models. The rapid commercialization of AI is bringing profound changes to all markets. Capabilities are advancing and it is becoming easier to develop and implement AI solutions given the growing number of AI tools and platforms. Organizations in every industry segment are increasingly realizing that AI is key to market leadership and that they all have processes that are suited for AI. Early adopters of AI have noticed significant tangible benefits and given the lower barriers of entry that exist nowadays, others are making significant investments to accelerate their AI adoption.

AI is being integrated into the fabric of business and systems and AI solutions are being deployed to solve a wide spectrum of use cases at every layer of the enterprise. The following table provides examples of AI applications across the different fields and sectors.

Domain	General examples of AI usage
Sales	Price optimization, forecasting, performance management, dynamic recommendations (think Amazon, Netflix making product and movie recommendations)  [Ref: <a href="https://hbr.org/2018/07/how-ai-is-changing-sales">https://hbr.org/2018/07/how-ai-is-changing-sales</a> ]
Security	Breach risk prediction, incident response, early identification and classification of cyber threats  [Ref: <a href="https://www.ibm.com/case-studies/cargills-bank-ltd">https://www.ibm.com/case-studies/cargills-bank-ltd</a> ]
Anti-fraud	Identification of fraudulent behavior and transactions  [Ref: <a href="https://www.fico.com/blogs/5-keys-using-ai-and-machine-learning-fraud-detection">https://www.fico.com/blogs/5-keys-using-ai-and-machine-learning-fraud-detection</a> ]
HR	Candidate assessment, screening time reduction, skills to jobs alignment  [Ref: <a href="https://www.forbes.com/sites/jeannemeister/2019/01/08/ten-hr-trends-in-the-age-of-artificial-intelligence/?sh=426c0c7d3219">https://www.forbes.com/sites/jeannemeister/2019/01/08/ten-hr-trends-in-the-age-of-artificial-intelligence/?sh=426c0c7d3219</a> ]
Marketing	Programmatic advertising for target audiences, behavior analysis, interactive marketing through chatbots  [Ref: <a href="https://www.forbes.com/sites/forbesagencycouncil/2019/08/21/how-artificial-intelligence-is-transforming-digital-marketing/?sh=46ae38e021e1">https://www.forbes.com/sites/forbesagencycouncil/2019/08/21/how-artificial-intelligence-is-transforming-digital-marketing/?sh=46ae38e021e1</a> ] ]
Personal Assistant	Control smart home objects, interact with the web and provide answers to questions, manage calendar
Smart tools	Smart thermostats, doorbells, home security system, baby monitor, real time language translation  [Ref: <a href="https://www.pcmag.com/news/the-best-smart-home-devices-for-2020">https://www.pcmag.com/news/the-best-smart-home-devices-for-2020</a> ]
Finance	Automated financial trading and trade validation to protect from obvious errors and irrational price swings, identification and management of risk based on user history, classification of loan and credit applications  [Ref: <a href="https://builtin.com/artificial-intelligence/ai-finance-banking-applications-companies">https://builtin.com/artificial-intelligence/ai-finance-banking-applications-companies</a> ]
Healthcare	Assisted diagnostic medical imaging, management and accuracy check of electronic medical records, disease risk prevention, personalized health management  [Ref: <a href="https://www2.deloitte.com/cn/en/pages/technology-media-and-telecommunications/articles/global-ai-development-white-paper.html">https://www2.deloitte.com/cn/en/pages/technology-media-and-telecommunications/articles/global-ai-development-white-paper.html</a> ]
Education	Virtual adaptive teaching and learning, curriculum personalization, virtual tutor  [Ref: <a href="https://medium.com/towards-artificial-intelligence/artificial-intelligence-in-education-benefits-challenges-and-use-cases-db52d8921f7a">https://medium.com/towards-artificial-intelligence/artificial-intelligence-in-education-benefits-challenges-and-use-cases-db52d8921f7a</a> ]
Autonomous Driving	Real time sensor data processing, dynamic path planning, auto health monitoring, route optimization, real time traffic monitoring  [Ref: <a href="https://www.embedded.com/the-role-of-artificial-intelligence-in-autonomous-vehicles/">https://www.embedded.com/the-role-of-artificial-intelligence-in-autonomous-vehicles/</a> ]
Retail	Smart inventory, demand forecasting, smart logistics, unmanned store, automated customer service inquiries through chatbots  [Ref: ]
Manufacturing	Quality and safety checks, improving yield and performance, failure mode prediction, predictive maintenance, adaptive design, energy saving, production forecasting  [Ref: <a href="https://www2.deloitte.com/cn/en/pages/technology-media-and-telecommunications/articles/global-ai-development-white-paper.html">https://www2.deloitte.com/cn/en/pages/technology-media-and-telecommunications/articles/global-ai-development-white-paper.html</a> ]

Media	Personalized media content, content discovery, real time fact checking, identifying false content [Ref: <a href="https://neoteric.eu/blog/10-use-cases-of-ai-in-manufacturing/">https://neoteric.eu/blog/10-use-cases-of-ai-in-manufacturing/</a> ]
Government and Legal	Non-compliant behavior and tax evasion, policy checks, citizen assistance chatbots, emergency and disaster resource identification and monitoring, automated due diligence on background information, legal analytics, content generation [Ref: <a href="https://emerj.com/ai-sector-overviews/ai-in-law-legal-practice-current-applications/">https://emerj.com/ai-sector-overviews/ai-in-law-legal-practice-current-applications/</a> ]
Agriculture	Pest monitoring, crop return prediction, optimizing yield, monitoring and managing closed environment, weather forecasting [Ref: <a href="https://www.intel.com/content/www/us/en/big-data/article/agriculture-harvests-big-data.html">https://www.intel.com/content/www/us/en/big-data/article/agriculture-harvests-big-data.html</a> ]
Logistics	Predictive supply chain network management, demand and capacity planning, route optimization, [Ref: <a href="https://dhl.com/content/dam/dhl/global/core/documents/pdf/glo-core-trend-report-artificial-intelligence.pdf">dhl.com/content/dam/dhl/global/core/documents/pdf/glo-core-trend-report-artificial-intelligence.pdf</a> ]
Oil and Gas	Oil seep detection with robots, precision drilling, temperature and pressure monitoring, predictive maintenance [Ref: <a href="https://www.sparkcognition.com/top-4-ai-applications-oil-gas-industry/">https://www.sparkcognition.com/top-4-ai-applications-oil-gas-industry/</a> ]

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None.

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**SEBoK v. 2.7, released 31 October 2022**

# Verification and Validation of Systems in Which AI is a Key Element

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**Lead Author:** Laura Pullum

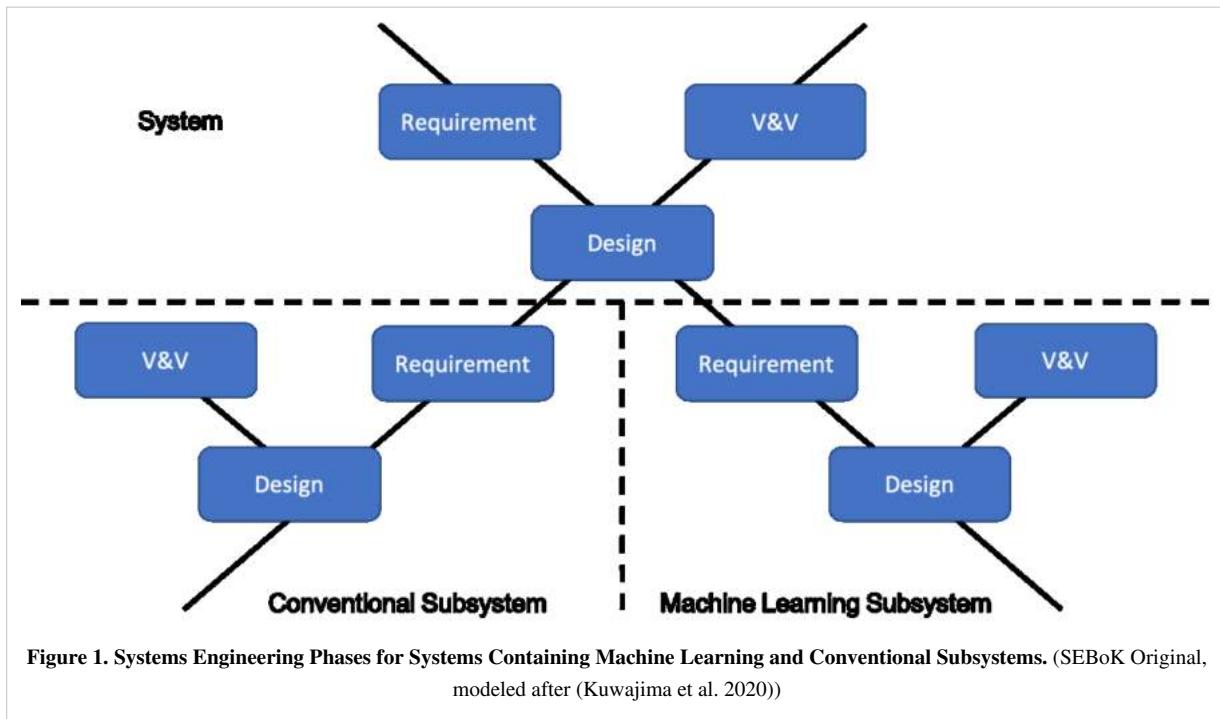
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Many systems are being considered in which artificial intelligence (AI) will be a key element. Failure of an AI element can lead to system failure (Dreossi et al 2017), hence the need for AI verification and validation (V&V). The element(s) containing AI capabilities is treated as a subsystem and V&V is conducted on that subsystem and its interfaces with other elements of the system under study, just as V&V would be conducted on other subsystems. That is, the high-level definitions of V&V do not change for systems containing one or more AI elements.

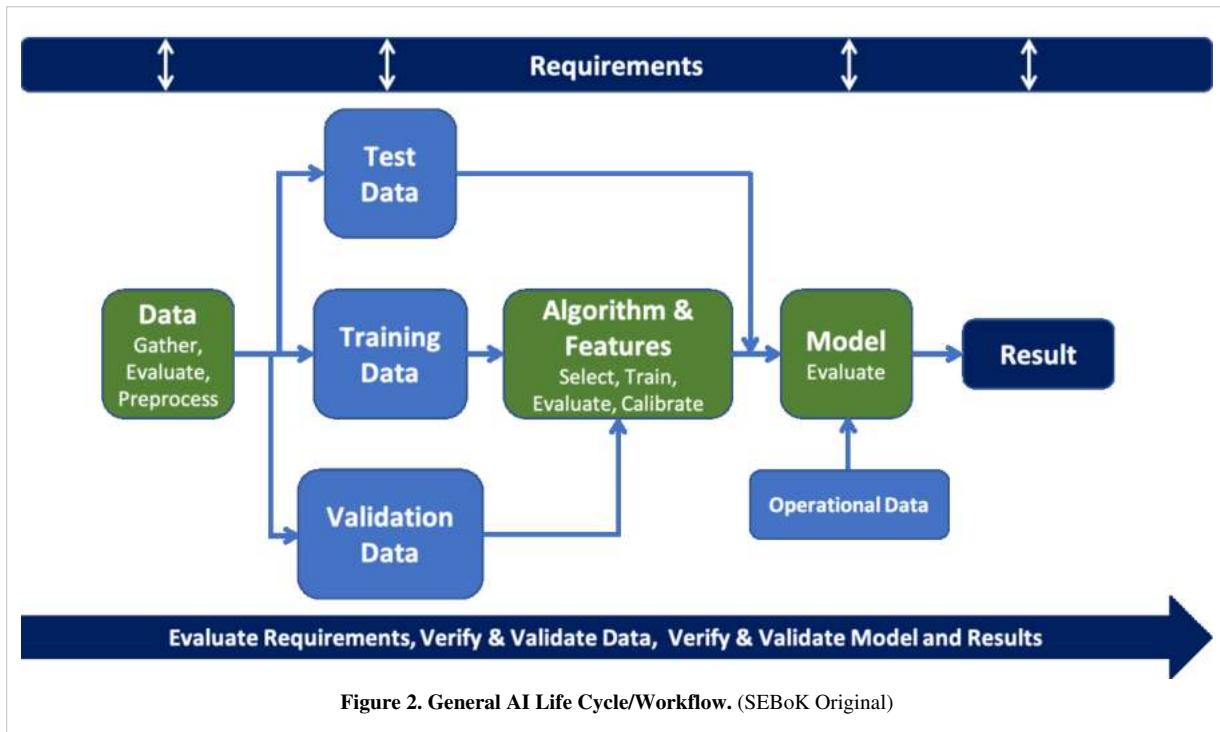
However, AI V&V challenges require approaches and solutions beyond those for conventional or traditional (those without AI elements) systems. This article provides an overview of how machine learning components/subsystems “fit” in the systems engineering framework, identifies characteristics of AI subsystems that create challenges in their V&V, illuminates those challenges, and provides some potential solutions while noting open or continuing areas of research in the V&V of AI subsystems.

## Overview of V&V for AI-based Systems

Conventional systems are engineered via 3 overarching phases, namely, requirements, design and V&V. These phases are applied to each subsystem and to the system under study. As shown in Figure 1, this is the case even if the subsystem is based on AI techniques.



AI-based systems follow a different lifecycle than do traditional systems. As shown in the general machine learning life cycle illustrated in Figure 2, V&V activities occur throughout the life cycle. In addition to requirements allocated to the AI subsystem (as is the case for conventional subsystems), there also may be requirements for data that flow up to the system from the AI subsystem.



## Characteristics of AI Leading to V&V Challenges

Though some aspects of V&V for conventional systems can be used without modification, there are important characteristics of AI subsystems that lead to challenges in their verification and validation. In a survey of engineers, Ishikawa and Yoshioka (2019) identify attributes of machine learning that make the engineering of same difficult. According to the engineers surveyed, the top attributes with a summary of the engineers' comments are:

- *Lack of an oracle*: It is difficult or impossible to clearly define the correctness criteria for system outputs or the right outputs for each individual input.
- *Imperfection*: It is intrinsically impossible for an AI system to be 100% accurate.
- *Uncertain behavior for untested data*: There is high uncertainty about how the system will behave in response to untested input data, as evidenced by radical changes in behavior given slight changes in input (e.g., adversarial examples).
- *High dependency of behavior on training data*: System behavior is highly dependent on the training data.

These attributes are characteristic of AI itself and can be generalized as follows:

- Erosion of determinism
- Unpredictability and unexplainability of individual outputs (Sculley et al., 2014)
- Unanticipated, emergent behavior, and unintended consequences of algorithms
- Complex decision making of the algorithms
- Difficulty of maintaining consistency and weakness against slight changes in inputs (Goodfellow et al., 2015)

## V&V Challenges of AI Systems

### Requirements

Challenges with respect to AI requirements and AI requirements engineering are extensive and due in part to the practice by some to treat the AI element as a “black box” (Gunning 2016). Formal specification has been attempted and has shown to be difficult for those hard-to-formalize tasks and requires decisions on the use of quantitative or Boolean specifications and the use of data and formal requirements. The challenge here is to design effective methods to specify both desired and undesired properties of systems that use AI- or ML-based components (Seshia 2020).

A taxonomy of AI requirements engineering challenges, outlined by Belani and colleagues (2019), is shown in Table 1.

**Table 1: Requirements engineering for AI (RE4AI) taxonomy, mapping challenges to AI-related entities and requirements engineering activities (after (Belani et al., 2019))**

RE4AI		AI Related Entities		
RE Activities	Data	Model	System	
<b>Elicitation</b>	- Availability of large datasets	- Lack of domain knowledge	- How to define problem /scope	
	- Requirements analyst upgrade	- Undeclared consumers		- Regulation (e.g., ethics) not clear
<b>Analysis</b>	- Imbalanced datasets, silos	- No trivial workflows	- No integration of end results	
	- Role: data scientist needed	- Automation tools needed		- Role: business analyst upgrade
<b>Specification</b>	- Data labelling is costly, needed	- No end-to-end pipeline support	- Avoid design anti- patterns	
	- Role: data engineer needed	- Minimum viable model useful		- Cognitive / system architect needed
<b>Validation</b>	- Training data critical analysis	- Entanglement, CACE problem	- Debugging, interpretability	
	- Data dependencies	- High scalability issues for ML		- Hidden feedback loops

<b>Management</b>	- Experiment management - No GORE-like method polished	- Difficult to log and reproduce - DevOps role for AI needed	- IT resource limitations, costs - Measuring performance
<b>Documentation</b>	- Data & model visualization - Role: research scientist useful	- Datasets and model versions - Education and training of staff	- Feedback from end-users - Development method
<b>All of the Above</b>	- Data privacy and data safety - Data dependencies		

CACE: change anything, change everything

GORE: goal-oriented requirements engineering

## Data

Data is the life-blood of AI capabilities given that it is used to train and evaluate AI models and produce their capabilities. Data quality attributes of importance to AI include accuracy, currency and timeliness, correctness, consistency, in addition to usability, security and privacy, accessibility, accountability, scalability, lack of bias and others. As noted above, the correctness of unsupervised methods is embedded in the training data and the environment.

There is a question of coverage of the operational space by the training data. If the data does not adequately cover the operational space, the behavior of the AI component is questionable. However, there are no strong guarantees on when a data set is ‘large enough’. In addition, ‘large’ is not sufficient. The data must sufficiently cover the operational space.

Another challenge with data is that of adversarial inputs. Szegedy et al. (2014) discovered that several ML models are vulnerable to adversarial examples. This has been shown many times on image classification software, however, adversarial attacks can be made against other AI tasks (e.g., natural language processing) and against techniques other than neural networks (typically used in image classification) such as reinforcement learning (e.g., reward hacking) models.

## Model

Numerous V&V challenges arise in the model space, some of which are provided below.

- *Modeling the environment:* Unknown variables, determining the correct fidelity to model, modeling human behavior. The challenge problem is providing a systematic method of environment modeling that allows one to provide provable guarantees on the system’s behavior even when there is considerable uncertainty about the environment. (Seshia 2020)
- *Modeling learning systems:* Very high dimensional input space, very high dimensional parameter or state space, online adaptation/evolution, modeling context (Seshia 2020).
- *Design and verification of models and data:* data generation, quantitative verification, compositional reasoning, and compositional specification (Seshia 2020). The challenge is to develop techniques for compositional reasoning that do not rely on having complete compositional specifications (Seshia 2017).
- *Optimization strategy must balance between over- and under-specification.* One approach, instead of using distance (between predicted and actual results) measures, uses the cost of an erroneous result (e.g., an incorrect classification) as a criterion (Faria, 2018) (Varshney, 2017).
- *Online learning:* requires monitoring; need to ensure its exploration does not result in unsafe states.
- *Formal methods:* intractable state space explosion from complexity of the software and the system’s interaction with its environment, an issue with formal specifications.
- *Bias* in algorithms from underrepresented or incomplete training data OR reliance on flawed information that reflects historical inequities. A biased algorithm may lead to decisions with collective disparate impact. Trade-off between fairness and accuracy in the mitigation of an algorithm’s bias.

- *Test coverage*: effective metrics for test coverage of AI components is an active area of research with several candidate metrics, but currently no clear best practice.

## Properties

Assurance of several AI system properties is necessary to enable trust in the system, e.g., the system's trustworthiness. This is a separate though necessary aspect of system dependability for AI systems. Some important properties are listed below and though extensive, are not comprehensive.

- *Accountability*: refers to the need of an AI system to be answerable for its decisions, actions and performance to users and others with whom the AI system interacts
- *Controllability*: refers to the ability of a human or other external agent to intervene in the AI system's functioning
- *Explainability*: refers to the property of an AI system to express important factors influencing the AI system results or to provide details/reasons behind its functioning so that humans can understand
- *Interpretability*: refers to the degree to which a human can understand the cause of a decision (Miller 2017)
- *Reliability*: refers to the property of consistent intended behavior and results
- *Resilience*: refers to the ability of a system to recover operations quickly following an incident
- *Robustness*: refers to the ability of a system to maintain its level of performance when errors occur during execution and to maintain that level of performance given erroneous inputs and parameters
- *Safety*: refers to the freedom from unacceptable risk
- *Transparency*: refers to the need to describe, inspect and reproduce the mechanisms through which AI systems make decisions, communicating this to relevant stakeholders.

## V&V Approaches and Standards

### V&V Approaches

Prior to the proliferation of deep learning, research on V&V of neural networks touched on adaptation of available standards, such as the then-current IEEE Std 1012 (Software Verification and Validation) processes (Pullum et al. 2007), areas need to be augmented to enable V&V (Taylor 2006), and examples of V&V for high-assurance systems with neural networks (Schumann et al., 2010). While these books provide techniques and lessons learned, many of which remain relevant, additional challenges due to deep learning remain unsolved.

One of the challenges is data validation. It is vital that the data upon which AI depends undergo V&V. Data quality attributes that are important for AI systems include accuracy, currency and timeliness, correctness, consistency, usability, security and privacy, accessibility, accountability, scalability, lack of bias, and coverage of the state space. Data validation steps can include file validation, import validation, domain validation, transformation validation, aggregation rule and business validation (Gao et al. 2011).

There are several approaches to V&V of AI components, including formal methods (e.g., formal proofs, model checking, probabilistic verification), software testing, simulation-based testing and experiments. Some specific approaches are:

- Metamorphic testing to test ML algorithms, addressing the oracle problem (Xie et al., 2011)
- A ML test score consisting of tests for features and data, model development and ML infrastructure, and monitoring tests for ML (Breck et al., 2016)
- Checking for inconsistency with desired behavior and systematically searching for worst-case outcomes when testing consistency with specifications.
- Corroborative verification (Webster et al., 2020), in which several verification methods, working at different levels of abstraction and applied to the same AI component, may prove useful to verification of AI components of systems.

- Testing against strong adversarial attacks (Useato, 2018); researchers have found that models may show robustness to weak adversarial attacks and show little to no accuracy to strong attacks (Athalye et al., 2018, Uesato et al., 2018, Carlini and Wagner, 2017).
- Use of formal verification to prove that models are consistent with specifications, e.g., (Huang et al., 2017).
- Assurance cases combining the results of V&V and other activities as evidence to support claims on the assurance of systems with AI components (Kelly and Weaver, 2004; Picardi et al. 2020).

## Standards

Standards development organizations (SDO) are earnestly working to develop standards in AI, including the safety and trustworthiness of AI systems. Below are just a few of the SDOs and their AI standardization efforts.

ISO is the first international SDO to set up an expert group to carry out standardization activities for AI. Subcommittee (SC) 42 is part of the joint technical committee ISO/IEC JTC 1. SC 42 has a working group on foundational standards to provide a framework and a common vocabulary, and several other working groups on computational approaches to and characteristics of AI systems, trustworthiness, use cases, applications, and big data. (<https://www.iso.org/committee/6794475.html>)

The IEEE P7000 series of projects are part of the IEEE Global Initiative on Ethics of Autonomous and Intelligent Systems, launched in 2016. IEEE P7009, "Fail-Safe Design of Autonomous and Semi-Autonomous Systems" is one of 13 standards in the series. (<https://standards.ieee.org/project/7009.html>)

Underwriters Laboratory has been involved in technology safety for 125 years and has released ANSI/UL 4600 "Standard for Safety for the Evaluation of Autonomous Products". (<https://ul.org/UL4600>)

The SAE G-34, Artificial Intelligence in Aviation, Committee is responsible for creating and maintaining SAE Technical Reports, including standards, on the implementation and certification aspects related to AI technologies inclusive of any on or off-board system for the safe operation of aerospace systems and aerospace vehicles. (<https://www.sae.org/works/committeeHome.do?comtID=TEAG34>)

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**SEBoK v. 2.7, released 31 October 2022**

## Transitioning Systems Engineering to a Model-based Discipline

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Systems engineers have always leveraged many kinds of models, including functional models to support requirements development, simulation models to analyze the behavior of systems, and other analytical models to analyze various aspects of the system such as reliability, safety, mass properties, power consumption, and cost. However, the discipline still relies heavily on document-based artifacts to capture much of the system specification and design information, such as requirements, interface control documentation, and system architecture design descriptions. This information is often spread across many different documents including text, informal drawings, and spreadsheets. This document-based approach to systems engineering suffers from a lack of precision, inconsistencies from one artifact to another, and difficulties in maintaining and reusing the information.

### Model-Based Systems Engineering

Model-based systems engineering (MBSE) is the formalized application of modeling to support system requirements, design, analysis, verification, and validation activities beginning in the conceptual design phase and continuing through development and later life cycle phases (INCOSE 2007). A distinguishing characteristic of an MBSE approach is that the model constitutes a primary artifact of the systems engineering process. The focus on developing, managing and controlling a model of the system is a shift from the traditional document-based approach to systems engineering, where the emphasis is on producing and controlling documentation about the system. By leveraging the system model as a primary artifact, MBSE offers the potential to enhance product quality, enhance reuse of the system modeling artifacts, and improve communications among the systems development team. This, in turn, offers the potential to reduce the time and cost to integrate and test the system, and significantly reduce cost, schedule, and risks in fielding a system.

MBSE includes a diverse set of descriptive and analytical models that can be applied throughout the life cycle, and from system of systems (SoS) modeling down to component modeling. Typical models may include descriptive models of the system architecture that are used to specify and design the system, and analytical models to analyze system performance, physical characteristics, and other quality characteristics such as reliability, maintainability, safety, and cost.

MBSE has been evolving for many years. The term MBSE was used by Wayne Wymore in his book by this name (Wymore 1993), that provided a state-based formalism for analyzing systems in terms of their input/output characteristics, and value functions for assessing utility of technology independent and technology dependent systems. Simulations have been extensively used across industry to provide high fidelity performance analysis of complex systems. The Standard for Integration Definition for Function Modeling (IDEFO 1993) was introduced in

the 1990's to support basic functional modeling. A modeling formalism called the enhanced functional flow block diagram (Long 2000) has been used to model many different types of systems. The Object Management Group (OMG) introduced the concept of a Model Driven Architecture (MDA®) (OMG 2003) that leverages a standards-based approach to modeling. The Systems Modeling Language (OMG SysML™) (OMG 2015) was adopted by the OMG in 2006 as a general-purpose systems modeling language. In addition, the Unified Profile for DoDAF and MODAF (UPDM) (OMG 2013) was adopted by the OMG in 2008 to support enterprise modeling. Several other domain specific modeling languages have been introduced as well.

## MBSE Transition

The INCOSE Systems Engineering Vision 2025 (INCOSE 2025, pg 38) describes the current state of MBSE as follows: "Model-based systems engineering has grown in popularity as a way to deal with the limitations of document-based approaches, but is still in an early stage of maturity similar to the early days of CAD/CAE."

SE Vision 2025 also describes a continuing transition of SE to a model-based discipline in which: "Formal systems modeling is standard practice for specifying, analyzing, designing, and verifying systems, and is fully integrated with other engineering models. System models are adapted to the application domain, and include a broad spectrum of models for representing all aspects of systems. The use of internet driven knowledge representation and immersive technologies enable highly efficient and shared human understanding of systems in a virtual environment that span the full life cycle from concept through development, manufacturing, operations, and support." The transition to a more model-based discipline is not without its challenges. This requires both advancements in the practice, and the need to achieve more widespread adoption of MBSE within organizations across industry sectors.

The INCOSE Systems Engineering Vision 2035 (INCOSE 2035, pg 33) states that "The Future of Systems Engineering Is Predominantly Model-Based". Further discussion goes on to project that "Systems engineers routinely compose task-specific virtual models using ontologically linked, digital twin-based model-assets. These connected models are updated in real-time providing a virtual reality-based, immersive design and exploration space. This virtual global collaboration space is cloud-based, enabled by modelling as a service and supports massive simulation leveraging cloud-based high-capacity compute infrastructure. Families of unified ModSim frameworks exist enabling small and medium businesses along with Government agencies to collaborate."

Advancing the practice requires improvements in the modeling languages, methods, and tools. The modeling languages must continue to improve in terms of their expressiveness, precision, and usability. MBSE methods, such as those highlighted in A Survey of Model-Based Systems Engineering (MBSE) Methodologies (Estefan 2008), have continued to evolve, but require further advancements to provide a rigorous approach to modeling a system across the full system lifecycle, while being more adaptable to a diverse range of application domains. The modeling tools must also continue to evolve to support the modeling languages and methods, and to integrate with other multi-disciplinary engineering models and tools in support of the broader model-based engineering effort. The movement towards increased use of modeling standards, that are more widely available in commercial tools, and rigorous model-based methodologies, increase the promise of MBSE.

The adoption of MBSE requires a workforce that is skilled in the application of MBSE. This requires organizations to provide an infrastructure that includes MBSE methods, tools, and training, and a commitment to deploy this capability to their programs. As with any organizational change, this must be approached strategically to grow this capability and learn from their experiences.

Like other engineering disciplines, the transition of systems engineering to a model-based discipline is broadly recognized as essential to meet the challenges associated with increasing system complexity and achieving the productivity and quality improvements. The SEBoK will continue to reflect the growing body of knowledge to facilitate this transition.

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# Model-Based Systems Engineering Adoption Trends 2009-2018

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**Lead Author:** Rob Cloutier, **Contributing Author:** Ifezue Obiako

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The MBSE Initiative was kicked off at the INCOSE International Workshop (IW) in 2007 at the Albuquerque, NM, USA Embassy Suites. There were approximately 45 INCOSE members for this first meeting, held during the two days preceding IW.

Surveys were conducted in 2009, 2012, 2014, 2018, and 2019 to better understand the adoption trends of model-based systems engineering.

## Introduction

Model-based systems engineering (MBSE) is not a new concept. Wymore (1993) published the seminal work on the topic. This book presents the mathematical theory behind MBSE. Since that time, engineering has made significant movement from text-based approaches using office-based tools (e.g. Harvard Graphics, Microsoft PowerPoint, Microsoft Visio, etc.) to an interconnected set of graphical diagrams. These diagrams are generally created in a tool with a specialized graphical user interface.

Today aerospace engineers no longer use drafting boards to create their drawings – they use computer aided design (CAD) tools. Likewise, software engineers seldom use EMACS or Vi (text editors), instead, they use software GUIs that allow them to code, check syntax, compile, link, and run their software all in a single environment.

Broadly speaking, a model can be thought of as a facsimile or abstraction of reality. To this end, even a requirements document can be considered a model – it represents what a real system should do in performing its mission or role. While systems engineering has used models for a very long time, MBSE is the systems engineering migration to computer-based graphical user interfaces to perform our analysis and design tasks just as our other engineering brethren have moved to computer-based graphical user interfaces.

A discussion of available tools is beyond the scope of this article, and it is not the practice of the SEBoK to review or promote specific tool offerings. However, it is fair to state that current MBSE tools fall into three broad categories: 1) Functional decomposition tools that use IDEF0 (also called IPO) diagrams, N2 diagrams, functional flow block diagrams, etc., 2) Object-oriented tools that implement the Object Management Group's Systems Modeling Language (SysML), and 3) Mathematical modeling tools.

This migration for systems engineering might have begun in the late 90's. The INCOSE INSIGHT publication proclaimed that MBSE was a new paradigm (INSIGHT 1998). Cloutier (2004) addressed the migration from a waterfall systems engineering approach to an object-oriented approach on the Navy Open Architecture project. At that time, SysML did not exist, and the teams were using the Unified Modeling Language (UML) that was predominately a software modeling tool. Zdanis & Cloutier (2007a, 2007b) addressed the use of activity diagrams instead of sequence diagrams for systems engineering based on the newly released SysML. In 2009, the INCOSE INSIGHT publication proclaimed MBSE was THE new paradigm (INSIGHT 2009).

## Approach

In 2009, a survey was commissioned by the Object Management Group (OMG) with the intent of informing the SysML Working Group on necessary changes to SysML since its first release (Cloutier & Bone 2010). That survey focused on process more than adoption. Beginning in 2012, INCOSE has commissioned three more surveys to understand adoption trends and obstacles. The survey instrument remained relatively unchanged for 2012, 2014, and 2018 (Cloutier 2015, Cloutier 2019a). In January of 2019, the Jet Propulsion Lab (JPL) conducted an MBSE

Workshop (Cloutier 2019b). A survey of those participants was conducted, and the intent of the questions was to augment knowledge gained from the 2018 survey. The table below shows the number of respondents in each of the surveys.

**Table 1. MBSE Survey Purposes and Responses (SEBoK Original)**

Year	Survey Purpose	Responses
2012	INCOSE MBSE Initiative	134
2014	INCOSE MBSE Initiative	205
2018	INCOSE MBSE Initiative	661
2019	JPL MBSE Workshop	98

## Responses and Response Demographics

Each survey was sent to a diverse group of MBSE practitioners. Table 2 shows that of the 661 responses for the 2018 survey, 410 indicated their country of origin. This international representation is similar to all surveys conducted.

**Table 1. MBSE Survey Purposes and Responses (Cloutier 2019, used with permission)**

Country	Responses	Country	Responses
USA	197	Israel	4
United Kingdom	52	Singapore	3
France	30	China	2
Germany	28	New Zealand	2
Australia	20	Poland	2
Netherlands	19	Russia	1
Japan	8	Romania	1
Canada	6	Turkey	1
Italy	6	Columbia	1
Sweden	6	Norway	1
South Africa	5	South Korea	1
Switzerland	4	UAE	1
Brazil	4	Belarus	1
India	4		

As part of the demographics, Figure 1 shows the represented industries. Because the “Other” category was so large, the data was analyzed to better understand Figure 2.

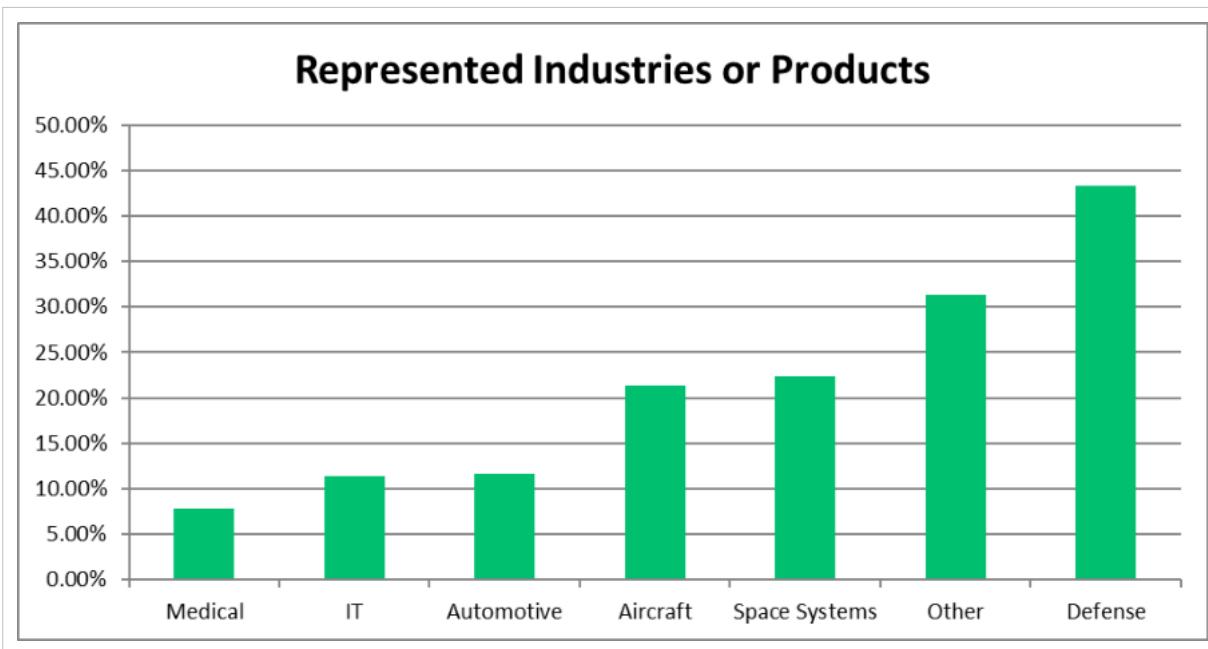


Figure 1. Industries Represented in the 2018 MBSE Survey. (Cloutier 2019a, used with permission)

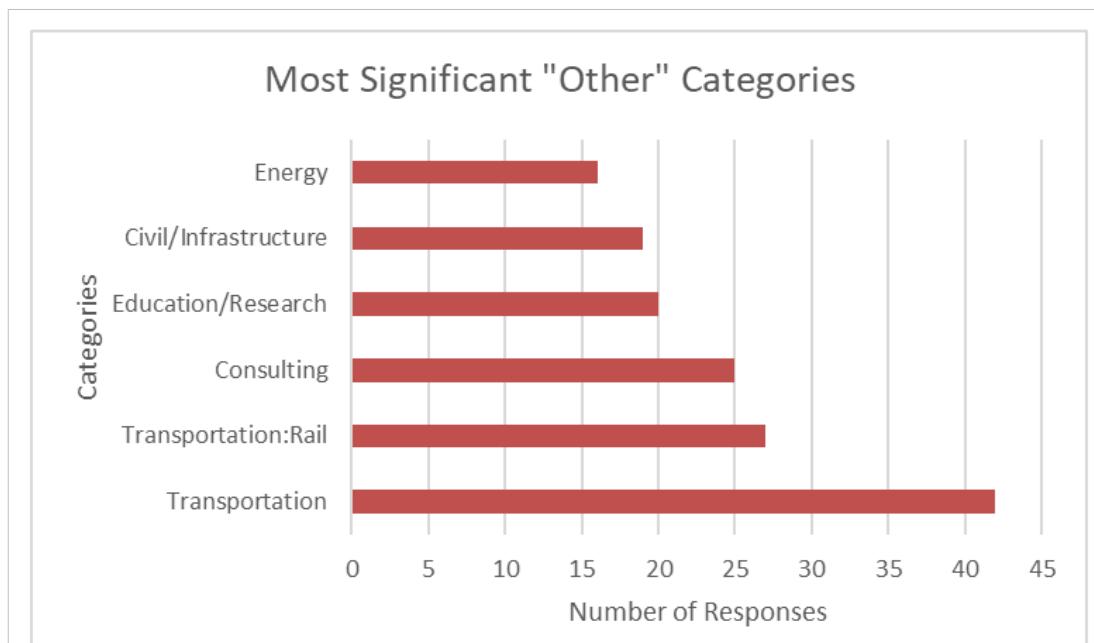
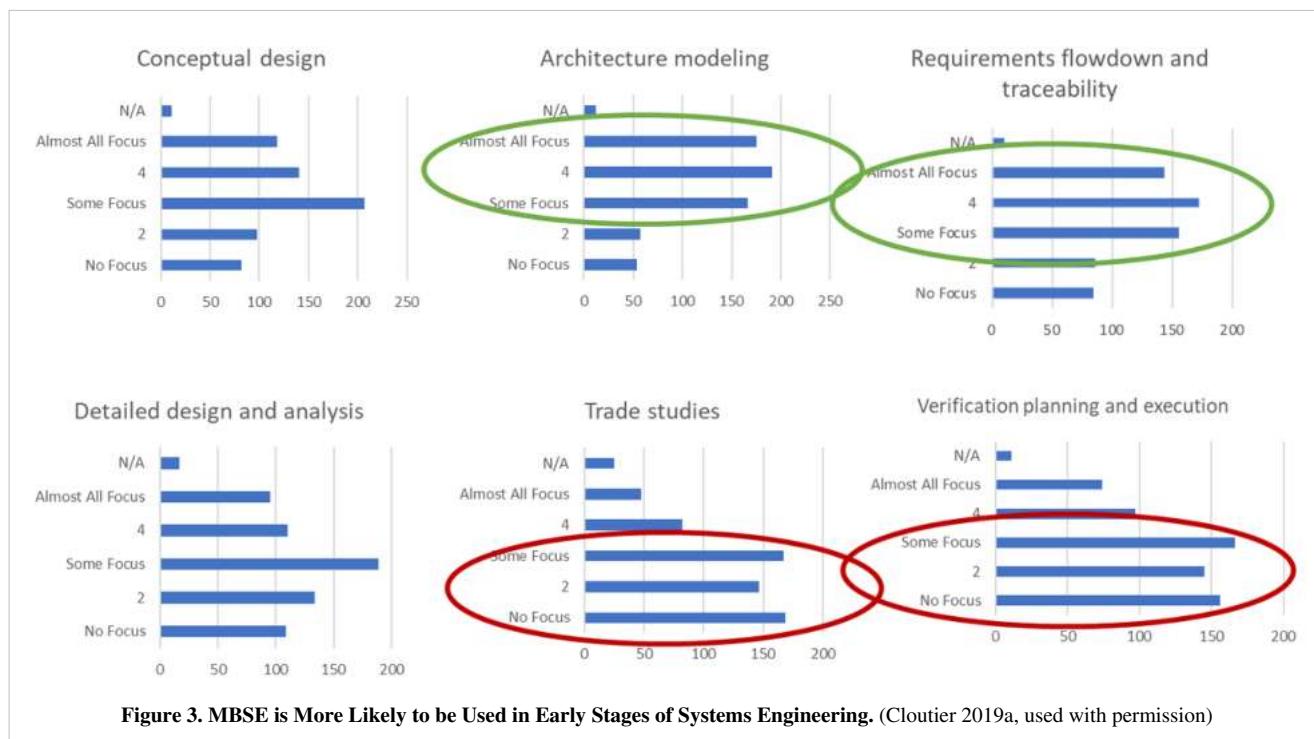


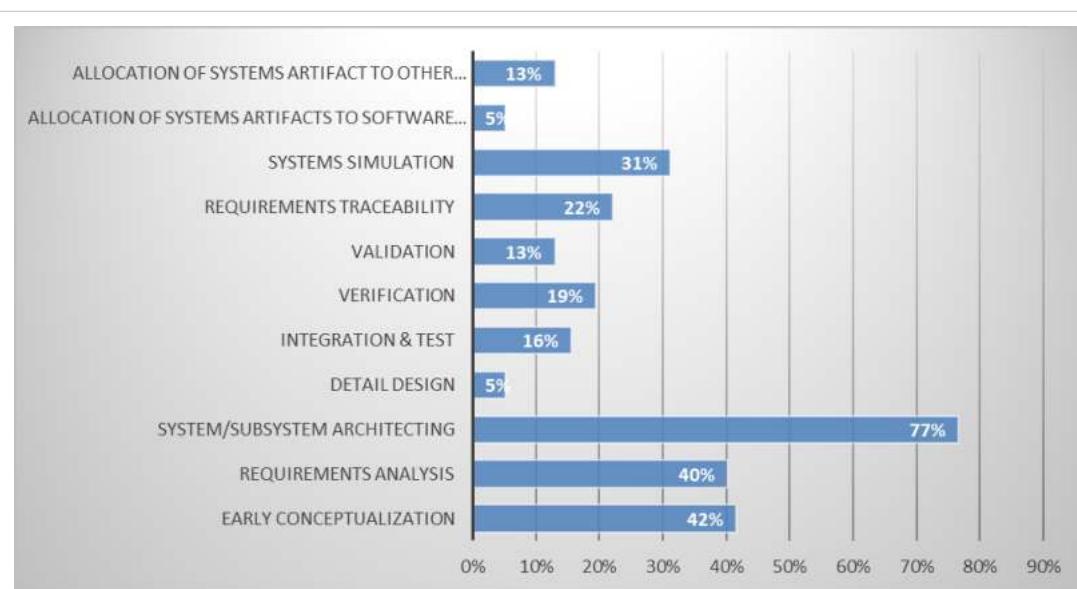
Figure 2. "Other" Industries Represented in the 2018 MBSE Survey. (Cloutier 2019a, used with permission)

The 2018 survey indicated that there seems to be an increased application of MBSE in traditionally civil engineering industries – specifically energy, infrastructure, and transportation (Figure 2) One of the most interesting aspects of the 2018 survey is the finding that MBSE is being applied in the early phases of systems engineering, and less so in the later phases as shown in Figure 3.



**Figure 3. MBSE is More Likely to be Used in Early Stages of Systems Engineering.** (Cloutier 2019a, used with permission)

This was confirmed by the JPL question “Where do we believe MBSE holds the most promise?” Figure 4 shows that 76% of the responses indicated system/subsystem architecting, 42% thought requirements analysis, and 39% believed early conceptualization (note: the question allowed for multiple answers).



**Figure 4. JPL Workshop Response Regarding "Where MBSE Holds the Most Promise."** (Cloutier 2019b, used with permission)

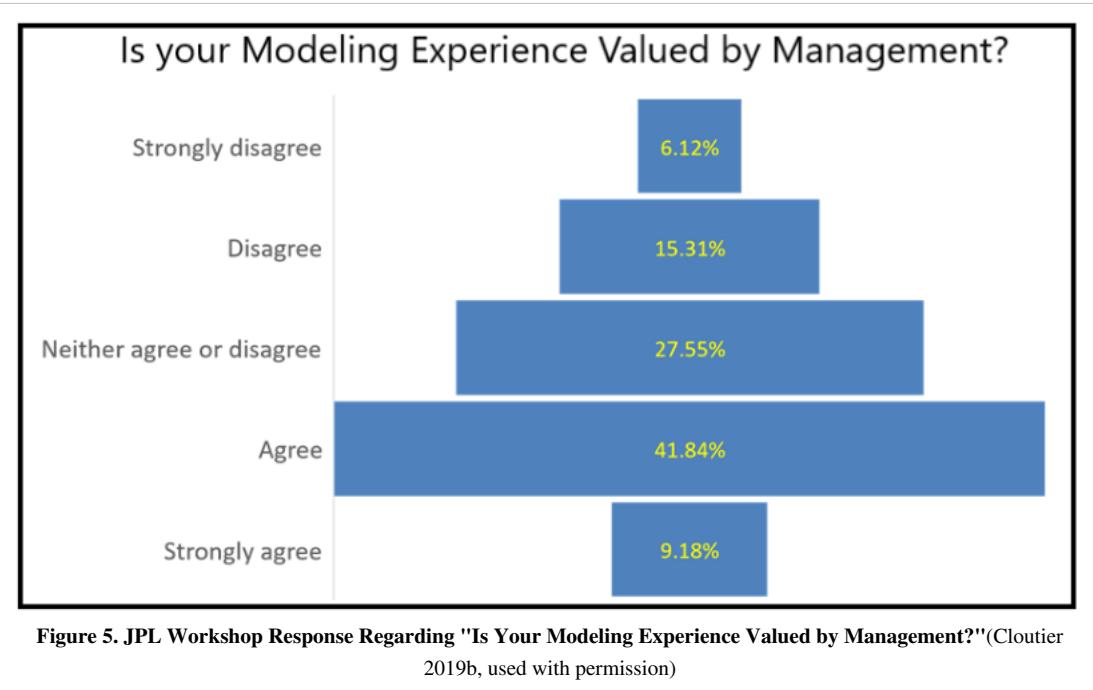


Figure 5. JPL Workshop Response Regarding "Is Your Modeling Experience Valued by Management?"(Cloutier 2019b, used with permission)

When asked whether the JPL survey respondents believed that their systems modeling experience is recognized as a valued skill supporting career growth of systems engineers in their organization, just over 50% believed management valued their experience. A smaller number, 21%, believed their modeling experience was not valued (Figure 5).

## Key Adoption Trends

The remainder of this article will look at some of the trends identified across the surveys, from 2009 to 2018. Figure 6 shows that MBSE is moving from a defense and space dominated practice into other industries as discussed in Figure 4.

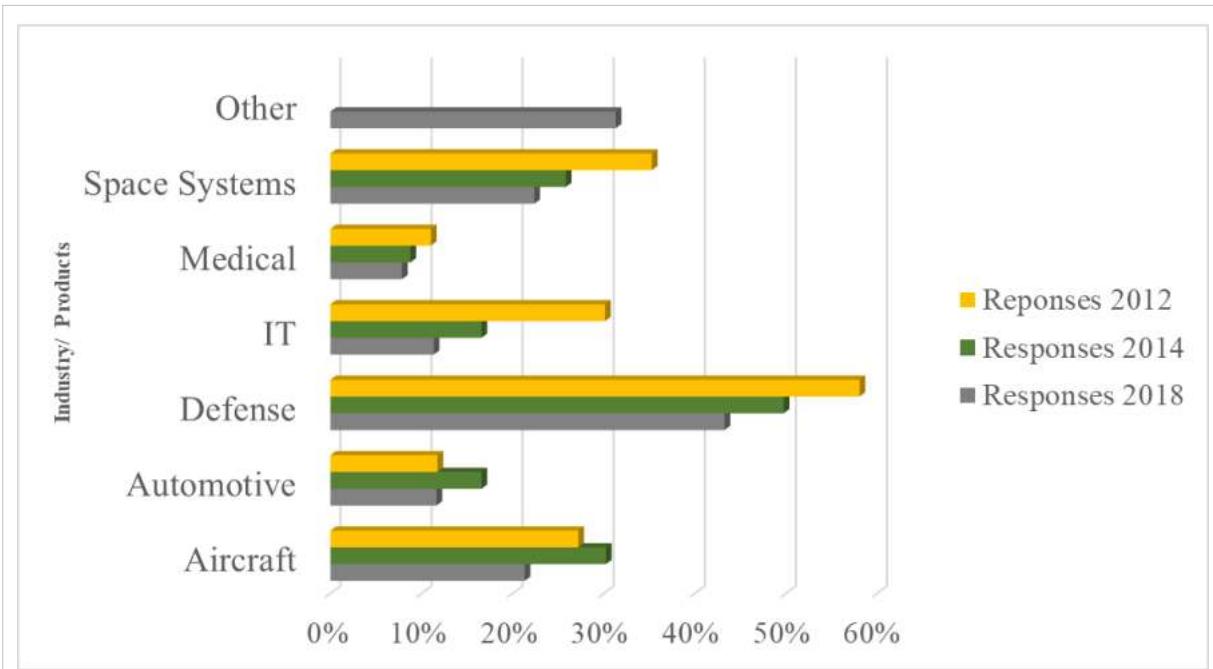
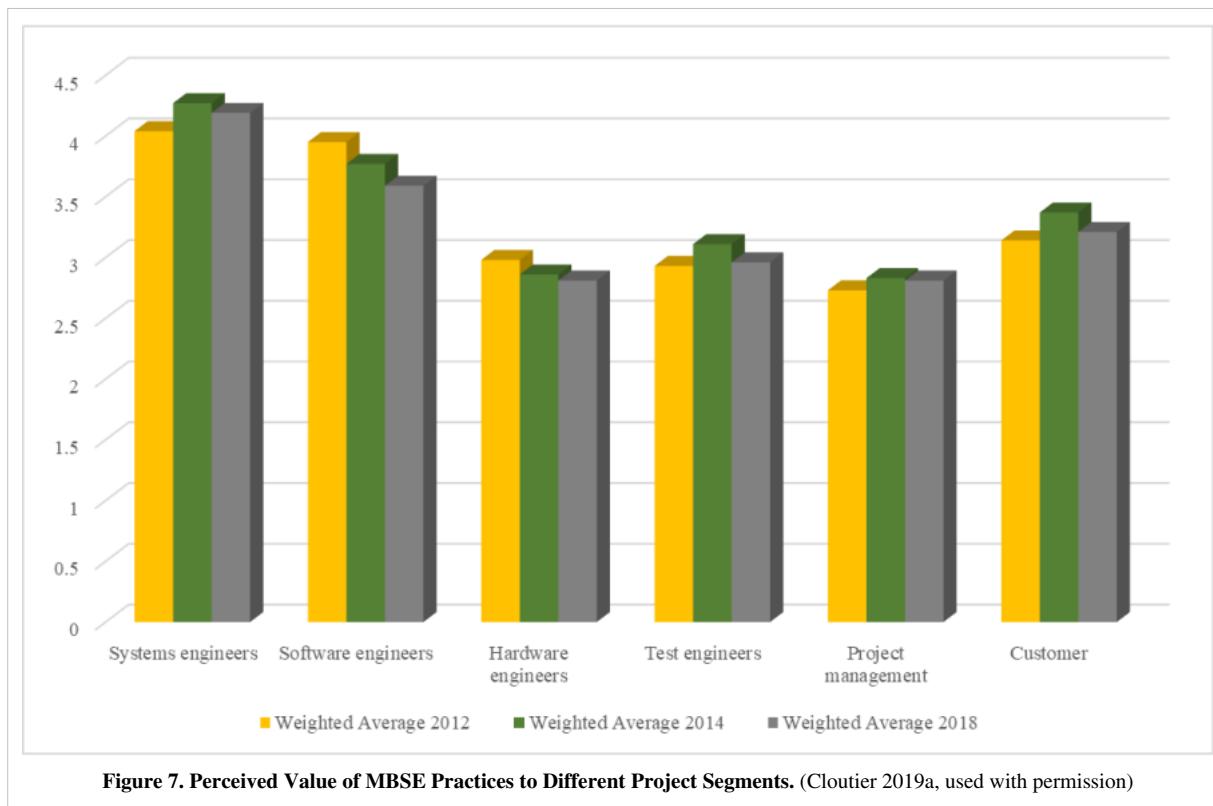
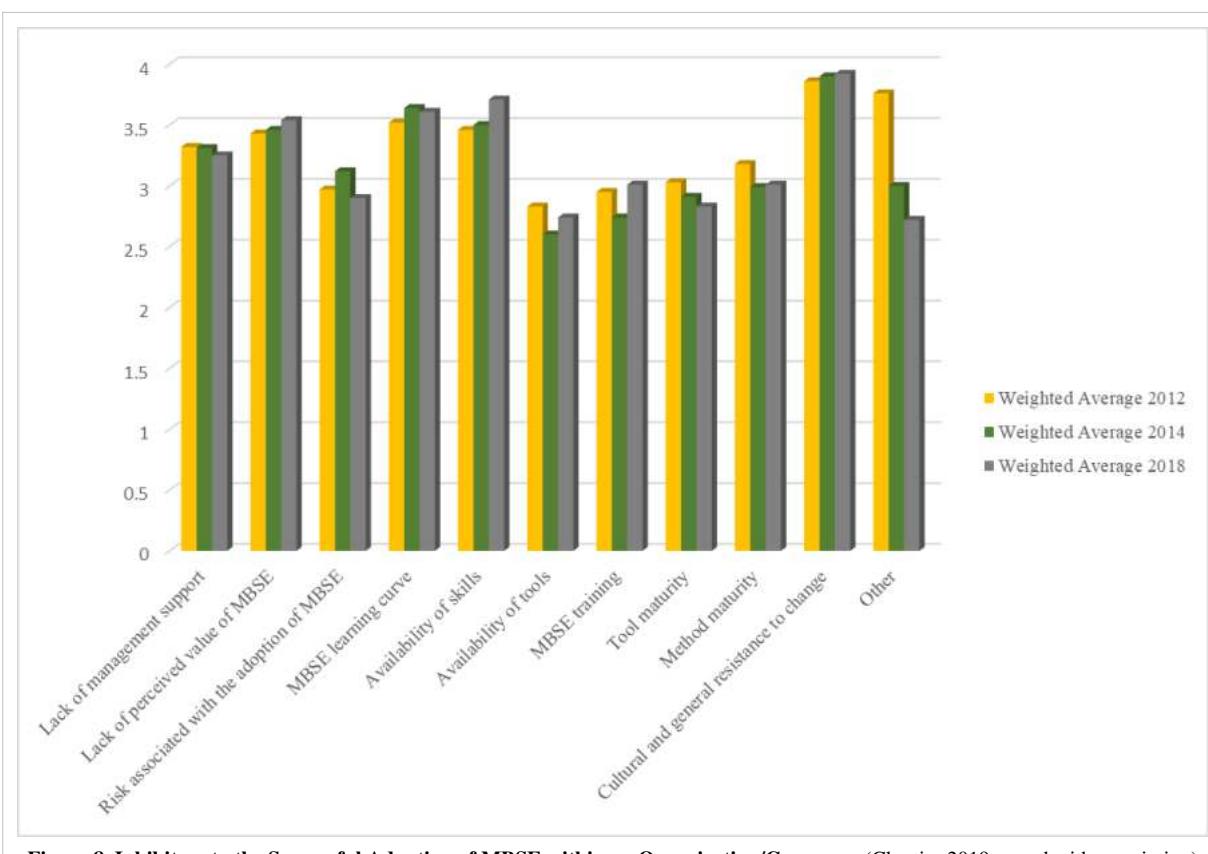


Figure 6. Shift of MBSE Adoption in New Industries. (Cloutier 2019a, used with permission)

Model-based systems engineering seems to be expanding in influence in that it is not just in the purview of systems engineers. While systems and software engineers find value in MBSE practices, Figure 6 demonstrates that the customer is finding value in MBSE practices. It is also interesting that software engineers' perceived value of MBSE is declining from survey to survey.



**Figure 7. Perceived Value of MBSE Practices to Different Project Segments.** (Cloutier 2019a, used with permission)



**Figure 8. Inhibitors to the Successful Adoption of MBSE within an Organization/Company.** (Cloutier 2019a, used with permission)

Figure 8 demonstrates that availability of MBSE skills and cultural and general resistance to change have continued to increase. Lack of perceived value reflects the findings in Figure 6 – software and hardware engineers are not seeing the value of MBSE.

## Conclusions

Surveys conducted between 2012 and 2018 demonstrate that MBSE practices are spreading beyond traditional Defense and Space domains. Most MBSE practitioners are finding MBSE is most useful in the early project phases of conceptualization, requirements analysis, and systems architecting. There continues to be a skills shortage, yet companies/organizations are providing less training to improve MBSE skills. Both systems engineers, systems engineering management, and the systems engineering customer are finding value in using models to perform systems engineering.

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# Digital Engineering

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**Lead Author:** Ron Giachetti

The US Under Secretary of Defense for Research and Development released the US Department of Defense (DoD) Digital Engineering Strategy in June 2018 describing five goals to streamline the DoD acquisition process through the creation of a digital thread enabling the conception, design, and development of complex weapon systems (DoD 2018; Zimmerman 2017). The crux of digital engineering is the creation of computer readable models to represent all aspects of the system and to support all the activities for the design, development, manufacture, and operation of the system throughout its lifecycle. These computer models would have to be based on shared data schemata so that in effect a digital thread integrates all the diverse stakeholders involved in the acquisition of new weapon systems. The Digital Engineering Strategy anticipates digital engineering will lead to greater efficiency and improved quality of all the acquisition activities.

## Relationship with MBSE

Model-based systems engineering (MBSE) is a subset of digital engineering. MBSE supports the systems engineering activities of requirements, architecture, design, verification, and validation. These models would have to be connected to the physics-based models used by other engineering disciplines such as mechanical and electrical engineering. One challenge remaining for digital engineering is the integration of MBSE with physics-based models.

Foundation to digital engineering is the representation of the system data in a format sharable between all stakeholders (Giachetti et al. 2015; Vaneman 2018). SysML 2.0 is one of several future developments promising to provide a representation sufficient to support digital engineering. An ontology defining the entities and relationships between them can be used to define the concepts relevant to systems engineering. Such a representation is necessary to create the digital thread linking all the models together in a cohesive and useful manner.

## Digital Engineering as a Transformation

For many organizations, digital engineering represents a transformation of how they normally conduct systems engineering (e.g., see Bone et al. 2018) since most organizations conduct a document-intensive systems engineering process. The adoption of digital engineering requires concomitant changes to how organizations perform system engineering activities. Everything from documenting requirements, technical reviews, architecture design, and so forth would be based on the models in a digital engineering environment (Vaneman and Carlson, 2019). The digital thread would be the authoritative source of truth concerning the system data.

## Digital Twin

A digital twin is a related yet distinct concept to digital engineering. The digital twin is a high-fidelity model of the system which can be used to emulate the actual system. An organization would be able to use a digital twin to analyze design changes prior to incorporating them into the actual system.

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### Additional References

None.

### Relevant Videos

- Digital Engineering: MBSE Approach for DoD <sup>[1]</sup>

# Set-Based Design

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**Lead Authors:** Eric Specking, Gregory S. Parnell, and Ed Pohl

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Set-based design (SBD) is a complex design method that enables robust system design by 1) considering a large number of alternatives, 2) establishing feasibility before making decisions, and 3) using experts who design from their own perspectives and use the intersection between their individual sets to optimize a design (Singer, Doerry, and Buckley 2009). Model-based engineering (MBE)/model-based systems engineering (MBSE) with an integrated framework can enable the use of SBD tradespace exploration, for some situations (i.e. early-design stage with low fidelity models), in near-real time (Specking et al. 2018a). This article provides insights on using model-based design to create and assess alternatives with set-based design.

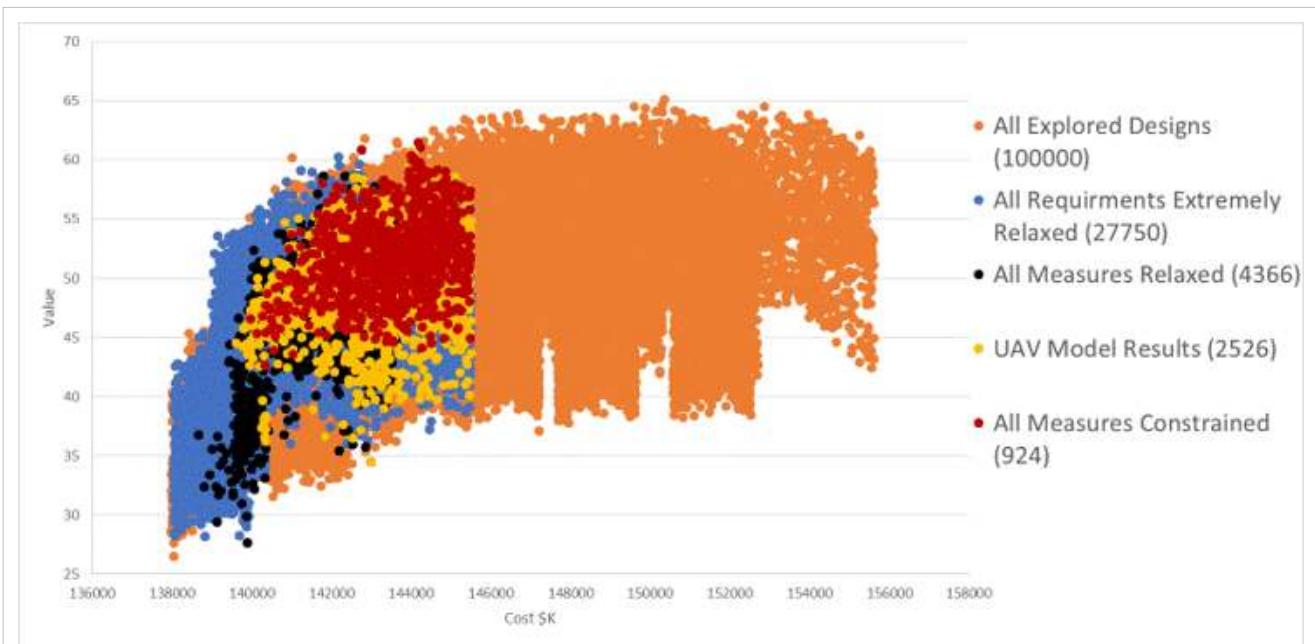
## Introduction

SBD analyzes sets of alternatives instead of single solutions. Sets are “two or more design points that have at least one design option in common” (Specking et al. 2018b) or “the range of options for a design factor” (Singer et al. 2017). A design factor is a “solution parameter, characteristic, or relationship that influences the design at the system level” (Singer et al. 2017). Systems engineers should develop sets determining the design factors and separating the design factors into set drivers or set modifiers. Set drivers are “fundamental design decisions that define the system characteristics that enable current and future missions,” while set modifiers are “design decisions that are ‘added on’ to the system and can be modified to adapt for new missions and scenarios” (Specking et al. 2018b).

SBD is not the best design method for every situation. SBD is particularly useful in early-stage design and if the project contains the following attributes:

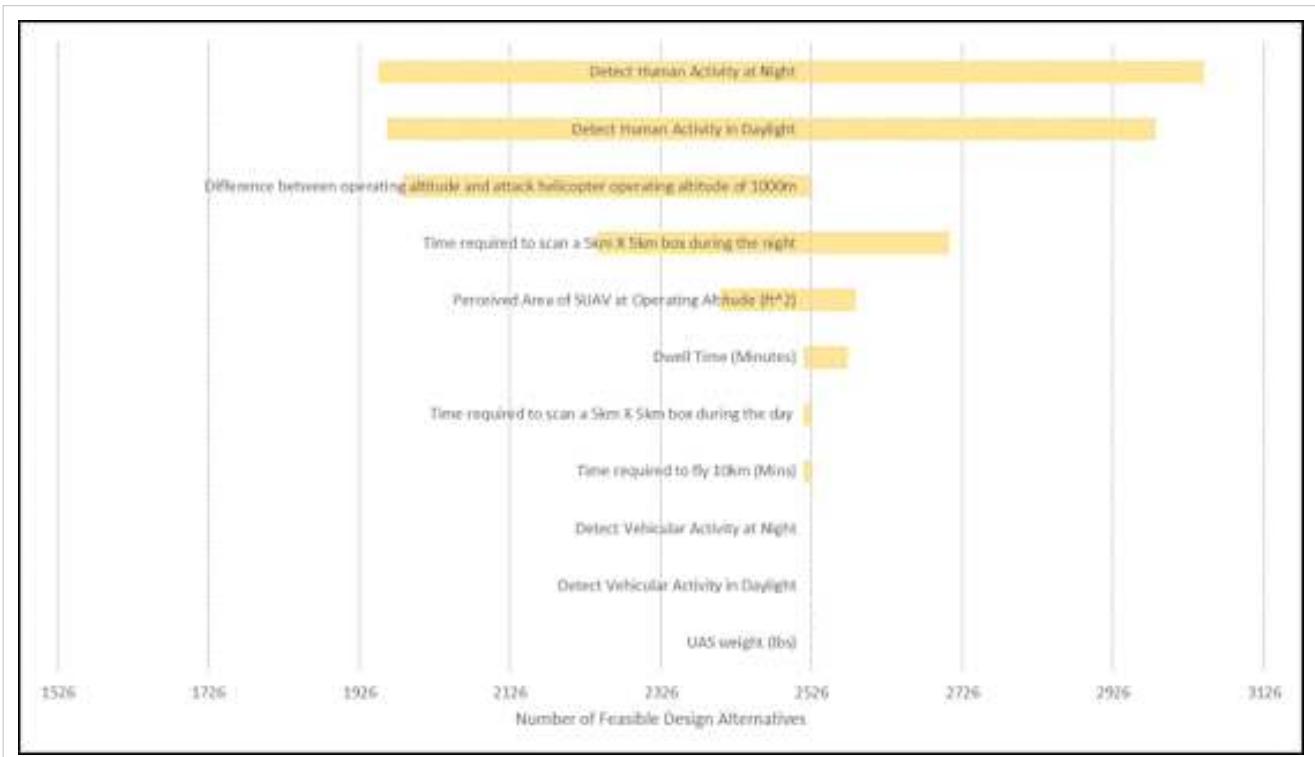
- A large number of design variables,
- Tight coupling among design variables,
- Conflicting requirements,
- Flexibility in requirements allowing for trades, or
- Technologies and design problems not well understood – learning required for a solution (Singer et al. 2017)

In early-stage design, SBD helps inform requirements analysis and assess design decisions (Parnell et al. 2019). Quantitative SBD requires an integrated MBE environment to assess the effects of constraining and relaxing requirements on the feasible tradespace. For example, Figure 2 demonstrates the effects of constraining or relaxing requirements of an unmanned aerial vehicle case study with all of the explored designs in orange, the tradespace affected by non-requirement constraints (e.g. physics with requirements relaxed to not affect the tradespace) in blue, the original UAV feasible tradespace in yellow, and the relaxed (black)/constrained (red) tradespaces.



**Figure 1. Effects of Requirements on the UAV's Feasible Tradespace** (Parnell et al. 2019, used with permission)

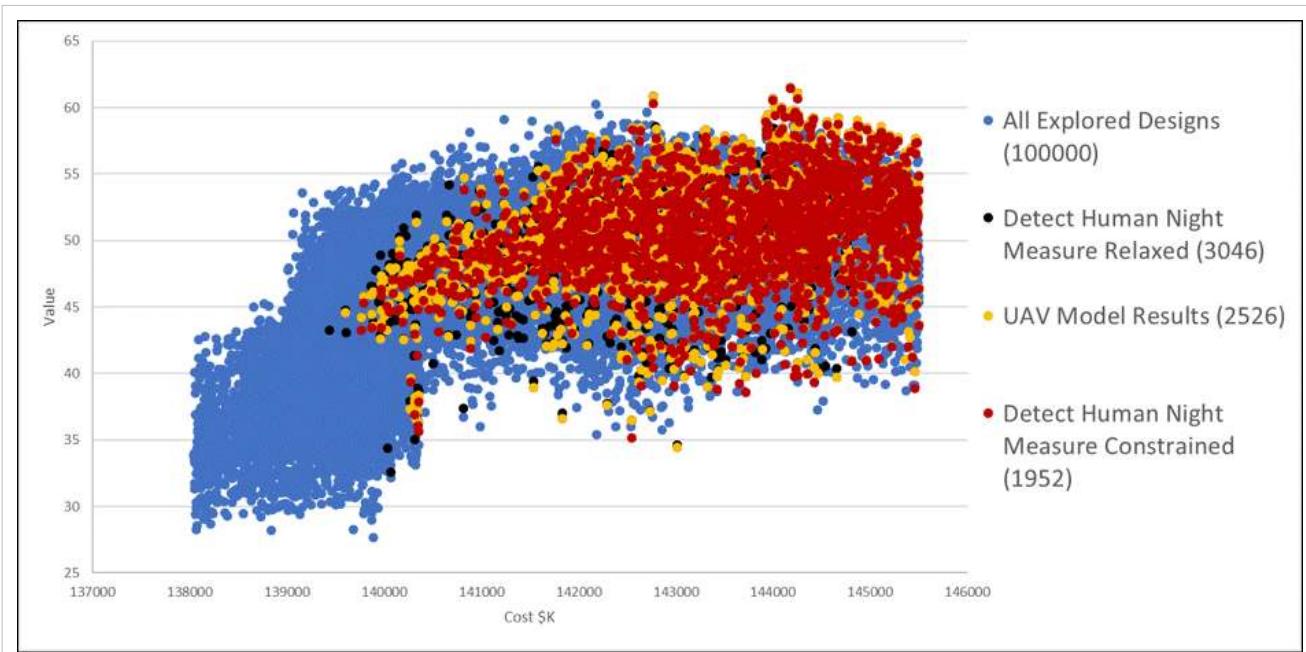
The tornado diagram seen in Figure 3 shows results of a one requirement at a time analysis. This makes it easy to see how the constraining/relaxing of each individual requirement affects the feasible tradespace. Figure 3 shows that the requirements “Detect Human Activity at Night” and “Detect Human Activity in Daylight” have the greatest impact on the feasible tradespace.



**Figure 2. UAV Case Study Results of One-by-One Requirement Analysis** (Parnell et al. 2019, used with permission)

Changing the requirements does not always translate to finding improved designs. The individual one requirement at a time analysis scatterplot provides important information, as seen in an example illustration in Figure 4. It is important to carefully analyze the Pareto Frontier created by each change (represented by a different color) and compare it to the Pareto Frontier of the original analysis. If the original requirement level produces better

alternatives, then it does not make sense to change (constrain or relax) the requirement.



**Figure 3. Effect on Feasible Tradespace by Changing Most Sensitive UAV Requirement** (Specking et al. 2019, used with permission)

Additionally, using SBD can add value to the overall project and team. Some of the advantages include:

- enabling reliable, efficient communications,
- allowing much greater parallelism in the process, with much more effective use of subteams early in the process,
- allowing the most critical, early decisions to be based on data, and
- promoting institutional learning (Ward et al. 1995).

## System Analyst Set-Based Design Tradespace Exploration Process

Figure 4 illustrates SBD as a concept for system design and analysis. This SBD illustration contains 5 distinct characteristics:

1. start by determining the business/mission needs and system requirements;
2. use the business/mission needs and system requirements to perform design and analysis techniques throughout time in the exploratory, concept, and development stages of the system's life cycle;
3. perform design and analysis concurrently as much as possible;
4. inform requirement analysis by using feasibility, performance, and cost data; and
5. consider a large number of alternatives through the use of sets and slowly converge to a single point solution (Specking et al. 2019).

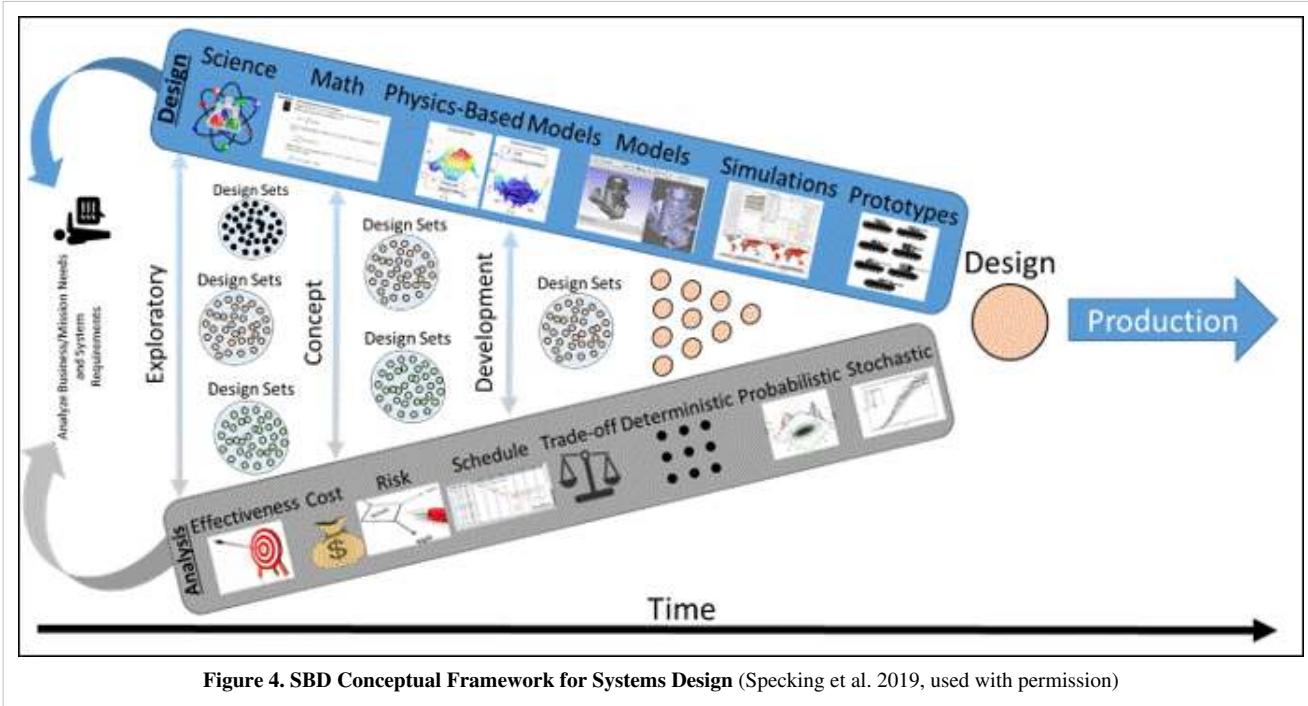
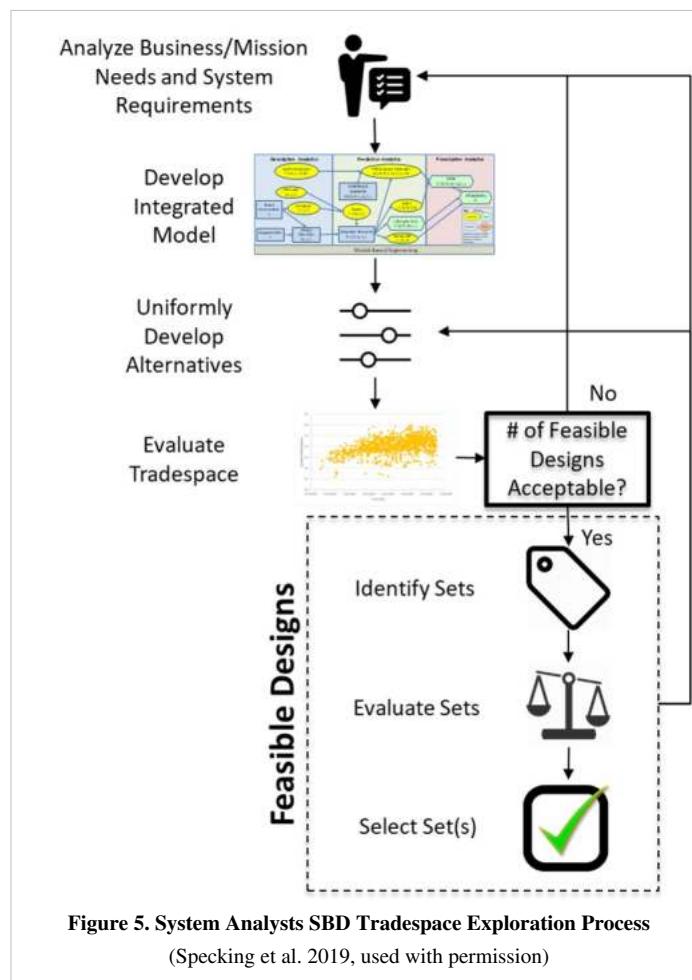


Figure 4. SBD Conceptual Framework for Systems Design (Specking et al. 2019, used with permission)

SBD is a social-technical process and should involve input and interactions from several teams, but Figure 6 provides a SBD tradespace exploration process for system analysts (Specking et al. 2019). This eight-step process is especially useful to perform early-stage design (Specking et al. 2018b). The system analyst starts by analyzing the business/mission needs and system requirements. Systems engineers use this information, along with models and simulations developed by themselves or provided by systems and subsystem teams, to develop an integrated model. Systems engineers include requirements to assess feasible and infeasible alternatives using this integrated model. They explore the tradespace by treating each design decision as a uniform (discrete or continuous) random variable. An alternative consists of an option from every design decision. Systems engineers then use the integrated model to evaluate each alternative and to create the feasible tradespace. Monte Carlo simulation is one method that enables a timely alternative creation and evaluation process. The created tradespace will consist of infeasible and feasible alternatives based upon the requirements and any physics-based performance models and simulations. Systems engineers should work with the appropriate stakeholders to inform requirements when the tradespace produces a significantly small number of or no feasible alternatives. In addition to feasibility, systems engineers should also analyze each design decision by using descriptive statistics and other analyses and data analytics techniques. This information provides insights into how each design factor influences the feasible tradespace. Once the tradespace contains an acceptable number of alternatives, it is then classified by sets. This is an essential part of SBD. If the set drivers or design factors are not known, systems engineers should view the tradespace by each design decision for insights. Systems engineers should use dominance analysis and other optimization methods to find optimal or near optimal alternatives based upon the measures of effectiveness. Systems engineers should explore the remaining sets for additional insights on the feasible tradespace and the requirements. The final part of this process is to select one or more sets to move to the next design-stage. It should be noted that this process contains cycles. At any part of this process, systems engineers should use the available information, such as from tradespace exploration or set evaluation, to inform requirement analysis or update the integrated model. Additionally, the systems engineer should update the integrated model with higher fidelity models and simulations as they become available. The key is to have the "right" information from the "right" people at the "right" time.



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**SEBoK v. 2.7, released 31 October 2022**

# System of Systems and Complexity

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**Lead Author:** Judith Dahmann

Systems of Systems are generally characterized as complex (Sheard, 2019) (Luzeau et al.,2011) (Simpson, 2009) (DeLaurentis, 2007) (Ireland, 2014) (Magee, 2004), as is noted in the systems of systems (SoS) knowledge area of the SEBoK.

The question for those seeking to perform SoS Engineering (SoSE) then is how to address/use SoS complexity? In an ongoing collaboration between the INCOSE SoS and Complexity Working Groups, recent work on characterizing complexity has been applied to SoS, to assess how and why SoS exhibit complexity, as the basis for identifying approaches from the complexity community to applications of systems principles to systems of systems. This collaboration was spurred by recent work in both communities on concepts to understand how complexity affects systems of systems (Watson, 2020) and guiding principles to complexity thinking can be applied in Systems of Systems Engineering. (INCOSE, 2016)

## Complexity Dimensions Applied to Systems of Systems

How and why are systems of systems (SoS) characterized by different dimensions of complexity? Drawing on the dimensions of complexity (Watson, 2019) it is clear that by their nature SoS are rich in complexity, as described below. For each complexity dimension, the dimension is defined and the characteristics of SoS which make them subject to this dimension are briefly presented. Diversity “encompasses the structural, behavior, and system state varieties that characterize a system and/or its environment.” (Watson, 2019) By their nature, SoS are composed of independent systems. (Maier, 1998) (ISO, 2019) SoS can exhibit tremendous diversity across the constituent systems which provide a range of behaviors, functionality, and technical approaches. SoS are comprised of multiple independent systems with their own users, management structures, requirements etc. often developed prior to their membership in an SoS, increasing the likelihood of diversity among the constituents of a SoS.

Connectivity “characterizes connection of the system between its functions and the environment. This connectivity is characterized by the number of nodes, diversity of node types, number of links, and diversity in link characteristics.” (Watson, 2019) SoS include connectivity within each constituent system, among SoS constituents and between the SoS and its environment. Discontinuities (breaks in a pattern of connectivity at one or more layers) are often found in SoS. This links directly to dimensions of ‘Interactivity’ and ‘disproportionate effects’, since connectivity may lead to complex cascading interactions. Adaptability is defined as the characteristics of complex systems which “proactively and/or reactively change function, relationships, and behavior to balance changes in environment and application to achieve system goals.” (Watson, 2019) SoS are composed of operationally independent systems [3]; hence the operators of each of system has their own rules of engagement and may react or adapt to changes in different ways based on their local objectives.

Multi-perspective refers to the fact that “multiple perspectives, some of which are orthogonal, are required to comprehend the complex system.” (Watson, 2019) SoS are typically comprised of multiple independent systems which were developed and operated prior to the existence of the SoS; hence they each bring with them their own perspectives, which may or may not be aligned with the SoS. An understanding of the SoS considers all of these different perspectives. This links directly to the dimension of ‘Multi-scale’ since SoS may contain constituent systems of varying scales.

Complex system behavior “cannot be described fully as a response system. Complex system behavior includes nonlinearities. Optimizing system behavior cannot often be done focusing on properties solely within the system.” (Watson, 2019) While the behaviors of the individual systems may be predictable, particularly when the numbers of systems are large and have multiple internal behaviors, SoS behavior can become unpredictable. Each constituent has been designed to be operated independently and safely within its own context. without regard to the potential impact on the behavior of itself, on other systems and on overall SoS behavior.

Dynamics in “complex systems may have equilibrium states or may have no equilibrium state. Complex system dynamics have multiple scales or loops. Complex systems can stay within the dynamical system or generate new system states or state transitions due to internal system changes, external environment changes, or both.” (Watson, 2019) Following the discussion of behavior, these effects can be dynamic and impact other systems or have feedback loops leading to dynamic complexity. Notably, constituent systems may not only be managed independently, but they may also operate independently, increasing prospects of dynamic complexity.

Representations of “complex systems can be difficult to properly construct with any depth. It is often impossible to predict future configurations, structures, or behaviors of a complex system, given finite resources. Causal & influence networks create a challenge in developing ‘requisite’ conceptual models within these time and information resource constraints.” (Watson, 2019) One feature of SoS is that boundary conditions can be hard to define, which includes not only which constituent systems are members of an SoS, but also which behaviors of a constituent system play a role in the SoS making representation of an SoS a challenge. Evolution is a dimension of complexity as “changes over time in complex system states and structures (physical and behavioral) can result from various causes. Complex system states and structures are likely to change as a result of interactions within the complex system, with the environment, or in application. A complex system can have disequilibrium (i.e., non-steady) states and continue to function.” (Watson, 2019) Rarely do we ‘develop and field’ an SoS, rather SoS are typically composed of existing systems; changes in an SoS result from changes in one or more of the constituent systems (or in the environment), making SoS development an evolutionary process.

System emergence leading to unpredictable behavior is driven by unexpected emergence; “emergent properties of the holistic system unexpected (whether predictable or unpredictable) in the system functionality/response. Unpredictable given finite resources. Behavior not describable as a response system.” (Watson, 2019) By definition, SoS are comprised of multiple independent systems. (Maier, 1998) (ISO, 2019). Changes in one system could lead to new behavior in another, leading to unpredictable results. Indeterminate boundaries result from the fact that “complex system boundaries are intricately woven with their environment and other interacting systems. Their boundaries can be non-deterministic. The boundary cannot be distinguished based solely on processes inside the system.” (Watson, 2019) One feature of SoS is that boundary conditions can be hard to define, including which constituent systems should be included in representation of an SoS, and which behaviors of a constituent play a role in the SoS.

## Guiding Principles to Complexity Thinking Applied in Systems of Systems Engineering

The INCOSE Complexity Primer (INCOSE, 2016) outlines guiding principles to complexity thinking. As SoS exhibit complexity as discussed above, the next question is how these principles might then be applied to SoS.

Think like a gardener, not a watchmaker: "Consider the complexity of the environment and the solution and think about evolving a living solution to the problem rather than constructing a system from scratch." (INCOSE, 2016) SoS are often composed of current and new systems which support desired SoS capabilities and have evolved through interaction. Understanding these 'natural' interaction effects can be important in understanding the responses of constituent systems to various interventions.

Combine courage with humility: "It takes courage to acknowledge complexity, relinquish control, encourage variety, and explore unmapped territory. It takes humility to accept irreducible uncertainty, to be skeptical of existing knowledge, and to be open to learning from failure. A combination of courage and humility enables the complex systems engineer to risk genuine innovation and learn fast from iterative prototyping of solutions in context." (INCOSE, 2016) This principle aligns with the recognition in SoS, the SoS engineer is moving into new territory where there are large differences between the degree of control, the diversity of system technical and functional capabilities, and multiple overlapping authorities.

Take an adaptive stance: "Systems engineers should mimic how living systems cope with complexity by identifying and creating variation, selecting the best versions, and amplify the fit of the selected versions. This means, for example, to think "influence" and "intervention" rather than "control" and "design." (INCOSE, 2016) For most SoS, the successful SoS engineer recognizes that influence and intervention are the name of the game, since to a large extent control continues to rest with the constituents, and SoS architecture and design needs to accommodate the state of the constituent systems while addressing SoS capability objectives. Identify and use patterns: "Patterns are exhibited by complex systems, can be observed and understood, and are a key mechanism in the engineering of complex systems. Patterns are the primary means of dealing specifically with emergence and side effects—that is, the means of inducing desired emergence and side effects, and the means of avoiding undesired emergence and side effects." (INCOSE, 2016) Understanding systems, their behaviors and interactions is a core element of SoSE. By modeling these and treating them as opportunities, patterns can be an effective SoSE approach.

Zoom in and zoom out: Because complex systems cannot be understood at a single scale of analysis, systems engineers must develop the habit of looking at their project at many different scales, by iteratively zooming in and zooming out." (INCOSE, 2016) Effective SoSE is often called a 'middle out' process, where there is a need to understand the top-down drivers for the SoS, but also to respect the bottoms-up needs and capabilities of the constituents. Dynamics between these two perspectives reflects this 'zoom in and zoom out' principle in SoSE thinking.

Achieve Balance: "Optimization is often counterproductive within a complex system. Either the whole is sub-optimized when a part is optimized, or an optimized whole becomes rigid, unable to flex with changing conditions. Instead of optimizing, complex systems engineers should seek balance among competing tensions within the project. Systems engineers can leverage integrative thinking to generate improved solutions and avoid binary either/or tradeoffs." (INCOSE, 2016) In SoSE, if you are trying to 'optimize' you probably don't understand the situation. Multiple, often competing, objectives of the SoS and the constituents, requires options which continue to meet the constituent objectives but also address SoS capabilities. This links directly to both the 'Collaborate' and 'See through new eyes' principles.

Learn from problems: "In a changing context, with an evolving system, where elements are densely interconnected, problems and opportunities will continually emerge. Moreover, they will emerge in surprising ways, due to phase transitions, cascading failures, fat tailed distributions, and black swan events." (INCOSE, 2016) SoS development is recognized as evolutionary (Maier, 1998). One life cycle approach, the SoS 'Wave Model' (Dahmann, 2011) explicitly sees each iteration of SoS evolution as starting with assessment of changes since the last wave, recognizing

the importance of learning from problems and adapting.

Meta-cognition: "Meta-cognition, or reflecting on how one reflects, helps to identify bias, make useful patterns of thinking more frequent, and improve understanding of a complex situation." (INCOSE, 2016) One of the SoS pain points (Dahmann, 2010) is the need for "SoS Thinking" – a form of meta-cognition.

Focus on desired regions of outcome space rather than specifying detailed outcomes: "Instead of zeroing in on an exact solution, focus on what range of solutions will have the desired effects, and design to keep out of forbidden ranges." (INCOSE, 2016) It is important to define SoS needs in terms of broad capabilities (versus detailed solutions) since there are a larger number of factors to be considered in an SoS. In SoS terminology, the SoS 'requirements space' reflects this perspective.

Understand what motivates autonomous agents: "Changing rewards will shape collective behavior. Implement incentives that will move the system toward a more desired state." (INCOSE, 2016) A core element of SoSE (DoD, 2008) is to understand constituent systems and their relationships including the objectives and long-term goals for these systems. This provides the basis for assessing of changes systems will welcome, and potential for motivating constituents to provide needed SoS functionality and services aligned with their goals. This links directly to the "Use Free order" principle emphasizing value of promoting self-organization in complex systems.

Maintain adaptive feedback loops: "Adaptive systems correct for output variations via a feedback mechanism. Over time, feedback loops can either hit the limit of their control space or may be removed in the interest of maintaining stability. To maintain robustness, periodically revisit feedback and ensure that adaptation can still occur." (INCOSE, 2016) As noted above, under the SoS wave model (Dahmann, 2011) is constructed around this principle as applied to the SoS development and evolution life cycle. Integrate problems: "Focus on the relationships among problems rather than addressing each problem separately. This allows fewer solutions that take care of multiple problems in an integrative fashion." (INCOSE, 2016) In SoS methods (Cook, 2014) including the SoS Wave Model (Dahmann 2010) and the DoD SoS SE Guide, (DoD, 2008) there is an emphasis on understanding the full SoS context, enabling understanding connections, patterns, and opportunities for this type of integrated view.

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# Emerging Research

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## Emerging Research

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The Emerging Research topic under the SEBoK Emerging Knowledge is a place to showcase some of the systems engineering research published in the past 3-5 years.

### Doctoral Dissertations

Doctoral level systems engineering research has taken root over the last two decades. Additionally, many institutions have either an Industrial Engineering or Systems Engineering Master's program. This has enabled new and interesting research to be conducted. Here you will find bibliographic citations and summaries for recently defended research.

#### Towards Early Lifecycle Prediction of System Reliability

Salter, C. "Towards early lifecycle prediction of system reliability," Ph.D. dissertation University of South Alabama, Mobile, Alabama, July 2018. Available: ProQuest Store <sup>[1]</sup>

Reliability is traditionally defined as "the probability that an item will perform a required function without failure under stated conditions for a stated period of time" (O'Connor, 2012). This definition is applicable to all levels of a system, from the smallest part to the system as a whole. Predicting reliability requires extensive knowledge of the system of interest, thus making prediction difficult and complex. This problem is further complicated by the desire to predict system reliability early in the acquisition lifecycle. This work set out to develop a model for the prediction of system reliability early in the system lifecycle. The model utilizes eight factors: number of system requirements, number of major interfaces, number of operational environments, requirements understanding, technology maturity, manufacturability, company experience, and performance convergence. These factors come together to form a model much like the software engineering and systems engineering models COCOMO and COSYSMO. This work provides the United States Department of Defense a capability that previously did not exist: the estimation of system reliability early in the system lifecycle. The research demonstrates that information available during early system development may be used to predict system reliability. Through testing, the author found that a model of this type could provide reliability predictions for military ground vehicles within 25% of their actual recorded reliability values.

#### Toward the Evolution of Information Digital Ecosystems

Lippert, K. "Toward the evolution of information digital ecosystems," Ph.D dissertation, University of South Alabama, Mobile, Alabama, May 2018. Available: ProQuest Store <sup>[2]</sup>.

Digital ecosystems are the next generation of Internet and network applications, promising a whole new world of distributed and open systems that can interact, self-organize, evolve, and adapt. These ecosystems transcend traditional collaborative environments, such as client-server, peer-to-peer, or hybrid models (e.g., web services) to become a self-organized, interactive environment. The complexity of these digital ecosystems will encourage evolution through adaptive processes and selective pressures of one member on another to satisfy interaction, adaptive organization, and, incidentally, human curiosity. This work addresses one of the essential parts of the digital ecosystem – the information architecture. The research, inspired by systems thinking influenced by both biological

models and science fiction, applies the TRIZ method to the contradictions raised by evolving data. This inspired the application of patterns and metaphor as a means for coping with the evolution of the ecosystem. The metaphor is explored as a model of representation of rapidly changing information through a demonstration of an adaptive digital ecosystem. The combination of this type of data representation with dynamic programming and adaptive interfaces will enable the development of the various components required by a true digital ecosystem.

## Cybersecurity Decision Patterns as Adaptive Knowledge Encoding in Cybersecurity Operations

Willett, K. "Cybersecurity decision patterns as adaptive knowledge encoding in cybersecurity operations", Ph.D. dissertation, Stevens Institute of Technology, Hoboken, NJ, July 2016. Available: <https://pqdtopen.proquest.com/doc/1875237837.html?FMT=ABS>.

Cyberspace adversaries perform successful exploits using automated adaptable tools. Cyberspace defense is too slow because existing response solutions require humans in-the-loop across sensing, sense-making, decision-making, acting, command, and control of security operations (Döne et al. 2016). Security automation is necessary to provide for cyber defense dynamic adaptability in response to an agile adversary with intelligence and intent who adapts quickly to exploit new vulnerabilities and new safeguards. The rules for machine-encoding security automation must come from people; from their knowledge validated through their real-world experience. Cybersecurity Decision Patterns as Adaptive Knowledge Encoding in Cybersecurity Operations introduces cybersecurity decision patterns (CDPs) as formal knowledge representation to capture, codify, and share knowledge to introduce and enhance security automation with the intent to improve cybersecurity operations efficiency for processing anomalies.

## INCOSE & IEEE Periodicals and Events

Every year, the International Council on Systems Engineering (INCOSE) holds one International Workshop and one International Symposium, as well as regular meetings of various working groups, to encourage discussions of emerging needs and sharing of experience within Systems Engineering community. All papers and presentations from these events are available for free for INCOSE members, or with a fee for non-members via Wiley. The library can be access here: <https://www.incose.org/products-and-publications/papers-presentations-library#>

Additionally, INCOSE also publish periodicals, which include: Systems Engineering (SE Journal), INSIGHT (magazine), and INCOSE Members Newsletter. These periodicals are available as PDF, free for INCOSE members and with a fee for non-members, or as hard copies. More information can be found here: <https://www.incose.org/products-and-publications/periodicals>

The Institute of Electrical and Electronics Engineers (IEEE) Systems Council also holds multiple annual conferences, such as the International Systems Conference (SysCon), on systems engineering, resulting in a large pool of publications. These publications can be found via: <https://ieeesystems council.org/publications>

## NSF- and SERC-funded Research

The National Science Foundation (NSF), Division of Civil, Mechanical, and Manufacturing Innovation (CMMI) has been funding research in academia on systems engineering under Engineering Design and Systems Engineering (EDSE) program. According to NSF-EDSE website <sup>[3]</sup>, the program "seeks proposals leading to improved understanding about how processes, organizational structure, social interactions, strategic decision making, and other factors impact success in the planning and execution of engineering design and systems engineering projects". Research under this program can be found via Award Search feature on NSF website: <https://www.nsf.gov/awardsearch/advancedSearch.jsp> (Enter "CMMI" for NSF Organization and "EDSE" for Program).

The Systems Engineering Research Center (SERC) is a University-Affiliated Research Center of the US Department of Defense, consisting of 22 collaborator universities in the US and funding research on different aspects of Systems

Engineering, including Enterprises and System of Systems, Trusted Systems, Systems Engineering and Systems Management Transformation. More information can be found here: <https://sercuarc.org/serc-programs-projects/esos/>

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