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AGILE DEVELOPMENT

In 2001, Kent Beck and 16 other noted software developers, writers, and consultants [Bec01a] (referred to as the “Agile Alliance”) signed the “Manifesto for Agile Software Development.” It stated:

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

Individuals and interactions over processes and tools

Working software over comprehensive documentation

Customer collaboration over contract negotiation

Responding to change over following a plan

That is, while there is value in the items on the right, we value the items on the left more.

QUICK
LOOK

What is it? Agile software engineering combines a philosophy and a set of development guidelines. The philosophy encourages customer satisfaction and early incremental delivery of software; small, highly motivated project teams; informal methods; minimal software engineering work products; and overall development simplicity. The development guidelines stress delivery over analysis and design (although these activities are not discouraged), and active and continuous communication between developers and customers.

Who does it? Software engineers and other project stakeholders (managers, customers, end users) work together on an agile team—a team that is self-organizing and in control of its own destiny. An agile team fosters communication and collaboration among all who serve on it.

Why is it important? The modern business environment that spawns computer-based systems and software products is fast-paced and ever-changing. Agile software engineering represents a reasonable alternative to conventional

software engineering for certain classes of software and certain types of software projects. It has been demonstrated to deliver successful systems quickly.

What are the steps? Agile development might best be termed “software engineering lite.” The basic framework activities—communication, planning, modeling, construction, and deployment—remain. But they morph into a minimal task set that pushes the project team toward construction and delivery (some would argue that this is done at the expense of problem analysis and solution design).

What is the work product? Both the customer and the software engineer have the same view—the only really important work product is an operational “software increment” that is delivered to the customer on the appropriate commitment date.

How do I ensure that I’ve done it right? If the agile team agrees that the process works, and the team produces deliverable software increments that satisfy the customer, you’ve done it right.

A manifesto is normally associated with an emerging political movement—one that attacks the old guard and suggests revolutionary change (hopefully for the better). In some ways, that's exactly what agile development is all about.

Although the underlying ideas that guide agile development have been with us for many years, it has been less than two decades since these ideas have crystallized into a “movement.” In essence, agile¹ methods were developed in an effort to overcome perceived and actual weaknesses in conventional software engineering. Agile development can provide important benefits, but it is not applicable to all projects, all products, all people, and all situations. It is also *not* antithetical to solid software engineering practice and can be applied as an overriding philosophy for all software work.

In the modern economy, it is often difficult or impossible to predict how a computer-based system (e.g., a Web-based application) will evolve as time passes. Market conditions change rapidly, end-user needs evolve, and new competitive threats emerge without warning. In many situations, you won't be able to define requirements fully before the project begins. You must be agile enough to respond to a fluid business environment.

Fluidity implies change, and change is expensive. Particularly if it is uncontrolled or poorly managed. One of the most compelling characteristics of the agile approach is its ability to reduce the costs of change throughout the software process.

Does this mean that a recognition of challenges posed by modern realities causes you to discard valuable software engineering principles, concepts, methods, and tools? Absolutely not! Like all engineering disciplines, software engineering continues to evolve. It can be adapted easily to meet the challenges posed by a demand for agility.

In a thought-provoking book on agile software development, Alistair Cockburn [Coc02] argues that the prescriptive process models introduced in Chapter 2 have a major failing: *they forget the frailties of the people who build computer software*. Software engineers are not robots. They exhibit great variation in working styles; significant differences in skill level, creativity, orderliness, consistency, and spontaneity. Some communicate well in written form, others do not. Cockburn argues that process models can “deal with people's common weaknesses with [either] discipline or tolerance” and that most prescriptive process models choose discipline. He states: “Because consistency in action is a human weakness, high discipline methodologies are fragile.”

If process models are to work, they must provide a realistic mechanism for encouraging the discipline that is necessary, or they must be characterized in a manner that shows “tolerance” for the people who do software engineering work. Invariably, tolerant practices are easier for software people to adopt and sustain, but (as Cockburn admits) they may be less productive. Like most things in life, trade-offs must be considered.

3.1 WHAT IS AGILITY?

Just what is agility in the context of software engineering work? Ivar Jacobson [Jac02a] provides a useful discussion:

Agility has become today's buzzword when describing a modern software process. Everyone is agile. An agile team is a nimble team able to appropriately respond to changes. Change is what software development is very much about. Changes in the software being built, changes to the team members, changes because of new technology, changes of all kinds that may have an impact on the product they build or the project that creates the product. Support for changes should be built-in everything we do in software, something we embrace because it is the heart and soul of software. An agile team recognizes that software is developed by individuals working in teams and that the skills of these people, their ability to collaborate is at the core for the success of the project.

In Jacobson's view, the pervasiveness of change is the primary driver for agility. Software engineers must be quick on their feet if they are to accommodate the rapid changes that Jacobson describes.

But agility is more than an effective response to change. It also encompasses the philosophy espoused in the manifesto noted at the beginning of this chapter. It encourages team structures and attitudes that make communication (among team members, between technologists and business people, between software engineers and their managers) more facile. It emphasizes rapid delivery of operational software and de-emphasizes the importance of intermediate work products (not always a good thing); it adopts the customer as a part of the development team and works to eliminate the "us and them" attitude that continues to pervade many software projects; it recognizes that planning in an uncertain world has its limits and that a project plan must be flexible.

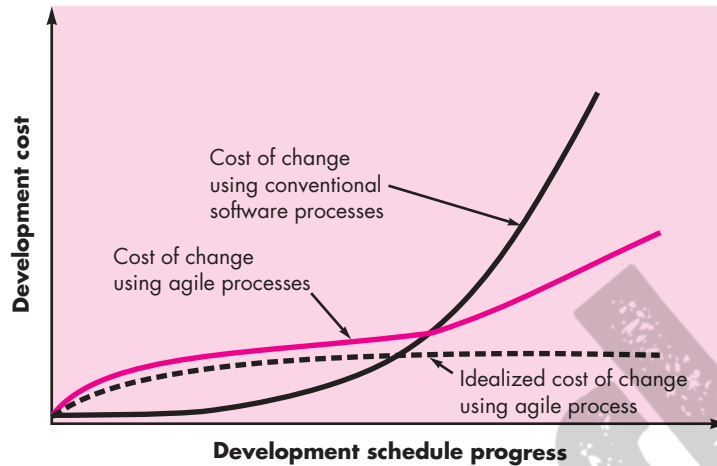
Agility can be applied to any software process. However, to accomplish this, it is essential that the process be designed in a way that allows the project team to adapt tasks and to streamline them, conduct planning in a way that understands the fluidity of an agile development approach, eliminate all but the most essential work products and keep them lean, and emphasize an incremental delivery strategy that gets working software to the customer as rapidly as feasible for the product type and operational environment.

3.2 AGILITY AND THE COST OF CHANGE

The conventional wisdom in software development (supported by decades of experience) is that the cost of change increases nonlinearly as a project progresses (Figure 3.1, solid black curve). It is relatively easy to accommodate a change when a software team is gathering requirements (early in a project). A usage scenario might have to be modified, a list of functions may be extended, or a written specification can be edited. The costs of doing this work are minimal, and the time required will

FIGURE 3.1

Change costs as a function of time in development



not adversely affect the outcome of the project. But what if we fast-forward a number of months? The team is in the middle of validation testing (something that occurs relatively late in the project), and an important stakeholder is requesting a major functional change. The change requires a modification to the architectural design of the software, the design and construction of three new components, modifications to another five components, the design of new tests, and so on. Costs escalate quickly, and the time and cost required to ensure that the change is made without unintended side effects is nontrivial.

Proponents of agility (e.g., [Bec00], [Amb04]) argue that a well-designed agile process “flattens” the cost of change curve (Figure 3.1, shaded, solid curve), allowing a software team to accommodate changes late in a software project without dramatic cost and time impact. You’ve already learned that the agile process encompasses incremental delivery. When incremental delivery is coupled with other agile practices such as continuous unit testing and pair programming (discussed later in this chapter), the cost of making a change is attenuated. Although debate about the degree to which the cost curve flattens is ongoing, there is evidence [Coc01a] to suggest that a significant reduction in the cost of change can be achieved.

3.3 WHAT IS AN AGILE PROCESS?

Any agile software process is characterized in a manner that addresses a number of key assumptions [Fow02] about the majority of software projects:

1. It is difficult to predict in advance which software requirements will persist and which will change. It is equally difficult to predict how customer priorities will change as the project proceeds.

2. For many types of software, design and construction are interleaved. That is, both activities should be performed in tandem so that design models are proven as they are created. It is difficult to predict how much design is necessary before construction is used to prove the design.
3. Analysis, design, construction, and testing are not as predictable (from a planning point of view) as we might like.

Given these three assumptions, an important question arises: How do we create a process that can manage *unpredictability*? The answer, as I have already noted, lies in process adaptability (to rapidly changing project and technical conditions). An agile process, therefore, must be *adaptable*.

But continual adaptation without forward progress accomplishes little. Therefore, an agile software process must adapt *incrementally*. To accomplish incremental adaptation, an agile team requires customer feedback (so that the appropriate adaptations can be made). An effective catalyst for customer feedback is an operational prototype or a portion of an operational system. Hence, an *incremental development strategy* should be instituted. *Software increments* (executable prototypes or portions of an operational system) must be delivered in short time periods so that adaptation keeps pace with change (unpredictability). This iterative approach enables the customer to evaluate the software increment regularly, provide necessary feedback to the software team, and influence the process adaptations that are made to accommodate the feedback.

3.3.1 Agility Principles

The Agile Alliance (see [Agi03], [Fow01]) defines 12 agility principles for those who want to achieve agility:

1. Our highest priority is to satisfy the customer through early and continuous delivery of valuable software.
2. Welcome changing requirements, even late in development. Agile processes harness change for the customer's competitive advantage.
3. Deliver working software frequently, from a couple of weeks to a couple of months, with a preference to the shorter timescale.
4. Business people and developers 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 to and within a development team is face-to-face conversation.
7. Working software 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.
12. At regular intervals, the team reflects on how to become more effective, then tunes and adjusts its behavior accordingly.

Not every agile process model applies these 12 principles with equal weight, and some models choose to ignore (or at least downplay) the importance of one or more of the principles. However, the principles define an *agile spirit* that is maintained in each of the process models presented in this chapter.

3.3.2 The Politics of Agile Development

There is considerable debate (sometimes strident) about the benefits and applicability of agile software development as opposed to more conventional software engineering processes. Jim Highsmith [Hig02a] (facetiously) states the extremes when he characterizes the feeling of the pro-agility camp (“agilists”). “Traditional methodologists are a bunch of stick-in-the-muds who’d rather produce flawless documentation than a working system that meets business needs.” As a counterpoint, he states (again, facetiously) the position of the traditional software engineering camp: “Light-weight, er, ‘agile’ methodologists are a bunch of glorified hackers who are going to be in for a heck of a surprise when they try to scale up their toys into enterprise-wide software.”

Like all software technology arguments, this methodology debate risks degenerating into a religious war. If warfare breaks out, rational thought disappears and beliefs rather than facts guide decision making.

No one is against agility. The real question is: What is the best way to achieve it? As important, how do you build software that meets customers’ needs today and exhibits the quality characteristics that will enable it to be extended and scaled to meet customers’ needs over the long term?

There are no absolute answers to either of these questions. Even within the agile school itself, there are many proposed process models (Section 3.4), each with a subtly different approach to the agility problem. Within each model there is a set of “ideas” (agilists are loath to call them “work tasks”) that represent a significant departure from traditional software engineering. And yet, many agile concepts are simply adaptations of good software engineering concepts. Bottom line: there is much that can be gained by considering the best of both schools and virtually nothing to be gained by denigrating either approach.

If you have further interest, see [Hig01], [Hig02a], and [DeM02] for an entertaining summary of other important technical and political issues.

3.3.3 Human Factors

Proponents of agile software development take great pains to emphasize the importance of “people factors.” As Cockburn and Highsmith [Coc01a] state, “Agile development focuses on the talents and skills of individuals, molding the process to specific people and teams.” The key point in this statement is that *the process molds to the needs of the people and team*, not the other way around.²

If members of the software team are to drive the characteristics of the process that is applied to build software, a number of key traits must exist among the people on an agile team and the team itself:

? What key traits must exist among the people on an effective software team?

Competence. In an agile development (as well as software engineering) context, “competence” encompasses innate talent, specific software-related skills, and overall knowledge of the process that the team has chosen to apply. Skill and knowledge of process can and should be taught to all people who serve as agile team members.

Common focus. Although members of the agile team may perform different tasks and bring different skills to the project, all should be focused on one goal—to deliver a working software increment to the customer within the time promised. To achieve this goal, the team will also focus on continual adaptations (small and large) that will make the process fit the needs of the team.

Collaboration. Software engineering (regardless of process) is about assessing, analyzing, and using information that is communicated to the software team; creating information that will help all stakeholders understand the work of the team; and building information (computer software and relevant databases) that provides business value for the customer. To accomplish these tasks, team members must collaborate—with one another and all other stakeholders.

Decision-making ability. Any good software team (including agile teams) must be allowed the freedom to control its own destiny. This implies that the team is given autonomy—decision-making authority for both technical and project issues.

Fuzzy problem-solving ability. Software managers must recognize that the agile team will continually have to deal with ambiguity and will continually be buffeted by change. In some cases, the team must accept the fact that the problem they are solving today may not be the problem that needs to be solved tomorrow. However, lessons learned from any problem-solving

activity (including those that solve the wrong problem) may be of benefit to the team later in the project.

Mutual trust and respect. The agile team must become what DeMarco and Lister [DeM98] call a “jelled” team (Chapter 24). A jelled team exhibits the trust and respect that are necessary to make them “so strongly knit that the whole is greater than the sum of the parts.” [DeM98]

Self-organization. In the context of agile development, self-organization implies three things: (1) the agile team organizes itself for the work to be done, (2) the team organizes the process to best accommodate its local environment, (3) the team organizes the work schedule to best achieve delivery of the software increment. Self-organization has a number of technical benefits, but more importantly, it serves to improve collaboration and boost team morale. In essence, the team serves as its own management. Ken Schwaber [Sch02] addresses these issues when he writes: “The team selects how much work it believes it can perform within the iteration, and the team commits to the work. Nothing demotivates a team as much as someone else making commitments for it. Nothing motivates a team as much as accepting the responsibility for fulfilling commitments that it made itself.”

3.4 EXTREME PROGRAMMING (XP)

In order to illustrate an agile process in a bit more detail, I’ll provide you with an overview of *Extreme Programming* (XP), the most widely used approach to agile software development. Although early work on the ideas and methods associated with XP occurred during the late 1980s, the seminal work on the subject has been written by Kent Beck [Bec04a]. More recently, a variant of XP, called *Industrial XP* (IXP) has been proposed [Ker05]. IXP refines XP and targets the agile process specifically for use within large organizations.

3.4.1 XP Values

Beck [Bec04a] defines a set of five *values* that establish a foundation for all work performed as part of XP—communication, simplicity, feedback, courage, and respect. Each of these values is used as a driver for specific XP activities, actions, and tasks.

In order to achieve effective *communication* between software engineers and other stakeholders (e.g., to establish required features and functions for the software), XP emphasizes close, yet informal (verbal) collaboration between customers and developers, the establishment of effective metaphors³ for communicating important concepts, continuous feedback, and the avoidance of voluminous documentation as a communication medium.

To achieve *simplicity*, XP restricts developers to design only for immediate needs, rather than consider future needs. The intent is to create a simple design that can be easily implemented in code). If the design must be improved, it can be *refactored*⁴ at a later time.

Feedback is derived from three sources: the implemented software itself, the customer, and other software team members. By designing and implementing an effective testing strategy (Chapters 17 through 20), the software (via test results) provides the agile team with feedback. XP makes use of the *unit test* as its primary testing tactic. As each class is developed, the team develops a unit test to exercise each operation according to its specified functionality. As an increment is delivered to a customer, the *user stories* or *use cases* (Chapter 5) that are implemented by the increment are used as a basis for acceptance tests. The degree to which the software implements the output, function, and behavior of the use case is a form of feedback. Finally, as new requirements are derived as part of iterative planning, the team provides the customer with rapid feedback regarding cost and schedule impact.

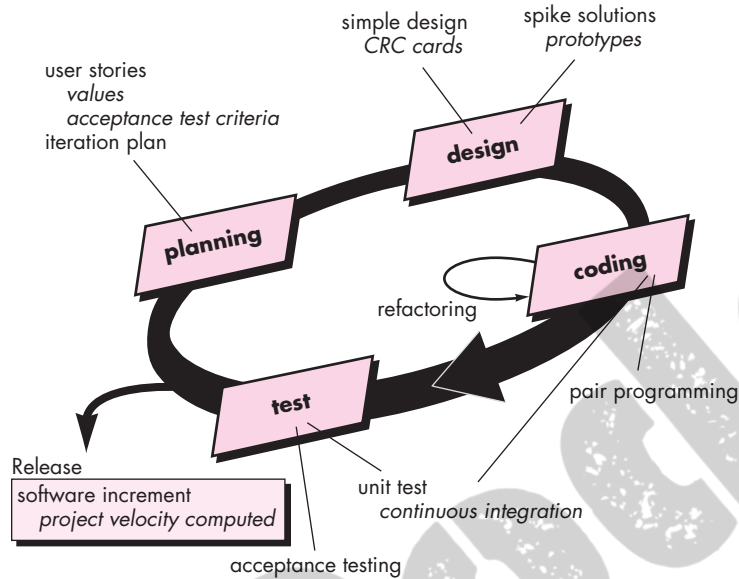
Beck [Bec04a] argues that strict adherence to certain XP practices demands *courage*. A better word might be *discipline*. For example, there is often significant pressure to design for future requirements. Most software teams succumb, arguing that “designing for tomorrow” will save time and effort in the long run. An agile XP team must have the discipline (courage) to design for today, recognizing that future requirements may change dramatically, thereby demanding substantial rework of the design and implemented code.

By following each of these values, the agile team inculcates *respect* among its members, between other stakeholders and team members, and indirectly, for the software itself. As they achieve successful delivery of software increments, the team develops growing respect for the XP process.

3.4.2 The XP Process

Extreme Programming uses an object-oriented approach (Appendix 2) as its preferred development paradigm and encompasses a set of rules and practices that occur within the context of four framework activities: planning, design, coding, and testing. Figure 3.2 illustrates the XP process and notes some of the key ideas and tasks that are associated with each framework activity. Key XP activities are summarized in the paragraphs that follow.

Planning. The planning activity (also called *the planning game*) begins with *listening*—a requirements gathering activity that enables the technical members of the XP team to understand the business context for the software and to get a broad

FIGURE 3.2**The Extreme Programming process**

? What is an XP "story"?

feel for required output and major features and functionality. Listening leads to the creation of a set of "stories" (also called *user stories*) that describe required output, features, and functionality for software to be built. Each *story* (similar to use cases described in Chapter 5) is written by the customer and is placed on an index card. The customer assigns a *value* (i.e., a priority) to the story based on the overall business value of the feature or function.⁵ Members of the XP team then assess each story and assign a *cost*—measured in development weeks—to it. If the story is estimated to require more than three development weeks, the customer is asked to split the story into smaller stories and the assignment of value and cost occurs again. It is important to note that new stories can be written at any time.

Customers and developers work together to decide how to group stories into the next release (the next software increment) to be developed by the XP team. Once a basic *commitment* (agreement on stories to be included, delivery date, and other project matters) is made for a release, the XP team orders the stories that will be developed in one of three ways: (1) all stories will be implemented immediately (within a few weeks), (2) the stories with highest value will be moved up in the schedule and implemented first, or (3) the riskiest stories will be moved up in the schedule and implemented first.

After the first project release (also called a software increment) has been delivered, the XP team computes project velocity. Stated simply, *project velocity* is the

number of customer stories implemented during the first release. Project velocity can then be used to (1) help estimate delivery dates and schedule for subsequent releases and (2) determine whether an overcommitment has been made for all stories across the entire development project. If an overcommitment occurs, the content of releases is modified or end delivery dates are changed.

As development work proceeds, the customer can add stories, change the value of an existing story, split stories, or eliminate them. The XP team then reconsiders all remaining releases and modifies its plans accordingly.

Design. XP design rigorously follows the KIS (keep it simple) principle. A simple design is always preferred over a more complex representation. In addition, the design provides implementation guidance for a story as it is written—nothing less, nothing more. The design of extra functionality (because the developer assumes it will be required later) is discouraged.⁶

XP encourages the use of CRC cards (Chapter 7) as an effective mechanism for thinking about the software in an object-oriented context. CRC (class-responsibility-collaborator) cards identify and organize the object-oriented classes⁷ that are relevant to the current software increment. The XP team conducts the design exercise using a process similar to the one described in Chapter 8. The CRC cards are the only design work product produced as part of the XP process.

If a difficult design problem is encountered as part of the design of a story, XP recommends the immediate creation of an operational prototype of that portion of the design. Called a *spike solution*, the design prototype is implemented and evaluated. The intent is to lower risk when true implementation starts and to validate the original estimates for the story containing the design problem.

In the preceding section, we noted that XP encourages *refactoring*—a construction technique that is also a method for design optimization. Fowler [Fow00] describes refactoring in the following manner:

Refactoring is the process of changing a software system in such a way that it does not alter the external behavior of the code yet improves the internal structure. It is a disciplined way to clean up code [and modify/simplify the internal design] that minimizes the chances of introducing bugs. In essence, when you refactor you are improving the design of the code after it has been written.

Because XP design uses virtually no notation and produces few, if any, work products other than CRC cards and spike solutions, design is viewed as a transient artifact that can and should be continually modified as construction proceeds. The intent of refactoring is to control these modifications by suggesting small design changes

that “can radically improve the design” [Fow00]. It should be noted, however, that the effort required for refactoring can grow dramatically as the size of an application grows.

A central notion in XP is that design occurs both before *and after* coding commences. Refactoring means that design occurs continuously as the system is constructed. In fact, the construction activity itself will provide the XP team with guidance on how to improve the design.

Coding. After stories are developed and preliminary design work is done, the team does *not* move to code, but rather develops a series of unit tests that will exercise each of the stories that is to be included in the current release (software increment).⁸ Once the unit test⁹ has been created, the developer is better able to focus on what must be implemented to pass the test. Nothing extraneous is added (KIS). Once the code is complete, it can be unit-tested immediately, thereby providing instantaneous feedback to the developers.

? What is
pair
programming?

A key concept during the coding activity (and one of the most talked about aspects of XP) is *pair programming*. XP recommends that two people work together at one computer workstation to create code for a story. This provides a mechanism for real-time problem solving (two heads are often better than one) and real-time quality assurance (the code is reviewed as it is created). It also keeps the developers focused on the problem at hand. In practice, each person takes on a slightly different role. For example, one person might think about the coding details of a particular portion of the design while the other ensures that coding standards (a required part of XP) are being followed or that the code for the story will satisfy the unit test that has been developed to validate the code against the story.

As pair programmers complete their work, the code they develop is integrated with the work of others. In some cases this is performed on a daily basis by an integration team. In other cases, the pair programmers have integration responsibility. This “continuous integration” strategy helps to avoid compatibility and interfacing problems and provides a “smoke testing” environment (Chapter 17) that helps to uncover errors early.

? How are unit
tests used in
XP?

Testing. I have already noted that the creation of unit tests before coding commences is a key element of the XP approach. The unit tests that are created should be implemented using a framework that enables them to be automated (hence, they can be executed easily and repeatedly). This encourages a regression testing strategy (Chapter 17) whenever code is modified (which is often, given the XP refactoring philosophy).

As the individual unit tests are organized into a “universal testing suite” [Wel99], integration and validation testing of the system can occur on a daily basis. This provides the XP team with a continual indication of progress and also can raise warning flags early if things go awry. Wells [Wel99] states: “Fixing small problems every few hours takes less time than fixing huge problems just before the deadline.”

XP *acceptance tests*, also called *customer tests*, are specified by the customer and focus on overall system features and functionality that are visible and reviewable by the customer. Acceptance tests are derived from user stories that have been implemented as part of a software release.

3.4.3 Industrial XP

Joshua Kerievsky [Ker05] describes *Industrial Extreme Programming* (IXP) in the following manner: “IXP is an organic evolution of XP. It is imbued with XP’s minimalist, customer-centric, test-driven spirit. IXP differs most from the original XP in its greater inclusion of management, its expanded role for customers, and its upgraded technical practices.” IXP incorporates six new practices that are designed to help ensure that an XP project works successfully for significant projects within a large organization.

 What new practices are appended to XP to create IXP?

Readiness assessment. Prior to the initiation of an IXP project, the organization should conduct a *readiness assessment*. The assessment ascertains whether (1) an appropriate development environment exists to support IXP, (2) the team will be populated by the proper set of stakeholders, (3) the organization has a distinct quality program and supports continuous improvement, (4) the organizational culture will support the new values of an agile team, and (5) the broader project community will be populated appropriately.

Project community. Classic XP suggests that the right people be used to populate the agile team to ensure success. The implication is that people on the team must be well-trained, adaptable and skilled, and have the proper temperament to contribute to a self-organizing team. When XP is to be applied for a significant project in a large organization, the concept of the “team” should morph into that of a *community*. A community may have a technologist and customers who are central to the success of a project as well as many other stakeholders (e.g., legal staff, quality auditors, manufacturing or sales types) who “are often at the periphery of an IXP project yet they may play important roles on the project” [Ker05]. In IXP, the community members and their roles should be explicitly defined and mechanisms for communication and coordination between community members should be established.

Project chartering. The IXP team assesses the project itself to determine whether an appropriate business justification for the project exists and whether the project will further the overall goals and objectives of the

organization. Chartering also examines the context of the project to determine how it complements, extends, or replaces existing systems or processes.

Test-driven management. An IXP project requires measurable criteria for assessing the state of the project and the progress that has been made to date. Test-driven management establishes a series of measurable “destinations” [Ker05] and then defines mechanisms for determining whether or not these destinations have been reached.

Retrospectives. An IXP team conducts a specialized technical review (Chapter 15) after a software increment is delivered. Called a *retrospective*, the review examines “issues, events, and lessons-learned” [Ker05] across a software increment and/or the entire software release. The intent is to improve the IXP process.

Continuous learning. Because learning is a vital part of continuous process improvement, members of the XP team are encouraged (and possibly, incited) to learn new methods and techniques that can lead to a higher-quality product.

In addition to the six new practices discussed, IXP modifies a number of existing XP practices. *Story-driven development* (SDD) insists that stories for acceptance tests be written before a single line of code is generated. *Domain-driven design* (DDD) is an improvement on the “system metaphor” concept used in XP. DDD [Eva03] suggests the evolutionary creation of a domain model that “accurately represents how domain experts think about their subject” [Ker05]. *Pairing* extends the XP pair-programming concept to include managers and other stakeholders. The intent is to improve knowledge sharing among XP team members who may not be directly involved in technical development. *Iterative usability* discourages front-loaded interface design in favor of usability design that evolves as software increments are delivered and users’ interaction with the software is studied.

IXP makes smaller modifications to other XP practices and redefines certain roles and responsibilities to make them more amenable to significant projects for large organizations. For further discussion of IXP, visit <http://industrialxp.org>.

3.4.4 The XP Debate

All new process models and methods spur worthwhile discussion and in some instances heated debate. Extreme Programming has done both. In an interesting book that examines the efficacy of XP, Stephens and Rosenberg [Ste03] argue that many XP practices are worthwhile, but others have been overhyped, and a few are problematic. The authors suggest that the codependent nature of XP practices are both its strength and its weakness. Because many organizations adopt only a subset of XP practices, they weaken the efficacy of the entire process. Proponents counter that XP is continuously evolving and that many of the issues raised by critics have been

addressed as XP practice matures. Among the issues that continue to trouble some critics of XP are:¹⁰

? What are some of the issues that lead to an XP debate?

- *Requirements volatility.* Because the customer is an active member of the XP team, changes to requirements are requested informally. As a consequence, the scope of the project can change and earlier work may have to be modified to accommodate current needs. Proponents argue that this happens regardless of the process that is applied and that XP provides mechanisms for controlling scope creep.
- *Conflicting customer needs.* Many projects have multiple customers, each with his own set of needs. In XP, the team itself is tasked with assimilating the needs of different customers, a job that may be beyond their scope of authority.
- *Requirements are expressed informally.* User stories and acceptance tests are the only explicit manifestation of requirements in XP. Critics argue that a more formal model or specification is often needed to ensure that omissions, inconsistencies, and errors are uncovered before the system is built. Proponents counter that the changing nature of requirements makes such models and specification obsolete almost as soon as they are developed.
- *Lack of formal design.* XP deemphasizes the need for architectural design and in many instances, suggests that design of all kinds should be relatively informal. Critics argue that when complex systems are built, design must be emphasized to ensure that the overall structure of the software will exhibit quality and maintainability. XP proponents suggest that the incremental nature of the XP process limits complexity (simplicity is a core value) and therefore reduces the need for extensive design.

You should note that every software process has flaws and that many software organizations have used XP successfully. The key is to recognize where a process may have weaknesses and to adapt it to the specific needs of your organization.

SAFEHOME



Considering Agile Software Development

The scene: Doug Miller's office.

The Players: Doug Miller, software engineering manager; Jamie Lazar, software team member; Vinod Raman, software team member.

The conversation:

(A knock on the door, Jamie and Vinod enter Doug's office)

Jamie: Doug, you got a minute?

Doug: Sure Jamie, what's up?

Jamie: We've been thinking about our process discussion yesterday . . . you know, what process we're going to choose for this new *SafeHome* project.

Doug: And?

Vinod: I was talking to a friend at another company, and he was telling me about Extreme Programming. It's an agile process model . . . heard of it?

Doug: Yeah, some good, some bad.

Jamie: Well, it sounds pretty good to us. Lets you develop software really fast, uses something called pair programming to do real-time quality checks . . . it's pretty cool, I think.

Doug: It does have a lot of really good ideas. I like the pair-programming concept, for instance, and the idea that stakeholders should be part of the team.

Jamie: Huh? You mean that marketing will work on the project team with us?

Doug (nodding): They're a stakeholder, aren't they?

Jamie: Jeez . . . they'll be requesting changes every five minutes.

Vinod: Not necessarily. My friend said that there are ways to "embrace" changes during an XP project.

Doug: So you guys think we should use XP?

Jamie: It's definitely worth considering.

Doug: I agree. And even if we choose an incremental model as our approach, there's no reason why we can't incorporate much of what XP has to offer.

Vinod: Doug, before you said "some good, some bad." What was the "bad"?

Doug: The thing I don't like is the way XP downplays analysis and design . . . sort of says that writing code is where the action is . . .

(The team members look at one another and smile.)

Doug: So you agree with the XP approach?

Jamie (speaking for both): Writing code is what we do, Boss!

Doug (laughing): True, but I'd like to see you spend a little less time coding and then recoding and a little more time analyzing what has to be done and designing a solution that works.

Vinod: Maybe we can have it both ways, agility with a little discipline.

Doug: I think we can, Vinod. In fact, I'm sure of it.

3.5 OTHER AGILE PROCESS MODELS

The history of software engineering is littered with dozens of obsolete process descriptions and methodologies, modeling methods and notations, tools, and technology. Each flared in notoriety and was then eclipsed by something new and (purportedly) better. With the introduction of a wide array of agile process models—each contending for acceptance within the software development community—the agile movement is following the same historical path.¹¹

As I noted in the last section, the most widely used of all agile process models is Extreme Programming (XP). But many other agile process models have been proposed and are in use across the industry. Among the most common are:

- Adaptive Software Development (ASD)
- Scrum
- Dynamic Systems Development Method (DSDM)

- Crystal
- Feature Drive Development (FDD)
- Lean Software Development (LSD)
- Agile Modeling (AM)
- Agile Unified Process (AUP)

In the sections that follow, I present a very brief overview of each of these agile process models. It is important to note that *all* agile process models conform (to a greater or lesser degree) to the *Manifesto for Agile Software Development* and the principles noted in Section 3.3.1. For additional detail, refer to the references noted in each subsection or for a survey, examine the “agile software development” entry in Wikipedia.¹²

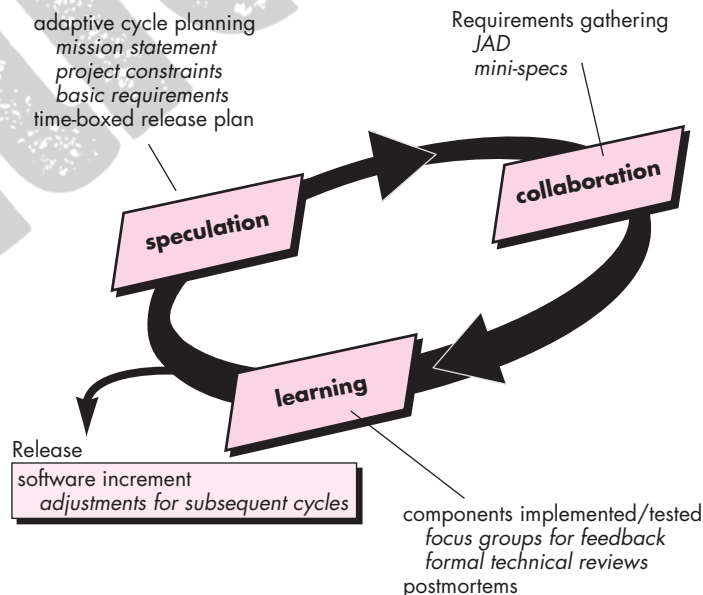
3.5.1 Adaptive Software Development (ASD)

Adaptive Software Development (ASD) has been proposed by Jim Highsmith [Hig00] as a technique for building complex software and systems. The philosophical underpinnings of ASD focus on human collaboration and team self-organization.

Highsmith argues that an agile, adaptive development approach based on collaboration is “as much a source of *order* in our complex interactions as discipline and engineering.” He defines an ASD “life cycle” (Figure 3.3) that incorporates three phases, speculation, collaboration, and learning.

FIGURE 3.3

**Adaptive
software
development**



During *speculation*, the project is initiated and *adaptive cycle planning* is conducted. Adaptive cycle planning uses project initiation information—the customer’s mission statement, project constraints (e.g., delivery dates or user descriptions), and basic requirements—to define the set of release cycles (software increments) that will be required for the project.

No matter how complete and farsighted the cycle plan, it will invariably change. Based on information obtained at the completion of the first cycle, the plan is reviewed and adjusted so that planned work better fits the reality in which an ASD team is working.

Motivated people use *collaboration* in a way that multiplies their talent and creative output beyond their absolute numbers. This approach is a recurring theme in all agile methods. But collaboration is not easy. It encompasses communication and teamwork, but it also emphasizes individualism, because individual creativity plays an important role in collaborative thinking. It is, above all, a matter of trust. People working together must trust one another to (1) criticize without animosity, (2) assist without resentment, (3) work as hard as or harder than they do, (4) have the skill set to contribute to the work at hand, and (5) communicate problems or concerns in a way that leads to effective action.

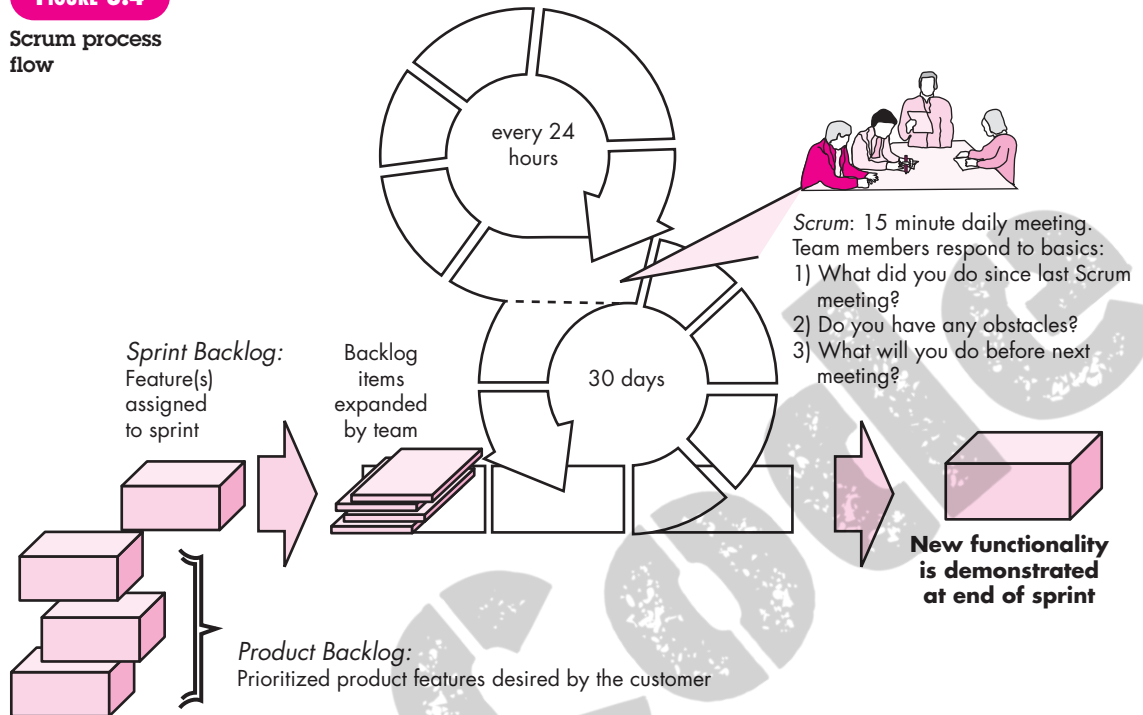
As members of an ASD team begin to develop the components that are part of an adaptive cycle, the emphasis is on “learning” as much as it is on progress toward a completed cycle. In fact, Highsmith [Hig00] argues that software developers often overestimate their own understanding (of the technology, the process, and the project) and that learning will help them to improve their level of real understanding. ASD teams learn in three ways: focus groups (Chapter 5), technical reviews (Chapter 14), and project postmortems.

The ASD philosophy has merit regardless of the process model that is used. ASD’s overall emphasis on the dynamics of self-organizing teams, interpersonal collaboration, and individual and team learning yield software project teams that have a much higher likelihood of success.

3.5.2 Scrum

Scrum (the name is derived from an activity that occurs during a rugby match¹³) is an agile software development method that was conceived by Jeff Sutherland and his development team in the early 1990s. In recent years, further development on the Scrum methods has been performed by Schwaber and Beedle [Sch01a].

Scrum principles are consistent with the agile manifesto and are used to guide development activities within a process that incorporates the following framework activities: requirements, analysis, design, evolution, and delivery. Within each

FIGURE 3.4**Scrum process flow**

framework activity, work tasks occur within a process pattern (discussed in the following paragraph) called a *sprint*. The work conducted within a sprint (the number of sprints required for each framework activity will vary depending on product complexity and size) is adapted to the problem at hand and is defined and often modified in real time by the Scrum team. The overall flow of the Scrum process is illustrated in Figure 3.4.

Scrum emphasizes the use of a set of software process patterns [Noy02] that have proven effective for projects with tight timelines, changing requirements, and business criticality. Each of these process patterns defines a set of development actions:

Backlog—a prioritized list of project requirements or features that provide business value for the customer. Items can be added to the backlog at any time (this is how changes are introduced). The product manager assesses the backlog and updates priorities as required.

Sprints—consist of work units that are required to achieve a requirement defined in the backlog that must be fit into a predefined time-box¹⁴ (typically 30 days).

¹⁴ A *time-box* is a project management term (see Part 4 of this book) that indicates a period of time that has been allocated to accomplish some task.

Changes (e.g., backlog work items) are not introduced during the sprint. Hence, the sprint allows team members to work in a short-term, but stable environment.

Scrum meetings—are short (typically 15 minutes) meetings held daily by the Scrum team. Three key questions are asked and answered by all team members [Noy02]:

- What did you do since the last team meeting?
- What obstacles are you encountering?
- What do you plan to accomplish by the next team meeting?

A team leader, called a *Scrum master*, leads the meeting and assesses the responses from each person. The Scrum meeting helps the team to uncover potential problems as early as possible. Also, these daily meetings lead to “knowledge socialization” [Bee99] and thereby promote a self-organizing team structure.

Demos—deliver the software increment to the customer so that functionality that has been implemented can be demonstrated and evaluated by the customer. It is important to note that the demo may not contain all planned functionality, but rather those functions that can be delivered within the time-box that was established.

Beedle and his colleagues [Bee99] present a comprehensive discussion of these patterns in which they state: “Scrum assumes up-front the existence of chaos. . . .” The Scrum process patterns enable a software team to work successfully in a world where the elimination of uncertainty is impossible.

3.5.3 Dynamic Systems Development Method (DSDM)

The *Dynamic Systems Development Method* (DSDM) [Sta97] is an agile software development approach that “provides a framework for building and maintaining systems which meet tight time constraints through the use of incremental prototyping in a controlled project environment” [CCS02]. The DSDM philosophy is borrowed from a modified version of the Pareto principle—80 percent of an application can be delivered in 20 percent of the time it would take to deliver the complete (100 percent) application.

DSDM is an iterative software process in which each iteration follows the 80 percent rule. That is, only enough work is required for each increment to facilitate movement to the next increment. The remaining detail can be completed later when more business requirements are known or changes have been requested and accommodated.

The DSDM Consortium (www.dsdm.org) is a worldwide group of member companies that collectively take on the role of “keeper” of the method. The consortium has defined an agile process model, called the *DSDM life cycle* that defines three different iterative cycles, preceded by two additional life cycle activities:

Feasibility study—establishes the basic business requirements and constraints associated with the application to be built and then assesses whether the application is a viable candidate for the DSDM process.

Business study—establishes the functional and information requirements that will allow the application to provide business value; also, defines the basic application architecture and identifies the maintainability requirements for the application.

Functional model iteration—produces a set of incremental prototypes that demonstrate functionality for the customer. (Note: All DSDM prototypes are intended to evolve into the deliverable application.) The intent during this iterative cycle is to gather additional requirements by eliciting feedback from users as they exercise the prototype.

Design and build iteration—revisits prototypes built during *functional model iteration* to ensure that each has been engineered in a manner that will enable it to provide operational business value for end users. In some cases, *functional model iteration* and *design and build iteration* occur concurrently.

Implementation—places the latest software increment (an “operationalized” prototype) into the operational environment. It should be noted that (1) the increment may not be 100 percent complete or (2) changes may be requested as the increment is put into place. In either case, DSDM development work continues by returning to the functional model iteration activity.

DSDM can be combined with XP (Section 3.4) to provide a combination approach that defines a solid process model (the DSDM life cycle) with the nuts and bolts practices (XP) that are required to build software increments. In addition, the ASD concepts of collaboration and self-organizing teams can be adapted to a combined process model.

3.5.4 Crystal

Alistair Cockburn [Coc05] and Jim Highsmith [Hig02b] created the *Crystal family of agile methods*¹⁵ in order to achieve a software development approach that puts a premium on “maneuverability” during what Cockburn characterizes as “a resource-limited, cooperative game of invention and communication, with a primary goal of delivering useful, working software and a secondary goal of setting up for the next game” [Coc02].

To achieve maneuverability, Cockburn and Highsmith have defined a set of methodologies, each with core elements that are common to all, and roles, process patterns, work products, and practice that are unique to each. The Crystal family is actually a set of example agile processes that have been proven effective for different types of projects. The intent is to allow agile teams to select the member of the crystal family that is most appropriate for their project and environment.

3.5.5 Feature Driven Development (FDD)

Feature Driven Development (FDD) was originally conceived by Peter Coad and his colleagues [Coa99] as a practical process model for object-oriented software engineering. Stephen Palmer and John Felsing [Pal02] have extended and improved Coad's work, describing an adaptive, agile process that can be applied to moderately sized and larger software projects.

Like other agile approaches, FDD adopts a philosophy that (1) emphasizes collaboration among people on an FDD team; (2) manages problem and project complexity using feature-based decomposition followed by the integration of software increments, and (3) communication of technical detail using verbal, graphical, and text-based means. FDD emphasizes software quality assurance activities by encouraging an incremental development strategy, the use of design and code inspections, the application of software quality assurance audits (Chapter 16), the collection of metrics, and the use of patterns (for analysis, design, and construction).

In the context of FDD, a *feature* "is a client-valued function that can be implemented in two weeks or less" [Coa99]. The emphasis on the definition of features provides the following benefits:

- Because features are small blocks of deliverable functionality, users can describe them more easily; understand how they relate to one another more readily; and better review them for ambiguity, error, or omissions.
- Features can be organized into a hierarchical business-related grouping.
- Since a feature is the FDD deliverable software increment, the team develops operational features every two weeks.
- Because features are small, their design and code representations are easier to inspect effectively.
- Project planning, scheduling, and tracking are driven by the feature hierarchy, rather than an arbitrarily adopted software engineering task set.

Coad and his colleagues [Coa99] suggest the following template for defining a feature:

<action> the <result> <by | for | of | to> a(n) <object>

where an **<object>** is "a person, place, or thing (including roles, moments in time or intervals of time, or catalog-entry-like descriptions)." Examples of features for an e-commerce application might be:

Add the product to shopping cart

Display the technical-specifications of the product

Store the shipping-information for the customer

(6) reducing the time required to request and get a decision that affects the software or the process that is applied to create it, and (7) streamlining the manner in which information is transmitted to all stakeholders involved in the process.

For a detailed discussion of LSD and pragmatic guidelines for implementing the process, you should examine [Pop06a] and [Pop06b].

3.5.7 Agile Modeling (AM)

There are many situations in which software engineers must build large, business-critical systems. The scope and complexity of such systems must be modeled so that (1) all constituencies can better understand what needs to be accomplished, (2) the problem can be partitioned effectively among the people who must solve it, and (3) quality can be assessed as the system is being engineered and built.

Over the past 30 years, a wide variety of software engineering modeling methods and notation have been proposed for analysis and design (both architectural and component-level). These methods have merit, but they have proven to be difficult to apply and challenging to sustain (over many projects). Part of the problem is the “weight” of these modeling methods. By this I mean the volume of notation required, the degree of formalism suggested, the sheer size of the models for large projects, and the difficulty in maintaining the model(s) as changes occur. Yet analysis and design modeling have substantial benefit for large projects—if for no other reason than to make these projects intellectually manageable. Is there an agile approach to software engineering modeling that might provide an alternative?

At “The Official Agile Modeling Site,” Scott Ambler [Amb02a] describes *agile modeling* (AM) in the following manner:

Agile Modeling (AM) is a practice-based methodology for effective modeling and documentation of software-based systems. Simply put, Agile Modeling (AM) is a collection of values, principles, and practices for modeling software that can be applied on a software development project in an effective and light-weight manner. Agile models are more effective than traditional models because they are just barely good, they don’t have to be perfect.

Agile modeling adopts all of the values that are consistent with the agile manifesto. The agile modeling philosophy recognizes that an agile team must have the courage to make decisions that may cause it to reject a design and refactor. The team must also have the humility to recognize that technologists do not have all the answers and that business experts and other stakeholders should be respected and embraced.

Although AM suggests a wide array of “core” and “supplementary” modeling principles, those that make AM unique are [Amb02a]:

Model with a purpose. A developer who uses AM should have a specific goal (e.g., to communicate information to the customer or to help better understand some aspect of the software) in mind before creating the model. Once the goal for the model is identified, the type of notation to be used and level of detail required will be more obvious.

Use multiple models. There are many different models and notations that can be used to describe software. Only a small subset is essential for most projects. AM suggests that to provide needed insight, each model should present a different aspect of the system and only those models that provide value to their intended audience should be used.

Travel light. As software engineering work proceeds, keep only those models that will provide long-term value and jettison the rest. Every work product that is kept must be maintained as changes occur. This represents work that slows the team down. Ambler [Amb02a] notes that “Every time you decide to keep a model you trade-off agility for the convenience of having that information available to your team in an abstract manner (hence potentially enhancing communication within your team as well as with project stakeholders).”

Content is more important than representation. Modeling should impart information to its intended audience. A syntactically perfect model that imparts little useful content is not as valuable as a model with flawed notation that nevertheless provides valuable content for its audience.

Know the models and the tools you use to create them. Understand the strengths and weaknesses of each model and the tools that are used to create it.

Adapt locally. The modeling approach should be adapted to the needs of the agile team.

A major segment of the software engineering community has adopted the Unified Modeling Language (UML)¹⁶ as the preferred method for representing analysis and design models. The Unified Process (Chapter 2) has been developed to provide a framework for the application of UML. Scott Ambler [Amb06] has developed a simplified version of the UP that integrates his agile modeling philosophy.

3.5.8 Agile Unified Process (AUP)

The *Agile Unified Process* (AUP) adopts a “serial in the large” and “iterative in the small” [Amb06] philosophy for building computer-based systems. By adopting the classic UP phased activities—*inception*, *elaboration*, *construction*, and *transition*—AUP provides a serial overlay (i.e., a linear sequence of software engineering activities) that enables a team to visualize the overall process flow for a software project. However, within each of the activities, the team iterates to achieve agility and to deliver meaningful software increments to end users as rapidly as possible. Each AUP iteration addresses the following activities [Amb06]:

- *Modeling.* UML representations of the business and problem domains are created. However, to stay agile, these models should be “just barely good enough” [Amb06] to allow the team to proceed.

- *Implementation.* Models are translated into source code.
- *Testing.* Like XP, the team designs and executes a series of tests to uncover errors and ensure that the source code meets its requirements.
- *Deployment.* Like the generic process activity discussed in Chapters 1 and 2, deployment in this context focuses on the delivery of a software increment and the acquisition of feedback from end users.
- *Configuration and project management.* In the context of AUP, configuration management (Chapter 22) addresses change management, risk management, and the control of any persistent work products¹⁷ that are produced by the team. Project management tracks and controls the progress of the team and coordinates team activities.
- *Environment management.* Environment management coordinates a process infrastructure that includes standards, tools, and other support technology available to the team.

Although the AUP has historical and technical connections to the Unified Modeling Language, it is important to note that UML modeling can be using in conjunction with any of the agile process models described in Section 3.5.

SOFTWARE TOOLS



Agile Development

Objective: The objective of agile development tools is to assist in one or more aspects of agile development with an emphasis on facilitating the rapid generation of operational software. These tools can also be used when prescriptive process models (Chapter 2) are applied.

Mechanics: Tool mechanics vary. In general, agile tool sets encompass automated support for project planning, use case development and requirements gathering, rapid design, code generation, and testing.

Representative Tools:¹⁸

Note: Because agile development is a hot topic, most software tools vendors purport to sell tools that support

the agile approach. The tools noted here have characteristics that make them particularly useful for agile projects.

OnTime, developed by Axosoft (www.axosoft.com), provides agile process management support for various technical activities within the process.

Ideogramic UML, developed by Ideogramic (www.ideogramic.com) is a UML tool set specifically developed for use within an agile process.

Together Tool Set, distributed by Borland (www.borland.com), provides a tools suite that supports many technical activities within XP and other agile processes.

3.6 A TOOL SET FOR THE AGILE PROCESS

Some proponents of the agile philosophy argue that automated software tools (e.g., design tools) should be viewed as a minor supplement to the team's activities, and not at all pivotal to the success of the team. However, Alistair Cockburn [Coc04] suggests that tools can have a benefit and that "agile teams stress using tools that permit the rapid flow of understanding. Some of those tools are social, starting even at the hiring stage. Some tools are technological, helping distributed teams simulate being physically present. Many tools are physical, allowing people to manipulate them in workshops."

Because acquiring the right people (hiring), team collaboration, stakeholder communication, and indirect management are key elements in virtually all agile process models, Cockburn argues that "tools" that address these issues are critical success factors for agility. For example, a hiring "tool" might be the requirement to have a prospective team member spend a few hours pair programming with an existing member of the team. The "fit" can be assessed immediately.

Collaborative and communication "tools" are generally low tech and incorporate any mechanism ("physical proximity, whiteboards, poster sheets, index cards, and sticky notes" [Coc04]) that provides information and coordination among agile developers. Active communication is achieved via the team dynamics (e.g., pair programming), while passive communication is achieved by "information radiators" (e.g., a flat panel display that presents the overall status of different components of an increment). Project management tools deemphasize the Gantt chart and replace it with earned value charts or "graphs of tests created versus passed . . . other agile tools are used to optimize the environment in which the agile team works (e.g., more efficient meeting areas), improve the team culture by nurturing social interactions (e.g., collocated teams), physical devices (e.g., electronic whiteboards), and process enhancement (e.g., pair programming or time-boxing)" [Coc04].

Are any of these things really tools? They are, if they facilitate the work performed by an agile team member and enhance the quality of the end product.

PRINCIPLES THAT
GUIDE PRACTICE

In a book that explores the lives and thoughts of software engineers, Ellen Ullman [Ull97] depicts a slice of life as she relates the thoughts of practitioner under pressure:

I have no idea what time it is. There are no windows in this office and no clock, only the blinking red LED display of a microwave, which flashes 12:00, 12:00, 12:00, 12:00. Joel and I have been programming for days. We have a bug, a stubborn demon of a bug. So the red pulse no-time feels right, like a read-out of our brains, which have somehow synchronized themselves at the same blink rate . . .

What are we working on? . . . The details escape me just now. We may be helping poor sick people or tuning a set of low-level routines to verify bits on a distributed database protocol—I don't care. I should care; in another part of my being—later, perhaps when we emerge from this room full of computers—I will care very much why and for whom and for what purpose I am writing software. But just now: no. I have passed through a membrane where the real world and its uses no longer matter. I am a software engineer. . . .

**QUICK
LOOK**

What is it? Software engineering practice is a broad array of principles, concepts, methods, and tools that you must consider as software is planned and developed. Principles that guide practice establish a foundation from which software engineering is conducted.

Who does it? Practitioners (software engineers) and their managers conduct a variety of software engineering tasks.

Why is it important? The software process provides everyone involved in the creation of a computer-based system or product with a road map for getting to a successful destination. Practice provides you with the detail you'll need to drive along the road. It tells you where the bridges, the roadblocks, and the forks are located. It helps you understand the concepts and principles that must be understood and followed to drive safely and rapidly. It instructs you on how to drive, where to slow down, and where to speed up. In the context of software engineering,

practice is what you do day in and day out as software evolves from an idea to a reality.

What are the steps? Three elements of practice apply regardless of the process model that is chosen. They are: principles, concepts, and methods. A fourth element of practice—tools—supports the application of methods.

What is the work product? Practice encompasses the technical activities that produce all work products that are defined by the software process model that has been chosen.

How do I ensure that I've done it right? First, have a firm understanding of the principles that apply to the work (e.g., design) that you're doing at the moment. Then, be certain that you've chosen an appropriate method for the work, be sure that you understand how to apply the method, use automated tools when they're appropriate for the task, and be adamant about the need for techniques to ensure the quality of work products that are produced.

A dark image of software engineering practice to be sure, but upon reflection, many of the readers of this book will be able to relate to it.

People who create computer software practice the art or craft or discipline¹ that is software engineering. But what is software engineering “practice”? In a generic sense, *practice* is a collection of concepts, principles, methods, and tools that a software engineer calls upon on a daily basis. Practice allows managers to manage software projects and software engineers to build computer programs. Practice populates a software process model with the necessary technical and management how-to’s to get the job done. Practice transforms a haphazard unfocused approach into something that is more organized, more effective, and more likely to achieve success.

Various aspects of software engineering practice will be examined throughout the remainder of this book. In this chapter, my focus is on principles and concepts that guide software engineering practice in general.

4.1 SOFTWARE ENGINEERING KNOWLEDGE

In an editorial published in *IEEE Software* a decade ago, Steve McConnell [McC99] made the following comment:

Many software practitioners think of software engineering knowledge almost exclusively as knowledge of specific technologies: Java, Perl, html, C++, Linux, Windows NT, and so on. Knowledge of specific technology details is necessary to perform computer programming. If someone assigns you to write a program in C++, you have to know something about C++ to get your program to work.

You often hear people say that software development knowledge has a 3-year half-life: half of what you need to know today will be obsolete within 3 years. In the domain of technology-related knowledge, that’s probably about right. But there is another kind of software development knowledge—a kind that I think of as “software engineering principles”—that does not have a three-year half-life. These software engineering principles are likely to serve a professional programmer throughout his or her career.

McConnell goes on to argue that the body of software engineering knowledge (circa the year 2000) had evolved to a “stable core” that he estimated represented about “75 percent of the knowledge needed to develop a complex system.” But what resides within this stable core?

As McConnell indicates, core principles—the elemental ideas that guide software engineers in the work that they do—now provide a foundation from which software engineering models, methods, and tools can be applied and evaluated.

4.2 CORE PRINCIPLES

Software engineering is guided by a collection of core principles that help in the application of a meaningful software process and the execution of effective software engineering methods. At the process level, core principles establish a philosophical foundation that guides a software team as it performs framework and umbrella activities, navigates the process flow, and produces a set of software engineering work products. At the level of practice, core principles establish a collection of values and rules that serve as a guide as you analyze a problem, design a solution, implement and test the solution, and ultimately deploy the software in the user community.

In Chapter 1, I identified a set of general principles that span software engineering process and practice: (1) provide value to end users, (2) keep it simple, (3) maintain the vision (of the product and the project), (4) recognize that others consume (and must understand) what you produce, (5) be open to the future, (6) plan ahead for reuse, and (7) think! Although these general principles are important, they are characterized at such a high level of abstraction that they are sometimes difficult to translate into day-to-day software engineering practice. In the subsections that follow, I take a more detailed look at the core principles that guide process and practice.

4.2.1 Principles That Guide Process

In Part 1 of this book I discussed the importance of the software process and described the many different process models that have been proposed for software engineering work. Regardless of whether a model is linear or iterative, prescriptive or agile, it can be characterized using the generic process framework that is applicable for all process models. The following set of core principles can be applied to the framework, and by extension, to every software process.

Principle 1. *Be agile.* Whether the process model you choose is prescriptive or agile, the basic tenets of agile development should govern your approach. Every aspect of the work you do should emphasize economy of action—keep your technical approach as simple as possible, keep the work products you produce as concise as possible, and make decisions locally whenever possible.

Principle 2. *Focus on quality at every step.* The exit condition for every process activity, action, and task should focus on the quality of the work product that has been produced.

Principle 3. *Be ready to adapt.* Process is not a religious experience, and dogma has no place in it. When necessary, adapt your approach to constraints imposed by the problem, the people, and the project itself.

Principle 4. *Build an effective team.* Software engineering process and practice are important, but the bottom line is people. Build a self-organizing team that has mutual trust and respect.

Principle 5. Establish mechanisms for communication and coordination.

Projects fail because important information falls into the cracks and/or stakeholders fail to coordinate their efforts to create a successful end product. These are management issues and they must be addressed.

Principle 6. Manage change. The approach may be either formal or informal, but mechanisms must be established to manage the way changes are requested, assessed, approved, and implemented.

Principle 7. Assess risk. Lots of things can go wrong as software is being developed. It's essential that you establish contingency plans.

Principle 8. Create work products that provide value for others.

Create only those work products that provide value for other process activities, actions, or tasks. Every work product that is produced as part of software engineering practice will be passed on to someone else. A list of required functions and features will be passed along to the person (people) who will develop a design, the design will be passed along to those who generate code, and so on. Be sure that the work product imparts the necessary information without ambiguity or omission.

Part 4 of this book focuses on project and process management issues and considers various aspects of each of these principles in some detail.

4.2.2 Principles That Guide Practice

Software engineering practice has a single overriding goal—to deliver on-time, high-quality, operational software that contains functions and features that meet the needs of all stakeholders. To achieve this goal, you should adopt a set of core principles that guide your technical work. These principles have merit regardless of the analysis and design methods that you apply, the construction techniques (e.g., programming language, automated tools) that you use, or the verification and validation approach that you choose. The following set of core principles are fundamental to the practice of software engineering:

Principle 1. Divide and conquer. Stated in a more technical manner, analysis and design should always emphasize *separation of concerns* (SoC). A large problem is easier to solve if it is subdivided into a collection of elements (or *concerns*). Ideally, each concern delivers distinct functionality that can be developed, and in some cases validated, independently of other concerns.

Principle 2. Understand the use of abstraction. At its core, an abstraction is a simplification of some complex element of a system used to communicate meaning in a single phrase. When I use the abstraction *spreadsheet*, it is assumed that you understand what a spreadsheet is, the general structure of content that a spreadsheet presents, and the typical functions that can be applied to it. In software engineering practice, you use many different levels

of abstraction, each imparting or implying meaning that must be communicated. In analysis and design work, a software team normally begins with models that represent high levels of abstraction (e.g., a spreadsheet) and slowly refines those models into lower levels of abstraction (e.g., a *column* or the *SUM* function).

Joel Spolsky [Spo02] suggests that “all non-trivial abstractions, to some degree, are leaky.” The intent of an abstraction is to eliminate the need to communicate details. But sometimes, problematic effects precipitated by these details “leak” through. Without an understanding of the details, the cause of a problem cannot be easily diagnosed.

Principle 3. Strive for consistency. Whether it’s creating a requirements model, developing a software design, generating source code, or creating test cases, the principle of consistency suggests that a familiar context makes software easier to use. As an example, consider the design of a user interface for a WebApp. Consistent placement of menu options, the use of a consistent color scheme, and the consistent use of recognizable icons all help to make the interface ergonomically sound.

Principle 4. Focus on the transfer of information. Software is about information transfer—from a database to an end user, from a legacy system to a WebApp, from an end user into a graphic user interface (GUI), from an operating system to an application, from one software component to another—the list is almost endless. In every case, information flows across an interface, and as a consequence, there are opportunities for error, or omission, or ambiguity. The implication of this principle is that you must pay special attention to the analysis, design, construction, and testing of interfaces.

Principle 5. Build software that exhibits effective modularity.

Separation of concerns (Principle 1) establishes a philosophy for software. *Modularity* provides a mechanism for realizing the philosophy. Any complex system can be divided into modules (components), but good software engineering practice demands more. Modularity must be *effective*. That is, each module should focus exclusively on one well-constrained aspect of the system—it should be cohesive in its function and/or constrained in the content it represents. Additionally, modules should be interconnected in a relatively simple manner—each module should exhibit low coupling to other modules, to data sources, and to other environmental aspects.

Principle 6. Look for patterns. Brad Appleton [App00] suggests that:

The goal of patterns within the software community is to create a body of literature to help software developers resolve recurring problems encountered throughout all of software development. Patterns help create a shared language for communicating insight and experience about these problems and their solutions. Formally codifying these solutions and their relationships lets us successfully capture the

body of knowledge which defines our understanding of good architectures that meet the needs of their users.

Principle 7. When possible, represent the problem and its solution from a number of different perspectives. When a problem and its solution are examined from a number of different perspectives, it is more likely that greater insight will be achieved and that errors and omissions will be uncovered. For example, a requirements model can be represented using a data-oriented viewpoint, a function-oriented viewpoint, or a behavioral viewpoint (Chapters 6 and 7). Each provides a different view of the problem and its requirements.

Principle 8. Remember that someone will maintain the software. Over the long term, software will be corrected as defects are uncovered, adapted as its environment changes, and enhanced as stakeholders request more capabilities. These maintenance activities can be facilitated if solid software engineering practice is applied throughout the software process.

These principles are not all you'll need to build high-quality software, but they do establish a foundation for every software engineering method discussed in this book.

4.3 PRINCIPLES THAT GUIDE EACH FRAMEWORK ACTIVITY

In the sections that follow I consider principles that have a strong bearing on the success of each generic framework activity defined as part of the software process. In many cases, the principles that are discussed for each of the framework activities are a refinement of the principles presented in Section 4.2. They are simply core principles stated at a lower level of abstraction.

4.3.1 Communication Principles

Before customer requirements can be analyzed, modeled, or specified they must be gathered through the communication activity. A customer has a problem that may be amenable to a computer-based solution. You respond to the customer's request for help. Communication has begun. But the road from communication to understanding is often full of potholes.

Effective communication (among technical peers, with the customer and other stakeholders, and with project managers) is among the most challenging activities that you will confront. In this context, I discuss communication principles as they apply to customer communication. However, many of the principles apply equally to all forms of communication that occur within a software project.

Principle 1. Listen. Try to focus on the speaker's words, rather than formulating your response to those words. Ask for clarification if something is unclear, but avoid constant interruptions. *Never* become contentious in your words or actions (e.g., rolling your eyes or shaking your head) as a person is talking.

Principle 2. Prepare before you communicate. Spend the time to understand the problem before you meet with others. If necessary, do some research to understand business domain jargon. If you have responsibility for conducting a meeting, prepare an agenda in advance of the meeting.

Principle 3. Someone should facilitate the activity. Every communication meeting should have a leader (a facilitator) to keep the conversation moving in a productive direction, (2) to mediate any conflict that does occur, and (3) to ensure that other principles are followed.

Principle 4. Face-to-face communication is best. But it usually works better when some other representation of the relevant information is present. For example, a participant may create a drawing or a “strawman” document that serves as a focus for discussion.

Principle 5. Take notes and document decisions. Things have a way of falling into the cracks. Someone participating in the communication should serve as a “recorder” and write down all important points and decisions.

Principle 6. Strive for collaboration. Collaboration and consensus occur when the collective knowledge of members of the team is used to describe product or system functions or features. Each small collaboration serves to build trust among team members and creates a common goal for the team.

Principle 7. Stay focused; modularize your discussion. The more people involved in any communication, the more likely that discussion will bounce from one topic to the next. The facilitator should keep the conversation modular, leaving one topic only after it has been resolved (however, see Principle 9).

Principle 8. If something is unclear, draw a picture. Verbal communication goes only so far. A sketch or drawing can often provide clarity when words fail to do the job.

Principle 9. (a) Once you agree to something, move on. (b) If you can't agree to something, move on. (c) If a feature or function is unclear and cannot be clarified at the moment, move on. Communication, like any software engineering activity, takes time. Rather than iterating endlessly, the people who participate should recognize that many topics require discussion (see Principle 2) and that “moving on” is sometimes the best way to achieve communication agility.

Principle 10. Negotiation is not a contest or a game. It works best when both parties win. There are many instances in which you and other stakeholders must negotiate functions and features, priorities, and delivery dates. If the team has collaborated well, all parties have a common goal. Still, negotiation will demand compromise from all parties.

 **What happens if I can't come to an agreement with the customer on some project-related issue?**

INFO



The Difference Between Customers and End Users

Software engineers communicate with many different stakeholders, but customers and end users have the most significant impact on the technical work that follows. In some cases the customer and the end user are one and the same, but for many projects, the customer and the end user are different people, working for different managers, in different business organizations.

A *customer* is the person or group who (1) originally requested the software to be built, (2) defines overall business objectives for the software, (3) provides basic

product requirements, and (4) coordinates funding for the project. In a product or system business, the customer is often the marketing department. In an information technology (IT) environment, the customer might be a business component or department.

An *end user* is the person or group who (1) will actually use the software that is built to achieve some business purpose and (2) will define operational details of the software so the business purpose can be achieved.

SAFEHOME



Communication Mistakes

team workspace

The players: Jamie Lazar, software team member; Vinod Raman, software team member; Ed Robbins, software team member.

The conversation:

Ed: "What have you heard about this *SafeHome* project?"

Vinod: "The kick-off meeting is scheduled for next week."

Jamie: "I've already done a little bit of investigation, but it didn't go well."

Ed: "What do you mean?"

Jamie: "Well, I gave Lisa Perez a call. She's the marketing honcho on this thing."

Vinod: "And . . . ?"

Jamie: "I wanted her to tell me about *SafeHome* features and functions . . . that sort of thing. Instead, she began

asking me questions about security systems, surveillance systems . . . I'm no expert."

Vinod: "What does that tell you?"
(Jamie shrugs.)

Vinod: "That marketing will need us to act as consultants and that we'd better do some homework on this product area before our kick-off meeting. Doug said that he wanted us to 'collaborate' with our customer, so we'd better learn how to do that."

Ed: "Probably would have been better to stop by her office. Phone calls just don't work as well for this sort of thing."

Jamie: "You're both right. We've got to get our act together or our early communications will be a struggle."

Vinod: "I saw Doug reading a book on 'requirements engineering.' I'll bet that lists some principles of good communication. I'm going to borrow it from him."

Jamie: "Good idea . . . then you can teach us."

Vinod (smiling): "Yeah, right."

4.3.2 Planning Principles

The communication activity helps you to define your overall goals and objectives (subject, of course, to change as time passes). However, understanding these goals and objectives is not the same as defining a plan for getting there. The planning activity encompasses a set of management and technical practices that enable the software team to define a road map as it travels toward its strategic goal and tactical objectives.

Try as we might, it's impossible to predict exactly how a software project will evolve. There is no easy way to determine what unforeseen technical problems will be encountered, what important information will remain undiscovered until late in the project, what misunderstandings will occur, or what business issues will change. And yet, a good software team must plan its approach.

There are many different planning philosophies.² Some people are “minimalists,” arguing that change often obviates the need for a detailed plan. Others are “traditionalists,” arguing that the plan provides an effective road map and the more detail it has, the less likely the team will become lost. Still others are “agilists,” arguing that a quick “planning game” may be necessary, but that the road map will emerge as “real work” on the software begins.

What to do? On many projects, overplanning is time consuming and fruitless (too many things change), but underplanning is a recipe for chaos. Like most things in life, planning should be conducted in moderation, enough to provide useful guidance for the team—no more, no less. Regardless of the rigor with which planning is conducted, the following principles always apply:

Principle 1. Understand the scope of the project. It's impossible to use a road map if you don't know where you're going. Scope provides the software team with a destination.

Principle 2. Involve stakeholders in the planning activity. Stakeholders define priorities and establish project constraints. To accommodate these realities, software engineers must often negotiate order of delivery, time lines, and other project-related issues.

Principle 3. Recognize that planning is iterative. A project plan is never engraved in stone. As work begins, it is very likely that things will change. As a consequence, the plan must be adjusted to accommodate these changes. In addition, iterative, incremental process models dictate replanning after the delivery of each software increment based on feedback received from users.

Principle 4. Estimate based on what you know. The intent of estimation is to provide an indication of effort, cost, and task duration, based on the team's current understanding of the work to be done. If information is vague or unreliable, estimates will be equally unreliable.

Principle 5. Consider risk as you define the plan. If you have identified risks that have high impact and high probability, contingency planning is necessary. In addition, the project plan (including the schedule) should be adjusted to accommodate the likelihood that one or more of these risks will occur.

Principle 6. Be realistic. People don't work 100 percent of every day. Noise always enters into any human communication. Omissions and ambiguity are facts of life. Change will occur. Even the best software engineers make mistakes. These and other realities should be considered as a project plan is established.

Principle 7. Adjust granularity as you define the plan. *Granularity* refers to the level of detail that is introduced as a project plan is developed. A "high-granularity" plan provides significant work task detail that is planned over relatively short time increments (so that tracking and control occur frequently). A "low-granularity" plan provides broader work tasks that are planned over longer time periods. In general, granularity moves from high to low as the project time line moves away from the current date. Over the next few weeks or months, the project can be planned in significant detail. Activities that won't occur for many months do not require high granularity (too much can change).

Principle 8. Define how you intend to ensure quality. The plan should identify how the software team intends to ensure quality. If technical reviews³ are to be conducted, they should be scheduled. If pair programming (Chapter 3) is to be used during construction, it should be explicitly defined within the plan.

Principle 9. Describe how you intend to accommodate change. Even the best planning can be obviated by uncontrolled change. You should identify how changes are to be accommodated as software engineering work proceeds. For example, can the customer request a change at any time? If a change is requested, is the team obliged to implement it immediately? How is the impact and cost of the change assessed?

Principle 10. Track the plan frequently and make adjustments as required. Software projects fall behind schedule one day at a time. Therefore, it makes sense to track progress on a daily basis, looking for problem areas and situations in which scheduled work does not conform to actual work conducted. When slippage is encountered, the plan is adjusted accordingly.

To be most effective, everyone on the software team should participate in the planning activity. Only then will team members "sign up" to the plan.

4.3.3 Modeling Principles

We create models to gain a better understanding of the actual entity to be built. When the entity is a physical thing (e.g., a building, a plane, a machine), we can build a model that is identical in form and shape but smaller in scale. However, when the

entity to be built is software, our model must take a different form. It must be capable of representing the information that software transforms, the architecture and functions that enable the transformation to occur, the features that users desire, and the behavior of the system as the transformation is taking place. Models must accomplish these objectives at different levels of abstraction—first depicting the software from the customer’s viewpoint and later representing the software at a more technical level.

In software engineering work, two classes of models can be created: requirements models and design models. *Requirements models* (also called *analysis models*) represent customer requirements by depicting the software in three different domains: the information domain, the functional domain, and the behavioral domain. *Design models* represent characteristics of the software that help practitioners to construct it effectively: the architecture, the user interface, and component-level detail.

In their book on agile modeling, Scott Ambler and Ron Jeffries [Amb02b] define a set of modeling principles⁴ that are intended for those who use the agile process model (Chapter 3) but are appropriate for all software engineers who perform modeling actions and tasks:

Principle 1. *The primary goal of the software team is to build software, not create models.* Agility means getting software to the customer in the fastest possible time. Models that make this happen are worth creating, but models that slow the process down or provide little new insight should be avoided.

Principle 2. *Travel light—don’t create more models than you need.* Every model that is created must be kept up-to-date as changes occur. More importantly, every new model takes time that might otherwise be spent on construction (coding and testing). Therefore, create only those models that make it easier and faster to construct the software.

Principle 3. *Strive to produce the simplest model that will describe the problem or the software.* Don’t overbuild the software [Amb02b]. By keeping models simple, the resultant software will also be simple. The result is software that is easier to integrate, easier to test, and easier to maintain (to change). In addition, simple models are easier for members of the software team to understand and critique, resulting in an ongoing form of feedback that optimizes the end result.

Principle 4. *Build models in a way that makes them amenable to change.* Assume that your models will change, but in making this assumption don’t

get sloppy. For example, since requirements will change, there is a tendency to give requirements models short shrift. Why? Because you know that they'll change anyway. The problem with this attitude is that without a reasonably complete requirements model, you'll create a design (design model) that will invariably miss important functions and features.

Principle 5. *Be able to state an explicit purpose for each model that is created.* Every time you create a model, ask yourself why you're doing so. If you can't provide solid justification for the existence of the model, don't spend time on it.

Principle 6. *Adapt the models you develop to the system at hand.* It may be necessary to adapt model notation or rules to the application; for example, a video game application might require a different modeling technique than real-time, embedded software that controls an automobile engine.

Principle 7. *Try to build useful models, but forget about building perfect models.* When building requirements and design models, a software engineer reaches a point of diminishing returns. That is, the effort required to make the model absolutely complete and internally consistent is not worth the benefits of these properties. Am I suggesting that modeling should be sloppy or low quality? The answer is "no." But modeling should be conducted with an eye to the next software engineering steps. Iterating endlessly to make a model "perfect" does not serve the need for agility.

Principle 8. *Don't become dogmatic about the syntax of the model. If it communicates content successfully, representation is secondary.*

Although everyone on a software team should try to use consistent notation during modeling, the most important characteristic of the model is to communicate information that enables the next software engineering task. If a model does this successfully, incorrect syntax can be forgiven.

Principle 9. *If your instincts tell you a model isn't right even though it seems okay on paper, you probably have reason to be concerned.* If you are an experienced software engineer, trust your instincts. Software work teaches many lessons—some of them on a subconscious level. If something tells you that a design model is doomed to fail (even though you can't prove it explicitly), you have reason to spend additional time examining the model or developing a different one.

Principle 10. *Get feedback as soon as you can.* Every model should be reviewed by members of the software team. The intent of these reviews is to provide feedback that can be used to correct modeling mistakes, change misinterpretations, and add features or functions that were inadvertently omitted.

Requirements modeling principles. Over the past three decades, a large number of requirements modeling methods have been developed. Investigators have

identified requirements analysis problems and their causes and have developed a variety of modeling notations and corresponding sets of heuristics to overcome them. Each analysis method has a unique point of view. However, all analysis methods are related by a set of operational principles:

Principle 1. *The information domain of a problem must be represented and understood.* The *information domain* encompasses the data that flow into the system (from end users, other systems, or external devices), the data that flow out of the system (via the user interface, network interfaces, reports, graphics, and other means), and the data stores that collect and organize persistent data objects (i.e., data that are maintained permanently).

Principle 2. *The functions that the software performs must be defined.* Software functions provide direct benefit to end users and also provide internal support for those features that are user visible. Some functions transform data that flow into the system. In other cases, functions effect some level of control over internal software processing or external system elements. Functions can be described at many different levels of abstraction, ranging from a general statement of purpose to a detailed description of the processing elements that must be invoked.

Principle 3. *The behavior of the software (as a consequence of external events) must be represented.* The behavior of computer software is driven by its interaction with the external environment. Input provided by end users, control data provided by an external system, or monitoring data collected over a network all cause the software to behave in a specific way.

Principle 4. *The models that depict information, function, and behavior must be partitioned in a manner that uncovers detail in a layered (or hierarchical) fashion.* Requirements modeling is the first step in software engineering problem solving. It allows you to better understand the problem and establishes a basis for the solution (design). Complex problems are difficult to solve in their entirety. For this reason, you should use a divide-and-conquer strategy. A large, complex problem is divided into subproblems until each subproblem is relatively easy to understand. This concept is called *partitioning* or *separation of concerns*, and it is a key strategy in requirements modeling.

Principle 5. *The analysis task should move from essential information toward implementation detail.* Requirements modeling begins by describing the problem from the end-user's perspective. The "essence" of the problem is described without any consideration of how a solution will be implemented. For example, a video game requires that the player "instruct" its protagonist on what direction to proceed as she moves into a dangerous maze. That is the essence of the problem. Implementation detail (normally described as part of the design model) indicates how the essence will be implemented. For the video game, voice input might be used. Alternatively,

a keyboard command might be typed, a joystick (or mouse) might be pointed in a specific direction, or a motion-sensitive device might be waved in the air.

By applying these principles, a software engineer approaches a problem systematically. But how are these principles applied in practice? This question will be answered in Chapters 5 through 7.

Design Modeling Principles. The software design model is analogous to an architect's plans for a house. It begins by representing the totality of the thing to be built (e.g., a three-dimensional rendering of the house) and slowly refines the thing to provide guidance for constructing each detail (e.g., the plumbing layout). Similarly, the design model that is created for software provides a variety of different views of the system.

There is no shortage of methods for deriving the various elements of a software design. Some methods are data driven, allowing the data structure to dictate the program architecture and the resultant processing components. Others are pattern driven, using information about the problem domain (the requirements model) to develop architectural styles and processing patterns. Still others are object oriented, using problem domain objects as the driver for the creation of data structures and the methods that manipulate them. Yet all embrace a set of design principles that can be applied regardless of the method that is used:

Principle 1. *Design should be traceable to the requirements model.*

The requirements model describes the information domain of the problem, user-visible functions, system behavior, and a set of requirements classes that package business objects with the methods that service them. The design model translates this information into an architecture, a set of subsystems that implement major functions, and a set of components that are the realization of requirements classes. The elements of the design model should be traceable to the requirements model.

Principle 2. *Always consider the architecture of the system to be built.*

Software architecture (Chapter 9) is the skeleton of the system to be built. It affects interfaces, data structures, program control flow and behavior, the manner in which testing can be conducted, the maintainability of the resultant system, and much more. For all of these reasons, design should start with architectural considerations. Only after the architecture has been established should component-level issues be considered.

Principle 3. *Design of data is as important as design of processing functions.*

Data design is an essential element of architectural design. The manner in which data objects are realized within the design cannot be left to chance. A well-structured data design helps to simplify program flow, makes the design and implementation of software components easier, and makes overall processing more efficient.

Principle 4. Interfaces (both internal and external) must be designed with care. The manner in which data flows between the components of a system has much to do with processing efficiency, error propagation, and design simplicity. A well-designed interface makes integration easier and assists the tester in validating component functions.

Principle 5. User interface design should be tuned to the needs of the end user. However, in every case, it should stress ease of use. The user interface is the visible manifestation of the software. No matter how sophisticated its internal functions, no matter how comprehensive its data structures, no matter how well designed its architecture, a poor interface design often leads to the perception that the software is “bad.”

Principle 6. Component-level design should be functionally independent. Functional independence is a measure of the “single-mindedness” of a software component. The functionality that is delivered by a component should be cohesive—that is, it should focus on one and only one function or subfunction.⁵

Principle 7. Components should be loosely coupled to one another and to the external environment. Coupling is achieved in many ways—via a component interface, by messaging, through global data. As the level of coupling increases, the likelihood of error propagation also increases and the overall maintainability of the software decreases. Therefore, component coupling should be kept as low as is reasonable.

Principle 8. Design representations (models) should be easily understandable. The purpose of design is to communicate information to practitioners who will generate code, to those who will test the software, and to others who may maintain the software in the future. If the design is difficult to understand, it will not serve as an effective communication medium.

Principle 9. The design should be developed iteratively. With each iteration, the designer should strive for greater simplicity. Like almost all creative activities, design occurs iteratively. The first iterations work to refine the design and correct errors, but later iterations should strive to make the design as simple as is possible.

When these design principles are properly applied, you create a design that exhibits both external and internal quality factors [Mye78]. *External quality factors* are those properties of the software that can be readily observed by users (e.g., speed, reliability, correctness, usability). *Internal quality factors* are of importance to software engineers. They lead to a high-quality design from the technical perspective. To achieve internal quality factors, the designer must understand basic design concepts (Chapter 8).

4.3.4 Construction Principles

The construction activity encompasses a set of coding and testing tasks that lead to operational software that is ready for delivery to the customer or end user. In modern software engineering work, coding may be (1) the direct creation of programming language source code (e.g., Java), (2) the automatic generation of source code using an intermediate design-like representation of the component to be built, or (3) the automatic generation of executable code using a “fourth-generation programming language” (e.g., Visual C++).

The initial focus of testing is at the component level, often called *unit testing*. Other levels of testing include (1) *integration testing* (conducted as the system is constructed), *validation testing* that assesses whether requirements have been met for the complete system (or software increment), and (3) *acceptance testing* that is conducted by the customer in an effort to exercise all required features and functions. The following set of fundamental principles and concepts are applicable to coding and testing:

Coding Principles. The principles that guide the coding task are closely aligned with programming style, programming languages, and programming methods. However, there are a number of fundamental principles that can be stated:

Preparation principles: Before you write one line of code, be sure you

- Understand of the problem you’re trying to solve.
- Understand basic design principles and concepts.
- Pick a programming language that meets the needs of the software to be built and the environment in which it will operate.
- Select a programming environment that provides tools that will make your work easier.
- Create a set of unit tests that will be applied once the component you code is completed.

Programming principles: As you begin writing code, be sure you

- Constrain your algorithms by following structured programming [Boh00] practice.
- Consider the use of pair programming.
- Select data structures that will meet the needs of the design.
- Understand the software architecture and create interfaces that are consistent with it.
- Keep conditional logic as simple as possible.
- Create nested loops in a way that makes them easily testable.
- Select meaningful variable names and follow other local coding standards.

- Write code that is self-documenting.
- Create a visual layout (e.g., indentation and blank lines) that aids understanding.

Validation Principles: *After you've completed your first coding pass, be sure you*

- Conduct a code walkthrough when appropriate.
- Perform unit tests and correct errors you've uncovered.
- Refactor the code.

More books have been written about programming (coding) and the principles and concepts that guide it than about any other topic in the software process. Books on the subject include early works on programming style [Ker78], practical software construction [McC04], programming pearls [Ben99], the art of programming [Knu98], pragmatic programming issues [Hun99], and many, many other subjects. A comprehensive discussion of these principles and concepts is beyond the scope of this book. If you have further interest, examine one or more of the references noted.

Testing Principles. In a classic book on software testing, Glen Myers [Mye79] states a number of rules that can serve well as testing objectives:

? What are the objectives of software testing?

- Testing is a process of executing a program with the intent of finding an error.
- A good test case is one that has a high probability of finding an as-yet-undiscovered error.
- A successful test is one that uncovers an as-yet-undiscovered error.

These objectives imply a dramatic change in viewpoint for some software developers. They move counter to the commonly held view that a successful test is one in which no errors are found. Your objective is to design tests that systematically uncover different classes of errors and to do so with a minimum amount of time and effort.

If testing is conducted successfully (according to the objectives stated previously), it will uncover errors in the software. As a secondary benefit, testing demonstrates that software functions appear to be working according to specification, and that behavioral and performance requirements appear to have been met. In addition, the data collected as testing is conducted provide a good indication of software reliability and some indication of software quality as a whole. But testing cannot show the absence of errors and defects; it can show only that software errors and defects are present. It is important to keep this (rather gloomy) statement in mind as testing is being conducted.

Davis [Dav95b] suggests a set of testing principles⁶ that have been adapted for use in this book:

Principle 1. All tests should be traceable to customer requirements.⁷

The objective of software testing is to uncover errors. It follows that the most severe defects (from the customer's point of view) are those that cause the program to fail to meet its requirements.

Principle 2. Tests should be planned long before testing begins. Test planning (Chapter 17) can begin as soon as the requirements model is complete. Detailed definition of test cases can begin as soon as the design model has been solidified. Therefore, all tests can be planned and designed before any code has been generated.

Principle 3. The Pareto principle applies to software testing. In this context the Pareto principle implies that 80 percent of all errors uncovered during testing will likely be traceable to 20 percent of all program components. The problem, of course, is to isolate these suspect components and to thoroughly test them.

Principle 4. Testing should begin “in the small” and progress toward testing “in the large.” The first tests planned and executed generally focus on individual components. As testing progresses, focus shifts in an attempt to find errors in integrated clusters of components and ultimately in the entire system.

Principle 5. Exhaustive testing is not possible. The number of path permutations for even a moderately sized program is exceptionally large. For this reason, it is impossible to execute every combination of paths during testing. It is possible, however, to adequately cover program logic and to ensure that all conditions in the component-level design have been exercised.

4.3.5 Deployment Principles

As I noted earlier in Part 1 of this book, the deployment activity encompasses three actions: delivery, support, and feedback. Because modern software process models are evolutionary or incremental in nature, deployment happens not once, but a number of times as software moves toward completion. Each delivery cycle provides the customer and end users with an operational software increment that provides usable functions and features. Each support cycle provides documentation and human assistance for all functions and features introduced during all deployment cycles to

date. Each feedback cycle provides the software team with important guidance that results in modifications to the functions, features, and approach taken for the next increment.

The delivery of a software increment represents an important milestone for any software project. A number of key principles should be followed as the team prepares to deliver an increment:

Principle 1. *Customer expectations for the software must be managed.*

Too often, the customer expects more than the team has promised to deliver, and disappointment occurs immediately. This results in feedback that is not productive and ruins team morale. In her book on managing expectations, Naomi Karten [Kar94] states: “The starting point for managing expectations is to become more conscientious about what you communicate and how.” She suggests that a software engineer must be careful about sending the customer conflicting messages (e.g., promising more than you can reasonably deliver in the time frame provided or delivering more than you promise for one software increment and then less than promised for the next).

Principle 2. *A complete delivery package should be assembled and tested.*

A CD-ROM or other media (including Web-based downloads) containing all executable software, support data files, support documents, and other relevant information should be assembled and thoroughly beta-tested with actual users. All installation scripts and other operational features should be thoroughly exercised in as many different computing configurations (i.e., hardware, operating systems, peripheral devices, networking arrangements) as possible.

Principle 3. *A support regime must be established before the software is delivered.*

An end user expects responsiveness and accurate information when a question or problem arises. If support is ad hoc, or worse, nonexistent, the customer will become dissatisfied immediately. Support should be planned, support materials should be prepared, and appropriate record-keeping mechanisms should be established so that the software team can conduct a categorical assessment of the kinds of support requested.

Principle 4. *Appropriate instructional materials must be provided to end users.*

The software team delivers more than the software itself. Appropriate training aids (if required) should be developed; troubleshooting guidelines should be provided, and when necessary, a “what’s different about this software increment” description should be published.⁸

Principle 5. *Buggy software should be fixed first, delivered later.* Under time pressure, some software organizations deliver low-quality increments with a warning to the customer that bugs “will be fixed in the next release.” This is a mistake. There’s a saying in the software business: “Customers will forget you delivered a high-quality product a few days late, but they will never forget the problems that a low-quality product caused them. The software reminds them every day.”

The delivered software provides benefit for the end user, but it also provides useful feedback for the software team. As the increment is put into use, end users should be encouraged to comment on features and functions, ease of use, reliability, and any other characteristics that are appropriate.