

# Hazard Analysis Software Engineering

Team 21, Alkalytics

Sumanya Gulati

Kate Min

Jennifer Ye

Jason Tran

Table 1: Revision History

<b>Date</b>	<b>Developer(s)</b>	<b>Change</b>
Date1	Name(s)	Description of changes
Date2	Name(s)	Description of changes
...	...	...

# Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
<b>2</b>	<b>Scope and Purpose of Hazard Analysis</b>	<b>1</b>
<b>3</b>	<b>System Boundaries and Components</b>	<b>1</b>
<b>4</b>	<b>Critical Assumptions</b>	<b>2</b>
<b>5</b>	<b>Failure Mode and Effect Analysis</b>	<b>3</b>
<b>6</b>	<b>Safety and Security Requirements</b>	<b>6</b>
6.1	Access Requirements . . . . .	6
6.2	Integrity Requirements . . . . .	6
6.3	Privacy Requirements . . . . .	7
6.4	Audit Requirements . . . . .	7
6.5	Immunity Requirements . . . . .	8
<b>7</b>	<b>Roadmap</b>	<b>8</b>

# 1 Introduction

A hazard is any property or condition that has the potential to cause harm. This document serves as a hazard analysis for the application revolving around the capstone project "Alkalytics". This project aims to aid in the data management and analysis of an ocean alkalinity enhancement experiment. This document identifies the components of the system, and then the possible software hazards in these components, as well as ways to mitigate the risks they impose.

## 2 Scope and Purpose of Hazard Analysis

The purpose of the hazard analysis is to identify potential hazards and its causes, assess the effects, and set mitigation strategies to eliminate or lessen the risk of the hazard. It is important to consider all possible hazards associated with the Alkalytics project and its components, as the following losses could be incurred from an insufficient hazard assessment:

- Data loss: The data gets unintentionally lost, deleted, or corrupted.
- Data integrity: The data is not complete, accurate, nor correct which can lead to computational errors.
- System availability: Users are unable to access the system due to factors such as unstable internet connection or server crashes.
- Security: If there are no proper measures for authentication, unauthorized access to the data or user information may occur.

## 3 System Boundaries and Components

The system boundaries are used to define what is within the scope of the hazard analysis, in essence, where the system interacts with external systems, users and hardware. Some key boundaries for Alkalytics include:

- **User Interaction Boundaries:**
  1. Interactions happen through the frontend interface, where users authenticate, input data, and retrieve visualizations and analytics.
  2. Limit interactions in terms of user access levels, as only authenticated and authorized users are allowed to view or modify certain data.
- **Data Boundaries:**
  1. Alkalytics handles data import (CSV files), processing, analysis, and export, requiring clear boundaries on data validity and format conformity.
  2. The system is also bounded by its data storage capabilities, including access controls, data integrity safeguards, and secure handling of sensitive information.
- **Network and External Connectivity Boundaries:**

1. External connections, like internet-based server access and database queries, form a boundary where system security, speed, and availability must be managed.
2. Network performance, internet stability, and server downtime impact the accessibility and reliability of the system.

The system can be broken down into the following major components:

1. **Authentication System:** Ensures that only authorized users can access the Alkalytics platform and limits actions based on user permissions.
2. **Comma-Separated Values (CSV) Data Migration Module:** Handles the import of data from CSV files into the database, including checks for data format, completeness, and correctness.
3. **Data Visualization Module:** Generates graphs and visual representations of data, requiring accuracy in rendering and efficient performance.
4. **Query Functionality:** Processes user queries to retrieve data from the database, ensuring that correct data is returned promptly.
5. **Data Export Module:** Allows users to export data in CSV for external use, requiring accuracy and completeness.
6. **Backend Database:** Stores and retrieves all user and application data, requiring reliable connection management, data integrity, and sufficient storage.
7. **Frontend Interface:** Provides users with access to Alkalytics' functionalities through a web-based UI, handling data input validation and responsiveness.
8. **Error Tracking System:** Logs and categorizes system errors for troubleshooting and performance monitoring.
9. **Machine Learning Analysis Module:** Processes data to provide predictive insights or data analyses, requiring well-trained models and accurate data handling.

## 4 Critical Assumptions

The following are assumptions made about the software of the system.

- The data provided to this system is validated and correctly formatted before system ingestion
  - Errors can occur from badly formatted or invalid incoming data, which is not something the system can control
- The user of this application is not intentionally trying to misuse it
  - This assumption mitigates the risk of someone intentionally damaging the system
- Internet connection and server infrastructure will always be available, and will not suddenly go down and compromise the system

- This assumption mitigates the risk of a failing internet connection or fragile server infrastructure interrupting the system
- Users using this application understand how to use the application, whether through documentation or a tutorial
  - This assumption ensures that user errors caused by lack of knowledge do not occur
- The system is regularly maintained for security and bug fixes
  - This assumption prevents any threats to the system due to poor maintenance
- The system is scalable and possesses enough computational resources to handle any volume of data
  - This assumption mitigates the risk of the system failing due to lack of resources

## **5 Failure Mode and Effect Analysis**

Component	Failure Modes	Effects of Failure	Causes of Failure	Recommended Action	SR	Ref
Authentication	Unauthorized user access	Data breach, loss of data integrity	Weak security protocols	Strengthen authentication mechanisms	SR-1, SR-2	H1-1
	User unable to log in	Loss of productivity	System downtime, credential errors	Ensure high system uptime and credential recovery	FR-14, SR-1, SR-4	H1-2
CSV Data Migration	Data not uploaded to the database	Loss of data availability	Incorrect file format or server issue	Validate file format and ensure server uptime	FR-3, FR-4, SR-9	H2-1
	Data partially uploaded	Incomplete data leads to incorrect analysis	Timeout during upload, corrupted file	Implement error-checking during upload	FR-3, FR-2	H2-2
	Duplicate data entries	Conflicting results in data analysis	No validation for duplicates	Add duplicate data detection and rejection logic	SR-5, FR-4, SR-7	H2-3
Data Visualization	Incorrect graph rendering	Misleading or inaccurate data interpretation	Inaccurate parameter selection	Improve input validation, real-time graph updates	FR-8, FR-9	H3-1
	Slow graph rendering	Poor user experience	Large dataset or inefficient plotting algorithm	Optimize graph rendering speed	PR-5, PR-2	H3-2
Query Functionality	Data not returned or delayed	User frustration, inability to retrieve data	Database connection or query input error	Optimize query performance and error handling	FR-5, FR-6, PR-2	H4-1
	Incorrect data returned	Incorrect conclusions from user	Misconfigured query logic	Validate query structure and results	PR-6, FR-5	H4-2
	Query results outdated	Decisions based on stale data	Data not refreshed in database	Implement data refresh strategy	PR-14, FR-6	H4-3
Data Export	CSV export generates corrupted files	Data cannot be used in external systems	Incorrect formatting logic	Implement robust export validation	FR-15, PR-6, SR-3	H5-1
	Export missing data	Partial data exported, incomplete reports	Timeout during export or data truncation	Ensure export process handles large data volumes	FR-15, PR-8	H5-2
	Session timeout too short	User repeatedly logged out, inconvenience	Incorrect session configuration	Increase session timeout settings	FR-14, SR-16, SR-4	H5-3
Backend Database	Database connection lost	Data retrieval fails, analysis halted	Network issues, server downtime	Improve database fault-tolerance and backups	PR-9, PR-10	H6-1
	Data corruption during storage	Loss of data integrity	Incorrect write operations or hardware failure	Implement database checksums and backups	SR-6, SR-7	H6-2
	Insufficient storage space	Application crashes or stops accepting data	Lack of storage planning	Increase storage capacity and monitor usage	PR-12, PR-13	H6-3

Component	Failure Modes	Effects of Failure	Causes of Failure	Recommended Action	SR	Ref
Frontend Interface	UI unresponsive	Poor user experience, tasks uncompleted	JavaScript errors, resource overload, slow internet	Debug UI code, efficient resource management	FR-7, PR-3	H7-1
	Elements not displayed correctly	Confusion, incorrect actions performed	Browser compatibility issues	Test for compatibility across browsers	LFR-1, OER-3	H7-2
	Data input fields allow invalid entries	Corrupted data entered into system	No input validation	Enforce input validation on frontend	FR-1, FR-4, SR-7	H7-3
Performance	Slow page load times	User frustration, reduced productivity	Unoptimized frontend/backend code	Optimize code and database queries	PR-3, PR-5	H8-1
	High CPU/memory usage	System instability, crashes	Inefficient data processing or memory leaks	Implement memory management and resource monitoring	PR-4, PR-2	H8-2
Error Tracking	Errors not logged	Difficulty identifying and resolving issues	Lack of error handling in code	Implement detailed error logging	FR-12, FR-13	H9-1
	Logged errors not displayed to user	Users unaware of issues	Incomplete error-handling UI	Display errors to user, troubleshooting tips	MSR-5, PR-9	H9-2
	Errors logged but not categorized	Troubleshooting becomes complex	Poor error categorization	Create detailed error categories and log structure	MSR-5, FR-12	H9-3
Machine Learning Analysis	Incorrect data prediction	Misleading trends, faulty decisions	Inaccurate algorithm configuration	Improve machine learning validation steps	FR-11	H10-1
	Model training incomplete	Model unable to provide accurate predictions	Insufficient data or faulty training process	Ensure ample, clean training data	FR-11, PR-8	H10-2
	Training data overfitting	Model provides unreliable results	Model too tightly fitted to training data	Implement regularization techniques	FR-11	H10-3



## 6 Safety and Security Requirements

New safety and security requirements have been discovered and will be integrated within the SRS document. Note that the entire requirement codes have been changed with the new additions having expanded information, and the previous requirements displaying new codes.

### 6.1 Access Requirements

**SR-1.** Access to the application must be restricted to authorized personnel, with an authentication mechanism.

**SR-2.** Only authenticated users should have the ability to query or modify the data, and each user's access must be limited to their capabilities within the application.

**SR-3.** The application must restrict sensitive operations (e.g., data export) to authorized personnel only.

- *Rationale:* Prevents unauthorized users from exporting or sharing sensitive data, protecting data integrity.
- *Fit Criterion:* Only authorized users must be able to perform sensitive operations like data export.
- *Traceability:* FR-15, SR-2.

**SR-4.** The application must enforce session timeout and automatic logouts after a period of inactivity.

- *Rationale:* Protects the application from unauthorized access if users leave their session unattended.
- *Fit Criterion:* Sessions must time out and log users off automatically after a specified inactivity period.
- *Traceability:* FR-14, SR-1, SR-4.

### 6.2 Integrity Requirements

**SR-5.** The application must validate data inputs to ensure they conform to expected formats and values before they are processed.

**SR-6.** The application must not modify the data unnecessarily through its transfer process.

**SR-7.** The application must ensure that any data processed or transferred is free from duplication or inconsistencies.

**SR-8.** The application must have safeguards in place to maintain the accuracy of the transferred data.

**SR-9.** The application must validate CSV data thoroughly before upload to prevent corrupted or incomplete data entries.

- *Rationale:* Ensures that only valid, complete, and accurate data enters the application to prevent faulty analysis.
- *Fit Criterion:* The application shall reject any data that does not meet the validation criteria.
- *Traceability:* FR-3, FR-4.

### 6.3 Privacy Requirements

**SR-10.** All personal information related to experimental participants or stakeholders, if applicable, must be anonymized and handled in accordance with relevant privacy laws and regulations.

**SR-11.** The application must restrict data sharing with external parties unless expressly authorized by stakeholders, and users must be fully informed about the privacy policies.

**SR-12.** The application must monitor database storage capacity and alert administrators when thresholds are reached to prevent application crashes.

- *Rationale:* Ensures the application continues operating smoothly by addressing storage limits proactively.
- *Fit Criterion:* The application shall send alerts when storage capacity exceeds 80% usage.
- *Traceability:* PR-12, PR-13.

### 6.4 Audit Requirements

**SR-13.** The application must maintain a comprehensive audit trail, logging all access and modification events, including timestamps and identities of users performing actions.

**SR-14.** Audit logs must be securely stored and accessible only by authorized personnel.

**SR-15.** The application must display real-time error logs to users to enhance troubleshooting when applicable.

- *Rationale:* Ensures users are informed about application issues and can take corrective action promptly.
- *Fit Criterion:* All errors must be logged and displayed clearly to users in real-time.
- *Traceability:* FR-12, MSR-5.

## 6.5 Immunity Requirements

**SR-16.** The application must have proactive measures to detect and mitigate suspicious activities, such as repeated unauthorized access attempts, ensuring the application remains secure at all times.

**SR-17.** Real-time monitoring and optimization of application resources must be implemented to avoid crashes due to resource overload.

- *Rationale:* Prevents application downtime by ensuring efficient use of CPU and memory.
- *Fit Criterion:* The application must manage memory and CPU usage dynamically to avoid overloads.
- *Traceability:* PR-4, PR-9.

## 7 Roadmap

The following table outlines a proposed roadmap of when each safety requirement will be implemented within the capstone timeline and justifications.

Stage	Req. Category	Req. ID(s)	Rationale
PoC Demo (Nov 11)	Access	N/A	The PoC plan will not consider user access features at this time.
	Integrity	SR-5, SR-6, SR-7, SR-8, SR-9	The database must adhere to these requirements for a successful PoC.
	Privacy	N/A	Since the PoC plan will only have the database these requirements are not applicable.
	Audit Immunity	N/A	
Rev0 Demo (Feb 3)	Access	SR-1	User authentication should be implemented during front-end development.
	Integrity	N/A	The crucial integrity requirements will have already been implemented by the PoC demo.
	Privacy	SR-10, SR-11	At this point there will be user access, thus these requirements must be implemented.
	Audit Immunity	N/A N/A	These requirements are not high-priority.

Stage	Req. Category	Req. ID(s)	Rationale
Rev1 Final Demo (Mar 24)	Access	SR-2, SR-3	User access must be extended to permissions and capabilities prior to release.
	Integrity	N/A	The crucial integrity requirements will have already been implemented by the PoC demo.
	Privacy	SR-12	This requirement is necessary for system availability and robustness to extend past capstone.
	Audit	SR-15	Client and users must be informed about system issues and be able to troubleshoot even without the original development team.
	Immunity	SR-17	This requirement is necessary for system availability and robustness to extend past capstone.
Future considerations	Access	SR-4	This requirement is out of scope for the project timeline.
	Integrity	SR-11	This requirement is out of scope for the project timeline.
	Privacy	N/A	All privacy requirements have been covered.
	Audit	SR-13, SR-14	These requirements would be nice-to-haves but are not essential for the project.
	Immunity	SR-16	This requirement is out of scope for the project timeline.

Table 3: Roadmap of the implementation of the safety and security requirements.

## Appendix — Reflection

1. What went well while writing this deliverable?

Writing a comprehensive Software Requirements Specification right before this milestone helped tremendously because as a team, we had been nudged into considering multiple aspects of the project we had not thought of earlier. All this research and decision-making ensured that coming into this milestone, we had most of the relevant things figured out prior to writing this documentation.

2. What pain points did you experience during this deliverable, and how did you resolve them?

One major pain point we experienced was the lack of time we could dedicate to this milestone as a team. Since this milestone was due the week after reading week when most of us had 2 midterms along with multiple other assignments, it was harder to coordinate times to meet up and get a lot of the work done a couple of days before the deadline, which is what we ideally like to do. As an instance, due to the time constraints, we did not have enough time to get our Pull Requests (PRs) reviewed and approved by all the team members before merging.

Additionally, since most of the sections are a lot more interwoven as compared to prior milestones (which although connected, could be written somewhat independently), it was a lot harder to divide the sections. This ties back to the aforementioned time-constraints and we believe that, if we had more time to meet up as a team, the division of tasks would have been easier to manage. We resolved this by effectively communicating with each other over text instead.

3. Which of your listed risks had your team thought of before this deliverable, and which did you think of while doing this deliverable? For the latter ones (ones you thought of while doing the Hazard Analysis), how did they come about?

Our team had thought of a majority of the risks before this deliverable. The ones that we had not considered include unresponsiveness of the frontend, performance related failures and error tracking related hazards. These came about after we had identified all the system boundaries and when we focused on those components in particular and tried to consider all the potential ways the component can fail.

4. Other than the risk of physical harm (some projects may not have any appreciable risks of this form), list at least 2 other types of risk in software products. Why are they important to consider?

Beyond the risk of physical harm, software products may have the following types of risks:

- (a) **Security Risks:** These involve vulnerabilities that can be exploited, leading to unauthorized access, data breaches or malicious attacks. For projects that are data centric like ours, these risks are critical because they can lead to the loss of sensitive information.

- (b) **Operational Risks:** These risks arise from failures in the software's functionality, reliability, or performance under real-world conditions. Operational risks are important to consider because any failure in the software's expected behavior can disrupt business operations, cause customer dissatisfaction, lead to unexpected maintenance costs, or more.