

Automated Microservice Identification: an Approach to Decomposition into a Modular Monolith Architecture

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The modular monolith architecture emerged in recent years as the harmonization of the monolithic and microservices architectures. The paradigm offers a compromise between modularity, flexibility, and scalability. Many monolithic applications are being migrated to modular monoliths or microservices entirely, to satisfy increasingly complex and volatile business requirements. This process is labour-intensive, slow, and may take months to years for larger codebases. Modularization of a codebase typically requires the developer to have an intimate knowledge of both the application code and domain.

In this thesis, we investigate the modular monolith software architecture, and how modules are typically determined as part of the modularization efforts. We propose an automated solution based on dependency analysis and machine learning algorithms to aid in the identification of module boundaries, and evaluate its effectiveness using a case study. We discuss the results and draw conclusions about the proposed solution.

Keywords: software architecture, monolith, microservices, modular monolith

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List of Acronyms

| | |
|-------------|-------------------------------------|
| AST | Abstract Syntax Tree |
| BPMN | Business Process Model and Notation |
| DSRM | Design Science Research Methodology |
| DSRP | Design Science Research Process |
| SDLC | Software Development Life Cycle |
| SLR | Systematic Literature Review |

1. Introduction

1.1. Motivation

1.2. Scope and goal

This research is centered around three research questions:

Research Question 1: What are the challenges and opportunities of the modular monolith architecture compared to traditional monolithic and microservices architectures?

Research Question 2: What are the existing approaches and tools for automated microservice candidate identification in monolith codebases?

Research Question 3: How can static analysis of source code identify module boundaries in a modular monolith architecture that maximize internal cohesion and minimize external coupling?

To answer the first research question, we will first define the modular monolith architecture, and examine what sets it apart from monolithic and microservices architectures. Then, we will proceed to investigate the merits and drawbacks of the software architecture when applied to an existing codebase.

For the second research question, we will enumerate the existing technologies to aid modularization of monolithic codebases, and choose one automated technology for further examination. (*Automated technology*) will then be implemented for a given use case, and compared to manual modularization efforts in terms of accuracy, efficiency, development velocity. This comparison will help us to answer the third research question.

The goal of this research can be summarized as follows:

1. Investigate the merits and drawbacks of the modular monolith architecture
2. Investigate the use of automated technologies to modularize a monolithic architecture

The proposed solution will add value to the field of software engineering, and will be able to be used as a base for future improvements regarding automated modularization of monolith codebases.

1.3. Outline

The thesis is divided into three parts.

The first part comprises the background and related work. In Chapter 1, the scope and goal of the research is defined, and the research questions are formulated. The stakeholders are identified, and the methodology is explained. Chapter 2 describes the research methodology used in this thesis. Chapter 3 introduces the reader to the research background and necessary concepts. In Chapter 4, the existing literature is reviewed, and the state of the art is presented.

The second part of the thesis, starting with Chapter 5, is dedicated to the first research question. The modular monolith architecture is defined, and its merits and drawbacks are discussed.

The third part aims to solve the second and third research question. Chapter 6 gives an introduction into the automated modularization of monolith codebases, listing the existing technologies. It then continues to focus on one automated technology, (*automated technology*), and explains its implementation. Chapter 8 applies (*automated technology*) on a given case study, and compares it to manual modularization efforts.

Finally, Chapter 9 summarizes the findings, and gives an outlook on future work.

2. Methodology

A literature review is conducted to answer the first and second research question. For the first research question, the study aims to find a definition of the modular monolith architecture, and to list the advantages and disadvantages of the architecture based on existing literature. For the second research question, the state of the art in automated modularization technologies is reviewed and summarized.

The third research question is answered by choosing the most appropriate automated technology, and implementing it for a given use case. The implementation is then evaluated based on quantitative and qualitative metrics, and compared to manual modularization efforts.

Finally, the findings are summarized, and an outlook on future work is given.

Systematic literature review

A systematic literature review is used to identify, evaluate and interpret research literature for a given topic area, or research question [1]. The systematic nature of systematic literature reviews reduces bias through a well-defined sequence of steps to identify and categorize existing literature, although publication bias still has to be considered. Studies directly researching the topic area are called *primary* studies, systematic studies aggregating and summarizing primary studies are called *secondary* studies. *Tertiary* studies are systematic studies aggregating and summarizing secondary studies.

The systematic literature review was conducted using the three-step protocol as defined by Kitchenham and Charters [1]:

| Step | | Activity |
|------|---------|---|
| 1 | Plan | Identify the need for the review, specifying the research questions, and developing a review protocol |
| 2 | Conduct | Identification and selection of literature, data extraction and synthesis |
| 3 | Report | Evaluation and reporting of the results |

Table 1: Systematic literature review process

Case study

For the case study, a Design Science Research Methodology (DSRM) is adopted, which is a research paradigm for information systems research focused at creating and evaluating artifacts. In particular, the research and design of the proposed solution follows the six-step Design Science Research Process (DSRP) model [2]. Their model is based on prior research and is designed to guide researchers through the process of analysis, creation, and evaluation of artifacts.

The six steps of the process are:

1. **Problem identification and motivation:** Research problem statement and justification for existence of a solution.
2. **Objectives of a solution:** Definition of the objectives, derived from the problem statement.
3. **Design and development:** Creation of the artifact.
4. **Demonstration:** Usage of the artifact to demonstrate its effectiveness in solving the problem.
5. **Evaluation:** Observation and measurement of how well the artifact supports a solution to the problem.
6. **Communication:** Transfer of knowledge about the artifact and the problem solution to the relevant audience.

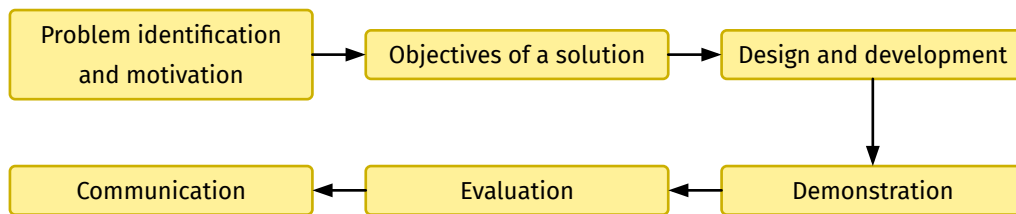


Figure 1: Design Science Research Process (DSRP)

The process is structured sequentially, however the authors suggests that researchers may proceed in a non-linear fashion, and start or stop at any step, depending on the context and requirements of the research.

In this thesis specifically, the DSRP is used to guide the design and development of the automated modularization technology, with a particular focus on the design and development, demonstration, and evaluation steps.

3. Background

3.1. Monolith architecture

3.2. Modular programming

3.3. Microservice architecture

3.4. Modularization

4. Related work

5. Modular monolith architecture

5.1. Background

5.2. Challenges and opportunities

5.3. Modularization

6. Automated modularization

In this chapter, we investigate the state of the art in automated technologies for modularization of monolith codebases. Using a systematic literature review, we identified and categorized existing literature on automated modularization of monolith codebases. We also provided a brief overview of the most relevant approaches and tools.

6.1. Plan

Using the systematic literature review, we answered the following research question:

Research Question 2: What are the existing approaches and tools for automated microservice candidate identification in monolith codebases?

The motivation for the research question is discussed in Chapter 1.

In current literature, several systematic mapping studies related to microservices architecture have been conducted [3], [4], as well as systematic literature reviews related to microservice decomposition. However, in these studies the methods described are mainly used as an aid for the software architect when identifying microservice candidates. Therefore, we believe that there is a need for a systematic literature review aimed at summarizing existing literature regarding automated and semi-automated methods for modularization of monolith codebases.

Automated methods for modularization are techniques that autonomously perform the entire decomposition process, without requiring intervention of a software architect. The resulting architecture is then presented to the software architect for validation and implementation. Semi-automated methods for modularization are techniques that assist the software architect in the decomposition process, but do not perform the entire process autonomously. The software architect is required to make decisions during the process, and is left with several final proposals to choose from. Automated methods are of particular interest, as they take away the manual effort required from the software architect to analyze and decompose the monolith codebase.

As a search strategy, the following platforms were queried for relevant publications:

1. IEEE Xplore¹
2. ACM Digital Library²

The platforms were selected based on their academic relevance, as they contain a large number of publications in the field of software engineering. Furthermore, the platforms also contain only peer-reviewed publications, which ensures a certain level of quality in the publications.

¹<https://ieeexplore.ieee.org/>

²<https://dl.acm.org/>

Based on a list of relevant topics, we used a combination of related keywords to formulate the search query. We refrained from using more generic keywords, such as “architecture” or “design”, as they would yield too many irrelevant results. The topics relevant for the search query are:

- **Architecture:** the architectural styles being discussed in the publications.
Keywords: *microservice, monolith, modular monolith*
- **Modularization:** the process of identifying and decomposing modules in a monolith architecture.
Keywords: *service identification, microservice decomposition, monolith modularization*
- **Technology:** the technologies, algorithms, or methods for modularization.
Keywords: *automated tool, machine learning, static analysis, dynamic analysis, hybrid analysis*

The resulting search query can be expressed as follows:

```
1  (('microservice*' IN title OR abstract) OR
2  ('monolith*' IN title OR abstract))
3  AND
4  (('decompos*' IN title OR abstract) OR
5  ('identificat*' IN title OR abstract))
6  AND
7  ('automate*' IN title OR abstract)
```

Listing 1: Search query

The search query was adapted to the specific search syntax of the platform.

In addition to search queries on the selected platforms, we used snowballing to identify additional relevant publications. Snowballing is a research technique used to find additional publications of interest by following the references of the selected publications .

Based the inclusion/exclusion criteria in Table 2, the results were filtered, and the relevant studies were selected for inclusion in the systematic literature review.

| Criteria | |
|-----------|---|
| Inclusion | <ul style="list-style-type: none"> Title, abstract or keywords include the search terms Conference papers, research articles, blog posts, or other publications Publications addressing (semi-)automated methods or technologies |
| Exclusion | <ul style="list-style-type: none"> Publications in languages other than English Publications not available in full text Publications using the term “microservice”, but not referring to the architectural style Publications aimed at greenfield³ or brownfield⁴ development of systems using microservices architecture Publications published before 2014, as the definition of “microservices” as an architectural style is inconsistent before 2014 [4] Publications addressing manual methods or technologies Surveys, opinion pieces, or other non-technical publications |

Table 2: Inclusion and exclusion criteria

As a final step, the publications were subjected to a validation scan to ensure relevance and quality. To assess the quality, we mainly focused on the technical soundness of the method or approach described in the publication.

The quality of the publication was assessed based on the following criteria:

- The publication is peer-reviewed or published in a respectable journal
- The publication thoroughly describes the technical aspects of the method or approach
- The publication includes a validation phase or case study demonstrating the effectiveness of the method or approach

This step is necessary to ensure that the selected publications are relevant to the research question and that the results are not biased by low-quality publications.

Once a final selection of publications was made, the resulting publications were qualitatively reviewed and categorized based on the method or approach described.

³Development of new software systems lacking constraints imposed by prior work [5]

⁴Development of new software systems in the presence of legacy software systems [5]

6.2. Conduct

Using the search strategy outlined in the previous section, we queried the selected platforms and found a total of 507 publications.

| Platform | Search results | Selected publications |
|---------------------|----------------|-----------------------|
| IEEE Xplore | 339 | 33 |
| ACM Digital Library | 168 | 9 |
| Snowballing | | 6 |
| Total | 507 | 48 |

Table 3: Summary of search results

After applying the inclusion/exclusion criteria, we selected 42 publications for inclusion in the systematic literature review. Of these publications, 35 are primary studies, and 6 are secondary studies. The secondary studies were used as a starting point for the snowballing process, which resulted in 6 additional publications being included in the systematic literature review. For a list of the selected publications, see Appendix A.

From the selected publications, we extracted relevant information, such as:

- The type of approach or technique described (automated, semi-automated)
- The input data used for the microservice candidate identification process
- The algorithms used in the microservices candidate identification process
- The quality metrics used in the evaluation of the decomposition

Kitchenham and Charters [1] suggest that the data extraction process should be performed by at least two researchers to ensure the quality and consistency of the extracted data. However, due to resource constraints, the data extraction was performed by a single researcher. To prevent bias and ensure the quality of the data extraction, the results were validated by a re-test procedure where the researcher performs a second extraction from a random selection of the publications to check the consistency of the extracted data [1].

6.3. Report

The publications selected for inclusion in the systematic literature review were qualitatively reviewed and categorized in three dimensions. The categorization was only performed on the primary studies, as the secondary studies already aggregate and categorize primary studies. The secondary studies were used to perform the snowballing process, which resulted in additional primary studies being included in the systematic literature review.

First, we categorized the publications based on the Software Development Life Cycle (SDLC) artifact used as input for the microservice candidate identification algorithm. Each artifact category has an associated collection type: either static, dynamic, or hybrid. [6]. Static collection describes a SDLC artifact that was collected without executing the software (e.g. source code or binary code), while dynamic collection describes a SDLC artifact that was collected after or during execution of the software (e.g. execution logs). Some publications describe methods or algorithms that use a combination of SDLC artifacts, which is categorized as hybrid.

Second, we categorized the publications based on the class of algorithm(s) used for microservice candidate identification. We based the classification of the algorithms on Abdellatif et al. [7], who identified six types of service identification algorithms.

Third, the publications were also categorized by the quality metrics used for evaluation the proposed decompositions.

6.3.1. SDLC artifact

The identified SDLC artifact categories used as input for the microservice candidate identification algorithm are described in Table 4. The categories are based on Bajaj et al. [6].

| Artifact | Type | Publications |
|-----------------------------------|---------|---|
| Requirements documents and models | Static | [8]–[12] |
| Design documents | Static | [13]–[17] |
| Codebase | Static | [18]–[35], [17], [36]–[39] |
| Execution data | Dynamic | [22], [28], [32], [33], [40]–[43], [38] |

Table 4: SDLC artifact categories

Requirements documents and models

In software engineering, requirements documents and models are used to formally describe the requirements of a software system following the specification of the business or stakeholder requirements [44]. They include functional and non-functional requirements, use cases, user stories, and business process models. Approaches using requirements documents and models as input for the microservice candidate identification algorithm often times need to pre-process the documents to extract the relevant information, as they are not intended to be directly read by a machine. In many cases, requirements documents and models for legacy systems are no longer available or outdated, which makes this approach less suitable for automated microservice identification.

Amiri [8] and Daoud et al. [9] model a software system as a set of business process using the industry standard Business Process Model and Notation (BPMN), using the machine-readable XML representation as input for the algorithm. Yang et al. [10] tackle requirements engineering using problem frames [45]. Problem frames are a requirements engineering method, which emphasizes the integration of real-world elements into the software system [10].

Some approaches use schematic requirements documents in XML format as input for the algorithm, as described by Saidi et al. [11]. The latter use domain-driven design techniques to extract functional dependencies from the software design as starting point in microservice identification. Li et al. [12] employ an intermediate format containing a precise definition of business functionality, generated from validated requirements documents.

Design documents

Design documents created by software architects are machine-readable representations of the software system. They describe the software functionalities in detail and are used to guide

the implementation of the software system. Design documents include API specifications, UML diagrams (such as class diagrams and sequence diagrams), and entity-relationship diagrams.

Techniques using design documents either use a domain-driven approach, or a data-driven approach. Domain-driven approaches use domain-specific knowledge to identify microservice candidates, while data-driven approaches use knowledge about data storage and data flow to identify microservice candidates. Similar to requirements documents and models, design documents for legacy systems are often not available or outdated, although some design documents can be reconstructed from the software system (e.g., reverse engineering entity-relationship diagrams from the database schema).

For example, Al-Debagy and Martinek [13] propose a data-driven method based on the analysis of the software system’s external API, specified in the OpenAPI⁵ format. The method extracts the information from the specification and converts it into vector representation for further processing.

Zhou and Xiong [14] use readily available design documents as well, in the form of UML class diagrams, use cases, and object sequence diagrams as starting point for the microservice identification algorithm. The decomposition tool proposed by Hasan et al. [17] uses design documents as well, although the specifications are inferred from the source code of the software system, and do not require pre-existing design documents.

Quattrocchi et al. [15] takes a different approach to the problem, using a data-driven approach combined with a domain-driven approach. Software architects describe the software system using a custom architecture description language, and the tool developed by the authors is able to identify microservice candidates. The tool can be prompted to generate different, more efficient decompositions when given additional domain-driven requirements. Wei et al. [16] uses a similar approach, gathering a list of features from the software architect, and proposing a microservice decomposition based on pre-trained feature tables.

Codebase

A third category of SDLC artifacts is the codebase of the software system. This can be the source code of the software system, or a binary distribution (e.g. a JAR file). For example, the implementation in [26] accepts either source code or compiled binary code for analysis.

As the source code of the software system is the most detailed representation of how the software system works, it is most often used as input for the microservice candidate identification algorithm. The source code can be analyzed using static analysis (i.e., without executing the software system), dynamic analysis (i.e., during the execution of the software system or test suite), or a combination of both. Dynamic analysis has the advantage that it can be used if the source code is not available.

⁵<https://www.openapis.org/>

Additionally, the revision history of the source code can also be used as source for valuable information about the behaviour of the software system. Mazlami et al. [19] originally proposed the use of the revision history of the source code to identify couplings between classes. The authors suggest multiple strategies that can be used to extract information from the revision history. Others have built upon this approach, using the revision history to identify the authors of the source code, and use this information to drive the identification algorithm [32], [39]

Escobar et al. [18] use the source code of the software system to construct an Abstract Syntax Tree (AST), and map the dependencies between the business and data layer. Kamimura et al. [20] use a more data-driven approach, and statically trace data access calls in the source code.

Many publications [21], [26], [28]–[30], [37]–[39] construct a dependency graph from Java source code, and use the graph as input for a clustering algorithm. Bandara and Perera [23] map object-oriented classes in the source code to specific microservices, but require a list of microservices to be specified before the decomposition is performed.

Gianluca Filippone, Autili, et al. [24] concentrate on the API controllers as entrypoints into the software system. A later paper by the same authors [25] builds on top of this approach by using the API endpoints as entrypoints, and then ascending into the source code by separating the presentation and logic layer. Likewise, Zaragoza et al. [29] make a distinction between presentation, business, and data layer.

Most of the publications tracing dependencies between classes (or modules) do this at the level of the classes (or modules). As Mazlami et al. [19] remark, using a more granular approach at the level of methods (or functions) and attributes has the potential to improve the quality of the decomposition. Carvalho et al. [22] use a more granular approach, identifying dependencies between methods in the source code. On the other hand, Kinoshita and Kanuka [27] do not automatically extract information from the source code, but rely on a software architect to decompose the software system on the basis of business capability.

Romani et al. [31] propose a data-centric microservice candidate identification method based on knowledge gathered from the database schema. The authors extract table and column methods from the database schema, and use the semantically enriched information as input for the identification algorithm. Hao et al. [33] construct access patterns from both the database schema (static) and the database calls during execution of the software system (dynamic).

A unique approach to constructing a call graph is proposed by Nitin et al. [36], who make a distinction between context-insensitive and context-sensitive dependency graphs. While the former captures the dependencies between classes using simple method calls, the latter also includes the context (i.e., the arguments) of the method call in the dependency graph.

Execution

As the last category, information about the behaviour of the system can also be collected during the runtime of the software system. Execution data includes log files, execution traces, and performance metrics. This category is often combined with static analysis on source code, as the execution data can provide additional information to the identification algorithm. In dynamic languages such as Java, dynamic analysis can trace access patterns that static analysis cannot (e.g., due to late binding and polymorphism). Additionally, execution data can be collected when the source code of the software system is not available.

Examples of approaches using execution traces are Jin et al. [40] and Eyitemi and Reiff-Marganiec [43]. Using software probes inserted into the bytecode of respectively Java and .NET applications, the authors are able to monitor execution paths. Zhang et al. [41] collect the execution traces of the software system, in combination with performance logs.

Ma et al. [42] use a data-centric approach based on the analysis of database access requests.

Hybrid approach

Some publications suggest a hybrid approach using both static and dynamic analysis. For instance, Wu and Zhang [28], Carvalho et al. [22] and Cao and Zhang [38] collect information statically from the source code (entity classes and databases), as well as dynamically from the execution of the software system (execution traces). The approach proposed by Lourenço and Silva [32] uses either static of the source code or dynamic analysis of the system execution to gather access patterns.

Hao et al. [33] use both static and dynamic analysis, albeit aimed at the database schema and database calls, respectively.

6.3.2. Algorithms

Microservice candidate identification is a problem that is often solved by representing the architecture as a directed graph. The graph exposes the relationship between the elements of the software architectures. The nodes of the graph represent the classes, modules, or components, and the edges the function or method calls between them. Often the edges are weighted, representing the frequency or cost of the calls. Based on the information contained within, the graph is then divided into several clusters, each encapsulating a microservice candidate. The goal is to find a partitioning of the graph that minimizes the number of edges between clusters and maximizes the number of edges within clusters.

The identified classes of microservice candidate identification algorithms are described in Table 5.

| Type | Example algorithms | Publications |
|-------------------------|--|--|
| Clustering algorithms | K-Means, DBSCAN, Hierarchical Agglomerative Clustering, Affinity Propagation | [9], [11], [13], [21], [23], [28]–[33], [42], [35]–[38] |
| Evolutionary algorithms | NSGA-II, NSGA-III | [8], [12], [14], [22], [27], [40], [41] |
| Graph algorithms | Kruskal, Louvain method, Leiden algorithm, Label Propagation | [10], [19], [25], [34], [17], [36], [38] |
| Other algorithms | Linear optimization, custom algorithms | [15], [18], [20], [21], [24], [26], [43], [16], [17], [39] |

Table 5: Microservice candidate identification algorithm

Clustering algorithms

The first class of algorithms identified in the literature is clustering algorithms. Clustering algorithms are unsupervised machine learning algorithms that aim to find an optimal partitioning of the graph. Typical clustering algorithms used for this purpose are K-Means clustering and agglomerative clustering.

Examples of publications using K-Means clustering to identify microservice candidates are Saidi et al. [11], Wu and Zhang [28], Romani et al. [31], and Hao et al. [33].

Al-Debagy and Martinek [13] use Affinity Propagation [46] to cluster vector representations of operation names in a software system. Affinity Propagation is a clustering algorithm that identifies exemplars in the data, which are used to represent the clusters.

Hierarchical clustering approaches are used in various publications [21], [30], [32], [42], [29], [23]. Lourenço and Silva [32] uses similarity between domain entities accesses and development history of source code files as a guiding measure for the clustering algorithm, while Zaragoza et al. [29] uses structural and data cohesion of microservices. Daoud et al. [9] extend the hierarchical agglomerative clustering (HAC) algorithm [47] with a collaborative approach, where the clustering is performed by multiple homogenous clustering nodes, each responsible for a subset of the data.

Selmadji et al. [21] propose two possible algorithms for microservice identification: a hierarchical clustering algorithm, and a clustering algorithm based on gravity centers.

Sellami et al. [35] use the Density-Based Spatial Clustering of Applications with Noise (DBSCAN) algorithm [48] to identify microservices.

Evolutionary algorithms

Evolutionary algorithms are the second class of algorithms present in the literature. Evolutionary algorithms, and in particular genetic algorithms, are algorithms aimed at solving optimization problems by borrowing techniques from natural selection and genetics. These algorithms typically operate iteratively, selecting the best solutions from a population at each iteration (called a generation), and then combining the selected solutions to create new combinations for the next generation. The process is then repeated until certain criteria are met, for example a maximum number of generations, convergence of the population, or a quality indicator.

Examples of publications using Non-Dominated Sorting Algorithm II (NSGA-II) as multi-objective optimization algorithm to identify microservice candidates are Zhou and Xiong [14], Kinoshita and Kanuka [27], Zhang et al. [41], Jin et al. [40], and Li et al. [12]. Carvalho et al. [22] use the next generation of NSGA, NSGA-III, in order to find a solution for the problem.

Amiri [8] rely on a genetic algorithm using Turbo-MQ [49] as fitness function.

Graph algorithms

Another common approach to identify microservice candidates is to use classical algorithms from graph theory.

For example, Mazlami et al. [19] and Yang et al. [10] use Kruskal's algorithm [50] to partition the graph into connected clusters. Kruskal's algorithm is a greedy algorithm that finds the minimum spanning forest for an undirected weighted graph.

Gianluca Filippone, Qaisar Mehmood, et al. [25] apply the Louvain community detection algorithm [51] to obtain the granularity of the microservices, and high-cohesive communities of nodes. The Louvain method is a greedy optimization algorithm that aims to extract non-overlapping communities from a graph, using the modularity value as optimization target. Hasan et al. [17] use

the Leiden algorithm [52], an improvement of the Louvain method that uses a refinement step to improve the quality of the communities.

Cao and Zhang [38] use both the Leiden algorithm and the hierarchical clustering algorithm to identify microservice candidates. First, the Leiden algorithm is used to detect cohesive communities in static and dynamic analysis data, and then the hierarchical clustering algorithm is used to merge the communities into microservice candidates based on a call relation matrix.

Nitin et al. [36] use Context sensitive Label Propagation (CARGO), an algorithm built on the principles of the Label Propagation algorithm [53]. CARGO is a community detection algorithm that is able to leverage the context embedded in the dependency graph to increase the cohesiveness of the communities.

Other algorithms

Other publications using algorithms that do not fit into one of the previous categories are grouped in a single category.

For example, the authors of Quattrocchi et al. [15] incorporated a Mixed Integer Linear Programming (MILP) solver in their solution. The MILP solver is used to find a solution for an optimization problem that decomposes the software system into microservices, based on the placement of operations and data entities according to the users' needs. Gianluca Filippone, Autili, et al. [24] use a linear optimization algorithm to solve a combinatorial optimization problem.

The approach taken by Kamimura et al. [20] is to use a custom clustering algorithm named SArF [54], that aims at identifying software subsystems without the need for human intervention. Escobar et al. [18] also use a custom clustering algorithm, detecting optimal microservices based on a meta-model of the class hierarchy.

Agarwal et al. [26] propose an algorithm based on seed expansion. The seed classes are detected by using formal concept analysis. Then, using a seed expansion algorithm, clusters are created around the seeds by pulling in related code artefacts based on implementation structure of the software system [26].

Eyitemi and Reiff-Marganiec [43] use a rule-based approach to microservice candidate identification. The 6 proposed rules are based on the principles of high cohesion and low coupling, and using a step-based protocol can be used to manually decompose a monolithic system into microservices.

6.3.3. Metrics

The quality metrics used in the publications are summarized in Table 6. The metrics are used to quantitatively evaluate the quality of the generated microservice decomposition. Some of the algorithms require the use of a specific metric to guide the process, such as the fitness function in genetic algorithms.

| Metric | Publications |
|----------------------|---|
| Cohesion | [9], [12]–[15], [21]–[25], [28]–[30], [32], [40], [41], [34], [16], [35], [17], [36]–[38] |
| Coupling | [9], [12], [14], [21]–[26], [28], [30], [32], [40], [41], [34], [16], [35], [17], [36]–[38] |
| Network overhead | [14], [15], [22], [24] |
| Complexity | [13], [30], [32], [17] |
| CPU and memory usage | [15], [41], [36] |
| Modularity | [12], [23], [40], [28], [34], [35], [37] |
| Other metrics | [10]–[12], [19]–[21], [25], [32], [33], [42], [16], [35], [17], [36]–[39] |
| No metrics | [18], [27], [31], [43] |

Table 6: Quality metrics

Cohesion and coupling

The quality metrics most frequently mentioned in the literature are cohesion and coupling. The behaviour of information systems has been studied with the help of these metrics and others such as size and complexity since the 1970s [55]. As object-oriented programming became more popular, the concepts of cohesion and coupling were adapted to the new paradigm [56].

Throughout the years, many definitions of cohesion and coupling have been proposed both for procedural and object-oriented systems. For example, Briand, Morasca, and Basili [57] define cohesion as the tightness with which related program features are grouped together, and coupling as the amount of relationships between the elements belonging to different modules of a system.

The publications in this review use different definitions for cohesion and coupling, and different methods of calculating them. For example, Selmadji et al. [21] define (internal) cohesion as the number of direct connections between the methods of the classes belonging to a microservice over the number of possible connections between the methods of the classes. The authors then define

internal coupling as the number of direct method calls between two classes over the total number of method calls in the application.

Others [22], [24], [14], [41], [26], [23] use a similar definition of cohesion, but they define (individual) coupling as the number of method calls from a microservice class to another class outside of the service boundary. The total coupling of the solution is the sum of the coupling of all microservices. Similarly, Gianluca Filippone, Qaisar Mehmood, et al. [25] define average cohesion and average coupling as ratio of the total cohesion and coupling respectively, to the number of microservices in the decomposition.

Jin et al. [40] introduce the concept of inter-service cohesion and inter-call percentage (ICP) as coupling metrics. Several other publications use the metrics introduced by W. Jin, T. Liu, Y. Cai, R. Kazman, R. Mo, and Q. Zheng in their research [28], [34]–[36].

Another approach to cohesion and coupling is that of Santos and Silva [30] and Lourenço and Silva [32], who define cohesion as the percentage of entities accessed by a functionality. If all entities belonging to a microservice candidate are accessed each time a microservice candidate is accessed, the service is strongly cohesive. Coupling is defined as the percentage of the entities exposed by a microservice candidate that are accessed by other microservice candidates.

Al-Debagy and Martinek [13] use the inverse of cohesion as a metric, named lack of cohesion (LCOM). It is calculated by the number of times a microservice uses a method from another microservice, divided by the number of operations multiplied by the number of unique parameters. This metric quantifies how the operations in a service are related to each other in terms of functionality.

Network overhead

Microservices are distributed systems, and communication between services is done over a network. The network overhead is the extra cost of this communication, and many authors consider it an important metric to consider when designing a microservice architecture.

Gianluca Filippone, Autili, et al. [24] and others [22], [14] calculate the value based using a heuristic function that uses the size of primitive types of method call arguments to predict the total network overhead of a microservice decomposition. Carvalho et al. [22] also includes the protocol overhead in the calculation, which is the cost of the communication protocol used to send messages between services (for example, TCP headers, HTTP headers, etc.).

Quattrocchi et al. [15] measure network overhead as part of their operational cost metric. The metric also includes data management costs (CPU and memory).

Complexity

The complexity of a microservice candidate is another metric that can impact the quality of the microservice decomposition. Al-Debagy and Martinek [13] defines complexity based on Number of Operations, a metric that uses Weighted Methods per Class (WMC), summing the number of methods in a class.

Santos and Silva [30] define the complexity metric in terms of the functionality redesign effort, rather than the complexity of the microservice candidates. The metric is associated with the cognitive load of the software architect when considering a migration from monolith to microservice.

In another publication by the same co-author, Lourenço and Silva [32] define complexity as the effort required to perform the decomposition, and expand the concept to uniform complexity, which is calculated by dividing the complexity of a decomposition by the maximum possible complexity.

CPU and memory usage

A non-functional metric that is considered by some authors is the CPU and/or memory usage of the microservices. Zhang et al. [41] use this metric to evaluate the quality of the microservice decomposition, by predicting the average CPU and memory usage of the microservices. The prediction is made based on performance logs collected by executing the monolith application.

Quattrocchi et al. [15] define operational costs as metric to minimize, which includes communication (network) and data management (CPU and memory) costs.

Nitin et al. [36] do not utilize the CPU and memory usage directly as a metric, but instead assume the latency and throughput as indicators of performance.

Modularity

Modularity is a measure of independence of services, and can be divided into many dimensions, such as structure, concept, history, and dynamism [58].

Jin et al. [40] use modularity as a metric to evaluate potential decompositions. The authors use Modularity Quality [59] and extend the concept with structural and conceptual dependencies to assess the modularity of microservice candidates.

Carvalho et al. [22] introduce a metric named feature modularization, which maps a list of features supplied by the software architect onto classes and methods, determining the set of predominant features per microservice.

Other metrics

Lourenço and Silva [32] introduce the concept of Team Size Reduction (TSR), which indicates if the average team size is shorter after the decomposition, by comparing the average number of authors

per microservice to the total number of authors. A Team Size Reduction value of 1 indicates that the microservices architecture has the same number of authors as the monolith, while a value less than 1 indicates a reduction in the number of authors. Mazlami et al. [19] make use of the TSR metric, as well as the Average Domain Redundancy (ADR) metric, which represents the amount of domain-specific duplication or redundancy between the microservices. The ADR metric uses a scale from 0 to 1, where 0 indicates no redundancy and 1 indicates that all microservices are redundant.

Carvalho et al. [22] propose a metric called reuse, which measures the reusability of a microservice. Reuse is calculated as the number of times a microservice is called by the user, relying on dynamic analysis to collect this information.

The usage metric of an object-oriented software system, defined as the sum of the inheritance factor (is-a) and the composition factor (has-a) is used by Bandara and Perera [23] as a part of the fitness function for the clustering algorithm.

Saidi et al. [11] use the intra-domain and inter-domain data dependency metrics to delineate microservice boundaries, based on the read and write access pattern of the operations. In a similar fashion, Selmadji et al. [21] talk about data autonomy determined by the internal and external data access of a microservice candidate.

Kamimura et al. [20] introduce a metric called dedication score, which measures the relationships between services as a function of access frequency. Along with a modularity metric, the dedication score is used in their custom SArF dependency-based clustering algorithm [54].

The correlation metric is used by Yang et al. [10] and indicates the degree of correlation between the microservices. The authors calculate the correlation in two ways: the number of co-occurrence of the problem domain, and the adjacency relationship between problem domains.

Ma et al. [42] use the Adjusted Rand Index (ARI) as clustering evaluation criterion. The metric measures the similarity between two clusters in a decomposition, and ranges from -1 to 1 , with 0 being the optimal value.

Hao et al. [33] use the Matching Degree metric as quality indicator. The metric is calculated by dividing the number of intersections of database tables in a given microservice and a given cluster by the total number of tables used in the microservice.

Hasan et al. [17] and Kalia et al. [37] use the Size metric to evaluate the quality of the microservice decomposition. The metric measures how evenly the size of the proposed microservices is. The size metric was originally proposed by Wu, Hassan, and Holt [60].

Santos and Paula [39] use the silhouette coefficient originally proposed by Rousseeuw [61] as evaluation metric. The silhouette coefficient assesses clustering consistency by comparing the average dissimilarity within the cluster.

No metrics

Some of the publications do not mention any quality metrics used in the evaluation of the proposed decomposition. These methods typically rely on the selection or approval of a software architect to choose the best decomposition, based on their experience and knowledge of the system. This is the case of Eyitemi and Reiff-Marganiec [43], Romani et al. [31], Amiri [8], and Escobar et al. [18].

The evaluation method by Kinoshita and Kanuka [27] also does not rely on quantifying the quality of the microservice decomposition using metrics, but rather relies on the software architect's judgement to choose a qualitative decomposition.

7. Proposed solution

In this chapter, we propose our solution for identification of microservice candidates in a monolithic application. The approach is based on the analysis of a dependency graph, that aggregates information from the static and evolutionary analysis of the source code.

Problem statement

The goal of this solution is to identify a set of microservice candidates that can be extracted from the source code of the given monolithic application, in order to automate the migration to a microservices architecture. The problem can be formulated as a graph partitioning problem, where the vertices correspond to the modules or classes in the monolithic application, and the edges represent the dependencies between them. The input of the algorithm is a representation M of the monolithic application, which exposes a set of functionalities M_F through a set of classes M_C , and history of modifications M_H . The triplet is described by Equation 1.

$$M_i = \{M_{F_i}, M_{C_i}, M_{H_i}\} \quad (1)$$

The set of functionalities M_{F_i} , the set of classes M_{C_i} , and the set of historical modifications M_{H_i} are described by Equation 2.

$$\begin{aligned} M_{F_i} &= \{f_1, f_2, \dots, f_j\} \\ M_{C_i} &= \{c_1, c_2, \dots, c_k\} \\ M_{H_i} &= \{h_1, h_2, \dots, h_l\} \end{aligned} \quad (2)$$

The output of the algorithm is a set of microservices S , according to Equation 3, where m is the number of microservices in the proposed decomposition.

$$S_i = \{s_1, s_2, \dots, s_m\} \quad (3)$$

As each class belongs to exactly one microservice, the proposed decomposition S can be written as an bijective function f of M_{C_i} onto S_i as in Equation 4, where $f(c_i) = s_j$ if class c_i belongs to microservice s_j .

$$f : M_{C_i} \rightarrow S_i \quad (4)$$

We start by identifying the functional and non-functional requirements for the solution. Then, we propose a four-step approach to decomposition adapted from the microservice identification pipeline by Lopes and Silva [62].

- **Extraction:** the necessary information is extracted from the application and its environment.
- **Decomposition:** using the collected data, a decomposition of the application into microservices is proposed.
- **Visualization:** the proposed decomposition is visualized to facilitate the understanding of the architecture.
- **Quality assessment:** the proposed decomposition is evaluated according to a set of quality metrics.

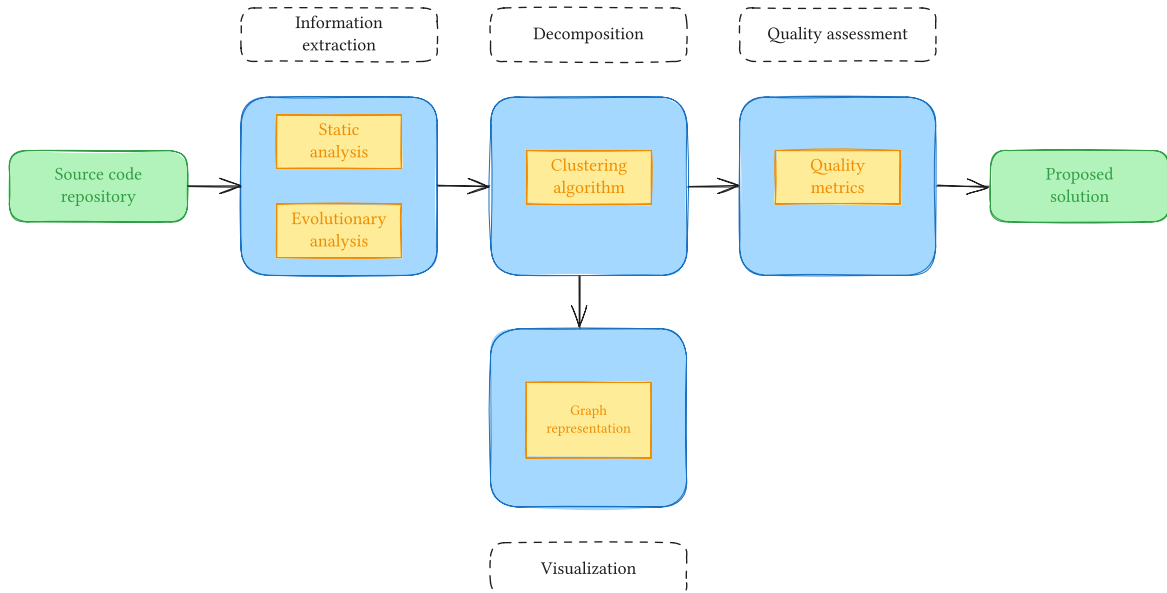


Figure 2: Overview of the architecture of the proposed solution

The next sections detail each of these steps, providing a comprehensive overview of the proposed solution. The process we describe is generic and not tied to any specific programming language or paradigm. We implemented a prototype of the proposed solution in Ruby, as the monolithic application we use for evaluation is written in Ruby. The implementation is available online⁶.

7.1. Requirements

Our approach needs to fulfill certain requirements. We make a distinction between functional and non-functional requirements. In software engineering, functional requirements describe requirements that impact the design of the application in a functional way. Non-functional

⁶<https://github.com/floriandejonckheere/mosaik>

requirements are additional requirements imposed at design-time that do not directly impact the functionality of the application .

The functional requirements we pushed forward for our proposed solution are as follows:

1. **Efficiency:** the solution decomposes the monolithic application into a microservices application with adequate efficiency
2. **Technology:** the solution is written in a programming language that is compatible with the Ruby programming language⁷
3. **Visual:** the solution can output the proposed decomposition in a visual manner, to aid understanding of the process

The non-functional requirements identified in our solution are:

1. **Usability:** a software architect or senior software engineer can reasonably quickly get started with the solution
2. **Performance:** the solution performs the analysis, decomposition, and evaluation reasonably fast on the source code of a larger application
3. **Reuse:** The solution can successfully be reused for untested monolithic applications

⁷<https://www.ruby-lang.org/>

7.2. Extraction

Software development is typically done in multiple steps, either using the waterfall model, or using an iterative approach. Analysis and design are two steps of early software development which often yield software development lifecycle artifacts in the form of use cases, process models, and diagrams. However, after the completion of the development and the subsequent deployment, these documents are often not kept up to date, and sometimes even lost. Therefore, it is not always possible to use design documents for the information extraction phase. A software development artifact that is usually available is the source code repository of the application. Hence, we chose the source code repository as the starting point of the information extraction.

Mazlami et al. [19] propose a microservice extraction model that includes three possible extraction strategies: *logical coupling* strategy, *semantic coupling* strategy, and *contributor coupling* strategy. In this thesis, we concentrate on the logical coupling strategy, and the contributor coupling strategy. The next sections describe in detail how these strategies are used for extracting information from the source code repository.

7.2.1. Structural coupling

7.2.2. Logical coupling

The logical coupling strategy is based on the Single Responsibility Principle [63], which states that a software component should only have one reason to change. Software design that follows the Single Responsibility Principle groups together software components that change together. Hence, it is possible to identify appropriate microservice candidates by analyzing the history of modifications of the classes in the source code repository. Classes that change together, should belong in the same microservice. Let M_H be the history of modifications of the source code files of the monolithic application M . Each change event h_i is associated with a set of associated classes c_i that were changed during the modification event at timestamp t_i . The change event h_i is also associated with a set of developers d_i , as described by Equation 5 [19].

$$h_i = \{c_i, t_i, d_i\} \quad (5)$$

If c_1, c_2 are two classes belonging to the same change event h_i , then the logical coupling is computed as follows in Equation 6 [19].

$$\Delta(c_1, c_2) = \sum_{h \in M_H} \delta_{h(c_1, c_2)} \quad (6)$$

Where δ is the change function.

$$\delta(c_1, c_2) = \begin{cases} 1 & \text{if } c_1, c_2 \text{ changed in } h_i \\ 0 & \text{otherwise} \end{cases} \quad (7)$$

Equation 6 is calculated for each change event $h_i \in M_H$, and each pair of classes c_1, c_2 in the change event, and stored in a co-change matrix N_c .

7.2.3. Contributor coupling

7.2.4. Dependency graph

Finally, A graph $G_h = (V, E)$ is constructed, where V is the set of classes in the monolithic application, and E is the set of edges between classes that have an interdependency based on the extraction strategies. The weight for the edge is calculated as the weighted sum of the structure matrix N_s , the co-change matrix N_c , and the co-authorship matrix N_d . The weights $\alpha, \beta, \gamma \in [0, 1]$ are used to balance the contribution of the structural, logical, and contributor coupling respectively, as in Equation 8.

$$w(c_1, c_2) = \alpha N_{s(c_1, c_2)} + \beta N_{c(c_1, c_2)} + \gamma N_{d(c_1, c_2)} \quad (8)$$

7.3. Decomposition

7.4. Visualization

7.5. Evaluation

8. Case study

8.1. Background

8.2. Experimental setup

8.3. Evaluation and results

8.4. Discussion

8.5. Threats to validity

9. Conclusion

9.1. Future work

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A Systematic Literature Review (SLR) publications

Primary studies

| ID | Publication |
|----------|---|
| P1 [11] | <i>A DDD Approach Towards Automatic Migration To Microservices</i> , M. Saidi, A. Tissaoui, and S. Faiz |
| P2 [10] | <i>A Microservices Identification Approach Based on Problem Frames</i> , Z. Yang, S. Wu, and C. Zhang |
| P3 [27] | <i>Automated Microservice Decomposition Method as Multi-Objective Optimization</i> , T. Kinoshita and H. Kanuka |
| P4 [14] | <i>Automated Microservice Identification from Design Model</i> , X. Zhou and J. Xiong |
| P5 [41] | <i>Automated Microservice Identification in Legacy Systems with Functional and Non-Functional Metrics</i> , Y. Zhang, B. Liu, L. Dai, K. Chen, and X. Cao |
| P6 [15] | <i>Cromlech: Semi-Automated Monolith Decomposition Into Microservices</i> , G. Quattrocchi, D. Cocco, S. Staffa, A. Margara, and G. Cugola |
| P7 [20] | <i>Extracting Candidates of Microservices from Monolithic Application Code</i> , M. Kamimura, K. Yano, T. Hatano, and A. Matsuo |
| P8 [13] | <i>Extracting Microservices' Candidates from Monolithic Applications: Interface Analysis and Evaluation Metrics Approach</i> , O. Al-Debagy and P. Martinek |
| P9 [19] | <i>Extraction of Microservices from Monolithic Software Architectures</i> , G. Mazlami, J. Cito, and P. Leitner |
| P10 [21] | <i>From Monolithic Architecture Style to Microservice One Based on a Semi-Automatic Approach</i> , A. Selmadji, A.-D. Seriai, H. L. Bouziane, R. Oumarou Mahamane, P. Zaragoza, and C. Dony |
| P11 [25] | <i>From Monolithic to Microservice Architecture: An Automated Approach Based on Graph Clustering and Combinatorial Optimization</i> , Gianluca Filippone, Qaisar Mehmood, <i>et al.</i> |
| P12 [28] | <i>Identification of Microservices through Processed Dynamic Traces and Static Calls</i> , S. Wu and C. Zhang |
| P13 [29] | <i>Leveraging the Layered Architecture for Microservice Recovery</i> , P. Zaragoza, A.-D. Seriai, A. Seriai, A. Shatnawi, and M. Derras |
| P14 [30] | <i>Microservices Identification in Monolith Systems: Functionality Redesign Complexity and Evaluation of Similarity Measures</i> , S. Santos and A. R. Silva |
| P15 [42] | <i>Migrating Monoliths to Microservices Based on the Analysis of Database Access Requests</i> , S.-P. Ma, T.-W. Lu, and C.-C. Li |
| P16 [24] | <i>Migration of Monoliths through the Synthesis of Microservices Using Combinatorial Optimization</i> , Gianluca Filippone, Autili, <i>et al.</i> |
| P17 [32] | <i>Monolith Development History for Microservices Identification: A Comparative Analysis</i> , J. Lourenço and A. R. Silva |
| P18 [26] | <i>Monolith to Microservice Candidates Using Business Functionality Inference</i> , S. Agarwal, R. Sinha, G. Sridhara, P. Das, U. Desai, S. Tamilselvam, A. Singhee, and H. Nakamuro |
| P19 [8] | <i>Object-Aware Identification of Microservices</i> , M. J. Amiri |
| P20 [22] | <i>On the Performance and Adoption of Search-Based Microservice Identification with toMicroservices</i> , L. Carvalho, A. Garcia, T. E. Colanzi, W. K. G. Assuncao, J. A. Pereira, B. Fonseca, M. Ribeiro, M. J. De Lima, and C. Lucena |
| P21 [33] | <i>Research on Decomposition Method of Relational Database Oriented to Microservice Refactoring</i> , J. Hao, J. Zhao, and Y. Li |
| P22 [12] | <i>RM2MS: A Tool for Automatic Identification of Microservices from Requirements Models</i> , Y. Li, Y. Zhang, Y. Yang, W. Wang, and Y. Yin |

| | | |
|------------|------|--|
| P23 | [40] | <i>Service Candidate Identification from Monolithic Systems Based on Execution Traces</i> , W. Jin, T. Liu, Y. Cai, R. Kazman, R. Mo, and Q. Zheng |
| P24 | [43] | <i>System Decomposition to Optimize Functionality Distribution in Microservices with Rule Based Approach</i> , F.-D. Eyitemi and S. Reiff-Marganiec |
| P25 | [9] | <i>Towards an Automatic Identification of Microservices from Business Processes</i> , M. Daoud, A. El Mezouari, N. Faci, D. Benslimane, Z. Maamar, and A. El Fazziki |
| P26 | [31] | <i>Towards Migrating Legacy Software Systems to Microservice-based Architectures: A Data-Centric Process for Microservice Identification</i> , Y. Romani, O. Tibermacine, and C. Tibermacine |
| P27 | [18] | <i>Towards the Understanding and Evolution of Monolithic Applications as Microservices</i> , D. Escobar, D. Cardenas, R. Amarillo, E. Castro, K. Garces, C. Parra, and R. Casallas |
| P28 | [23] | <i>Transforming Monolithic Systems to Microservices - An Analysis Toolkit for Legacy Code Evaluation</i> , C. Bandara and I. Perera |
| P29 | [16] | <i>A Feature Table Approach to Decomposing Monolithic Applications into Microservices</i> , Y. Wei, Y. Yu, M. Pan, and T. Zhang |
| P30 | [35] | <i>A Hierarchical DBSCAN Method for Extracting Microservices from Monolithic Applications</i> , K. Sellami, M. A. Saied, and A. Ouni |
| P31 | [17] | <i>AI-based Quality-driven Decomposition Tool for Monolith to Microservice Migration</i> , M. H. Hasan, M. H. Osman, N. I. Admodisastro, and M. S. Muhammad |
| P32 | [36] | <i>CARGO: AI-Guided Dependency Analysis for Migrating Monolithic Applications to Microservices Architecture</i> , V. Nitin, S. Asthana, B. Ray, and R. Krishna |
| P33 | [38] | <i>Implementation of Domain-oriented Microservices Decomposition Based on Node-attributed Network</i> , L. Cao and C. Zhang |
| P34 | [39] | <i>Microservice Decomposition and Evaluation Using Dependency Graph and Silhouette Coefficient</i> , A. Santos and H. Paula |
| P35 | [37] | <i>Mono2Micro: A Practical and Effective Tool for Decomposing Monolithic Java Applications to Microservices</i> , A. K. Kalia, J. Xiao, R. Krishna, S. Sinha, M. Vukovic, and D. Banerjee |

Table 7: Selected publications (primary studies)

Secondary studies

| ID | Publication |
|---------|---|
| P1 [6] | <i>A Prescriptive Model for Migration to Microservices Based on SDLC Artifacts</i> , D. Bajaj, U. Bharti, A. Goel, and S. C. Gupta |
| P2 [64] | <i>Decomposition of Monolith Applications Into Microservices Architectures: A Systematic Review</i> , Y. Abgaz, A. McCarren, P. Elger, D. Solan, N. Lapuz, M. Bivol, G. Jackson, M. Yilmaz, J. Buckley, and P. Clarke |
| P3 [65] | <i>Evolution of Microservices Identification in Monolith Decomposition: A Systematic Review</i> , I. Oumoussa and R. Saidi |
| P4 [66] | <i>Microservices Identification Strategies : A Review Focused on Model-Driven Engineering and Domain Driven Design Approaches</i> , R. A. Schmidt and M. Thiry |
| P5 [67] | <i>Migrating Legacy Software to Microservices Architecture</i> , J. Kazanavicius and D. Mazeika |
| P6 [68] | <i>Using Database Schemas of Legacy Applications for Microservices Identification: A Mapping Study</i> , A. Mparmpoutis and G. Kakarontzas |

Table 8: Selected publications (secondary studies)

B Examples

Examples First page

```
1 class Example
2   def initialize
3     @text = "Hello world"
4   end
5
6   def say_hello
7     puts @text
8   end
9 end
10
11 example = Example.new
12
13 example.say_hello
14 # => Hello world
```

Ruby

Listing 2: Ruby code example

Examples Second page