A Survey on Machine Learning and Requirements

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Abstract. Machine learning (ML) has demonstrated practical impact in a variety of application domains. Software engineering is a fertile domain where ML is helping in automating different tasks. In this paper, our focus is the intersection of software requirement engineering (RE) and ML. To obtain an overview of how ML is helping RE and the research trends in this area, we have surveyed a large number of research articles. We found that the impact of ML can be observed in requirement elicitation, analysis and specification, validation and management. Furthermore, in these categories, we discuss the specific problem solved by ML, the features and ML algorithms used, and datasets, when available. We outline lessons learned and envision the possible future directions for the domain.

1 Introduction

This is an introduction [9]

1.1 Machine Learning

Machine-Learning (ML) [**?**] is a range of algorithm to approximate functions and discover patterns in data. Historically, models and heuristics are human-built exhaustive prescriptions of how a system should behave. ML is grounded on different premises: rather than relying on humans to input all the possible cases the system can handle, the field attempts to extrapolate patterns from a representative set of examples that illustrate the expected behaviors. The way in which a learning algorithm operates attempts to emulate the way in which humans learn: from a set of examples, a general model for a behavior is induced.

Many learning algorithms exist, based on different visions of how learning happens in practice [9]. All these algorithms have in common the notion of *features*. Features correspond to characteristics of what is being learned and provide the grounds for the algorithm to abstract from the complexities of the real world. Assume for example that an algorithm should learn, based on a brain scan of a medical patient, to decide whether that patient has brain cancer or not. A number of *features* such as for example the "number of irregular objects in the scan", the "color of such objects", the "disposition of such objects" would be provided to the algorithm. Additionally, the algorithm is fed a number of

brain scans together with decisions previously taken on them (cancer found / cancer not found) – the *training data*. The learning algorithm then undergoes a *training phase*. It attempts to find an internal model that allows it to map the decisions to the brain scans, given the training data. The model obtained from the training step is useful if it performs well (generalizes) when applied to new data from outside the training set – in our example, when it can accurately diagnose brain cancer for new brain scans. Such generalization is based on the premise that inputs that are "closer", in terms of the given *features*, should lead to "closer" outputs.

The formal notion of "closeness" is a characteristic of the learner algorithm being employed and determines how the algorithm generalizes the computation from the given examples. Achieving good generalizations is the cornerstone of machine learning and *overfitting* (performing very well on training inputs but very poorly on new inputs) is one of its major challenges. Levi ►cut these last couple of sentences◄

More formally, in textbooks, courses and articles, Machine Learning is often defined following the definition of Tom Mitchell [**?**]:

> A computer program is said to learn from experience E with respect to some class of tasks T and performance measure P if its performance at tasks in T, as measured by P, improves with experience E.

Therefore, it is said that to classify some patients into classes (e.g healthy and unhealthy), the task T, one have to define an algorithm that provides a model, such as an artificial neural network. The quality of this model is quantified by a measure P, for instance its accuracy while predicting the classes. This measure is then sent back to the algorithm, a new experience E, in order to choose or improve the model. A machine learning tasks can be discussed and subdivided based on the elements of the following equation:

$$f(\mathbf{X}) = \mathbf{y} + \xi$$

where $\mathbf{X}$ is the $n \times d$ input matrix, containing n samples characterized by d features, $\mathbf{y}$ is the $n \times 1$ target vector containing the classes of the n samples and ξ is a $n \times 1$ vector representing the noise. The goal is to approximate f in order to provide the best mapping between $\mathbf{X}$ and $\mathbf{y}$, given some noise ξ. Indeed, the approximation has to map a $\mathbf{X}$ containing noise, to a $\mathbf{y}$ which may contain noise too. For instance, uncontrolled conditions such as the room temperature and the exposure time to this temperature can induce variations in the information contained in collected blood samples. Moreover, the ξ term also contains the approximation error when, for example, one tries to approximate a non-linear function with a linear function.

The problem presented by the above equation is called *supervised learning*, and can be roughly subdivided in two popular problems: *classification* and *regression*. When the target vector $\mathbf{y}$ is composed of categorical values (i.e. classes), then we have a classification problem. The goal is to learn how to link instances or samples in $\mathbf{X}$ to a certain class (e.g. healthy patient or unhealthy patient).

However, if the target vector contains continuous values, we face a regression problem (e.g. predict the body temperature of a patient given some clinical features of the patient).

In some cases, $\mathbf{y}$ is not given and we have to find patterns in $\mathbf{X}$ "blindly." This is called an *unsupervised* learning problem. Finding clusters in $\mathbf{X}$, i.e. finding a $\mathbf{y}$ that has never been given, is such a problem. For instance, one may want to group patients based on symptoms they have.

Reinforcement Learning can be seen as an intermediate problem where $\mathbf{y}$ is not given but the procedure is guided nevertheless. In RL, an agent has to find a sequence of actions leading to a success. The fact that the sequence leads to a success, i.e what would be in $\mathbf{y}$, is not known in advance, but rewards are given to the agent in order for him to know if it follows a path to success. In other words, the goal is, by providing rewards along the way, to find the sequence of actions leading to the desired state. Typical examples can be found in gaming, where an agent receives a reward when he wins the game. From the different chains of actions that led him to a reward, the agent must generalize to find how to win that game.

1.2 Requirements Engineering

Software systems are developed over millions of lines of code, number of modules and documents. The primary goal of the software system is to satisfy users by developing the software that can meet their needs and expectations. This goal is achievable by applying different methodologies and engineering techniques. One of the key factor is to understand and identify the needs of users, also known as, software requirements. Software requirement engineering is the process that helps to determine the requirements in a systematic way to know what functionalities the targeted system should have to fulfil user's needs. Formally RE is defined as [30]:

> "Requirements engineering is the branch of software engineering concerned with the real-world goals for, functions of, and constraints on software systems. It is also concerned with the relationship of these factors to precise specifications of software behavior, and to their evolution over time and across software families."

Software requirements play a key role in the success of a project. In the USA, a survey was conducted over 8380 projects by 350 companies to know the project failure rates. The report overall results showed only 16.2% projects were completed successfully and one-half (52.7%) of projects met with challenges and were completed with partial functionalities, time delays and over budget. Almost 31% of the projects were never completed. The main cause told by the executive managers was the poor requirement. The major problems were the lack of user involvement (13%), requirements incompleteness (12%), changing requirements (11%), unrealistic expectations (6%), and unclear objectives (5%).[**?**] [6]

Software requirement engineering has mainly four phases; requirement elicitation, requirement analysis, requirement documentation and requirement verification [19]. Requirement elicitation [5,31] helps to understand the stakeholders needs, e.g. what features he wants in the software. Requirement elicitation techniques are mostly derived by the social sciences, organizational theory, knowledge engineering and practical experience. For requirements elicitation, different techniques exist in the literature that include interviews, questioners and ethnography etc. Requirement analysis [23] is the next step after requirement elicitation. In this phase, software requirements are analyzed to check conflicts and consistency of requirements. It is also makes sure that the requirements are clear, complete and consistent. Furthermore, the agreed requirements are documented. This documentation has a clear and precise definition of the system functionalities. It also acts as an agreement between stakeholders and developers. These functionalities and requirements are documented usually as diagrams, mathematically formulae or natural languages. These documents are used and iterated until the end of the projects. System requirements are classified into businees requirments, user requirments, functional requirements (FR) and non-functional requirements (NFR),. Functional requirements are the system requirements that include the main features and characteristics of the desired system. Non-functional requirements are the system properties and constraints [6]. NFRs set the criteria for judging the operation of the system e.g. performance, availability and reliability etc.

2 Contributions

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2.1 Requirements Elicitation and Discovery

[4], [17], [3]

Internal vs External

Prioritization of Requirements

Text mining

2.2 Requirements Analysis and Specification

Non-Functional [27]

Functional [8], [20], [11], [1], [7], [25], [22], [12], [29], [10], [2], [28], [13], [15], [14], [24]

Security Requirements [16], [26], [18]

Contextual Requirements

2.3 Requirements Validation

Traceability [21] [25]

2.4 Requirements Management

Visualization

Structuring Documents

3 Discussion

4 Threats to Validity

5 Conclusion

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