SCORING A SOFTWARE DEVELOPMENT ORGANIZATION

BY

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This dissertation is approved as a creditable and independent investigation by a candidate for the Doctor of Philosophy degree and is acceptable for meeting the dissertation requirements for this degree. Acceptance of this does not imply that the conclusions reached by the candidates are necessarily the conclusions of the major department.

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ABSTRACT

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Nearly every large organization on Earth is involved in software development at some level. Some organizations specialize in software development while other organizations only participate in software development out of necessity. In both cases, the performance of the software development matters. Organizations collect vast amounts of data relating to software development. What do the organizations do with that data? That is the problem. Many organizations fail to do anything meaningful with the data.

Another problem is knowing what data to collect. There are many options, but certain data is more important than others. What data should a software development organization collect?

This paper plans to answer that question and present a framework to gather the right information and provide a score for an organization that produces software. The score is not to be comparative between organizations, but to be comparative for a specific organization over time.

The primary goal of this work is to provide a general framework for what a software development organization should measure and how to report on those measurements. The focus is scoring of the entire organization and not just the development efforts. The secondary goal of this work is to provide a software implementation of that framework.

1 INTRODUCTION

Software is becoming a vital part of companies. In 2011 Marc Andreessen, co-founder of the venture capital firm Andreessen-Horowitz, famously claimed, "Software is Eating The World" [2]. His argument was for the ever increasing importance of software in all organizations big and small regardless of the industry. With this important declaration, the production of new software is going to be critical. Just as important will be the effective measurement of how this software is produced.

The goal of this work is to provide a basis of what data should be collected by a software development organization, and how that data should be used to formulate a single number representing the software development score of an organization. A framework to achieve the score will be presented. The score is not to be comparative between organizations, but to rather form a historical baseline for a specific organization. Also, a software system to collect, calculate, and report the score will be presented.

1.1 BACKGROUND

Throughout the history of software development, many values have been collected and used to measure the effectiveness of software development.

1.2 OVERVIEW

What is the goal? how will it help? Expand on the thesis statement here score the overall organization produce a single a number score don't focus too heavily on the source code

1.3 CMMI

The Capability Maturity Model Integration (CMMI) is one of the most widely acknowledged models for process improvement in software development. CMMI offers a generic guideline and appraisal program for process improvement. It was created and is administered by the Software Engineering Institute at Carnegie Mellon University. While the CMMI is not specific to software development, it is often applied in software development settings. CMMI certification is required for many United States Government and Department of Defense contracts.

CMMI-Dev is a modification of the CMMI specific to the development activities applied to products and services [14]. The practices covered in CMMI-Dev include project management, systems engineering, hardware engineering, process management, software engineering, and other maintenance processes. Five maturity levels are specified, and they include the existence of a number of process areas. The 5 maturity levels and the process areas are specified as follows.

CMMI MATURITY LEVEL 1 - INITIAL A maturity level 1 organization consists of an adhoc and chaotic processes. While working products are still produced, the results are often over budget and behind schedule. A level 1 organization will also have difficulties repeating a process with the same degree of success. These organizations typically rely on the heroic efforts of certain individuals.

CMMI MATURITY LEVEL 2 - MANAGED A maturity level 2 organization has a policy for planning and executing processes. The processes are controlled, monitored, reviewed, and enforced. The practices are even maintained in times of stress. The following process areas should be present at maturity level 2.

- Configuration Management (CM)

- Measurement and Analysis (MA)
- Project Monitoring and Control (PMC)
- Project Planning (PP)
- Process and Product Quality Assurance (PPQA)
- Requirements Management (REQM)
- Supplier Agreement Management (SAM)

CMMI MATURITY LEVEL 3 - DEFINED A maturity level 3 organization has well-understood processes that are described in standards, tools, procedures, and methods. The organization has standard processes that are reviewed and improved over time. The major differentiators between level 2 and level 3 is the existence of standards and process descriptions. A level 2 organization will have processes that are inconsistent across projects. A level 3 organization will tailor a standard process for each project. Also, level 3 processes are described with much more rigor. In addition to the process areas found in level 2, the following process areas should be present at maturity level 3.

- Decision Analysis and Resolution (DAR)
- Integrated Project Management (IPM)
- Organizational Process Definition (OPD)
- Organizational Process Focus (OPF)
- Organizational Training (OT)
- Product Integration (PI)
- Requirements Development (RD)
- Risk Management (RSKM)

- Technical Solution (TS)
- Validation (VAL)
- Verification (VER)

CMMI MATURITY LEVEL 4 - QUALITATIVELY MANAGED A maturity level 4 organization has quantitative measures for quality and process performance. The measures are based upon customer needs, end users, and process implementers. The quality and process performance are understood mathematically and managed throughout the life of a project. Level 4 is characterized by the predictability of the process performance. In addition to the process areas found in level 2 and 3, the following additional process areas should be present at maturity level 4.

- Organizational Process Performance (OPP)
- Quantitative Project Management (QPM)

CMMI MATURITY LEVEL 5 - OPTIMIZING The final and pinnacle level of CMMI maturity is level 5. A maturity level 5 organization continually improves processes based upon quantitative measures. The major distinction from level 4 is the constant focus on improving and managing organizational performance. A maturity level 5 organization has well-documented standard processes that are tracked and enforced as well as a focus on continual improvement of the processes based upon quantitative measures. In addition to the process areas of the previous maturity levels, maturity level 5 should contain the following process areas.

- Causal Analysis and Resolution (CAR)
- Organizational Performance Management (OPM)

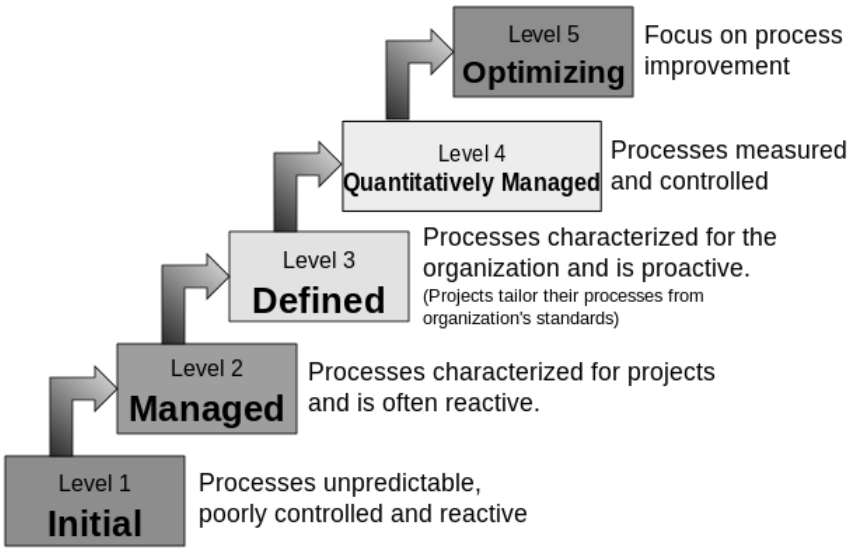

Figure 1: Characteristics of CMMI, image adapted from [22]

A visual description of the CMMI maturity levels can be seen in Figure 1. While CMMI-Dev does provide an excellent framework for improving a process. It is wholely focused on process improvement. It does not provide guidelines for evaluating the final product. Also, it does not provide a specify mechanism for evaluating or scoring the progression through the maturity levels. An indicator is still needed to quantify the overall performance of an organization, not just the compliance to standard processes.

1.4 PREVIOUS SOFTWARE EVALUATION WORK

An example of scoring software development is presented by Jones [34]. The methodology looks for the presence of various techniques used in software engineering. The methodology provides a score based upon the productivity and quality increase of the technique being evaluated. Points are positive or negative based upon the presense of various techniques. A couple example techniques are: automated source code analysis and continuous integration. The end result is a score in range $[-10, 10]$. While the result is a single number score, it does not

account for the entirety of the software development lifecycle.

Constructive Cost Model (COCOMO) is a software cost estimation model created by Boehm [10]. It combines future project characteristics with historical project data to create a regression model to estimate the cost of a software project. The original version developed in 1981 was focused on mainframe and batch processing. An unpdated version, named COCOMO II, was created by Boehm in 1995 to be more flexible for newer development practices such as desktop development, off the shelf components, and code reuse. COCOMO provides a nice algorithm for making decisions regarding building or buying software products. It does not provide an algorithms to review past performance of estimates and modify the algorithm accordingly. COCOMO II can be a useful tool for estimating the time and costs within an SDO, but it only provides an estimate and not an evaluation of the actual performance.

Sextant is a visualization tool for Java source code [66]. Sextant provides a graphical representation of the information related to a software system. The tool provides the capability to provide custom rules which are specific to the domain or application. However, Sextant only provides metrics and analysis of the software code. It provides no information regarding the rest of the software development lifecycle. Also, the primary output of Sextant is visual graphs. While these graphs do provide useful information, they do not provide a single number to determine the performance of the software.

Another promising research area is *process mining*. As stated by Wil van der Aalst [62], "The idea of process mining is to discover, monitor and improve real processes (i.e., not assumed processes) by extracting knowledge from event logs readily available in today's systems." Creating software involves a vast amount of processes. Numerous logs of raw data are collected. One application of process mining in the area of software development was an algorithm and information for

measuring a software engineering process from the Software Configuration Management (SCM) [52]. The technique creates process models to understand the process of developing software and code. It is less focused on the output and results, but it is more focused on adherence to a specified process.

Process mining has also been applied to decision making regarding software upgrades [64]. Historic and current logs can be processed and evaluated. Then small pilot groups can be offered the upgrade, and the new logs will be processed and evaluated. Thus, process mining can be beneficial for new software implementation. More research needs to be done applying process mining to the other process involved with software development, such as other documentation, testing, and implementation.

Although process mining can be useful for analyzing software development data, it has not yet been applied to the entirety of a software development organization. It also does not focus on the results of the organization. It focuses on process conformance, which can be very important, so it is limited in the ability to evaluate the entire organization.

Much work has been done to determine metrics for source code, in fact entire books have been written on the topic of software metrics [32, 50]. Yet, organizations still struggle to measure the production of software. Little work exists for scoring the entire software development organization.

1.4.1 SEMAT

Software Engineering Method and Theory (SEMAT) is claiming to be the "new software engineering" [30]. The authors rightfully claim that software engineering lacks an underlying theoretical foundation found in other engineering disciplines. This lack of theory has led software engineering to not be engineering, but rather a craft. The goal of SEMAT is to merge the craftsmanship and engineering to provide

a foundation for software engineering. The primary initiative of SEMAT has been the creation of a kernel for software engineering. The kernel is the minimal set of things common to all software development endeavours. The three parts to the kernel are:

Measurement - There must exist a means to determine the health and progress of an endeavour

Categorization - The activities must progress through categories during an endeavour

Competencies - Specific competencies will be required for completing activities

The kernel defines alphas, which are seven dimensions with specific states for measuring progress. The seven dimensions are:

1. Opportunity
2. Stakeholders
3. Requirements
4. Software Systems
5. Work
6. Team
7. Way of Working

Although SEMAT is very promising, the development is not yet complete. Adoption is limited so the technique has not been validated on many actual software engineering endeavours. Although SEMAT does include a part for measurement of progress, it does not specify how the measurement is to be performed.

1.4.2 SOFTWARE QUALITY

Software quality is one of the most well studied aspects of software development. Most of the work focuses on either the problems with the software or the source code. Quality and the number of problems with the software are inversely related, more problems means lower quality. Quality is easy to measure, but that measurement is usually very software specific. It is easy to find that some software has X number of problems, but it is nearly impossible to determine whether the quality of that software is better or worse than some other software with X defects. One piece of software can be larger[1] or more complex. Thus, finding a value for quality is easier than interpreting that value. Not matter the interpretation, the goal is to release the number of problems with the software. Top 10 lists have been created for techniques to remove problems from software [8]. A number of different techniques or best practices for preventing defects have been proposed [19]. These are all strategies to identify or remove the problems before the software is completed and released to users.

Another aspect of software quality is the complexity of the source code. More complex code results in more maintenance efforts and more chances for problems. A couple of numerical measures for the complexity of source code have been created. The most common examples are McCabe [43] and Halstead [25]. However, the measures on source code only explain part of the software development lifecycle.

Another measurement of quality can be the cost per defect, also known as the cost to fix a problem. As seen in [35], this measurement has problems because the lowest cost per defect will occur on software with the most problems. Therefore, the lowest cost per defect is actually the lowest quality as well. Due to this difficulty and others, a number of other models have been created for evaluating the quality

[1] Saying a piece of software is larger can be a rather arbitrary statement. Does that mean the software requires more computing time, has more lines of code, more documentation, more hours spent on development, or some other arbitrary measure.

of software [46]. While all of the models have merit in certain situations, the measures of quality must be combined with other measures in order to provide an overall evaluation of a software development organization.

1.4.3 SOFTWARE ANALYTICS

One area of research that is focusing on the evaluation of software development organizations is *software analytics*. Software analytics is less focused on evaluation and more so on all sorts of analysis of software data. The earliest variants of software analytics were disguised as applications of data mining techniques to software engineering data in the late 1990s [53, 18, 23]. Later the field began to emerge more heavily, but still remained primarily methods of data mining applied to software engineering [37, 67, 59, 24]. Finally, The term software intelligence was proposed for the field of study [27], but eventually the term software analytics became the dominant term for referring to the field of study [11, 68].

The goal of software analytics is to extract insights from software artifacts to aide practitioners in making better decisions regarding software development [69]. The three main focus areas of software analytics are:

User Experience - How can the software enable the user to more easily or quickly accomplish the task at hand?

Quality - How can the number of problems with the software be decreased?

Development Productivity - How can the processes or tools be modified to increase the rate at which software is produced?

The work presented later in this paper will address all three focus areas.

Martin Shepperd in [26] identified 3 important questions that software analytics must address:

1. "How much better is my model performing than a naive strategy, such as guessing [. . .]?"
2. "How practically significant are the results?"
3. "How sensitive are the results to small changes in one or more of the inputs?"

These are 3 important questions that should be addressed when presenting any results in software analytics. The research needs to demonstrate clear advantages for practitioners.

One of the software analytic techniques focuses specifically on the source code; analyzing the complexity, size, and coupling [60]. Letier and Fitzgerald discuss how to choose the correct tools and techniques to analyze software data [40]. A goal model is produced that matches the data analysis methods with the goals of the software stakeholders. The method does not focus specifically on analysis of the development of software.

Software Development Analytics is a subfield of software analytics [45]. It focuses specifically on the analytics of the development of software, however not the overall performance of the software. Hassan points out in [26] that software analytics needs to go beyond just the developers. Everyone and everything involved in the development of software produces some data and that data can be meaningful. The insights from non-developer data has the potential to yield important results as well. Software development produces many valuable pieces of datum that can be analyzed [42]. Just a few of the pieces of datum are: email communication, bugs, fixes, source code, version control system histories, process information, and test data. Examples of this type of data can be found in the PROMISE Data Repository [44].

All of these techniques are of no use if the correct data is not available. Therefore, it is important to identify the information that is needed to properly perform software development analytics. Unfortunately, there are vast amounts of

information that need to be collected to meet the analytic needs of developers and managers [12]. When the data and tools exists, the analytics should help an organization with the following tasks.

- Evaluate a project
- Determine what is and is not working
- Manage Risk
- Anticipate changes
- Evaluate prior decisions

In order to store the data, appropriate tools are needed. Microsoft is working on developing some tools for the analysis of the development of software [15, 69]. Microsoft has developed StackMine, a postmortem tool for performance debugging, and CODEMINE, a tool for collecting and analyzing software development process data. Both tools provide analytical insight for various aspects of the software development process, however neither tool covers all aspects of software development. These tools are currently early in development and the adoption of the tools by practitioners is still unknown. One of the reasons for the slow adoption of new tools is the inherent difficulty of producing new tools for the software development process [58]. A tool that works fantastic for one team might not automatically apply to another team. The people creating the tools need to be acutely aware of the needs of the technical practitioners that will be using the tools.

After the proper tools are in place to collect the necessary data on software development and software analytics are being properly implemented, an obvious next step is the application of gamification to software development. Gamification is "the process of making activities more game-like" [65]. some of the benefits of gamification are higher productivity, competition, and greater enjoyment. Prior

attempts at gamification of software development focus only on the computer programming phase [56]. Others focus on defining a framework for gamification within the software development process [31]. There are even some indications that gamification might help increase software quality [17]. While this work will not focus on gamification, it is important to note that an implementation of an evaluation technique for software development could be implemented simultaneously with a gamification strategy. Both will require new collections of data and new reporting.

So it has been shown, there exist many attempts to evaluate portions of the a software development organization. None of the the attempts provide a single number score for the entirety of the organization. Most of the techniques focus on specific portions of the software development lifecycle, namely the development portion. Plus, there are many tools that need to be created for software analytics to provide all the value that it promises.

1.5 ORGANIZATION OF THE WORK

The remainder of this dissertation is divided into 5 chapters. The next chapter provides an overview of software, software development lifecycles, software engineering, and software development organizations. Chapter 3 introduces what is meant by the term data-driven software engineering. Chapter 4 then provides an explanation of the Master Performance Indicator (MPI). It will present the essential elements for calculating the MPI, as well as the formulas, frameworks, and data necessary to produce the MPI. Chapter 5 provides a technological framework for generating and storing the current and historical MPI values. Chapter 6 demostrates how MPI can be implemented in a software development portion of a large financial institution. Chapter 7 concludes the dissertation with a summary of the results and some possible future directions for further enhancements.

2 A SOFTWARE DEVELOPMENT ORGANIZATION (SDO)

A *Software Development Organization* is any organization or subset of an organization that is responsible for the creation, deployment, and maintenance of software. Many times a software development organization is a company that produces software. Other times, a software development organization is contained within the Information Technology department of a larger organization. Some of the job roles with an SDO are: software engineer, system administrator, software quality analyst, programmer, database administrator, and documentation specialist.

2.1 WHAT IS SOFTWARE?

Numerous definitions can be found for the term *software*. Software is more than just computer programs. According to Ian Sommerville [57], "Software is not just the programs but also all associated documentation and configuration data which is needed to make these programs operate correctly." This is the definition used for the remainder of this work.

2.2 THE SOFTWARE DEVELOPMENT LIFECYCLE

For this question, I choose to rewrite that section of the proposal. This was my favorite question. It forced me to go look back into the history of software development.

The discipline of software engineering has created a workflow for developing software. This workflow is called the *Software Development Life Cycle (SDLC)*. SDLC can be defined as [54]:

> [...] a conceptual framework or process that considers the structure of the stages involved in the development of an application from its initial feasibility study through to its deployment in the field and maintenance.

While the SDLC states what needs to be done, there are numerous models that formalize exactly how to perform the SDLC. The models contain steps that are commonly referred to as a phases. A few of the popular models are described below.

2.2.1 WATERFALL

The waterfall model is the oldest and most influential of the SDLC models. It was first presented at a Navy Mathematical Computing Advisory Panel in 1956 by Herb Benington [5]. Figure 2 shows the model Benington outlined for producing large software systems. In 1970, Benington's model was modified by Royce [51]. Royce produced an updated version of the diagram seen in Figure 3 which provides some loops to go back to a previous phase in the workflow.

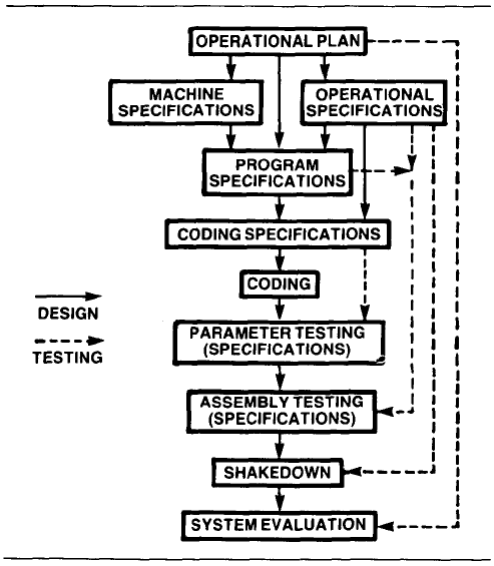

Figure 2: Benington's original diagram for producing large software systems, adapted from [5]

The modern version of the waterfall model specifies that each phase needs to be entirely completed before moving onto the next phase. Some small amount of overlap is permitted and looping occurs but both actions are discouraged and should be limited. A modern diagram of the waterfall model can be seen in Figure 4.

Waterfall has some excellent features such as: simple to understand, easy to

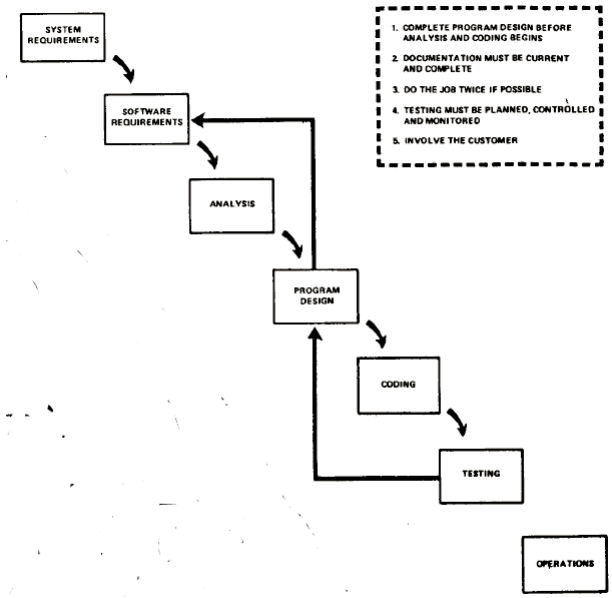

Figure 3: Royce's version of the waterfall model for producing software systems, adapted from [51]

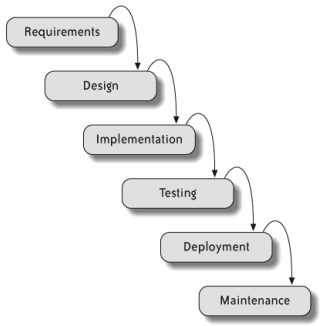

Figure 4: Modern Waterfall Diagram, adapted from [28]

plan, and well-defined phases. However, waterfall lacks the flexibility required of many software systems built today [41]. Due to the fact the phases are so sequential, it makes changes during the life cycle difficult and expensive if not impossible. Therefore, other models of SDLC have been created to address the lack of flexibility of the waterfall model. Notice, the other models are adaptations of waterfall.

2.2.2 SPIRAL

The spiral model for software development was presented by Boehm in 1986 [6, 7]. The goal of the spiral mode of software development is very risk-driven. A software project will start with many small and quick iterations. Each iteration will cover the following 4 basic steps.

1. Determine Objectives
2. Identify Risks
3. Develop and Test
4. Plan Next Iteration

This model allows software to be built over a series of iterations without risking too much time or effort in any single iteration. Sprial requires a very adaptive management approach as well as flexibility of the key stakeholders [54]. It can also be difficult to identify risks that will occur in future iterations. Figure 5 provides a bit more detail on the iterations and the overall process.

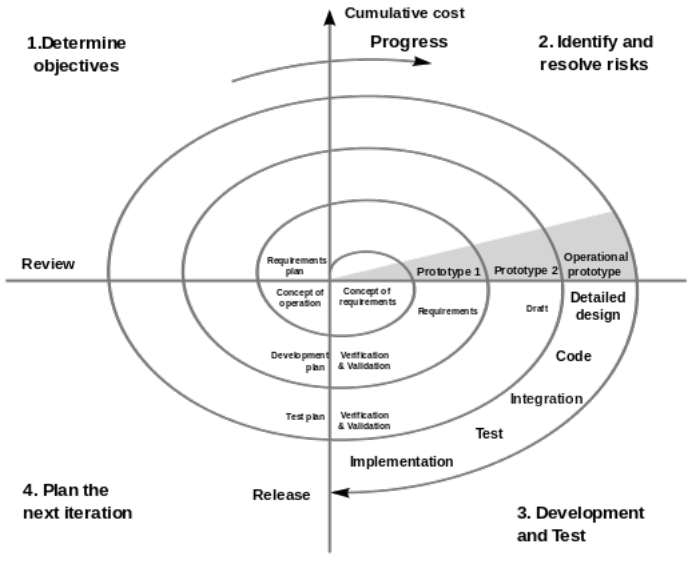

Figure 5: Spiral SDLC Model [9]

2.2.3 AGILE

Agile software development has arisen due to the inability of the waterfall and other models to adjust to changes during the development cycle. Agile software development is a group of SDLC models that operate under the influence of the following four key principles [4].

1. Individuals and interactions over processes and tools
2. Working software over comprehensive documentation
3. Customer collaboration over contract negotiation
4. Responding to change over following a plan

Agile does not specify an implementation, but some specific models of agile SDLC are: eXtreme Programming, Scrum, Lean, Kanban and others [47, 28]. Agile models are very popular in many of today's software development organizations because the models work well for dynamic quickly changing applications such as web-based applications. Startups have largely adopted the Lean methodology for its ability to identify a minimum viable product[2] and reduce the time to market [21].

2.2.4 SDLC COMMONALITIES

Even with the large number of SDLC models currently being used by different SDOs, there is still some commonalities among the models. The commonalities can be tied back to the steps of waterfall. All of the models exhibit, to some degree, the following phases. The only major difference is the scope, size, and duration of each phase. For example, the spiral model spends less time in each phase. The agile models produce less documentation and focus more on the Implemenation phase. Here are the common phases in nearly all SDLC models:

[2] A *minimum viable product* is a reduced version of software that contains only the bare minimum functionality required to meet the requirements.

1. Requirements

The first phase is involved with defining what the software must do. Each piece of functionality is considered a requirement.

2. Design

Before writing any code, the necessary infrastructure and involved software systems must be identified. This phase can serve as a roadmap for the remaining phases. If done properly, this phase can greatly help the later phases.

3. Implementation

Often the only phase of the SDLC that is measured, this is the phase where the actual computer code is written.

4. Testing

This phase validates the expected functionality. Also, testing attempts to discover unexpected side affects of the software.

5. Deployment and Maintenance

All software must be correctly deployed and maintained. This phase is the most expensive and lengthy phase of the software development lifecycle.

2.3 WHAT IS SOFTWARE ENGINEERING?

Software Engineering as a term dates back to the 1968 North Atlantic Treaty Organization (NATO) conference [61, 48]. Over the years many definitions have been provided. IEEE provides a definition that encompasses many of the other definitions. IEEE ISO610.12 defines software engineering as, "The application of a systematic, disciplined, quantifiable approach to the development, operation, and maintenance of software" [1].

Software engineering has struggled to determine the correct projects to complete [16]. Software projects are typically behind schedule and over budget. Organizations need a better technique to understand the past performance so they can better predict the future performance.

2.4 TERMINOLOGY

SIT (Systems Integration Testing) - The initial step of testing after the development phase of the SDLC. This is typically performed by members of the SDO. It is validation that all the software components function together as expected.

UAT (User Acceptance Testing) - The final step of testing when a select few members of the user group are invited to validate the software system. Once validation has occured for UAT, the software system is ready to proceed to production

PROD (Production) - The software has been released to the final audience.

defect Whenever the output of software does not meet expectations. It is important to mention that even though defects are typically found in the computer code, a defect should not be isolated to just code. A poorly written requirement or missed test cases can both be considered a defect. Other common names for a defect are: bug, error, fault, or ticket.

" A software defect is a bug or error that causes software to either stop operating or to produce invalid or unacceptable results. " as quoted from [33]. Also in here is the 4 severity levels. Also, current defect removal is only about 85% and this value should be increased to about 95%.

Check these book [33, 32, 39]. This might be similar to process mining [63].

3 DATA-DRIVEN SOFTWARE ENGINEERING

Anything can be measured [29].

A metric can be defined as the science of indirect measurement. The following are some examples of metrics that can be collected about source code:

- SLOC - The number of Source Lines of Code
- NOM - The Number of Methods per class
- Complexity - A numerical measure of the code complexity, some common examples are McCabe [43] and Halstead [25]
- Design - The amount of coupling and cohesion present in the software code
- Source Code Analysis - Tools that determine whether code adheres to specified set of rules. Common examples are PMD and findbugs.

Data Driven Software Engineering not Data Driven Software Development

Performance indicators can be crucial measurements within any business setting, and an SDO is no exception. Many SDOs struggle to determine the correct indicators to track and how to track them. The differences between the indicators will be explored and possible measures for each indicator in an SDO will be presented. The 4 different types of indicators are:

RI (Result Indicator) - what has been done

KRI (Key Result Indicator) - how you have done

PI (Performance Indicator) - what to do

KPI (Key Performance Indicator) - what to do to dramatically increase performance

More information on the indicators can be found in chapter 1 of [49] as well as [20, 38].

3.1 RESULT INDICATORS FOR SDOS

This section will cover the potential result indicators for an SDO.

3.2 PERFORMANCE INDICATORS FOR SDOS

This section will cover the potential performance indicators for an SDO.

3.3 BALANCED SCORECARD

A common technique for organization to measure themselves is a balanced scorecard. A *balanced scorecard* must contain the following characteristics.

- Financial
- Customer Focus
- Environment/Community
- Internal Process
- Employee Satisfaction
- Learning and Growth

Balanced scorecards are great for displaying the important information about and organization. However, a balanced scorecard does not specify what exactly needs to be tracked. It is also not specific to an SDO and it does produce a single number.

This info comes from [49].

3.4 POSSIBLE DATA POINTS FOR LEVEL OF EFFORT

Actual Development Hours Actual Hours Spent on development

Estimated Development Hours Initial Hours estimated for a project, this will commonly be different from the actual development hours

Source Lines Of Code (SLOC) This is count of the total number of lines of source code

Modified Lines Of Code This is a count of the number of modified lines of source code. This number is a sum of the deleted, added, and modified lines of source code.

According to Putnam and Myers in [50], the 5 core measurements for managing software projects are:

1. **Quantity of function** usually measured in terms of size (such as source lines of code or function points), that ultimately execute on the computer
2. **Productivity** as expressed in terms of the functionality produced for the time and effort expended
3. **Time** the duration of the project in calendar months
4. **Effort** the amount of work expended in person-months
5. **Reliability** as expressed in terms of defect rate (or its reciprocal, mean time to defect)

However, these measurements don't focus on the entire SDO. They say nothing about the availablity of the software infrastructure or the satisfaction of the users.

Time This measurement can be hours, days, weeks, or months. the time increment does not matter as long as it is consistent.

Effort This measurement is person-months, person-weeks, or person-days.

Quality This measurement is the defect rate (defects per time period).

Amount of Work This measurement has the same units as Effort above.

Process Productivity look into this a bit further

Function Points find a definition and a comparison with story points

Story Points Look in some agile book

Chapter 7 of [50] contains some equations to calculate and relate these measures. Those equations will be studied and evaluated.

Antolic in [3] demostrates some ways to measure KPIs for the software development process.

3.5 MEASURING OTHER ASPECTS OF AN SDO

It is important to note that software departments do not just develop software. The department has many other duties including: deploying software, installing server hardware/software, writing documentation, surveying users, and other things.

3.6 COMBINING THE MEASURES TO FORM MPI

How can the PIs, RIs, KRIs, and KPIs be combined to form a single value called an MPI (Master Performance Indicator)? The field of sports analytics also has numerous techniques for combining multiple indicators to produce a single number [13].

4 ELEMENTS OF MPI

Software development organizations struggle to measure overall performance. The Master Performance Indicator (MPI) is an algorithm to provide a single number

score for the performance of a software development organization. It works by statistically analyzing the past performance of the organization and using that information to score an organization on current and future performance. MPI focuses on the following elements of a software development organization: *requirements*, *quality*, *on-schedule*, *availability*, and *satisfaction*. MPI is not meant to be comparative between organizations, but to measure the amount of increase or decrease a single organization exhibits. It is possible the concept could be expanded beyond just software development organizations or the previously stated elements.

Here are the attributes of the MPI scoring.

- The range of scores must have equal values above and below 0
- The minimum score must equate to the worst possible performance, however that is defined
- Similarily, the maximum score must equate to the best possible performance.
- A score of 0 must be average (or expected) performance
- All individual elements must have the same scoring range

As long as those 5 features are met, the range can be anything. The range of $[-1, 1]$ was chosen because it is easy to scale to a different range such as $[-10, 10]$ or $[-100, 100]$. It maybe makes sense to use variables for the range. The formulas are designed to fall in the range $[-1, 1]$. Thus scaling can be applied to obtain values in any appropriate range.

4.1 AVAILABILITY

All the new requirements and great quality do not matter if the software is not available. The following algorithm will calculate the score of software availability.

$$S_{3_i} = \begin{cases} \text{where } A_{a_i} \leq A_{e_i} & : \left[\frac{A_{a_i} - A_{e_i}}{A_{e_i}}\right] \\ \text{where } A_{a_i} > A_{e_i} & : \left[\frac{A_{a_i} - A_{e_i}}{1 - A_{e_i}}\right] \end{cases}$$

$$S_3 = \frac{\sum_{i=1}^{n} S_{3_i}}{n}$$

- A_{a_i} actual availability for app i
- A_{e_i} expected availability for app i

Column Name	**Data Type**	
Application ID	String	Required
Frequency Date	Date	Required
Uptime	Float	Optional
Scheduled Downtime	Float	Optional
Unscheduled Downtime	Float	Optional
Percent Uptime	Float	Required
Expected Percent Uptime	Float	Required

Table 1: Availability - Inputs

4.2 QUALITY

Quality is arguably the most important part of software development. Poor quality means time, money, and resources are spent fixing the quality. One of the key indicators of software quality is defects. Thus, it is important to measure the

number of defects associated with a software release. The following is an algorithm to calculate the quality score of software being released.

$$S_{1_i} = \left\{ \begin{array}{ll} \text{where } f \geq d_i & : \left[\frac{f-d_i}{f}\right] \\ \text{where } d_i > f & : \left[\frac{f-d_i}{6\sigma}\right] \end{array} \right]$$

$$S_1 = \frac{\sum_{i=1}^{n} S_{1_i}}{n}$$

- n is the number of apps
- d_i is the actual defects
- $f(h_i)$ is the function to predict defects based upon hours and other aspects of software development
- 6σ 6 times an estimate of the standard deviation of the population using function f above

Here are the columns of the data.

Column Name	**Data Type**	
Application ID	String (factor)	Required
Frequency Date	Date	Required
Development Hours	Integer	Required
Testing Hours	Integer	Optional
Defects in SIT	Integer	Optional
Defects in UAT	Integer	Optional
Defects in PROD	Integer	Required

Table 2: Quality - Inputs

There are 2 parts here. First the system needs to be loaded with this data. Hopefully, a file with this data will exist going back a few months or years. It is also important to note that the data load must be optional if an organization does not have existing data. Second, every release (month/year) a new file will be upload with new information about the most recent release.

Here is the problem for loading the data: Given a data file with the above columns, can a regression model be automatically found that fits the data? The regression model will serve as the "target" for future releases. Here is a list of possible things to automate to get a good model.

- Linear Regression
- Stepwise Regression
- Ridge Regression for suspected multicolinearity
- Removal of outliers

4.3 SATISFACTION

The satisfaction of the customer is also very important. The following is an algorithm to calculate the satisfaction of software.

$$S_2 = \frac{\sum_{i=1}^{n} \left(\frac{\sum_{j=1}^{m} a_{ij} - \frac{min+max}{2}}{m} \right)}{n}$$

- a_{ij} answer to question j for app i
- m number of questions with equal weights
- n number of apps
- min minimum score for a question

- *max* maximum score for a question

Column Name	Data Type	
Question ID	String	Required
Question Text	String	Optional
Application ID	String	Required
Frequency Date	Date	Required
Response	Integer between min and max	Required
Response Date	Date	Optional

Table 3: Satisfaction - Inputs

4.4 SCHEDULE

4.4.1 OVERVIEW

Delivery of software in a timely manner is an essential part of being a successful SDO. Being able to meet scheduled deadlines is a sign of accurate estimation and planning. Drastically missing deadlines is a sign of an SDO with a process that needs refinement. Studies have shown that software projects exceed the estimates by an average of 30% [36]. Thus it is important to score SDOs on accurate schedule adherence. Without tracking and measuring schedule adherence, it will not improve.

The score is based upon the historical deviance of estimates for projects. The top score of 100 will be obtained when the schedule is met exactly. A historical average of deviance of schedule will be used to determine an appropriate range of schedule adherence. A schedule that occurs within that range will be awarded a score of 0 or above, with less deviance being awarded more points. Schedules that do not fall within the range of deviance will be awarded negative scores, with a greater deviance resulting in a lower score all the way to -100 which means the

package took twice as long as expected or more. For example, a package that takes more than twice as long to deliver than estimated will receive a score of -100.

4.4.2 FORMULA

The formula for schedule is based upon past performance. Of the 422 projects scheduled since June 2013, only 45 projects had an estimated start date, estimated finish date and an actual finish date. Of those 45 projects; 20 finished exactly on time, 9 finished early and 16 finished late.

The first step of the formula is finding the percentage the schedules were missed for historical projects. The calculation treats over- and under-estimating the schedule the same. The same penalty is applied in both cases. For example, being 15% late will result in the same score as being 15% early. Perform this calculation only for projects that did not exactly meet the estimated finish date.

$$\Delta_i = \left| \frac{F_{a_i} - F_{s_i}}{F_{s_i} - B_{s_i} + 1} \right|$$

Find the average of the Δ_i's. This is the average percent of a missed schedule.

$$\bar{\Delta} = \frac{\sum_{i=1}^{n} \Delta_i}{n}$$

The formula for schedule is then a percentage above or below the Δ. The number is calculated for each project, and then averaged to form the schedule score.

After the $\bar{\Delta}$ is calculated, the following formulas are used to create the schedule scores for each project and then the averaged schedule score.

$$S_{4_i} = \left\{ \begin{array}{ll} \text{where } \Delta_i \geq 1 & : -1 \times 100 \\ \text{where } \Delta_i \leq \bar{\Delta} & : \frac{\bar{\Delta} - \Delta_i}{\bar{\Delta}} \times 100 \\ \text{where } \Delta_i > \bar{\Delta} & : \frac{\bar{\Delta} - \Delta_i}{1 - \bar{\Delta}} \times 100 \end{array} \right] \text{, calculate schedule score for each project } i$$

$$S_4 = \frac{\sum_{i=1}^{n} S_{4_i}}{n} \text{ , average the schedule scores}$$

- n is the number of projects
- F_{a_i} the actual finish date of project i
- F_{s_i} the scheduled finish date of project i
- B_{s_i} the scheduled beginning date of project i
- Δ_i the percent the schedule was missed
- $\bar{\Delta}$ is the average percent RT misses schedules, ≈ 26
- S_{4_i} is the schedule score for project i

4.4.3 EXAMPLE CALCULATION

4.4.4 DATA AND CALCULATIONS

4.4.5 PAST PERFORMANCE

4.4.6 PROCESS FOR THE FUTURE

4.4.7 ALTERNATE APPROACH

The best possible score should be achieved when meeting the estimated date exactly. The maximum score should come from the best estimate. Then given historical release data, it is easy to determine an average Δ between the actual and

the estimated. Finishing a project within that Δ should result in a positive score. Outside the Δ results in negative scores. For example, a project releasing one day early or one day late would receive the same score because in both cases the estimate was missed by one day.

Column Name	**Data Type**	
Application ID	String	Required
Frequency Date	Date	Required
Scheduled Start Date	Date	Required
Scheduled Finish Date	Date	Required
Actual Start Date	Date	Required
Actual Finish Date	Date	Required

Table 4: Schedule - Inputs

4.5 REQUIREMENTS

Requirements are desired new features or enhancements to a software product. It is important to know how many requirements were scheduled to be completed versus how many actually got completed.

$$S_5 = \frac{\sum_{i=1}^{n} (R_{a_i} - R_{e_i})}{n}$$

- R_a actual requirements completed for application i
- R_e expected requirements completed for application i

Column Name	**Data Type**	
Application ID	String	Required
Frequency Date	Date	Required

Column Name	Data Type	
Requirements Scheduled	Integer	Required
Actual Requirements Released	Integer	Required

Table 5: Requirements - Inputs

4.6 FINAL MPI SCORE

One complete overall score cannot be successful without including information from various aspects of the software development organization. Therefore, the previous results are combined to provide one overall score.

$$MPI = \sum_{i=1}^{n} w_i S_i \text{ where } \sum_{i=1}^{n} w_i = 1$$

4.7 SENSITIVITY OF MPI

For more on sensitivity analysis in statistical modeling, see [55].

5 SDLC ANALYTIC ENGINE

In order for an SDO to properly track the elements of MPI, a data storage system should be available to store the appropriate data. This storage system will be named the SDLC Analytic Engine (SDLC-AE). Figure 6 provides an overview of the data that could potentially be stored in the SDLC-AE.

The SDLC-AE would make gamification of the SDLC attainable.

5.1 DATABASE STRUCTURE

All the data necessary to compute MPI needs to be stored in a database. This section will layout the structure of tables and relationships necessary to the store all

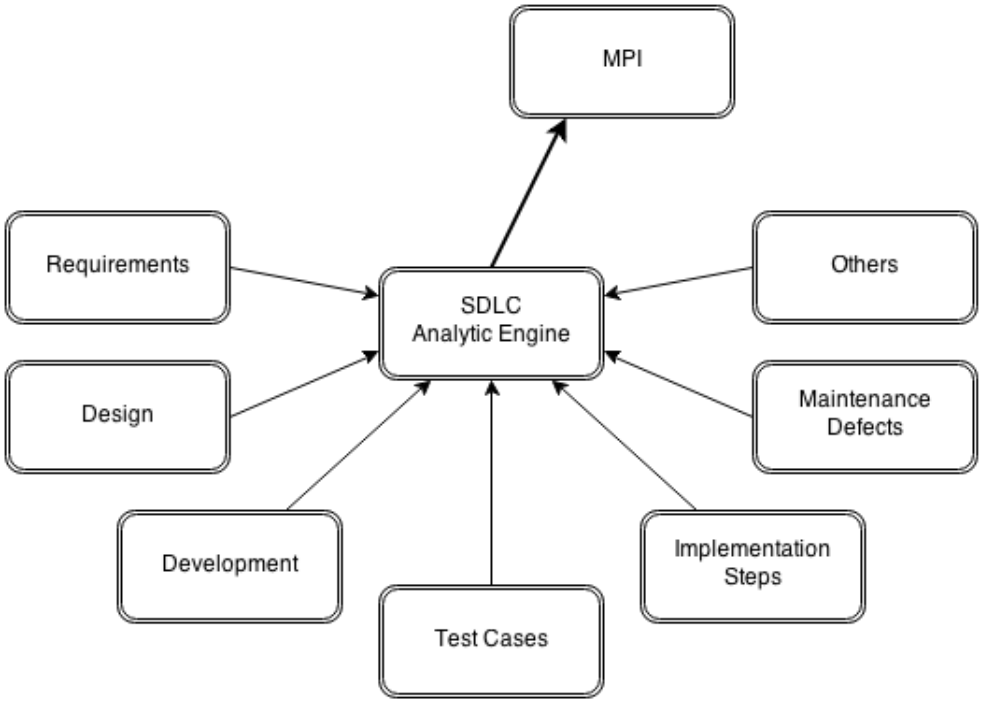

Figure 6: SDLC Analytic Engine

the data within a relational database such as MySQL or PostgreSQL. Eventually, database diagrams and SQL scripts will be provided in the section.

5.2 QUERIES

The section will provide the necessary SQL queries to obtain the correct data needed to compute the individual elements of MPI.

5.3 COMPUTATIONS

This section will provide R scripts to calculate each individual score and the overall MPI score. The scripts will need to be run every time the data is updated and the MPI score needs to be recalculated.

5.4 ESTIMATION

- Change to Database Structure

- Modify Database Data
- Create a New Database, number of new databases
- Server Configuration Changes Required
- New Servers Required
- Number of Team Members Involved
- Number of (sub)Systems Involved
- Estimation Date
- Number of Days Allowed
- List of Other Attributes
- Number of Screens Involved
- Actual Value (hours, days, dollars)

Estimated Dev Hours - The number of development hours estimated for a project, this is just developer hours Estimated Doc Hours - The number of documentation hours estimated for a project Estimated Test Hours - The number of testing hours estimated for a project Estimated Deployment Hours - The number of estimated hours required to deploy the project

5.5 REQUIREMENTS

List of:

Title

Descrition

author

projectID

date

Comments list of

date

comment Text

author

5.6 MAINTENANCE (DEFECTS)

List of:

Project

Release

description

date Entered

Date fixed

Comments list of

date

comment Text

author

5.7 TESTING

List of:

Project

Release

title

description

author

Date Started

Date Executed

Status (Pending, pass, fail)

Comments list of

date

comment Text

author

5.8 DEVELOPMENT

List of Coding Tasks:

Project

Release

List of Files

author

Date Started

Completion Date

Number of Unit Tests

Lines of Code

Others See [33, 34, 52, 56]

5.9 IMPLEMENTATION

List of:

Project

Release

date Entered

Date Scheduled

Date Executed

Ordering/Prerequisites

Comments list of

date

comment Text

author

6 CASE STUDY: SCORING AN SDO OF A LARGE FINANCIAL INSTITUTION

Data has been collected from the software development processes of an SDO within a large financial institution. The data collection was from 2008 to present. This section will provide the analysis performed and the MPI scores of that data. The data is incomplete but that is realistic of most oganizations. Currently, the data

consists of availability, quality, and schedule. Satisfaction and Requirements are being obtained. An example of the initial analysis is included in appendix A.

These are notes

Application(app) - a software system or a collection of other apps, for example: Wystar is an application but it is a collection of other apps namely WyConnect, WyBatch ... Project - A body of work involving zero or more apps in preparation for a release, infrastructure upgrades can be a project but no specific app is involved Release - A collection of projects being put in production on a specified date

The WHAT of SDLC - These are the steps of SDLC that need to be completed for each project.

1. Identify the Work/Task/Project 1. Get Initial Idea 2. Obtain Details 2. Estimate 1. Create an Estimate (What is included? What is the output? days/dollars/hours/reqs) 2. Obtain Approval 3. Quit or Go Forward 3. Write BRD 1. Identify the Requirements 2. Detail the Requirements 4. Write FSD 1. Find System Integrations 2. Identify Functional Specs 3. Detail the Functional Specs 5. Development of all the tasks in FSD 1. Identify the Coding Tasks 2. Write the Code/Develop the solution 3. Write the Unit Tests 6. Test 1. Create Test Plans and Cases 2. Run Test Plans and Cases 7. Deployment 1. Create Deployment Steps 2. Run Deployment Steps 8. Maintenance 1. Capture Bugs 2. Survey Users end of notes

7 CONCLUSION

There are many metrics that can be used to evaluate a Software Development Organization (SDO). Knowing which metrics to use and what they all mean can be a daunting task. MPI is a proposed solution to the difficulty of measuring an SDO.

Upon completion, this work shall identify:

- Define **What** characteristics should be measured for an SDO
- Define **How** to measure those characteristics
- Map the relationship or lack of relationship with a Balanced Scorecard
- Create a Framework to store the necessary data for MPI
- Outline a Process to generate the MPI score
- Provide an example MPI score with real data

An entire software development organization (SDO) needs to be measured and analyzed properly, not just the development portion. This document has provided an overview of what indicators need to be measured for an SDO, and how those indicators can be combined to form a single number indicating the performance score of a software development organization. Also, a framework to store this data was discussed.

APPENDIX

A CASE STUDY SOURCE CODE

A.1 R CODE - QUALITY

```
# Load the Quality data.
setAs("character","myDate", function(from) as.Date(from, format="%m/%d/%Y") )
setClass('myDate')

quality_data <- read.csv('quality_data_clean.csv',
        colClasses=c('factor','myDate','myDate','numeric','numeric',
        'numeric','numeric','numeric','numeric') )
str(quality_data)
head(quality_data)
summary(quality_data)

# Get data prior to 2013
old_quality_data = quality_data[quality_data$MONTH_DT <= as.Date('2013-12-31') ,]
str(old_quality_data)
pairs(old_quality_data[,c('TOTAL_TIX','EST_DEV_RES_HRS')] )

# Separate out large (>1000 hours) and small projects
large_quality_data = old_quality_data[old_quality_data$EST_DEV_RES_HRS >= 1000,]
str(large_quality_data)
largefit <- lm(TOTAL_TIX ~ EST_DEV_RES_HRS + DFTS_CNT_SIT + DFTS_CNT_UAT ,
        data=large_quality_data)
summary(largefit)
largefit_sigma = summary(largefit)$sigma
pairs(large_quality_data[,c('EST_DEV_RES_HRS','DFTS_CNT_SIT',
        'DFTS_CNT_UAT','TOTAL_TIX')])

small_quality_data =
        old_quality_data[old_quality_data$EST_DEV_RES_HRS < 1000
            && old_quality_data$APP != 'App␣86' ,]
str(small_quality_data)
smallfit <- lm(TOTAL_TIX ~ EST_DEV_RES_HRS + DFTS_CNT_SIT + DFTS_CNT_UAT ,
        data=small_quality_data)
summary(smallfit)
smallfit_sigma = summary(smallfit)$sigma
```

```
pairs(small_quality_data[,c('EST_DEV_RES_HRS','DFTS_CNT_SIT',
        'DFTS_CNT_UAT','TOTAL_TIX')])

# predict new data
new_large_quality_data =
        quality_data[quality_data$MONTH_DT > as.Date('2013-12-31')
            & quality_data$MONTH_DT < as.Date('2014-12-31')
            & quality_data$EST_DEV_RES_HRS >= 1000,]
new_small_quality_data =
        quality_data[quality_data$MONTH_DT > as.Date('2013-12-31')
        & quality_data$MONTH_DT < as.Date('2014-12-31')
        & quality_data$EST_DEV_RES_HRS < 1000,]
new_large_quality_data$PREDICTION =
        predict(largefit, newdata=new_large_quality_data)
new_large_quality_data$SCORE =
        (new_large_quality_data$PREDICTION - new_large_quality_data$TOTAL_TIX)
        / (6 * summary(largefit)$sigma)
new_large_quality_data[,c('APP','MONTH_DT','TOTAL_TIX','PREDICTION', 'SCORE')]

new_small_quality_data$PREDICTION = predict(smallfit, newdata=new_small_quality_data)
new_small_quality_data$SCORE =
        (new_small_quality_data$PREDICTION - new_small_quality_data$TOTAL_TIX)
        / (6 * summary(smallfit)$sigma)
new_small_quality_data[,c('APP','MONTH_DT','TOTAL_TIX','PREDICTION', 'SCORE')]

#Combine new data
new_quality_data = rbind(new_large_quality_data, new_small_quality_data)
str(new_quality_data)
summary(new_quality_data)

aggregate(SCORE ~ MONTH_DT, new_quality_data, mean)

# TODO include
# numerical summary stats, graphical summaries,
# dist of variables(hist used for guidance), associations among variables
```

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