

THE  
**Elements**  
OF  
**UML 2.0**  
**Style**

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Scott W. Ambler



*The Elements*  
of  
**UML**<sup>TM</sup> *2.0 Style*

*For Beverley*

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of  
**UML**<sup>TM</sup> *2.0 Style*

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# Preface

Models are used by professional developers to communicate their work to project stakeholders and to other developers. The Unified Modeling Language (UML) has been an important part of the software development landscape since its introduction in 1997. We've seen the UML evolve over the years and it is now into its 2.x series of releases. Modeling style, however, has remained constant and will continue to do so. By understanding and following these common modeling style guidelines, you can improve the effectiveness of your models.

I've updated this book to include the new diagrams in UML 2, to use the terminology of UML 2, and to include hand-drawn diagrams. The vast majority of models are drawn on whiteboards and I think that it's time that modeling books, including this one, reflect that reality.

## Purpose

This book describes a collection of standards, conventions, and guidelines for creating effective UML diagrams. They are based on sound, proven principles that will lead to diagrams that are easier to understand and work with.

These simple, concise guidelines, if applied consistently, will be an important first step in increasing your productivity as a modeler.

## Features

This guide attempts to emulate Strunk and White's (1979) seminal text, *The Elements of Style*, which lists a set of rules describing the proper application of grammatical and compositional forms in common use within the written English language.

Using a similar style of presentation, this book defines a set of rules for developing high-quality UML diagrams. In doing so, this guide

- employs existing standards defined by the Object Management Group (OMG) whenever possible,
- provides a justification for each rule, and
- presents standards based on real-world experience and proven principles.

## Audience

This guide targets information technology (IT) professionals who are interested in

- creating effective UML diagrams,
- increasing their productivity, and
- working as productive members of a software development team.

## Assumptions

In this book I make several assumptions:

- You understand the basics of the UML and modeling. If not, then I suggest *UML Distilled* (Fowler 2004) if you are looking for a brief overview of the UML, or better yet *The Object Primer*, third edition (Ambler 2004) for a

more comprehensive discussion. *UML Distilled* is a great book but is limited to the UML; *The Object Primer*, third edition, on the other hand, goes beyond the UML where needed, for example, to include user interface, Java, and database development issues. It also covers agile software development techniques in detail.

- You are looking for style guidelines, not design guidelines. If not, then I suggest the book *Object-Oriented Design Heuristics* (Riel 1996).
- Your focus is on business application development. Although these guidelines also apply to real-time development, all of the examples are business application-oriented, simplifications of actual systems that I have built in the past.
- You belong to a Western culture. Many of the layout guidelines are based on the Western approach to reading—left to right and top down. People in other cultures will need to modify these guidelines as appropriate.

## Acknowledgments

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# 1.

## Introduction

One of Agile Modeling's (AM) practices (discussed in Chapter 17) is *Apply Modeling Standards*, the modeling version of Extreme Programming (XP)'s *Coding Standards* (Beck 2000). Developers should agree to and follow a common set of standards and guidelines on a software project, and some of those guidelines should apply to modeling. Models depicted with a common notation and that follow effective style guidelines are easier to understand and to maintain. These models will improve communication internally within your team and externally to your partners and customers, thereby reducing the opportunities for costly misunderstandings. Modeling guidelines will also save you time by limiting the number of stylistic choices you face, allowing you to focus on your actual job – to develop software.

A lot of the communication value in a UML diagram is still due to the layout skill of the modeler.

—Paul Evitts, *A UML Pattern Language* (Evitts 2000)

When you adopt modeling standards and guidelines within your organization, your first step is to settle on a common notation. The Unified Modeling Language (UML) (Object Management Group 2004) is a good start because it defines the notation and semantics for common object-oriented models. Some projects will require more types of models than the UML describes, as I show in *The Object Primer 3/e* (Ambler 2004), but the UML will form the core of any modern modeling effort.

## 2 THE ELEMENTS OF UML 2.0 STYLE

Your second step is to identify modeling style guidelines to help you to create consistent and clean-looking diagrams. What is the difference between a standard and a style guideline? For source code, a standard would, for example, involve naming the attributes in the format *attributeName*, whereas a style guideline would involve indenting your code within a control structure by three spaces. For models, a standard would involve using a squared rectangle to model a class on a class diagram, whereas a style would involve placing subclasses on diagrams below their superclass(es). This book describes the style guidelines that are missing from many of the UML-based methodologies that organizations have adopted, guidelines that are critical to your success in the software development game.

The third step is to enact your modeling standards and guidelines. To do this, you will need to train and mentor your staff in the modeling techniques appropriate to the projects on which they are working. You will also need to train and mentor them in your adopted guidelines, and a good start is to provide them with a copy of this book. I've been amazed at the success of *The Elements of Java Style* (Vermeulen et al. 2000) with respect to this—hundreds of organizations have adopted that book for their internal Java coding standards because they recognized that it was more cost-effective for them to buy a pocketbook for each developer than to develop their own guidelines.

### 1.1 Organization of This Book

This book is organized in a straightforward manner. Chapter 2 describes general diagramming principles that are applicable to all types of UML diagrams (and many non-UML diagrams for that matter). Chapter 3 describes guidelines for common UML elements such as stereotypes, notes, and frames.

Chapters 4 through 16 describe techniques pertinent to each type of UML diagram. Chapter 17 provides an overview of the values, principles, and practices of AM, with a quick reference to this popular methodology.



# 2.

## General Diagramming Guidelines

The guidelines presented in this chapter are applicable to all types of diagrams, UML or otherwise. The terms “symbols,” “lines,” and “labels” are used throughout:

- Symbols represent diagram elements such as class boxes, object boxes, use cases, and actors.
- Lines represent diagram elements such as associations, dependencies, and transitions between states.
- Labels represent diagram elements such as class names, association roles, and constraints.

### 2.1 Readability Guidelines

#### *1. Avoid Crossing Lines*

When two lines cross on a diagram, such as two associations on a UML class diagram, the potential for misreading a diagram exists.

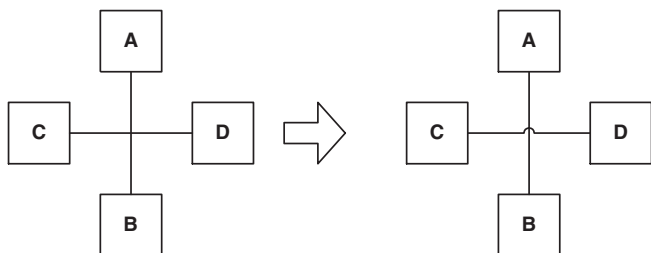


Figure 1. Depiction of crossing lines.

## 2. *Depict Crossing Lines as a Jump*

You can't always avoid crossing lines; for example, you cannot fully connect five symbols (try it and see). When you need to have two lines cross, one of them should "hop" over the other as in Figure 1.

## 3. *Avoid Diagonal or Curved Lines*

Straight lines, drawn either vertically or horizontally, are easier for your eyes to follow than diagonal or curved lines. A good approach is to place symbols on diagrams as if they are centered on the grid point of a graph, a built-in feature of many computer-aided system-engineering (CASE) tools. This makes it easier to connect your symbols by only using horizontal and vertical lines. Note how three lines are improved in Figure 2 when this approach is taken. Also note how the line between *A* and *C* has been depicted in "step fashion" as a line with vertical and horizontal segments.

## 4. *Apply Consistently Sized Symbols*

The larger a symbol appears, the more important it seems to be. In the first version of the diagram in Figure 2, the *A* symbol is larger than the others, drawing attention to it. If that isn't the effect that you want, then strive to make your symbols of uniform size. Because the size of some symbols is

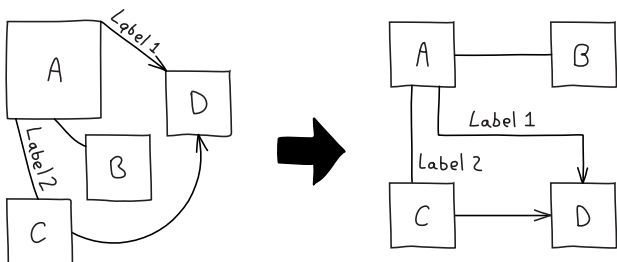


Figure 2. Improving the attractiveness of a diagram.

determined by their contents—for example, a class will vary in size based on its attributes and operations—this rule is not universally applicable. Ideally you should only deviate if you want to accentuate an aspect of your diagram (Koning, Dormann, and Van Vliet 2002).

### 5. *Attach Lines to the Middle of Bubbles*

As you can see in Figure 2, the *Label 1* line between *A* and *D* is much more readable in the updated version of the diagram.

### 6. *Align Labels Horizontally*

In Figure 2 the two labels are easier to read in the second version of the diagram. Notice how *Label 2* is horizontal even though the line it is associated with is vertical.

### 7. *Arrange Symbols Symmetrically*

Figure 3 presents a UML activity diagram (Chapter 10) depicting a high-level approach to enterprise modeling. Organizing the symbols and lines in a symmetrical manner makes the diagram easier to understand. A clear pattern will make a diagram easier to read.

### 8. *Don't Indicate “Exploding” Bubbles*

The rake symbol in the upper right corner of each activity in Figure 3 is the UML way to indicate that they “explode” to

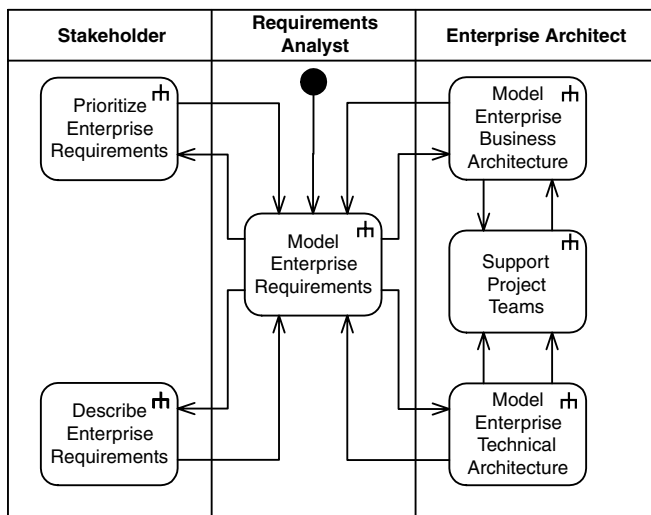


Figure 3. UML activity diagram for a software process.

another diagram showing a greater level of detail. Although this seems like a good idea, the reality is that people using a CASE tool know enough to double click on it, or whatever strategy the tool implements, to get more detail. The rake isn't adding any extra value.

### *9. Minimize the Number of Bubble Types*

Koning, Dormann, and Van Vliet (2002) recommend that you have six or fewer bubbles on a diagram; any more risks overwhelming the user of the model.

### *10. Include White Space in Diagrams*

White space is the empty areas between modeling elements on your diagrams. In the first version of Figure 2 the symbols are crowding each other, whereas in the second version, the symbols are spread out from one another, thus improving the

readability of the diagram. Observe that in the second version there is adequate space to add labels to the lines.

### *11. Organize Diagrams Left to Right, Top to Bottom*

In Western cultures, people read left to right and top to bottom and therefore this is how they will read your diagrams. If there is a starting point for reading the diagram, such as the initial state of a UML state chart diagram or the beginning of the flow of logic on a UML sequence diagram, then place it toward the top left corner of your diagram and continue appropriately from there.

### *12. Avoid Many Close Lines*

Several lines close together are hard to follow.

### *13. Provide a Notation Legend*

If you're not sure that all of the users of a model understand the notation that you're using, provide them with a legend that overviews it. A good legend indicates the notational symbols used, the name of the symbol, and a description of its usage. Figure 4 provides an example for robustness diagrams (Jacobson, Christerson, Jonsson, and Overgaard 1992; Rosenberg and Scott 1999), a modification of UML communication diagrams (Chapter 8).

## **2.2 Simplicity Guidelines**

### *14. Show Only What You Have to Show*

Diagrams showing too many details are difficult to read because they are too information-dense. One of the practices of Agile Modeling (Chapter 17) is to *Depict Models Simply*: to include only critical information on your diagrams and to exclude anything extraneous. A simple model that shows the key features that you are trying to depict—perhaps a UML

## GENERAL DIAGRAMMING GUIDELINES 9

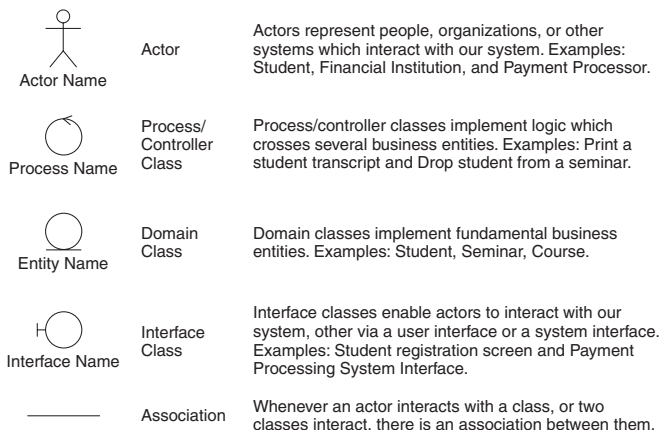


Figure 4. A legend for robustness diagrams.

class diagram depicting the primary responsibilities of classes and the relationships between them—often proves to be sufficient. Yes, you could model all of the scaffolding code that you will need to implement, but what value would that add? Very little.

### *15. Prefer Well-Known Notation over Esoteric Notation*

Diagrams that include esoteric notation, instead of just the 20 percent “kernel notation” that does 80 percent of the job, can be difficult to read. Of course, what is well known in one organization may not be so well known in another, and so, you may want to consider supplying people with a brief summary of the notation that you’re using.

### *16. Reorganize Large Diagrams into Several Smaller Ones*

It is often better to have several diagrams showing various degrees of detail than one complex diagram that shows

everything. A good rule of thumb is that a diagram shouldn't have more than nine symbols on it, based on the  $7 \pm 2$  rule (Miller 1957), because there is a limit on the amount of information that someone can deal with at once. "Wallpaper" diagrams, particularly enterprise data models or enterprise object models, may look interesting but they're too information-dense to be effective. When you are reorganizing a large diagram into several smaller ones, you may choose to introduce a high-level UML package diagram (Chapter 6).

### *17. Prefer Single-Page Diagrams*

To reduce complexity, a diagram should be printable on a single sheet of paper to help reduce its scope as well as to prevent wasted time cutting and taping several pages together. Be aware that you will reduce the usability of a diagram if you need to reduce the font too much or crowd the symbols and lines.

### *18. Focus on Content First, Appearance Second*

There is always the danger of adding hours onto your CASE tool modeling efforts by rearranging the layout of your symbols and lines to improve the diagram's readability. The best approach is to focus on the content of a diagram at first and only try to get it looking good in a rough sort of way—it doesn't have to be perfect while you're working on it. Once you're satisfied that your diagram is accurate enough, and that you want to keep it, then invest the appropriate time to make it look good. An advantage of this approach is that you don't invest significant effort improving diagrams that you eventually discard.

### *19. Apply Consistent, Readable Fonts*

Consistent, easy-to-read fonts improve the readability of your diagrams. Good ideas include fonts in the Courier, Arial,

and Times families. Bad ideas include small fonts (less than 10 point), large fonts (greater than 18 point), and italics.

## 2.3 Naming Guidelines

### *20. Set and Follow Effective Naming Conventions*

This is one of the easiest things that you can do to ensure consistency within your models, and hence increase their readability.

### *21. Apply Common Domain Terminology in Names*

Apply consistent and recognizable domain terminology, such as customer and order, whenever possible on your diagrams. This is particularly true for requirements and analysis-oriented diagrams with which your project stakeholders are likely to be working.

### *22. Apply Language Naming Conventions on Design Diagrams*

Design diagrams should reflect implementation issues, including language naming conventions, such as *orderNumber* for an attribute and *sendMessage()* in Java. Requirements and analysis-oriented diagrams should not reflect language issues such as this.

### *23. Name Common Elements Consistently Across Diagrams*

A single modeling element, such as an actor or a class, will appear on several of your diagrams. For example, the same class will appear on several UML class diagrams, several UML sequence diagrams, several UML communication diagrams, and several UML activity diagrams. This class should have the same name on each diagram; otherwise your readers will become confused.



## 2.4 General Guidelines

### 24. *Indicate Unknowns with a Question Mark*

While you are modeling, you may discover that you do not have complete information. This is particularly true when you are analyzing the domain. You should always try to track down a sufficient answer, but if you cannot do so immediately, then make a good guess and indicate your uncertainty. Figure 5 depicts a common way to do so with its use of question marks.<sup>1</sup> First, there is a UML note (see Section 3.1) attached to the association between *Professor* and *Seminar* questioning the multiplicity. Second, there is a question mark above the constraint on the *wait listed* association between *Student* and *Seminar*, likely an indication that the modeler isn't sure that it really is a first in, first out (FIFO) list.

### 25. *Consider Applying Color to Your Diagrams*

Coad, Lefebvre, and DeLuca (1999) provide excellent advice in their book *Java Modeling in Color with UML* for improving the understandability of diagrams by applying color to them, in addition to UML stereotypes. Perhaps color could indicate the implementation language of a class (e.g., blue for Java and red for C++) on a UML class diagram, the development priority of a use case (e.g., red for phase 1, orange for phase 2, and yellow for future phases) on a UML use case diagram, or the target platform (e.g., blue for an application server, green for a client machine, and pink for a database server) for a software element on a UML deployment diagram.

### 26. *Apply Color or Different Fonts Sparingly*

Evitts (2000) suggests the use of different fonts, line styles, colors, and shading to emphasize different aspects of your

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<sup>1</sup> Question marks are not official UML notation.

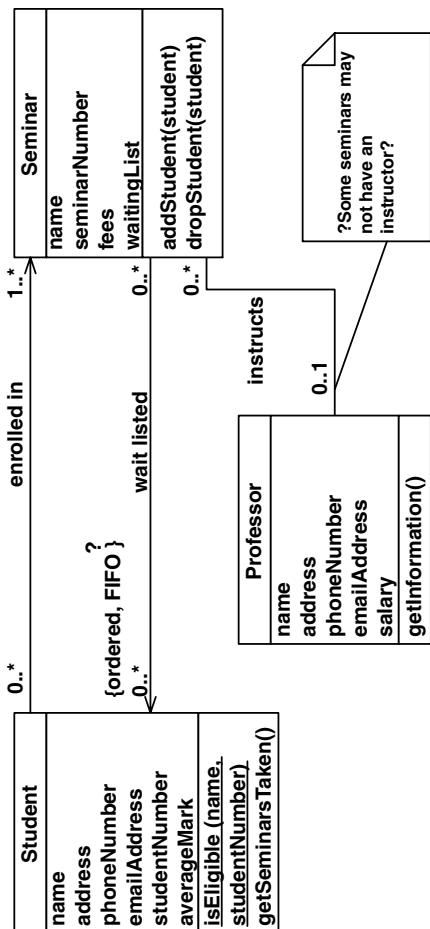


Figure 5. Indicating uncertainty on a diagram.

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diagrams. The secret is to do this sparingly; otherwise you run the risk of creating noisy/gaudy diagrams. Sometimes less is more. Koning, Dormann, and Van Vliet (2002) also suggest restraint when applying color, suggesting that you not use more than six colors in a single diagram, that you use vivid colors only for strong signaling, and that you prefer colors that are light.

# 3.

## Guidelines for Common UML Modeling Elements

An important benefit of the UML is that it is consistent, and part of that consistency is the application of common modeling elements across different diagrams. This chapter describes guidelines for

- Notes
- Stereotypes
- Frames
- Interfaces

### 3.1 Guidelines for UML Notes

A UML note is a modeling construct for adding textual information—such as a comment, constraint definition, or method body—to UML diagrams. As you can see in Figure 6, notes are depicted as rectangles with the top right corners folded over.

#### *27. Describe Diagrams with Notes*

Ever look at a diagram and not know what it represents? A simple solution is to include a UML note on each diagram

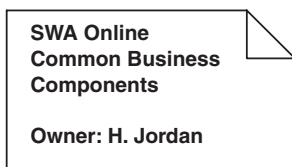


Figure 6. A summary note for a diagram.

that provides a simple and concise description. This is often referred to as a “legend.” In Figure 6 you can see that the name of the system, the purpose of the diagram, and its owner are indicated. It is common also to indicate when the diagram was last updated and the contact information for the owner.

### *28. Set a Convention for Placement of Diagram Legends*

Placing diagram legends in the same place on all your diagrams increases their usability by making them easy to find. Common spots are one of the corners or the bottom center of a diagram.

### *29. Left-Justify Text in Notes*

It is common practice to left-justify text in UML notes, as you can see in Figure 6.

### *30. Prefer Notes over OCL or ASL to Indicate Constraints*

Source code, describing a constraint or processing logic, can be modeled on any UML diagram using a note. In UML, constraints are modeled either by a UML note using free-form text or with Object Constraint Language (OCL) (Warmer and Kleppe 2003). Future versions of UML are expected to support a common Action Semantic Language (ASL) for defining process logic—right now it is common to model tool-specific ASL, program source code (e.g., Java or C#), or structured English.

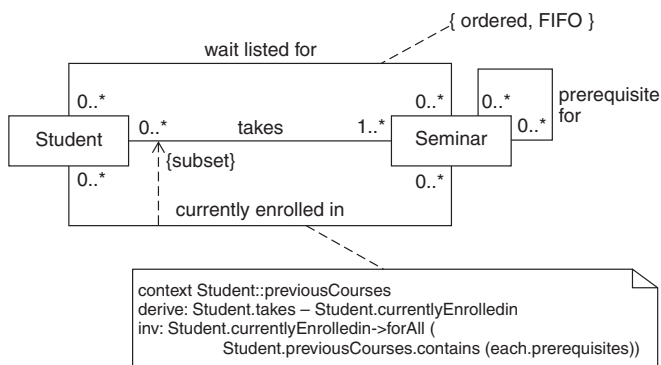


Figure 7. Indicating OCL on a UML diagram.

Figure 7 includes three examples of OCL—two as simple constraints on relationships and one as a note. The constraint `{ordered, FIFO}` indicates that the waiting list to get into a seminar is ordered in “first in, first out” sequence. The constraint `{subset}` indicates that the *currently enrolled in* relationship is a subset of the *takes* relationships. Both of these are reasonably straightforward to understand, although they would prove too abstract for some business stakeholders. The note contains an even more complex example of OCL, something that likely could be written and understood only by programmers. Sophisticated CASE tools will use the information contained in this note to generate working software, although if your CASE tool doesn’t do this then I question the value of writing this OCL.

It would have been easier to have just written the text “Students must have taken the prerequisite seminars for each one they are currently enrolled in.” When the audience for a diagram includes project stakeholders, you should write a free-form note, perhaps using natural language, for your constraint. Consider OCL or ASL for diagrams whose only audience is developers,

but recognize that this is only appropriate if everyone involved understands OCL or ASL.

### *31. Follow Common Coding Conventions for OCL and ASL*

The book *The Elements of Java Style* (Vermeulen et al. 2000) provides Java coding guidance that you can modify for OCL and ASL.

## **3.2 Guidelines for UML Stereotypes**

A stereotype denotes a variation on an existing modeling element with the same form but with a modified intent (Rumbaugh, Jacobson, and Booch 2004). Stereotypes are used to extend the UML in a consistent manner.

### *32. Name Stereotypes in `<<user interface>>` and `<<UI>>` Format*

It is common UML convention to use lowercase for stereotypes that are spelled out fully, such as `<<include>>` instead of `<<Include>>`, and to use all uppercase for stereotypes that are abbreviations, such as `<<HTTP>>` instead of `<<Http>>`.

### *33. List Stereotypes Last*

The most important information should always come first, followed by the next most important information, and so on. The stereotypes applicable to a model element should be listed to the right of or below the primary information. In Figure 8 the second version of the *Customer* class lists the stereotypes for its operations after the operation signature, not before it.

### *34. Don't Indicate Assumed Stereotypes*

In Figure 8 I dropped the `<<business domain>>` stereotype because it is common practice to assume that a class is a business domain one unless marked otherwise.

<<business domain>> Customer
<<unique id>> # customerNumber: int - homeAddress: Address - name: String
<<constructor>> + Customer(): Customer <<search>> + findAllInstances(): Vector <<search>> + findForID(customerNumber): Vector <<search>> + findForOrder(order): Vector <<getter>> + getTotalBusiness(sinceDate): Currency {default = 0} + scheduleShipment(forDate): Shipment



Customer
# customerNumber: int <<unique id>> - homeAddress: Address - name: String
+ Customer(): Customer <<constructor>> + findAllInstances(): Vector + <u>findForID(customerNumber): Vector</u> + <u>findForOrder(order): Vector</u> + getTotalBusiness(sinceDate): Currency <<getter>> {default = 0} + scheduleShipment(forDate): Shipment

Figure 8. Indicating stereotypes.



### 35. *Prefer Naming Conventions over Stereotypes*

An effective alternative to applying a stereotype is to apply a naming convention. For example, instead of applying the stereotype `<<getter>>` on an operation, you could simply start all getters with the text *get*, as you can see in Figure 5 with the *getSeminarsTaken()* operation. This simplifies your diagrams and increases the consistency of your source code. Normally I would have not included `<<getter>>` in Figure 8 but I left it there for the discussion of Guideline #36. Notice how in Figure 8 the `<<search>>` stereotypes were removed because the operation names all start with *find*.

A drawback of this approach is that using naming conventions can hide the stereotyping information from your modeling tool. Ideally you should be able to define your naming conventions in your tool, enabling it to act intelligently, but that can be a lot to ask of the vendors.

### 36. *Tagged Values Follow Stereotypes*

In Figure 8 you see that the tagged value default follows the `<<getter>>` stereotype, because this level of detail is often the least important information shown on a diagram. Tagged values are sometimes referred to as named variables or named elements.

### 37. *Align Classifier Stereotypes with Names*

The stereotype for the *Customer* class in Figure 8 is centered because the name is centered. Had the name in the class been left justified then so should the stereotype have been. This helps to visually associate the two pieces of information.

### 38. *Introduce New Stereotypes Sparingly*

A common mistake made by UML novices is to apply stereotypes to everything, forcing them to introduce a plethora of new stereotypes. The end result is that their diagrams are

cluttered with stereotypes. Introduce a new stereotype to clarify an aspect of a model, but don't introduce one simply to "complete" your model.

### *39. Apply Stereotypes Consistently*

You will find that you need to document your common stereotypes, above and beyond those defined by the UML standard, to ensure that they are applied consistently. For example, you need to decide whether you are going to use `<<user interface>>` or `<<UI>>` as your preferred stereotype. Both are good choices; choose one and move forward.

### *40. Apply Visual Stereotypes Sparingly*

Figure 9 depicts a sequence diagram (Chapter 7), which includes the standard robustness diagram symbols (Jacobson, Christerson, Jonsson, and Overgaard 1992; Rosenberg and Scott 1999) that are commonly applied to UML communication diagrams (Chapter 8). The visual stereotypes—a stick figure for an actor, a circle with an arrowhead for a process class, and a circle on top of a line for business domain classes—are applied instead of text stereotypes such as `<<actor>>`. Apply visual stereotypes only when they are well known to the user(s) of your diagrams. It should be safe to assume that users can read a text stereotype, but it's not as safe to assume they understand the visual representations.

## **3.3 Guidelines for UML Frames**

A frame in the UML encapsulates a collection of collaborating instances or refers to another representation of such. Frames are depicted as rectangles with notched descriptor boxes in the top left corners. Frames come in two flavors, diagram frames such as *Batch Transcript Printing* and combined fragment frames such as the *loop* frame, both in Figure 9. Diagram frames explicitly define the boundary of a diagram,

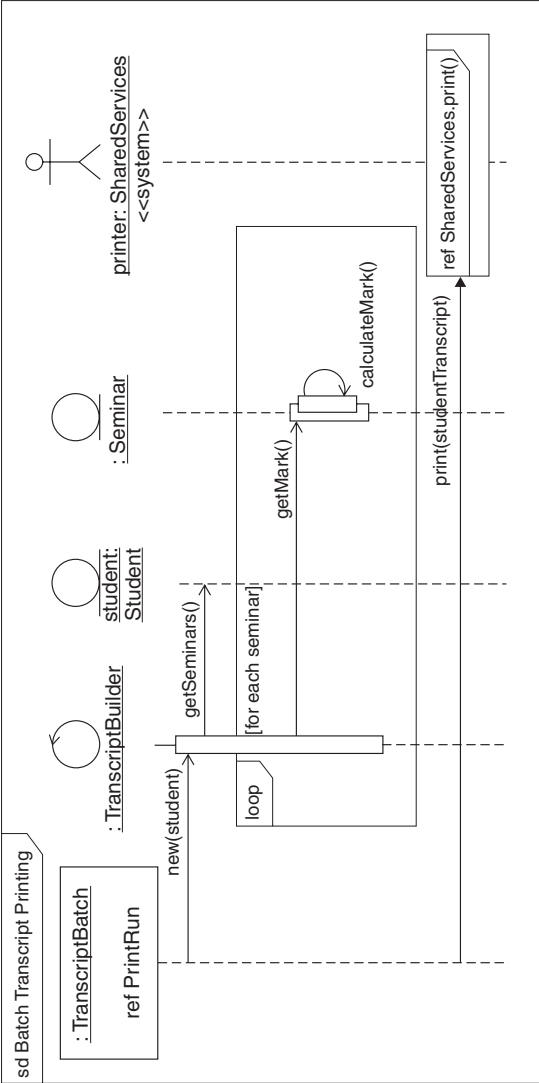


Figure 9. A frame encompassing a sequence diagram.

whereas combined fragment frames encompass portions of a diagram or provide references to other diagrams or method definitions.

#### *41. Deemphasize Frame Borders*

In Figure 9 you see that the frame border is lighter than the lines around it, reflecting the idea that the frame border is not as critical as the other information contained in the diagram.

#### *42. Avoid Diagram Frames*

The *Batch Transcript Printing* diagram frame of Figure 9 adds a significant amount of visual clutter. The only real value that it adds is that it indicates the name of the diagram, information that could have been captured in a note if it needed to be depicted at all. Diagram frames are in effect generic boundary boxes for diagrams, and that purpose is accomplished just as well by the edge of your computer screen, whiteboard, or paper.

Note that combined fragment frames, such as the loop in Figure 9, are very useful.

#### *43. Apply Standard Labels to Descriptors*

Table 1 summarizes common labels for diagram frames and Table 2 the common labels for combined fragments. Unfortunately many of these labels, which are part of the UML standard (Object Management Group 2004), are abbreviations, which decrease the readability of your diagrams.

#### *44. Use Interaction Occurrences over Part Decompositions*

There are two references to logic external to Figure 9: the *TranscriptBatch* object includes a reference to *PrintRun* and there is a combined fragment referencing the *SharedServices.print()* method. The style of the first reference is called a part

**Table 1.** Diagram Frame Labels

Label	Usage
Component	The frame depicts the internal design of a component.
Package	The frame depicts the internal organization of a package, often using a UML class diagram or a UML use case diagram
sd	Indicates that the frame contains an interaction diagram, usually a UML sequence diagram, although UML communication diagrams are also common options.
Use Case	The frame depicts the logic of a use case, often as a UML activity diagram or an interaction overview diagram.

decomposition and the second an interaction occurrence. As you can see, interaction occurrences are much more explicit than part decomposition and thus won't be overlooked as easily.

*45. Fully Specify Operation Names in References*

The reference to the *print* method in Figure 9 is presented in the full *classifier.operation()* format, making it explicit which operation (or in this case a service) is being invoked.

**3.4 Guidelines for UML Interfaces**

An interface is a collection of operation signatures and/or attribute definitions that ideally defines a cohesive set of behaviors. Interfaces are implemented, “realized” in UML parlance, by classes and components—to realize an interface, a class or component must implement the operations and attributes defined by the interface. Any given class or component may

**Table 2.** Combined Fragment Labels

Label	Usage
alt	Indicates several alternatives, only one of which will be taken, separated by dashed lines. Used to model <i>if</i> and <i>switch</i> statements.
assert	Indicates that the fragment models an assertion.
criticalRegion	Indicates that the fragment must be treated as atomic and cannot be interleaved with other event occurrences. Often used within a <i>par</i> frame (Douglass 2004).
loop	Models logic that will potentially be repeated several times.
opt	Models optional logic depending on the run-time evaluation of a guard.
par	Indicates several fragments of logic, separated by dashed lines, all of which will run in parallel. An example is presented in Figure 10.
ref	References another diagram or a method definition. This is often called an interaction use frame because this style of frame doesn't contain visual model elements, only text.

implement zero or more interfaces, and one or more classes or components can implement the same interface.

#### *46. Depict One Interface per Port*

Ports are connection points between a classifier and its environment, which are depicted on the side of frames as small rectangles. You may attach one or more interfaces to a port. In Figure 11 each port has exactly one interface, which is logically cohesive and thus does not reveal anything about the internal design of the *Seminar* component.

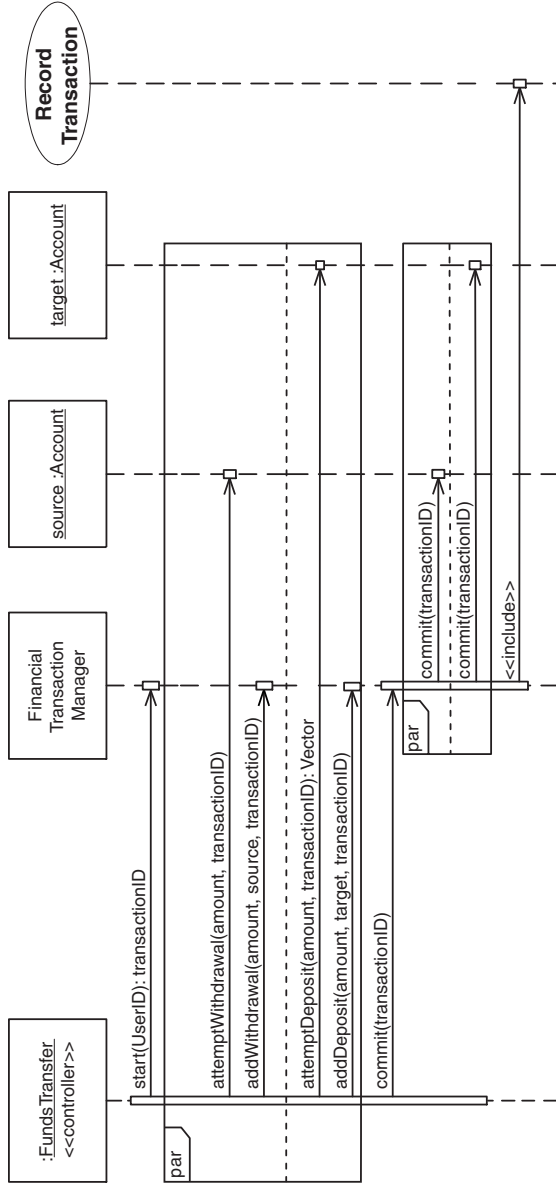


Figure 10. Transferring funds between accounts.

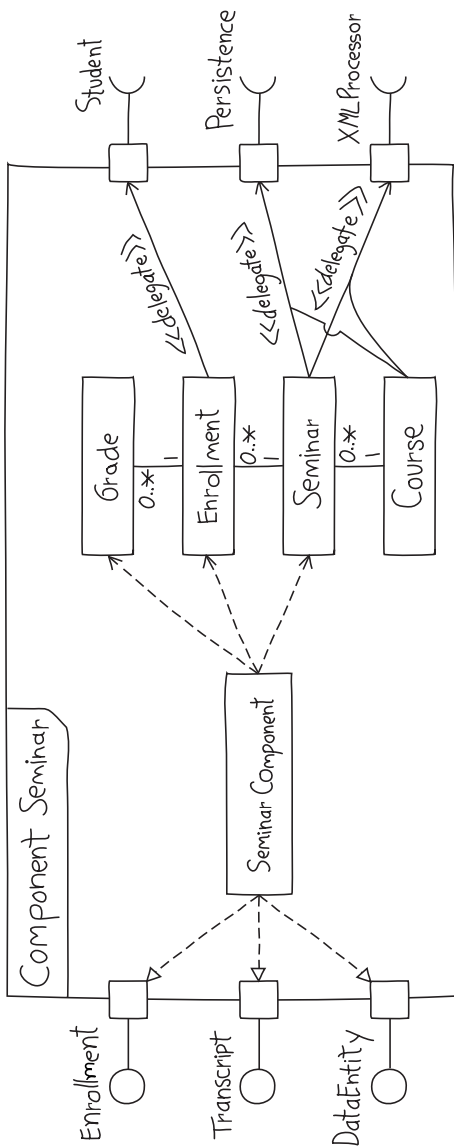


Figure 11. The internals of a (simple) component.



#### 47. *Depict One Port per Realizing Class*

Another approach to organizing the interfaces for *SeminarComponent* of Figure 11 would be to have a single port offering the *Enrollment*, *Transcript*, and *DataEntity* interfaces. This would make for a more compact diagram, although it can contradict Guideline #46.

#### 48. *Provided Interfaces on the Left*

Provided interfaces, those that a classifier implements, should be placed on the left of the box if possible. In Figure 11 the provided interfaces are depicted using “lollipop” notation. If you cannot fit a provided interface on the left side your next best option is the top of the box.

#### 49. *Required Interfaces on the Right*

Required interfaces are those that a classifier must have provided for it to work. Required interfaces, such as *Student*, *Persistence*, and *XMLProcessor* in Figure 11 are depicted in UML 2 as “sockets.” The next best option is to place them on the bottom of the classifier. This rule, in combination with Guideline #48, makes it easier to create wiring-diagram style component diagrams (Chapter 11).

#### 50. *Apply Realizes Relationships for Ports*

There are several ways to indicate that a classifier implements or requires the interfaces of a port. In Figure 11 *SeminarComponent* realizes the three ports on the left of the frame and the *Enrollment* class delegates to the *Student* port. It would have also been accurate to model the *Transcript* port as delegating to *SeminarComponent* or the *Student* port as realizing the required interface for the *Enrollment* class. We could also have used dependencies to model these relationships (dashed lines with arrowheads).

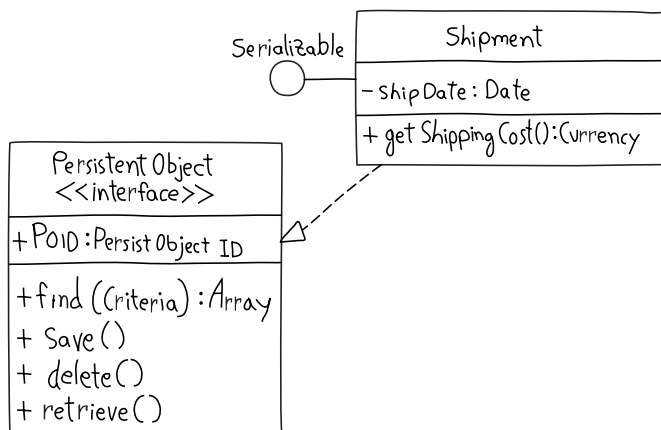


Figure 12. Interfaces on UML class diagrams.

### 51. Reflect Implementation Language Constraints in Interface Definitions

In Figure 12, you can see that a standard class box has been used to define the interface *PersistentObject* (note the use of the <<interface>> stereotype). This interface includes a public attribute named POID and several public operations. Unfortunately, it could not be implemented in Java because this language does not (yet) support instance attributes in the definition of interfaces. Therefore, you need to rework this interface definition if you wish to implement my model in Java.

### 52. Name Interfaces According to Language-Naming Conventions

Interfaces are named in the same manner as classes: they have fully described names in the format *InterfaceName*. In Java it is common to have interface names such as *Serializable* that end in *able* or *ible* or just descriptive nouns such as *EJBOject*.

In Microsoft environments, it is common practice to prefix interface names with a capital *I*, resulting in names such as *IComponent*.

### ***53. Prefer “Lollipop” Notation to Indicate Realization of an Interface***

As you can see in Figure 12, there are two ways to indicate that a class or component implements an interface: the lollipop notation used with the *Serializable* interface and the realization line (the dashed line with a closed arrowhead) used with the *PersistentObject* interface. The lollipop notation is preferred because it is visually compact; the class box and realization line approach tend to clutter your diagrams. Note that you’ll still need to model the specifics of the interface somewhere else.

### ***54. Define Interfaces Separately from Your Classifiers***

To reduce clutter, you can define interfaces separately from classifiers, either in another diagram specifically for interface definitions or simply on one edge of your class/component diagram.

### ***55. Do Not Depict the Operations and Attributes of Interfaces in Your Classes***

In Figure 12, you’ll notice that the *Shipment* class does not include the attributes or operations defined by the two interfaces that it realizes. That information would be redundant because it is already contained within the interface definitions. Note that a CASE tool should still include these elements in the definition of your classes, but that it shouldn’t display it.

### ***56. One Label per Interface Connection***

In Figure 13 you see that the *IPersistence* interface is indicated twice, once for the lollipop and once for the socket. When you

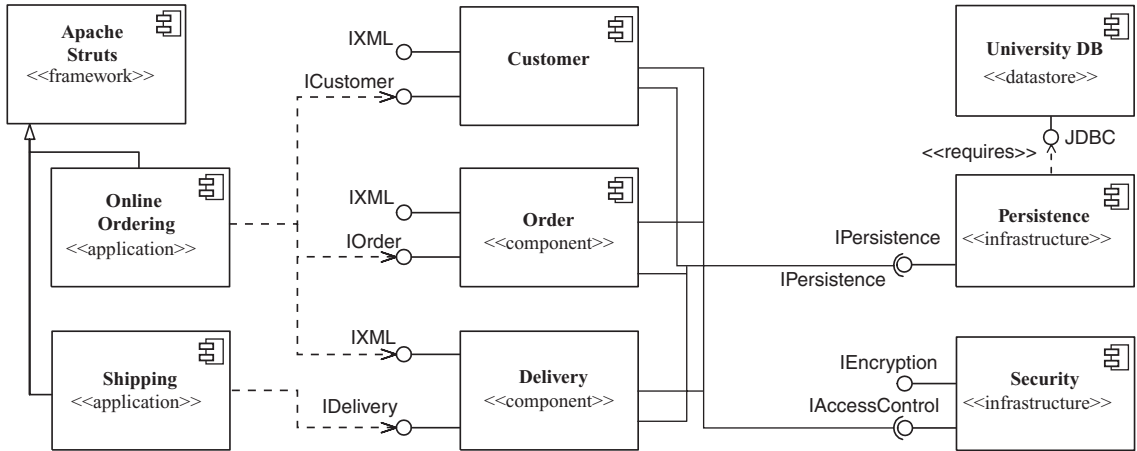


Figure 13. UML component diagram representing the logical architecture of a simple e-commerce system.

compare this with how the other interface names are modeled you see that listing it twice is unnecessary clutter.

### *57. Place Interface Labels Above the Interface*

Whenever possible, interface labels should be placed above the interface lollipop/socket symbols.

# 4.

## UML Use-Case Diagrams

A UML use-case diagram shows the relationships among actors and use cases within a system. They are often used to

- provide an overview of all or part of the usage requirements for a system or organization in the form of an essential model (Constantine and Lockwood 1999, Ambler 2004) or a business model (Rational Corporation 2002);
- communicate the scope of a development project;
- model the analysis of usage requirements in the form of a system use-case model (Cockburn 2001).

A use-case model comprises one or more use-case diagrams and any supporting documentation such as use-case specifications and actor definitions. Within most use-case models, the use-case specifications tend to be the primary artifact, with UML use-case diagrams filling a supporting role as the “glue” that keeps your requirements model together. Use-case models should be developed from the point of view of your project stakeholders and not from the (often technical) point of view of developers.

### 4.1 Use-Case Guidelines

A use case describes a sequence of actions that provide a measurable value to an actor. A use case is drawn as a

horizontal ellipse on a UML use case diagram, as you can see in Figure 14.

### 58. *Begin Use-Case Names with a Strong Verb*

Good use-case names include *Withdraw Funds*, *Register Student in Seminar*, and *Deliver Shipment* because it is clear what each use case does. Use-case names beginning with weak verbs such as “process,” “perform,” and “do” are often problematic. Such names often result in communication difficulties with your project stakeholders, people who are far more likely to say that they withdraw funds from accounts instead of process withdrawal transactions. These communication difficulties are likely to decrease your ability to understand their requirements. Furthermore, names such as *Process Withdrawal Transaction* or *Perform Student Enrollment Request* often indicate that the use case was written with a technically oriented view, instead of a user-oriented view, and therefore may be at risk of not reflecting the actual needs of your project stakeholders.

### 59. *Name Use Cases Using Domain Terminology*

The name of a use case should immediately convey meaning to your project stakeholders. For example, *Convey Package Via Vehicular Transportation* is a generic name for a use case but *Deliver Shipment* reflects common domain terminology and therefore is far more understandable.

### 60. *ImPLY Timing Considerations by Stacking Use Cases*

Although diagrams should not reflect timing considerations, such as the need to work through use case *A* before proceeding to use case *B*, the fact is that you can increase the readability of your diagrams by arranging use cases to imply timing. One such way is to stack them, as you can see in Figure 14, so that the use cases that typically occur first are shown above those that appear later. Note that the order in which these use cases

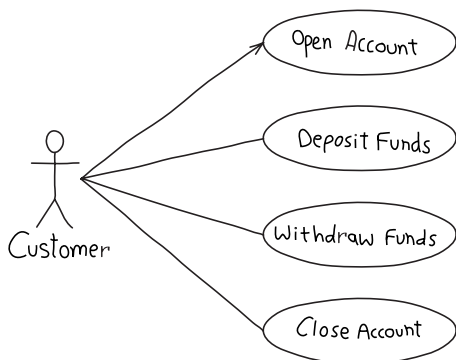


Figure 14. Implying timing considerations between use cases.

are invoked is only implied; throughout most of the life of a bank account, you can deposit to it or withdraw from it in any order that you like, assuming you conform to the appropriate business rules when doing so.

You can define preconditions in your use cases to describe timing considerations, such as the need for an online shopper to define his or her default address information before being allowed to place an order. You may want to consider drawing an activity diagram representing the overall business process instead of indicating timing considerations on your diagrams.

Note that Figure 14 goes against the general guideline *Avoid Diagonal or Curved Lines*—but it’s a small diagram, and so the diagonal lines are still easy to follow from one model element to another.

## 4.2 Actor Guidelines

An actor is a person, organization, local process (e.g., system clock), or external system that plays a role in one or more interactions with your system (actors are drawn as stick figures).



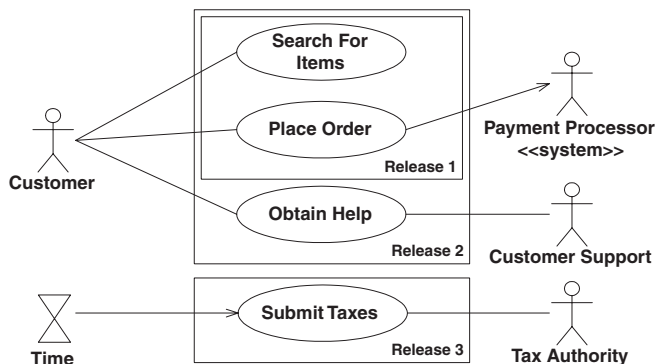


Figure 15. Online shopping.

### 61. Place Your Primary Actor(s) in the Top Left Corner of the Diagram

In Western cultures, we start reading in the top left corner. All things being equal, this is the best location for your primary actors, who are often directly involved with your primary/critical use cases.

For example, you can see in Figure 15 that *Customer* is placed near the top left corner of the diagram, as opposed to the *Customer Support* actor, which is placed on the right-hand side. Also notice how the two most critical use cases, the ones supporting the sale of items on the Web site, are also placed at the top left, and the guideline *ImPLY Timing Considerations by Stacking Use Cases* has also been applied to order *Search for Items* and *Place Order*.

### 62. Draw Actors on the Outside Edges of a Use-Case Diagram

By definition, actors are outside your scope of control, something that you can communicate by drawing them on the outside edges of a diagram, as you can see in Figure 15.

### 63. Name Actors with Singular, Domain-Relevant Nouns

An actor should have a name that accurately reflects its role within your model. Actor names are usually singular nouns such as *Grade Administrator*, *Customer*, and *Payment Processor*.

### 64. Associate Each Actor with One or More Use Cases

Every actor is involved with at least one use case, and every use case is involved with at least one actor. Note that there isn't necessarily a one-to-one relationship between actors and use cases. For example, in Figure 15 you can see that *Customer* is involved with several use cases and that the use case *Obtain Help* has two actors interacting with it.

### 65. Name Actors to Model Roles, Not Job Titles

A common mistake when naming actors is to use the names of job titles that people hold instead of the roles that the people fulfill. This results in actors with names such as *Junior CSR*,<sup>2</sup> *Lead CSR*, and *CSR Manager* instead of *Customer Support*, which you can see in Figure 15. A good indication that you are modeling job titles instead of roles in a diagram depicting several actors with similar names that have associations to the same use case(s). Modeling roles instead of job titles will simplify your diagrams and will avoid the problem of coupling your use-case diagram to the current position hierarchy within your organization: you wouldn't want to have to update your models simply because your human resources department replaced the term *CSR* with *Support Engineer*. However, if you are working in a politically charged environment where it is advantageous for you to show certain positions on a use-case diagram, feel free to do so at your own discretion.

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<sup>2</sup> CSR = Customer Service Representative.

**66. Use <<system>> to Indicate System Actors**

In Figure 15, you immediately know that *Payment Processor* is a system and not a person or organization because of the stereotype applied to it. The <<system>> stereotype is applicable to system/concrete diagrams that reflect architectural decisions made for your system as opposed to essential diagrams (Constantine and Lockwood 1999) or business diagrams (Rational Corporation 2002), which are technology-independent.

**67. Don't Allow Actors to Interact with One Another**

The nature of the interaction between two actors will be captured in the text of the use case, not pictorially on your diagram.

**68. Introduce an Actor Called “Time” to Initiate Scheduled Events**

Certain events happen on a regular basis—payroll is fulfilled every two weeks, bills are paid once a month, and staff evaluations are held annually. In Figure 15, you can see that the *Time* actor initiates the *Submit Taxes* use case because it is something that occurs on a periodic basis (typically monthly). You can also see that I've applied a visual stereotype to the actor, using the hourglass symbol used on UML activity diagrams (Chapter 10) for time events.

## 4.3 Relationship Guidelines

There are several types of relationships that may appear on a use-case diagram:

- an association between an actor and a use case,
- an association between two use cases,
- a generalization between two actors,
- a generalization between two use cases.

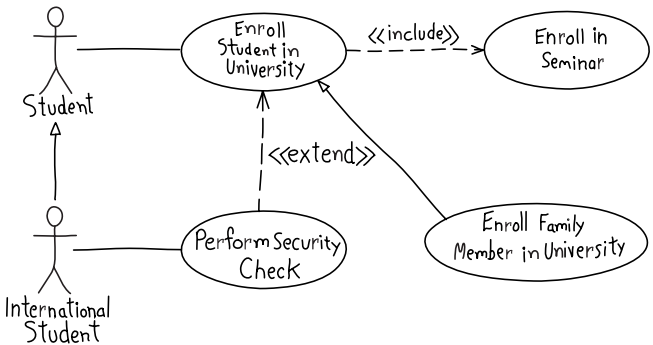


Figure 16. Enrolling students in a university.

Associations are depicted as lines connecting two modeling elements with an optional open-headed arrowhead on one end of the line, indicating the direction of the initial invocation of the relationship. Generalizations are depicted as closed-headed arrows pointing toward the more general modeling elements.

### *69. Indicate an Association Between an Actor and a Use Case if the Actor Appears Within the Use-Case Logic*

Your use-case diagram should be consistent with your use cases. If an actor supplies information, initiates the use case, or receives any information as a result of the use case, then the corresponding diagram should depict an association between the two. As you can see in Figure 16, these types of associations are depicted with solid lines. Note that if you are taking an Agile Modeling (AM) approach to development, then your artifacts don't need to be perfectly in synch with each other—they just need to be good enough.

### *70. Avoid Arrowheads on Actor–Use-Case Relationships*

The arrowheads on actor–use-case associations indicate who or what invokes the interaction. Indicate an arrowhead only when doing so provides significant value, such as when it is

important to indicate that an actor is passive regarding its interaction with your system, or when your audience for the model understands the implications of the arrowhead.

In Figure 16, *Student* invokes the *Enroll Student* use case, whereas in Figure 15, the *Place Order* use case initiates the interaction with the *Payment Processor* actor. Although this is perfectly fine, the problem is that many people think that these arrowheads imply information or data flow, such as you would see in a data flow diagram (Gane and Sarson 1979; Ambler 2004), instead of initial invocation. Associations do not represent information; they merely indicate that an actor is somehow involved with a use case. Yes, there is information flowing back and forth between the actor and the use case; for example, students would need to indicate in which seminars they wished to enroll and the system would need to indicate to the students whether or not they have been enrolled.

### 71. Apply <<include>> When You Know Exactly When to Invoke the Use Case

In Figure 16 the *Enroll Student* use case includes the use case *Enroll in Seminar*. It is modeled like this because, at a specific point in *Enroll Student*, the logic encapsulated by the included use case is required. In this example, part of the task of enrolling a student in the university is also initially to enroll that student in one or more seminars, something that is done at a specific step in the use case.

The best way to think of an <<include>> association is as the invocation of one use case by another one, just like calling a function or invoking an operation within source code. It is quite common to introduce a use case that encapsulates common logic required by several use cases and to have that use case included by the ones that require it. It is also common for one use case to include another when the logic of the included use case is invoked in a synchronous manner. Include

associations, as well as extend associations, are modeled as dependencies between use cases and therefore a dashed line is used, as you can see in Figure 16.

## 72. *Apply* <<extend>> *When a Use Case May Be Invoked Across Several Use Case Steps*

In Figure 16, you can see that the *Perform Security Check* use case extends the *Enroll Student* use case. It is modeled this way because the extending use case defines logic that may be required during a given set of steps in the parent use case. In this example, international students are subject to additional scrutiny during the enrollment task, something that will occur sometime after their basic name and address information has been taken but before they are given their student information packages—anywhere within a range of use case steps.

An extend association is a generalization relationship where the extending use case continues the behavior of the base use case by conceptually inserting additional action sequences into the base use case, steps that may work in parallel to the existing use-case steps (asynchronously). One way to think of extension is to consider it the use-case equivalent of a hardware interrupt—you're not sure when or if the interrupt will occur. It is quite common to introduce an extending use case whenever the logic for an alternate course of action is at a complexity level similar to that of your basic course of action or when you require an alternate course for an alternate course (in this case the extending use case would encapsulate both alternate courses).

## 73. *Apply* `Extend` *Associations Sparingly*

Many use-case modelers avoid the use of extend associations because they have a tendency to make use case diagrams difficult to understand.

#### *74. Generalize Use Cases When a Single Condition Results in Significantly New Business Logic*

In Figure 16, you can see that the *Enroll Family Member* use case inherits from the *Enroll Student* use case. It is modeled this way because the inheriting use case describes business logic similar to yet different from the base use case and therefore either the basic course of action or one or more alternate courses of action within the use case are completely rewritten. In this example, you enroll family members of university professors in a manner similar to that for “normal students,” the main differences being that several enrollment requirements are reduced or removed completely and the university fees are calculated differently (residence and seminar fees are charged at a reduced rate and all incidental fees are waived).

Inheritance between use cases is not as common as either the use of `extend` or `include` associations, but it is still possible.

#### *75. Do Not Apply* `<<uses>>`, `<<includes>>`, *or* `<<extends>>`

All three of these stereotypes were supported by earlier versions of the UML but over time they have been replaced—`<<uses>>` and `<<includes>>` were both replaced by `<<include>>`, and `<<extends>>` was reworked into `<<extend>>` and generalization. You will likely find these stereotypes applied on older use-case diagrams because experienced use-case modelers may not yet have transitioned to the newer stereotypes for use-case associations.

#### *76. Avoid More Than Two Levels of Use-Case Associations*

Whenever your use-case diagram shows that a use case includes another use case, which includes another use case, which in turn includes yet another use case, it is a very good indication

that you are taking a functional decomposition approach to your usage requirements. Functional decomposition is a design activity, and you should avoid reflecting design decisions within your requirements artifacts.

### *77. Place an Included Use Case to the Right of the Invoking Use Case*

It is common convention to draw `include` associations horizontally, with the included use case to the right of the invoking use case, as you can see in Figure 16 with *Enroll Student* and *Enroll in Seminar*.

### *78. Place an Extending Use Case Below the Parent Use Case*

It is common convention to draw `extend` associations vertically, with the extending use case placed lower on your diagram than the base use case, as you can see in Figure 16 with *Perform Security Check* and *Enroll Student*.

### *79. Apply the “Is Like” Rule to Use-Case Generalization*

The sentence “the [inheriting use-case name] is like the [parent use-case name]” should make sense. In Figure 16, it makes sense to say that enrolling a family member is like enrolling a student; therefore, it’s a good indication that generalization makes sense. It doesn’t make sense to say that enrolling a student is like enrolling in a seminar. The logic for each activity is different—although the two use cases may be related it isn’t by generalization.

### *80. Place an Inheriting Use Case Below the Base Use Case*

It is a common convention to draw generalization relationships vertically, with the inheriting use case placed lower on your diagram than the parent use case, as you can see in Figure 16 with *Enroll Family Member* and *Enroll Student*.



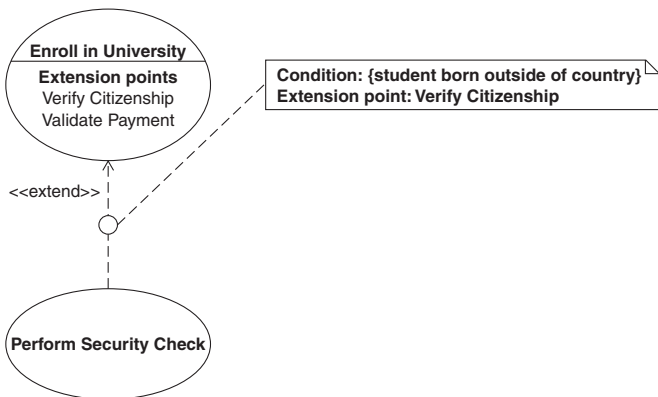


Figure 17. Enrolling students in a university.

### 81. Apply the “Is Like” Rule to Actor Inheritance

The sentence “the [inheriting actor name] is like the [parent actor name]” should make sense. In Figure 16, it makes sense to say that an international student is like a student; therefore it’s a good indication that generalization makes sense. It doesn’t make sense in Figure 15 to say that customer support is like a payment processor because the two roles are clearly different.

### 82. Place an Inheriting Actor Below the Parent Actor

It is a common convention to draw generalization relationships vertically, with the inheriting actor placed lower on your diagram than the parent actor, as you can see in Figure 16 with *International Student* and *Student*.

### 83. Avoid Modeling Extension Points

Figure 17 shows the notation for indicating extension points within a use-case bubble. In my experience this information is extraneous in diagrams. If you want it you can simply read the use-case text.

### *84. Model Extension Conditions Only When They Aren't Clear*

Figure 17 depicts how to define the condition(s) under which the extending use case will be invoked. Once again this information clutters the diagram and can be documented better within the use case itself.

## **4.4 System Boundary Box Guidelines**

The rectangle around the use cases is called the system boundary box and, as the name suggests, it indicates the scope of your system—the use cases inside the rectangle represent the functionality that you intend to implement.

### *85. Indicate Release Scope with a System Boundary Box*

In Figure 15, you can see that three system boundary boxes are included, each of which has a label indicating the release to which the various use cases have been assigned. This project team is taking an incremental approach to software development and therefore needs to communicate to the project stakeholders what will be delivered in each release, and it has done so using system boundary boxes.

Notice how the nature of each release is indicated by the placement of each system boundary box. You can see that release 2 includes release 1, whereas release 3 is separate. The team may be trying to indicate that, during release 2, they expect to enhance the functionality initially provided by release 1, whereas they don't expect to do so during release 3. Or perhaps they intend to develop release 3 in parallel to release 1 and/or 2. The exact details aren't readily apparent from the diagram. You could add a note, if appropriate, but the diagram would support information contained in another project artifact such as your project plan.

Figure 15 should have included another system boundary box, one encompassing all three releases to specify the exact boundary of the overall system, but it doesn't. I did this in accordance with AM's (Chapter 17) *Depict Models Simply* practice, making the assumption that the readers of the diagram would read between the lines.

### ***86. Avoid Meaningless System Boundary Boxes***

System boundary boxes are optional—neither Figure 14 nor Figure 16 includes one because it wouldn't add to the communication value of the diagram.

# 5.

## UML Class Diagrams

UML class diagrams show the classes of a system, their inter-relationships, and the operations and attributes of the classes. They are used to

- explore domain concepts in the form of a domain model,
- analyze requirements in the form of a conceptual/analysis model,
- depict the detailed design of object-oriented or object-based software.

A class model comprises one or more class diagrams and the supporting specifications that describe model elements, including classes, relationships between classes, and interfaces.

### 5.1 General Guidelines

Because UML class diagrams are used for a variety of purposes—from understanding your requirements to describing your detailed design—you will need to apply a different style in each circumstance. This section describes style guidelines pertaining to different types of class diagrams.

#### *87. Identify Responsibilities on Domain Class Models*

When creating a domain class diagram, often as part of your requirements modeling efforts, focus on identifying

**Table 3.** Visibility Options on UML Class Diagrams

Visibility	Symbol	Accessible to
Public	+	All objects within your system
Protected	#	Instances of the implementing class and its subclasses
Private	-	Instances of the implementing class
Package	~	Instances of classes within the same package

responsibilities for classes instead of on specific attributes or operations. For example, the *Invoice* class is responsible for providing its total, but whether it maintains this as an attribute or simply calculates it at request time is a design decision that you'll make later.

There is some disagreement about this guideline because it implies that you should be taking a responsibility-driven approach to development. Craig Larman (2002) suggests a data-driven approach, where you start domain models by identifying only data attributes, resulting in a model that is little different from a logical data model. If you need to create a logical data model, then do so, following AM's practice, *Apply the Right Artifact(s)* (Chapter 17). However, if you want to create a UML class diagram, then you should consider the whole picture and identify responsibilities.

**88. Indicate Visibility Only on Design Models**

The visibility of an operation or attribute defines the level of access that objects have to it, and the UML supports four types of visibility that are summarized in Table 3. Visibility is an important design issue. On detailed design models, you should always indicate the visibility of attributes and operations, an issue that typically is not pertinent to domain or conceptual models. Visibility on an analysis or domain model will always be public (+), and so there is little value in indicating this.

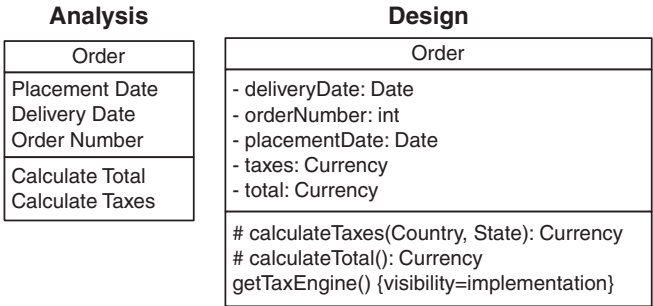


Figure 18. Analysis and design versions of a class.

### 89. Indicate Language-Dependent Visibility with Property Strings

If your implementation language includes non-UML-supported visibilities, such as C++'s implementation visibility, then a property string should be used, as you can see in Figure 18.

### 90. Indicate Types on Analysis Models Only When the Type Is an Actual Requirement

Sometimes the specific type of an attribute is a requirement. For example, your organization may have a standard definition for customer numbers that requires that they be nine-digit numbers. Perhaps existing systems, such as a legacy database or a predefined data feed, constrain some data elements to a specific type or size. If this is the case, you should indicate this information on your domain class model(s).

### 91. Be Consistent with Attribute Names and Types

It would not be consistent for an attribute named *customer-Number* to be a string, although it would make sense for it to be an integer. However, it would be consistent for the name *customerID* to be a string or an integer.

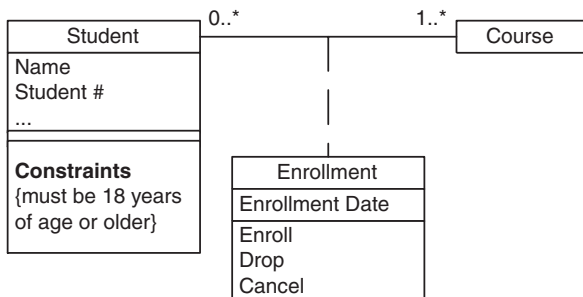


Figure 19. Modeling association classes.

## 92. Model Association Classes on Analysis Diagrams

Association classes, also called link classes, are used to model associations that have methods and attributes. Figure 19 shows that association classes are depicted as classes attached via dashed lines to associations—the association line, the class, and the dashed line are considered to be one symbol in the UML. Association classes typically are modeled during analysis and then refactored during design (either by hand or automatically by your CASE tool) because mainstream programming languages do not (yet) have native support for this concept.

## 93. Do Not Name Associations That Have Association Classes

The name of the association class should adequately describe it. Therefore, as you can see in Figure 19, the association does not need an additional adornment indicating its name.

## 94. Center the Dashed Line of an Association Class

The dashed line connecting the class to the association path should be clearly connected to the path and not to either class or to any adornments of the association, so that your

meaning is clear. As you can see in Figure 19, the easiest way to accomplish this is to center the dashed line on the association path.

## 5.2 Class Style Guidelines

A class is effectively a template from which objects are created (instantiated). Classes define attributes, information that is pertinent to their instances, and operations—functionality that the objects support. Classes also realize interfaces (more on this later). Note that you may need to soften some of these naming guidelines to reflect your implementation language or any purchased or adopted software.

### 95. *Use Common Terminology for Class Names*

Class names should be based on commonly accepted terminology to make them easier for others to understand. For business classes, this would include names based on domain terminology such as *Customer*, *OrderItem*, and *Shipment* and, for technical classes, names based on technical terminology such as *MessageQueue*, *ErrorLogger*, and *PersistenceBroker*.

### 96. *Prefer Complete Singular Nouns for Class Names*

Names such as *Customer* and *PersistenceBroker* are preferable to *Cust* and *PBroker*, respectively, because they are more descriptive and thus easier to understand. Furthermore, it is common practice to name classes as singular nouns such as *Customer* instead of *Customers*. Even if you have a class that does represent several objects, such as an iterator (Gamma, Helm, Johnson, and Vlissides 1995) over a collection of customer objects, a name such as *CustomerIterator* would be appropriate.

### 97. *Name Operations with Strong Verbs*

Operations implement the functionality of an object; therefore, they should be named in a manner that effectively



communicates that functionality. Table 4 lists operation names for analysis class diagrams as well as for design class diagrams—the assumption being that your implementation language follows Java naming conventions (Vermeulen et al. 2000)—indicating how the operation name has been improved in each case.

### 98. *Name Attributes with Domain-Based Nouns*

As with classes and operations, you should use full descriptions to name your attribute so that it is obvious what the attribute represents. Table 5 suggests a Java-based naming convention for analysis names that are in the *Attribute Name* format, although *attribute name* and *Attribute name* formats are also fine if applied consistently. Table 5 also suggests design names that take an *attributeName* format, although the *attribute\_name* format is just as popular depending on your implementation language.

### 99. *Do Not Model Scaffolding Code*

Scaffolding code includes the attributes and operations required to implement basic functionality within your classes, such as the code required to implement relationships with other classes. Scaffolding code also includes getters and setters, also known as accessors and mutators, such as *getItem()* and *setItem()* in Figure 20, which get and set the value of attributes. You can simplify your class diagrams by assuming that scaffolding code will be created (many CASE tools can generate it for you automatically) and not model it. Figure 20 depicts the difference between the *OrderItem* class without scaffolding code and with it—including the constructor, the common static operation *findAllInstances()* that all business classes implement (in this system), and the attributes *item* and *order* and their corresponding getters and setters to maintain its relationships with the *Order* class and *Item* class, respectively.

**Table 4.** Example Names for Operations

<b>Initial Name</b>	<b>Good Analysis Name</b>	<b>Good Design Name</b>	<b>Issue</b>
Open Acc	Open Account	openAccount()	An abbreviation was replaced with the full word to make it clear what is meant.
Mailing Label Print	Print Mailing Label	printMailingLabel()	The verb was moved to the beginning of the name to make it active.
purchaseparkingpass()	Purchase Parking Pass	purchaseParkingPass()	Mixed case was applied to increase the readability of the design-level name.
Save the Object	Save	save()	The name was shortened because the term "TheObject" did not add any value.

**Table 5.** Example Names for Attributes

<b>Initial Name</b>	<b>Good Analysis Name</b>	<b>Good Design Name</b>	<b>Issue</b>
fName firstname	First Name First Name	firstName firstName	Do not use abbreviations in attribute names. Capitalizing the second word of the design name makes the attribute name easier to read.
personFirstName	First Name	firstName	This depends on the context of the attribute, but if this is an attribute of the “Person” class, then including “person” merely lengthens the name without providing any value.
nameLast	Last Name	lastName	The name “nameLast” was not consistent with “firstName” (and it sounded strange anyway).
HTTPConnection	HTTP Connection	httpConnection	The abbreviation for the design name should be in all lowercase.
firstNameString	First Name	firstName	Indicating the type of the attribute, in this case “string,” couples the attribute name to its type. If the type changes, perhaps because you decide to reimplement this attribute as an instance of the class “NameString,” then you will need to rename the attribute.
OrderItemCollection	Order Items	orderItems	The second version of the design name is shorter and easier to understand.

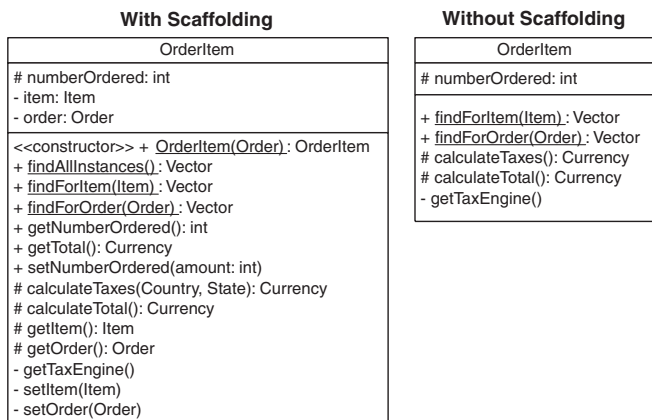


Figure 20. OrderItem class with and without scaffolding code.

### 100. Center Class Names

As you have seen in the figures in this chapter, it is common to center the names of classes.

### 101. Left-Justify Attribute Operation and Names

It is common practice, as you see in Figure 20 to left-justify both attribute and operation names within class boxes.

### 102. Do Not Model Keys

A key is a unique identifier of a data entity or table. Unless you are using a UML class diagram to model the logical or physical schema of a database (Ambler 2003), you should not model keys in your class. Keys are a data concept, not an object-oriented concept. A particularly common mistake of novice developers is to model foreign keys in classes, the data attributes needed to identify other rows of data within the database. A UML profile for physical data modeling is maintained at [www.agiledata.org/essays/umlDataModelingProfile.html](http://www.agiledata.org/essays/umlDataModelingProfile.html).

### *103. Never Show Classes with Just Two Compartments*

It is allowable within the UML to have a class with one or more compartments. Although compartments may appear in any order, traditionally the topmost compartment indicates the name of the class and any information pertinent to the class as a whole (such as a stereotype); the second optional compartment typically lists the attributes; and the third optional compartment typically lists the operations. Other “nonstandard” compartments may be added to the class to provide information such as lists of exceptions thrown or notes pertaining to the class. Because naming conventions for attributes and operations are similar, and because people new to object development may confuse the two concepts, it isn’t advisable to have classes with just two compartments (one for the class name and one listing either attributes or operations). If necessary, include a blank compartment as a placeholder, as you can see with the *Student* class in Figure 19.

### *104. Label Uncommon Class Compartments*

If you do intend to include a class compartment that isn’t one of the standard three—class name, attribute list, operations list—then include a descriptive label such as Exceptions, Examples, or Constraints centered at the top of the compartment, as you can see with the *Student* class in Figure 19.

### *105. Include an Ellipsis (...) at the End of an Incomplete List*

You know that the list of attributes of the *Student* class of Figure 19 is incomplete because of the ellipsis at the end of the list. Without the ellipsis, there would be no indication that there is more to the class than what is currently shown (Evitts 2000).

### ***106. List Static Operations/Attributes Before Instance Operations/Attributes***

Static operations and attributes typically deal with early aspects of a class's life cycle, such as the creation of objects or finding existing instances of the classes. In other words, when you are working with a class you often start with statics. Therefore it makes sense to list them first in their appropriate compartments, as you can see in Figure 20 (statics are underlined).

### ***107. List Operations/Attributes in Order of Decreasing Visibility***

The greater the visibility of an operation or attribute, the greater the chance that someone else will be interested in it. For example, because public operations are accessible to a greater audience than protected operations, there is a likelihood that greater interest exists in public operations. Therefore, list your attributes and operations in order of decreasing visibility so that they appear in order of importance. As you can see in Figure 20, the operations and attributes of the *OrderItem* class are then listed alphabetically for each level of visibility.

### ***108. For Parameters That Are Objects, List Only Their Types***

As you can see in Figure 20, operation signatures can become quite long, extending the size of the class symbol. To save space, you can forgo listing the types of objects that are passed as parameters to operations. For example, Figure 20 lists *calculateTaxes(Country, State)* instead of *calculateTaxes(country: Country, state: State)*, thus saving space.

### ***109. Develop Consistent Operation and Attribute Signatures***

Operation names should be consistent with one another. For example, in Figure 20, all finder operations start with the

text *find*. Parameter names should also be consistent with one another. For example, parameter names such as *theFirstName*, *firstName*, and *firstNm* are not consistent with one another, nor are *firstName*, *aPhoneNumber*, and *theStudentNumber*. Pick one naming style for your parameters and stick to it. Similarly, be consistent also in the order of parameters. For example, the methods *doSomething(securityToken, startDate)* and *doSomethingElse(studentNumber, securityToken)* could be made more consistent by always passing *securityToken* as either the first or the last parameter.

### ***110. Avoid Stereotypes Implied by Language Naming Conventions***

The UML allows for stereotypes to be applied to operations. In Figure 20, I applied the stereotype `<<constructor>>` to the operation *OrderItem(Order)*, but that information is redundant because the name of the operation implies that it's a constructor, at least if the implementation language is Java or C++. Furthermore, you should avoid stereotypes such as `<<getter>>` and `<<setter>>` for similar reasons—the names *getAttributeName()* and *setAttributeName()* indicate the type of operations you're dealing with.

### ***111. Indicate Exceptions in an Operation's Property String***

Some languages, such as Java, allow operations to throw exceptions to indicate that an error condition has occurred. Exceptions can be indicated with UML property strings, an example of which is shown in Figure 21.

```
+ findAllInstances(): Vector
  {exceptions=NetworkFailure, DatabaseError}
```

Figure 21. Indicating the exceptions thrown by an operation.

## 5.3 Relationship Guidelines

For ease of discussion the term relationships will include all UML concepts such as associations, aggregation, composition, dependencies, inheritance, and realizations. In other words, if it's a line on a UML class diagram, we'll consider it a relationship.

### 112. Model Relationships Horizontally

With the exception of inheritance, the common convention is to depict relationships horizontally. The more consistent you are in the manner in which you render your diagrams, the easier it will be to read them. In Figure 22, you can see that the dependencies are modeled horizontally, although the fulfilled via association is not. This sometimes happens.

### 113. Draw Qualifier Rectangles Smaller than Classes

Qualifiers, in this case *itemNumber* in Figure 22, are considered part of the association and not the classifier itself in the UML (even though *itemNumber* would likely be an attribute of *Item*). If possible the qualifier rectangle should be smaller than the class it is attached to (Object Management Group 2004).

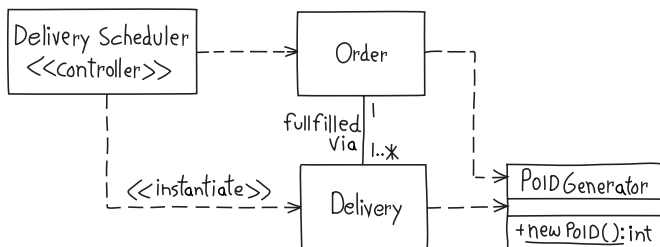


Figure 22. Shipping an order.



### *114. Model Collaboration Between Two Elements Only When They Have a Relationship*

You need to have some sort of relationship between two model elements to enable them to collaborate. Furthermore, if two model elements do not collaborate with one another, then there is no need for a relationship between them.

### *115. Model a Dependency When the Relationship Is Transitory*

Transitory relationships—relationships that are not persistent—occur when one or more of the items involved in a relationship is either itself transitory or a class. In Figure 22, you can see that there is a dependency between *DeliveryScheduler* and *Order*. *DeliveryScheduler* is a transitory class, one that does not need to persist in your database, and therefore, there is no need for any relationship between the scheduler and the order objects with which it interacts to persist. For the same reason, the relationship between *DeliveryScheduler* and *Delivery* is also a dependency, even though *DeliveryScheduler* creates *Delivery* objects.

In Figure 22, instances of *Delivery* interact with *OIDGenerator* to obtain a new integer value that acts as an object identifier (OID) to be used as a primary key value in a relational database. You know that *Delivery* objects are interacting with *OIDGenerator* and are not an instance of it because the operation is static. Therefore, there is no permanent relationship to be recorded, and so, a dependency is sufficient.

### *116. Tree-Route Similar Relationships to a Common Class*

In Figure 22, you can see that both *Delivery* and *Order* have a dependency on *OIDGenerator*. Note how the two dependencies are drawn in combination in “tree configuration,” instead of as two separate lines, to reduce clutter in the diagram

(Evitts 2000). You can take this approach with any type of relationship. It is quite common with inheritance hierarchies (as you can see in Figure 25), as long as the relationship ends that you are combining are identical. For example, in Figure 23, you can see that *OrderItem* is involved in two separate relationships. Unfortunately, the *multiplicities* are different for each: one is 1..\* and the other 0..\*, so you can't combine the two into a tree structure. Had they been the same, you could have combined them, even though one relationship is aggregation and the other is association.

Note that there is a danger that you may be motivated to retain a relationship in order to preserve the tree arrangement, when you really should change it.

### *117. Always Indicate the Multiplicity*

For each class involved in a relationship, there will always be a multiplicity. When the multiplicity is one and one only—for example, with aggregation and composition, it is often common for the part to be involved only with one whole—many modelers will not model the “1” beside the diamond. I believe that this is a mistake, and as you can see in Figure 23, I indicate the multiplicity in this case. If the multiplicity is “1,” then indicate it as such so that your readers know that you've considered the multiplicity. Table 6 summarizes the multiplicity indicators that you will see on UML class diagrams.

### *118. Avoid a Multiplicity of “\*”*

You should avoid the use of “\*” to indicate multiplicity on a UML class diagram because your reader can never be sure if you really mean “0..\*” or “1..\*.” Although the UML specification (Object Management Group 2004) clearly states that “\*” implies “0..\*,” the reality is that you simply can't trust that everyone has read and memorized the several-hundred-page specification.

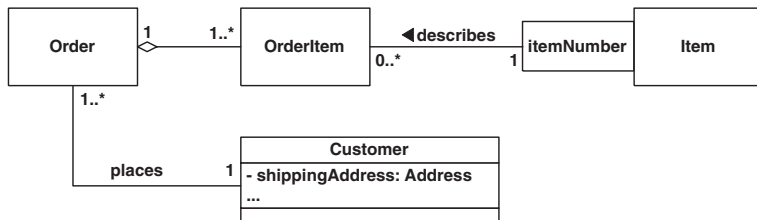


Figure 23. Modeling an order.

**Table 6.** UML Multiplicity Indicators

Indicator	Meaning
0..1	Zero or one
1	One only
0..*	Zero or more
1..*	One or more
<i>n</i>	Only <i>n</i> (where <i>n</i> > 1)
*	Many
0.. <i>n</i>	Zero to <i>n</i> (where <i>n</i> > 1)
1.. <i>n</i>	One to <i>n</i> (where <i>n</i> > 1)
<i>n</i> .. <i>m</i>	Where <i>n</i> and <i>m</i> both > 1
<i>n</i> ..*	<i>n</i> or more, where <i>n</i> > 1

### 119. Replace Relationship Lines with Attribute Types

In Figure 23, you can see that *Customer* has a *shippingAddress* attribute of type *Address*—part of the scaffolding code to maintain the association between customer objects and address objects. This simplifies the diagram because it visually replaces a class box and association, although it contradicts the *Do Not Model Scaffolding Code* guideline. You will need to judge which guideline to follow, the critical issue being which one will best improve your diagram given your situation.

A good rule of thumb is that if your audience is familiar with the class, then show it as a type. For example, if *Address* is a new concept within your domain then show it as a class; if it's been around for a while then showing it as a type should work well.

### 120. Do Not Model Implied Relationships

In Figure 23 there is an implied association between *Item* and *Order*—items appear on orders—but it was not modeled. A mistake? No; the association is implied through *OrderItem*. Orders are made up of order items, which in turn are described by items. If you model this implied association, not only do you clutter your diagram, but also you run the risk that somebody will develop the additional code to maintain

it. If you don't intend to maintain the actual relationship—for example, you aren't going to write the scaffolding code—then don't model it.

### *121. Do Not Model Every Dependency*

Model a dependency between classes only if doing so adds to the communication value of your diagram. As always, you should strive to follow AM's (Chapter 17) practice, *Depict Models Simply*.

## **5.4 Association Guidelines**

### *122. Center Names on Associations*

It is common convention to center the name of an association above an association path, as you can see in Figure 23 with the *describes* association between *Order* and *Item*, or beside the path, as with the *fulfilled via* association between *Order* and *Delivery* in Figure 22.

### *123. Write Concise Association Names in Active Voice*

The name of an association, which is optional although highly recommended, is typically one or two descriptive words. If you find that an association name is wordy, think about it from the other direction; for example, the *places* name of Figure 23 is concise when read from right to left but would be wordy if written from the left-to-right perspective (e.g., “is placed by”). Furthermore, *places* is written in active voice instead of passive voice, making it clearer to the reader

### *124. Indicate Directionality to Clarify an Association Name*

When it isn't clear in which direction the name of an association should be read, you can indicate the direction with a filled triangle, as you can see in Figure 23 between *OrderItem* and

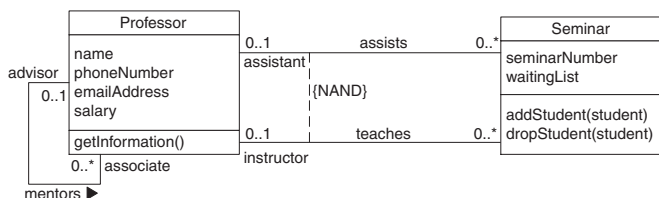


Figure 24. Professors and seminars.

*Item.* This marker indicates that the association should be read as “an item describes an order item” instead of “an order item describes an item.” It is also quite common to indicate the directionality on recursive associations, where the association starts and ends on the same class, such as *mentors* in Figure 24.

Better yet, when an association name isn’t clear, you should consider rewording it or maybe even renaming the classes.

### 125. Name Unidirectional Associations in the Same Direction

The reading direction of an association name should be the same as that of the unidirectional association. This is basically a consistency issue.

### 126. Word Association Names Left to Right

Because people in Western societies read from left to right, it is common practice to word association names so that they make sense when read from left to right. Had I followed this guideline with the *describes* association of Figure 23, I likely would not have needed to include the direction marker.

### 127. Indicate Role Names When Multiple Associations Between Two Classes Exist

Role names are optionally indicated on association ends to indicate how a class is involved in the association. Although the name of an association should make the roles of the two classes

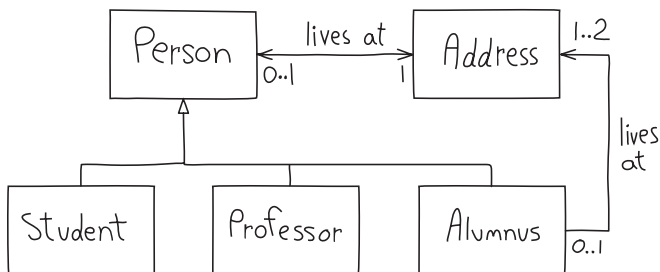


Figure 25. Modeling people in a university.

clear, it isn't always obvious when several associations exist between two classes. For example, in Figure 24, there are two associations between *Professor* and *Seminar*: *assists* and *teaches*. These two association names reflect common terminology at the university and cannot be changed. Therefore we opt to indicate the roles that professors play in each association to clarify them.

### 128. Indicate Role Names on Recursive Associations

Role names can be used to clarify recursive associations, ones that involve the same class on both ends, as you can see with the *mentors* association in Figure 24. The diagram clearly depicts the concept that an advisor mentors zero or more associate professors.

### 129. Make Associations Bidirectional Only When Collaboration Occurs in Both Directions

The *lives at* association between *Person* and *Address* in Figure 25 is unidirectional. A person object knows its address, but an address object does not know who lives at it. Within this domain, there is no requirement to traverse the association from *Address* to *Person*; therefore, the association does not need to be bidirectional (two-way). This reduces the code that

needs to be written and tested within the address class because the scaffolding to maintain the association to *Person* isn't required.

### 130. *Indicate Direction Only on Unidirectional Associations*

In Figure 25 the *lives at* association between *Person* and *Address* is unidirectional; it can be traversed from *Person* to *Address* but not in the other direction. The arrowhead on the line indicates the direction in which the association can be traversed. In Figure 24 all of the associations are bidirectional, yet the associations do not include direction indicators—when an association does not indicate direction it is assumed that it is bidirectional. I could have indicated an arrow on each end but didn't because this information would have been superfluous.

### 131. *Avoid Indicating Non-Navigability*

The X on the *lives at* association in Figure 25 indicates that you cannot navigate the association from *Address* to *Person*. However, because the association indicates that you can navigate from *Person* to *Address* (that's what the arrowhead means) the assumption would have been that you cannot navigate in the other direction. Therefore the X is superfluous.

### 132. *Redraw Inherited Associations Only When Something Changes*

An interesting aspect of Figure 25 is the association between *Person* and *Address*. First, this association was pushed up to *Person* because *Professor*, *Student*, and *Alumnus* all had a *lives at* association with *Address*. Because associations are implemented by the combination of attributes and operations, both of which are inherited, the implication is that associations are inherited. If the nature of the association doesn't change—for example, both students and professors live at only one address—then



we don't have any reason to redraw the association. However, because the association between *Alumnus* and *Address* is different, we have a requirement to track one or two addresses, and so we needed to redraw the association to reflect this.

### ***133. Question Multiplicities Involving Minimums and Maximums***

The problem with minimums and maximums is that they change over time. For example, today you may have a business rule that states that an alumnus has either one or two addresses that the university tracks, motivating you to model the multiplicity as 1..2, as depicted in Figure 25. However, if you build your system to reflect this rule, then when the rule changes you may find that you have significant rework to perform. In most object languages, it is easier to implement a 1..\* multiplicity or, better yet, a 0..\* multiplicity, because you don't have to check the size of the collection maintaining the association. Providing greater flexibility with less code seems good to me.

## **5.5 Inheritance Guidelines**

Inheritance, also called generalization, models “is a” and “is like” relationships, enabling you to easily reuse existing data and code. When *A* inherits from *B*, we say that *A* is the subclass of *B* and that *B* is the superclass of *A*. Furthermore, we say that we have “pure inheritance” when *A* inherits all of the attributes and methods of *B*. The UML modeling notation for inheritance is a line with a closed arrowhead pointing from the subclass to the superclass.

### ***134. Apply the Sentence Rule for Inheritance***

One of the following sentences should make sense: “A subclass IS A superclass” or “A subclass IS KIND OF A superclass.” For example, it makes sense to say that a student is a person,

but it does not make sense to say that a student is an address or is like an address, and so, the class *Student* likely should not inherit from *Address*—association is likely a better option, as you can see in Figure 25. If it does not make sense to say that “the subclass is a superclass” or at least “the subclass is kind of a superclass,” then you are likely misapplying inheritance.

### *135. Place Subclasses Below Superclasses*

It is common convention to place a subclass, such as *Student* in Figure 25, below its superclass—*Person* in this case. Evitts (2000) says it well: Inheritance goes up.

### *136. Beware of Data-Based Inheritance*

If the only reason two classes inherit from each other is that they share common data attributes, then this indicates one of two things: either you have missed some common behavior (this is likely if the sentence rule applies) or you should have applied association instead.

### *137. A Subclass Should Inherit Everything*

A subclass should inherit all of the attributes and operations of its superclass, and therefore all of its relationships as well—a concept called pure inheritance. The advantage of pure inheritance is that you only have to understand what a subclass inherits, and not what it does not inherit. Although this sounds trivial, in a deep class hierarchy it makes it a lot easier if you only need to understand what each class adds, and not what it takes away. Larman (2002) calls this the “100% rule.” Note that this contradicts the *Redraw Inherited Associations Only When Something Changes* guideline, and you’ll need to decide accordingly.

### *138. Differentiate Generalizations Between Associations*

It is possible, albeit uncommon, for an association to inherit from another association. In the case you should use a different

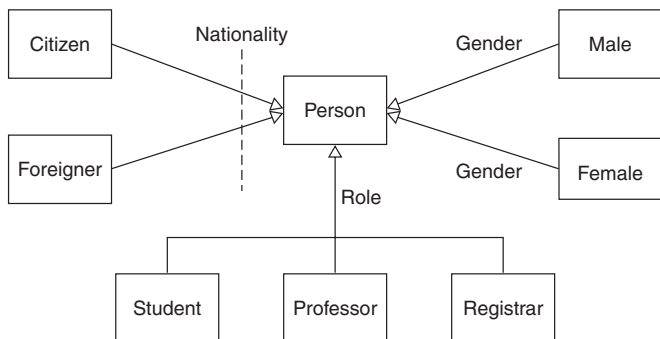


Figure 26. Indicating power types.

color or line weight for the generalization relationship to distinguish it (Object Management Group 2004).

### 139. Indicate Power Types on Shared Generalization

Power types, a meta modeling concept, can be indicated using a role name associated with a generalization relationship. Figure 26 shows three different ways to model power types. The preferred way was used to indicate that the *Student*, *Professor*, and *Registrar* classes are distinguished by the role that the person plays at the university, because it is concise. The same person may also be either a *Citizen* or a *Foreigner*, but not both. We know this because of the dashed line. The way that the *Gender* power type is indicated, on each of the generalization relationships, clutters the diagram.

## 5.6 Aggregation and Composition Guidelines

Sometimes an object is made up of other objects. For example, an airplane is made up of a fuselage, wings, engines, landing gear, flaps, and so on. A delivery shipment contains one or more packages. A team consists of two or more employees. These are all examples of the concept of aggregation, which

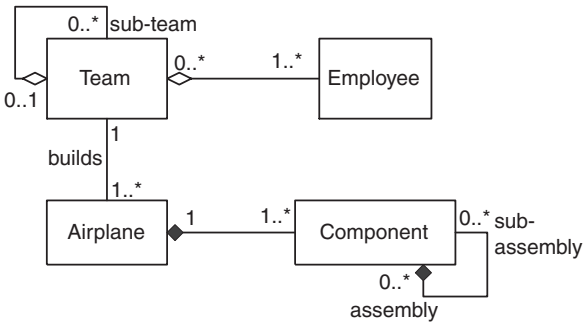


Figure 27. Examples of aggregation and composition.

represents “is part of” relationships. An engine is part of a plane, a package is part of a shipment, and an employee is part of a team. Aggregation is a specialization of association, specifying a whole–part relationship between two objects. Composition is a stronger form of aggregation, where the whole and the parts have coincident lifetimes, and it is very common for the whole to manage the life cycle of its parts. From a stylistic point of view, because aggregation and composition are both specializations of association, the guidelines for associations apply.

#### 140. Apply the Sentence Rule for Aggregation

It should make sense to say “the part IS PART OF the whole.” For example, in Figure 27, it makes sense to say that a course is part of a program or that a component is part of an airplane. However, it does not make sense to say that a team is part of an airplane or an airplane is part of a team—but it does make sense to say that a team builds airplanes, an indication that association is applicable.

#### 141. Be Interested in Both the Whole and the Part

For aggregation and composition, you should be interested in both the whole and the part separately—both the whole

and the part should exhibit behavior that is of value to your system. For example, you could model the fact that my watch has hands on it, but if this fact isn't pertinent to your system (perhaps you sell watches but not watch parts), then there is no value in modeling watch hands.

#### *142. Place the Whole to the Left of the Part*

It is a common convention to draw the whole, such as *Team* and *Airplane*, to the left of the part, such as *Employee* and *Component*, respectively.

#### *143. Apply Composition to Aggregates of Physical Items*

Composition is usually applicable whenever aggregation is *and* when both classes represent physical items. For example, in Figure 27 you can see that composition is used between *Airplane* and *Component*, whereas aggregation is used between *Team* and *Employee*—airplanes and components are both physical items, whereas teams are not.

#### *144. Apply Composition When the Parts Share Their Persistence Life Cycle with the Whole*

If the persistence life cycle of the parts is the same as that of the whole, if they're read in at the same time, if they're saved at the same time, if they're deleted at the same time, then composition is likely applicable.

#### *145. Don't Worry About the Diamonds*

When you are deciding whether to use aggregation or composition over association, Craig Larman (2002) says it best: "If in doubt, leave it out." The reality is that many modelers will agonize over when to use aggregation when the reality is that there is very little difference between association, aggregation, and composition at the coding level.

# 6.

## UML Package Diagrams

A UML package diagram depicts two or more packages and the dependencies between them. A package is a UML construct that enables you to organize model elements, such as use cases or classes, into groups. Packages are depicted as file folders and can be applied on any UML diagram, although any diagram that depicts only packages (and their interdependencies) is considered a package diagram. UML package diagrams are in fact new to UML 2, although they were informally part of UML 1—what we called package diagrams in the past were in fact UML class diagrams or UML use-case diagrams consisting only of packages. Create a package diagram to

- depict a high-level overview of your requirements,
- depict a high-level overview of your design,
- logically modularize a complex diagram,
- organize source code,
- model a framework (Evitts 2000).

### 6.1 Class Package Diagram Guidelines

#### *146. Create Class Package Diagrams to Logically Organize Your Design*

Figure 28 depicts a UML package diagram that organizes a collection of related classes. In addition to the package guidelines

presented later in this chapter, apply the following heuristics to organize classes into packages:

- Classes of a framework belong in the same package.
- Classes in the same inheritance hierarchy typically belong in the same package.
- Classes related to one another via aggregation or composition often belong in the same package.
- Classes that collaborate with each other a lot often belong in the same package.

#### *147. Create UML Component Diagrams to Physically Organize Your Design*

If you have decided on a component-based approach to design, such as that promoted by Enterprise Java Beans (EJB) or Visual Basic, you should prefer a UML component diagram over a UML package diagram to depict your physical design. A version of Figure 28 as a UML component diagram is presented in Chapter 11 and, as you can see, that diagram is better suited to a physical design. Always remember to follow Agile Modeling's (Chapter 17) *Apply the Right Artifact(s)* practice.

#### *148. Place Inheriting Packages Below Base Packages*

Inheritance between packages is depicted in Figure 28 and, as you can see, the inheriting package is shown below the base package. This approach is consistent with other inheritance guidelines.

#### *149. Vertically Layer Class Package Diagrams*

Dependencies between packages indicate that the contents of the dependent package depend on, or have structural knowledge of, the contents of the other package. In Figure 28, the packages are placed on the diagram to reflect the logical layering of your architecture. The user interface interacts with

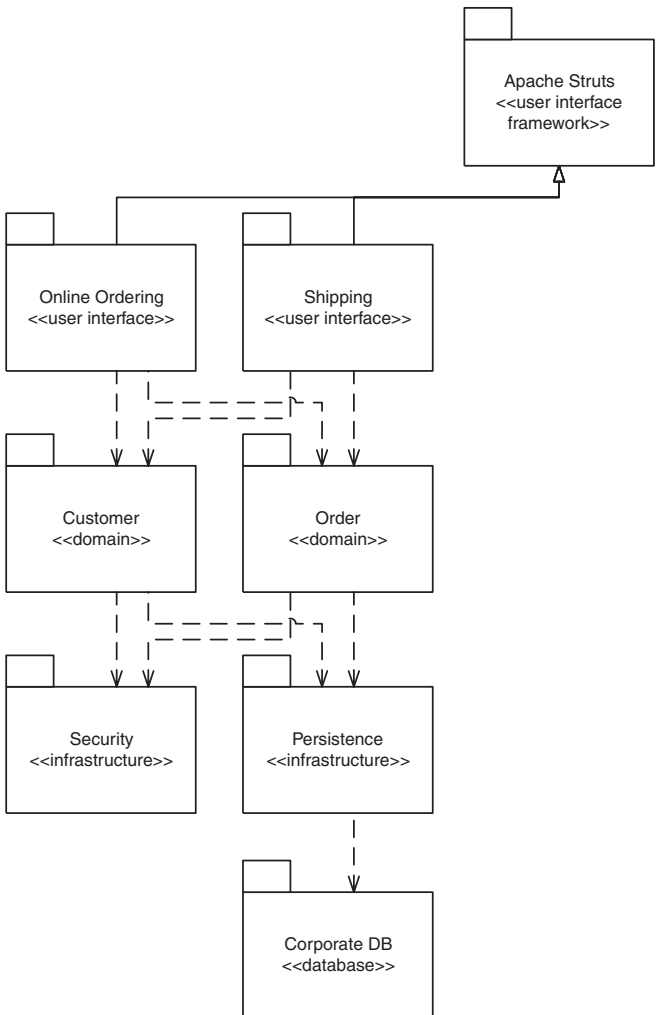


Figure 28. A package diagram organizing classes.



domain classes, which in turn use infrastructure classes, some of which access the database—which is traditionally depicted in a top-down manner.

## 6.2 Use-Case Package Diagram Guidelines

Use cases are a primary requirement artifact in many object-oriented development methodologies. This is particularly true of instantiations of the Unified Process (Rational Corporation 2002; Ambler, Nalbene, and Vizdos 2005). For larger projects, UML package diagrams are often created to organize these usage requirements.

### *150. Create Use-Case Package Diagrams to Organize Your Requirements*

In addition to the package guidelines presented below, apply the following heuristics to organize UML use-case diagrams into package diagrams:

- Keep associated use cases together: included, extending, and inheriting use cases belong in the same package as the base/parent use case.
- Group use cases on the basis of the needs of the main actors. For example, in Figure 29, the *Enrollment* package contains use cases pertinent to enrolling students in seminars, a vital collection of services provided by the university.

### *151. Include Actors on Use-Case Package Diagrams*

Including actors on UML package diagrams helps to put the packages in context, making diagrams easier to understand.

### *152. Arrange Use-Case Package Diagrams Horizontally*

The primary audience of use-case package diagrams is project stakeholders; therefore, the organization of these diagrams

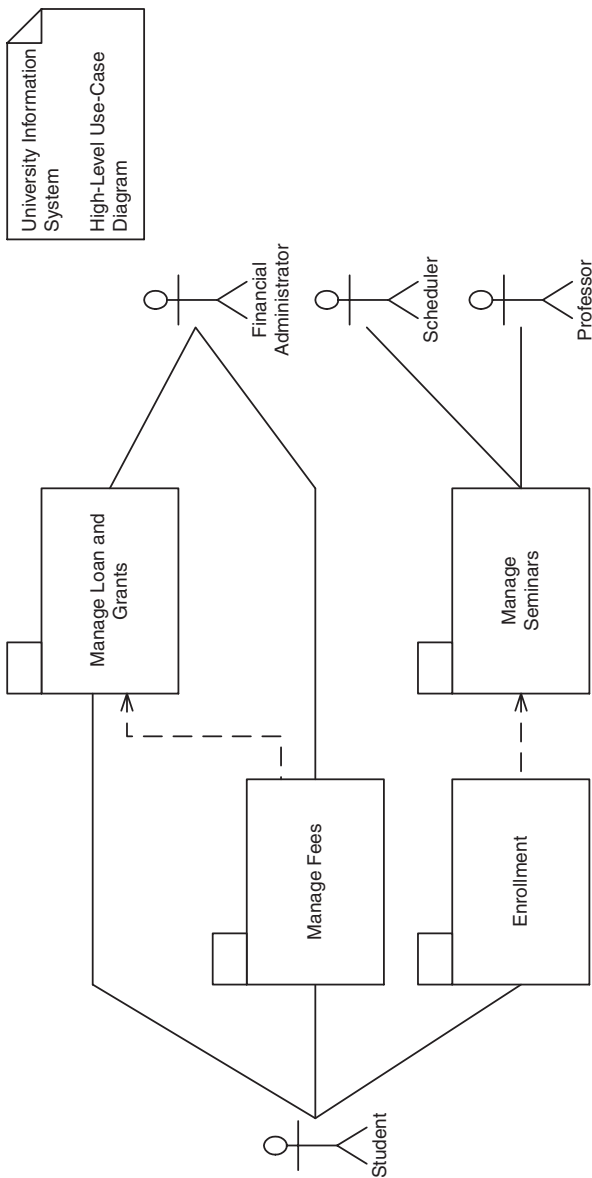


Figure 29. A UML package diagram that organizes use cases.

should reflect their needs. The packages in Figure 29 are arranged horizontally, with dependencies drawn from left to right to reflect the direction that people in Western cultures read.

## 6.3 Packages

The advice presented in this section is applicable to packages in any UML diagram, not just UML package diagrams.

### *153. Give Packages Simple, Descriptive Names*

In both Figure 28 and Figure 29, the packages have simple, descriptive names, such as *Shipping*, *Customer*, *Enrollment*, and *Manage Student Loans and Grants*, which make it very clear what the package encapsulates.

### *154. Make Packages Cohesive*

Anything that you put into a package should make sense when considered with the rest of the package contents. A good test to determine whether a package is cohesive is whether you can give your package a short, descriptive name. If you can't, then you likely have put several unrelated things into the package.

### *155. Indicate Architectural Layers with Stereotypes on Packages*

It is very common to organize your design into architectural layers such as user interface, business/domain, persistence/data, and infrastructure/system. In Figure 28 you see that stereotypes such as `<<user interface>>`, `<<domain>>`, `<<infrastructure>>`, and `<<database>>` have been applied to packages.

### *156. Avoid Cyclic Dependencies Between Packages*

Knoernschild (2002) advises that you avoid the situation in which package *A* is dependent on package *B* which is

dependent on package *C* which in turn is dependent on package *A*—in this case,  $A \rightarrow B \rightarrow C \rightarrow A$  forms a cycle. Because these packages are coupled to one another, they will be harder to test, maintain, and enhance over time. Cyclic dependencies are a good indicator that you need to refactor one or more packages, removing the elements from them that are causing the cyclic dependency.

### *157. Reflect Internal Relationships in Package Dependencies*

When one package depends on another, it implies that there are one or more relationships between the contents of the two packages. For example, if it's a use-case package diagram, then there is likely an include, extend, or inheritance relationship between a use case in one package and one in the other package.

# 7.

## UML Sequence Diagrams

UML sequence diagrams are a dynamic modeling technique, as are UML communication diagrams. UML sequence diagrams are typically used to

- Validate and flesh out the logic and completeness of a usage scenario. A usage scenario is exactly what its name indicates—the description of a way that your system could be used. The logic of a usage scenario may be part of a use case, perhaps an alternate course; one entire pass through a use case, such as the logic described by the basic course of action or a portion of the basic course of action plus one or more alternate scenarios; or a pass through the logic contained in several use cases, such as when a student enrolls in the university and then immediately enrolls in three seminars.
- Explore your design because they provide a way for you to visually step through invocation of the operations defined by your classes.
- Give you a feel for which classes in your application are going to be complex, which in turn is an indication that you may need to draw state machine diagrams for those classes.
- Detect bottlenecks within an object-oriented design. By looking at what messages are being sent to an object, and

by looking at roughly how long it takes to run the invoked method, you quickly get an understanding of where you need to change your design to distribute the load within your system. Naturally, you will still want to gather telemetry data from a profiling tool to detect the exact locations of your bottlenecks.

## 7.1 General Guidelines

### *158. Strive for Left-to-Right Ordering of Messages*

You start the message flow of a sequence diagram in the top left corner; a message that appears lower in the diagram is sent after one that appears above it. Because people in Western cultures read from left to right, you should strive to arrange the classifiers (actors, classes, objects, and use cases) across the top of your diagram in such a way as to depict message flow from left to right. In Figure 30, you can see that the classifiers have been arranged in exactly this way; had the *Seminar* object been to the left of the controller, this would not have been the case. Sometimes it isn't possible for all messages to flow from left to right; for example, it is common for pairs of objects to invoke operations on each other.

### *159. Layer Object Lifelines*

Layering is a common approach to object-oriented design. It is quite common for systems to be organized into user interface, process/controller, business, persistence, and system layers (Ambler 2004). When systems are designed in this fashion, the lifelines (either classifiers or instances of classifiers) within each layer usually collaborate closely with one another and are relatively decoupled from the other layers. It makes sense to layer your sequence diagrams in a similar manner. One such layering approach is to start with the upper layers, such as your user interface, on the left-hand side and work through to the

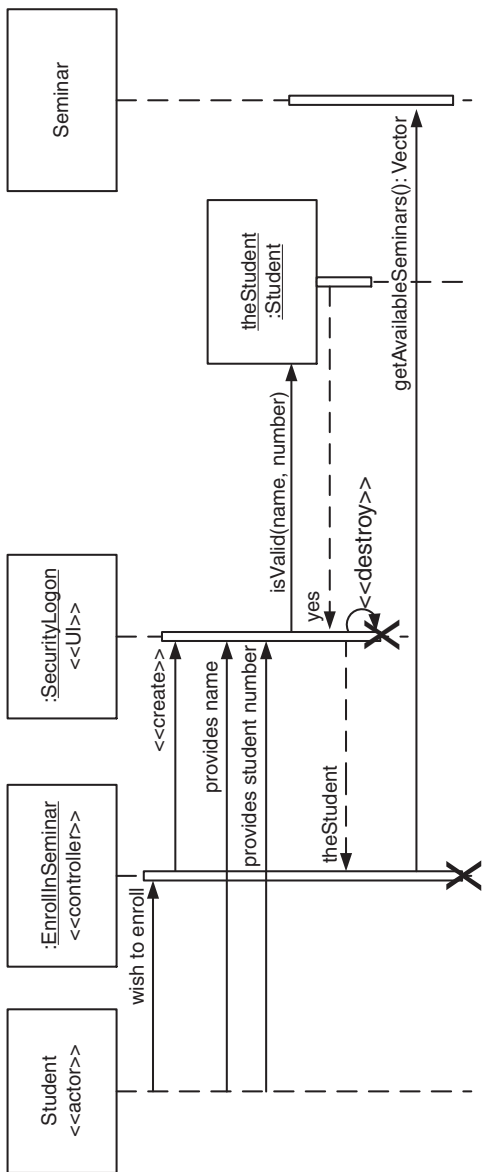


Figure 30. Enrolling a student in a seminar.

lower layers as you move to the right. Layering your sequence diagrams in this manner will often make them easier to read and will also make it easier to find layering logic problems. Figure 30 takes such an approach.

### *160. Give an Actor the Same Name as a Class, If Necessary*

In Figure 30, you can see that there are an actor named *Student* and a class named *Student*. This is perfectly fine because the two classifiers represent two different concepts: the actor represents the student in the real world, whereas the class represents the student within the business application that you are building.

### *161. Include a Prose Description of the Logic*

Figure 30 can be hard to follow, particularly for people not familiar with reading sequence diagrams, because it is very close to actual source code. It is quite common to include a business description of the logic you are modeling, particularly when the sequence diagram depicts a usage scenario, in the left-hand margin, as you can see in Figure 31. This increases the understandability of your diagram, and as Rosenberg and Scott (1999) point out, it also provides valuable traceability information between your use cases and sequence diagrams.

### *162. Place Proactive System Actors on the Leftmost Side of Your Diagram*

Proactive system actors—actors that initiate interaction with yours—are often the focus of what you are modeling. For business applications the primary actor for most usage scenarios is a person or organization that initiates the scenario being modeled.



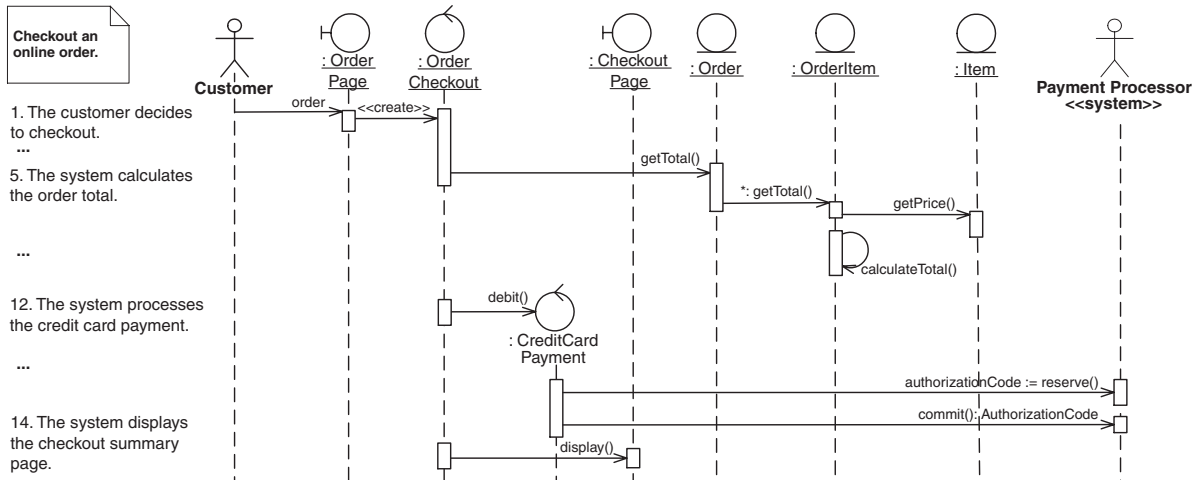


Figure 31. Checking out an online order.

### *163. Place Reactive System Actors on the Rightmost Side of Your Diagram*

Reactive system actors—systems that initiates interaction with yours—should be placed on the rightmost side of your diagram because, for many business applications, these actors are treated as “back-end entities,” that is, things that your system interacts with through access techniques such as C APIs, CORBA IDL, message queues, or Web services. In other words, put back-end systems at the back ends of your diagrams.

### *164. Avoid Modeling Object Destruction*

Although memory management issues are important, in particular the removal of an object from memory at the right time, many modelers choose not to bother modeling object destruction on sequence diagrams (via an *X* at the bottom of an activation box or via a message with the `<<destroy>>` stereotype). Compare Figure 30 with Figure 31. Notice how object destruction introduces clutter into Figure 30 without any apparent benefit, yet Figure 31 gets along without indicating object destruction. Remember to follow Agile Modeling’s (AM) (Chapter 17) practice *Depict Models Simply*.

Note that, in real-time systems, memory management is often such a critical issue that you may in fact decide to model object destruction.

### *165. Avoid Activation Boxes*

Activation boxes are the little rectangles on the dashed lines hanging down from classifiers on UML sequence diagrams. Activation boxes are optional and are used to indicate focus of control, implying where and how much processing occurs. However, activation boxes are little better than visual noise because memory management issues are better left in the hands of programmers. Some modelers prefer the “continuous style” used in Figure 30, where the activation boxes remain until

processing ends. Others prefer the “broken style” used in Figure 31. Both styles are fine. Choose one and move forward.

## 7.2 Guidelines for Lifelines

Lifelines are the classifiers or instances of classifiers that are depicted across the top of a sequence diagram. Actors, classes, components, objects, use cases, and so on are all considered lifelines. Note that naming conventions for classifiers are described elsewhere: in Chapter 4 for use cases, in Chapter 5 for classes and interfaces, and in Chapter 11 for components.

### *166. Name Objects Only When You Reference Them in Messages*

Objects on sequence diagrams have labels in the standard UML format “name: ClassName,” where “name” is optional (objects that have names are called named objects, whereas those without names are called anonymous objects). In Figure 30, the instance of *Student* was given the name *theStudent* because it is referred to as a return value to a message, whereas the instance of the *SecurityLogon* class did not need to be referenced anywhere else in the diagram and thus could be anonymous.

One tradeoff with this approach is that you will have some named objects on your diagrams and some anonymous ones, which some people will find confusing.

### *167. Name Objects When Several of the Same Type Exist*

Whenever a sequence diagram includes several objects of the same type—for example, in Figure 32, you can see that there are two instances of the class *Account*—you should give all objects of that type a name to make your diagram unambiguous.

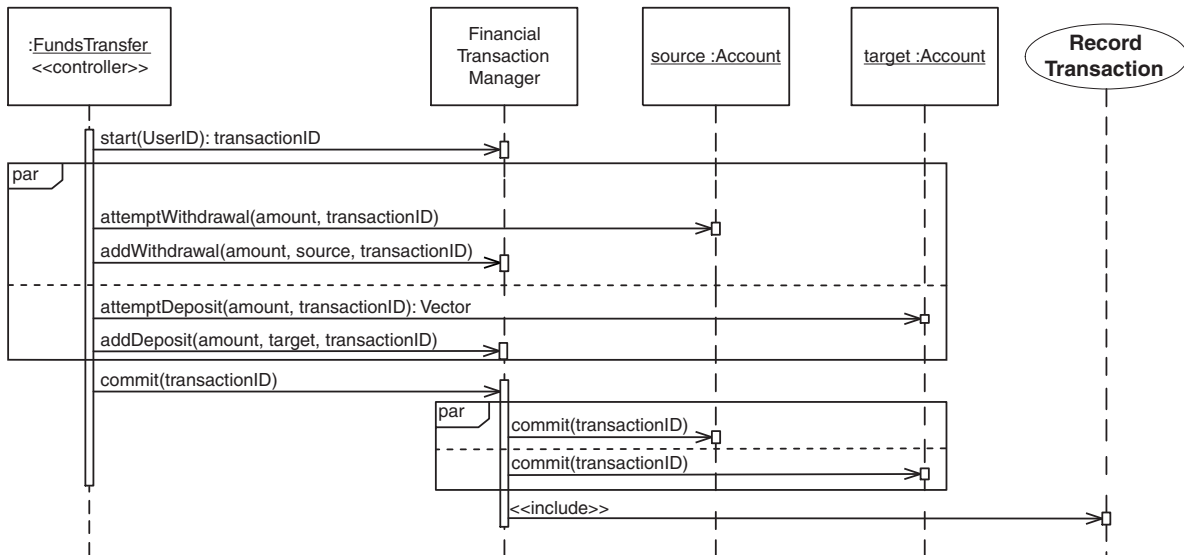


Figure 32. Transferring funds between accounts.

**Table 7.** Common Stereotypes

Stereotype	Usage
ASP	During design to represent a Microsoft Active Server Page.
component	During design to indicate a component.
controller	To indicate a controller class that implements business logic pertaining to a usage scenario and/or logic that involves several business classes.
datastore	Persistent storage location for data, such as a relational database or a file system.
GUI	During design to represent a graphical user interface screen.
HTML	During design to represent an HTML page.
interface	During design to represent a Java interface.
JSP	During design to represent a Java Server Page.
report	During design to represent a printed or electronic report.
system	To indicate system actors.
user interface	For a generic user interface class, typically used on an analysis-level diagram where you haven't yet decided on an implementation platform.

### *168. Apply Textual Stereotypes to Lifelines Consistently*

Table 7 summarizes common stereotypes that you may want to consider applying to lifelines. Don't invest a lot of time agonizing over which stereotypes you should use—for example `<<JSP>>` and `<<java server page>>` are both fine—just choose one and apply it consistently.

### 169. *Focus on Critical Interactions*

The AM practice *Create Simple Content* advises you to focus on the critical aspects of your system when you are creating a model and not to include extraneous details. Therefore, if your sequence diagram is exploring business logic, then you don't need to include the detailed interactions that your objects have with your database. Messages such as *save()* and *delete()* may be sufficient or, better yet, you could simply assume that persistence will happen appropriately and not even go to that level of detail. In Figure 31, there isn't any logic for reading orders and order items from the database or object cache. Nor do you see logic for the *CreditCardPayment* class to connect to the payment processor, but that surely must be happening in the background. By focusing only on the critical interactions—those that are pertinent to what you are modeling—you keep your diagrams as simple as possible but still get the job done, thus increasing your productivity as a modeler and very likely increasing the readability of your diagrams.

## 7.3 Message Guidelines

Note that naming conventions for operation signatures—guidelines that are pertinent to naming messages, parameters, and return values—are described in detail in Chapter 5.

### 170. *Justify Message Names Beside the Arrowhead*

Most modelers will justify message names, such as *calculate Total()* in Figure 31, so that they are aligned with the arrowheads. The general idea is that the receiver of the message will implement the corresponding operation, and so it makes sense that the message name is close to that classifier.

Notice that in Figure 32 this guideline was not followed. All of the message names are aligned so that they are beside the ends of the arrows, putting them close to the senders. The advantage

of this approach is that it is very easy to see the logic of the scenario being modeled. The disadvantage is that it can be difficult to determine which operation is being invoked on the classifiers on the right-hand side of the diagram because you need to follow the lines across to the invocation boxes. As usual, pick one approach and apply it consistently.

### *171. Create Objects Directly*

There are two common ways to indicate object creation on a sequence diagram: send a message with the `<<create>>` stereotype, as shown in Figure 31 with *OrderCheckout*, or directly show creation by dropping the classifier down in your diagram and invoking a message into its side, as you can see with *theStudent* in Figure 30 and *CreditCardPayment* in Figure 31. The primary advantage of the direct approach is that it visually communicates that the object doesn't exist until part way through the logic being modeled.

### *172. Apply Operation Signatures for Software Messages*

Whenever a message is sent to a software-based classifier—such as a class, an interface, or a component—it is common convention to depict the message name using the syntax of your implementation language. For example, in Figure 32 the message *commit(transactionID)* is sent to the source account object.

### *173. Apply Prose to Messages Involving Human and Organization Actors*

Whenever the source or target of a message is an actor representing a person or organization, the message is labeled with brief prose describing the information being communicated. For example, in Figure 30 the “messages” sent by the student actor are *provides name* and *provides student number*, descriptions of what the actual person is doing.

### 174. *Prefer Names over Types for Parameters*

Notice that, in Figure 32, for most message parameters the names of parameters and not their types<sup>3</sup> are shown, the only exception being the *UserID* parameter being passed in the *start()* message. The enables you to identify exactly what value is being passed in the message, sometimes type information is not enough. For example, the message *addDeposit(amount, target, transactionID)* conveys more information than *addDeposit(Currency, Account, int)*. Type information for operations is better captured in UML class diagrams.

### 175. *Indicate Types as Parameter Placeholders*

Sometimes the exact information that is being passed as a parameter isn't pertinent to what you are modeling, although the fact that something is being passed is pertinent. In this case, indicate the type of the parameter, as you can see in *start(UserID)* in Figure 32.

### 176. *Apply the <<include>> Stereotype for Use Case Invocations*

Figure 32 shows how a use case may be invoked in a sequence diagram, via a message with the <<include>> stereotype, a handy trick when you're modeling a usage scenario that includes a step in which a use case is directly invoked.

## 7.4 Guidelines for Return Values

### 177. *Do Not Model Obvious Return Values*

Return values are optionally indicated using dashed arrows with labels indicating the return values. For example, in

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<sup>3</sup> This diagram follows Java naming conventions, where the names of types (classes and interfaces) start with uppercase letters, whereas the names of parameters start with lowercase letters.



Figure 30 the return value *theStudent* is indicated coming back from the *SecurityLogon* class as the result of invoking a message, whereas in Figure 31 no return value is indicated as the result of sending the message *getTotal()* to the order. In the first case, it isn't obvious that the act of creating a security logon object will result in the generation of a student object, whereas the return value of asking an order for its total is obvious.

### ***178. Model a Return Value Only When You Need to Refer to It Elsewhere in a Diagram***

If you need to refer to a return value elsewhere in your sequence diagram, often as a parameter passed in another message, indicate the return value in your diagram to explicitly show where it comes from.

### ***179. Justify Return Values Beside the Arrowheads***

Most modelers will justify return values, such as *yes* and *theStudent* in Figure 30, so that they are aligned with the arrowhead. The general idea is that the receiver of the return value will use it for something, and so it makes sense that the return value is close to the receiver.

### ***180. Model Return Values as Part of a Method Invocation***

Instead of cluttering your diagram with dashed lines, consider indicating the return value in the message name instead, using the notation *returnValue := message(parameters)* that you can see applied in Figure 31 with the *authorizationCode := reserve()* message. With this approach, you have only the single message line instead of a message line and a return-value line.

### ***181. Indicate Types as Return-Value Placeholders***

Sometimes the exact information that is being returned isn't pertinent to what you are modeling, although the fact that something is being returned is important. In this case, indicate

the type of the return value, as you can see in *commit(): AuthorizationCode* in Figure 31.

### ***182. Indicate the Actual Value for Simple Return Values***

In Figure 30 the value *yes* is returned in response to the *isValid()* message, making it very clear that the student name and number combination was valid. Had the return value been named *Boolean*, thus indicating the type of answer, or *eligibilityIndicator*, thus indicating the name of the return value, it would not have been as clear.

# 8.

## UML

# Communication

# Diagrams

UML communication diagrams, formerly known as collaboration diagrams, are used to explore the dynamic nature of your software. Communication diagrams show the message flow between objects in an object-oriented application, and also imply the basic associations (relationships) between classes. Communication diagrams are often used to

- provide a bird's-eye view of a collection of collaborating objects, particularly within a real-time environment;
- provide an alternate view to UML sequence diagrams;
- allocate functionality to classes by exploring the behavioral aspects of a system;
- model the logic of the implementation of a complex operation, particularly one that interacts with a large number of other objects;
- explore the roles that objects take within a system, as well as the different relationships in which they are involved when in those roles.

## 8.1 General Guidelines

### *183. Create Instance-Level Diagrams to Explore Object Design Issues*

Instance-level UML communication diagrams, such as the one shown in Figure 33, depict interactions between objects (instances). Instance-level diagrams are typically created to explore the internal design of object-oriented software. This by far is the most common style of UML communication diagram.

### *184. Create Specification-Level Diagrams to Explore Roles*

Specification-level UML communication diagrams, such as the one shown in Figure 37, are used to analyze and explore the roles taken by domain classes within a system. This style of UML communication diagram is not common because most modelers identify roles via UML class diagrams.

### *185. Apply Robustness Diagram Visual Stereotypes*

Figure 33 is effectively a detailed robustness diagram (Jacobson, Christerson, Jonsson, and Overgaard 1992; Rosenberg and Scott 1999). Use these symbols, summarized in Figure 34, to improve the readability of your diagrams.

### *186. Do Not Use Communication Diagrams to Model Process Flow*

UML communication diagrams model interactions between objects, and objects interact by invoking messages on each other. If you want to model process or data flow, then you should consider drawing a UML activity diagram. In other words, follow the Agile Modeling (AM) (Chapter 17) practice *Apply the Right Artifact(s)*.

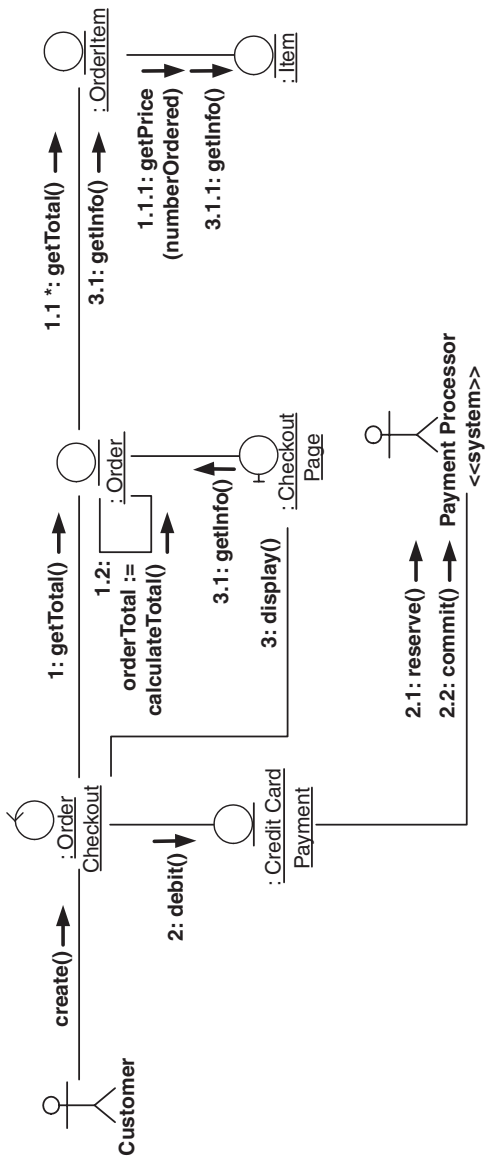







Figure 33. An instance-level UML communication diagram.

	Actor	Actors represent people, organizations, or other systems which interact with our system. Examples: Student, Financial Institution, and Payment Processor.
Actor Name		
	Process/ Controller Class	Process/controller classes implement logic which crosses several business entities. Examples: Print a student transcript and Drop student from a seminar.
Process Name		
	Domain Class	Domain classes implement fundamental business entities. Examples: Student, Seminar, Course.
Entity Name		
	Interface Class	Interface classes enable actors to interact with our system, other via a user interface or a system interface. Examples: Student registration screen and Payment Processing System Interface.
Interface Name		
	Association	Whenever an actor interacts with a class, or two classes interact, there is an association between them.

**Figure 34. Robustness diagram symbols.**

### ***187. Create a Sequence Diagram When Sequence Is Important***

Although it is possible to indicate the sequence of message sends on a communication diagram, as you can see in Figure 33, the need to do this is a good indication that you should consider creating a UML sequence diagram instead. Once again, follow the AM practice *Apply the Right Artifact(s)*.

### ***188. Apply Sequence Diagram Guidelines to Instance-Level Communication Diagrams***

Because UML communication diagrams depict an alternate view of the same information as UML sequence diagrams, much of the same style advice applies. The following list of guidelines, originally presented for UML sequence diagrams, are applicable to communication diagrams:

- Name Objects When You Reference Them in Messages.
- Name Objects When Several of the Same Type Exist.

```
sequenceNumber loopIndicator: returnValue :=
    methodName(parameters)
```

Figure 35. Basic notation for invoking a message on a communication diagram.

- Apply Textual Stereotypes to Classifiers Consistently.
- Apply Visual Stereotypes Sparingly.
- Focus on Critical Interactions.
- Prefer Names over Types for Parameters.
- Indicate Types as Parameter Placeholders.
- Do Not Model Obvious Return Values.
- Model a Return Value Only When You Need to Refer to It Elsewhere in a Diagram.
- Model Return Values as Part of a Method Invocation.
- Indicate Types as Return-Value Placeholders.

## 8.2 Message Guidelines

Figure 35 presents the notation for invoking messages in UML communication diagrams. For example, in Figure 33 the message *1.2: orderTotal := calculateTotal()* indicates a sequence number of 1.2, there is no loop occurring, and there is a return value of *orderTotal* and an invoked method named *calculateTotal()*.

### 189. Indicate Parameters Only When They Aren't Clear

In Figure 33, you can see that the *1.1.1: getPrice (number Ordered)* message includes a parameter, whereas the *2: debit()* message does not, even though a *CreditCard* object is likely being passed as a parameter. The first message would not have been clear without the parameter, presumably because the item price changes depending on the number ordered. The second message, however, did not need the additional information for you to understand what must be happening.

### 190. *Depict an Arrow for Each Message*

In Figure 33 two messages are sent to *OrderItem* objects—*getTotal()* and *getInfo()*—and as you can see, two arrows are modeled, one for each message. This makes it easy to visually determine the amount of message flow to a given object, and thus to judge the potential coupling with which it is involved, often an important consideration for refactoring (Fowler 1999) your design.

### 191. *Consolidate Getter Invocations*

It is good design practice to make your attributes private and require other objects to obtain and modify their values by invoking getter and setter operations, respectively—for example, *getFirstName()* and *setFirstName()* on a person object. Showing these sorts of interactions on a UML communication diagram can be tedious, and so you should do it only if it is absolutely necessary. When you have to invoke several getters in a row, a good shortcut is to model a single message, such as *getInfo()* in Figure 33, to act as a placeholder. Similarly, you should consider doing the same for setters with *setInfo()*. This guideline is appropriate when you are hand sketching on a whiteboard, although if you are using a CASE tool you are likely to model each interaction better but not show it.

If you discover that it is very common to get or set several attributes at once on an object, you may want to consider introducing a single operation to do so. These operations are called “bulk getters” and “bulk setters.”

### 192. *Indicate Concurrent Threads with Letters*

Indicate concurrent threads of execution in a UML communication diagram by having letters precede the sequence numbers on messages (Douglass 2004). For example, in Figure 36 you



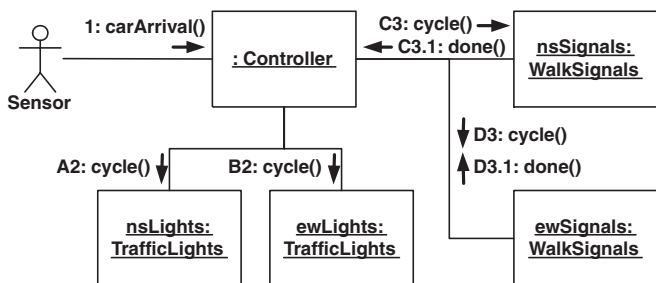


Figure 36. UML communication diagram depicting concurrent message invocations.

can see that some messages are preceded by the letters *A*, *B*, *C*, and *D*, indicating that those messages are being processed concurrently. Two concurrent threads are depicted, the *AB* thread and the *CD* thread. You know this because the *A* and *B* messages share the sequence number 2 and the *C* and *D* messages share the sequence number 3.

## 8.3 Link Guidelines

The lines between the classifiers depicted on a UML communication diagram represent instances of the relationships—including associations, aggregations, compositions, and dependencies—between classifiers.

### 193. Model “Bare” Links on Instance-Level Communication Diagrams

As you can see in Figure 33, relationship details—such as the multiplicities, the association roles, or the name of the relationship—typically are not modeled on links within instance-level UML communication diagrams. Instead, this information is depicted on UML class diagrams.

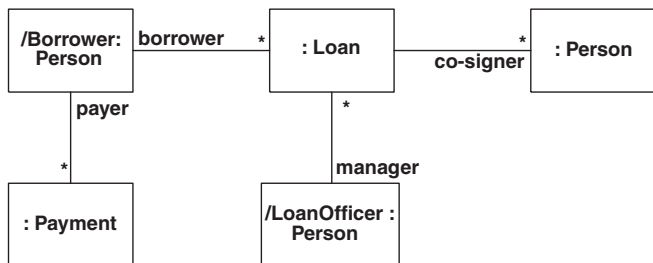


Figure 37. A specification-level UML communication diagram.

#### 194. *Show Role-Pertinent Information in Specification-Level Diagrams*

In Figure 37 you can see that the roles taken by classes as well as the high-level multiplicities (either a blank or an asterisk to represent many) are depicted. This is the minimal information required to explore the nature of the roles taken by the domain objects. Anything more, such as the exact details of the multiplicities, is better modeled on a UML class diagram. Follow the Agile Modeling practice *Depict Models Simply*.

#### 195. *Prefer Roles on Links Instead of Within Classes*

In Figure 37, you can see that roles are indicated using two styles, on links and within classes. The link-based approach (e.g., *payer* in the *Person* class) is more common than the class-based role notation (e.g., */Borrower* on *Person*). Although you will need to take both approaches—for example, the use of the */LoanOfficer* role on *Person* is a great way to provide traceability to a diagram containing an actor of the same name—your preference should be to model roles on links because that is consistent with how roles are modeled in UML class diagrams. There is little value in modeling them in both places, as you can see with *borrower* and */Borrower* and arguably with *manager* and */LoanOfficer*.

### ***196. Indicate Navigability Sparingly***

Although it is possible to model navigation, as you can see between *OrderItem* and *Item* in Figure 33, it isn't common because it is too easily confused with message flow and it is better depicted in UML class diagrams. Indicate navigability in UML communication diagrams to help clarify what you are modeling.

### ***197. Use Links to Reflect Consistent Static Relationships***

The links in a UML communication diagram must reflect the relationships between classes within your UML class diagrams. The only way for one object to collaborate with another is for it to know about that other object. This implies that there must be an association, aggregation, or composition relationship between the two classes—a dependency relationship or an implied relationship. Sometimes it is difficult to validate the consistency between your diagrams, particularly if your UML class diagrams do not model all of the dependencies or implied relationships. For example, if an *Item* object is passed as a parameter to a *TaxCalculator* object, then there is now a dependency between these two classes, even though it might not be explicitly modeled.

# 9.

## UML State Machine Diagrams

UML state machine diagrams depict the dynamic behavior of an entity based on its response to events, showing how the entity reacts to various events based on its current state. Create a UML state machine diagram to

- explore the complex behavior of a class, actor, subsystem, or component;
- model real-time systems.

### 9.1 General Guidelines

#### *198. Create a State Machine Diagram When Behavior Differs Based on State*

If an entity, such as a class or a component, exhibits the same sort of behavior regardless of its current state, then drawing a UML state machine diagram will be of little use. For example, a *SurfaceAddress* class is fairly simple, representing data that you will display and manipulate in your system. Therefore, a UML state machine diagram would not reveal anything of interest. On the other hand, a *Seminar* object is fairly complex, reacting to events such as enrolling a student differently depending on its current state, as you can see in Figure 38.

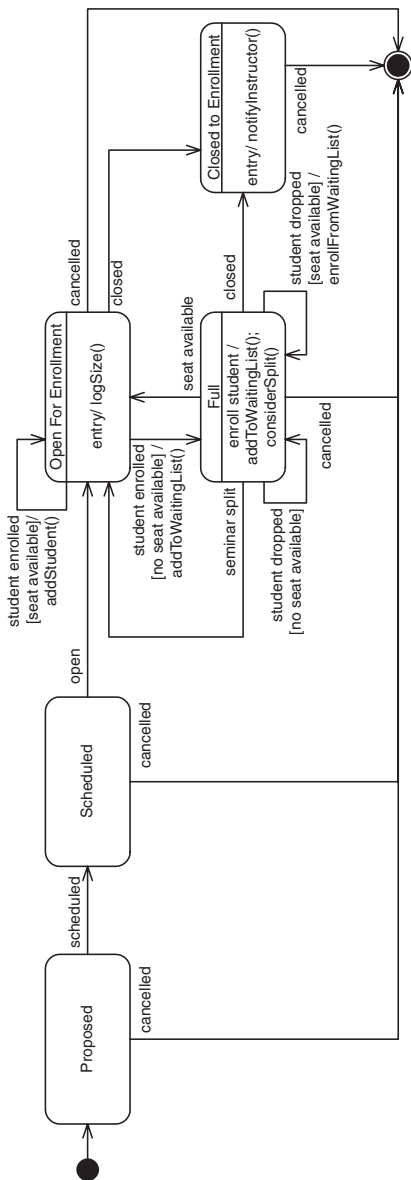


Figure 38. A UML state machine diagram for a seminar during enrollment.

**199. *Place the Initial State in the Top Left Corner***

An initial state is modeled with a filled in circle, as you can see in Figure 38. Placing an initial state in the top left corner reflects the way that people in Western cultures read. Another good option is to place the initial state at the top of your diagram in the center.

**200. *Place the Final State in the Bottom Right Corner***

A final state is modeled with a filled in circle with a border around it, as you can see in Figure 38. Placing the final state in the bottom right corner reflects the left-to-right, top-to-bottom approach to reading.

**9.2 State Guidelines**

A state is a stage in the behavior pattern of an entity. States are represented by the values of the attributes of an entity. For example, in Figure 38 a seminar is in the *Open For Enrollment* state when it has been flagged as open and there are seats available to be filled.

**201. *State Names Should Be Simple but Descriptive***

State names such as *Open For Enrollment* and *Proposed* are easy to understand, thus increasing the communication value of Figure 38. Ideally, state names should also be written in present tense, although names such as *Proposed* (past tense) are better than *Is Proposed* (present tense).

**202. *Question “Black-Hole” States***

A black-hole state is one that has transitions into it but none out of it, something that should be true only of final states. This is an indication that you have missed one or more transitions.

**203. *Question “Miracle” States***

A miracle state is one that has transitions out of it but none into it, something that should be true only of start points.

This is also an indication that you have missed one or more transitions.

## 9.3 Substate Modeling Guidelines

### 204. *Model Substates for Targeted Complexity*

The UML state machine diagram presented in Figure 38 is not complete because it does not model any postenrollment states of a *Seminar*. Figure 39 models the entire life cycle of a *Seminar*, depicting Figure 38 as a collection of substates of a new *Enrollment* composite state, also called a superstate. Normally, you would include labels on the transitions, as they are modeled in Figure 38, but they were omitted from Figure 39 for the sake of simplicity. Modeling substates makes sense when an existing state exhibits complex behavior, thereby motivating you to explore its substates. Introducing a superstate makes sense when several existing states share a common entry or exit condition (Douglass 2004). In Figure 38 you can see that all of the states share a common *closed* transition to the final state.

### 205. *Aggregate Common Substate Transitions*

In Figure 39, you can see that the *cancelled* transition is depicted as leaving the *Enrollment* superstate, but, to simplify the diagram, not every single substate is depicted as in Figure 38. Had the substates all shared an entry transition, or another exit transition, the same approach would have been taken for those transitions, too. The guards and actions, if any, on the transitions being aggregated must be identical.

### 206. *Create a Hierarchy of State Machine Diagrams for Very Complex Entities*

Although showing substates in this manner works well, the resulting diagrams can become quite complex—just imagine

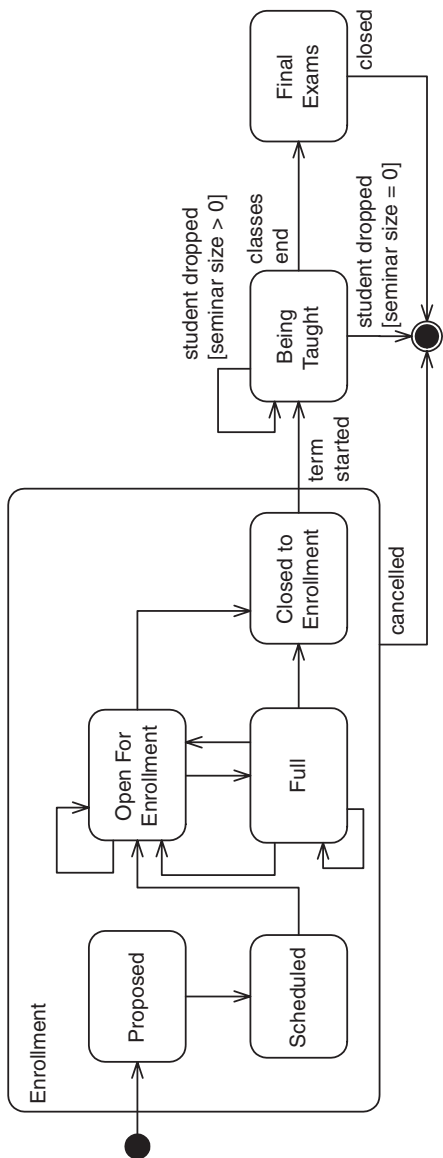


Figure 39. Complete life cycle of a seminar.



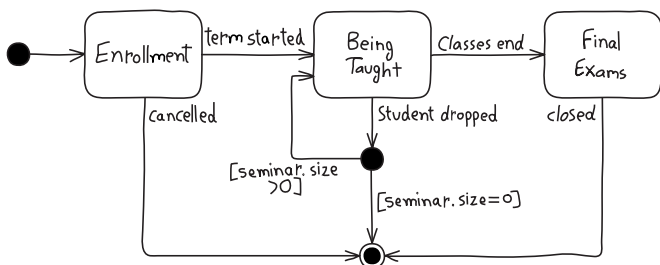


Figure 40. Top-level state machine diagram for seminar.

what would happen to Figure 39 if the *Being Taught* state also had substates. An alternative approach would be to create a hierarchy of UML state machine diagrams; for example, Figure 40 represents the top-level view and Figure 38 depicts a more detailed view. The advantage of this approach is that another detailed diagram could be developed to explore the *Being Taught* state as required.

### 207. Always Include Initial and Final States in Top-Level State Machine Diagrams

A top-level UML state machine diagram, such as the one depicted in Figure 39, should represent the entire life cycle of an entity, including its “birth” and eventual “death.” Lower-level diagrams may not always include initial and final states, particularly diagrams that model the “middle states” of an entity’s life cycle.

## 9.4 Transition and Action Guidelines

A transition is a progression from one state to another and will be triggered by an event that is either internal or external to the entity being modeled. For a class, transitions are typically the result of the invocation of an operation that causes an important change in state, although not all method invocations will result in transitions. An action is something—in the case

of a class, it is an operation—that is invoked by/on the entity being modeled.

### *208. Name Software Actions Using Implementation-Language Naming Conventions*

The actions in Figure 38 follow the Java naming convention for operations (Vermeulen et al. 2000) because the intention is to implement this system using Java. Had another language been our target, we would have followed the appropriate naming conventions.

### *209. Name Actor Actions Using Prose*

UML state machine diagrams can be used to model the life cycle of nonsoftware entities, in particular, actors on UML diagrams. For example, the *Student* actor likely has states such as *Accepted*, *Full Time*, *Part Time*, *Graduated*, *Masters*, *Doctoral*, and *Postdoctoral*, exhibiting different behaviors in each one. When you are modeling the real-world actor, as opposed to the software class *Student*, the transitions between these states would be better worded using prose such as *drop seminar* and *pay fees* instead of *dropSeminar()* and *payFees()*, because people in the real world do things—they don't execute operations.

### *210. Indicate Entry Actions Only When Applicable to All Entry Transitions*

In Figure 38, you can see that, upon entry into the *Closed To Enrollment* state, the operation *notifyInstructor()* is invoked via the *entry/* action label. The implication is that this operation will be invoked every single time that this state is entered. If you don't want this to occur, then associate actions with specific entry transitions. For example, the *addStudent()* action is taken on the *student enrolled* transition to *Open For Enrollment* but not to the *opened* transition. This is because you don't always add a student each time you enter this state.

### ***211. Indicate Exit Actions Only When Applicable to All Exit Transitions***

Exit actions, indicated with the *exit/* label, work in a manner similar to entry actions.

### ***212. Model Recursive Transitions Only When You Want to Exit and Reenter the State***

A recursive transition, also called a “mouse-ear” transition, is one that has the same state for both of its end points. An important implication is that the entity is exiting and then reentering the state. Therefore, any operations that would be invoked because of *entry/* or *exit/* action labels would be automatically invoked. This would be the case with the recursive transitions of the *Open For Enrollment* state of Figure 38, where the current seminar size is logged on entry.

### ***213. Name Transition Events in Past Tense***

The transition events in Figure 38, such as *seminar split* and *cancelled*, are written in past tense to reflect the fact that the transitions are the results of events. That is, an event occurs before a transition, and thus it should be referred to in past tense.

### ***214. Place Transition Labels Near the Source States***

Although Figure 38 is complex, wherever possible the transition labels, such as *seminar split* and *student enrolled*, were placed as close to the sources as possible. Furthermore, the labels were justified (left and right, respectively) so that they were visually close to the source states.

### ***215. Place Transition Labels on the Basis of Transition Direction***

To make it easier to identify which label goes with a transition, place transition labels according to the following heuristics:

- above transition lines going left to right,
- below transition lines going right to left,
- right of transition lines going down,
- left of transition lines going up.

## 9.5 Guard Guidelines

A guard is a condition that must be true in order for a transition to be traversed.

### 216. *Do Not Overlap Guards*

The guards on similar transitions leaving a state must be consistent with one another. For example, guards such as  $x < 0$ ,  $x = 0$ , and  $x > 0$  are consistent, whereas guards such as  $x \leq 0$  and  $x \geq 0$  are not consistent because they overlap. (It isn't clear what should happen when  $x$  is 0.) In Figure 39, the guards on the *student dropped* transitions from the *Being Taught* state do not overlap.

### 217. *Introduce Junctions to Visually Localize Guards*

In Figure 39, there are two transitions from *Being Taught* as the result of the *student dropped* event, whereas there is only one in Figure 40—the transitions are combined into a single one that leads to a junction point (the filled circle). The advantage of this approach is that the two guards are now depicted close to one another on the diagram, making it easier to determine that the guards don't overlap.

### 218. *Use Guards Even If They Do Not Form a Complete Set*

It is possible that the guards on the transitions from a state will not form a complete set. For example, a bank account object might transition from the *Open* state to the *Needs Authorization* state when a large deposit is made to it. However, a deposit transition with a “small deposit” guard may not

be modeled—you're following the AM *Depict Models Simply* practice and only including pertinent information—although it would be implied.

### ***219. Never Place a Guard on an Initial Transition***

Douglass (2004) says it best: What does the object do when the guard evaluates to false?

### ***220. Use Consistent Language for Naming Guards***

Figure 38 includes guards such as *seat available* and *no seat available*, which are consistently worded. However, had the various guards been worded *seats left*, *no seat left*, *no seats left*, *no seats available*, *seat unavailable*, they would have been inconsistent and harder to understand.

# 10.

## UML Activity Diagrams

UML activity diagrams are the object-oriented equivalent of flow charts and data-flow diagrams from structured development (Gane and Sarson 1979). In UML 1.x, UML activity diagrams were a specialization of UML state machine diagrams, although in UML 2.x they are full-fledged artifacts. UML activity diagrams are used to explore the logic of

- a complex operation,
- a complex business rule,
- a single use case,
- several use cases,
- a business process,
- concurrent processes,
- software processes.

### 10.1 General Guidelines

#### *221. Place the Starting Point in the Top Left Corner*

A starting point is modeled with a filled circle, using the same notation that UML state chart diagrams use. Every UML activity diagram should have a starting point, and placing it at the top left corner reflects the way that people in Western cultures begin reading. Figure 41, depicting the business process

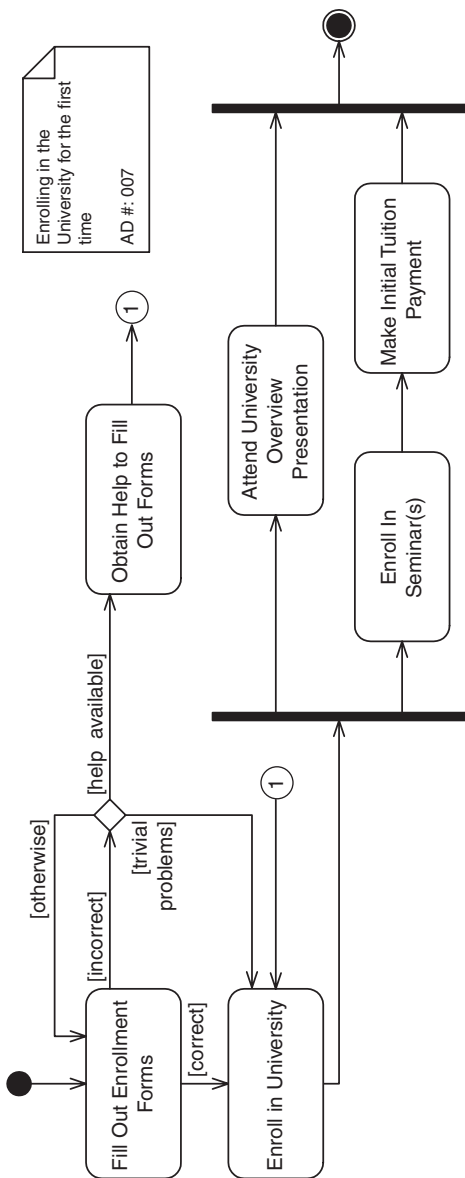


Figure 41. Modeling a business process with a UML activity diagram.

of enrolling in a university, takes this approach. Another good option is to place it at the top center of the diagram.

### *222. Include an Ending Point*

An ending point is modeled with a filled circle with a border around it. Some people's style is to make ending points optional—sometimes an activity is simply a dead end—but if this is the case, then there is no harm in indicating that the only activity edge (formerly known as a transition) is to an ending point. That way, when someone else reads your diagram, they know that you have considered how to exit these activities.

Sometimes, however, the guidelines don't apply. Figure 42 does not include an ending point because it describes a continuous process.

### *223. Simplify Operations Requiring Flow Charts*

If an operation is so complex that you need to develop a UML activity diagram to understand it, then you should consider refactoring it.

### *224. Apply Connectors to Avoid Unwieldy Activity Edges*

Sometimes it becomes unwieldy to directly draw an activity edge between two activities, perhaps because the activities are far apart and/or drawing the edge will result in too many crossing lines. The solution is to use a connector, a circle with a unique label in it, as you see in Figure 41.

### *225. Connectors Should Match*

Connectors come in pairs, one that an activity edge enters and one that an activity edge exits.



**226. *Label Connectors with Numbers***

Although the UML specification (Object Management Group 2004) uses letters in all of its connector examples, there is nothing stopping you from using numbers. The letter *H* is used on state machine diagrams to represent history, choice points have the letter *c* in them, and a flow final node looks like a connector with a big X in it. Therefore, label connectors with numbers to avoid potential confusion.

**10.2 Activity Guidelines**

An activity on a UML activity diagram typically represents the invocation of an operation, a step in a business process, or an entire business process.

**227. *Question “Black-Hole” Activities***

A black-hole activity is one that has activity edges into it but none out of it, typically indicating that you have missed one or more activity edges.

**228. *Question “Miracle” Activities***

A miracle activity is one that has activity edges out of it but none into it, something that should be true only of starting points. Once again, this is an indication that you have missed one or more activity edges.

**10.3 Decision Point and Guard Guidelines**

A decision point is modeled as a diamond on a UML activity diagram. A guard is a condition that must be true in order for an activity edge to be traversed.

### *229. Reflect the Previous Activity by Using Decision Points*

In Figure 41, you can see that there is no label on the decision point, unlike traditional flow charts, which would include text describing the actual decision being made. You need to imply that the decision concerns whether the person was enrolled in the university based on the activity that the decision point follows. The guards on the activity edges leaving the decision point, depicted using the format *[description]*, also help to describe the decision point.

### *230. Avoid Superfluous Decision Points*

The *Fill Out Enrollment Forms* activity in Figure 41 includes an implied decision point, a check to see that the forms are filled out properly. This simplifies the diagram by avoiding an additional diamond.

### *231. Ensure That Each Activity Edge Leaving a Decision Point Has a Guard*

This ensures that you have thought through all possibilities for that decision point.

### *232. Do Not Overlap Guards*

The guards on the activity edges leaving a decision point, or an activity, must be consistent with one another. For example, guards such as  $x < 0$ ,  $x = 0$ , and  $x > 0$  are consistent, whereas guards such as  $x \leq 0$  and  $x \geq 0$  are not consistent because they overlap. (It isn't clear what should happen when  $x$  is 0.) In Figure 41, the guards on the exit activity edges from the *Fill Out Enrollment Forms* activity do not overlap, nor do the guards on the decision point.

### 233. *Ensure That Guards on Decision Points Form a Complete Set*

It must always be possible to leave a decision point. Therefore, the guards on its exit activity edges must be complete. For example, guards such as  $x < 0$  and  $x > 0$  are not complete because it isn't clear what happens when  $x$  is 0.

### 234. *Ensure That Exit Guards and Activity Invariants Form a Complete Set*

An activity invariant is a condition that is always true when your system is processing an activity. For example, in Figure 41 an invariant of the *Enroll In University* activity is that the person is not yet officially a student. Clearly, the conditions that are true while an activity is being processed must not overlap with its exit conditions. Furthermore, the invariants and exit conditions must form a complete set. In other words, the conditions that define when you are in an activity plus the conditions that define when you leave the activity must add up.

### 235. *Apply an [Otherwise] Guard for “Fall-Through” Logic*

In Figure 41, you can see that one of the activity edges on the decision point is labeled *Otherwise*, a catchall condition for the situation in which problems with the forms are not trivial and help is not available. This avoided a very wordy guard, thus simplifying the diagram.

### 236. *Model Guards Only If They Add Value*

An activity edge will not necessarily include a guard, even when an activity includes several exit activity edges. When a UML activity diagram is used to model a software process (Figure 42) or a business process (Figure 46), the activity edges often represent sharing or movement of information and objects

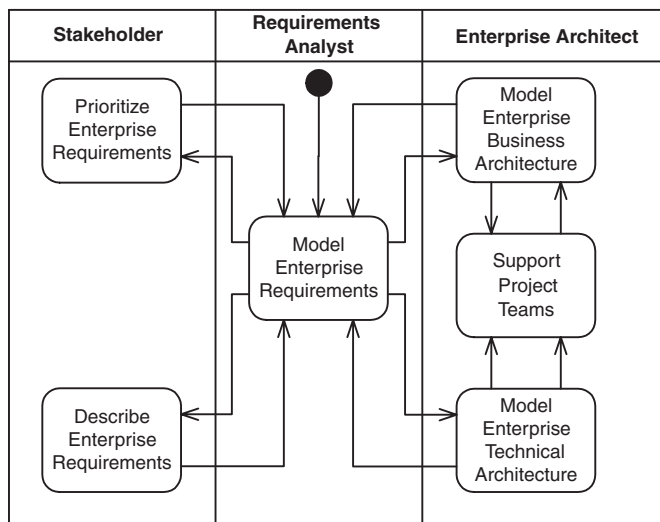


Figure 42. UML activity diagram for the enterprise architectural modeling (simplified).

between activities, a situation in which guards often make less sense. Follow Agile Modeling's (AM) (Chapter 17) principle of *Depict Models Simply* and only indicate a guard on an activity edge if it adds value.

### 237. Indicate Decision Logic over Complex Guards

Figure 43 shows three different ways to depict decision points. The first way has fully defined, and relatively complex, guards on each activity edge. The second approach associates a note containing object constraint language (OCL) code defining the comparison logic. The advantage of this is that the logic is defined once within the note, not twice, reducing the chance of a mistake.

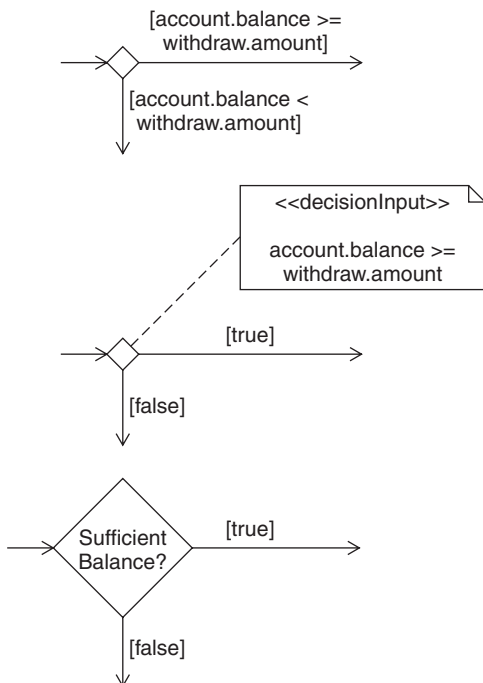


Figure 43. Options for depicting decisions.

### 238. *Simplify Guards By Indicating Decisions Within Diamonds*

The third approach to indicating decision logic in Figure 43 is to simply describe the logic within the decision point diamond. This is constrained by the size of the diamond itself, diamonds should be smaller than activity bubbles, and your modeling tool may not support it. This approach reflects traditional flow-charting techniques and is arguably more human-friendly than the other two approaches.

## 10.4 Parallel Flow Guidelines

It is possible to show that activities can occur in parallel, depicted in Figure 41 by two parallel bars. The first bar is called a fork: it has one activity edge entering it and two or more activity edges leaving it. The second bar is a join, with two or more activity edges entering it and only one leaving it.

### *239. Ensure That Forks Have Corresponding Joins*

In Figure 41, you can see that the business process forks into two parallel streams, one where the person attends a presentation and another where he or she signs up and pays for courses. The process forks—the person performs these activities—and when both streams are complete, the process continues from there (in this case it simply ends). In general, for every start (fork), there is an end (join).

### *240. Ensure That a Fork Has Only One Entry*

When you find that you want to have several activity edges into the same fork, you should first merge them by having them enter a merge (a single diamond which looks the same as a decision point) and then have a single activity edge from the merge into the fork. However, this situation is also a good indication either that you've missed an activity, likely where the merge occurs, or that you really don't have parallel activities at this point.

### *241. Ensure That a Join Has Only One Exit*

The desire to have several exit activity edges is a good indication that you still have parallel activities occurring; therefore, move your join further along in the overall process.

### *242. Avoid Superfluous Forks*

Figure 42 depicts a simplified description of the software process of enterprise architectural modeling, a part of the

*Enterprise Architecture* discipline of the Enterprise Unified Process (EUP) (Ambler, Nalbone, and Vizdos 2005). There is a significant opportunity for parallelism in this process. In fact, all of these activities could happen in parallel, but forks were not introduced because they would only have cluttered the diagram.

### *243. Activity Edges Should Enter Joins and Forks from the Same Side*

Figure 44 includes a join where one edge enters from the left and another from the right, something that is clearly confusing.

### *244. Model Joinspecs Only When the Join Isn't Clear*

Figure 44 depicts a joinspec, a definition of the guard for moving forward from the join. In this case the joinspec is superfluous because it simply reiterates the information depicted by the time event and the incoming signal event.

### *245. Align Fork and Join Bars*

The fork and join bars in Figure 41 are directly across from one another and are the same length, making it easy to tell that they match up.

## **10.5 Activity Partition (Swim Lane) Guidelines**

Activity partitions, commonly called swim lanes, are a way to group activities performed by the same actor on an activity diagram or to group activities in a single thread (Douglass 2004).

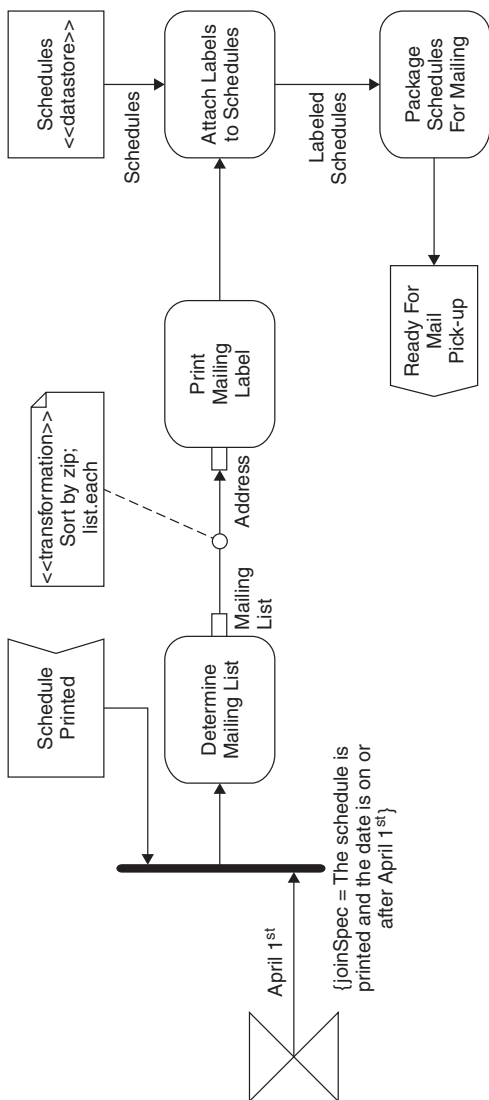


Figure 44. Distributing university schedules.



### *246. Order Swim Lanes in a Logical Manner*

Although there is no semantics behind the ordering of swim lanes, there often is a natural ordering for them. For example, in Figure 42 you can see that the swim lanes are listed left to right in the relative order in which the activities would occur in a serial process (even though this process is iterative)—stakeholders will start by identifying and prioritizing requirements, the analyst will model them, and then the architects will act on them.

### *247. Apply Swim Lanes to Linear Processes*

Swim lanes are best applied to linear processes, unlike the one depicted in Figure 42, where the logic proceeds from one activity to another. The steps that customers take to check an order out of a grocery store are a perfect example of a relatively linear process. A diagram for that activity would likely include three swim lanes, one for the customer, one for the checkout clerk, and one for the bagger.

### *248. Have Fewer than Five Swim Lanes*

A disadvantage of swim lanes is that they reduce your freedom to arrange activities in a space-effective manner, often increasing the size of your diagrams. When a diagram has a small number of swim lanes, there is less chance that this problem will occur.

### *249. Replace Swim Lanes with Swim Areas in Complex Diagrams*

With swim lanes you often discover that you are forced to arrange the activities in a nonoptimal way. An alternative is to use swim areas, sections of related activities, as you see in

Figure 45. This diagram, modified from *The Object Primer 3rd Edition* (Ambler 2004), models the logic flows described by the *Enroll in University* use case.

### ***250. Reorganize into Smaller Activity Diagrams When Swim Areas Include Several Activities***

When a swim area includes several activities you may instead decide to introduce a UML package, or simply a higher-level activity, which is then described by a detailed UML activity diagram.

### ***251. Consider Horizontal Swim Lanes for Business Processes***

In Figure 46 the swim lanes are drawn horizontally, going against the common convention of drawing them vertically. Because project stakeholders in Western cultures typically read from left to right, this helps to increase the understandability of a UML activity diagram used to depict business processes. Also notice how the outside borders of the swim lanes have been dropped to simplify the diagram.

### ***252. Model the Key Activities in the Primary Swim Lane***

The primary swim lane is the leftmost swim lane on vertical activity diagrams and the top swim lane on horizontal diagrams, and this is where Evitts (2000) suggests that you put the key activities of UML activity diagrams. For example, when using a UML activity diagram to model the logic of a use case, an effective approach is to depict the basic course of action, also known as the happy path, in the primary swim lane.

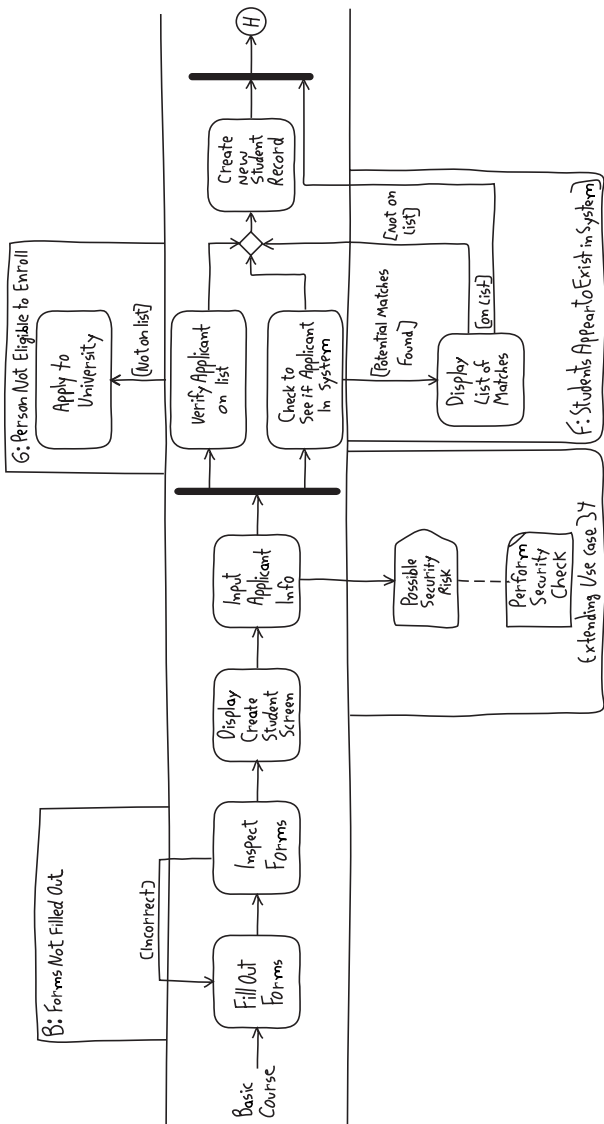


Figure 45. Modeling all logic flows within a use case.

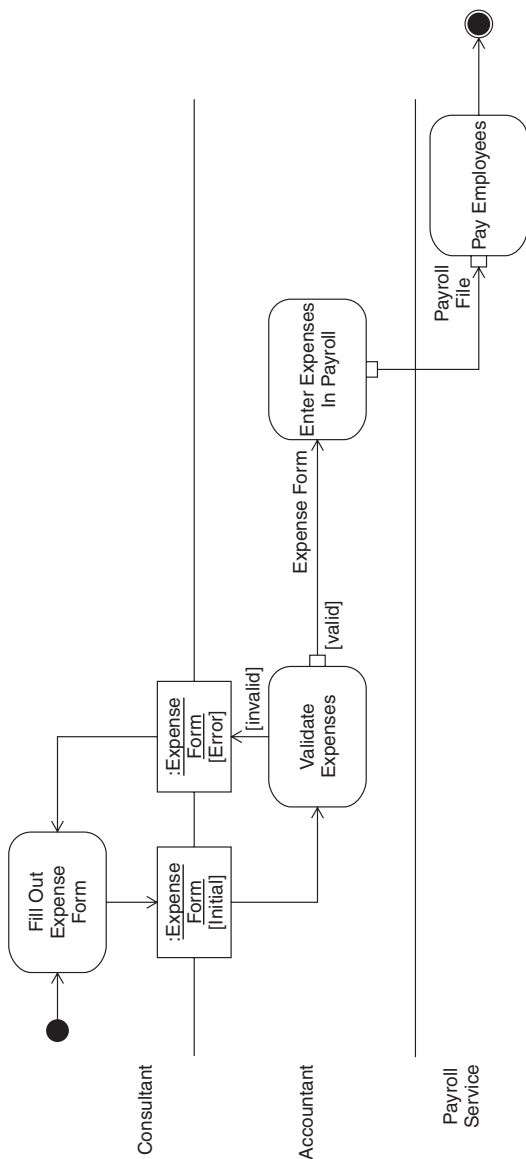


Figure 46. Submitting expenses.

## 10.6 Action-Object Guidelines

Activities act on objects. In the strict object-oriented sense of the term, an action object is a system object, a software construct. In the looser sense, and much more usefully for business application modeling, an action object is any sort of item. For example, in Figure 46 the *ExpenseForm* action object is likely a paper form.

### 253. *Model Action Objects as Names on Activity Edges*

The official way to model action objects is with rectangles, as you can see with *ExpenseForm* exiting the *Fill Out Expense Form* activity in Figure 46. Unfortunately, it is easy to confuse action objects with activities because the bubbles are similar and action-object rectangles quickly clutter your diagrams. A better approach is to simply label activity edges with the information flowing across them, as you see with *Expense Form* entering the *Enter Expenses In Payroll* activity.

UML 2.0 includes the concept of an information flow, indicated by a solid arrowhead in the middle of a relationship line between entities on class diagrams but not between activities.

There is clearly a need to simplify object/data flow between activities, and this might be one way to do it in a future version of the specification.

### 254. *Depict Input Pins on the Left*

Pins are depicted as small rectangles on the side of activities. Whenever possible place input pins on the left-hand side of an activity; otherwise your next best option is on the top of an activity.

### *255. Depict Output Pins on the Right*

Whenever possible place output pins on the right-hand side of an activity; otherwise your next best option is on the bottom of an activity.

### *256. Pins Should Have Names Describing the Parameter(s)*

In Figure 46 the input pin to *Pay Employees* is named *Payroll File*, indicating the input into the activity. This rule has the nice side effect that you don't need to label the activity edge with the information flowing across it.

### *257. Avoid Superfluous Pins*

With the exception of the *Pay Employees* pin, none of the other pins in Figure 46 add any value to the diagram.

### *258. Model Action Objects Only When They're Not Obvious*

The activity names should imply the information being produced by them. For example, in Figure 46 it is very clear that the *Fill Out Expense Form* activity results in an expense form, so why bother modeling it? The only time I would model this sort of thing is when I was using a sophisticated CASE tool that would actually do something of value, such as generate code, with the information.

### *259. Place Shared Action Objects on Swim Lane Separators*

In Figure 46, you can see that the *ExpenseForm* action object is placed on the line separator between the *Consultant*

and *Accountant* swim lanes. This was done because the *ExpenseForm* is critical to both swim lanes and because it is manipulated in both, very likely being something on which the two people will work together (at least when there is a problem).

### ***260. Apply State Names When an Object Appears Several Times***

The *ExpenseForm* object appears twice on the diagram—an initial version of it and one with errors. To distinguish between them, their state names—in this case *Initial* and *Error*—are indicated using the same notation as for guards on activity edges. This notation may be applied to any object on any UML diagram, including UML sequence diagrams and UML communication diagrams.

### ***261. Reflect the Life-Cycle Stage of an Action Object in Its State Name***

You depict the same action object on a UML activity diagram in several places because it is pertinent to what is being modeled and because the object itself has changed (it has progressed through one or more stages of its life cycle).

### ***262. Show Only Critical Inputs and Outputs***

Figure 46 shows *ExpenseForm* as an output of the *Fill Out Expense Form* activity. However, there isn't a lot of value in showing this because it's clear that an expense form would be the output of that activity. Remember AM's practice *Depict Models Simply* and only model something if it adds value.

### *263. Depict Action Objects as Smaller than Activities*

The focus of a UML activity diagram is activities, not the actions implementing or being produced by those activities. Therefore, you can show this focus by having larger activity symbols.



# 11.

## UML Component Diagrams

UML component diagrams show the dependencies among software components, including the classifiers that specify them, such as implementation classes, and the artifacts that implement them, such as source-code files, binary-code files, executable files, scripts, and tables. Create them to

- model the low-level design configuration of your system,
- model the technical infrastructure (Ambler 1998),
- model the business/domain architecture for your organization (Ambler 1998).

### 11.1 Component Guidelines

In Figure 47, components are modeled as rectangles with either the text stereotype of `<<component>>` or the visual stereotype of a bandage box, as you can see in Figure 47. Components realize one or more interfaces, modeled using the lollipop notation in Figure 47, and may have dependencies on other components or interfaces. As you can see, the *Persistence* component has a dependency on the *Corporate DB* component.

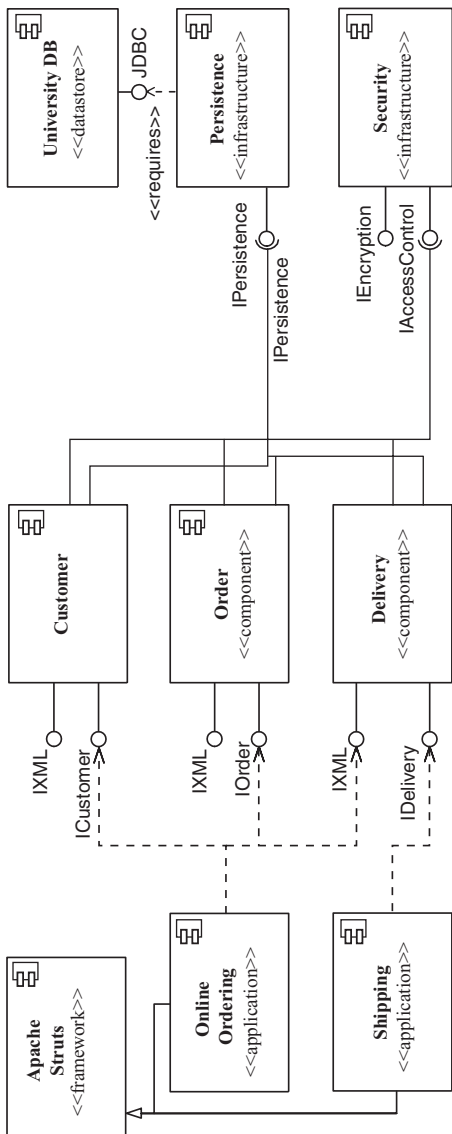


Figure 47. UML component diagram representing the logical architecture of a simple e-commerce system.

### ***264. Apply Descriptive Names to Architectural Components***

Architectural diagrams are often viewed by a wide range of people who may not be familiar with your project. Therefore, component names need to be understandable. For example, most of the components in Figure 47, with the exception of *Corporate DB*, are named using full words such as *Customer* and *Persistence*. The name *Corporate DB* was used over *Corporate Database* because that is what it is known as within the company—abbreviations are preferable only when they are in common use.

### ***265. Apply Environment-Specific Naming Conventions to Detailed Design Components***

When you are creating a detailed component model, perhaps to understand the physical configuration of your system, then name your components using environment-specific names. For example, a Java source-code file would be named *Customer.java*, a Windows library would be named *auditLogger.dll*, and a document would be named *User Manual.doc*.

### ***266. Apply Consistent Textual Stereotypes***

Table 8 summarizes common stereotypes that you may want to consider applying to components on UML component diagrams.

### ***267. Avoid Modeling Data and User Interface Components***

UML component diagrams can be used to model various aspects of your detailed design. Because the UML does not yet address user interface or database modeling, many developers will often try to model these aspects of their system using component diagrams. Don't do this. Component diagrams

**Table 8.** Common Stereotypes

Stereotype	Indicates
application	A “front end” of your system, such as the collection of HTML pages and ASP/JSPs that work with them for a browser-based system or the collection of screens and controller classes for a GUI-based system.
datastore	A persistent storage location for data.
document	A printed or electronic document.
executable	A software component that can be executed on a node.
file	A data file.
infrastructure	A technical component within your system, such as a persistence service or an audit logger.
library	An object or function library.
source code	A source-code file, such as a *.java file or a *.cpp file.
table	A data table within a database.
web service	One or more Web services.
XML DTD	An XML DTD.

really aren't well suited to these tasks. I personally suggest using modified communication diagrams for user interface modeling (Ambler 2004), other methodologists suggest modifications of state machine diagrams (Larman 2002) or activity diagrams (Schneider and Winters 2001), and most prefer modified class diagrams for data modeling. My advice is to follow AM's (Chapter 17) practice of *Apply the Right Artifact(s)* and pick the right artifact for the job. In these cases, a UML component diagram isn't it.

**268. *Apply One Component Stereotype Consistently***

Choose either the <<component>> or the bandage-box symbol and apply it consistently. Figure 47 uses both, and the UML specification (Object Management Group 2004) often applies both, as you see with the *Order* component.

**269. *Show Only Relevant Interfaces***

AM's practice *Depict Models Simply* advises that you keep your diagrams as simple as possible. One way to do that is to depict only the interfaces that are applicable to the goals of your diagram. For example, in Figure 47 you can see that the *XML* interface is modeled for the *Order* component but it is not being used, indicating that you might not want to depict it at this time. However, if one of the goals of your model is to show that all of your business/domain components implement this common interface, presumably so that every component has a standard way to get at the data structures that it supports, then it makes sense to show it. In short, don't clutter your diagrams with extraneous information.

More interface-related guidelines are presented in Chapter 3.

## **11.2 Dependency and Inheritance Guidelines**

Components will have dependencies either on other components or, better yet, on the interfaces of other components. As you can see in Figure 47 and Figure 48, dependencies are modeled using dashed lines with open arrowheads.

**270. *Model Dependencies from Left to Right***

You should strive to arrange your components so that you can draw dependencies from left to right. This increases the consistency of your diagrams and helps you to identify potential circular dependencies in your design. For example, a circular

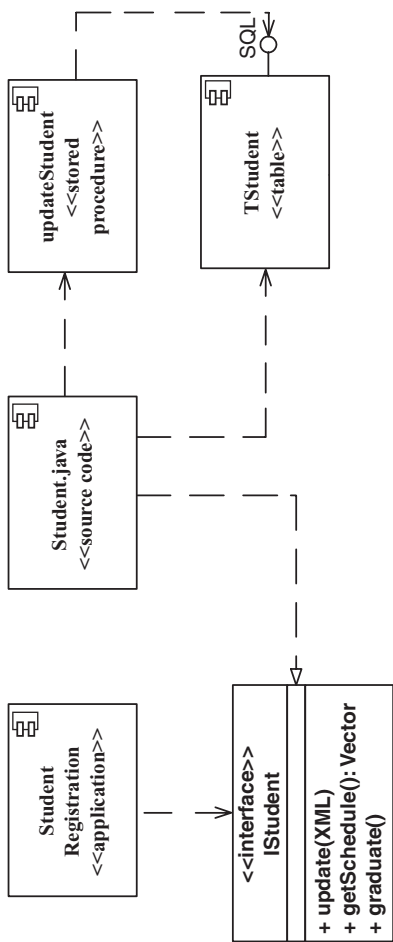


Figure 48. UML component diagram for some student aspects of a university system.

dependency exists in Figure 48: *Student.Java* depends on *updateStudent*, which depends on *TStudent*, which in turn depends on *Student.Java*. This was easy to detect because the dependence from *TStudent* to *Student.Java* went from right to left, whereas all others went in the opposite direction.

Note that if your diagram is layered vertically, then you will want to model dependencies top to bottom.

### ***271. Place Inheriting Components Below Base Components***

Inheritance between components is possible—in this case between *Shipping* and *Apache Struts* in Figure 47—and, as you can see, the inheriting component is shown below the parent component.

### ***272. Make Components Dependent Only on Interfaces***

By making components dependent on the interfaces of other components, instead of on the other components themselves, you make it possible to replace the component without having to rewrite the components that depend on it.

### ***273. Avoid Modeling Compilation Dependencies***

Although it is possible to model compilation dependencies in UML component diagrams, there are better ways to record this information, such as in the build/compile scripts for your application. A good rule of thumb is that, if you're showing compilation dependencies on your component diagrams, then you've likely over-modeled your system. Step back and ask yourself if this information is actually adding value to your diagram(s).

# 12.

## UML Deployment Diagrams

A UML deployment diagram depicts a static view of the run-time configuration of hardware nodes and the software components that run on those nodes. UML deployment diagrams show the hardware for your system, the software that is installed on that hardware, and the middleware used to connect the disparate machines to one another. You create a UML deployment model to

- explore the issues involved in installing your system into production;
- explore the dependencies that your system has with other systems that are currently in, or planned for, your production environment;
- depict a major deployment configuration of a business application;
- design the hardware and software configuration of an embedded system;
- depict the physical topology of the hardware/network infrastructure of an organization.



## 12.1 General Guidelines

### *274. Indicate Software Components on Project-Specific Diagrams*

Figure 49 depicts a UML deployment diagram for a university administration system. This diagram depicts how the major software components that compose a single application are to be deployed into the production environment, enabling the project team to identify its deployment strategy.

### *275. Assume That Nodes Are Devices*

Figure 49 only indicates that *ApplicationServer* is a device (a hardware node); the other servers did not include the stereotype. It is common practice to assume that nodes are devices. Did you think otherwise with respect to Figure 49?

### *276. Use Concise Notation*

Figure 50 is a concise version of Figure 49, which in my opinion is far more useful. Remember Agile Modeling's (Chapter 17) *Depict Models Simply* practice.

### *277. Apply Drum Notation for Data Stores*

The drum notation used in Figure 50 is a common visual stereotype for data stores such as a relational database.

### *278. Focus on Nodes and Communication Associations in Enterprise-Level Diagrams*

Figure 51 is an example of a style of UML deployment diagram often referred to as a network diagram or technical architecture diagram, depicting the technical infrastructure of a simple organization. Figure 51 is a very simple example; many organizations would have tens if not hundreds of nodes on such a diagram.

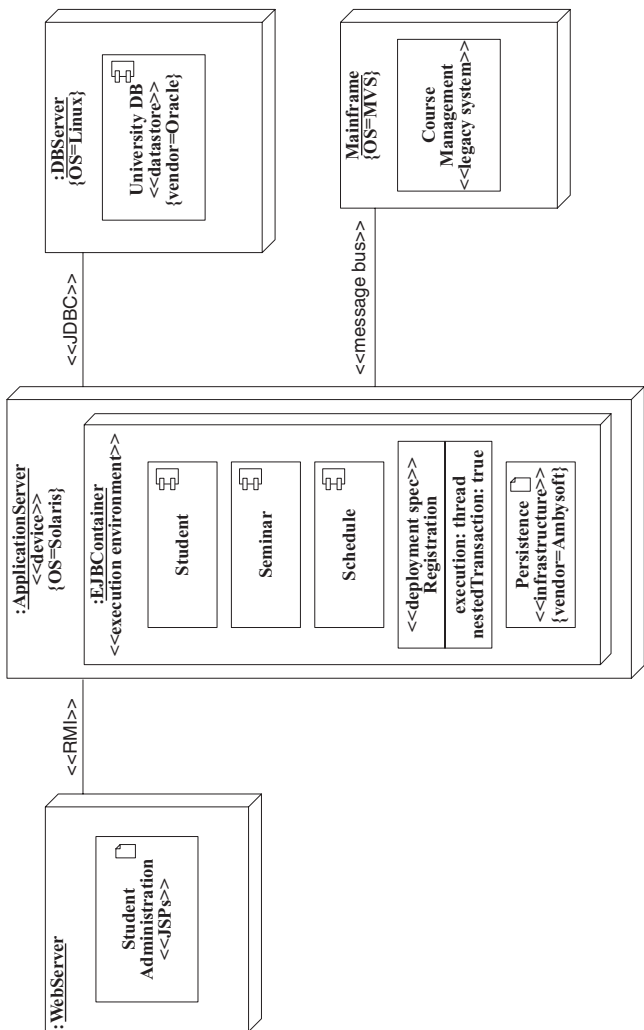


Figure 49. Project-specific UML deployment diagram.

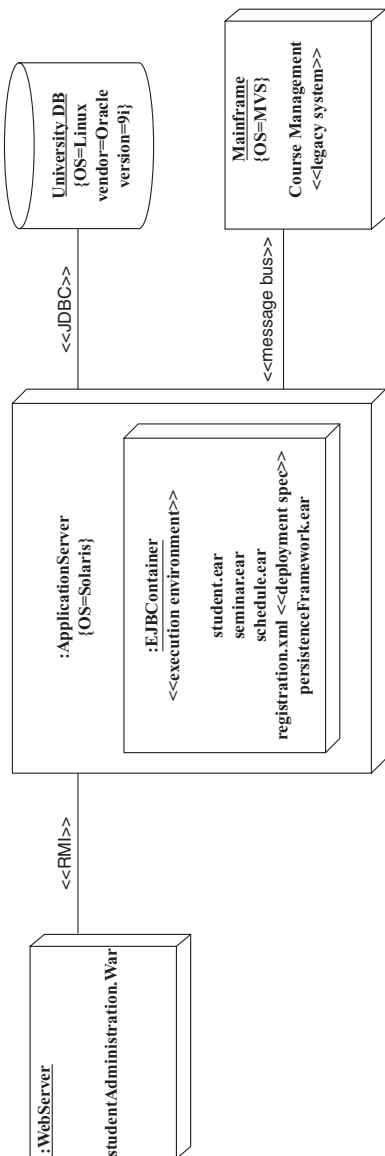


Figure 50. Concise UML deployment diagram.

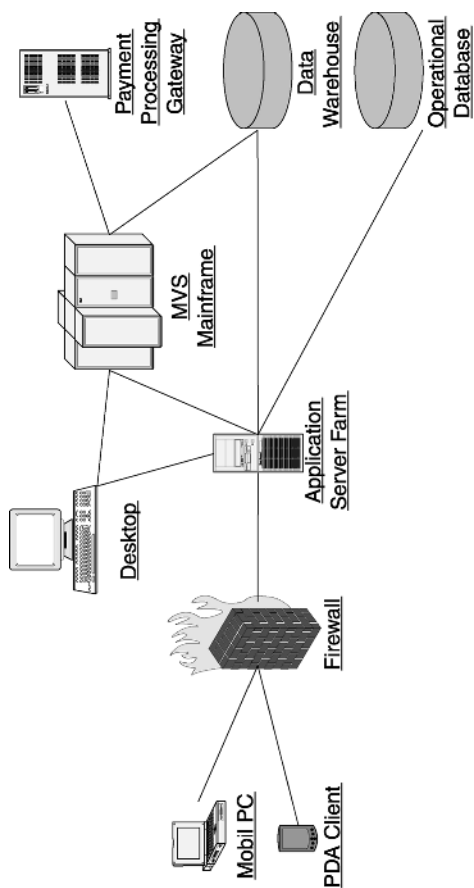


Figure 51. UML deployment diagram for an organization.

Although indicating the deployment of components can be useful on diagrams of limited scope, such as Figure 49, it can quickly become cumbersome. The focus of Figure 51 is high-level, that of the enterprise, and therefore, the minute details of which software components are deployed to which hardware nodes do not need to be shown. You may choose to capture this information in your CASE tool, but that doesn't imply that you need to show it in your diagram.

### *279. Group Common Nodes*

Evitts (2000) suggests that you group nodes that share common responsibilities, or that share a common location, to visually associate them.

### *280. Put Detail into Installation Scripts*

The standard approach to UML deployment diagrams, as shown in Figure 49, contains far too much detail. This detail will change often and is therefore better captured by installation scripts. Capture high-level architectural information within your UML deployment diagrams and leave the details out. Figure 51 is a much better example of a deployment diagram.

## **12.2 Node and Component Guidelines**

A node, depicted as a three-dimensional box, represents a computational device or a software-based executable environment. Components, depicted as rectangles (the same notation used on UML component diagrams), represent software artifacts such as files, frameworks, or reusable domain functionality.

### *281. Use Descriptive Terms to Name Nodes*

In Figure 49, you can see that the nodes have names such as *Client*, *Application Server*, *Database Server*, and *Mainframe*.

All of these terms would be instantly recognizable to the developers within this organization because those are the terms they use on a daily basis. Keep it simple.

### *282. Model Only Vital Software Components*

Although Figure 49 includes software components, it does not depict every single one. For example, the client machine very likely has other software components installed on it, such as the operating system and application software, but those components are not shown because they are not relevant. The reality is that each node may have tens if not hundreds of software components deployed to it. Your goal isn't to depict all of them; it is merely to depict those components that are vital to the understanding of your system, if any. If you need to explore the relationships between software components, you should create a UML component diagram instead, effectively following the Agile Modeling (AM) (Chapter 17) practice of *Apply the Right Artifact(s)*.

### *283. Apply Consistent Stereotypes to Components*

Apply the same stereotypes to components on UML deployment diagrams that you would apply on UML component diagrams.

### *284. Apply Visual Stereotypes to Nodes*

Figure 51 depicts nodes using visual stereotypes. For example, the mobile PC is shown as a laptop and the databases are shown using traditional database drum notation. There are few standards for applying visual stereotypes on UML deployment diagrams, but the general rule of thumb is to use the most appropriate clip art that you can find. Figure 51 was drawn using Microsoft Visio, a drawing package that comes with a large selection of network diagramming stencils that are ideal for UML deployment models.

**Table 9.** Common Stereotypes for Communication Associations

Stereotype	Implication
asynchronous	An asynchronous connection, perhaps via a message bus or message queue.
HTTP	HyperText Transport Protocol, an Internet protocol.
JDBC	Java Database Connectivity, a Java API for database access.
ODBC	Open Database Connectivity, a Microsoft API for database access.
RMI	Remote Method Invocation, a Java communication protocol.
RPC	Communication via remote procedure calls.
synchronous	A synchronous connect where the sender waits for a response from the receiver.
web services	Communication is via Web services protocols such as SOAP and UDDI.

## 12.3 Dependency and Communication-Association Guidelines

Communication associations, often called connections, are depicted as lines connecting nodes. Dependencies between components are modeled as dashed arrows, the same notation used on other UML diagrams.

### *285. Indicate Communication Protocols via Stereotypes*

Communication associations support one or more communication protocols, each of which should be indicated by a UML stereotype. In Figure 49, you can see that the HTTP, JDBC, and Web services protocols are indicated using this approach. Table 9 provides a representative list of stereotypes for communication associations, but your organization will want to develop its own specific standards.

### *286. Model Only Critical Dependencies Between Components*

In Figure 49 the dependencies between the domain components deployed to the application server are not modeled because they weren't pertinent to the diagram (and they would be better modeled in greater detail on a UML component diagram). However, the dependency between the components on the database server was modeled because it helped to show that database access by domain components isn't direct; they instead need to go through the persistence framework a common architecture best practice (Ambler 2004).



# 13.

## UML Object Diagrams

UML object diagrams depict instances and their relationships at a point in time. You create a UML object diagram to

- explore “real-world” examples of objects and the relationships between them;
- explain complex relationships between classes to people who find class diagrams too abstract;
- become input into creating a UML class diagram.

### *287. Indicate Attribute Values to Clarify Instances*

Figure 52 depicts a UML object diagram, taken from *The Object Primer 3rd Edition* (Ambler 2004), which explores the relationships between students and seminars. The student objects have been given understandable names, such as John Smith and Sally Jones, which immediately identify them. The seminar objects also have understandable names, such as CSC 100a, but also have attribute values such as Term = “Fall” to clarify which seminar is truly meant.

### *288. Prefer Object Names over Attribute Values*

Whenever possible try to find a good, understandable name for an object without resorting to indicating attribute values. This makes your object diagrams concise.

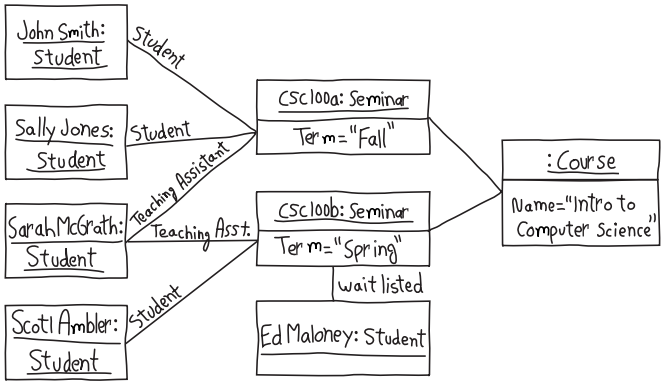


Figure 52. UML object diagram.

### 289. Indicate Roles to Distinguish Different Relationships

In Figure 52 you see that it is possible for students to be both teaching assistants and simply students of a seminar; for example, Sarah McGrath is a teaching assistant in CSC 100b, whereas Scott Ambler is a student of that seminar. Identifying roles in this manner can help you to identify different associations between the same classes.

# 14.

## UML Composite Structure Diagrams

Composite structure diagrams are an addition to UML 2, although one style used to be referred to as an instance collaboration diagram. Composite structure diagrams are used to

- depict the internal structure of a classifier (such as a class, component, or use case), including the interaction points of the classifier to other parts of the system;
- explore how a collection of cooperating instances achieves a specific task or set of tasks;
- describe a design or architectural pattern or strategy.

There are two basic styles of UML composite structure diagram, the “collaboration style” depicted in Figure 53 from UML 1 and the new “detailed style” of Figure 54. Both diagrams model the same concept, the *Persist Object Via Framework* architectural strategy (Ambler 2003). Each box represents a lifeline and the dashed oval a collaboration. In the case of Figure 53 the focus is on the overall collaboration required to persist business objects, whereas in Figure 54 the focus is on the individual collaborations required to do so. The diagrams could in fact be combined—the detailed style of diagram could be encircled by a collaboration bubble.

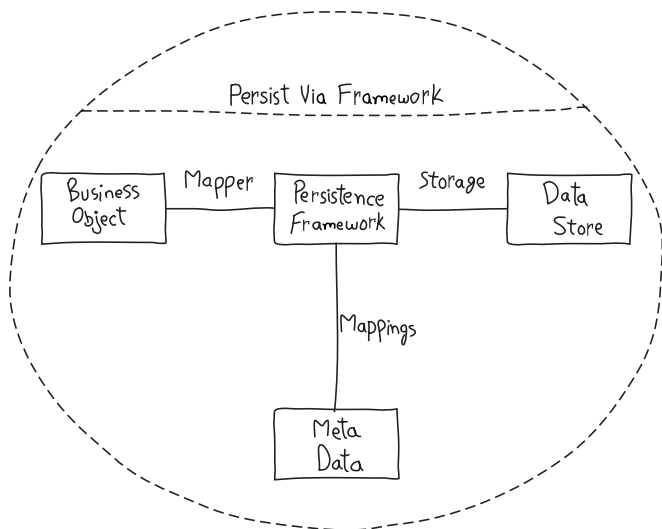


Figure 53. Collaboration-style composite structure diagram.

### *290. Focus on Object Roles in Collaboration-Style Composite Structure Diagrams*

In collaboration-style composite structure diagrams, such as Figure 53, most of the value of the diagram comes in identifying the various roles that lifelines play in the collaboration.

### *291. Focus on Collaborations in Detailed-Style Composite Structure Diagrams*

In detailed-style composite structure diagrams, such as the one depicted in Figure 54, the value comes from identifying the collaborations between lifelines.

### *292. Create Detailed-Style Composite Structure Diagrams over Collaboration Style*

As you can see in the two examples, the detailed-style diagram contains more information than the collaboration-style diagram.

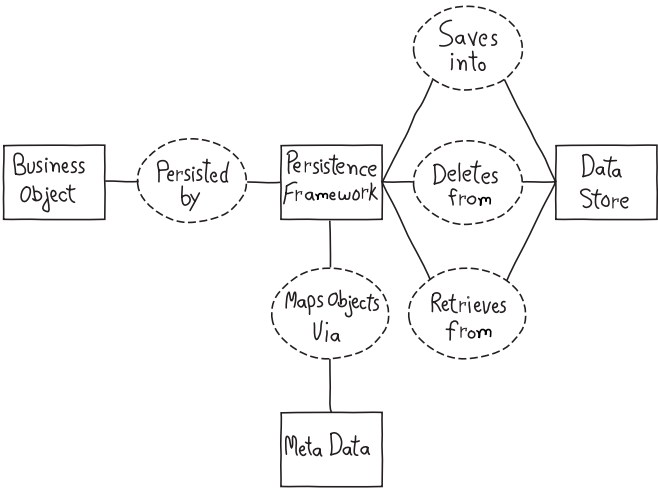


Figure 54. Detailed-style composite structure diagram.

*293. Create UML Object Diagrams Instead of Composite Structure Diagrams*

My experience is that few people use composite structure diagrams in practice. Frankly I don't see how they have any benefit that I couldn't get with UML object diagrams, which are much better known.

# 15.

## UML Interaction Overview Diagrams

Interaction overview diagrams are new to UML 2. They are a variant of an activity diagram where each bubble on the diagram represents another interaction diagram. UML interaction overview diagrams are used to

- overview the flow of control within a business process;
- overview the detailed logic of a software process;
- connect several diagrams together.

Figure 55 depicts an interaction overview diagram that models how the logic for enrolling in a seminar could be implemented.

### *294. Reference Other Diagrams, Don't Depict Them*

Although it is very interesting to depict a diagram within another diagram, as you see with the two diagram frames in Figure 55, the reality is that you rarely have the drawing space to do such a thing. A more realistic version of the diagram is presented in Figure 56 that uses just interaction use frames to refer to operations implemented by various objects.

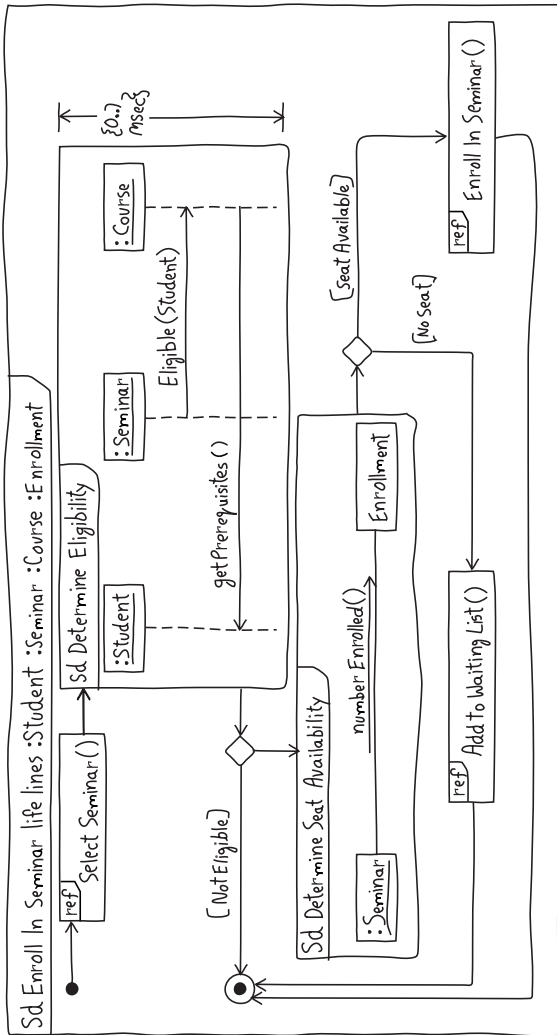


Figure 55. Interaction overview diagram.

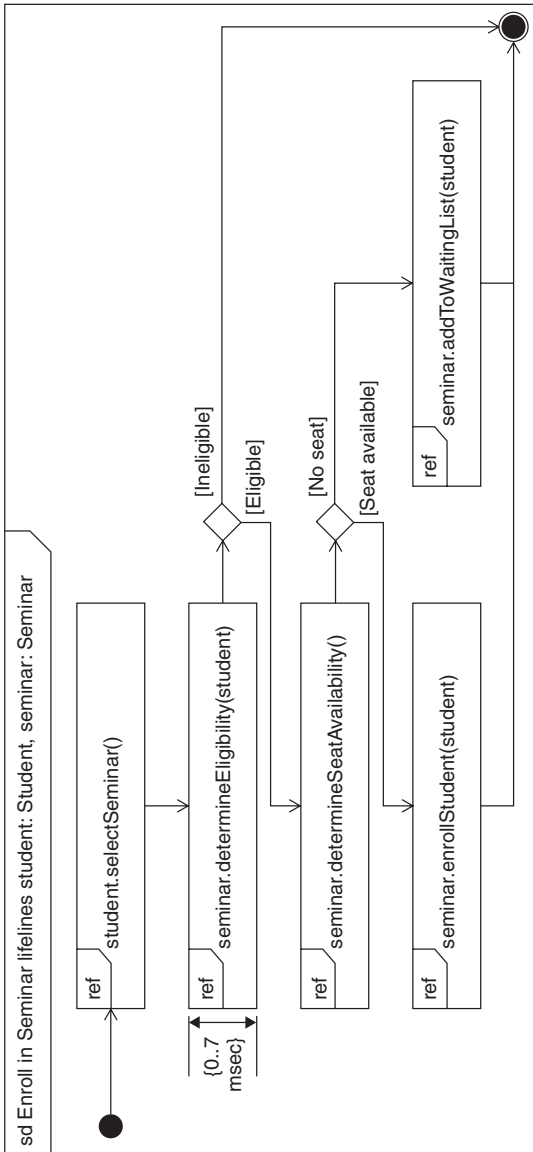


Figure 56. Concise interaction overview diagram.



### *295. Don't List Lifelines*

Both Figure 55 and Figure 56 list the lifelines that appear within the frame—Figure 56 lists only two because it doesn't depict as much detail as Figure 55. In either case the information is superfluous; you can gain it from looking at the diagram.

# 16.

## UML Timing Diagrams

Timing diagrams, which electrical engineers have been using for years, are a new addition to the UML. They depict the change in state or condition of a classifier instance or role over time, often in response to external events. Timing diagrams are often used in the design of embedded software, such as control software for a fuel injection system in an automobile, although they occasionally have their uses for business software too. A UML timing diagram should be created when timing, not sequence, is of critical importance.

### 16.1 General Guidelines

Figure 57 depicts a typical UML timing diagram, showing how a project team progresses through the various high-level stages of a project's life cycle. In this case the team shifts back and forth between four discrete activities/states—*Implement*, *Deploy*, *Support*, and *Wait*. Several time observations are marked using the format “t=XXXX,” where XXXX is an event or actual time value. A time constraint,  $\{t=0..4\text{ weeks}\}$ , indicates the potential length of time that the initial implementation efforts may take.

It is interesting to note that Figure 57 could actually be considered a value stream map (Poppendieck and Poppendieck

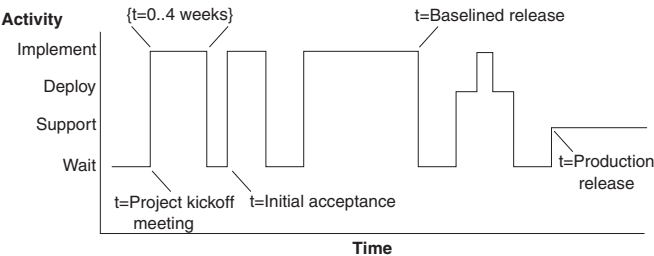


Figure 57. A discrete timing diagram.

2003) because it indicates the amount of time that the team spends adding value (working in the first three states) in comparison to the time wasted waiting.

*296. Draw a Continuous Timing Diagram for Analog Values*

Figure 58 shows how you would model a continuous stream of analog values, in this case the changing percentage over time of decided voters in an election. The timing marks along the X axis indicate the progression of time, in this case in days.

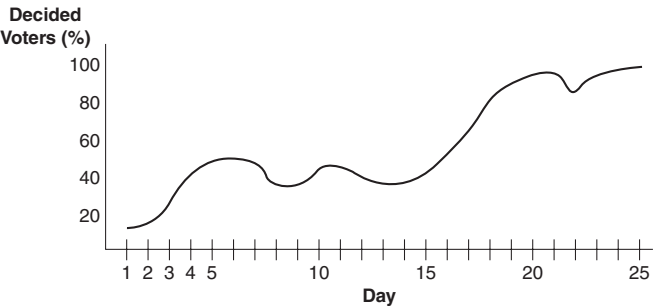


Figure 58. A continuous timing diagram.

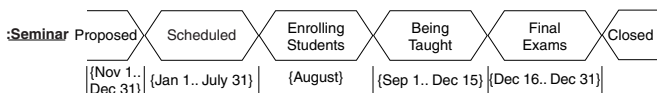


Figure 59. A value chain timing diagram.

### 297. Draw a Value Change Timing Diagram to Explore High-Level Life Cycles

Figure 59 shows how a lifeline, in this case a *Seminar* instance, proceeds throughout its life cycle. Time durations are modeled along the bottom of the diagram, indicating how long the seminar exists in each state.

### 298. Draw State Machine Diagrams to Explore Detailed Life Cycles

If you need to explore the life cycle of a lifeline in detail then use a state machine diagram (Chapter 9) instead.

### 299. Order the States Intelligently

You can see in all three figures that the states are listed in an intelligent manner: in Figure 57 the activities are ordered serially, in Figure 58 they are ordered linearly to reflect the actual life cycle, and in Figure 59 they are ordered numerically.

## 16.2 Axis Guidelines

### 300. Model Time Along the X Axis

As you can see in all three figures, the X axis depicts time and the Y axis the various states or values that the object(s) may experience during the given period.

### 301. Don't Label the Time Axis "Time"

In Figure 57 I have labeled the X axis *Time*, something you would have gathered with or without this label because of

Guideline #300. Figure 58 indicates the unit of measure along the X axis, valuable information, and Figure 59 hasn't marked the X axis at all.

### *302. Center the X Axis Heading*

If you have an X axis it should be centered along the bottom line, as you see in Figure 58.

### *303. Place the Y Axis Heading at the Top Left*

If you have a heading for the Y axis it should be placed at the top left corner of your diagram so that it is clearly associated with the axis yet does not take up too much room. For example, Figure 58 includes the heading Decided Voters (%)—had it been centered on the Y axis it would have increased the width of the diagram, space that should be used to model the values within the diagram.

## **16.3 Time Guidelines**

### *304. Use Time Observations to Depict Specific Times*

Time observations, such as  $t=Project\ kickoff\ meeting$  in Figure 57 or  $t=5:00:03$ , are useful for indicating exact points in time.

### *305. Use Timing Marks to Depict a Time Series*

Timing marks, such as the days along the X axis of Figure 58, are very good at modeling a series of times but not very useful for modeling exact points in time.

### *306. You Don't Need to Label All Timing Marks*

As you can see in Figure 58, I did not mark all of the numbers along the X axis. Normally I would not have indicated numbers 1 through 4; indicating every fifth day is sufficient to get the idea across.

### *307. Use Time Durations to Depict a Specific Period of Time*

Time durations, such as  $\{January\ 1..July\ 31\}$  in Figure 59, are very useful for denoting a known range of times.

### *308. Use Time Constraints to Bound a Specific Period of Time*

Time constraints, such as  $\{t=0..4\ \text{weeks}\}$  in Figure 57, are used to bound a period of time. The implication is that this period takes no more than 4 weeks in total, although it would be perfectly fine if it took less. It is quite common to see time constraints such as  $\{t..t+5\}$  in diagrams, which indicate that the time is up to 5 units in length (the unit being defined elsewhere in the diagram).

# 17.

## Agile Modeling

Agile Modeling (AM) (Ambler 2002) is a chaordic (Hock 2000), practice-based methodology for effective modeling of software-based systems. The AM methodology is a collection of practices guided by principles and values that can be applied by software professionals on a day-to-day basis. AM is not a prescriptive process. It does not define detailed procedures for creating a given type of model, but it does provide advice on how to be effective as a modeler. It's not hard and fast—think of AM as an art, not a science.

### 17.1 Values

The foundation of AM is its five values, the first four adopted from eXtreme Programming (XP) (Beck 2000):

- communication,
- courage,
- feedback,
- simplicity,
- humility.

### 17.2 Principles

The principles of AM, which are based on its values, define the basis for its practices. The principles are organized into two collections: the core principles, which you must fully adopt to be able to claim you are “agile modeling,” and the

**Table 10.** Principles of AM

Core	Supplementary
<ul style="list-style-type: none"> <li>■ Assume Simplicity</li> <li>■ Embrace Change</li> <li>■ Enabling the Next Effort Is Your Secondary Goal</li> <li>■ Incremental change</li> <li>■ Maximize Stakeholder Investment</li> <li>■ Model with a Purpose</li> <li>■ Multiple Models</li> <li>■ Quality Work</li> <li>■ Rapid Feedback</li> <li>■ Software Is Your Primary Goal</li> <li>■ Travel Light</li> </ul>	<ul style="list-style-type: none"> <li>■ Content Is More Important Than Representation</li> <li>■ Open and Honest Communication</li> <li>■ Work with People's Instincts</li> </ul>

**Table 11.** Practices of AM

Core	Supplementary
<ul style="list-style-type: none"> <li>■ Active Stakeholder Participation</li> <li>■ Apply the Right Artifact(s)</li> <li>■ Collective Ownership</li> <li>■ Consider Testability</li> <li>■ Create Several Models in Parallel</li> <li>■ Create Simple Content</li> <li>■ Depict Models Simply</li> <li>■ Display Models Publicly</li> <li>■ Iterate to Another Artifact</li> <li>■ Model in Small Increments</li> <li>■ Model with Others</li> <li>■ Prove It with Code</li> <li>■ Single Source Information</li> <li>■ Use the Simplest Tools</li> </ul>	<ul style="list-style-type: none"> <li>■ Apply Modeling Standards</li> <li>■ Apply Patterns Gently</li> <li>■ Discard Temporary Models</li> <li>■ Formalize Contract Models</li> <li>■ Update Only When It Hurts</li> </ul>



supplementary principles, which support the core. Table 10 lists the principles of AM.

## **17.3 Practices**

The practices of AM define effective techniques for modeling. As with the principles, the practices are organized into two groups, core and supplementary. Table 11 lists the practices of AM.

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