

**Lecture Notes in Computer Science** 1500

Edited by G. Goos, J. Hartmanis and J. van Leeuwen

**Springer**

*Berlin*

*Heidelberg*

*New York*

*Barcelona*

*Hong Kong*

*London*

*Milan*

*Paris*

*Singapore*

*Tokyo*

Jean-Claude Derniame  
Badara Ali Kaba David Wastell (Eds.)

# Software Process: Principles, Methodology, and Technology



Springer

**Series Editors**

Gerhard Goos, Karlsruhe University, Germany  
Juris Hartmanis, Cornell University, NY, USA  
Jan van Leeuwen, Utrecht University, The Netherlands

**Volume Editors**

Jean-Claude Derniame  
LORIA  
Bdv. des Aiguillettes, P.O. Box 239  
F-54506 Vandoeuvre Cedex, France  
E-mail: Jean-Claude.Derniame@loria.fr

Badara Ali Kaba  
Polytechnical University of Bobo-Dioulasso  
01, P.O. Box 1091, Bobo-Dioulasso 01, Burkina Faso  
E-mail: kaba@esi.univ-ouaga.bf

David Wastell  
University of Manchester, Department of Computer Science  
Oxford Road, Manchester M13 9PL, UK  
E-mail: was@cs.man.ac.uk

Cataloging-in-Publication data applied for

**Die Deutsche Bibliothek - CIP-Einheitsaufnahme**

**Software process : principles, methodology, and technology / Jean-Claude Derniame ... (ed.). - Berlin ; Heidelberg ; New York ; Barcelona ; Hong Kong ; London ; Milan ; Paris ; Singapore ; Tokyo : Springer, 1999  
(Lecture notes in computer science ; 1500)**  
**ISBN 3-540-65516-6**

CR Subject Classification (1998): K.6.3, D.2, K.6

ISSN 0302-9743  
ISBN 3-540-65516-6 Springer-Verlag Berlin Heidelberg New York

This work is subject to copyright. All rights are reserved, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, re-use of illustrations, recitation, broadcasting, reproduction on microfilms or in any other way, and storage in data banks. Duplication of this publication or parts thereof is permitted only under the provisions of the German Copyright Law of September 9, 1965, in its current version, and permission for use must always be obtained from Springer-Verlag. Violations are liable for prosecution under the German Copyright Law.

© Springer-Verlag Berlin Heidelberg 1999  
Printed in Germany

Typesetting: Camera-ready by author  
SPIN 10638944 06/3142 – 5 4 3 2 1 0 Printed on acid-free paper

# **Foreword**

***Jean Claude Derniame<sup>1</sup>***

Software process technology is an emerging and strategic area that has already reached a reasonable degree of maturity, delivering products and significant industrial experiences. This technology aims at supporting the software production process by providing the means to model, analyse, improve, measure, and whenever it is reasonable and convenient, to automate software production activities. In recent years, this technology has proved to be effective in the support of many business activities not directly related to software production, but relying heavily on the concept of process (i.e. all the applications traditionally associated with workflow management). This book concentrates on the core technology of software processes, its principles and concepts as well as the technical aspect of software process support.

The contributions to this book are the collective work of the Promoter 2 European Working Group. This grouping of 13 academic and 3 industrial partners is the successor of Promoter, a working group responsible for creating a European software process community. Promoter 2 aims at exploiting this emerging community to collectively develop remaining open issues, to coordinate activities and to assist in the dissemination of results. The title "Software Process Modelling and Technology" [Fink94] was produced during Promoter 1. Being "project based", it presented the main findings and proposals of the different projects then being undertaken by the partners. The present book is more ambitious for two reasons: it is "principles oriented" and it is intended to reflect our common understanding of the key concepts.

In order to produce it, we have adopted, from the beginning, an explicit "book writing" process and we have also described it with one of the available formalisms. This is used as an example in Appendix C to illustrate the discourse and to defend the thesis that software process technology can be exploited in other related domains. Each chapter has specific editors and contributors, and contributions have been discussed and amended before being integrated. The global editing has been decomposed into two facets, with the syntactic and semantic editing undertaken by Ali Kaba and myself, and a complete revision to transform our "Esprit English" into one more correct, with thanks to the IPG at Manchester for their enormous contribution.

Nancy, France

December 1998

---

1. Coordinator of the Promoter and Promoter 2 Working Groups. Promoter is a research working group funded by the ESPRIT programme under reference WG 21 185. The members can be reached at [promoter@loria.fr](mailto:promoter@loria.fr).

# Contents

<b>1</b>	<b>The Software Process: Modelling and Technology</b>	1
1.1	Introduction	1
1.2	The Perspective of this Book	2
1.3	Processes and Process Models	3
1.4	A Simple Example: Software Change	5
1.5	Process Modelling	7
1.5.1	Basic Elements	7
1.5.2	Process Model Levels	8
1.5.3	Process Model Views	9
1.6	Process-sensitive Software Engineering Environments	10
1.7	Meta-Process	11
1.8	Conclusion	12
<b>2</b>	<b>Software Process — Standards, Assessments and Improvement</b>	15
2.1	Introduction	15
2.2	Standard Processes	16
2.2.1	ISO 9000-3	16
2.2.2	PSS-05	17
2.2.3	ISO-12207	18
2.3	Assessment Methods	19
2.3.1	The Capability Maturity Model	19
2.3.2	Bootstrap	21
2.3.3	SPICE	21
2.3.4	Summary	22
2.4	Improvement Methods	22
2.4.1	Quality Improvement Paradigm	22
2.4.2	The Personal Software Process	23
2.4.3	Total Quality Management	24
2.5	Standards and Software Process Technology	25

## VIII Contents

<b>3</b>	<b>Process Modelling Languages</b>	27
3.1	Introduction	27
3.2	Requirements on Process Modelling Languages	28
3.2.1	Process Elements	29
3.2.2	PML Requirements and Meta-process Phases	31
3.3	Possible PML Technologies from Other Languages/Domains	34
3.3.1	Project Management	34
3.3.2	Formal Specification Languages	34
3.3.3	Informal Design Notations	35
3.3.4	Programming Languages	35
3.3.5	Database Languages	35
3.3.6	CASE Tools and Tool Integration Mechanisms	35
3.3.7	WorkFlow and Groupware	35
3.3.8	The PML Design Dilemma: One or Many PMLs?	36
3.4	Process Modelling Languages in the Promoter Context	38
3.4.1	The Survey Method	38
3.4.2	EPOS SPELL	39
3.4.3	SOCCA	39
3.4.4	Merlin	40
3.4.5	OIKOS	41
3.4.6	ALF	41
3.4.7	ADELE-TEMPO	42
3.4.8	SPADE	42
3.4.9	PEACE+	43
3.4.10	E3	44
3.4.11	PADM	44
3.4.12	Discussion	45
3.5	Other PMLs	47
3.5.1	APPL/A	47
3.5.2	MARVEL	48
3.5.3	Process Weaver	49
3.6	Possible Groups of PMLs and PSEEs	50
3.7	Conclusion	51
<b>4</b>	<b>Meta-Process</b>	53
4.1	Introduction	53
4.1.1	Overview	53
4.1.2	Meta-Process and Quality Improvement	55
4.1.3	Existing Meta-Processes	56
4.2	Requirements for a Meta-Process	59
4.3	A Model of the Meta-Process	61
4.3.1	Introduction	61
4.3.2	Control and Problem Solving	61
4.3.3	Consistency Management	63

4.3.4	Task Decomposition	65
4.3.5	Method Specialisation	66
4.3.6	Remarks on the Model	66
4.4	PROMOTER Reference Model (PRM)	67
4.4.1	Model Structure	67
4.4.2	Method Specialisation	70
4.4.3	Task Decomposition	71
4.4.4	Consistency Management	72
4.5	Validation of the PRM with Respect to Requirements	73
4.6	Empirical Justification of PRM	74
4.6.1	Introduction	74
4.6.2	The Customisation of PRM as QIP	74
4.6.3	The Customisation of PRM as PRISM	76
4.6.4	The Customisation of PRM as “Process Life-cycle”	76
4.6.5	Experience from Empirical Justification	78
4.7	Validation with respect to CMM	80
4.7.1	Introduction	80
4.7.2	Consistency Management	81
4.7.3	Task Decomposition View	81
4.7.4	Method Specialisation View	85
4.8	Validation of PRM with respect to Implementation	86
4.8.1	Introduction	86
4.8.2	ProcessWise Integrator	86
4.8.3	The Model	87
4.8.4	The Scenario	87
4.9	Conclusion	90
4.9.1	Requirements	91
4.9.2	Managing the Process Improvement Process	91
4.9.3	Looking at other Meta-Processes	91
4.9.4	Why Use a PRM?	92
4.9.5	The Way Forward	92
<b>5</b>	<b>Architectural Views and Alternatives</b>	95
5.1	Basic Components	95
5.1.1	A Reference Model for Architectures in PSEEs	95
5.1.2	Dialog Management	96
5.1.3	Process Management	98
5.1.4	Workspace Management	99
5.1.5	Repository Management	100
5.1.6	Communication Management	105
5.1.7	Tools	106
5.2	Architectures for Distributed PSEEs	107
5.2.1	Determinant Requirements on Architectures for Distributed PSEEs	107
5.2.2	Architectural Alternatives for Distributed PSEEs	108

## X Contents

5.3	Example Architecture: The Distributed PSEE Merlin .....	111
5.3.1	Instance View on the Merlin Architecture .....	111
5.3.2	Type View on the Merlin Architecture .....	111
<b>6</b>	<b>Cooperation Control in PSEE .....</b>	<b>117</b>
6.1	Introduction .....	117
6.1.1	Objective .....	117
6.1.2	An Illustrative Example .....	118
6.1.3	Organisation of the Chapter .....	123
6.2	Moving from Traditional to Advanced Applications .....	123
6.2.1	ACID Properties .....	123
6.2.2	From ACID to Non-ACID .....	124
6.2.3	From Flat to Nested .....	124
6.2.4	From Closed to Open .....	124
6.2.5	Hierarchical versus Layered .....	125
6.2.6	Homogeneous versus Heterogeneous .....	125
6.2.7	From Transient to Persistent .....	125
6.2.8	Available Advanced Transaction Models .....	125
6.2.9	Summary and Analysis .....	131
6.3	Impact of Cooperation Control on the Architecture of PSEE .....	133
6.3.1	Impact of the Repository on Consistency Maintenance .....	135
6.3.2	Workspaces: an Abstract Level to Support Flexibility .....	136
6.3.3	Predefined Synchronisation Strategies Layer .....	138
6.3.4	The Knowledge Management Layer .....	139
6.3.5	The Interface Layer .....	140
6.4	Current Work .....	141
6.4.1	The COO System .....	141
6.4.2	The MERLIN System .....	148
6.4.3	The ADELE System .....	153
6.4.4	The SPADE System .....	158
6.4.5	Other Facets of Cooperation .....	164
6.5	Conclusion .....	164
<b>7</b>	<b>The Human Dimension of the Software Process .....</b>	<b>165</b>
7.1	Introduction .....	165
7.2	Three Organisational Contexts of Software Development .....	166
7.2.1	In-house Development in “ACME Stores”: the Fetish of Methodology ..	166
7.2.2	Case B: Implementing Quality Management in a Software House (Columbine) .....	168
7.2.3	Case C: User Involvement in the Development of a Medical Workstation ..	169
7.2.4	General Remarks on the Cases .....	171
7.3	The Social Dynamics of the Software Process .....	172
7.3.1	MIS Research on the Software Process .....	172

7.3.2	The Contribution of Software Psychology .....	176
7.3.3	Process Modelling and Enactment: Some Practical Experiences. ....	179
7.4	The Human Role in the Software Process: Dowson's framework .....	182
7.4.1	Dowson's Framework .....	182
7.4.2	User Interaction .....	184
7.4.3	User Interaction, Learning and the Meta-Process .....	186
7.4.4	Interpersonal Interaction .....	187
7.5	A Human-Centred Approach to Software Process Support .....	189
7.5.1	The Need for an “Ecological Approach” in Software Process Research ..	190
7.5.2	Synergy with Computer Supported Cooperative Work .....	191
7.5.3	The Limits of the Process Enactment Paradigm .....	192
7.5.4	The Software Process is a Learning Process .....	194
7.6	Conclusion .....	196

<b>8</b>	<b>Software Process: Key Issues and Future Directions .....</b>	201
8.1	Introduction .....	201
8.2	Summary of Key Issues .....	201
8.2.1	Process Modelling Languages .....	202
8.2.2	The Meta-Process .....	202
8.2.3	PSEE Architecture .....	203
8.2.4	Cooperation Control .....	204
8.2.5	Social Aspects .....	205
8.3	Wider Applications .....	207
8.4	Future Trends .....	210
8.4.1	Evolution of Software Development Practice .....	210
8.4.2	Technology Evolution .....	211
8.4.3	Application Domain Evolution .....	212

## Appendix

<b>A</b>	<b>Lifecycle (Sub) Process Demonstration Scenario (ISPW 9) .....</b>	217
A.1	Background .....	217
A.2	Introduction .....	217
A.3	Problem Reporting and Change Process .....	218
A.4	Sub-scenarios .....	219
<b>B</b>	<b>Annotated Bibliography on PSEE/PML .....</b>	223
B.1	PMLs .....	223
B.1.1	Japanese and American PSEEs .....	223
B.1.2	European PSEEs .....	223

xii Contents

<b>C Case Study Demonstrating the Wider Applicability of the PSEE Paradigm .....</b>	<b>227</b>
C.1 Introduction .....	227
C.2 Informal Formulation of the Example .....	227
C.3 A Preliminary Discussion of the Example .....	228
C.4 A First Level of Process Modelling .....	230
C.5 A Top-Down LCPS Model for the Example Process .....	235
C.6 Discussion of the Example Process Models .....	239
C.7 Conclusion .....	243
<b>D Assessment Framework for PSEEs .....</b>	<b>245</b>
D.1 Product .....	246
D.2 Activity .....	248
D.3 Workspace .....	254
D.4 Cooperation .....	257
D.5 Process and Meta-process Support .....	263
D.6 Process Tracking and Time Constraints .....	268
D.7 Human and Social Aspects: Costs and Benefits .....	273
<b>Glossary .....</b>	<b>277</b>
<b>References .....</b>	<b>281</b>
<b>Index .....</b>	<b>305</b>