A Final Report
for Year Two of the Task
Methodology for Automating
Software Systems

Task I of the Foundations for
Automating Software Systems.

Prepared for Tim Crumbley
NASA Marshall Space Flight Center
Redstone Arsenal, Alabama

by

Dr. Warren Moseley
University of Alabama in Huntsville
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Introduction

This report will consist of four parts.

Section I - Software Assessments for Government Contractors

Section II - The Poor Man's Case Tool at age Two

Section III - Requirements Traceability using Expert Systems Tools

Section IV - Theoretical Foundations of the Poor Man's Case Tool

SECTION I

SOFTWARE ASSESSMENTS FOR GOVERNMENT CONTRACTORS

Software Assessments for Government Contractors.

On December 9, 1989, Dr. Carl Davis, Dr. Ashok Amin, Dr. Jim Hooper, and Dr. Warren Moseley attended the briefing for the Software Assessment Program at the Software Engineering Institute - Carnegie-Mellon University in Pittsburgh Pennsylvania. We were introduced to the SEI work on Software Process Modelling and the emphasis on the software assessment model. The first section of this report focuses on two areas of this assessment. These two areas are:

1. Software Process Modelling,
2. The Software Assessment Criteria.

Software Process Modelling and the Software Assessment
Software Engineering Institute, SEI, located in Pittsburgh, Pennsylvania, is a federal funded research and development center operated by Carnegie-Mellon University, under contract to the Department of Defense. An SEI objective is to provide leadership in software engineering and in the transition of new software engineering technology into practice.

In this paper we will discuss the software process modeling and the impact of software process modeling on the functional capabilities of the software engineering group at Building 4487 at NASA/Marshall Space Flight Center. The purpose of the method for assessing the software engineering capability of contractors was to facilitate objective and consistent assessments of the ability of potential Department of Defense (DoD) contractors to develop software in accordance with modern software engineering methods. Such assessment would be conducted either in the presolicitation qualifications process, in the formal for proposal selection process or perhaps in both. This document is intended to guide the assessment of the contractors overall software engineering capability. It can be also valuable in the assessment of a specific project team's software engineering capability. This document can also be used as an aid to the software development organizations in conducting internal assessments of their own software answering capability. The helps and suggestions in this document are designed to be a help in an assessment teams to finding the highest priority for improvement of the organization's capability. A well-defined software process is needed to provide organizations with a consistent framework for performing their work and improving the way they do their work. An
overall framework for modeling simplifies the task of producing process models, permits these models to be tailored to individual needs, and facilitates process evolution.

Considerable attention has been devoted to software process modeling during the past few years. In the Poor Man's Case Tool which was developed under the direction of the software engineering group at NASA, the concept of process modeling has been an integrated overall part of the entire computer assisted effort for software engineering in this particular contract. Models of the software life cycle processes are expected to provide a means for reasoning about the organizational processes used to develop and maintain software. Most efforts in this field have focused on the functional or task oriented aspects of the process. Although a few recent efforts have proposed behaviorally oriented modeling approaches. Even these however still approach behavioral modeling from a task oriented standpoint. Several people work cooperatively on a common project. They need someway to coordinate their work. For relatively small or simple tasks this can often be done informally, but with larger numbers of people or for more sophisticated activities, more formal arrangements are needed.

For example, process definition can be compared to football training. Teams without defined and practice plays do not make the play-offs. Or the sequence of plays will change from game to game, The winning team generally has worked out the plays in advance, knows when to use them, and can perform them with skill. The software process is much the same. Unfortunately, a few software teams work out their plays in advance, even though they know the key problems they will encounter. For some reason they act as if late requirements
changes, regressions, or system integrations problem will never occur. The software process is a technology and managerial framework established for applying tools, methods, and people to the task of creating quality software. A defined process not only prepares for likely eventualities, it also provides a mechanism for organized learning.

As projects improve their methods for handling key tasks, these can be incorporated in the repertoire of plays available to the rest of the organization. This process definition makes it easy for each new project to build on the experience of its predecessors, and also protects against the dangers of ill-prepared crisis reactions.

An important observation of process management is that process changes adopted in a crisis are often generally misguided. Crisis are the times when shortcut are most likely when organizations are most prone to omit critical tasks. These shortcuts often lead to truncated testing, missed inspections, and deferred documentation. With time at a premium, rationalization is most likely and process judgements are least reliable. Because it is difficult to justify many tests, analysis or inspections in the heat of the moment, a thoughtfully defined and approved process can be a great help. When the crisis occurs, it has been anticipated and established means are at hand to deal with the crisis situation. In short, a defined process provides the software professional with the framework they need to do a consistently professional job.

While there are often needs for project specific process tailoring, there is also a compelling reason for a standard process framework:
1) Process standardization is required to permit training, management review, and tool support. With standard methods, project experience can contribute to the overall process improvement in the organization. Process standards provide a structured basis for measurement because process definitions take time and effort to produce. It is impractical to produce a new one for each project because the basic tasks are common to most software engineering projects. A standard process framework will need only modest customization to meet most special project needs. A software process architecture is the framework within which a project's specific software processes are defined. It establishes a structure, the standards, the relationships of the various process elements. Within such an architectural framework, it is possible to define many specific processes. A software process model is then one specific embodiment of such a software process architecture. While software process models may be constructed at an appropriate level of abstraction, the process architecture must provide the elements, standards and structural framework for refinements to any desired level of detail. The criteria for effective process models: Before establishing criteria for evaluating process model approaches, it is first necessary to define the uses of such models. The basic uses for process models are:

1) Enable effective communication regarding the process. This could involve communication among process users, process
developers, managers, or researchers. It enhances understanding, provides a precise basis for process execution and automation, and facilities personal mobility.

2) Facilitates process reuse. Process development is time consuming and expense. Few projects can afford the time or resources to totally develop their own software processes.

3) Supports process evolution. Precise easily understood, expandable, and reusable process definitions provide an effective means for process learning. Good process models are thus an important element of software process improvement.

4) Facilitate process management: Effective management requires a clear understanding of plans and the ability to precisely characterize status against these plans. Process models potentially provide a framework for precisely defining process, status, criteria, and measurements.

From the above it should be clear that process models must provide the following capabilities:

a) They should represent the way work is actually done or actually to be done in the organization.

b) Provide a flexible and easily understandable yet powerful framework for representing and enhancing the process and

c) Be refineable to what ever level of detail is necessary.

The first two points are relatively obvious, but the third one is often overlooked. As improvements are made in supporting the software process, precise task definitions are required to permit effective tools and environment development. As with any data
processing application, poorly understood tasks lead to inadequate requirements in ineffective systems. What is more challenging than most application developments, software process automation is much like application development and thus must start on precise process models at relatively deep levels of detail.

Finally, to be most effective in supporting the four objectives of process modeling, process models must go beyond representation. They must support comprehensive analysis of the process through the model, and allow predictions to be made regarding the consequences of potential changes and improvements. Certainly, modeling approaches that smoothly integrate representation, analysis, and predictions are preferred.\textsuperscript{123}

A number of process models have been proposed in the literature, including the Waterfall Model\textsuperscript{45} and the Spiral Model\textsuperscript{6}. While these models has been helpful in explaining the software development process, they has several shortcomings with respect to the above criteria.

5Royce, W., Managing The Development of Large Software Systems,Proceedings of the 9th International Conference on Software Engineering,IEEE 1987, Pages 328-338. \\
6Barry W. Boehm , A Spiral Model of Software Development and Enhancement,ACM Software Engineering Notes,No. 11, Vol. 4.,August 1986, Pages 14-24.\end{flushleft}
1) They do not adequately address the evasiveness of changes in the software development.

2) They unrealistically imply a relative uniform orderly sequence of development activities.

3) They do not easily accommodate such recent developments as rapid prototype or advanced languages.

4) They provide insufficient details to support process optimization.

The overall reliance on the Waterfall Model has had several uniform unfortunate consequences. First, by describing the process as a sequence to requirements, design, implementation, and tests, each step is viewed as completed before the next one starts. The reality is that requirements live throughout the development and must be constantly updated. Design, code and test undergo a similar evolution. The problem is that when managers believe this unreal process, they require that designs, for example, be completed before implementation starts.

Everybody who has ever developed much software knows that there are many tradeoffs between design and implementation. When the design is not impacted by implementation, it means that either the design went too far or the process was too rigid to recognize and adjust implementation problems. The design and its documentation must evolve in concert with the implementations. Unrealistic software process models also bias the planning and management system. When requirements are supposed to be found before design
starts, various documents and reviews are conducted to demonstrate requirements completion. Since these documents must also change as design issues are exposed, the status view of requirements can be counter productive. Fuel is added to the fire by pressure from management with an early freeze on changes. This inhibits creative design requirements tradeoffs just when they should be encouraged. These problems have corresponding analogs in design implementation, and tests. The final consequence is process measurement. When an unrealistic process model is used as a basis for planning, the measurement and tracking system is corrupted. Since resources or lead times standards are corrupted by the lack of clear activity boundaries planning and tracking are equally imprecise.

The fundamental problem with the current software process models is that they do not accurately represent the behavioral or timing aspects of what is really done. The reason is that traditional process models are extremely sensitive task sequences. Consequently, simple adjustments can require a complete restructuring of the model. Rather than making an arbitrary decision such issues should be referred to a systems design group for resolution.

The Software Assessment Criteria.

It should be pointed out in the consideration for a software assessment that the results of the software assessment are confidential, and they are to be used initially as a means of assessing the current situation of the organization.
Section II
The Poor Man's Case Tool
at Two Years Old II. General Introduction and Background for The Poor Man's Case Tool (PMCT). Research Platform CASE Environment.

The University of Alabama in Huntsville is in the third year of a five-year intensive research program to establish a experimental research platform for software engineering. There will be a major emphasis placed on CASE and the importance of CASE to the improvement of the practice of software engineering. This project is a first step in establishing this research program, and first in a part of this three year effort here at NASA.

Outline of major functions of our case tool

The operation of this system, Poor Man's CASE Tool, is based on the Apple Macintosh system, employing available software including: Focal Point II, Hypercard, XRefText, an existing Expert System Tool and Sidekick. These programs are functional in themselves, but through advanced linking are available for operation from within the tool under development.

The software industry is in need of maps, a plan where they want to go, how they want to get there and something to measure their progress as they journey. They need CASE tools. As hardware technology advances are reported on a daily basis, true software advances are much fewer and farther between. The technology required to dramatically increase the processing speed of a computer produces very visible and objective results, but software improvements are often subjective and very tenuous. Today the focus on software is no
longer entirely aimed at getting the job done, but, due to the rising cost of maintaining and developing software, rather, to make the process of arriving at the solution more efficient. Since applicable software theory is limited to the confines of the hardware and operating systems available, and major breakthroughs are rarely imminent, the only solution to this "software crisis" is some form of software production engineering. This methodology would allow software to be synthesized instead of "written" or even "built."

Computer Aided Software Engineering, CASE, is a tool well suited to this concept. Software development has already gone through enough phases to allow for reuse of design at the concept or even the code level. Such is the aim of the Department of Defense mandating that all new software systems be written in a standardized and certified Ada system. Thereby a new portability can be found in one of the largest software development arenas in the world. This mandate also implies some operation requirements on the hardware to be used. What has then been ordained is an ability to employ "technology transfer" across development lines. This allows for information and ideas to be reused, since, in the present economy, it is far cheaper to use something that has already been done, than it is to prepare a customized system. While the tendency used to be that a customer would require a system to do the job just as he did it on paper, or by hand, today's customers are more ready to accept something that works already and make some modification to the process to be performed, whether it involves simply using a new form or a new procedure. The task is not to get the old job done, but to produce better results more efficiently.
The state of the software world is still predominantly made up of custom built software systems, but as more modular languages, such as Pascal, C and Ada, and operating systems, such as UNIX and UNIX derivatives, come into play, generic function code segments no longer need to be rewritten. The programmer need only pool his resources with those of others and find a routine that already performs the required function. Fortunately, the availability of these routines and access to them is steadily increasing through the use of Local Area Networks, Bulletin Boards, software libraries and software warehouses. All of these facilities encourage sharing software and are being relied upon more and more to cut down on development time. Although much is being done about this problem, it still remains. There are only so many concept changes than can be effected in the current software development and use arenas, since there is such a large distribution of effort and users in the field.

Standards, wisely chosen and stringently implemented, will help to set the pace, but the volatility of the computer industry itself does not lend itself to a lot of trust in committing to a specific system. Today, standards are more widespread, but changes are still rapid, and necessary. As standards approach the concept and implementation level, that is beyond specific coding routines and methodologies, real, functional, progressive systems can be implemented at many levels of service.

The term ‘CASE TOOL’ refers to a computer system tool which provides the capability to perform software system design, i.e., Computer-Assisted-Software-Engineering. The approach represents the problem solving process at an extremely high level of abstraction.
I feel this is important since often the software engineering process relies specifically on an outline of the complete problem domain. After all, if the engineer cannot see 'the big picture' how can he be expected to know exactly where the smaller entities and procedures should be integrated. The development of CASE tools has been fairly recently introduced into the software development community and has been met with a tremendous amount of enthusiasm. The functionality of a CASE tool is based upon the general structure of the software life-cycle and is built to allow a general specification for each phase of the software engineering process. This capability provides a flexibility that cannot be found with other software design tools. From the specification / requirements phase where data dictionaries / entity relationships are constructed, to the maintenance phase where the system design can be restructured, the CASE environment provides a variety of tools to aid in the construction of system software.

II. CASE Needs

The fact that CASE tools are in great demand is partially due to the change in software needs: programs should be efficient, easily maintained and modifiable, and are usually quite large. The size of programs especially calls for an efficient organizational tool for the software engineering process. Many times, the design process is documented on blackboards, and some even reside completely inside one software engineer's mind. This causes an extremely difficult problem for the implementation of large systems when many programmers are needed to complete the task. Also, the diverse methods used by some designers do not allow for easy access to program sections by other persons of the software development team.
The use of CASE tools, however, provides a means in which the entire task (be it large or small) can be assigned to any number of designers on the team. This capability allows documentation to be constructed while the system is being constructed. Therefore, the integration of the entire system and changes to the design can both be performed easily. Not only documentation, but when one member of the team finds a need to access information from another team member, that information can be accessed immediately from the same environment. This has a psychological impact, in fact, when each member feels like 'part of the whole', the system design process will be more expediently performed.

**Artificial Intelligence and Software Engineering**

The following diagram illustrates the relationship of Artificial Intelligence and Software Engineering and how some of the components fit into an overall scheme of problem solving.
Figure 2.1

This diagram is included in this report to give an overall road map to the process involved in this section. It will be important in the future of an experimental platform to have the ability to merge the two technologies, Software Engineering and Artificial Intelligence. This is
an important factor. In the first prototype of the PMCT the sections of Artificial Intelligence (AI) are not included. It is important to understand that phase one of the task Methodology for Automating Software Systems includes the establishment of the overall framework for the inclusion of all of the components.

Since the original prototype of MASS was done on the Macintosh, primarily in Hypercard, the ability to launch application gives NASA the ability to invoke Clips from any point in the process. Dan Rochowiak in his task, which is a part of the overall UAH task, shows a demonstration of how Clips can be used in the context of a Hypercard application. This concept will be explored in more detail in phase II and phase III.

The Sequence of Events

This section is the reference facility designed to start the design and then keep it on track once design is in process.
The original proposal is entered into this section and it is modified only as the customer deems necessary, beyond this, it is only used as a reference tool to keep the project in line with the customer demands.

The Tool also includes work planning tools, including facilities to generate PERT charts and COCOMO cost estimating models. These tools are industry standard job tracking references, allowing new users with project control experience to use the system without having to learn new methods of project tracking.

Another portion of the tool maintains the project database. Functions of this portion include specification generation and analysis. These segments are generated at the inception of the project and serve as benchmarks for the design process. The Data Dictionary support environment is maintained through the use of Hypercard and facilitates
quick paging through data samples and formats. This section is directly accessible through the Tool’s main menu. The Screen Painter serves as a user interface to the Data Dictionary. Using Focal Point II, it allows the user to create data entry and query forms to be used against the dictionary. Implementation support is a repository of functions to control and maintain system software design. The functionality of this would also include traceability of software modifications and other configuration management functions, such as binary library maintenance. This portion also includes the DOD standard specifications for software development, and a reusability subsystem, to prevent duplicate effort on the same project.

**Tool Integration is the Focal Point.**

One of the main objectives of the Poor Man's Case Tool was to provide access to a variety of tools for an integrated software development environment. The idea that a system should be visually intuitive is the focus of this project. From this point the user can get to any portion of the Case tool that is needed. One of the important parts of this tool is the Project Monitoring function. It does not appear on the main card or anywhere in the utilization of the tool. One of the ideas for this project was to try to derive from simple work pattern study techniques the sequence of events and underlying patterns that are an integral part of the software engineering process. The project monitoring function is totally transparent to the engineer that is using the tool. This places no burden on the engineer in the data collection process. From studying the patterns, further research will be conducted to help derive the conceptual structures that are a part of the thought process that goes into the design of software products.
There are several major functions contained in our CASE tool, built for NASA, they include capabilities to perform the following tasks:

Planning and Monitoring
  Statement of Work
  Automated Status Reports
Cost Estimation
  Expert Systems Projects
  Conventional Software Projects
Project Data Base Construction Tools
  Flexible Drawing Tool
    Included Drawing Tools
    Links to existing Drawing Tools
Data Dictionary
Implementation Interface
  Compiler Support
  Configuration Management Support
  Complete Automated Traceability Support

These components are the major tools used by software engineers for a complete software design. They work together as illustrated. In order to visit any section of the tool just point the mouse at the appropriate item and click the mouse to select that item. The following screen is the main focal point of the entire Poor Man's Case Tool (PMCT).

Important Change since Mid-Year Report.

There have been many additions since the generation of the first Mid-Year Report. The first is the main screen and the approach for the software engineer, and the approach to the entire software process.
Figure 2.3

With the pull down menu in the above screen, the user has options not before available. This Menu looks like the following.

Pull Me Down
  Process
  Methods
  Plan
  Repository
  Help

Assume the user chooses Methods as the selection the following screen would appear. A major change to the PMCT is that now the tool provides methodology specific help and drawing tool aid. The current methods supported at this time are Data Flow, Data
In addition there is also the addition of process. A CASE tool will not provide the desired result unless it is based on an adequate software process model. The Current models available are IEEE, 2167a, and the NASA Management Standard.
One of the salient features that has been added to the PMCT since the mid-year is the inclusion of a simple report generator. It was decided to use the package REPORTS from Activision for the prototype, since it works easily with the existing hypercard framework. The following is the new data dictionary setup in the PMCT. It is this structure that allows for expanded control of the data dictionary. When one is satisfied that the data dictionary is correct, or one wants to examine the data dictionary, the person can
select a report card from the reporting section of the data dictionary stack. The following is the standard reporting card. For further features see the Reports Reference Manual.
Figure 2.7

Drawing Tool

Description

The drawing tool assists in the creation of Data Flow Diagrams. The tool provides buttons that generate fields to represent External and Storage nodes, creates a button to represent a Process node and generates a field to contain the Data Link. These objects allow the data flow diagram to be searched by button links and text searches. A set of Macpaint tools is included to add additional text and graphics to the diagrams. The objects can be modified or deleted at any time. It should be noted that the user can select the option of using the embedded drawing tool or they may choose to import into this drawing tool their favorite format.

Importance
The drawing tool provides a map into the design of the project. This map is a high level plan toward achieving the project goal, describing the flow of data and the relationship among components. The drawing tool is the map that guides the creation of the other maps within the CASE tool.

**Sample Example**

The following will be a sample of the types of screens that will be available from the drawing tool. The first is the main card. The entire drawing tool is completely flexible to support many types of applications. It will make available through selective buttons the ability to create and modify standard shapes, such as oval, square etc. The user can just point the mouse at the buttons and click to create that shape.
Notice the icon in the bottom of the screen, this is a sticky note. When the user clicks on this it will pop open a note window for the user to collect and record any thoughts on the subject at hand. The user can then easily tuck these away into the existing diagram, by closing the window.

The Report Generator is also active in this section of the PMCT. There are numerous reports that one can select from the PMCT.

**Job Aid**

All of the accessible functions in the Poor Man's Case Tool have their own job aids. The idea was to make the initial training time
minimal, and to provide a level of context sensitive help facilities available to the novice user as well as the experienced user.

**Figure 2.9**
Data Dictionary Support Environment

Data Dictionary Description

In PMCT the data dictionary is directly linked to the drawing and vice versa. It is important and mandatory to establish this link between graph and dictionary. The data dictionary is a storehouse of information for data fields. The data dictionary is responsible for describing many aspects of the total system. The data dictionary includes many cross references between data elements and program modules. The cross references also include modules, the reports they generate, and the variables used in them. The information that the dictionary contains is broken down into three parts.

The sections of the PMCT

1. Start up procedures
   a. Who is doing the project
   b. Scope of Project
   c. Project Start
   d. Scheduled Completion
   e. Why is the project being done
   f. Who says what the project will encompass
   g. Who is going to pay for the project

2. Personnel
   a. Group Name
   b. The Database Administrator
   c. Individual member of the group
   d. The individuals job title
   e. The company that the individual works for
   f. The address of the company
   g. Phone numbers for contacting the individual
3. Variables and Data
   a. Project ID
   b. Group Name doing the project.
   c. Variable name
   d. Variable length and range
   e. Variable type
   f. Modules accessed
   g. Reports generated
   h. Module Creation and Update

Importance:

The importance of the data dictionary is to limit the confusion that occurs during major programming tasks. The standards are set up in the data dictionary that the project will use. The data dictionary allows everyone access to the standard format of the data and the standard usage of the data. In this respect the data dictionary directly supports software development and maintenance.

The next information is the personnel assigned to the project and the information pertinent to each of those personnel. Notice that the Job Aids are always accessible from any place.

Put in new Data Dictionary Form
Figure 2.10

The report generator can generate reports from the data dictionary.

Figure 2.11
This customizing process is quite simple and flexible in the framework of the hypercard environment.

<table>
<thead>
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<th>Sort by Field Name</th>
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<table>
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<th>Validation Propagation</th>
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</table>

Figure 2.12

Job Aid

It is an important feature to remember that all screens contain a link to the job aids for that section of the project. It is also important to indicate that in the job aids themselves there is the ability for the end user to have on-line note-taking capability, so they can enhance the job aids.

Screen Painter

Linked directly to the data dictionary and contained in the Reports section of the PMCT is the ability to select fields into a temporary schema and produce a painted screen or mock report. This
utilizes a tool called Reports. Reports is a simple easy report generator available inside hypercard.

Implementation Support Standards

The standard supported by PMCT are NASA Management Standards for Space Station, DoD STD 2167 and associated companion document DoD STD 287.

This will be a system and format designed to maintain coordination of development of project components. A statement of this standard follows:

Figure 2.13
The above is a sample of the main screen in the online version of 2167. Currently the process is in place to move to 2167a and 287.

**Importance**

The importance of this aspect of the Tool following this standard is that it will allow for more structured and traceable code development. Since this standard will become the model for all new code development for military projects, government contracting corporations will be required to present their development work in this format. This standardization for such a large industry will lead to a more evenly distributed development process for all software development undertakings.
Data requirements list and cross reference. When this standard is used in an acquisition which incorporates a DD Form 1423, Contract Data Requirements List (CDRL), the data requirements identified below shall be developed as specified by an approved Data Item Description (DD Form 1664) and delivered in accordance with the approved CDRL incorporated into the contract. When the provisions of the DOD FAR Supplement 27.410-6 are invoked and the DD Form 1423 is not used, the data specified below shall be delivered by the contractor in accordance with the contract or purchase order requirements. Deliverable data required by this standard is cited in the following subparagraphs.

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</table>

Figure 2.14
Compiler Interface

The next section of the implementation part of PMCT is the Compiler Support interface. This would allow the users to select the compiler of their choice.

Sample Example

The following is a sample example of the compiler interface card.

![Compliers](image)

Figure 2.15

Reusability Component Library Interface

Description and Importance.

Reusability is not a new concept in the world of software engineering. Software engineering has reached a "software crisis", (an overwhelming increase in the demand for software that is reliable,
efficient, maintainable, understandable, delivered on time and at "reasonable" costs), that has brought reusability into the spotlight. This "software crisis" has made the reusability of software an issue that must be reconciled. Reuse is the use of previously acquired concepts and objects in a new situation.

Reusability is a measure of the ease with which one can use those previous concepts and objects in the new situation. "With both software production costs and the amount of new software produced escalating annually, the application of reusability to software development offers the potential for vast improvements in programmer productivity which will be a key to solving the "software crisis". If current trends continue, in the near future many companies that have not adopted software reuse as a standard will find themselves in a situation where they can no longer be competitive in the contracts arena. Boehm\(^1\) has stated that, "the demand for new software is increasing faster than our ability to supply it, using traditional approaches."

With systems today being too large for a single individual to comprehend and increased pressure to keep development costs less than system complexity growth, and the cost of software being an exponential function of its size, there is the creation of a no win situation for software developers using the traditional approaches referred to by Boehm. This, and the serious shortage of qualified programmers to meet these demands, will become a driving force behind reusability.

\(^1\)
The Software Engineering Repository Retrieval System (SERRS) provides a mechanism for the cataloging and retrieval of various repository components. This system implements the design methodology of hypertext. SERRS is implemented in XREFTEXT running on top of HYPERCARD as defined previously.

SERRS was created with the idea of allowing the maximum amount of flexibility for traversal while maintaining a structured traversal method, and minimizing maintenance complexities. Flexibility was built into the basic structure to allow repositories to be added with minimal structure changes. The basic structure is a modified hierarchical structure stored as a key word index stack. Each element on the stack is known as a card. From the top of the structure, forward paths available lead to more detailed levels of the repository, one level at a time. The backward paths of the structure are less hierarchical in that all levels have paths that lead back to the previous level, but there are also paths that return to the top levels. As the user becomes more familiar with the stack, a selection can be made from the key word index that allows the immediate selection of the desired card instead of traversing SERRS from the top. An asterisk, (*), following a word indicates that this is a key word for a card containing information specific to the key word. Selection of this word will provide a forward or backward path to another level.
The first four cards, as shown in Figure 2.16, contain both introductory information concerning software reusability and an informal table of contents. The title page and credits for SERRS is contained on the A'BEGINNING card. The A'BEGINNING card is the highest level of the hierarchy. From the A'BEGINNING card the user can exit SERRS or select a forward path to the Reusability card for an explanation of the principles of reusability, or the Repository card to traverse SERRS. The Reusability card is only a definition card and exists as a side card from A'BEGINNING. Because this card is not an intricate part of SERRS, the user must use the direction keys provided on the top line of the screen to return to A'BEGINNING. The Repository card details the various repositories and provides a brief description of the structure of SERRS, with a backward path to the A'BEGINNING card and a forward path to the SERRS card. The Repository card is the only means to return to the A'BEGINNING card. The SERRS card provides a detailed listing of the high level break down of SERRS, including access to the general copyright and disclaimer information. The SERRS card can be read as an informal table of contents. The hierarchy breaks down into three branches from the SERRS card that will be discussed separately. These branches are: The Component Type, the Available Repositories, and the Classification Characteristics, (refer to Figure 2.16).

The Component Type branch allows the selection of the following component type cards: Artificial Intelligence (AI), Benchmarks, Common APSE Interface Set (CAIS), Communications, Reusable Software Components, Database Management, Documentation, Graphics, Project Management, Ada Software Development Tools (ASDT), and Other Tools,
see Figure 2.17. Each component type card provides a listing of all components specific to a selected component type. From each component type card a backward path is provided to the SERRS card, the Repository card, and to a specific repository card. A forward path to all component cards applicable to the component type is accessible from the component type cards (refer to Figure 2.16). The traversal of the component cards is detailed in the final paragraphs.

**Figure 4**

Figure 2.17

The Available Repositories branch provides access to the various software Repository cards that are available within SERRS, (refer to Figure 2.18). The repository high-level qualifiers are shown in parentheses corresponding to the appropriate repository. The
repositories include: BMA Math (BMA), BOOCH (BOO), CAMP (CMP), GRACE (EVB), QTC Math (QTC), and Simtel20 (S20). From a specific repository card, there is a backward path to the SERRS card. The selection of the Component Type cards provide the forward path within the specific Repository cards. These Component Type cards are the same as the Component Type cards selected in the Component Type branch, (refer to Figure 2.16). Only the Component Type cards specific to a particular Repository card are accessible from that Repository card. From the selected Component Type cards, a backward path can be selected to the SERRS card, the Repository card, and to a specific repository card. A forward path is provided to all Component cards under the component type, see Figure 2.16. Again, the traversal of the Component cards is explained in the final paragraphs.

Figure 5

Figure 2.18
The Classification Characteristics branch accesses eight classification characteristics levels of the Ada language. The eight Classification Characteristics cards that can be selected are: the Generic Packages card, the Definition Packages card, the Object-Oriented Packages card, the Tasks card, the Functions card, the Procedures card, and the Programs card, (refer to Figure 2.19). A backward path can be selected to the SERRS card. The forward paths are the selection of the various Component Cards meeting the selected characteristic, see Figure 2.16. Again, the traversal of the component cards is explained in the final paragraphs.

Regardless of the path chosen, all paths terminate at an abstraction of a particular component in the repository, excluding the documentation component type. With the exception of the Reusable Components card,
selection of a Component card provides the user with a prologue explaining the operations performed by the selected component and a list of all associated files residing in the corresponding repository. The basic path structure provided for the component cards is a backward path to a specific repository card, a backward path to the Repository card, a backward path to a specific classification characteristics card, and/or a backward path to a specific Component Type card as applicable. Due to storage constraints, only selected Component cards have forward paths to the applicable Component Source Code card, which makes up the bottom level of the hierarchy, (refer to Figure 2.16). From the prologue provided on the selected Component Card, the Component Source Code card can be selected from the associated files list and viewed. These files are identifiable by an "A" following the repository qualifier (i.e. S20A'BIT). Only a backward path to the Component card is provided from the Component Source Code card.

In the case of the Reusable Components card, a further hierarchical break down is provided for math components and structure components. This further break down is provided because of the interest in the components falling under these categories. All other components listed on the Reusable Components card are selected and traversed in the manner described above, so the traversal method will not be re-iterated. From the Reusable Components Card, math components and structure Components can be traversed by the Math card, the Structures card, a Repository Math card, or a Repository Structures card. The backward paths for the Math card and the Structures card returns to the Reusable Components card. The forward paths from the Math card are to the Math Component Type cards. The forward paths from the Structures card are to the Structures Component Type cards. The backward paths from the Math Component Type cards are to the Reusable Components card, and the Math card. The forward path is to the Math Component cards. The backward paths
from the Structures Component Type cards are to the Reusable Components card, and the Structures card. The forward path is to the Structures Component cards. The backward path from the Repository Math card and the Repository Structures card is to the Reusable Components card. The forward path from the Repository Math card is to the Math Component cards. The forward path from the Repository Structures card is to the Structures Component cards. Once either the Math Component cards or the Structures Component cards have been selected, traversal of these cards occurs exactly as traversal of the Component cards in the previous paragraph occurred.

**Planning Tools**

The same planning tools are available with the addition of time management. Added also is the feature of time management with the addition of Focal Point II. Refer to the Focal Point II Manual and Job Aid for additional information on the features of this tool. *Put in section on MACPLAN.*

![Diagram](image-url)
Description.

The addition of Focal Point II to the planning scenario is to allow for a more flexible monitorable planning process. Before discussion of the planning process it is important to understand the importance of monitoring of the planning process in the overall Software Engineering Scenario.

The Software Maturity Model and The PMCT

In Section I of this report the subject of the software assessment was discussed. This section will be on the inclusion of major parameters to assist in the collection of the data for the PMCT. A major focus of activity will be on the importance of applying technology to the improvement of the state of practice in software engineering. The goal of this program is to develop an experimental software engineering platform that can serve as a research vehicle to carry software research into the 90's and beyond. This project is a first step in establishing this research program. There are two thrusts to this program, one is Automation, and the other is Quality.

The introduction of quality in the software process is quite a new and unproven idea. This paper suggests some criteria based on tried and proven methods for quality increase and the application of these criteria to a software project. Quality improvements can be made in the software engineering process, if these criteria are built into the supporting environment. The foundation for a system that will support traceability must include a mature software process model. For the purposes of this paper, software process modeling is defined as a methodology that encompasses a
representation approach, comprehensive analysis capabilities, and the capability to make predictions regarding the effects of changes to a process. Watts Humphrey\(^1\) describes five levels of software maturity, and it is important to understand this maturity to appreciate the necessity for traceability in a support environment. These five levels of software maturity are:

1. Initial - Until a process is under statistical quality control, orderly progress in process improvement is not possible. While there are many degrees of statistical quality control, the first step is to achieve rudimentary predictability of schedules and cost. Approximately 87% of the companies observed in a study by the Software Engineering Institute were at level one in the maturity model. One of the contributing factors to this grade level is the absence of traceability\(^2\).

2. Repeatable - A stable process with repeatable levels of quality control, by initiating rigorous project management of commitments, cost, schedules, and changes.

3. Defined - The organization has defined the process as a basis for consistent implementation and better understanding. At this point advanced technology can be usefully introduced. In the above study done at the Software Engineering Institute, there were no companies at level three or above, only a few projects within given companies.

4. Managed - The organization has initiated comprehensive process measurement and analysis. This is when the most significant quality improvements begin.

5. Optimizing - The organization now has a foundation for continuing improvement and optimization of the process.

A contributing factor to achieving level four and level five in the maturity model will be the introduction of measurement into the software


process, and the utilization of these measurements to redefine and optimize the software engineering process. While there are other factors involved in the maturing of the software process, the primary objective is to achieve a controlled and measured process for the foundation of the product development. In the development of the Software Assessment Procedures\textsuperscript{1}, the Software Engineering Institute tried to establish guidelines that would help software developers discover the level currently achieved, and to prescribe a formula for moving from one level to another. Requirements traceability, and the importance of the automation of requirements traceability as an integral part of the quality software process will be a major contributing factor to the progress in level of maturity of a software organization.

There is an increased demand for the inclusion of traceability at all levels of the software development process. Computer Assisted Software Engineering research has placed too much emphasis on trying to answer the questions concerning software life-cycle support, and not on trying to define what the software process is all about. It is of utmost importance to carefully distinguish between the idea of process and life-cycle. A process will be thought of as an ongoing activity, where a life-cycle will have specific beginning and ending tasks. The concept of traceability in a product belongs to the life-cycle aspects of the project, but the idea of traceability is a process that must transcend the individual process. It must be an integral part of the software development environment, and it must become an integral component of the idea of quality in the software engineering process.

\textsuperscript{1}A Software Assessment for Government Contractors
If you would ask a fellow worker, student, or professor the question, "Are you for quality?", they would overwhelmingly respond Yes. If everyone is for quality, and quality is an integral part of the software process, then why is the production of quality software so hard? The problem of quality in the production of software stems from adoption of the philosophy of appraisal as a means of producing good quality software, instead of prevention. "Quality is conformance to requirements". Phil Crosby symbolizes the process of quality by the establishment of four quality absolutes. These are

1. A Definition of Quality - Conformance to requirements
2. A System for Quality - Prevention instead of inspection and appraisal
3. Performance Standards for Quality - Zero Defects

Crosby describes a process by the following diagram.

---

This is a simplistic diagram of what is usually a more complex phenomenon. It is important to understand that the software process is the foundation for quality, and the process is the target for knowledge capture in a knowledge-based CASE Environment.

The term CASE refers to a computer system tool which provides the capability to assist in the software development process, hence, Computer-Assisted-Software-Engineering. The proliferation of CASE tools has fairly recently met with a tremendous amount of enthusiasm from the software community. There are lots of good CASE tools that are present in the marketplace today. The question arises "why another CASE Tool?" The idea behind the Poor Man's Case Tool (PMCT) currently under development at the University of Alabama in Huntsville is to establish a research tool for exploring new ideas about Software Engineering. The CASE vendors while providing a critical service to the software industry, have not provided a low cost approach to an
experimental platform for the study of the software process. The idea of an experimental platform to explore new techniques, methods, policies, and environments gives the software engineering community the ability to try new approaches that would not be feasible within the constraints of the software process. The fact that CASE tools are in great demand is partially due to the change in software needs. Programs should be efficient, easily maintained and modifiable, however this is not always the case. Large Embedded Software Systems such as the software for NASA's Manned Space Station and the software support for the Strategic Defense Initiative call for the support of an efficient organizational tool designed to support the software engineering process. Many times, the process and the product are poorly documented and this leads to problems in the conformance/non-conformance determination. The use of knowledge-based CASE tools allows documentation to be generated as an active part of the system construction and not be a burden to the overall purpose. Therefore, the integration of, change of, re-evaluation of, and implementation of the entire system should be performed with the minimum amount of effort. A fundamental objective of the research program at University of Alabama in Huntsville is the introduction of quality as a measurable component of the software support environment, and the inclusion of metrics to support level of improvements in the Software Assessments.

In the first version the pert chart was the significant portion of the planning process. This is implemented with MacProject II. It features schedule charts, calendars, resource tables, fixed cost tables, cash flow charts, and task time lines. The schedule charts are made of task
bosses joined together with lines to show the sequence of events. The critical path is marked with a bold line, so the analyst can easily see which task has to be done next for progress to continue smoothly. If a task is a major point in the project it can be marked as a milestone. As the project progresses tasks that are completed can be marked finished. You can list up to eight resources per task, and because different resources will have different work weeks, work week calendars are provided. In each project or subproject there are eight calendars available, each of these calendars can be assigned to a particular resource. MacProject II uses the calendars to calculate the expenses per week, and that figure is entered automatically in the cash flow table. The fixed cost table is used for one time expenses or income such as tools, equipment, and loans. The fixed cost table is added to the cash flow table, so that the planner will know at any one time how much money is available. The task time line is a graph showing the progress of the project. It shows the percent completed of each task. This gives a user a good idea where he stands and which tasks need more attention. Any changes made in the number of resources or cost will automatically be reflected in the appropriate tables and graphs.
Section III

Requirements Traceability in the Poor Man's CASE Tool

An important task in the systems development process is to determine if the top-level software requirements are correctly represented in the final level of delivered product. Requirements Traceability is a generic term used to refer to tracking software requirements through to final code. This process usually starts with the scanning of the software development document to extract the corresponding software requirements and the corresponding design. For a large scale software project this can be an enormous volume of collected data.

There have been several attempts at the automation of the Requirements Traceability Process\textsuperscript{1234}. Using more traditional approaches the idea of traceability belongs in the domain of documentation and bookkeeping. ARTS\textsuperscript{5} is described as a bookkeeping program that operates on a database consisting of system requirements and their attributes. While the storing of the bookkeeping information is important in the traceability process, the knowledge associated with traceability needs a computational paradigm that is similar conceptually to the traceable process. This natural mechanism is found in the explanation mechanism of knowledge based systems. Reifer and Marciniak\textsuperscript{6} suggest a knowledge-based approach to the software life-cycle

\textsuperscript{4}LaGrone, D., Wallach E, Requirements Traceability using DSSD,Tooling up for the Software Factory, Feedback 86, Topeka, KS.
\textsuperscript{6}Reifer, D, Marciniak,J. Software Acquisition Management, John Wiley Press To Be Published.
and imply that knowledge will become a more integral part of the entire acquisition and delivery process for all weapons systems. The following diagram is a sample of the Reifer and Marciniak knowledge-based approach to the life-cycle. Carefully note the iterative nature of this approach, and how that through each iteration that concept extract and knowledge are important. Requirements are knowledge intensive and aspect of traceability of requirements is an important contributing factor to the knowledge that will be necessary to produce traceable and predictable systems.

![Diagram](image)

**Figure 3.1**

This will place a demand on the knowledge engineering aspects of the software product development.

In conventional approaches to traceability it was up to the developer to keep a traceability mapping from requirements to test item, and to demonstrate conformance to the customer. A key issue in the inclusion of quality in a process is the measure of conformance/nonconformance to
requirements. This is usually done in the form of a traceability matrix. However the drawback of the traceability matrix is inconsistency in the knowledge associated with the inherent chaining structure. This chaining structure is naturally found in production rule knowledge-based systems. A more in-depth discussion of production rule-based systems, and the capability of a production rule system to explain its reasoning may be appropriate for the reader\textsuperscript{1} \textsuperscript{2}.

There is an increased demand for the inclusion of traceability at all levels of the software development process\textsuperscript{3}. The delivery of the traceability mappings of requirements to product is often delayed until the latter steps in the product development cycle. Quite often these mappings provide no insight into the overall application of quality principles of Requirements Engineering. Standards and practices usually include ways to translate top-level requirements into some written form. Few projects establish traceability because of the ambiguities of the written software specification. Each prose paragraph may contain a requirement or several requirements and likewise a requirement may be referred to by several paragraphs. Even though these references are stored in an automated bookkeeping form, this falls short of the real objective for traceability in that the representation is a conceptually unnatural format. Traceable requirements in the traditional format do not establish conceptual linkage of requirement to requirement much less form clusters or groups of requirements.

\textsuperscript{1}DOD-STD-2167a,
The clerical burden placed on the project often deters the progress of the product development. In conventional approaches the traceability was an added burden, this approach introduces traceability as an integral part of the way in which the designer thinks of the knowledge that is associated with the design process. It is not a mechanism that is used just to show customer satisfaction. Projects implemented with PMCT (The Poor Man's Case Tool) will not move forward unless driven by the knowledge-based model. If the tools for traceability are used to enhance the project development then the clerical burden will be reduced or at least distributed over a larger portion of the project life-cycle.

Computer-Aided Software Engineering research has placed too much emphasis on trying to provide tools to support the bookkeeping of a software life-cycle, only to find that the life-cycle had no mature software process to give it foundation. It is important to carefully distinguish between the idea of process and life-cycle. A process will be thought of as an ongoing activity, where a life-cycle will have specific beginning and ending tasks. The concept of traceability in a product belongs to the life-cycle aspects of the project, but the conceptual foundation of traceability should be an integral part of the knowledge associated with, and captured by, the process and the product. This inherent linking of pieces of an analyzed process into a synthesized solution transcends a one-time application of the software process. The knowledge capture of traceability must be an integral part of the software development environment and the quality factors in the software engineering process. In the software maturity model it is crucial that there be measured improvement in the software process.

Quality in the software process

If you would ask a fellow worker, student, or professor the question, "Are you for quality?", the overwhelming response would be "Yes". If everyone is for quality, and quality is an integral part of the software process, then why is the production of quality software so difficult?

The problem of quality in the production of a product stems from adoption of the philosophy of appraisal instead of prevention of defect, as a means of producing good quality software. "Quality is conformance to requirements". Phil Crosby¹ symbolizes the process of quality by the establishment of four important quality absolutes. These are:

1. A Definition of Quality - Conformance to requirements
2. A System for Quality - Prevention instead of inspection and appraisal
3. Performance Standards for Quality - Zero Defects

Conventional wisdom has traditionally held a different view of quality. A comparison of the absolutes in Crosby's method to conventional wisdom will help understand the concept of quality through defect prevention.

QUALITY ABSOLUTES

<table>
<thead>
<tr>
<th>CONVENTIONAL WISDOM</th>
<th>REALITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goodness</td>
<td>Definition</td>
</tr>
<tr>
<td></td>
<td>Conformance to requirements</td>
</tr>
<tr>
<td>Appraisal</td>
<td>System</td>
</tr>
<tr>
<td>Close Enough</td>
<td>Performance Standard</td>
</tr>
<tr>
<td>Indices of Non-</td>
<td>Zero Defects</td>
</tr>
<tr>
<td>Conformance</td>
<td>Measurement</td>
</tr>
<tr>
<td></td>
<td>Price of Non-conformance</td>
</tr>
</tbody>
</table>

Crosby\textsuperscript{1} describes a process as a series of actions or operations conducted to produce a desired result. Work is a process, and the individual components that make up work are also processes. To produce an output or a product that a customer expects demands that the requirements needed to do this work be clearly understood.

This idea is summarized by the following diagram.

![Diagram showing process with entry criteria, requirements, exit criteria, and surrounding support]

**Figure 3.2**

A process is a series of steps to get from entry criteria to exit criteria. These criteria are called requirements. The next diagram shows the surrounding support necessary to make a process executable. It should be pointed out that the support environment is only a means to an end, and not the end in itself.
This is a simplistic diagram of what is usually a more complex phenomenon. It is important to understand that the software process is the foundation for quality, and the software process is the target for knowledge capture in the CASE Environment, if the environment is to be knowledge-based. The term knowledge-based system is an overused and little understood term. The focus of this research project was not to advance the state of practice in knowledge-based systems. However, it is important that this knowledge be included, be captured, and be the prime enabler of change in the overall software process.

The term CASE refers to a computer system tool which assists in the software development process, hence, Computer-Aided Software Engineering Environment. CASE, more often referred to as CASE (Computer Assisted Software Engineering) tools are pervasive in today's marketplace. The question arises "Why another CASE Tool?", and more importantly what does this have to do with traceability The PMCT will provide a low-cost (no-cost) research tool for exploring new ideas about Software Engineering.
Man's Case Tool traceability through knowledge-based approaches is the foundation for the computer assistance. CASE vendors while providing a needed service to the software industry, have not provided an approach to an experimental platform for the study of the software process, much less an economical platform. The idea of this experimental platform to explore new techniques, methods, policies, and environments, gives the software engineering community the ability to try new approaches that would not be feasible within the constraints of the software process using the conventional tool support.

The fact that CASE tools are in great demand is partially due to the demand for change in software development. Tennant and White\(^1\) describe the current thought about computing and the future of computing in the following terms. "Knowledge is a prime enabler of change in an age of computational abundance". The use of a knowledge-based approach allows documentation to be generated as a by-product of the knowledge associated with the system construction process, and will not impose a burden to the product developer.

The following section shows some of the sample screens from the PMCT and shows the importance of measurement in the quality of the produced software. It is important to understand where in the overall environment the traceability mechanism fits. The First Screen in the PMCT is the Main Screen. This screen is shown here is to emphasize the importance of the separation of process modeling issues from the other aspects of the software development process. In the utilization of the PMCT, the first step is to establish the software process model with which the project will be built. Humphrey\(^2\) and

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\(^1\)Tennant, Harry, White, John, W. Knowledge as a Prime Enabler of Change, Texas Instruments Engineering Journal, September 1989, Vol XXX Number XXX

\(^2\)Humphrey
Crosby\textsuperscript{1} insist on a reliable predictable process to direct the development of a quality product.

![Diagram](image)

**Figure 3.4**

The user must select a Software Process Model, hence the entire automation mechanism will be driven by the process model. On the first occurrence of the selection of the process option in the above pull down menu, the PMCT would direct the user to the following help screen to provide preliminary information for the project. There are certain project related issues that are important to the requirements capture that must be established at the beginning of a project. The following diagram represents in a Warnier-Orr\textsuperscript{2} Diagram suggesting the initial set of criteria in the beginning of the software development project.

\textsuperscript{1}Crosby

If the user chooses to ignore the process option then the system will not proceed. It will enter remedial mode to help the user construct the necessary process model. This screen is provided to suggest proper usage of the existing structure in the PMCT. The sequence of events form contract award is the creation of the software development plan, the establishment of configuration libraries, the establishment of reusable software repositories, the generation of the project knowledge base, and then the establishment of task assignments for the project participants.

Inherent in the underlying structure of the PMCT is concept of preferred trails. The PMCT is implemented using an interactive hypermedia environment and in the traversal of this hypermedia environment the PMCT tool designer can customize these preferred trails to fit the existing project.
at hand. By the monitoring of these preferred trails the designer may supply hints and suggestions for proper direction when the user uses the tool in an unconventional manner. This monitoring mechanism allows the user to capture the data necessary to later adapt and improve the software process. This adaptation mechanism was a necessity in the software process maturity model, and is an important facet of the capture of the knowledge associated with the construction of requirements.

The developer starts with a plan, but the most important part of this plan is the selection of a process model. In the PMCT the current models supported are DoD-Std-2167a, or The NASA Space Station Management Plan. Once a process is selected the developer can then tailor this process to suit the nature of the problem at hand. This project tailoring process is important because it defines the deliverables that the developer must deliver. These deliverables dictate the type of knowledge that must be an integral part of the knowledge base that will support traceability. Consider the diagram of the environmental model for 2167a. Notice that the full model of 2167a contains under the topic Software Operations and Support Documents the acronym CSOM. This stands for Computer Systems Operator Manual. If this application was a proof-of-concept prototype, it would most likely not be necessary to produce a CSOM, and if it was really necessary it would probably be descoped from a CSOM that would support a fully fielded production system. Exclusion of the irrelevant parts of the product deliverables can reduce the amount of knowledge that is important in the knowledge capture portion of a software project.
This helps establish the documentation that is required to meet the standard 2167a for the given project. However in the application of a knowledge-based approach it is much more than just the inclusion of documentation. It establishes the framework for the construction of the knowledge bases that will contain the individual Computer Systems Configuration Items involved in the delivery of the final product.

**Building Requirements that are Traceable**

An important part of this activity is the fact that specifications, designs, and implementations are built through the construction of the knowledge base. Since the concept of process is so important in quality software, the knowledge base must be based on some process model. It is, therefore, important that a system of prevention be put into place. To assist the software developer with the task of prevention, the knowledge associated with producing Zero Defect Software should be available in the form of a knowledge base, so that the software engineer can have access to the latest
data, knowledge, and documentation. To establish such a system Crosby\(^1\) suggests five requirements of this system. These are:

- Clear Requirements
- Well-Defined Process
- Proof of Process Capability
- Process Control
- Policies and Systems for defect prevention

Requirements Traceability is a method of demonstrating to the customer Crosby's fourth quality absolute, the conformance or non-conformance of the requirements of the product being produced. It is also a framework in which knowledge can be captured about the process so that improvement can be made in the process. Usually in the development of Applications Software this is demonstrated by some after the fact mechanism that will show the links between the final product documentation and the requirements document. This is usually done by the means of a requirements traceability matrix. In DoD-Std-2167a, the Department of Defense has mandated traceability of requirements as a critical required component when delivering Mission Critical Computer Resources. Requirements traceability is a method to ensure that not only is a software system complete, but that it is also correct. It demonstrates paths from requirements to code that the developer can trace in either direction. These traceability links are essential in the verification of the component in question, but are also a valuable tool in the assessment of software changes to that component.

In light of the discussion of quality and Crosby's four absolutes, the problem of the monitoring and mapping of conformance/non-conformance from the process to the product is an important issue. In the use of static

documents this is quite difficult. Here the concept of active knowledge bases as software requirements are introduce into the experimental platform. It is the building of these knowledge bases that represents the software specification process. PMCT produces documentation as a by-product of the knowledge capture process. Instead of being a document for traceability, the specification for a system is an active component in the knowledge base, and should be used to enhance the design process. The inclusion of traceability will be implicit in the construction of production rule knowledge bases. This knowledge base is executable and the traceability is provided through the explanation functions of the expert system tool selected. There are typically two types of questions that an acceptable expert systems should be able to answer about the reasoning process. Note that these questions are not answers to query of a database containing project information, but about the supporting reasoning process itself. These questions are:

   Why did you arrive at this conclusion?
   How did you derive such an answer?

These also are two important issues(questions) in the conceptual framework of traceability:

1. Why is this component necessary to confirm this requirement?
2. How does this component trace to its requirement?

The following shows a Computer Systems Configuration Item(CSCI) in a real-time embedded system, created with the PMCT.
Figure 3.7
Knowledge Structure of CSCI 15

The rule base in the production rule system would be:

--- Rules for Requirements #3
If Module #56 and Module #59 and Module #73 then Design 13
If Design #27 and Design #13 then Requirements #3

--- Rules for Requirement #2
If Module #66 then Design #76
If Design #27 and Design #76 then Requirement #2
If Module #19 and Module #36 and Module #43 then Design #27

--- Rules for Design #1
If Module #13 then Design #75
If Design #75 then Requirement #1

--- Main Controlling Rule
If Requirement #1 and Requirement #2 and Requirement #3 then CSCI 15

This example contains three major requirements which decompose into 4 designs which decompose into 8 main high-level modules. The knowledge base provides the proper framework for configuration control, and this knowledge plays an integral part in the product development. Each CSCI and the components of the CSCI are defined, placed in the reusable repository, and put into the active knowledge base which reflects the product to be delivered. As each CSCI is deemed necessary, it is entered into the knowledge base. This would provide the expert systems shell with a goal or hypothesis. The goal of the above knowledge base would be to prove that CSCI 15 fully meets the logical and physical criteria to make CSCI 15 true. As each requirement was added to the functionality of CSCI 15, an entry would be made into the knowledge base. One of the first activities in the delivery of CSCI 15 would be to create a knowledge base with a simple structure as shown in the following figure.

![Figure 3.8](image)

The diagram in the Figure 3.7 only represents the structure of the knowledge base and not some of the actual contents of this Knowledge Base. The structure does not reflect any criteria except the customer explicit requirements that are called for in the Request for Proposal or the proposal negotiations.
Figure 3.9

In the light shaded area in the above figure is another important aspect of the concept of applying a knowledge base to the software specification representation. The only requirements in the product documentation is the real requirement #3. However it is important in meeting contractual obligations that there are written requirements but also other types of requirements. This problem is described in Dorfman\(^1\) quite well. Other types of requirements are standards that must be met, support software that must be delivered, specific grades of personnel that must be assigned etc. All of this knowledge is added into the knowledge base, before requirement #3 becomes complete. In conventional approaches\(^2\) the inclusion of different types of knowledge is often awkward, if not impossible.


\(^4\)LaGrone, D., Wallach E, Requirements Traceability using DSSD, Tooling up for the Software Factory, Feedback 86, Topeka, KS.
There are two basic chaining mechanisms that are important in the building of production rule knowledge based systems. These are backward chaining and forward chaining. Backward chaining starts with a goal and tries to determine if all of the intermediate goals and premises of the goal are true. It searches the "then" part of the knowledge tree for a "then" clause that would match the overall goal. In our example CSCI 15 would be the goal and the three requirements necessary to satisfy that goal would be the intermediate goals. These intermediate goals are necessary to prove that goal true. The following figure shows by attaching numbers to each node the order of execution of the search of the knowledge base using backward chaining.

![Diagram](image.png)

Figure 3.10

In determining the traceability of components of a system, one would use backward chaining, because it is important to verify that the high level hypothesis is true. The reasoning mechanism would assume that CSCI 15
was true and proceed by the numbers to try and verify or disprove that hypothesis. The three requirements are now intermediate goals that must be true for the final CSCI 15 to be met. This is quite a simplistic example for illustrative purposes, and does not have a situation in which requirements are interdependent, but there is no reason why such a structure cannot exist.

As each requirement is addressed in the design processes, the knowledge base is expanded. The concept of explanation\(^1\) in knowledge-based systems is one of the unique features of such systems. Consider the following diagram.

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been meet, but that Design #27 is still not satisfactory to complete Requirement #2 or Requirement #3. All of the components of Design #27 are complete except Module #36. If the system was asked, "How did it arrive at this conclusion?", it would explain that Module #36 was necessary to complete Design #27 and that Design #27 was necessary to complete Requirement #3 and Requirement #2, and that was all a part of evidence need to arrive a true hypothesis for CSCI 15. If this was a complex system, there could be hundreds of cases that could possibly contain this scenario. It is very difficult to reason about that kind of information in the bookkeeping style of a requirements traceability matrix, even with the support of the project databases\textsuperscript{1234} in more automated scenarios. By capturing the requirements, design and implementation as premises in a knowledge base, the specification becomes an active component in the system and not just a passive part of some boring documentation. The documentation stays current because it is an active part of the design process.

There is another way to use the knowledge captured in the existing knowledge base. It was not until after the knowledge base was built in the first attempt that this feature was discovered. The hypothesis not met in the backward chaining of the knowledge base are known, but what is really important is all of the affected sections of the entire product from a given module, design, or requirement. Data-driven or forward chaining knowledge-based systems reason from premise to conclusion (the search of the if portion

\textsuperscript{3}LaGrone, D., Wallach E, Requirements Traceability using DSSD, Tooling up for the Software Factory, Feedback 86, Topeka, KS.
\textsuperscript{4}
of the knowledge base is first), instead of from hypothesis to premise (searching the then portion first) as in backward chaining. This could be important in assessing the impact of a design change on the entire system.

![Diagram of module dependencies](image)

**Figure 3.12**

The impact of module 36 on the entire system could be determined by query the knowledge base. It is certain that module #36 impacts Design #27 in Requirement #2 and #3 in this example. In the example instead of trying to determine if CSCI 15 is correct and using backward chaining to go from goal to input, search will start with the if section of the knowledge base and determine what sections of the knowledge base are affected by that module. By using a production rule knowledge base concept, it is possible to support both top down and bottom up design. This is a simple example but can be quite useful in assessing the impact on a product.

The knowledge base approach is also helpful from another different perspective. The project manager or software engineer can use the knowledge
base as a Project Planning tool. In project planning it is traditional to use a Pert chart or a Gantt chart as a Project Planning tool. Suppose that the structure above was the finalized structure that accurately represented the development of CSCI 15. In the early stages of the construction of the knowledge base, it might not be so clear as to the evolving structure. At this point the manager can use the knowledge base along with some available tools such as spreadsheets, pert charts, and other planning tools to come up with a more accurate estimate. In the early stage of the project management will develop a forecast of the timeline and the people power involved. At this time the knowledge base can be use as a simulation tool. The project manager could construct a imaginary form of the project knowledge base. Assume that the project was envisioned to be of the structure that follows.

Figure 3.13

At this point in the project the project manager would use this structure to help prepare the software plan. There could many anticipated scenarios involved in the preparation of what would be an acceptable structure in the
software process. The following diagram is a sample of the Spiral Model of Software Development as proposed by Dr. Barry Boehm.

Figure 2.18 Spiral Model of the Software Process

Figure 3.14

In this model the first step is to prepare requirements plans, and life-cycle plans. This process starts just to the left of the center on the west pointing axis. Each time the spiral proceeds across the north pointing axis the next step is risk analysis, and then prototyping. Each turn of the spiral the risk analysis becomes more and more critical. Traceability has not
traditionally been consider a part of the calculation of the risk associated with the turning if the spiral, however if the concept of traceability was an integral part of the preparation of these risk analysis, and this knowledge associated with the risk was attached to the executable traceable knowledge base, then the evaluation of risk would first be more manageable, and more a part of the preparation of the requirements, design and implementation of the software product.

Certainty Factors represent the confidence in a piece of evidence. There are numerous ways of representing certainty factors. Assume the use of uncertainty factor such as the uncertainty factors of Emycin\(^1\) as represented in the following diagram. Often it is difficult to communicate uncertainty in the software development plan. By using a knowledge base that allows for manipulation of the uncertainty factors, this presents a help feature for the manager and software engineer to provide a common grounds for communication of issues that are related to risk. The following figure is a sample of two ways to attach certainty to rule base. These two ways are to have certainty factors that range from -1.0 to +1.0 or to have certainty factors that range from 0% to 100%.

\(^1\)Buchanan, B. and Shortlife, E. Rule-Based Expert Systems: The Stanford Experiment
Figure 3.15

In the following diagram the manager has a high degree of certainty that requirement #1 and requirement #2 can be met. Although it is originally conceived that reuse of design #27 would facilitate the implementation of requirement #3, there is still problem with design 13. This could be a critical timing problem, or perhaps the technology at proposal time did not even exist. In the execution of large military system, the life-span can sometimes be as much as 20 years and at conception time the technology might not even exist, implying that the user might be counting on a technology innovation to occur. This presents a high risk endeavor, and should be treated with caution.
However, the ability to introduce uncertainty factors in the project knowledge base early in the project presents a new way to view the project cycle. By using the execution with uncertainty and explanation capability of a knowledge base the project manager, or software engineer can simulate the execution the Computer Systems Configuration Item. By considering different scenarios the project manager and lead engineer can adjust the certainty factors so that the overall project risk can be reduced. In this paper only simple microcomputer based tools were used, but in large complex procurements, the knowledge base could be much more robust and include other types of knowledge representation other that production rules.
Section IV

Formalization of Tool
Introduction

Building large-scale real-time embedded systems mandates a consistent and robust mechanism for process representation. A Petri net is a modelling tool used in the design and analysis of systems. The expert system language OPS-5 has a similar execution strategy to a Petri net model, and hence Petri nets may be simulated using the OPS-5-like languages. Likewise Hypermedia based applications lend themselves nicely to representation with Petri Nets.

The system described takes a Petri net for its input, selects the proper medium for modelling the features, and then generates the simulator input. The actual model is executed from the petri-net representation, and each step in the process is demonstrated using a visual trace of the knowledge base execution. The knowledge base is built visually, and the execution is shown visually.

Issues of importance in the building of distributed systems involve issues such as timing constraints and concurrency. However using conventional techniques it is difficult to follow the flow of control conceptually. Petri Nets have received popular acceptance in the area of hardware representation, discrete event simulation, and some types of artificial intelligence applications. It is becoming more important in the building of distributed real-time embedded systems to have the capability to model these systems using more formal methods. The formal method introduced in this presentation is a modified version of Petri nets called HNPN's, Hypermedia-based Numerical Petri Nets.

Petri net models are popular in specifying and analyzing distributed systems, parallel systems, and communication protocols. Some researchers are beginning to apply Petri nets modeling techniques to
specify, verify and analyze distributed real-time embedded systems. The example included in this research is a complex diagnostic system simulation for the Space Shuttle Main Engine. Advantages of Petri nets over conventional ad hoc techniques are a solid mathematical foundation and the techniques for their analysis such as reachability analysis, invariant analysis, and transformation tracing.

Petri nets in communication specification are known as Place/Transition nets. Yet these conventional Petri nets are too primitive to model complicated protocols conveniently since they lead to a very involved and unreadable graph of net elements. For this reason, another type of net is introduced, HNPNs, the Hypermedia-based Numerical Petri Nets. NPNs are a generalization of Petri nets retaining the basic principles, symbols and modes of operation of Petri nets, but adding a considerable amount of descriptive power [SYM80a][SYM80b].

In order to understand the basic concept of Petri nets, a study of the structural aspects of Petri nets and Numerical Petri nets is given.
2. Basic definitions of Petri nets

A Petri Net structure (see Fig. 2.1) is a directed graph with two types of nodes: places and transitions. Places (circles) model conditions, and transitions (bars) model events. Arcs (arrows) connect places and transitions. Arcs from places to transitions are input arcs and describe the conditions under which an event can occur (e.g. a transition may fire). Arcs from transitions to places are output arcs and describe the conditions which result from the firing of a transition. Places are input or output depending on the arcs associated with it. Places may contain any natural number of tokens (blacks dots). The execution of a Petri net is controlled by the number and distribution of tokens in the Petri net. When all the input places of transitions hold at least one token each, the transition is said to be enabled and may fire. After a transition fires, it removes all of its enabling tokens from its input places and then placing on each of its output places one token for each arc from the transition to the place, thereby, enabling other transitions.

![Figure 2.1 A Petri net structure](image)

**Figure 2.1 A Petri net structure**
Definition: A Petri net structure, C, is a three-tuple directed graph, \( C=(P, T, A) \), where

- \( P = \{p_1, p_2, \ldots, p_n\} \) is a finite set of places, \( n \geq 0 \).
- \( T = \{t_1, t_2, \ldots, t_m\} \) is a finite set of transitions, \( m \geq 0 \).
- \( A \subseteq \{(P \times T) \cup (T \times P)\} \) is the flow relation, a mapping representing arcs between places and transitions.

The instantaneous state of a net is called a marking which is represented by a certain distribution of tokens over the places. A marked Petri net or a Place/Transition net is a four-tuple net \( M=(P,T,A,m) \).

Definition: A marked Petri net \( M = (C,m) \) is a Petri net structure \( C=(P,T,A) \) with a marking \( m \), where \( m \) is nonnegative integer-valued function which assigns for each place a number of tokens \( n \), \( m : P \rightarrow \mathbb{N} \).

Therefore, given a Petri net \( C = (P,T,A) \) and a initial marking \( m \), we can execute the Petri net forever if there exists any transition that is still enabled.

A reachable marking is a marking \( m \) which can be reached by the initial marking in the net. Here, we introduce another definition Reachability set \( Rs = (C,m) \) — a smallest set of collection of all reachable markings in the given marked Petri net. A marking \( m' \) is said to be in \( Rs(C,m) \) if there exists any sequence of transition firings which will alter marking \( m \) into marking \( m' \).

3.0. Numerical Petri Nets

The limitations of Petri nets include: 1) only one type of token; 2) an empty place may not be an enabling condition; and 3) inability to represent priority. This makes it impossible for Petri nets to represent operations on data, messages with several fields of data and decisions based on the fields or data.
Numerical Petri nets include several extensions to Petri nets to provide considerable descriptive power. Tokens may have any nature and power. Each input arc has an enabling condition \( E \). Transition enabling conditions depend on tokens in input places and memory reference enabling condition \( MR \). Transition firing removes tokens from input places according to firing rule \( FI \) and places tokens in output places according to firing rule \( FO \) and there may be a transition operation \( TO \) on memory (see figure 4.2).

### 3.1. Examples of NPNs

An example of an NPN transition is shown in figure 4.3. Transition a is enabled when place A contains a single token, the data variable \( Y \) equals two, and place B contains a token with identity \( S1 \).
On firing, a simple token is removed from A, the $S_1$ token is removed from B, the data variable $x$ is incremented, a simple token is put in C, and a token with identity $S_2$ is placed in D. This transition could be part of an NPN representing a subsystem where A and C are state places (indicating which state the subsystem is in when holding a simple token), and where B is an input place receiving signals such as $S_1$ from another subsystem, and D could be an output place sending signals such as $s_2$ to another subsystem.
4. Space Shuttle Main Engine Simulation

Figure 4.4 is an overview of the simulator for the Space Shuttle Main Engine in the Shuttle Main Engine Facility at the Marshall Space Flight Center in Huntsville, Alabama. This research was an attempt to introduce expert system technology in the diagnostic cycle. It became clear very early in the project that there was a need for a more robust representation mechanism to represent the individual elements of the hardware, software, simulation, expert systems and most important of all the user interface. Petri Nets provided the necessary consistency for all of the elements except the user interface. As more attention has been
focused on hypermedia it was determined that petri nets provided an excellent underlying foundation for the representation of the user interface. In figure 4.5 the interesting points in the simulation are represented by buttons in Hypercard. As the simulation is run the figure 4.4 will be animated in a separate window so that the user can see the results evolve in the SSME Overview as well as watch the animated diagnostics window where the actual knowledge base is running. Figure 4.5 is an example of this simulation.
This is an overview of the lab. To begin testing, click on continue. To return to the main card click on return.

Figure 4.5
Animated Simulation of SSME Diagnostic
The top part of the diagram is the overview of the SSME Diagnostic Simulation. The bottom part of the window shows the structure of the knowledge base. The black background with the dashed line leading into it is the current section of the system being simulated. The simulator allows several options - Display just the rule, display just the hardware, animate the rules, animate the hardware, and most important animate the coordination between rule base and diagram. This allows the user to introduce spatial reasoning into the sequence of actions in the diagnostic simulation.

5. The present analysis problems for Petri nets for the SSME Simulator

HNPN's offer another important alternative, and that is the capability to do analysis on the net representation of the main engine shuttle. One of the major Petri net analysis techniques is the reachability tree. In order to evaluate the usefulness of this analysis technique, we first need to consider what types of problems may require Petri nets.

4.1. Safeness

For a Petri net, a place is said to be safe if the number of tokens in that place never exceed one. Thus a Petri net is said to be safe if all places in the net are safe, which means the tokens in all places are less or equal to one for all possible markings which derived from the initial marking in a net [PET81][REI85][LIE76]. The formal definition is:

**Definition:** A Petri net $C = (P,T,A)$ with an initial marking $m$ is called safe iff, for all $m \in Rs (C,m)$ and all $p_i \in P$, $m(p_i) \leq 1$. 

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Figure 4.6 illustrates this property. Figure 4.6 represents a safe net, because each place of all possible markings in the net holds either none or one token. In this figure, the modeled system can be represented as a communication protocol which operates over a 100% reliable medium. The transmission lines never lose, duplicate, or reorder messages. The protocol provides a single frame transfer service, the user having to wait for an acknowledgement before sending further frames.

![A safe net](image)

Figure 4.6. A safe net

Place \( p_1 \) represents a sender is ready to send a message. Place \( p_2 \) and \( p_3 \) indicate that a message is on the channel and the sender waits to be acknowledged. Place \( p_4 \) can be a condition which says an acknowledgement packet is on the way to the sender. The three transitions are: \( t_1 \)—transmits a packet, \( t_2 \)—processes the received packet, \( t_3 \)—acknowledges the sender. Whenever a transition is fired, no place can hold more than one token in the net. In figure 4.7, a strong connected
relationship is found in this modeled system[LIE76][COM71]. Thus, the property of safeness is granted in this net. This protocol although not exactly the interface mechanism in the shuttle diagnostic system offers a simple example of the analysis available from a consistent notation. A safe net will be able to give reliable diagnostic information to the simulation.

![State diagram for Fig. 1.1](image)

Figure 4.7. State diagram for Fig. 1.1

The net shown on Fig. 4.9 is not safe. An initial marking is assigned with \( m = (1,0,0) \), e.g. place \( p_1 \) hold one token, place \( p_2 \) holds no token nor place \( p_3 \).

![Unsafe net](image)

Figure 4.9. A unsafe net
From the above figure, firing an enabled transition $t_1$ in the initial marking produces a new marking $m' = (0,1,0)$. In this new marking, we can fire any new enabled transition, say $t_k$ (in this case, $t_2$ is the only choice left), resulting in a new marking $m'' = (0,0,1)$. This can be continued as long as there is at least one enabled transition in one of the markings. Firing this particular net, a marking with the firing sequence $\pi = t_1-t_2-t_3-t_1$ shows that the distribution of tokens on place $p_2$ is greater than 1. Therefore, by definition, the Petri net on Fig. 4.9 cannot said to be a safe net.

5.2. Boundedness

In many cases, some modeled systems are not necessary to require safeness. Instead it is important to ensure another property in the net which is k-bounded or k-safe. A place is said to be k-bounded if the number of tokens in that place is never greater than an integer $k$. Therefore, if a net with an initial marking is k-bounded in all places in each possible marking never exceed a certain maximum number $k$.

Definition: A Petri net $C = (P,T,A)$ with an initial marking $m$ is called k-safe iff, for all $m' \in Rs(C,m)$ and all $p \in P$, $m(p_i) \leq k$.

A data structure type operation "stack" problem illustrates this property (see Fig. 4.10). There are two places and two transitions in the net. Place $p_1$ represents the capacity of a stack (e.g., slots available in the stack) and place $p_2$ represents a user. The user may access the stack through two operations - push and pop. Transition $t_1$ indicates a pop operation, where the user can access whatever is inside the top of the
stack by firing this event. And transition t2 indicates a push operation, the user may use this operation to return something back to the stack.

The initial marking $m = (4,0)$ means the capacity of the stack is four slots. Four tokens reside in place $p_1$, and none in place $p_2$. Transition $t_1$ can be fired as long as place $p_1$ holds a token. The firing rules for transition $t_2$ are the same as above. A reachability tree and state diagram are shown in Fig. 4.11. We find that the reachability set for this net is $R_s = \{(n,k) \mid n \leq 4, k \leq 4\}$. Place $p_1$ and $p_2$ are bounded to 4, thus, we say this net is 4-bounded. We also find that the tokens which are represented as 4 available resources in the stack are never destroyed or created.

Figure 4.10. A bounded net
Figure 4.11. A reachability tree & state diagram for Fig.4.10

The reachability of the tree represents the ability to capture the knowledge of the expert in a petri net. The trees in the above pictures represent some of the sequences found in the tutoring model in the SSME Simulator. As the utilization of the interface for the student is monitored then the petri net that represents an unique use of the user interface can be monitored and adequate feedback can be given to the user at situations that do not meet the criteria of safeness or k-boundedness.

4.3. Liveness

Deadlock is an essential subject which relates to liveness. A marking is said to be live if every transition is fireable, or can be made fireable through some sequence of firings. The idea of liveness in a Petri net is that every transition in the net is potentially fireable in every marking of the reachability set. A transition t is potentially fireable in a marking m if there exists a firing sequence from m to a new marking m' in which t is enabled. Proving that a net is live ensures that the modeled system is free from deadlocks, livelock, and dead code (transitions which are never enabled). It is extremely important in a training simulation for the SSME to not allow deadlock. The student is doing things in parallel.
with activities distributed throughout the simulator. It is essential that nothing in the student interface cause deadlock. All nets must be live.

**Summary**

Applying ITS technology to the shuttle diagnostics would not require the rigor of the Petri Net representation, however it is important in providing the animated simulated portion of the interface and the demands placed on the system to support the training aspects to have a homogeneous and consistent underlying knowledge representation. By keeping the diagnostic rule base, the hardware description, the software description, user profiles, desired behavioral knowledge and the user interface in the same notation, it is possible to reason about the all of the properties of petri nets, on any selected portion of the simulation. This reasoning provides foundation for utilization of intelligent tutoring systems technology.