Ontology based Bayesian Software Process Improvement

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Abstract: This paper presents an ontology based approach that can support small and medium-sized software enterprises (SMEs) to achieve their software process improvement goals. The approach consists of four steps: i) assessment of the software process and identification of areas under improvement, ii) development of a process knowledge base, iii) conceptualization and analysis of an ontology that represents the process domain, iv) Bayesian analysis on the ontology, experimentation and suggestions for process improvement. The main concept of the approach is presented through a generic software process ontology model. To validate the approach parts of this model was instantiated using company specific process data from a telecommunication SME. The resulted process models are further analysed through applying Bayesian analysis.

1 INTRODUCTION

Software Process Improvement (SPI) in the context of small medium-sized software development enterprises (SMEs) is gaining momentum in software engineering research (Pettersson et al., 2008). SPI is a challenging endeavour for most software SMEs aiming at preventing software project failures, reducing development costs and delivering high-quality software products/services consistent with end-customers’ needs (Zahran, 1998). Software SMEs though are often characterized by insufficient human resources, limited development and supporting environment and lack of budget. Therefore, for most SMEs SPI is a major challenge (Mishra and Mishra, 2009).

In this paper, a practical approach for supporting the improvement of selected software process areas which take place in a software SME is suggested. The approach is called SPRINT (Software PRocess ImprovemeNT) SMEs and adopts an ontology-based knowledge representation to capture the relevant data that describe a software process. The representation of a process tacit knowledge, through the use of a software process ontology, allows this knowledge to become accessible and transferable. The software process ontology is then represented and analysed in the form of a Bayes Network (BN) (Bibi & Stamelos, 2004). By adopting the BN formalism we can gain useful insight about the elements of the software process and perform post mortem analysis. The use of BNs enables the estimation of process measures (for example, process cost, quality or other measurable artefacts) and adequately handles uncertainty. Thus, the BN process representation can be used as a tool for experimenting with different process changes and testing their effects. In particular, the SPRINT SMEs approach consists of the following steps:

(i) Identification of software process areas of a SME and selection of specific areas which require improvement.
(ii) Definition of a knowledge base that describes a process area under improvement.
(iii) Conceptualization and analysis of an ontology that represents the process domain.
(iv) BN analysis and suggestions for process improvement.

The paper structure is organised as follows. Section 2 provides a brief literature review on the use of ontologies and BNs for software process representation and analysis. Section 3 describes the steps of the SPRINT SMEs approach. In Section 4 the approach is validated by considering the software development process that takes place in a SME active in telecommunications area. Finally, in
section 5, we conclude the paper and present ideas for future work.

2 LITERATURE REVIEW

The concept of using BNs as predictive models in certain phases of software process is found in several research studies. For example, BNs have been used for handling uncertainty in defect prediction and software quality modelling (Fenton et al., 2002; Fenton et al. 2007, Okutan, Yildiz, 2014). BNs have been applied for software cost estimation as well (Stamelos et al., 2003, Mendes et al. 2007). A survey in research studies using BN models for software cost estimation can be found in (Radlinski, 2010). As far as software process representation is concerned, BNs were adopted by (Bibi et al., 2010) to model a customized software development process in a case software company. The process representation through the use of a BN allowed the estimation of certain process aspects, such as defects and effort. BNs were also applied for modelling general software processes, such as the eXtreme Programming (XP) process (Abouelela and Benedicenti, 2010, Settas et al., 2006).

On the contrary, there are rather fewer studies that suggest the use of ontologies to represent a shared conceptualisation of a software process. In (Liao et al., 2005) an OWL-based ontology is suggested for capturing knowledge in software development processes. Falbo and Bertollo (2009) proposed an ontology that was specified with the use of a UML profile to define a vocabulary of concepts met in process quality models/standards, such as ISO/IEC 12207 and CMMI. Barcellos and Falbo (2009) reengineered a Software Enterprise Ontology based on the Unified Foundational Ontology (UFO) suggested by Guizzardi et al. (2008). These works were further extended by Bringuente et al. (2011) to address the conceptualisation of activities which take place in software project planning. Finally, Henderson et al. (2014) recently proposed an ontological infrastructure for representing, in a unified way, the software engineering standards developed under ISO/IEC SC7.

The SPRINT SMEs approach that is suggested in this paper utilizes mainly the generic Software Process Ontology proposed in (Bringuente et al., 2011) with the aim to consider specific project, process and experience concepts. Also in SPRINT SMEs ontology we propose attributes that can be recorded to describe each of the above concepts along with operations (actions) that can be performed for each concept. Ontologies due to their deterministic nature are unable to adequately capture uncertainty. Thus, we consider uncertainty dimensions in the proposed software process ontology by synergizing the ontology with BNs. The benefits of this combination are twofold: a) Process area knowledge is combined with probabilistic information. The software process ontology offers a convenient framework to model and disseminate knowledge regarding the development process which incorporates uncertainty. BNs enable to analytically measure and handle this uncertainty. b) Changes proposed by the ontology actions can be tested to view their reflection to the process. Thus, the BN process model can be used by project/process managers to illustrate the effect of process changes.

3 A KNOWLEDGE-BASED APPROACH FOR SPI

The SPRINT SMEs approach follows a lightweight paradigm for efficiently improving certain process areas in the context of a software SME. The approach is tailored to the needs of individual SMEs as it is efficient, easily adoptable, non bureaucratic and independent of company’s specific assets. The approach follows four steps described in the current section. It should be also noted that the SPRINT SMEs approach presents commonalities with established SPI approaches (Paulk et al., 1994; ISO, 2013) and, in addition, offers a toolset (comprised by ontologies and BNs) to assist their application.

The first step of the approach involves the identification of a defective process area to be improved. The approach concentrates on supporting the improvement of particular process areas and not the complete software development process. We consider this decision more effective/efficient when addressed to software SMEs since the effort required to improve all aspects of a software process is often prohibitive in terms of time and cost and most SMEs do possess neither the know-how nor the resources to achieve holistic improvement goals (Pettersson et al., 2008). Defining the software process area that will be set under assessment and improvement is a managerial decision that depends on the needs of a specific SME and the type of projects that it handles. For example, the area under improvement can be decided from traditional software lifecycle models: requirements engineering, design specification
programming and development, software testing, software project management etc.

The target of the second step is to specify and design a knowledge base that consists of information relevant to the knowledge required for improving the area(s) selected in the previous step. A knowledge base is a database that stores data and rules for knowledge management (Simari & Rahwan, 2009). Knowledge management (KM) refers to the set of practices adopted in an organisation to identify, create, represent, distribute, and enable adoption of insights and experiences (Nonaka & Krogh, 2009). Using a KM approach, the tacit knowledge developed during the application of a software process is captured, stored, disseminated and reused, so that to achieve better quality and productivity. KM supports process management decisions, such as software process definition, human resource allocation and effort estimation of development activities as well as quality planning and control (Falbo et al., 2004). In a SPI project, the process manager should answer two main questions in order to create a knowledge base for the software process (Bibi et al., 2010): (i) which metrics can provide useful information for each particular process area? (ii) which projects will be considered to create a process area knowledge base?

The relevant literature points out numerous metrics to describe software processes (Kan, 2003). A well-known categorization of metrics involves project, process, product and personnel oriented metrics (Boehm, 1981). Regarding the projects that participate in the knowledge base, the manager should, for example, select the most relevant ones to the recent activity of the SME or the most recent ones. These project types are suggested since the process followed in these projects is likely to be repeated in the future. The manager should ensure that data of the selected projects are objectively and consistently recorded. It should be noted that the way to perform these types of activities (e.g. data collection) is not precisely specified by the SPRINT SMEs approach, since useful relevant guidelines are suggested by the generic SPI approach (e.g., ISO/IEC 12207) in the context of which SPRINT SMEs can be applied.

In the third step of the SPRINT SMEs approach we adopt an ontology-based paradigm (Katifori et al., 2007). Ontologies formally represent knowledge as sets of concepts within a domain by using a shared vocabulary to denote the types, properties and interrelationships of those concepts. Different complementary ontologies have to be developed to address knowledge in software process improvement projects (i.e., tacit and explicit knowledge, knowledge about projects, knowledge in projects and knowledge from projects). A generic structure of the software process ontology has been proposed by Bringuente et al. (2011) and it is depicted in Figure 1.

The ontology of Figure 1 describes a general procedure to define a software process for a company's project. The project manager should identify the activities that have to be performed to achieve the project goals. This is done by tailoring organizational standard processes, taking the project particularities and team features into account. The project process is the basis for the further project management activities. After defining the process, the project manager creates the network of project activities, define how long each activity will last, and allocate people to perform them. For a good understanding of these tasks, we need a shared conceptualization regarding software processes.

The SPRINT SMEs approach suggests three sub-ontologies to develop for covering three process improvement knowledge domains, respectively:

- **Experience ontology:** The experience ontology describes skills and qualifications required for performing specific improvement practices.
- **Process ontology:** The process ontology enables the definition of a hierarchical process structure and alternative process decompositions and dependencies.
- **Project content ontology:** The project content ontology supports the representation of information about the improvement of the project content which includes project artefacts (e.g., requirements artefacts, UML diagrams, source code components, etc.).

We will present, as a proof of concept, the analytical ontology for the project planning phase as the target of improvement attempts. During project planning, the project objectives are defined along with the project schedule and its activities. People to perform the project activities have to be allocated. Also project monitoring and control should be
performed. This involves tracking the accomplishment of project activities and managing the necessary time to perform them. In particular, software project planning involves activities such as:

- **Project process selection:** This might involve the selection of a standard process such as RUP, SCRUM, ICONIX, XP or even hybrid methods that fit the particular needs of a specific company.
- **Resource allocation:** This task involves the selection of the development team, the allocation of people to tasks. Also in this task, the selection of the necessary software tools and hardware equipments is performed.
- **Project monitoring and controlling:** They involve the necessary estimations relevant to the effort or the productivity required to complete a software project.

The generic ontology of Figure 1 is further extended to include process attributes and operations. Figure 2 depicts the class diagram of this extended ontology. In Figure 2, the class Software Process consists of certain attributes like Size, Effort, Complexity and Quality. The operations encapsulated in this class are Planning, Scoping, Assessing, Deciding, Measuring, Monitoring and Improving. The class Standard Process is associated with the metrics that show conformance to RUP, ICONIX or XP process models, while the class Project Process represents the use of a customized variation of these standard processes for a specific project. The class Organization is represented by metrics describing each individual SME. Such metrics may include the Size of the Organization, the Years of Experience and the Organization Type. The class Project defines project specific metrics, such as Development Type and Business Area Type. The Activity class represents standard activities performed in software development like Planning, Scoping, Design, Build, Implementation and Testing. Depending on what area of project planning has to be improved, the Activity class may represent the relevant quality metrics for each activity or effort metrics (Deliverables, Milestones, etc.) for each activity. The class Human Resource is associated with metrics, such as Personnel skills and Roles for the Project Staff subclass or Expertise for the Manager subclass, while the class Software Resource is associated with metrics such as Use of Case Tools, Programming Language and Data Base. Finally, the class Hardware is associated with metrics, such as the Development Platform and the Architecture type.

In the fourth step, the SPRINT SMEs approach utilizes BNs to experiment with the ontologies defined in the previous step. A BN is a directed acyclic graph that represents a causal network consisting of a set of nodes and a set of directed links between them, in a way that they do not form a cycle (Jensen & Nielsen, 2007).
Each node in a BN represents a random variable that can take discrete or continuous, mutually exclusive values according to a probability distribution, which can be different for each node. Each link in a BN represents a probabilistic cause-effect relation between the linked variables and it is depicted by an arc starting from the influencing variable (parent node) and terminating on the influenced variable (child node). The strength of the dependencies is measured by means of conditional probabilities depicted in the form of Node Probability Tables (NPTs).

BNs are helpful in software process evaluation and improvement since they offer (Bibi et al., 2010): i) a way to represent project/process attributes and identify their interrelationships, ii) capabilities for performing multiple attribute estimations, iii) results indicating confidence of the estimations, iv) solutions that can be easily interpreted and confirmed by intuition, and v) analytical methods that can be used alone or combined with expert judgment. A simple BN example is presented in Figure 3. The model consists of two nodes. The first node (NofClasses) represents the number of classes in a software package and the second node (Maintenance Effort) represents the effort required for package maintenance. We consider that the values of these two nodes fall into two discrete categories (Low and High). For the node NofClasses, Low values range between 1 class and 10 classes, while High values represent packages with more than 10 classes (30 classes the most). For the node MaintenanceEffort, Low values range from 1 man month to 3 man months, while High values range from more than 3 man months up to 10 man months.

Table 1: The NPT of the node MaintenanceEffort in Figure 1.

<table>
<thead>
<tr>
<th>NofClasses</th>
<th>Low</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td>0.7</td>
<td>0.45</td>
</tr>
<tr>
<td>High</td>
<td>0.3</td>
<td>0.55</td>
</tr>
</tbody>
</table>

A simple example to comprehend the NPT presented in Table 1 is the following: If the number of classes falls in the low category then there is 70% probability that the maintenance effort will also fall in the low category.

Figure 4 shows the resulting BN model for the ontology of Figure 2. The metrics of each class of the ontology is represented by a node and each attribute of a class is represented by a node pointing to the “class” node. This representation implies that the accumulative value of a class node is affected by the values of the metrics that define the class node.

4 VALIDATION OF THE APPROACH

In the following section, we present an example of applying the SPRINT SMEs approach in a case study that took place in a Greek SME running projects in software telecommunications field. The study lasted one week. The company occupies almost 35 employees mainly scientific, technical and management personnel. In the case study we have followed the SPRINT SMEs approach to evaluate...
the company’s project management and process improvement decisions. The first step was to identify the process areas that needed further support. For this reason, we interviewed three company’s employees (project managers) with at least 5 years experience covering all aspects of company’s activities. The employees pointed two areas of interest, namely effort/duration estimation and software reuse.

The second step was to develop a knowledge base that included all relevant information regarding the aforementioned process areas of interest. After the interviews, we selected to record metrics that are company specific and relevant to the telecommunication software that the company develops and also more general metrics, such as effort and size metrics.

Then, we selected the historical projects that would participate in the analysis to define the required process models. We selected five recent projects that the managers considered more indicative of the current activity of the company.

These projects offered information that could be retrieved even if we had to perform post-mortem analysis. The data that were collected involved software process, product and implementation metrics and they are presented in Table 2.

The third step resulted in a process ontology that represented the targeted improvement areas (effort/duration estimation and software reuse). To implement this step we have used parts of the ontology described in Figure 2. In general, for the ontology creation there can be several alternative solutions for each specific company. Therefore, we have used the generic ontology presented in Figure 2, as it is difficult for an SME to create its own process ontology from scratch. This generic ontology can be modified according to the needs of a specific company.

The fourth step was to design appropriate BNs based on the ontological representation of the knowledge base. To ensure better readability and clarity of the results, two BN models were created, one involving the effort estimation process and another one involving the software reuse process. The first BN is presented in Figure 5.

In the BN of Figure 5 network nodes are shown as bar charts providing additional information for the data allocation at each node. This BN model demonstrated the following assertions: The total effort value mainly depends on the effort of the first development phase of a process that is often followed in the company’s projects (P1Effort) and on the Lines of Code (LOC) written, apart from code written in Specification and Description Language (SDL).

### Table 2: Metrics of the knowledge base for the case company with low (L) and high (H) ranges.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Min Categories</th>
<th>Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOC</td>
<td># of months</td>
<td>L(≤ 9.5), H(&gt; 9.5)</td>
</tr>
<tr>
<td>Duration</td>
<td># of months</td>
<td>L(≤ 9.5), H(&gt; 9.5)</td>
</tr>
<tr>
<td>Effort</td>
<td># of months</td>
<td>L(≤ 5.50), H(&gt; 5.5)</td>
</tr>
<tr>
<td>P1Duration</td>
<td># of months</td>
<td>L(≤ 5), H(&gt; 5)</td>
</tr>
<tr>
<td>P1Effort</td>
<td># of months</td>
<td>L(≤ 5), H(&gt; 5)</td>
</tr>
<tr>
<td>P2Duration</td>
<td># of months</td>
<td>L(≤ 5), H(&gt; 5)</td>
</tr>
<tr>
<td>P2Effort</td>
<td># of months</td>
<td>L(≤ 3.5), H(&gt; 3.5)</td>
</tr>
<tr>
<td>TeamSize</td>
<td># of people in project</td>
<td>L(≤ 2), H(&gt; 2)</td>
</tr>
<tr>
<td>Reuse</td>
<td>% of reusage of previous products</td>
<td>L(≤ 25%), H(&gt; 25%)</td>
</tr>
<tr>
<td>Reusability</td>
<td># of blocks</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN B</td>
<td># of Blocks</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN P</td>
<td># of Processes</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN ST</td>
<td># of States</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN PT</td>
<td># of Process Types</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN SYS</td>
<td># of Systems</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN TMR</td>
<td># of Timers</td>
<td>L(≤ 1), H(&gt; 1)</td>
</tr>
<tr>
<td>TN BT</td>
<td># of Block Types</td>
<td>L(≤ 0), H(&gt; 0)</td>
</tr>
<tr>
<td>TN T</td>
<td># of Data Types</td>
<td>L(≤ 0), H(&gt; 0)</td>
</tr>
<tr>
<td>TN G</td>
<td># of Gates</td>
<td>L(≤ 0), H(&gt; 0)</td>
</tr>
<tr>
<td>TN CH</td>
<td># of Channels</td>
<td>L(≤ 0), H(&gt; 0)</td>
</tr>
<tr>
<td>TN BIP</td>
<td># of Built in Procedures</td>
<td>L(≤ 0), H(&gt; 0)</td>
</tr>
<tr>
<td>TN Ent VS</td>
<td># SDL Entities with Valid Suffix</td>
<td>L(≤ 4), H(&gt; 4)</td>
</tr>
<tr>
<td>TN Ent IS</td>
<td># SDL Entities with Invalid Suffix</td>
<td>L(≤ 4), H(&gt; 4)</td>
</tr>
</tbody>
</table>

The company develops software using a mix of (i) graphical development with the use of SDL telecommunication modelling language and tools that execute directly the SDL models and (ii) programming in C language. The Lines of Code are affected by the percentage of reuse from previous projects which affects intuitively also the size of the development team. Larger teams produce more Lines of Code. A large percentage of reuse can reduce the actual number of new lines of code and the total effort value. The effort of the second development phase (P2Effort) that is followed in the company’s projects mainly depends on TNL (Total Number of Lines) that correspond to lines written in SDL. The value of TNL is also affected by the percentage of reuse.
The NPT (Node Probability Table) of the node effort in the BN of Figure 5 is presented in Table 3. This table can be used for the estimation of the total effort required for the completion of a new project in the company. The total development effort of a new project is estimated to be high (second category) with probability 64% when the effort required for the first development phase is high and the number of Lines of Code is also high.

A second BN model (Figure 6) was developed during the case study to analyse the company’s software reuse process. A more conventional format is selected in Figure 6 to show this BN (nodes are depicted with icons). This model indicated that the variable TN_PT (Total Number of process types) actually affects the values of other code structure variables, such as the number of block types and the number of gates (these are all SDL specific metrics). According to the BN of Figure 6, the percentage of code from a particular project that can be reused is affected by the number of entities with invalid suffix, i.e., inappropriate naming choices (TN_Ent_IS). This result indicated that reuse heavily depends on the formality that the programmers adapt when naming the entities on the code. This intuitively affects the understandability of the code that enables further reuse.

Post-mortem analysis was applied on the BN model of Figure 6 and resulted in the following useful insights: The lower the number of code structure variables the greater the reuse. It seems that smaller parts of code can be more easily reused. According to the company’s management, future projects are possible to breakdown to smaller autonomous packages that could perform different aspects of functionality. This decomposition would enable greater percentage of reuse. The company’s management so far preferred the use of smaller teams, while there is also the possibility of using larger ones. The idea was that small teams can be more flexible, communicate better and produce more quickly results. It seems though from the analysis results that larger teams can produce results in shorter time and they are able to reuse larger percentage of code from previous projects. The management currently is validating the experimental results on larger teams.

Table 3: NPT for effort estimation.

<table>
<thead>
<tr>
<th>P1Effort</th>
<th>X1</th>
<th>X2</th>
<th>X1</th>
<th>X2</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOC</td>
<td>0.75</td>
<td>0.42</td>
<td>0.36</td>
<td>0.31</td>
</tr>
<tr>
<td>X2</td>
<td>0.25</td>
<td>0.58</td>
<td>0.64</td>
<td>0.69</td>
</tr>
</tbody>
</table>

5 CONCLUSIONS

This paper presented an approach to support software process improvement activities for software development SMEs. The approach takes into consideration the characteristics and the needs of the individual software organization under assessment and does not demand a large amount of resources and investment costs. The approach utilizes a generic ontology that is tailored to the needs of an SME and applies Bayesian network analysis to make measurable each concept that is represented in the process ontology. As a proof of concept, we presented the approach validation in a case study aimed to improve software effort estimation and reuse in a company that delivers hardware/software solutions in the telecommunications area. As future work the proposed approach will be further validated at a multiple case study involving Greek SMEs, which show interest in improving their development practices and changing their role from bespoke to market-driven software product developers.

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