A Systematic Method for Architecture Recovery

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Abstract: Software architecture recovery aims to reverse engineer a software architecture description from the system artifacts (e.g. source code) in order to facilitate software architecture analysis, improvement and control. Whilst there are a number of software architecture recovery methods, none of the current methods focus purely on those aspects of a system which address non-functional requirements. This paper introduces the Systematic Method for Software Architecture Recovery (SyMAR). SyMAR is an inspection method used to recover a software architecture description consistent with the view of a software architecture providing a specification of a software infrastructure addressing non-functional requirements within which application functionality addressing functional requirements can be deployed and executed. The method has been applied to a number of industrial architecture recovery projects. This paper discusses the experiences from these projects and illustrates the method using one of these projects as a case study.

1 INTRODUCTION

Ongoing system maintenance often leads to architectural drift and erosion (de Silva and Balasubramaniam, 2012) resulting in an increase in system complexity, maintenance costs and architectural failures (Roy and Graham, 2008; de Silva and Balasubramaniam, 2012). Furthermore, a lack of an authoritative understanding of the software architecture makes it difficult to analyze the causes of architectural concerns and to effectively re-architect aspects of the system to address such concerns. At this point it is often advisable to recover the software architecture of the system. Software Architecture Recovery involves extraction of relevant information, abstraction and description (Tilley et al., 1994) resulting in a complete or partial description of the software architecture (Duenas et al., 1998).

Common challenges around software architecture recovery include the size and heterogeneity of the code bulk and that architectural abstractions are not explicit at source level (Ducasse and Pollet, 2009). Abstractions required for an architectural description include the identification of architectural patterns or styles, architectural tactics and the concepts and constraints a software architecture introduces for the specification of application components (Solms, 2012). Here an architectural style or pattern is defined as the structural organization of components and connectors, with constraints on how they can be combined (Shaw and Garlan, 1996). An architectural tactic refers to a reusable technique used to concretely address quality requirements (Rozanski and Woods, 2011). In addition, a software architecture may specify concepts and constraints within which application functionality is to be developed (Solms, 2012). For example, using either stateful components as in CORBA, Java-EE, stateless services Services Oriented Architectures or pure functions as in MapReduce based architectures affects the ease of reuse (Erl, 2005), parallelization (Hinsen, 2009) and other qualities.

Efforts to automate the recovery of aspects of the architecture from source (Sartipi, 2003; Eisenbarth et al., 2003; Hamdouni et al., 2010) are able to extract component-connector views, generate message traces across components and perform clustering into higher level components or features. They are, however, not in a position to perform abstractions into architectural patterns and tactics. Nor are these methods able to abstract application code into the concepts and constraints within which they are developed or even to distinguish between aspects of the code which address non-functional requirements (i.e. architecturally significant code (Solms, 2012)) and those implementing application functionality. Here application functionality refers to primary functional requirements around what the processes the system needs to execute to provide the user the functionality they require. Non-functional requirements, on the other hand, refer to system or service qualities like performance, scalability, reliability, auditability, security, integrability and

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so on. The non-functional requirements may give rise to secondary functional requirements, i.e. functionality which the system must provide in order to address the non-functional requirements. The latter fall within the scope of software architecture as the concern is still to address the non-functional requirements for the system.

Manual processing of the entire code bulk is usually not feasible for large systems. However, a large proportion of the bulk commonly implements application functionality and provides little information about the software architecture. This paper presents a tool-assisted manual inspection method, the Systematic Method for software Architecture Recovery (SyMAR), for recovering a software architecture which requires that only a small proportion of the code bulk needs to be analyzed. The output is a software architecture description which, for each level of granularity, specifies the architectural components addressing infrastructural concerns, the infrastructure between these components (commonly in the form of an architectural pattern), the tactics used to concretely address quality requirements and the concepts and constraints the software architecture introduces for application development. The method has been applied to a number of large industrial software architecture recovery projects. One of these projects is discussed in this paper as a case study.

2 RELATED WORK

(Ducasse and Pollet, 2009)’s extensive review of software architecture recovery methods provides a taxonomy of methods based on inputs and outputs, whether a process is top-down, bottom-up or hybrid, the extend to which a process can be automated, and whether the recovery includes conformance or quality analysis.

Many approaches recover a software architecture in the form of components, their interfaces and the connectors between them (Tilley et al., 1994; Dueñas et al., 1998; Gorton and Zhu, 2005; Buchgeher and Weinreich, 2009). Lindvall and Muthig (Lindvall and Muthig, 2008) developed the Software Architecture Visualization and Evaluation (SAVE) tool which can be used to reverse engineer a component and connector view of the SA at different levels of granularity. Benefits of component-connector based approaches include that these can be largely automated (Tilley et al., 1994; Sartipi, 2003; Eisenbarth et al., 2003; Hamdouni et al., 2010) and that most Architecture Description Languages (ADLs) are able to describe a software architecture in terms of components and connectors (Gardazi and Shahid, 2009).

Within component-connector approach a core challenge is the grouping of identified components into higher level architectural components. (Dueñas et al., 1998) have shown that statistical clustering techniques can be used to assist with the identification of such higher-level components whilst (Eisenbarth et al., 2003) used information extracted from both static and dynamic analyses of the system to derive correspondences between features and computational units using concept analysis. (Sora, 2013) also investigates automated component aggregations via clustering algorithms. She found that a suitable similarity metric could be constructed from direct and indirect class coupling measures. A notable contribution is the use of dependency orientation analysis to identify the use of architectural layering. This approach could be used to assist with the aggregation of architectural components into higher level components. Furthermore the dependency analysis could be extended to also detect architectural patterns other than the layering pattern (e.g. microkernel, blackboard, controller, ...).

(Pahl et al., 2009) introduced a description logic based formalization of architectural patterns and tactics which should make it easier for future architecture recovery tools to identify these abstractions within software systems.

Whilst ISO/IEC/IEEE 42010:2011 captures a consensus around the requirements for an architectural description (Emery and Hilliard, 2009), it does not prescribe the required content of such. It is well known (Pinzger and Gall, 2002; van Heesch et al., 2012) that the quality and efficiency of architecture decision recovery is improved by recovering architectural abstractions.

Yet only few Architecture Description Languages (ADLs) (Gardazi and Shahid, 2009) can capture these explicitly. This may contribute to the low adoption rate of ADLs in industry (Gardazi and Shahid, 2009). Whilst some ADLs do support abstractions in the form of architectural patterns, tactics are currently only explicitly supported by Aspect-Oriented ADLs like AO-ADL (Pinto et al., 2011) where quality requirements are seen as cross cutting concerns which are addressed through tactics implemented as aspects.

3 SyMAR

The Systematic Method for software Architecture Recovery (SyMAR) guides software architects through a manual recovery of a software architecture descrip-
The output is an ISO/IEC/IEEE 42010 compliant architectural description containing the architectural abstractions discussed in (Solms, 2012). The method relies largely on request tracing to efficiently extract architectural features from system slices.

Figure 1: The systematic method for software architecture recovery yielding, for each architecturally significant component, one or more Request Trace Views (RTVs), a Responsibility Allocation View (RAV), a Structural View (SV), a tactics view, Framework Mapping View (FMV) and an Application Concepts and Constraints View (ACCV).

The method steps and generated views are shown in Figure 1. For each architectural component one projects out (1) one or more Request Trace Views (RTVs) depicting the interaction across the first level granularity sub-components, (2) a Responsibility Allocation View (RAV) documenting the architectural responsibilities which have been assigned to each sub-component, (3) a Structural View (SV) showing the connectivity between the components and the abstraction of the structure into a single architectural pattern constraining the infrastructure for that component, (4) a Tactics View (TV) showing the tactics applied at point cuts in order to address quality requirements, (5) a Framework Mapping View (FMV) showing the mapping of architectural components onto framework elements, and (6) an Application Concepts and Constraints View (ACCV) describing any concepts and constraints used for application components hosted by that component.

3.1 Preparation

During the preparation step software architects obtain access to the available resources and are briefed on the scope and a high-level view of the system. Any available software architecture documentation is studied to deepen the understanding, whilst keeping in mind that the descriptions might be incorrect (out of date or misrepresented) and incomplete.

The preparation step is followed by an iterative recovery process which starts with the component whose architecture is to be recovered (e.g. a system, a module of a larger system). The process is repeated for each architecturally significant sub-component, e.g. a sub-component which addresses some infrastructural concerns like providing an access channel or implementing a tactic like caching or load balancing to address a quality requirement.

3.2 Extraction

The extraction phase is used to extract information from the source code. It relies primarily on request traces generated for different integration channels and use cases. This can be automated using tracing or profiling tools like InTrace or BTrace or any of the reverse modeling tools which support reverse engineering.

The number of request traces taken determines the scope of the source code which is examined. Each request trace is for a particular user service and a particular access channel. The aim is to select a set of use cases which is representative from an architectural perspective. To this end representative use cases which address different non-functional requirements, are accessed through different access channels, and integrate with different external systems are selected.

3.3 Abstraction

Extraction can be readily automated using any of a number of request tracing or reverse engineering tools. The core responsibilities of architecture recovery is that of identifying abstractions. It is these abstractions which expose the architectural decisions made in order to address non-functional requirements. In SyMAR one starts with a manual inspection of the request traces in order to abstract a) request traces to the appropriate level of granularity, b) system elements into abstractions with assigned architectural re-
3.3.1 Abstracting Requests into Architectural Responsibilities and Components

The first step is to identify and abstract architectural responsibilities. To this end one analyzes service requests within the request trace for the responsibilities the services address. Responsibilities are then grouped into higher level responsibility domains. The highest level responsibilities are the responsibilities for the current level of granularity. These are assigned to abstract architectural components represented by interfaces. The responsibility allocations for the current level of granularity are captured within a Responsibility Allocation View — see Figure 3 for an example.

3.3.2 Request Trace Abstraction

The full request traces are generally very deep — they typically include requests made to very low level components. These need to be pruned to the current level of granularity. This is done by including only messages exchanged between the responsibility domains identified in the previous step — see Section 3.3.1. All messages exchanged between components within those responsibility domains are pruned.

3.3.3 Abstracting into Architectural Patterns

Once we have the request trace pruned to the current level of granularity, we analyze the message exchange pattern in order to determine the architectural pattern used to constrain the infrastructure between the architectural components. This is done by comparing the message exchange pattern to that of different architectural patterns.

For example, in the layered architectural pattern synchronous requests are fed down through the layers and the corresponding responses ravel up the layers. In the case of the controller pattern, the requests all disseminate from the controller itself whilst in the case of the pipes and filters pattern the requests are asynchronous requests along a pipeline. For the blackboard pattern requests are made from various components to the blackboard.

3.3.4 Architectural Tactics

Architectural tactics are used to concretely address quality requirements. For example, resource reuse, clustering, and caching are three examples of tactics used to address scalability. Recovering the use of tactics provides important information around how non-functional requirements are addressed within a software architecture.

Architectural tactics are commonly applied at integration channels, interception points, and at point-cuts to which aspects are assigned. Furthermore, frameworks commonly implement architectural tactics in order to realize certain quality attributes. Thus, in order to identify tactics one (a) investigates interception points and connectors within the software architecture for any tactics applied to them, (b) investigates the use of aspects, the tactics they implement and the point-cuts to which they are applied, and (c) study frameworks used within the software architecture for any tactics implemented by them.

3.3.5 Concepts and Constraints for Application Components

A software architecture commonly introduces concepts and constraints within which application components addressing functional requirements are to be developed. For example, a services-oriented architecture introduces concepts like leaf services, composite services, pipes and routers. Higher level services are assembled from lower level services within a pipes and filters paradigm. Java-EE, on the other hand, introduces the concepts of enterprise beans (stateless and stateful session beans, as well as message-driven beans) and entities. Commonly application functionality is specified either within stateful objects or components, stateless services which may still alter the environment or pure functions receive an input and compute a result without accessing (or modifying) the environment.

Additionally a software architecture may specifies some constraints which must be adhered to by application components. For example, a service in SOA must be stateless to facilitate composability of services. and an enterprise bean in Java-EE may not create any threads as this would interfere with the CPU resource management of the application server.

4 AN INDUSTRIAL CASE STUDY

Towards the end of 2012, the author was requested to reverse engineer the software architecture of a large
banking system used by corporate banking clients across Africa. The system was originally developed within a vendor product which provided a SOA-based software architecture meant to address the non-functional requirements for the banking system as well as generic application functionality which could be customized and extended. The architecture was however not able to provide the required levels of reliability and scalability resulting in a decade-long architectural evolution to a Java-EE based architecture which still retained many SOA aspects. The system has around three million lines of code making a manual recovery process with full code coverage impractical and prohibitively expensive.

The architecture recovery was done by a single software architect. The resources made available for the process were the lead architect and lead developer for the system to answer questions, the complete source code of the system and any documentation which was available for the system. The latter was at a very high level and partially out of date. The architecture recovery required 92 man hours.

4.1 Extraction

Request tracing was done using the InTrace (http://mchr3k.github.io/org.intrace/) request tracing tool which uses byte-code enrichment to insert callback methods to a tracer. The example request trace in Figure 2 is pruned somewhat for the sake of compactness. It shows how the trace exposes architectural components used to demarshall and route service requests as well as the persistence infrastructure. Note that application logic is only contained in the "business beans" and that all other components are pure architectural components addressing infrastructural concerns and concerns around addressing non-functional requirements.

The software architecture retained a number services-oriented elements. Requests are based on document messages which have an envelope containing metadata around the service requested (the service required and the module from which the service is required) as well as a message content containing the core request data. These are separately demarshalled within the routing and service adapter components.

Requests are taken through two levels of routing, the first routing the request to the appropriate product and the second routing the request to the appropriate service as offered by a business logic component. In-memory caches for product, component and service handles are used to address performance and scalability concerns. Note that in Java-EE thread pooling is achieved through object pooling of business logic components whilst in SOA thread pooling is at a service level. The drift from a services-oriented software architecture to a component based software architecture has resulted in an infrastructure where service handles are maintained as method handles and threads are obtained through component lookup. This approach bypasses key elements of the Java-EE reference architecture.

Request tracing was done for both real-time requests coming from different access channels, application clients and mobile device clients and batch requests submitted through message queues. These traces were used to identify architectural components traversed in the context of request processing.
4.2 Abstraction

Having a request trace exposing a slice through the software system, we now need to separate application functionality from architectural code addressing non-functional requirements. The architectural code is abstracted into architectural responsibilities, components, patterns and tactics. The code implementing application functionality is abstracted into concepts and constraints within which application functionality is specified. It is these abstractions which expose the architectural decision made to address the quality requirements for the system.

4.2.1 Architectural Responsibilities

In our case study we grouped the responsibilities of the CoreRouter servlet and the MessageHandler utility class into that of demarshalling the request and assign that responsibility to the ApplicationAdapter abstraction. Similarly the ModuleDelegate, ProcessService and ServiceLocator can be seen to collaborate to route the request to the BusinessBean hosting the business logic. The resultant identified responsibilities and their allocation to abstract architectural components is shown in Figure 3.

4.2.2 Abstracting Request Traces

In order to prune the request trace to the current level of granularity we remove all messages sent within the identified responsibility domains. This will remove messages 2, 3, 5, 6, 7, 8, 9, 16 from the full request trace shown in Figure 2 resulting in a simpler sequence diagram showing only the interactions relevant for the current level of granularity.

4.2.3 Architectural Patterns

In order to identify the structural pattern which constrains the infrastructure at the current level of granularity, we analyze the message exchange patterns contained in the pruned request trace from section 4.2.2. The pruned request trace clearly shows that the architectural components are arranged according to the layering pattern as shown in Figure 4.

4.2.4 Architectural Tactics

Analyzing both, the tactics implemented in the frameworks employed and any additional tactics applied through interception resulted in the tactics shown Figure 4. The figure shows the tactics applied at connectors using the AO-ADL notation (Pinto et al., 2011). For example, load balancing, thread pooling and encryption is applied to both, the connectors between the application client and adapter and the messaging client and adapter.

4.2.5 Concepts and Constraints for Application Components

Being a Java-EE based architecture which evolved from a services-oriented architecture, the application functionality is specified within stateless services packaged within business beans which are implemented as stateless Java-EE session beans. Domain objects are implemented as JPA (Java Persistence API) entities which are mapped onto a database structure by a persistence context which in turn makes use of an object-relational mapper. Higher-level services are, however, not assembled from lower level services within a pipes and filters paradigm (as is common in a services-oriented architecture), but instead using the process-manager or controller pattern (Hohpe and WOOLF, 2004).

4.3 Lower Levels of Granularity

The process is repeated for lower levels of granularity, taking one of the architectural components for the current level of granularity as the new context. For the case study it was found that three levels of granularity were sufficient, i.e. at the third level of granularity lower level components were components provided by frameworks and not components developed for this software architecture.

5 RESULTS

In addition to this case study, the method has been applied to two other software architecture recovery
projects. The one was that of an integration infrastructure between front end systems offering a range of products to users and the back-end systems hosting the business data and backend services. The other was that of reverse engineering an access channel for mobile devices.

In the case of the first and third system, the software architecture recovery required traversing about 5% of the source code. In the case of the integration infrastructure there was a high level of infrastructure resulting in about 30% of the source code having to be traversed. This was due to the second project being largely an infrastructure project with no application logic. The reason for having to cover only about 30% of the source code was the fact that many of the adapters to the front and back-end systems were based on a similar architecture and hence only representative adapters had to be analyzed. In all three projects it was found that there was largely a clean separation between application components implementing application functionality and architectural components providing infrastructure (connectivity, persistence, marshalling/demarshalling) or implementing tactics like load balancing, caching and role-based authorization.

The required levels of granularity depend on the complexity of the architectural components, but in practice it is found that generally two to three levels of granularity are sufficient for an architectural description which covers most of the architectural concerns.

The client reported that the architectural description did enable them to obtain deeper insights into the software architecture which in turn enabled them to apply a number of architectural improvements. It is not clear yet whether the client will maintain the software architecture description as the architecture evolves into the future.

Core benefits of the method include that the method scales well for large systems and that it provides an architectural description which does contain useful architectural abstractions. However, the method is not well suited for systems for which the infrastructural code is extensively intertwined with application functionality. For such systems a lot more code needs to be analyzed and the method is not able to provide a useful architectural description. A further limitation is that the method cannot be applied to components for which the source code is not available. Particularly for enterprise systems it is quite common to use vendor products which may impact the realization of NFRs significantly. Finally, the method assumes a level of homogeneity of the architecture across application functionality. For systems for which this is not the case, a much larger proportion of the code bulk would have to be covered.

6 CONCLUSIONS

The Systematic Method for Architecture Recovery is able to provide useful architectural descriptions with moderate effort for software systems which have a relatively good separation between code implementing application or business logic and infrastructural code. The method is, however, not very useful for systems for which the application code and infrastructural code are strongly interwoven.

Benefits of the method include that only a small fraction of the system code needs to be analyzed, that the method yields an ISO/IEC/IEEE 42010 compliant architectural description with clean separation between architectural and application components, and that architectural abstractions are explicitly documented. This includes the identification of architectural components addressing architectural responsibilities, structural patterns which constrain the infrastructure of the software system, tactics used to address quality requirements and the concepts and
constraints the architecture introduces for application components.

Tracing tools can be used during the extraction phase in order to automate the generation of raw request traces. The abstraction steps required a significant amount of manual effort. In future one may be able to use formal or semi-formal specifications of architectural patterns and tactics (Pahl et al., 2007) to automate aspects of the abstraction phase.

The method was applied to enterprise systems. Future work will study the usefulness of the method for other types of software systems.

REFERENCES


