



IBM Software Group

Agile and Traceability

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01.ibm.com/software/rational/leadership/thought/BruceDouglass.html



Rational. software



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Agenda

- On the importance of Traceability
- On the other hand Agile!
- Matching Traceability with the Agile Lifestyle



Traceability

- **Traceability** means that a navigable relation exists between all related project data, without regard to the data's location (within work products) or format
- Forward Traceability
 - ▶ Data created earlier in the process can be navigated from to related (often derived) data produced later in the process
 - ▶ Examples:
 - Requirement → Design; Design → Implementation; Requirement → Test Case
- Backward Traceability
 - ▶ Data created later in the process can be navigated from to related (often source) data produced earlier in the process
 - ▶ Examples:
 - Design -> Requirement; Test Case → Requirement; Implementation → Design



Why Traceability?

- Impact Analysis
 - ▶ If I change this datum, what other project data is affected and must also be modified?
 - ▶ If I change this datum, what is the cost and effort required to make all relevant changes?
- Completeness Assessment
 - ▶ Have I (demonstrably) realized each datum?
 - ▶ E.g. Safety Objective, Requirement or design element
- Justification
 - ▶ Can I show why this data is present?
 - ▶ E.g. Is this design element present to meet a requirement?
- Consistency Evidence
 - ▶ Are the data within different aspects of the project data consistent?
 - ▶ E.g. Are the requirements consistent with the safety assessment? Does the implementation meet the design?
- Compliance Evidence
 - ▶ Does the data comply with internal and external standards
 - ▶ E.g. QA Records show process was followed (audit) or work product is well-formed (review)
- Required for Safety Critical – High Reliability – High Security systems
 - ▶ Safety standards require detailed traceability
 - ▶ E.g. DO-178 (Avionics), EN 50128 (Rail), IEC 62304 (Medical)



In Other Words, Traceability

- Helps ensure requirements are met
- Helps ensure requirements are verified
- Lowers project risk
- Creates an audit trail
- Ensure consistency among work products
- Helps manage consistency over the long term

		Design / Implementation Elements				
		D1	D2	D3	D4	D5
Requirements	R1	x				x
	R2					
	R3		x			
	R4				x	

← Unimplemented requirement

↑ Gold plating?

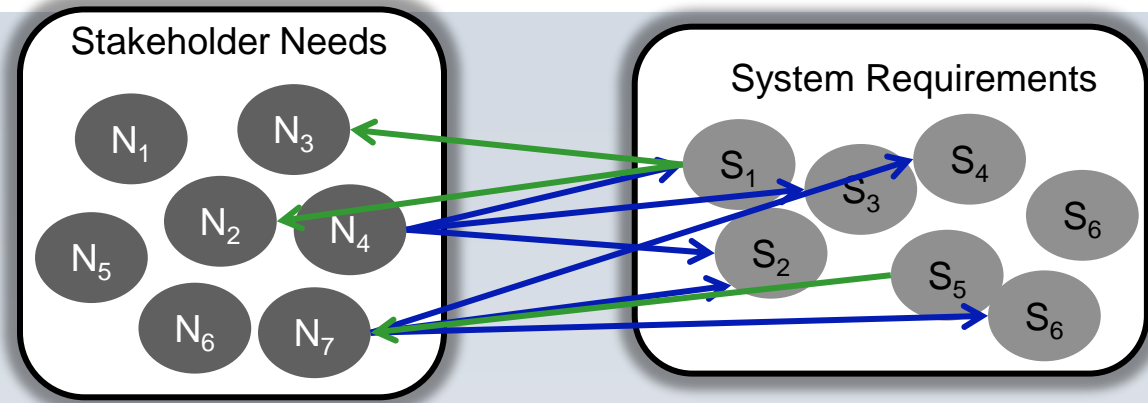


Why not Traceability

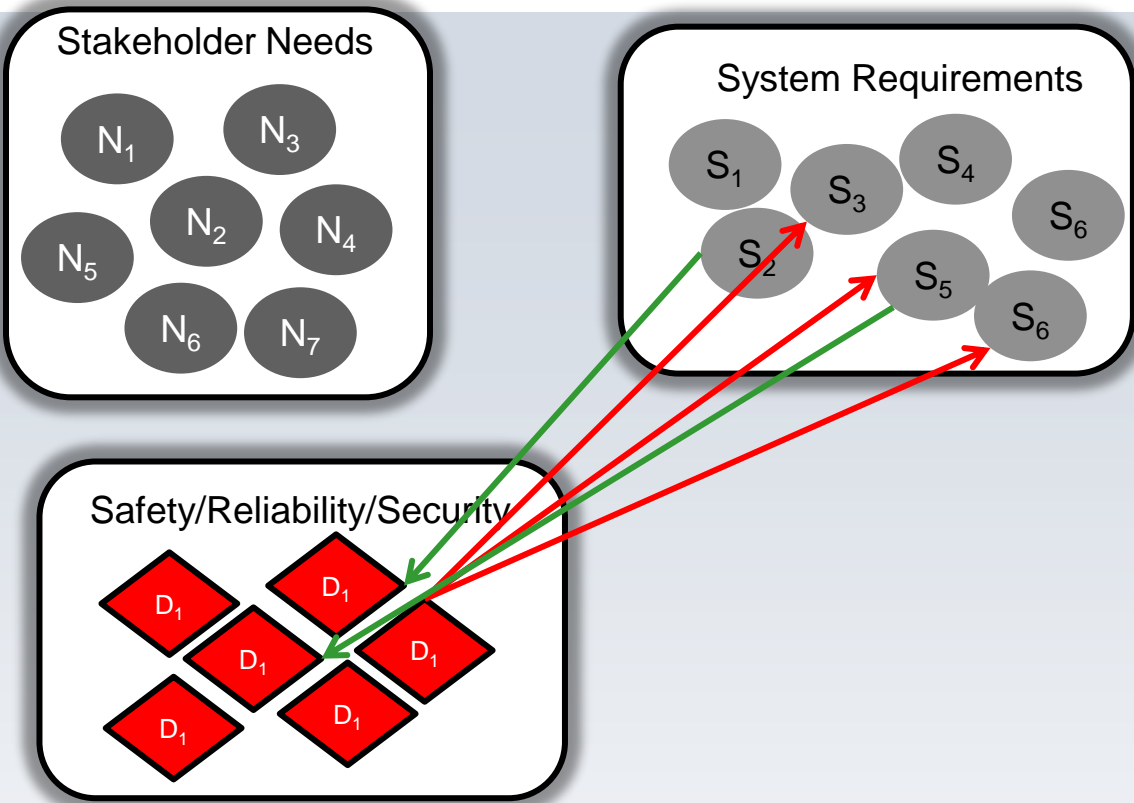
- Seen as low priority, low value work
- Arduous to create and maintain (esp without tools)
- Difficult to verify
- Work products may not be complete enough to support traceability
- May be difficult to demonstrate ROI



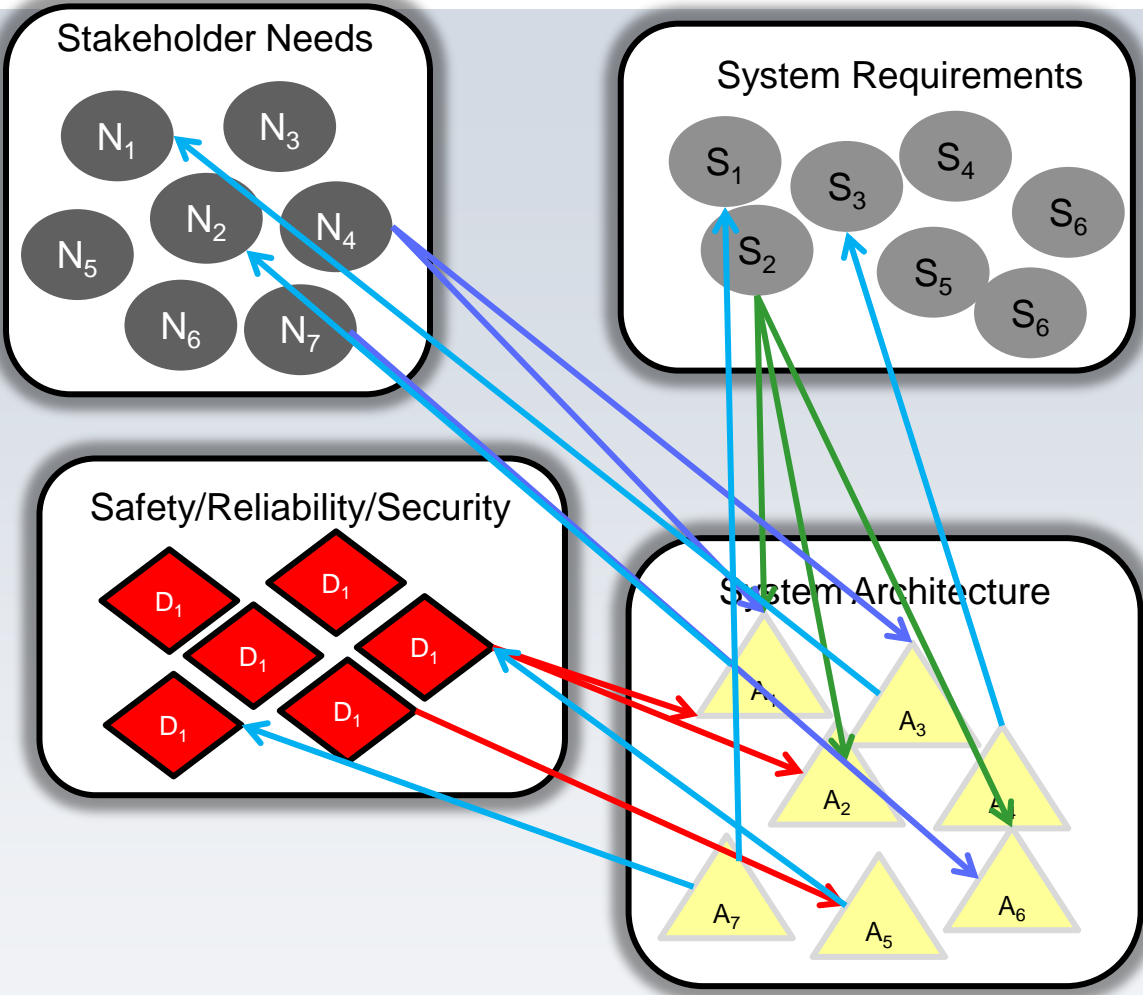
Traceability is data-centric not document-centric



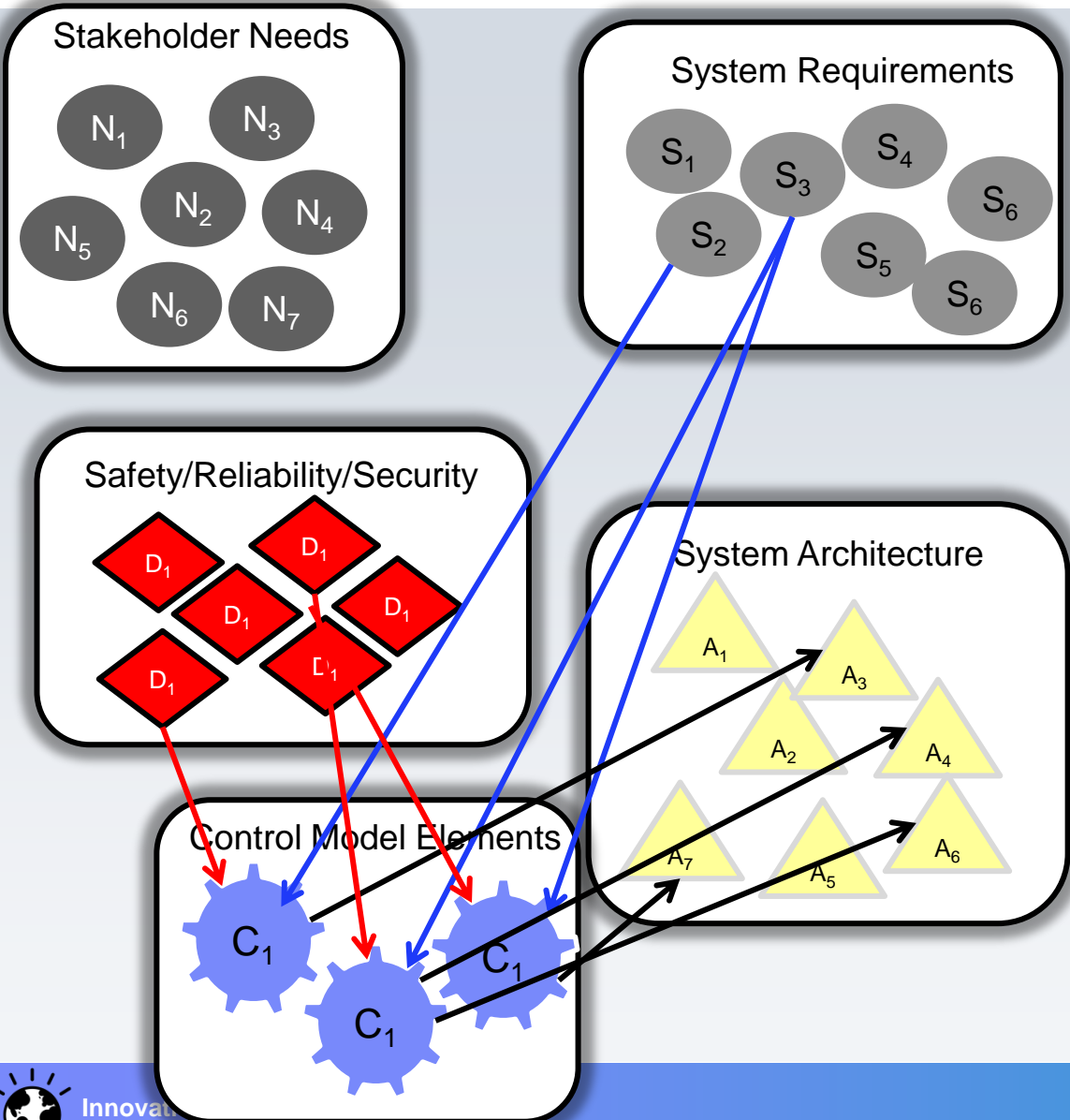
Traceability is data-centric not document-centric



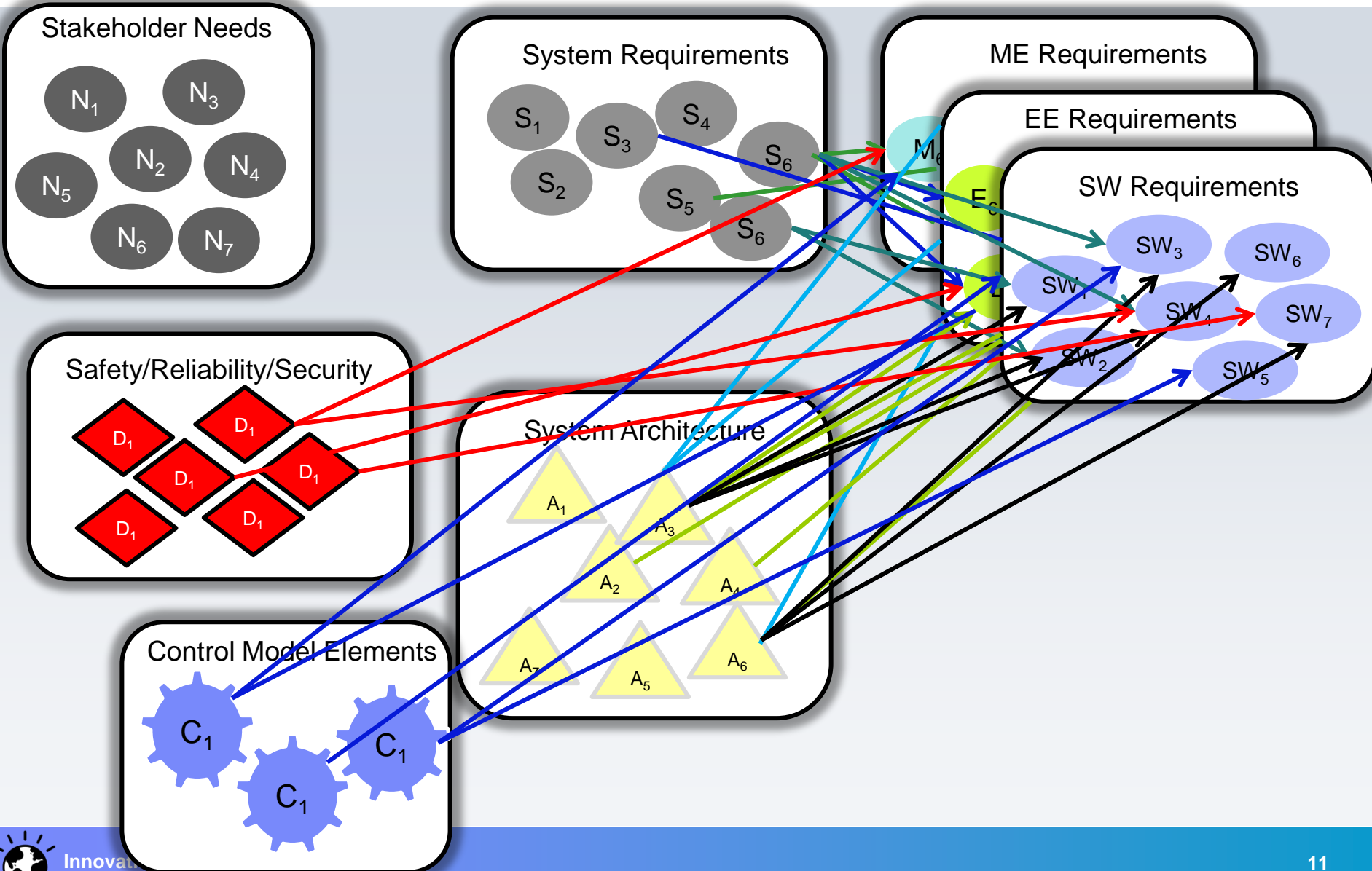
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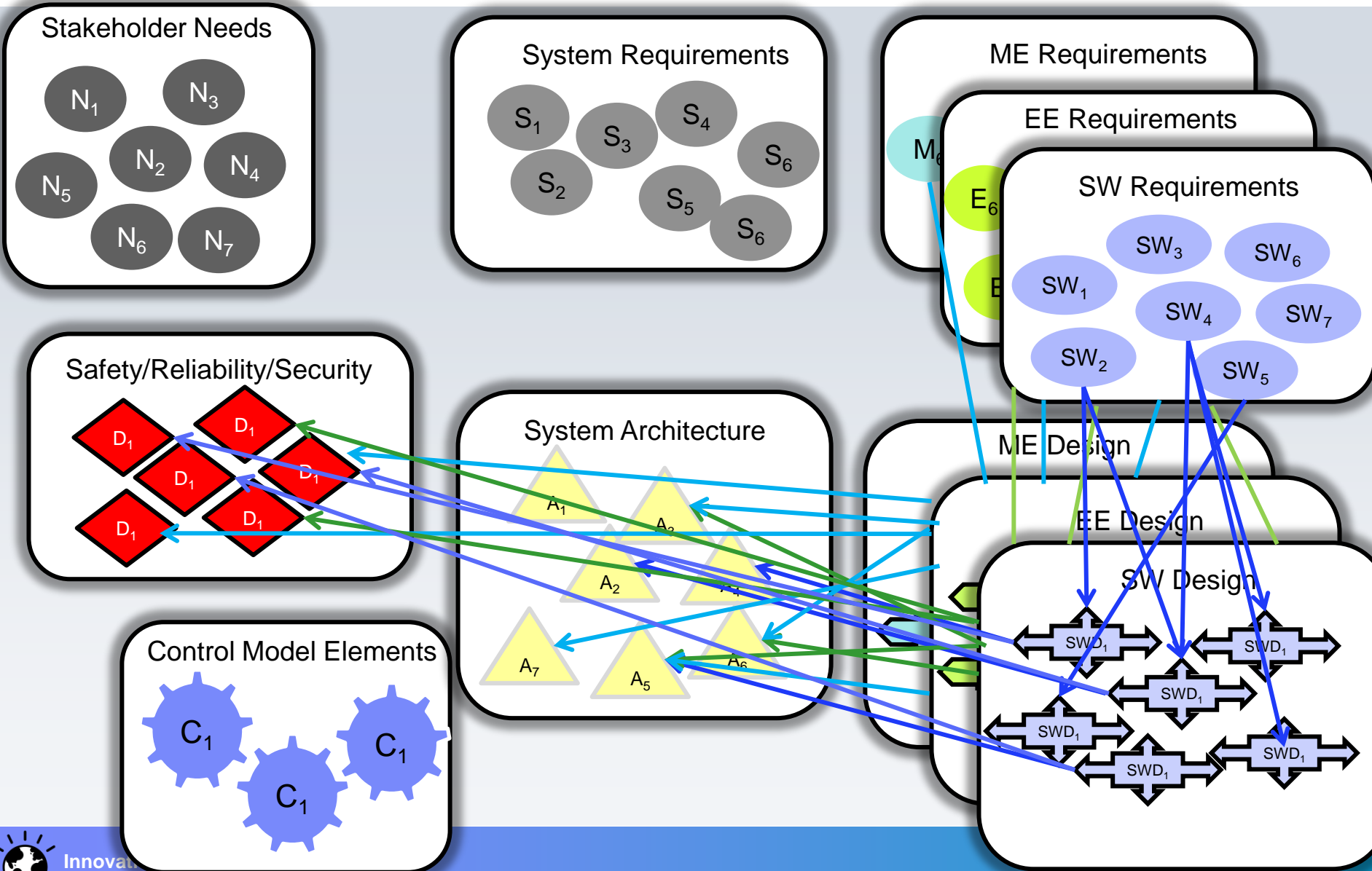
Traceability is data-centric not document-centric



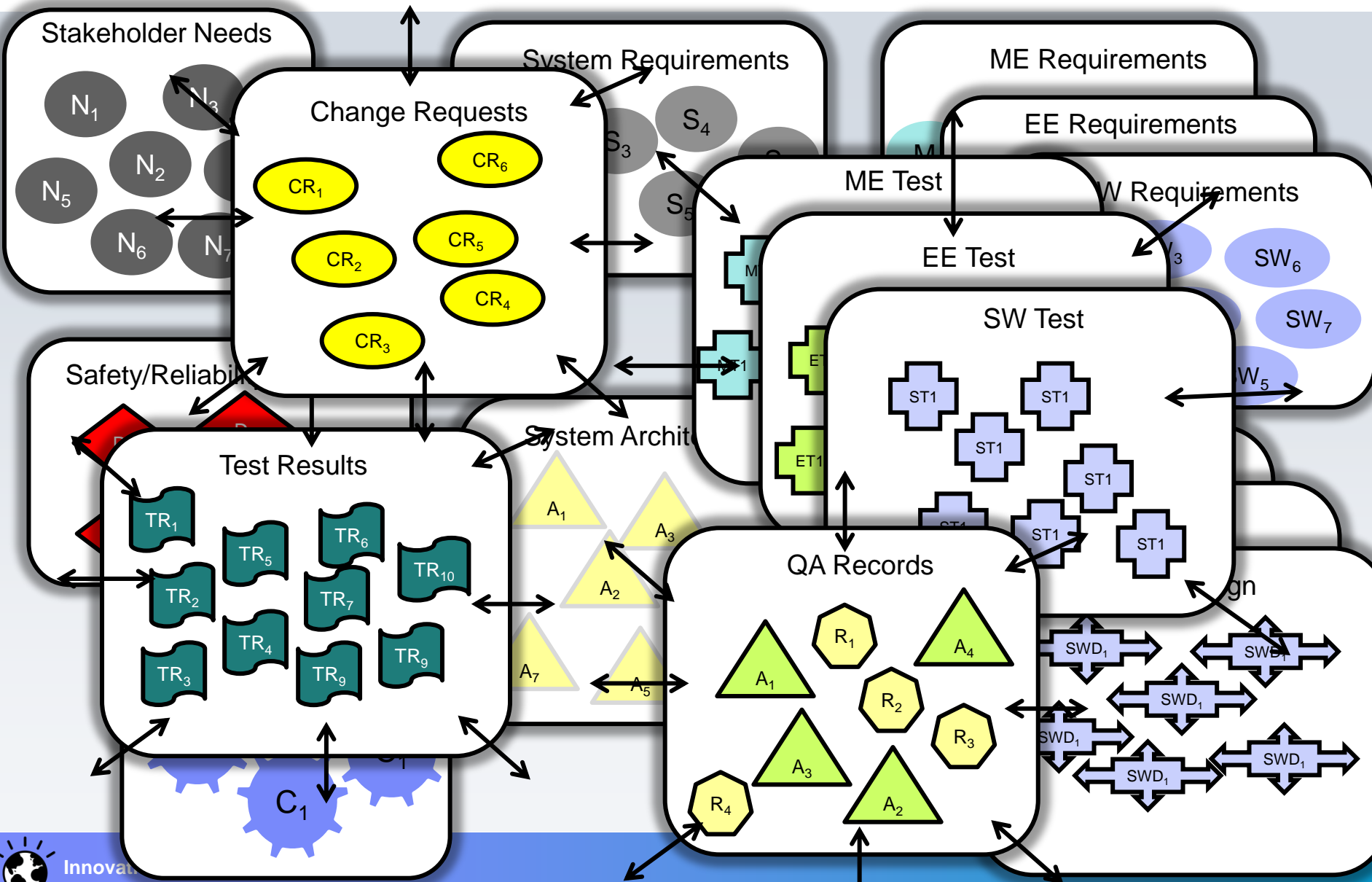
Traceability is data-centric not document-centric



Traceability is data-centric not document-centric



Traceability is data-centric not document-centric



Lifecycle Data Trace Metamatrix

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	
1	Stakeholder Requirements		R			R					R				o	S	R		
2	System Requirements			R	o	S	R	R			o	R	R	S	S	S	R	R	
3	Subsystem Requirements				R	S	R	R	R	S	o	R	R	S	S	S		R	
4	SW/EE/ME Requirements					S	R	R	R	S	o	R	o	R	S	S		R	
5	Dependability analyses						S	S	S	S	o	S	S	o	S	S	o	S	
6	System Architecture							R	R	o		R	R		S	S		R	
7	Control Model(s)								R	o	o	R	R	R	S	S		R	
8	SW/EE/ME Design ¹									R		R	R	R	S	S		R	
9	SW/EE/ME Implementation ¹										o	R	R	R	S	S		R	
10	Validation Tests												R					R	
11	System Verification Tests													o	o	S	S		R
12	Component/Integration Tests														o	S	S		R
13	SW/EE/ME Tests															S	S		R
14	QA Records																S	S	S
15	CM Index																	S	S
16	Validation Test Results																		
17	Verification Test Results ²																		

¹ These are usually in separate work products, so this is really multiple items
² Tests occur at unit, component, integration, and system levels; again multiple items

Notation	Interpretation
R	Required for reliable, repeatable system development
S	Required for safety critical / high reliability / high security
o	Optional

How Much Traceability?

- The Standards argument
 - ▶ Some standard explicitly define the required level of traceability
 - ▶ Example:
 - DO-178A required that each requirement was traced to the set of computer op codes that realized it (realization) and that each op code could be shown to be there to at least partially meet a requirement
 - With DO-178B/C, requirements are mapped to a set of source language statements and each source statement must trace back to one or more requirements (provided the set of used source statement → op code are fully verified elsewhere)



How Much Traceability?

- The cost per probe argument

- ▶ Navigating a trace link has two components: manual searching about (M) after the automated link gets you close to the desired data element
- ▶ Creating and maintaining a trace link has a cost (C) that is incurred when the link is created or modified
- ▶ The total cost for traceability is

$$Total\ Cost = \sum_{total\ links} C + \sum_{Accesses} M$$

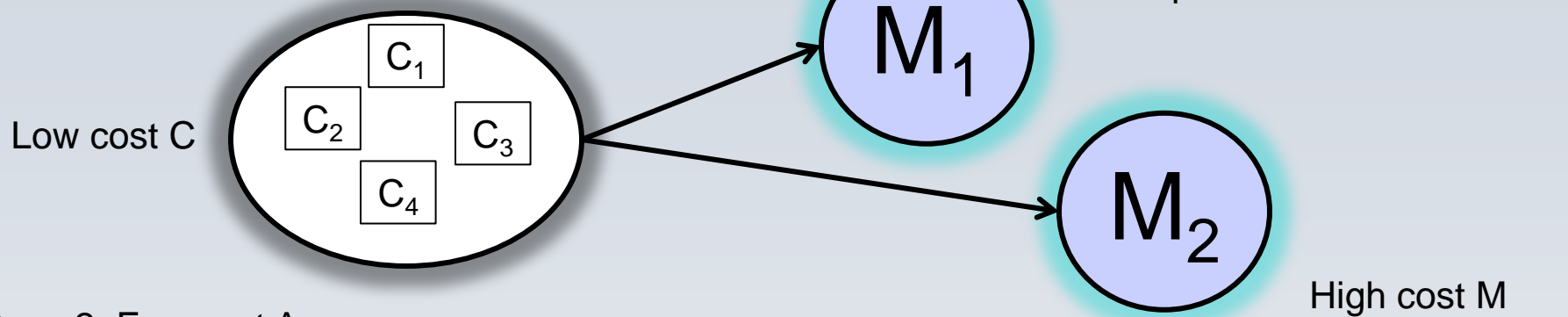
- ▶ Two ways to minimize Total Cost:

- If you will access the links infrequently, then having a larger access cost per query (M) minimizes total cost when you spend less effort creating detailed traceability (lower C)
- If you will access the links frequently, it makes economic sense to spend more time creating and managing the links (higher C) in order to minimize the time spent manually searching (lower M)



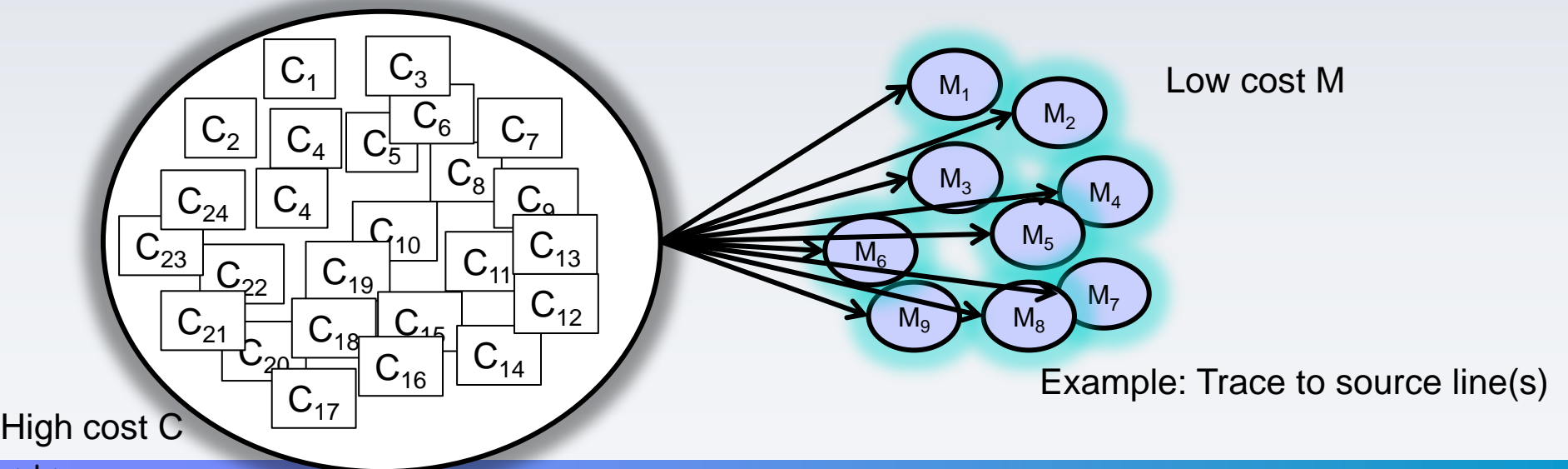
How Much Traceability?

Case 1: Infrequent Access



Case 2: Frequent Access

Why? Frequent requirements change; high defect density (so lots of maintenance)



Common Levels of Traceability

- Coarse (Low C, very high M)
 - ▶ Map work products
 - Requirement Spec → Design Document
 - Design Document → Directory of Source Files
 - Requirements Spec → Test Plan → Test Suite



Common Levels of Traceability

- Medium (Moderate C, Moderate M)
 - ▶ Map large scale elements
 - Requirement (*) → Use case (1)
 - Use Case (1) → Large design elements (*) || Design Diagram (1)
 - Design Element (1) -> Class, Function, or Data Structure (*)
 - Requirement (1) → Test Case (*)



Common Levels of Traceability

- Medium High (Moderate C, Moderate M, Safety Criticality Moderate)
 - ▶ Map large scale elements
 - Requirement (*) → Use case (1)
 - Requirement (*) → System function (use case operation/event reception, flow property)(*)
 - Use Case (1) → Large design elements (*) || Design Diagram (1)
 - Design Element (1) -> Class, Function, or Data Structure (*)
 - Requirement (1) → Test Case (*)



Common Levels of Traceability

- Fine (High C, low M, Safety Criticality High)
 - ▶ Map to small scale elements
 - Requirement (*) → Use case (1)
 - Requirement (*) → Design Element (*)
 - Requirement (*) → Class or Function in source code (*) (or smaller)
 - Requirement (1) → Test Case(*)
 - Test Case (*) → Design Element (1)
 - Test Case (*) → Class or Function in source code (*) (or smaller)



What does traceability look like?

The screenshot displays a multi-view traceability environment. On the left, a UML component diagram shows the structure of the Adaptive Cruise Control (ACC) system, including components like Radar, EngineControl, and VehSpdArbitrator. Specific ASIL elements are highlighted with blue circles: ASIL_T_ASIL=A in the RadarArbitrator and ASIL_T_ASIL=B in the EngineControl. In the center, a safety goal diagram shows a hierarchy of goals (ID=SG_1, ID=SG_1.1, ID=SG_12) and requirements (ID=SF_1, ID=SF_3, ID=SF_2, ID=SF_8, ID=SF_10, ID=SF_9) with traceability arrows. On the bottom left, a table lists Functional Safety Requirements (FSR) with their associated ASIL tags and allocated subsystems.

ID	AdaptiveCruiseControlV3.rpy	Tag:ASIL	Tag:Requirement	Tag:AllocatedSubsystem	Tag:TypeOfRequirement
FSR4	1.1.2 FunctionalSubsystemsToSafetyReqs				
FSR5	1.1.3 FunctionalSafetyRequirements				
FSR6	1.1.4 Ensure detection of RADAR failure	A	True	RdRArbitration	FunctionalSafetyRequirement
FSR7	1.1.5 ACC_CrashPreventionSafetyRequirements				
FSR8	1.1.6 Identification of obstructions	C			
FSR9	1.1.7 RADAR Signal failure	B	True	RdRArbitration	FunctionalSafetyRequirement

Use arbitration logic on all inputs, either dual inputs or inverted pairs depending upon physical means of



What does traceability look like?

Technical Reqs

Discussions

Higher Level Reqs

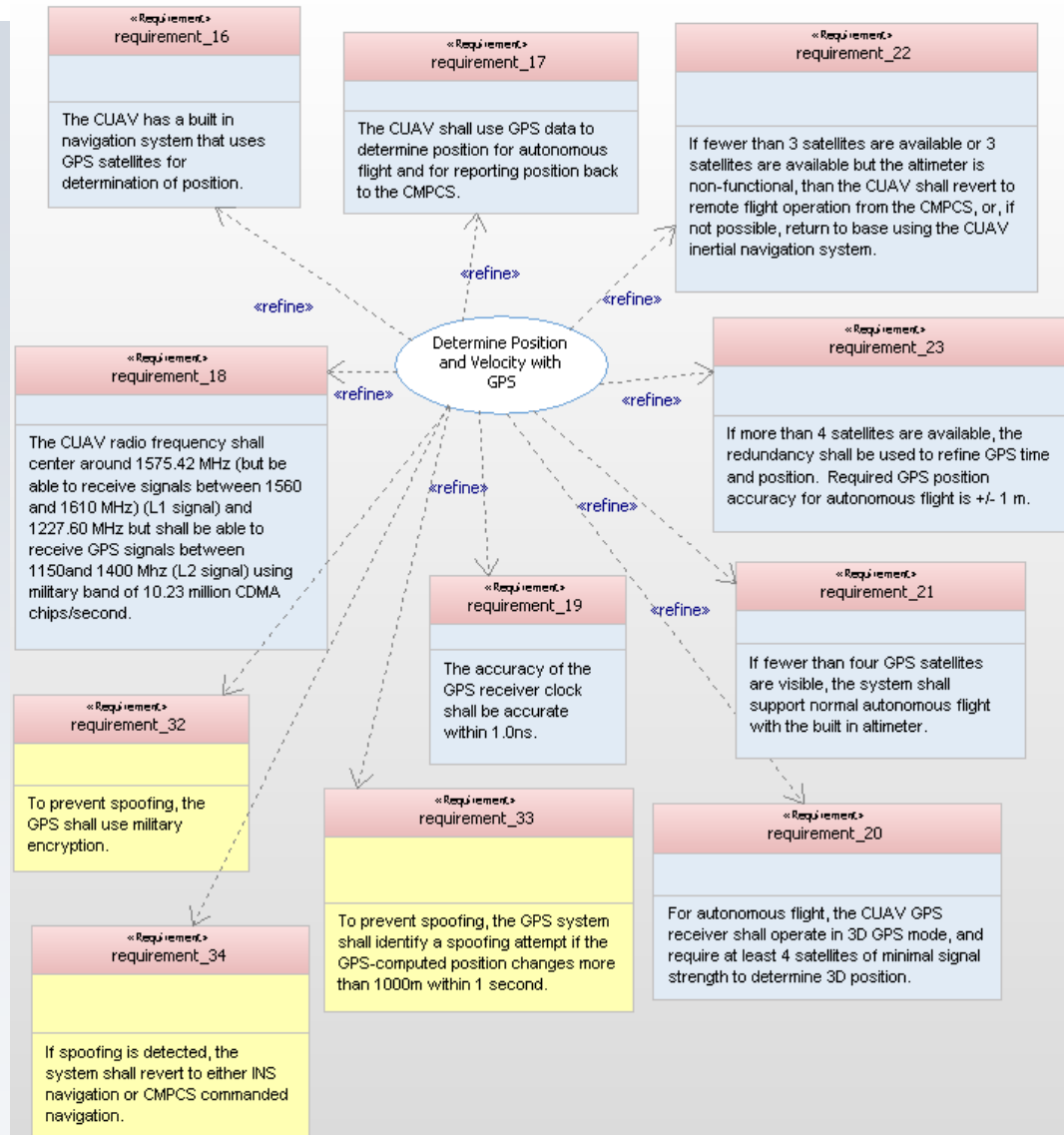
Evidence Detail

ID	Technical Requirements	Compliance	User Requirements	Compliance Evidence
SR-48	The system interface shall adhere to USB 2.0 ECN#1.	Compliant	UR-14: The user shall be able to interconnect existing USB devices	Doc Ref-380 Electric Interface Test Specification Issue 2 Doc Ref-478 Electric Interface Test Record Issue 1.2
SR-57	The system shall comply with section 6.1 of the Network Security Policy	Non-Compliant	UR-28: Only authorised users shall be able to access the system	Doc Ref-24 System Security Audit Record Dated 13/07/09
SR-58	The system memory storage shall meet the Compactflash Specification Revision 4.1	Partially Compliant	UR-72: Commercially available, solid state memory shall be used. UR-7: The memory storage shall be removable by the user.	Doc Ref-159 System Functional Text Plan Issue 1



Traceability in Models

- Traceability is modeled in UML with the dependency relation «trace»
- SysML adds specialized kinds
 - «satisfy»
 - «realize»
 - «verify»



Traceability in Models

- Trace links can be shown in tabular form in Rational Rhapsody as well

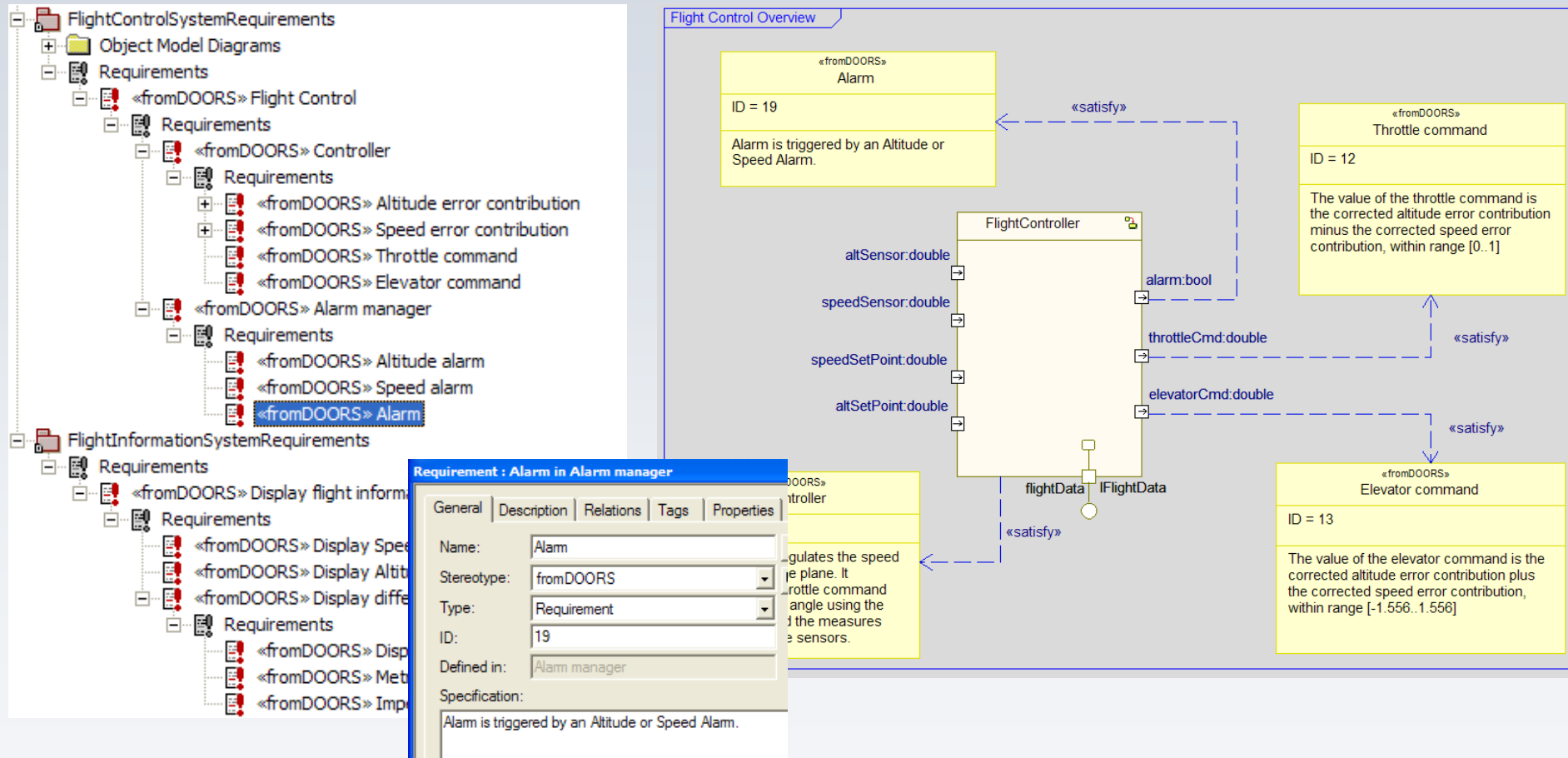
To: Requirement		Scope: RequirementsPkg								
From: Use Case		REQ_pt1	REQ_pt2	REQ_pt3	REQ_pt4	REQ_pt5	REQ_pt6	REQ_pt7	REQ_pt8	REQ_b1
<input type="radio"/> Cargo Transport			REQ_pt2	REQ_pt3		REQ_pt5	REQ_pt6	REQ_pt7		REQ_b1
<input type="radio"/> Personnel Transport		REQ_pt1	REQ_pt2	REQ_pt3	REQ_pt4	REQ_pt5	REQ_pt6	REQ_pt7	REQ_pt8	
<input type="radio"/> Transport										
<input type="radio"/> Biomaterials Transport										
<input type="radio"/> Detoxification Submode					REQ_pt4		REQ_pt6		REQ_pt8	
<input type="radio"/> Biofilter Submode							REQ_pt6		REQ_pt8	
<input type="radio"/> Targetting										
<input type="radio"/> Scanning										
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<input type="radio"/> Configure Biofilter										
<input type="radio"/> Configure Hazardous Materials Filter										
<input type="radio"/> Configure Operational Preferences										
<input type="radio"/> Install and Initalize System										
<input type="radio"/> Diagnostics and Built In Test										

Figure 6.19 Requirements Traceability Matrix



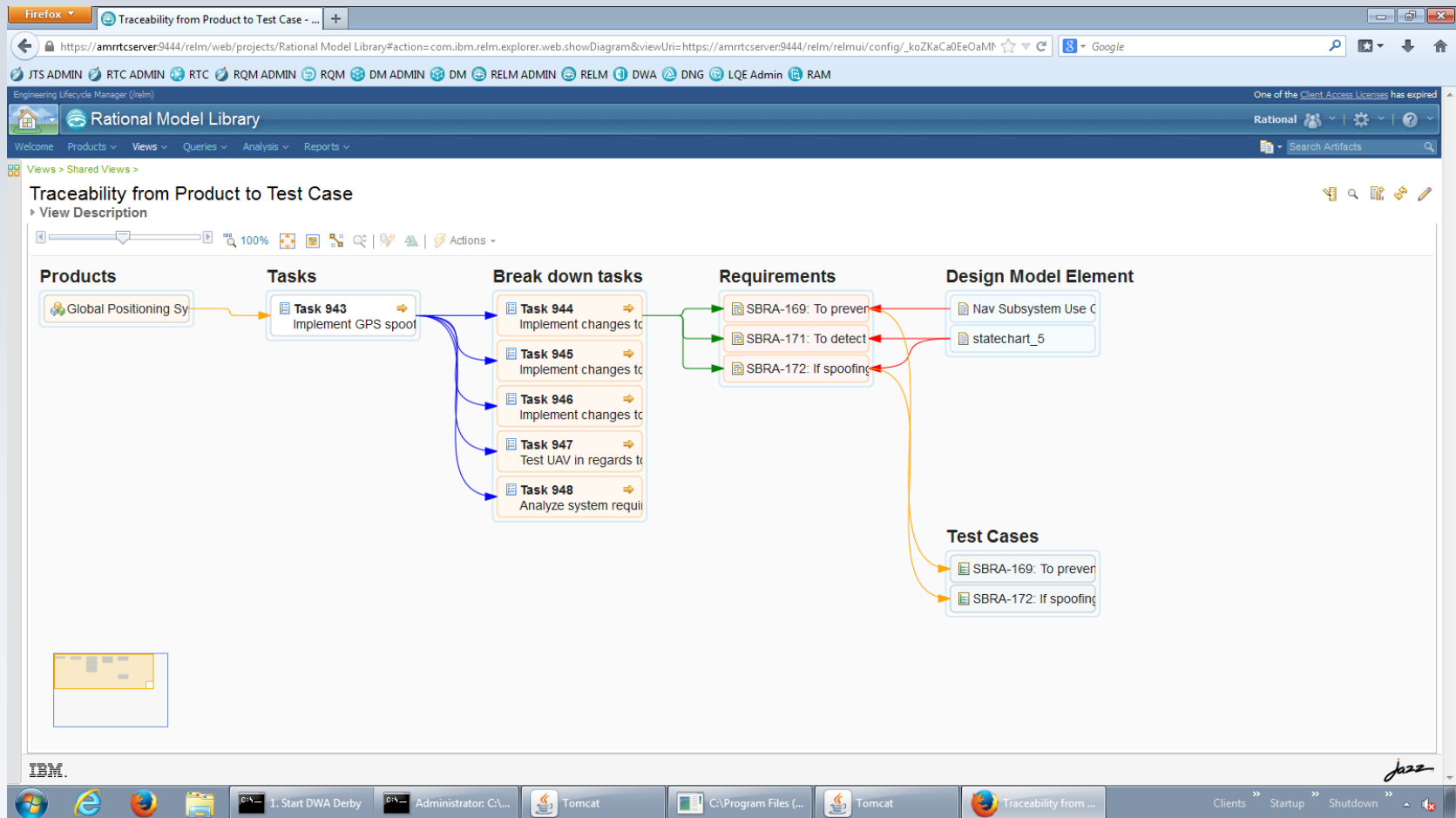
Rational DOORS is closely linked with Rational Rhapsody

- Rational Rhapsody can import or reference requirements from Rational DOORS
- Trace links in Rhapsody can be pushed out to DOORS



Rational Engineering Lifecycle Manager (RELM)

- RELM is a tool meant to aggregate linked engineering data from a variety of sources to support traceability, impact analysis, etc. including both IBM and non-IBM tools with pre-defined and user-defined views



Traceability with RELM

Firefox | UAV Spoofing Impact Analysis - Engine... | https://amrtcserver9444/reim/web/projects/Rational Model Library#action=dm.app.analysis.impactanalysis_impactAnalysis&resourceUri=https%3A%2F%2Famrtcserver%3A9444%2Frelm%2Fimf

JTS ADMIN | RTC ADMIN | RTC | RQM ADMIN | RQM | DM ADMIN | DM | RELM ADMIN | RELM | DWA | DNG | LQE Admin | RAM

Engineering Lifecycle Manager (reim) | One of the Client Access Licenses has expired

Rational | Search Artifacts

Diagram 85: aeroguidance_Diagram

Project Name: Simulink Model Library
 Long Name: aeroguidance_Diagram
 Type: Simulink - Diagram Diagram
 Modified: Oct 3, 2013, 3:37:39 PM
 Last Comment: no comments

Hierarchical | aeroguidance | aeroguidance_Diagram

Missile Guidance System Demonstration

Target Position
 Missile -> Target Separation
 Demanded lock angle during target search
 Sigma_d
 Range
 Look Angle
 Seeker/Tracker
 Vo
 Rm
 Guidance
 Az_d
 Miss
 Airframe & Autopilot
 Xe, Ze
 Attitude
 q
 TargetPos
 Xe, Ze
 Attitude
 3DoF Anima
 Miss Distance
 Missile Body Angular Rate
 Missile Attitude
 Missile Position
 Copyright 1990-2009 The MathWorks Inc

Hidden Artifacts filter applied. | Cancel | Save

NavReqsPkg
 UseCaseDiagrams
 itsGPS
 itsDetermine Position and Velocity with GPS
 Nav Subsystem Use Cases
 GPS Use C
 Determine Position and Velocity with GPS
 NavSubsystem Object Model

SHR-99: The air unit shall be able to detect any spoofing of GPS signa...

IBM | jazz

1. Start DWA Derby | Administrator: C:\... | Tomcat | C:\Program Files (... | Tomcat | UAV Spoofing Im... | Clients | Startup | Shutdown

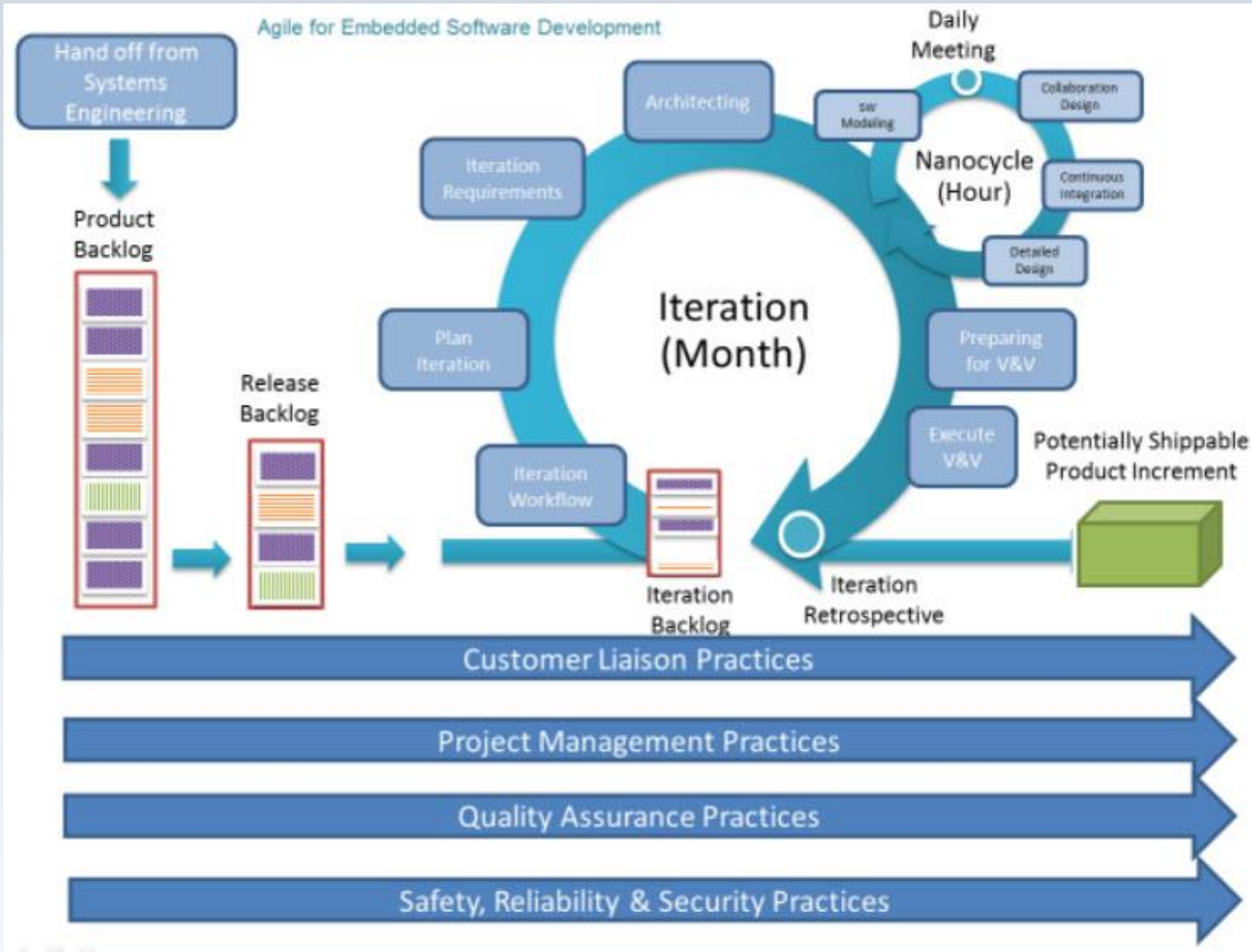
Traceability with RELM

The screenshot displays the Rational Model Library (RELM) interface. The main window shows an Object Model Diagram for 'NavSubsystem Object Model'. The diagram includes several classes and their relationships:

- InertialNav**: Attributes (roll:long, pitch:long, yaw:long), Operations (enable(onOff:bool):void). Relationships: 1 to 1 with Gyroscope, 1 to 1 with GPS_Correlator, 1 to 1 with GPS_Receiver, 1 to 1 with AircraftData.
- Gyroscope**: Attributes, Operations (controlGyroOffset():void, setFreq(low:double,center:double):void). Relationships: 1 to 3 with InertialNav, 1 to 1 with GPS_Receiver.
- GPS_Correlator**: Attributes (ACCEL:double=0, attribute:30:int), Operations (computePosition(arg:double):void, computeVelocity():void, updateTime():void, getAircraftData():AircraftData). Relationships: 1 to 1 with InertialNav, 1 to 1 with GPS_Receiver.
- GPS_Receiver**: Attributes (nSatellites:unsigned short), Operations (enable(onOff:bool):void, satsTracked():unsigned short, acceptFrame(frame:GPSFrame_T):void, processGPSMsg():void). Relationships: 1 to 1 with GPS_Correlator, 1 to 8 with AircraftData.
- AircraftData**: Attributes, Operations. Relationships: 1 to 1 with InertialNav, 1 to 1 with GPS_Correlator, 1 to 1 with GPS_Receiver.
- Attitude**: Attributes (roll:long, pitch:long, yaw:long). Relationships: 1 to 1 with InertialNav.
- Position**: Attributes (longitude:long, latitude:long). Relationships: 1 to 1 with InertialNav.
- PositionalVelocity**: Attributes. Relationships: 1 to 1 with InertialNav.
- HiResClock**: Attributes (GPSTime:long). Relationships: 1 to 1 with GPS_Receiver.
- Alamanc**: Attributes. Relationships: 1 to 1 with GPS_Receiver.

The sidebar on the left shows a hierarchical view of test cases and requirements, including 'UAV Spoofing Impact Analysis' and 'GPS Navigation Determine Position Test Case'. A bottom panel shows a specific requirement: 'SHR-99: The air unit shall be able to detect any spoofing of GPS signals...'.

Fitting Traceability into the Agile Lifestyle



What does the Agile literature say about traceability?

Scott Ambler (<http://www.agilemodeling.com/essays/agileRequirementsBestPractices.htm>)

7. Your Goal is To Effectively Implement Requirements, Not Document Them

Too many projects are crushed by the overhead required to develop and maintain comprehensive documentation and traceability between it. Take an **agile approach to documentation** and keep it lean and effective. The most effective documentation is **just barely good enough** for the job at hand. By doing this, you can focus more of your energy on building working software, and isn't that what you're really being paid to do?

William Gens (<http://www.agileconnection.com/interview/traceabilitys-priceless-role-agile-interview-william-gens>)

Noel: How does well executed traceability benefit project management specifically?

William: It saves time and those artifacts are, it pro review the requirements, the PM with exact directio loosely defined requirem eavesdropping, then the success of that specific r have a specific footprint

<http://sqa.stackexch>

In general, traceability isn't discussed by Agilistas but when it is, it is limited in scope to requirements \leftrightarrow test

No guidance is given on *how* to do it nor *when* to do it

Is there traceability matrix in agile?

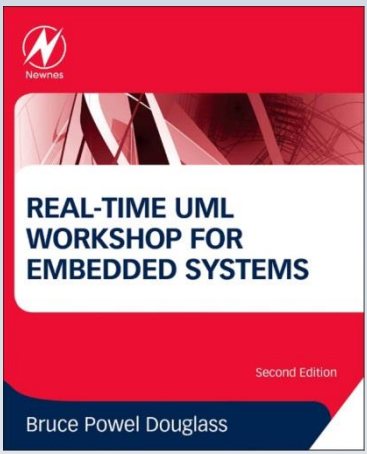
In **traceability matrix** the links between requirements and tests can help answer:

- Which requirements is almost never tested, and which is tested extremely often?
- Will a change to a particular requirement cause revisions to a huge number of tests in the system?

In agile there are no requirements but stories, so traceability matrix does not exist in traditional sense. Well, stories describe requirements but when you complete story, you close it and then you close an iteration and forget about that story. It is done, accepted, and closed. So maybe this is a reason, why in software we used for planning and tracking of iteration and tests there is **no such matrix**.

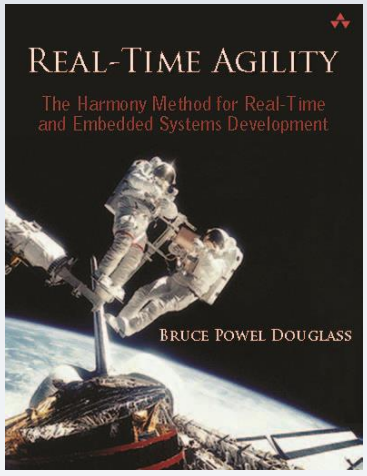
What does the Agile literature say about traceability?

- Discusses traceability with respect to requirements, safety analysis, architecture, design and test



Establishing Traceability to the Stakeholder Requirements and Use Cases

Traceability is useful for both change impact analysis and to demonstrate that a system meets the requirements or that the test suite covers all the requirements. It is also useful to demonstrate that each design element is there to meet one or more requirements, something that is required by some safety standards, such as DO-178B.⁹

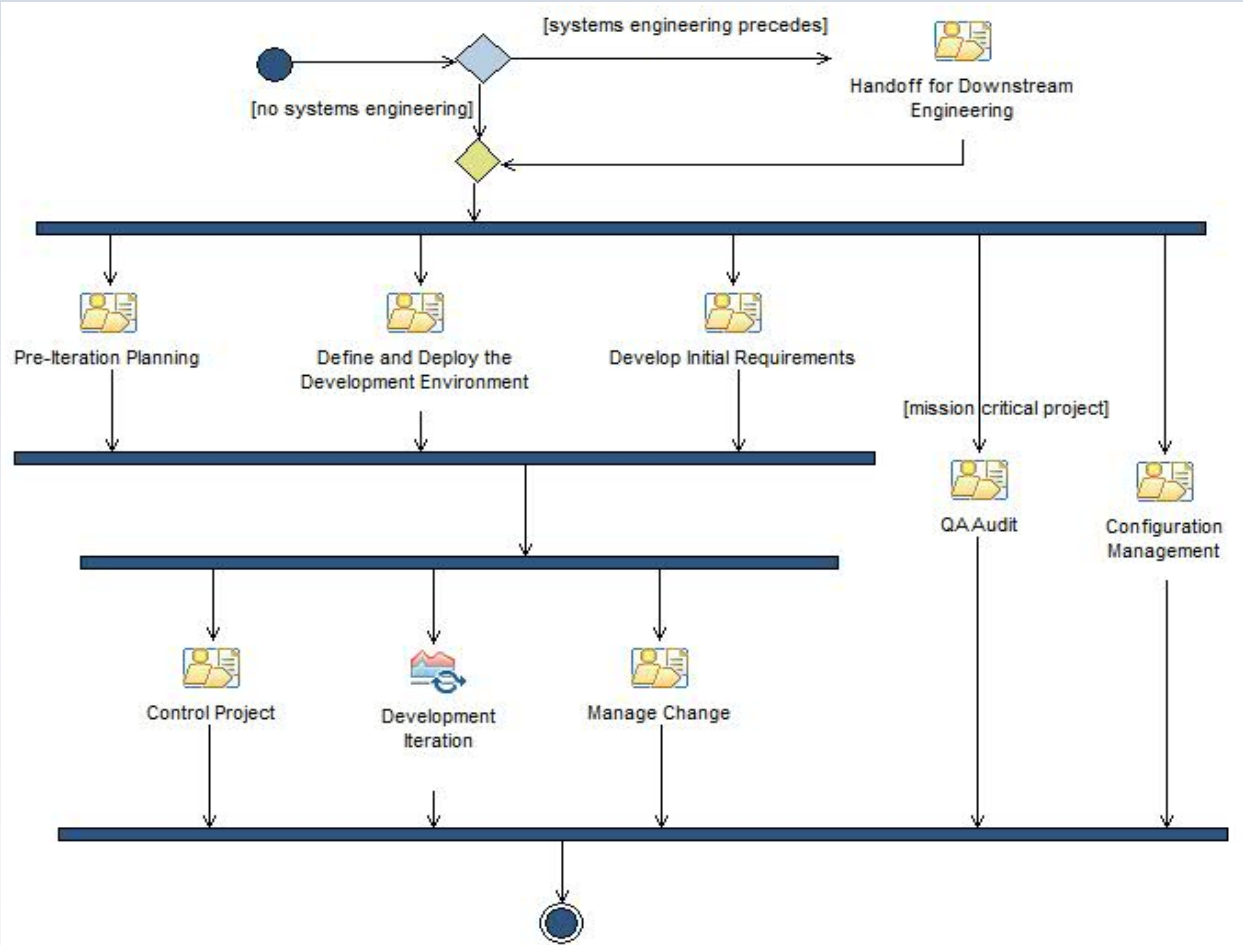


To: Requirement		Scope: RequirementsPkg								
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	<input type="radio"/> Personnel Transport	\j REQ_pt1	\j REQ_pt2	\j REQ_pt3	\j REQ_pt4	\j REQ_pt5	\j REQ_pt6	\j REQ_pt7	\j REQ_pt8	
	<input type="radio"/> Transport									
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Figure 6.19 Requirements Traceability Matrix

Fitting Traceability into the Agile Lifestyle

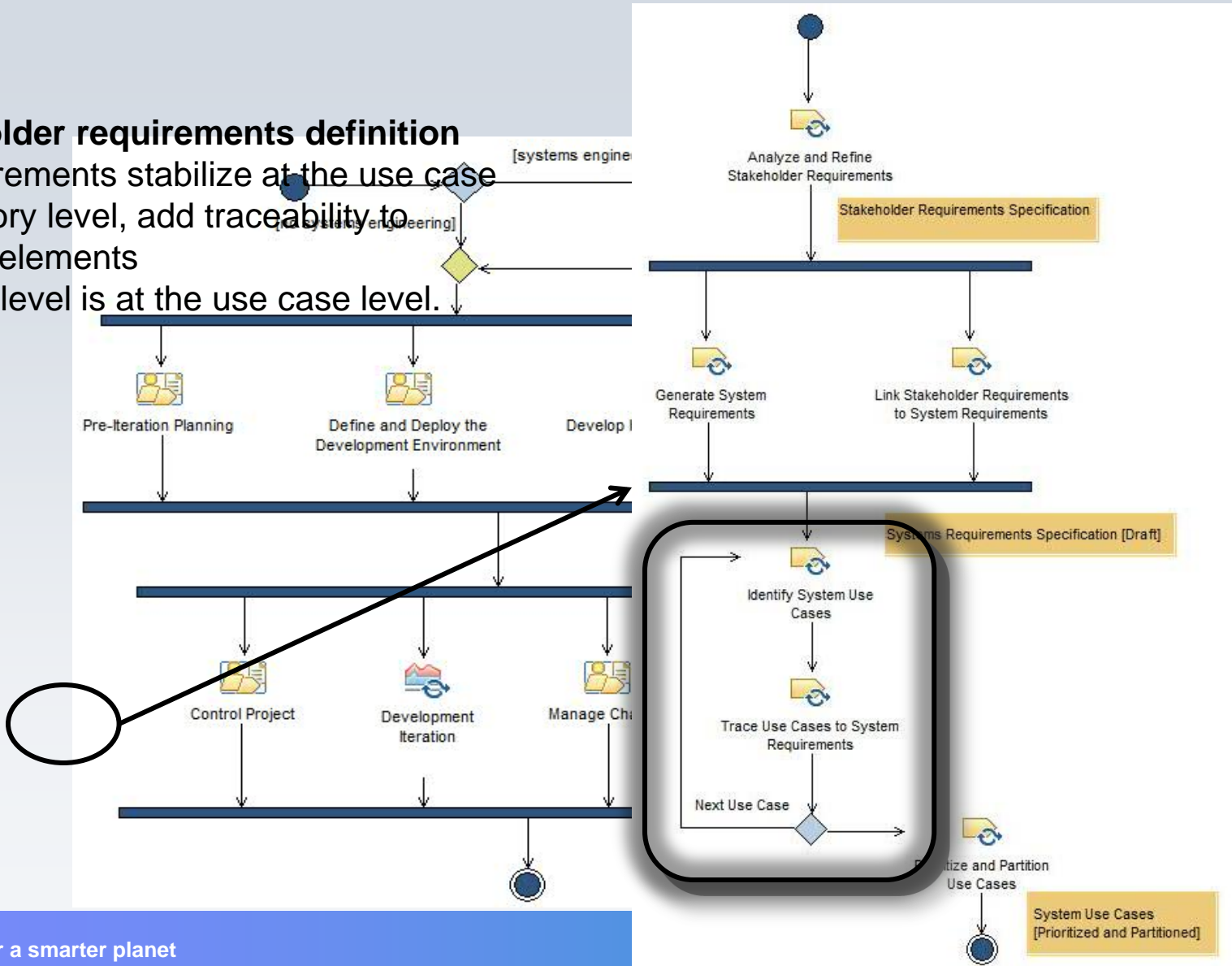
- Basic Premise: do “just enough” traceability to meet the project needs
- Best Practice: Incrementally add traceability



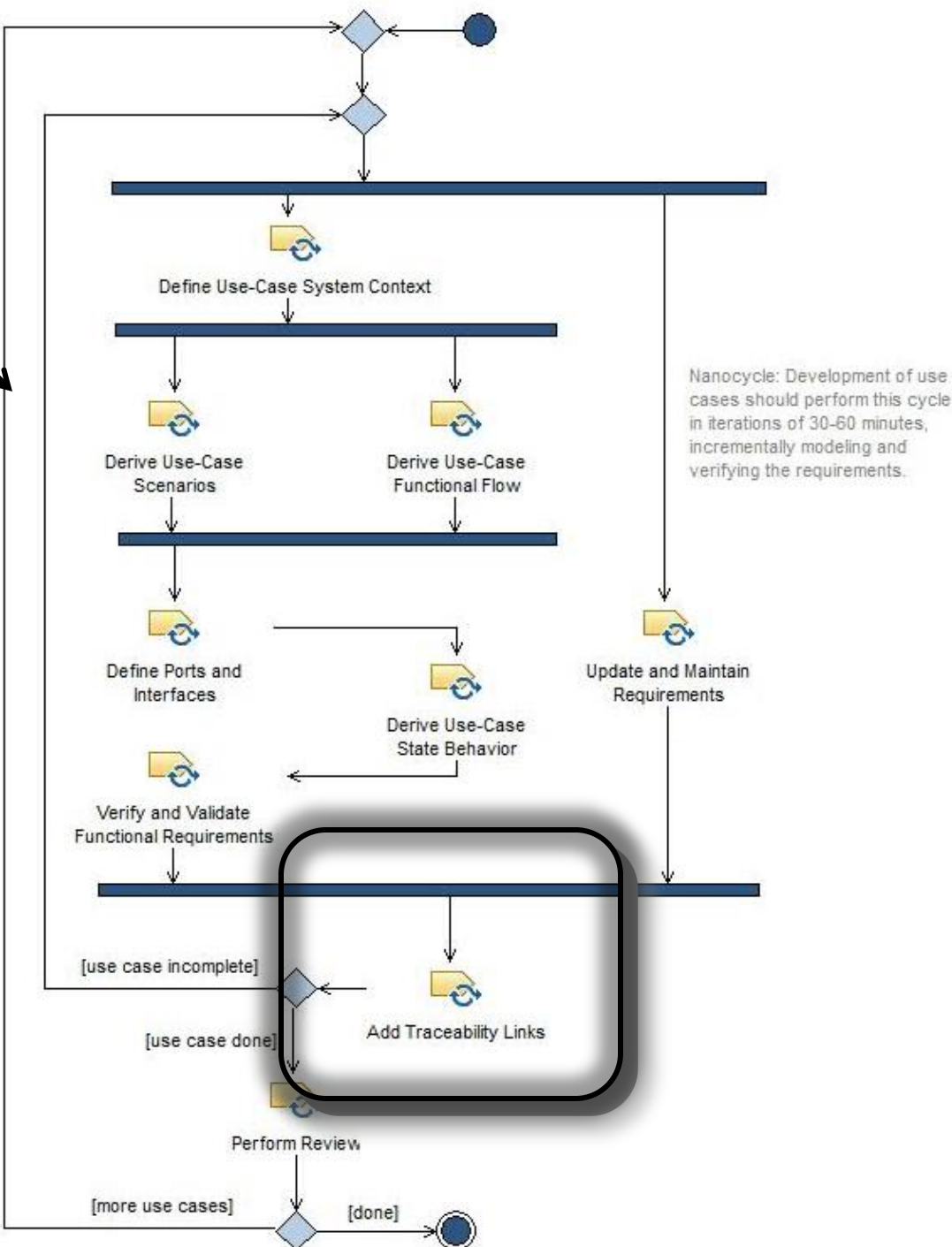
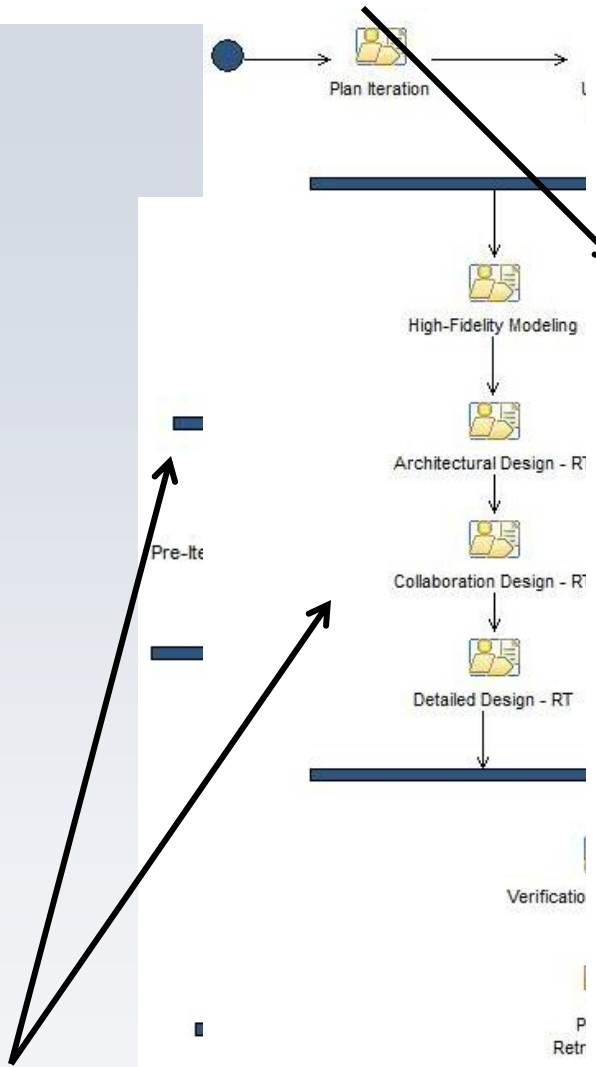
Fitting Traceability into the Agile Lifestyle

Stakeholder requirements definition

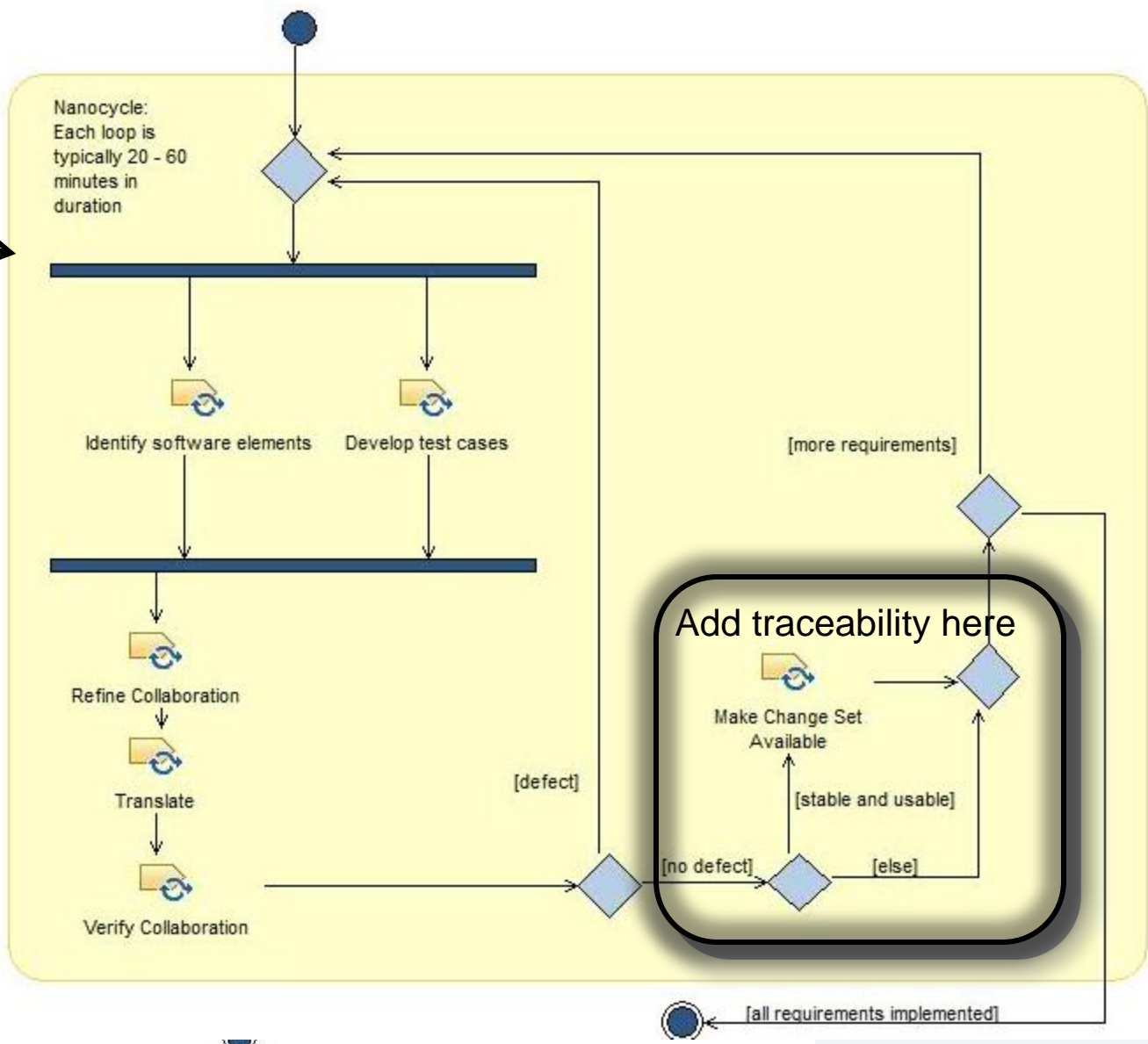
- As requirements stabilize at the use case / user story level, add traceability to relevant elements
- Iteration level is at the use case level.



Fitting Traceability into the



Fitting Traceability



Traceability is essential for Agile Systems

Do it ... if you want to ensure consistency among work products

... if want to do impact analysis

Provided that you add / maintain trace links incrementally

Tracing can be done manually, with RM tools like DOORS, in design tools like Rhapsody or visualized in aggregation tools such as RELM

Part of your change control process must include updating & verifying trace links

... if want to do provide evidence of compliance

... if you need to ensure testing completeness



References

