

Workpackages: 2.1 & 2.2  
Technical and Economical Model  
Technical Model for Remediation

June 28, 2009

### **Abstract**

Once applied on a system, the Squale quality model will identify practices which are not optimal. This can be for a single component, a group of components or a complete system for example when rule checking such as code formatting not following certain rules. Now several questions have to be answered: (1) what is the cost of modifying a component? (2) how to improve the quality of the system and (3) what is the return on investment that we can obtain if one decides to improve the quality of a software system. This document is the intermediate version of two workpackages which should address these questions separately. The third question is not approached in this document.

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**Authors: INRIA, Paris 8, Qualixo**

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# Chapter 1

## Objectives and Technological Challenges

The objectives of these workpackages is a model definition for (i) assessing the cost of software modification, (ii) identifying remediation actions according to an analysis conducted according to the previous workpackage (WP1.3), and (iii) analyzing return on investment for quality.

### 1.1 Technological Challenges

While the previous workpackages focused on the quality model, *i.e.*, assessing the quality bottom-up, this workpackage focuses on working out solutions to correct quality problems. This challenge can be decomposed in two aspects, technical and economical, which are both important when the decision to improve or abandon systems has to be made.

The technical aspect is of primary importance for the development team. Once a quality defect is assessed, the team must figure a plan to resolve the defects and improve the quality. Such a remediation plan takes into account the defective components as well as the violated practices. However, such a plan must also be effective and provide as much as improvements at the lowest cost.

Different team cultures can come up with different ways to build a plan and split it in tasks between team members. It can involve technical architects, team leaders, and developers. The strategy to build the remediation plan is to be customized on a case-by-case basis.

This work package is structured into two sub work packages:

- Creation and modification cost estimate
- Quality improvement cost (action plan)

## 1.2 State of the Art

Identifying the changes and computing their cost in a component is definitively a challenge that deserves an analysis of existing practices in several fields. This section will contain a short state of the art on the different domains which have dealt with component creation and modification estimation. We identified the following areas of potential investigation:

- Cost estimation model such as Cocomo, even if they do not take into account the potential of changes [Kem87].
- Refactorings (refactorings are behavior preserving operations [Rob99, FBB<sup>+</sup>99]) and maintenance actions [MT04, BMZ<sup>+</sup>05].
- Prediction models for maintenance effort [ME98, BB99, JJ97, Put].
- Change impact model [BA96].

## 1.3 Aspects of Remediation Plans

Remediation plans have multiple characteristics which govern their scope and application in any company. The quality process aiming at remediation should be aware of such characteristics to make informed decisions. We discuss two aspects of such plans: the characteristics of tasks tackled by the plan, and the organizational aspect of a plan in development teams and during development process.

The following terms define a common vocabulary for description of remediation plans.

**Transgression:** a single failed instance of a practice *i.e.*, either a component or a rule transgression.

**Remediation task:** descriptions of actions to be taken to resolve one transgression of a practice.

**Remediation plan:** ordered list of remediation tasks, from top priority to lowest priority.

**Correction coefficient:** coefficient characterizing the work required to apply one remediation task.

**Workload:** work required to resolve all transgressions of a single practice.

### 1.3.1 Remediation tasks

A remediation task is the conceptual unit describing the actions to be taken to resolve one transgression, *i.e.*, a failed practice on one component (or one rule transgression). The range and effort implied by a task vary greatly. For

<b>Practice</b>	<b>Scope</b>	<b>Scope of remediation</b>
Audit	Project	Selection of top priority components identified by the audit
Metric Model Test	Component	Component and related (package, class, method...)
Rule	Rule transgression	Component enclosing transgression

Table 1.1: Scope of practices and remediation

example, one task can target a single class which violates the coupling practice, while another can target all methods which violate naming practice.

We identify three intrinsic characteristics to assess the work required by a remediation task:

- scope of practice and remediation;
- degree of automation of the remediation task;
- expertise required for remediation (technology-wise).

Four more characteristics are contextual, depending on the project and company standards:

- code organization and ownership;
- criticality of practice, depending on company standards and current stage in project lifecycle (for example, test practices are stressed in pre-release stage);
- criticality of component (as ruled by development team);
- characteristics of component (complexity, coupling, size...).

Eventually, the number of transgressions sets the workload to resolve all transgressions of the practice. We now discuss each characteristic in more details.

**Scope of practice and remediation.** This characteristic assesses what is the target of remediation in the project. Indeed, three kinds of practice identify three different scopes of transgressions. Then, remediation of those transgressions happens at a related scope as described in Table 1.1.

An audit targets the whole project and do not singularize components by construction. However, the audit expert may recommend some specific components which should have top priority in remediation plan. Most practices target

a single component. The remediation for the practice can then target the single component, but may affect related components in some cases. Practices based on rule checking identify rule transgressions, which can be multiple for a single component. However, the rule of thumb is, for a single component, to collect all transgressions of a practice and correct them at once.

**Automation of remediation.** Some remediation tasks can be automated with few inputs from the developer. This is the case for example of practices targeting conformance to some coding standards. In those cases, it is better to target all transgressions at once across components. Indeed, the value of conformance comes from the high number of components following standards, promoting homogeneity and making subsequent actions easier.

**Technological expertise.** While standard-based practices are easy to follow, other practices require an expert in their field to be dealt with diligently. For example, tasks related to architecture and design, or security require an expert in their respective field.

**Code organization and ownership.** The remediation plan needs to take into account code organization in the project as well as code ownership. Some components may be out of bounds. As much as technological expertise is needed, expertise about the target components and their history of development is needed to deal efficiently with some transgressions.

**Criticality of practice.** Not all practices are equally important during the different stages of development lifecycle. For example, testing practices should be stressed in testing stage. Moreover, due to specific requirements, project manager can stress some practices such as portability. This plays on the priority of the practice in remediation plans.

**Criticality of component.** Knowledge of project internals can lead to stress actions on components which are central in the current stage of development. On the other hand, some faulty components can be declared out of bounds if they work otherwise with no evolution planned.

**Characteristics of component.** Depending on the practice, characteristics such as size, complexity, coupling, can have a deep impact on the correction required by a transgression. Some practices state explicitly such a correlation: for example, providing more tests for complex methods.

### 1.3.2 Organisational aspects of remediation

Each company has its own policy of managing quality and applying remediation at different levels in development teams, from the individual developer to the technical manager. Quality and remediation might be used by each developer

to assess its own work and correct it. The technical manager can use it to assess the health of its projects and target more critical components or practices, depending on the life-cycle of the project. Quality team can use it to assess the respect of standards in different projects and come with new recommendations.

Those different scopes of quality and remediation are of equal importance to build an efficient software quality process:

- The developer can manage its own work on daily basis and do not feel the software quality process as a burden. It is part of a self-applied discipline<sup>1</sup>.
- The technical manager can use this tool to assess the situation and direct the effort.
- The quality team tailors the model to the needs and standards of the company. This is best done in iterative manner by analyzing previous model instances.

### 1.3.3 Conclusion: objectives for remediation plan

Based on the previous aspects, development teams may have two objectives to remedy software quality:

- achieve the best profitability in quality process *i.e.*, the best compromise between quality raise and remediation costs.
- achieve a significant reduction of risks by targeting critical components and practices.

Each objective relies on different models to be achieved. The following sections describe such models.

---

<sup>1</sup>In current instances of Squale model, some programmers consider the process as a game, trying to achieve the best marks.

## Chapter 2

# Current remediation approach in Squale

The purpose of the current model is to first reduce risks by targeting worst marked practices then achieve some profitability by prioritizing remediation tasks with the lowest work to do. This model is practice-oriented, in that it only prioritizes the practices to be corrected, independently of the touched components. This model is tailored towards the developer, which can use hints from the remediation plan to perform quality tasks on a daily basis.

### 2.1 Mixed priority-cost strategy

The current strategy to prioritize remediation tasks follows four principles:

1. practices with lowest marks should have higher priority;
2. components which fail a practice should all be corrected before making improvement to others;
3. some practices are easier to correct than others;
4. the workload necessary to correct a practice is a function of the practice itself and the number of transgressions of the practice.

Each principle is embodied by different steps and metrics of the algorithm for planning remediation illustrated by Figure 2.1.

**Practice prioritization based on marks.** The Squale model defines three practice levels: “refused”, “accepted with reserve” and “accepted”. Depending on its global mark, each practice belongs to one of these levels. “Refused” practices have priority in the remediation plan, next are “accepted with reserve” practices, then “accepted” practices can be scheduled for improvement.

**Step 1**  
**Practice prioritization based on marks**

Project

Practice\_3: 1 -> refused  
 Practice\_1: 1.6 -> accepted with reserve  
 Practice\_2: 2.5 -> accepted

**Step 2**  
**Component selection per practice**

*refused*

Practice_3	C23 C3 ... C7
Practice_4	C4 C3 ... C7

*accepted with reserve*

Practice_1	C9: 1 C12: 1.8
Practice_5	C16: 1.3

**Step 3**  
**Correction coefficient per practice**

P1Coeff: 3.8

$WorkId(P_i) = P_i.Coeff * \#C$   
 where C = components of the set  
 or transgressions

**Step 4**  
**Workload per practice**

**Step 5**  
**Strategy of remediation**

Refused:  $(WorkId(P_i) < WorkId(P_j))$  sort  
 Accepted/reserve:  $(WorkId(P_i) < WorkId(P_j))$  sort  
 Accepted:  $(WorkId(P_i) < WorkId(P_j))$  sort

Figure 2.1: Steps

Mark	Level
[0, 1]	Refused
]1, 2]	Accepted with reserve
]2, 3]	Accepted

**Component selection per practice.** Given the level of a practice, only components which are ranked at the same level or below should appear in the remediation plan. For an “accepted with reserve” practice, only “accepted with reserve” components and “refused” components will be dealt with. “Accepted” components can only be interesting for improvement, not remediation. However, for rule-based practices, all transgressing components should be selected for remediation.

**Correction coefficient per practice.** A correction coefficient is assigned to each practice. It asserts the relative effort to correct a single transgression of the practice, compared to other practices. It is a constant and as such is independent of the transgressing component. This takes into account, for example, that a transgression of formatting standards is easier to correct than a design issue due to coupling. Table 2.1 gives an example of correction coefficients for practices customized for Java projects.

**Workload per practice.** Given that the correction coefficient for a practice is constant, the workload to correct all transgressions of the practice is defined by the product of the coefficient by the number of transgressions. For metrics-based practices, the number of transgressions is the number of selected components. For rule-based practices, this is directly the number of transgressions detected by the rule in selected components.

**Strategy of remediation.** The idea is to target each level of practices by decreasing risk (from “refused” to “accepted”) and, for each level, to begin with practices with the lowest workload.

```

cluster practices by level = {refused , accepted with
    reserve , accepted};
for each level
  for each practice
    select components for remediation;
    compute practice workload as coefficient(practice)
      x number_of_transgressions(practice);
    sort level by workload;
  done;
done;
append levels ;

```

Practice Name	Unitary Effort
Stability abstractness level	200
Afferent coupling	150
Efferent coupling	100
Swiss army knife	35
Copy paste	30
Spaghetti code	30
Inheritance depth	20
Lack of cohesion in method	20
Method size	20
Number of methods	20
Depend on child	20
Layer respect	40
Programming standard	15
Dependency cycle	10
Documentation standard	6
Naming standard	4
Formatting standard	1
Documentation	10

Table 2.1: Current effort ponderation for different practices

## 2.2 Limitations

There are multiple limitations on the described strategy:

1. The coefficient is a constant, meaning that the correction cost does not take into account characteristics of the component which may hinder the remediation. For the test coverage practice, the effort to write tests for complex methods (which is required by the practice) gets harder with the complexity itself.
2. Some practices are contradictory, so correcting a practice on a component can degrade other practices.
3. Although this strategy prioritizes practices by criticality and effort, it always targets the full system: it can not predict where and when the quality (marks) will be most improved. Consequently, the workload might not be optimal in the end.
  - There is no parameter limiting the cost of the remediation plan. The plan targets a full remediation of the system without considering the total workload.
  - There is no estimation of the new practice mark, as we only give a list of corrections without estimating the improvement on the practice

level (and if one follows the action plan, final notation would be very good, but perhaps the effort is not optimal).

4. Components involved in multiple transgressions are not detected, which means they would be passed over and over.

## Chapter 3

# Prospective Remediation Models

As stated in Section 1.3.3, a remediation plan is built with respect to a global quality objective, such as profitability or risk reduction. We discuss in the following sections possible strategies to build remediation plan for the different objectives.

Contrary to the mixed strategy which only consider the priority of practices, the models below focus more on components which violate multiple practices, offering to correct most practices at once for a single component. Then the remediation plan describes sequences of tasks focused on the same components. When tackling such a sequence, the programmer will gradually increase or refresh its knowledge of the component, facilitating further correction.

### 3.1 Basic strategies

Independently of higher level criteria such as cost, profitability, or criticality, two basic strategies are always available when tackling a faulty practice:

- slightly improve marks for many components;
- improve marks of worst components.

Weighting applied by the global practice function (see WP1.3) dictates the best strategy: hard weighting pushes stress on bad marks, eliciting the remediation of worst components; soft weighting leverages all marks, making a slight increase in many components more interesting. It also depends on the complexity and automation of practice remediation. As noted in Section 1.3.1, rule-based practices for conformance should be corrected by batch of components, while practices requiring more expertise are more likely to be tackled by focusing on few bad components.

## 3.2 Risk model

The criticality model targets the reduction of risks with a focus on critical practices and critical components. Both sets of critical practices and critical components can be tailored by the development team following its current development goal. The model identifies components at risk *i.e.*, critical components most involved in transgressing practices, especially critical practices.

The strategy can be defined in two steps:

1. manually identify critical practices and critical components by giving criticality coefficients (done by development team);
2. compute (then sort) component risk as criticality coefficient of component  $\times$  criticality coefficient of violated practices;

or

2. run HITS-like algorithm to identify components at risk *i.e.*, critical components which violates multiple (critical) practices.

## 3.3 Profitability model

The profitability model is an evolution of the mixed priority-cost model, aiming at optimizing the ratio of quality gains versus workload of remediation. To be rationale and efficient, such a model should assess precisely two types of characteristics:

- correction coefficients of remediation based on practice and component characteristics (such as complexity of components) instead of a constant per practice;
- estimated, or scheduled, gain of quality.

**Quality objective.** The model does not stick with the three-level clustering in “refused”, “accepted with reserve”, and “accepted” practices. Instead, the estimated gain of quality prioritizes a quantitative objective to reach, which allows one to control allocated resources (instead of targeting a full remediation of the system).

For example, one could fix as objectives that a practice global mark should be above 1.2 and that any component mark for this practice should be above 0.8. Correction coefficients should be expressed in terms of gain of quality: how much work has to be done on the component to get a 0.1 increase in quality mark.

**Strategy.** The model requires as inputs marks to be achieved for each practice. For each practice, a set of candidate components is selected and a profitability mark is computed for each component (as the work necessary to achieve its goal mark, the lower the better). Each component receives a global profitability mark, depending on the practices it is involved. Components are sorted in the remediation plan from most profitable to the less profitable.

```
for each practice
  select components;
  compute profitability of each component as work to
    achieve a goal mark;
done;
for each component
  compute component total profitability across
    practices;
done;
sort components by total profitability;
```

## Chapter 4

# Conclusion

The first conclusion of our analysis is that the meta model describing practices should be enriched to enable the generation of remediation plan.

- Degree of automation in practice correction *i.e.*, whether the practice can be automatically and easily fixed or whether it requires an audit.
- Criticality of the practice with respect to the company standards and project current requirements.
- Skill-level required by practice remediation (whether an expert is required or not).

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