

Field Study on Requirements Engineering: Investigation of Artefacts, Project Parameters, and Execution Strategies

Daniel Méndez Fernández^{a,*}, Stefan Wagner^b, Klaus Lochmann^a, Andrea Baumann^c, Holger de Carne^d

^a*Software & Systems Engineering, Institut für Informatik, Technische Universität München, Boltzmannstr. 3, 85748 Garching, Germany*

^b*Software Engineering Group, Institute of Software Technology, University of Stuttgart, Universitätsstr. 38, 70569 Stuttgart, Germany*

^c*Fakultät für Elektrotechnik und Technische Informatik, Universität der Bundeswehr München, Werner-Heisenberg-Weg 39, 85577 Munich, Germany*

^d*Capgemini Technology Service Deutschland, Carl-Wery-Str. 42, 81739 Munich, Germany*

Abstract

Context: Requirements Engineering (RE) is a critical discipline mostly driven by uncertainty, since it is influenced by the customer domain or by the development process model used. Volatile project environments restrict the choice of methods and the decision about which artefacts to produce in RE.

Objective: We aim to investigate RE processes in successful project environments to discover characteristics and strategies that allow us to elaborate RE tailoring approaches in the future.

Method: We perform a field study on a set of projects at one company. First, we investigate by content analysis which RE artefacts were produced in each project and to what extent they were produced. Second, we perform qualitative analysis of semi-structured interviews to discover project parameters that relate to the produced artefacts. Third, we use cluster analysis to infer artefact patterns and probable RE execution strategies, which are the responses to specific project parameters. Fourth, we investigate by statistical tests the effort spent in each strategy in relation to the effort spent in change requests to evaluate the efficiency of execution strategies.

Results: We identified three artefact patterns and corresponding execution strategies. Each strategy covers different project parameters that impact the creation of certain artefacts. The effort analysis shows that the strategies have no significant differences in their effort and efficiency.

Conclusions: In contrast to our initial assumption that an increased effort in requirements engineering lowers the probability of change requests or project failures in general, our results show no statistically significant difference between the efficiency of the strategies. In addition, it turned out that many parameters considered as the main causes for project failures can be successfully handled. Hence, practitioners can apply the artefact patterns and related project parameters to tailor the RE process according to individual project characteristics.

Keywords: Requirements Engineering, Execution Strategies, Artefact Patterns, Field Study

1. Introduction

Requirements Engineering (RE) aims at the specification of requirements that reflect the purpose of a software system as well as the needs of all relevant stakeholders [1]. Since requirements are the critical determinants of software quality [2], RE lays the foundation for successful development projects regarding

*Corresponding author

Email address: mendezfe@in.tum.de (Daniel Méndez Fernández)

cost and quality [3]. As a software engineering discipline, it contributes with precise and stakeholder-appropriate requirements specifications to cost-effectiveness in the development of a system [1] and, thus, RE is an important factor for productivity and (product) quality [4].

Although a rich set of methods for RE is available, these methods are still not fully integrated into the development process [5]. One reason is that RE is a broad, interdisciplinary, and open-ended area [6], which is driven by uncertainty. Therefore, even if a company defines and integrates an RE process for company-wide use in different projects, it still does not consider the various influences that engineers have to face in volatile project environments. The possibilities and necessities of applying available RE techniques are limited by different project parameters such as time, budget or the availability of end users. These parameters hamper a standardised and efficient RE process that at the same time fits individual project needs. The dependency on customer's capabilities and used development process models render the process highly variable and increases the demand to systematically customise the RE process according to individual project needs.

Problem Statement. It is recognised that basic knowledge of RE is often missing in practice [7], whereby project participants have little guidance in defining a systematic process that effectively copes with uncertain project situations. The high variability of the development processes and the diversity of RE methods makes it unclear for the practitioner which methods to apply and consequently how to design an appropriate RE process.

To assist in the customisation of the process by applying particular methods in a certain sequence, it is fundamental to first understand the circumstances the project participants are confronted with and how they should react in the process according to those circumstances. Although a few first steps have been taken in this direction, e.g., in the area of decision-making in the context of requirements engineering [8] or in the area of activity-based customisation approaches [9, 10, 11, 2] and situational method engineering [12, 13], yet missing is a fundamental understanding of

- what project parameters (see Table 1) to consider,
- what effects these parameters have on different execution strategies in RE (see Table 1) and their consequences on the quality of the produced specification documents, and
- whether those execution strategies are efficient.

So far, there exists little guidance on the definition of project-specific RE strategies as available studies emphasise selected aspects of RE processes, their assessment, or the general relation to project failures. Yet missing are comprehensive studies going beyond the isolated investigation of general aspects of RE processes and their maturity.

Research Objective. To lay the foundation for an RE customisation approach that considers the characteristics of individual project environments, we investigate how RE is performed in successful projects, whether we can identify appropriate RE execution strategies, and how these strategies relate to project characteristics.

Whereas similar project characteristics of different projects should influence the maturity of the underlying specification documents (artefacts) in a similar way, the methods used to produce those documents may vary. Thus, the variability in the process definition, i.e., the actual creation of artefacts by the use of particular methods in a particular sequence, complicates the identification, categorisation, and comparison of RE execution strategies that correspond to chosen project parameters.

Therefore, we investigate RE execution strategies in a process-neutral way. For this, we analyse *what* has been produced and *why* it has been produced instead of exclusively focusing on *how* it was produced. Having such an insight into the artefacts of single projects, we are able to objectively reproduce, categorise, and compare different RE execution strategies without having to take into account the variability of the process definitions.

Such a process-neutral investigation allows us detailed insights into which artefacts are produced in relation to project-specific parameters and which RE execution strategies are an appropriate response to certain problems.

Contribution. To investigate RE execution strategies and underlying causes, we analyse real-life projects at the company Capgemini Technology Services (TS), which is specialised in custom software development projects for the application domain of business information systems. Based on this analysis, we contribute the following:

1. We provide a novel, process-neutral picture of requirements engineering in real projects by the degree of completeness in which requirements artefacts were produced.
2. We identify a set of project parameters, which influence the artefact completeness and hence practical requirements engineering. This relation has not been analysed before.
3. We categorise projects with artefacts of a similar degree of completeness into what we call *artefact patterns*. This new analysis reflects probable execution strategies for requirements engineering and also how they relate to the identified project parameters.
4. We evaluate the execution strategies by analysing the effort spent for different parts of the projects.

A major part of the contribution is the analysis of the interrelations between these four parts. The discussion about which RE execution strategy should be chosen with distinctive project parameters supports practical project decisions. We finally lay a first foundation for the future elaboration of a tailoring approach, which customises RE effort according to individual project situations.

Context. This study is performed as part of a research cooperation between the Technische Universität München and Capgemini TS, a major software and consulting company. To reach our research objective, we conduct content analyses of RE artefacts produced in 12 real-life projects, interviews with project participants, and an analysis of effort considering the effort spent in RE in relation to further effort resulting from the overall development life cycle as well as from change requests.

Terminology used in the Field Study. To ensure an understandable and unambiguous terminology for our paper, we explain the central terms we use to describe our study. Table 1 summarises terms and definitions to which we will refer in our subsequent contribution.

Outline. The paper is organised as follows. In Section 2, we discuss related work in the areas of our contributions. In Section 3, we introduce the field study design. We give a description of the research questions, of the case and subject selection and of the data collection procedures before concluding with a brief discussion on the validity procedures. Section 4 presents the results of the field study. We begin with a case and subject description and structure the results according to the formulated research questions. Finally, we evaluate the threats to validity. In Section 5, we summarise our findings, describe their relation to existing evidence and their implications. We discuss the limitations of the study and give an outlook of the future work.

2. Related Work

In the following, we discuss the work related to the four main factors we investigated in our field study. First, we describe related work discussing and empirically analysing the degree of completeness of RE artefacts. Second, we introduce project parameters and studies identifying such parameters. Third, we discuss execution strategies for RE and related studies on process assessments. Finally, we describe the existing studies on the impact of RE on project efforts.

Studies on Artefact Completeness. The completeness of requirements specifications has been discussed as an important aspect of requirements quality [19]. As it is hard to assess whether a specification is complete, in this study, we investigate the syntactic completeness of artefacts by analysing whether each artefact has been created in comparison to an abstract artefact-based reference model. We can perform this comparison with a high degree of objectivity. Kamata and Tamai [20] used a similar approach and mapped existing requirements specifications to the *IEEE software requirements specification Std. 830-1998* [21]. They

Table 1: Terminology used in this paper.

Term	Description
Project	Software development effort aimed at the construction of a (software) system through the application (execution) of a development process model (see also [14]).
Development process model	Standardised organisational reference model that abstracts from the idealised execution of a development project. It includes the description of the process (definition) to follow, the work products to be generated, as well as roles involved [14]. Synonyms: Reference process model, methodology [15].
Process definition	Planned way of creating and modifying a set artefacts via the application of particular tasks or methods (providing structured approaches to combining different description techniques [1]) in a particular sequence.
Artefact	Deliverable that abstracts from contents of a specification document. It is used as input, output, or as an intermediate result of a process definition (see also [16]).
Artefact pattern	A series of sets of artefacts with similar characteristics. In this study, the sets of artefacts of different projects with a similar degree of syntactic completeness. Contrast with <i>design pattern</i> [17, 18].
(RE) Execution strategy	Actual instantiation of the (RE) process definition in response to a set of project parameters, and resulting in a particular artefact pattern.
Project Parameter	Assessable condition and characteristic from inside or outside the project that influences its execution, e.g., the availability of end users. Project parameters have a direct influence on the methods used and, thus, on which artefacts to create to what extent, i.e., to which degree of completeness.

found that specifications tend to be balanced in the depth they are described. To the best of our knowledge, there are no further studies performing an artefact completeness analysis.

Studies on Project Parameters. Project parameters aim to summarise important characteristics of a project influencing its execution; for instance, the availability of end users and the expected degree of interaction between those end users and the system under consideration, both influencing the necessities of creating certain contents in the RE artefacts (e.g., use case models).

In our study, project parameters are important aspects that we found to influence how RE was performed in a project. Only little work has been performed in analysing characteristics of projects in an isolated manner. The work of Aurum and Wohlin [2] is one example. They contribute different project parameters affecting the decisions to be taken in an RE process, e.g., stakeholder-related decisions.

Hall, Beecham and Rainer [22] conducted a study on RE processes with the goal of discovering and classifying problems. They found that 48% of problems in the analysed software development projects were related to poor requirements. In addition, they discovered, although they did not use the term, a set of project parameters that caused most of the problems. Examples are developer communication, inappropriate skills, inadequate resources, staff retention, user communication, lack of training and company culture.

Luckey et al. [23] use project parameters to describes projects in a repository of security requirements. They use these parameters to find relevant security requirements for reuse. The found parameters range from technical parameters, such as the use of LDAP in the project, to customer parameters, such as whether the customer is in the public sector. The study, however, does not relate the project parameters to other factors.

Studies on RE Execution Strategies. In general, an RE execution strategy reflects how the RE process is actually executed in a specific project. The term “execution strategy” arises from the area of comprehensive, customisable development process models, such as the V-Modell XT [24], a German standard for IT development projects. The V-Modell XT offers different (project) execution strategies to be selected in a tool-supported manner when initiating a project. These strategies dictate a set of artefacts to be produced and methods to be potentially used in dependency to given project parameters, such as “System development project (customer) with one supplier”. Development process models that include different execution strategies, however, define those strategies via coarse grained project parameters and their impact on overall artefacts and activities (e.g., considering the general creation of a requirements specification).

To the best of our knowledge, however, an analysis of execution strategies taking into account the created RE artefacts and, in particular, their contents w.r.t. the completeness of these artefacts has not been done before. Available studies in the area of RE concentrate on the extraction of best practices and emphasise used methods and description techniques in practice (see, e.g., Boehm and Alexander [25], El Enam and Madhavj [26] or Cox, Niazi and Verner [27]).

Studies on Effort Impacts. The overall goal of empirical analyses of RE in practice is to discover important impacts of the investigated factors. Several studies analyse the impact of RE methods on project failures. A widely known empirical evaluation of such project failures is the *Chaos Report* from the Standish Group [28] that examined project failures and related causes, such as missing user involvement. The report does not, however, give detailed insights into the study design. The *Success Study* from Buschermöhle, Eckhoff and Josko [29] presents a similar investigation of German companies, including a description of how exactly the study was performed. Still, both surveys exclusively investigated failed projects and general causes and, thus, give no understanding on how specific problems are tackled in successful projects.

Kamata and Tamai [20], who analysed artefact completeness, also investigated the general relation to project success by determining which specific sections of the documentation relate to project failures. In particular, they show that the section that includes project objectives, as well as the section that includes the functions description, both relate to cost and time overruns in the projects.

Similar work is presented by Sommerville and Ransom [30]. They assessed the impact of a process improvement in RE at organisational level. In general, their results show “when the RE Process Maturity of an organisation improved, an improvement was also observed in business performance indicators.”

Damian and Chisan [4] analysed process improvements in RE and the relation to payoffs regarding, for example, productivity and the final product quality. Their findings showed that improvements in RE have lead to (a) improvements in developer productivity (b) improvements in product quality (fewer user-reported deficiencies, fewer product defects after release) (c) more effective risk management.

Discussion of Related Work. As shown in the previous sections, there exist several studies that investigate isolated aspects of RE processes, artefacts, or project parameters, and selected relations of specific factors to project failures. However, no studies are available that analyse RE in a process-neutral way and, over and above all, the relations between all the introduced factors.

Although the benefits of process-neutral investigations are understood (see also [16]), contributions that give such insights and, thus, that would satisfy our research objectives are still missing.

Previously Published Material. In [31], we performed the first step of a process-neutral investigation as part of a field study. We analysed the artefacts that had been produced in 12 company projects, a set of project parameters that relate to the creation of the artefacts, and corresponding artefact patterns with probable requirements engineering execution strategies that lead to these patterns.

In this paper, we extend the field study in two ways. First, we extend the discovered project parameters to a detailed taxonomy of parameters, which either enforce or hinder the creation of certain artefacts. Second, we evaluate the execution strategies with respect to the effort spent in the creation of the artefacts taking into account further resulting effort, e.g., spent for change requests. This analysis gives evidence on

the efficiency of the different strategies and contributes to the establishment of an effective customisation approach, since researchers and practitioners get insights into RE in practice.

3. Field Study Design

We organise the study according to Runeson and Höst [32]: We formulate the research questions, and describe the case and subject selection, as well as the data collection procedures. We then define the analysis procedure, and conclude with a description of how we ensure the validity.

3.1. Research Questions

The study investigates RE execution strategies and underlying causes reflected in a set of (re-usable) project parameters. We conduct a process-neutral investigation, which allows us to determine and evaluate RE execution strategies without having to directly take into account the variability of the process definitions.

In contrast to available studies, our investigation first identifies the extent to which the artefacts were created in different projects. We analyse the *artefact completeness* in these projects. Based on the findings, we investigate which *project parameters* directly influence the degree of completeness in the single artefacts, e.g., assessable conditions like the availability of end users and their effects on the creation of particular requirements engineering artefacts such as use case models.

We infer probable RE execution strategies, since we are now able to identify *artefact patterns*, i.e., similarities in the degree of completeness in the artefacts of different projects, resulting from potentially differing process definitions. We abstract from project-specific detailed processes used to create the artefacts, but preserve the project-specific characteristics as part of the project parameters. In contrast to related work that emphasises the analysis and assessment of RE processes, we identify and compare probable *Requirements Engineering execution strategies* on the basis of the artefact patterns and their underlying causes, reflected in the project parameters.

Finally, to determine whether the identified strategies were appropriate, we evaluate their *effort impacts*: we analyse the effort spent in RE, change requests, and the further development life cycle. This gives a more detailed view on the appropriateness of the execution strategies than given if exclusively investigating, e.g., whether a project fails or not.

In summary, to reach our research objectives we have to identify and evaluate different execution strategies in which the artefacts are specified in a certain completeness in response to selected project parameters. The resulting factors and their relationships analysed in this field study are summarised in Figure 1.

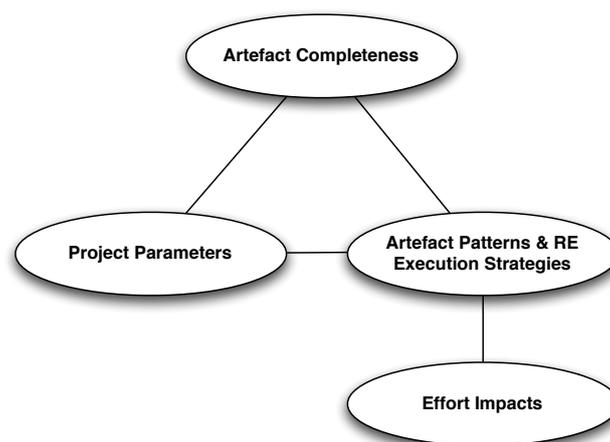


Figure 1: Analysed factors and relationships.

We subsequently introduce the research questions, which we have formulated to investigate the factors.

RQ 1. *Which artefacts are created and how complete are they?*

As mentioned above, we need to analyse the quality of the artefacts created in different projects. This allows us to objectively reproduce, categorise, and compare RE execution strategies in different projects without having to take into account the variability of their process definitions. By abstracting from the order and way in which the artefacts were documented, we then are also able to account for the relevance of single artefacts of a particular quality with respect to specific project situations.

To determine a notion of quality in the artefacts created in a limited number of projects, we are interested in the degree of completeness in the documentation of the artefacts. With “completeness”, we have to refer to the syntactic completeness, i.e., the elements and relations of, for example, a use case model being documented or not. The reason is that we are not able to objectively estimate the semantic completeness; for instance, whether all requirements (e.g., all use cases) relevant to the stakeholders were documented (see also [21]). Further information is provided in the analysis procedure in Section 3.4.

RQ 2. *Which project parameters have an influence on the artefact completeness?*

We need to find influential project parameters and their relation to the completeness of the RE artefacts to reproducibly characterise the project-specific context of the RE process. Having identified the degree of completeness of the artefacts in individual projects, as well as influencing project parameters, we set both in relation to each other. While RQ 1 addresses *what* has been produced, RQ 2 addresses *why* this has been produced.

RQ 3. *Are there artefact patterns and corresponding execution strategies?*

Based on the project parameters that influence individual projects in relation to the completeness of the RE artefacts, we analyse whether specific artefact patterns can be distilled. To this end, we compare and categorise the artefact completeness for similarities among different projects. We then analyse potential reasons for the artefact completeness on the basis of the identified project parameters, and infer probable RE execution strategies.

RQ 4. *Do the patterns and execution strategies differ in their effort for RE and their impact on other effort?*

If we are able to identify artefact patterns with their underlying execution strategies, we need to evaluate their appropriateness. We are not only interested in whether the project is a success (in case a specific pattern is used with certain project parameters), but we also want to know the economic impact the pattern has. This allows for a comparison of the patterns and an identification of advantages and disadvantages of particular execution strategies. As a first step into this direction, we analyse whether there are differences between the found patterns and execution strategies with respect to the effort spent on RE and other effort. In particular, we are interested in the effort for change requests that is potentially caused by insufficient RE.

3.2. Case and Subjects Selection

We analyse documented and ongoing projects¹ at Capgemini TS. The company constitutes the German technology service entity of the Capgemini Group and has its focus on custom software development within the application domain of business information system. The projects to which we refer in the field study (including corresponding study subjects and objects) thus are all situated in the same application domain.

Regarding the *study subjects* (the project participants), we focus on two company-specific roles, which are related to requirements engineering: “project lead” and “chief analyst”. The project lead has the responsibility of project management issues, such as control or risk management, but also of acquisition. Corresponding subjects are the source for initial information on how the development project was set up and

¹With ongoing projects we refer to projects that have further releases or increments beyond the ones analysed.

which documents the project scope was defined upon. After the successful acquisition and scoping phase of a project, the chief analyst has the responsibility of analysing and documenting the business processes, the requirements and the initial (overall) system specifications. All the project participants that are assigned to these roles are employees of Capgemini TS. For confidentiality reasons, we have no access to customer-side project participants.

Regarding the *study objects*, we distinguish between the company-wide development process model used at organisational level (focussing on the RE definition), and the projects, in which the RE process is performed according to the process model. The first one serves as a preparation of the study and provides an understanding of used roles, methods, and artefacts with corresponding terminology. The study objects contain descriptions of the reference process model, training material, and standard operating procedures. With the understanding of the reference process model, we select different projects and analyse corresponding documents. As a whole, 18 projects were available and ready to participate in the study. We concentrate, however, on 12 projects (see Section 4.1), since these were able to offer all data necessary to completely perform the analysis procedure (e.g., specification documents). The remaining six projects were not able to provide that data, mostly due to confidentiality issues.

The documentation of the projects includes acquisition documents, so-called study documents, requirements specifications and system specifications and, where necessary, frame contracts. Acquisition documents capture background information and possible objectives of each project. Study documents usually capture information on the customer domain and the organisation, the actual business processes, and a rough plan of the future business processes to be supported and realised by the system under consideration. These documents are mostly produced as preparation for a development project. In some cases they are created in parallel to a maintenance phase, so that they also include a detailed description of the main use cases and technical aspects of the current IT infrastructure. The requirements specification contains the user and system requirements, i.e., the external functional specification and the specification of non-functional requirements. The system specification contains the internal functional specification, which defines the logical component architecture.

Finally, the analysed projects use a standard effort accounting system that captures the effort spent by all participants for each project. The accounts within the system are organised according to the phases (respectively disciplines) of the company-specific development process model, e.g., consultancy, project management, or change management. For each of the different tasks performed in a phase, the accounts optionally include detailed sub-accounts, such as for particular quality assurance tasks. During the project, the project participants assign their effort spent to these different accounts. We use the accounting system as a source for the analysis of the effort impacts, as we do not have information about the actual costs (see also Section 3.4.4 for the detailed description of the accounts and corresponding analysis procedure).

3.3. Data Collection Procedures

We collect the documentation of the development process model as a preparation before analysing the single projects. The documentation was made available at the beginning of the study. We then prepare and set up the data collection from the single projects in two steps that take approximately two days for each project. This way, we keep the effort for the study subjects to a minimum. The single points of contact for the study subjects were the authors of the study, Daniel Méndez Fernández and Andrea Baumann, who also performed the interviews (see the subsequent sections).

Step 1. As the first step, we select the projects to participate in the field study from a set of (project) candidates. To identify candidates, our project partner provides us with a list of projects and corresponding contact persons, which we contact by email. Each project is represented by one person, who either is assigned as the project lead or as the chief analysts of the project. If the project candidate is selected, this person serves as the single point of contact during the study.

When establishing the first contact, we provide information about the study planned (its purpose and design) and propose an appointment for an open telephone interview of approximately one hour. This telephone interview is not prepared with a set of particular questions, but serves to

1. clarify questions of the (potential) study subjects and
2. get a brief overview of the project background, its relevance for the field study, and an overview of the existing documentation.

We consider a project to be relevant if the project offers the possibility to access the documentation (regarding, e.g., non-disclosure agreements with third parties), the project participants are able to put in the necessary amount of effort in the study, and whether the project includes the creation of RE-relevant artefacts in the envisioned application domain of business information systems.

Step 2. In the second step, the project participants of the selected study-relevant projects (the project lead or the chief analyst), send us the documentation for a brief content analysis. This enables an initial understanding of the artefacts (their structure and contents) and allows us to identify needs for requesting additional documents. During a second short open telephone interview, we finalise the preparation of the analysis and make an appointment for a semi-structured interview to complete the actual content analysis.

To elaborate different project parameters that have an influence on individual projects and their artefacts, we perform semi-structured interviews. In each interview, we directly ask the study subjects for specific content items which we found exceptional in the content analysis. This allows a discussion on why specific artefacts are documented or not, and furthermore, the extraction of specific project parameters that are directly related to those artefacts.

We prepare each interview by identifying those content items that exhibit differences compared to other projects and items that have not been specified at all. During this (semi-structured) interview, we then ask for:

1. Individual project parameters that had an effect on the particular content items
2. The dependencies that these parameters had to specific content items

In addition, the project participants make the information for the effort analysis available to us. This includes the project-specific names used by the project participants in the effort accounting system, since variations from the standard names are possible. Apart from the account names, they provide us with the point in time when the requirements specification was accepted by the customer. The acceptance date is used to allocate the documented effort in the effort accounting system to chosen categories, such as RE effort or effort spent in change requests (see also the next section). Based on given information, we retrieve the actual data from the accounting system and analyse it without further involvement of the project participants.

3.4. Analysis Procedures

The analysis of the projects is conducted in four steps:

Step 1 addresses RQ 1 by content analyses.

Step 2 addresses RQ 2 by qualitative analysis of expert interviews.

Step 3 addresses RQ 3 by cluster analysis.

Step 4 addresses RQ 4 by statistical testing.

The authors Daniel Méndez Fernández and Andrea Baumann conduct the first two steps and any resulting interaction with the study subjects (see also the foregoing section). Klaus Lochmann and Stefan Wagner then additionally participate in the third and fourth step. Finally, Holger de Carne performs the actual retrieval of the data from the accounting system and the removal of confidential information, e.g., details of the customers and of the project participants who assign their spent effort into the system.

In the following section, we describe each step in detail.

3.4.1. Content Analyses (Step 1)

This step answers RQ 1 via content analyses of the collected documents, which we perform in isolation without any discussions with the study subjects. Thus, we can ensure an objective review of the documentation and furthermore a neutral comparison of the documentation of different projects. In projects of a high complexity that have several thousands of requirements, we take samples for each of the documented (software) releases. This reduces the effort and gives an average view of the syntactic completeness of each artefact. Finally, requirement's attributes, such as the documented priority of requirements and details on

which this priority calculation is based, are not explicitly taken into account, because they were handled differently in the projects.

The content analysis is performed by comparing the documents and their content on the basis of a neutral artefact-based *Requirements Engineering Reference Model* (REM) [33]. REM results from a research cooperation between the Technische Universität München and several industry partners. REM defines a taxonomy of the core RE artefacts (documents or data sets) with a description of recommended contents and an abstract description of the contents' interdependencies (traceability relations). We consider REM to be neutral, because it makes no assumptions about a particular application domain, i.e., it was not developed for a particular family of systems, nor does it relate to a particular methodology.

In addition to the independence to a particular methodology, we opted for REM, because it also unifies in its taxonomy the RE artefacts proposed by several available artefact-based reference models, such as the *IEEE software requirements specification Std. 830-1998* [21] or the *Volere requirements specification templates* [34]. This supports the validity of the taken reference model with respect to the state of the art in artefact orientation. Since the determination of semantically incomplete RE artefacts (e.g., if all requirements considered relevant by the stakeholders are documented) is still an unsolved issue [21], we focus on the syntactic completeness, i.e., the existence of the content items proposed by REM with respect to the elements and relations specified in the analysed specification documents. The investigation of the semantic completeness of the artefacts is not in scope of the field study. The only indication of semantically incomplete artefacts is given, to some extent, by the results of the analysis of the pattern efficiency (see step 4). In the analysis of the effort spent in the creation of the artefacts, we evaluate the patterns, e.g., with respect to change requests that may result from insufficient RE potentially indicating that not all requirements were documented (see also Section 3.4.4).

We take into account the three major artefacts proposed by REM: the *Business Needs Specification*, the *Requirements Specification* and the *System Specification*. Each of those artefacts includes a list of content items. Taking each artefact and its included content items as a reference model, we compare the content of each projects' documents. We consider some of these content items as irrelevant for the domain of business information systems, such as hardware-specific constraints, which are relevant for embedded reactive systems. We thus tailored REM for the domain of business information systems. We performed a domain-specific interpretation of the content items and removed the irrelevant items with respect to domain-specific architecture frameworks, like the Zachmann framework (see also [35, 36]), so that no content items were missing.

For each content item in REM, there are defined (syntactic) completeness criteria. This allows for the usage of this model as a reference for a detailed analysis of a specification's content and its completeness according to the criteria:

- *Completely specified*: The content item can be mapped unambiguously onto a specific element of the analysed documents.
- *Incompletely specified*: The content item can be identified in the analysed documents but exhibits major deficiencies with respect to the defined completeness criteria.
- *Missing*: The content item cannot be identified in the analysed documents.

The content analysis with REM gives a detailed view on the produced artefacts and their syntactic completeness (*what* has been documented). Since it allows no deeper understanding about the process and the underlying motivation (*why* has it been documented), we perform *step 2* of the analysis.

3.4.2. Qualitative Analysis of Expert Interviews (Step 2)

We address RQ 2 by analysing why the requirements are documented in a certain way. For this, we perform the interviews and use a mixed approach to distill project parameters that relate to the degree of completeness in the artefacts (see step 2 in the data collection procedure of Section 3.3). As starting theory for project parameters and categories, we employ the components proposed in decision (support) approaches for RE, i.e., the one from Aurum and Wohlin [37] (see related work in Section 2).

We document each of the project parameters with its dependency to the content item it has an impact on. We express dependencies of the parameters on content items as either a positive or a negative impact. Parameters can have a positive impact and thereby call for the creation of a content item or they can have

a negative impact and hamper the creation of the content item. We express the first variant as “need for action” and the second variant as “ability to act”.

We finally remove those parameters that had different (contradictory) influences on the same content items over the range of examined projects. This supports the validity of the remaining parameters. The resulting theory is a set of project parameters in several categories. Structuring the project parameters according to such categories supports the comparison of discovered project parameters with existing studies.

3.4.3. Cluster Analysis (Step 3)

After performing the content analyses in all the projects and the interviews with corresponding project participants, we perform a cluster analysis to address RQ 3. We analyse the RE artefacts of all the projects for similarities to identify common patterns. The analysis groups the projects into clusters with similar degrees of completeness in the artefacts. Hence, it is probable that the same RE execution strategy was performed to create the artefacts of projects in one group. We connect artefact patterns with RE execution strategies that cause the patterns.

We perform the clustering using the k-means cluster analysis, which minimises the distance of each project to the mean, called *centre*, in its cluster. We encode the three possible verdicts for an artefact on an ordinal scale with 0 = *missing*, 1 = *incompletely specified* and 2 = *completely specified*. We experiment with different values for the number of clusters to get a useful grouping for the relation to RE execution strategies. We identify suitable strategies by comparing the completeness of artefacts in the cluster and by analysing the differences between them.

3.4.4. Statistical Testing (Step 4)

We perform statistical testing of the effort spent in the creation of the RE artefacts and in further development tasks to evaluate the artefact patterns identified in the foregoing cluster analysis. This step contains content analysis of the entries in the standard effort accounting system used for each project (see Section 3.2). We group the project-specific effort data from the account system into three categories:

- Effort for Requirements Engineering (REQ)
- Effort for change requests (CR)
- Effort for other tasks in the software life cycle (SWL)

Since no explicit RE phase is assigned in the company-specific development process model, the corresponding accounts for analysing the effort data have to be interpreted (see also Section 3.2). Table 2 summarises the accounts and how these accounts are allocated to the three categories used for statistical testing.

The accounts listed in the table represent a simplification of 40 (in total) accounts and tasks. We do not give details of certain accounts if no differentiation between the three categories has to be made. For instance, the account *Integration & Test*, including tasks for several test phases and bugfixing, shows no details since all tasks can be allocated to effort spent as part of the overall software life cycle. The account *Project Management*, on the other hand, does give details on further tasks, like *Project Lead* or *Coordination SP&D*. The details are necessary, because the latter task *Coordination Specification & Design* is of interest. It describes the coordination of the activities in the specification and the design phase, in which, e.g., possible solutions for specific requirements are analysed and discussed in team meetings. This task therefore includes, in parts, effort that is to be allocated to the REQ category.

We interpret the documented effort according to the acceptance date of the specification document. Hence, some accounts include effort spent for either RE, change requests or the general software life cycle. We illustrate this interpretation by using three different characters: “B” refers to an interpretation of the effort as RE effort before acceptance of the corresponding specification; “A” refers to efforts that differ in their interpretation after accepting the specification; “I” refers to whole accounts in which we make no differentiation, such as travel times (belonging to the account *Cross-Cutting*) that cannot be clearly allocated to a concrete phase. The effort documented in the account *Consultancy*, for example, is allocated to the REQ category if it is documented before the specification document has been accepted by the customer. After this acceptance, we declare the accounted effort to belong to the software life cycle. Similarly, the account

Table 2: Interpretation of accounts.

Accounts	REQ	CR	SWL
<i>Specificaton</i>			
Study current situation	B	–	A
Documentation	B	–	A
Re-work	B	A	–
Quality assurance	B	–	A
Design	–	–	I
Realisation	–	–	I
Integration & Test	–	–	I
Launch & Acceptance	–	–	I
<i>Project Management</i>			
Project lead	–	–	I
Knowledge management	–	–	I
Coordination Specification & Design	B	–	A
Infrastructure management	–	–	I
Consultancy	B	–	A
Change requests	B	A	–
Cross-Cutting	–	–	I

Legend: B Before Acceptance
A After Acceptance
I Independent of Acceptance

Change Requests is only interpreted as regular change requests and thereby allocated to the corresponding category, if the requirements specification has been accepted.

Unfortunately, we do not have access to any consistently collected size or complexity measures, such as function points or lines of code, that could be used to normalise the effort data over all considered projects. Therefore, we define four key measures for the further analysis that are normalised differently. First, the effort data from the three categories REQ, CR, and SWL are set in relation to the total effort (TOT). This gives comparable data about what fraction of the total effort is spent on RE, change requests, and further activities. Summing up, we have the three metrics REQ/TOT, CR/TOT, and SWL/TOT.

Second, we define a surrogate measure for the efficiency of the RE execution to be able to analyse if the investment in RE was beneficial. Ideally, RE should cover (in the end) all stakeholder needs in corresponding specifications. Later change requests are signs that the requirements engineers have failed in this and the stakeholders add additional requirements, which is usually more costly than getting it right the first time. By spending more effort on RE, we expect less change requests. Therefore, the relationship between RE effort and change request effort needs to be balanced. We can analyse this relationship by plotting CR against REQ. In addition, we define a fourth measure, CR/REQ, which expresses how much change request effort had to be spent per spent RE effort. We need this additional measure, because we are not only interested in the nature of the relationship between CR and REQ but also in the differences in this relationship over the artefact patterns.

To answer RQ 4, we analyse the differences in the defined measures for the artefact patterns. We are interested in whether specific RE execution strategies (reflected in the artefact patterns) tend to spend more effort on RE or change requests, and whether this had an influence on any further effort. Moreover, if one pattern tends to be more efficient in terms of our surrogate measure, it would be a candidate for further research about the reasons for this difference. If not, we have to assume that the patterns are at the same

level of efficiency.

The analysis is performed by statistical testing of the differences between the distribution of the measures. Depending on the properties of the sample data, we analyse it by parametric or nonparametric tests at a confidence level of 0.05. The null hypotheses we test are the following:

Hypothesis 1. *There is no difference between the distributions of REQ/TOT in the patterns.*

Hypothesis 2. *There is no difference between the distributions of CR/TOT in the patterns.*

Hypothesis 3. *There is no difference between the distributions of SWL/TOT in the patterns.*

Hypothesis 4. *There is no difference between the distributions of CR/REQ in the patterns.*

3.5. Validity Procedures

The selection of projects from different industrial sectors with different sizes and different project participants increases the external validity of the results. Initial discussions with the study subjects lower barriers and ensure the collection of accurate and appropriate data. The neutral artefact model REM serves as a basis for classification, and the classifications as well as parameter categories are reviewed by other researchers. We present and discuss the results of the overall analysis during last feedback meetings with all project participants. This clarifies open questions and excludes wrong results that could arise from incomplete documentation or wrong assumptions.

4. Results

In this section, we present the results of the study. We order them by (1) the case and subject description, and (2) according to the results for each of the defined research questions.

4.1. Case and Subject Description

The analysed development projects are all custom software development projects within the application domain of business information systems. Although they are restricted to this application domain, they exhibit different characteristics. Table 3 gives an overview of the analysed projects.

Table 3: Analysed projects (anonymised).

ID	Industrial Sector	Size
P1 (finished)	Finance	Small
P2 (finished)	Finance	Small
P3 (finished)	Finance	Small
P4 (ongoing)	Retail sale	Medium
P5 (ongoing)	Contracting authority	Medium
P6 (ongoing)	Telecommunication	Large
P7 (ongoing)	Logistics	Large
P8 (ongoing)	Logistics	Large
P9 (finished)	Aerospace	Medium
P10 (ongoing)	Contracting authority	Medium
P11 (finished)	Finance	Medium
P12 (ongoing)	Automotive	Large

For each project, we distinguish between the industrial sectors of the customers and the project size, that for reasons of confidentiality is clustered into 3 categories. We classify the projects with a size of up to 20 person years as small-scale projects, from 20 to 120 person years as medium-scale projects, and above

120 person years as large-scale projects. The analysed projects are labelled with numbers and it is also mentioned whether they are finished or still ongoing (in terms of further releases or increments). All of the projects focus on the replacement of legacy systems, on the development of new systems, or on consultancy in which application landscapes are analysed and re-designed. Consequently, all projects have in common at least the definition of requirements and system specification artefacts independently of the following phases. Those artefacts are captured in different formats, including MS Word, Excel and (UML) Enterprise Architect models.

Regarding the company-wide development process model and the conformance of the projects to it, nearly all projects initially followed a waterfall model as a consequence of multi-staged bidding procedures. The only exception is P4, which followed an iterative and incremental process definition right from the beginning as part of a follow-up project with no explicit bidding procedure.

The followed development process model is a collection of architecture-driven design methods, which is based on the *Integrated Architecture Framework (IAF)* [38]. These methods were employed by all projects as part of a so-called specification discipline according to the company-specific derivative of the development process model *Rational Unified Process (RUP)* [39], but with no explicit assignment of an RE phase.

4.2. Documented Requirements Artefacts (RQ 1)

For each analysed project, we compare the existence and syntactic completeness of the artefacts proposed by REM to the content of the analysed documents (see also Section 3.4). The effort spent for the analysis of the documents varies in dependency to the project size and ranges from approximately 4 hours for small-scale projects to 24 hours for large-scale projects. Table 4 on page 15 summarises the results of the content analysis.

Going from top to bottom, the table structures the content items of REM according to the three major artefacts: business needs, requirements specification, and system specification. In content items of the requirements specification, we distinguish between functional aspects and non-functional aspects. The first includes, for example, requirements-specific application scenarios, such as use case models. The non-functional models include, for example, the specification of quality requirements, models of the application's future environment or process constraints regarding the delivery of the application ("release strategy"). Within the system specification we discriminate between the design concepts and test case specifications.

The bottom part of the table highlights traceability aspects, describing the maintained interdependencies between specific content items. We distinguish between traceability from the contents of the business needs to the requirements specification and from the requirements to the system specifications. We do not differentiate between forward tracing and backward tracing. In general, we observed that the content items of the initial specifications are documented in different degrees of completeness. The closer we come to the system specification, the more homogeneous and detailed they are specified. In fact, the content items of the system specifications are nearly all completely specified.

Within the business needs, nearly all projects specified the business objectives of a customer and corresponding high-level requirements, e.g., the goals (the "Customer Requirements"). We observe, however, a highly variable handling of the further content items of the business needs. Especially the "Return of Investment (ROI) calculations", and the elaboration of the "value to the customer" was documented very differently. We observed the same for the "Scope and Limitations" which either were completely specified or missing. The "System Success Factors", including the basis for prioritising the requirements, were either incomplete or missing.

Within the requirements specification, we also found a difference in the handling of the functional analysis models, especially within the "Application Scenarios". Considering the non-functional analysis models, the system environment and the related content items were documented in a high degree of completeness. Instead, the rest of the content items, such as the quality requirements or the assumptions, were often incomplete.

Finally, the system specifications are nearly all completely specified. Only the test case specifications are documented very differently.

Table 4: Completeness of artefacts in the analysed projects.

Project		P1	P2	P3	P4	P5	P6	P7	P8	P9	P10	P11	P12	
Business Needs Artefacts	Business Objectives	●	●	●	●	●	●	●	●	●	●	●	●	
	Customer/Market Requirements	●	●	●	●	●	●	●	●	●	●	●	●	
	Value to the Customer	●	●	●	●	●	○	●	○	●	●	●	●	
	Main Features	●	●	●	●	●	●	●	●	●	●	●	●	
	Assumptions Dependencies	●	●	●	●	●	●	●	●	●	○	●	●	
	Scope and Limitations	●	●	●	○	○	●	○	●	○	●	●	●	
	ROI Calculation	●	●	●	●	○	●	○	○	○	●	●	●	
	Business Risk Analysis	●	●	●	○	○	●	○	○	○	●	●	●	
	Risk Calculation	●	●	●	●	●	●	○	●	○	●	●	●	
System Success Factors	○	○	○	●	○	●	●	●	●	●	○	●		
Req. Specification Artefacts	Functional	Application Scenarios	●	●	●	●	●	●	●	●	●	●	●	●
		User Interface	○	○	○	○	●	●	●	●	●	●	●	●
		User Classes	●	●	●	●	●	●	●	●	●	●	●	●
		System Interaction	●	●	●	○	●	●	●	●	●	●	●	●
	Non-Functional	Release Strategy	●	●	●	●	●	●	●	●	●	●	●	●
		Domain Model	●	●	●	●	●	●	●	●	●	●	●	●
		Environment Model	●	●	●	●	●	●	●	●	●	●	○	●
		System Boundaries	●	●	●	●	●	●	●	●	●	●	●	●
		Quality Requirements	●	●	●	○	●	●	●	●	●	●	○	●
		Assumptions	○	○	○	○	●	○	○	○	○	○	○	○
		SW Design Constraints	●	●	●	●	●	○	○	○	●	○	○	●
		Acceptance Criteria	●	●	●	○	●	●	○	○	●	○	○	○
Acceptance Test Cases	○	○	○	○	●	○	○	○	●	○	○	○		
System Specification Artefacts	Design Concept	Release Planning	●	●	●	●	●	●	●	●	●	●	●	●
		Behaviour Model	●	●	●	●	●	●	●	●	●	●	●	●
		System Interaction	●	●	●	●	●	●	●	●	●	●	●	●
		Service Interaction	●	●	●	●	●	●	●	●	●	●	●	●
		Data Model	●	●	●	●	●	●	●	●	●	●	●	●
		User Interface	●	●	●	●	●	●	●	●	●	●	●	●
		Communication Interfaces	●	●	●	●	●	●	●	●	●	●	●	●
		Interfaces to Service Components	●	●	●	●	●	●	●	●	●	●	●	●
		Architecture Constraints	●	●	●	●	●	●	●	●	●	●	●	●
		Deployment Constraints	●	●	●	●	●	●	●	○	●	●	●	●
	Coding Standards	●	●	●	●	●	●	●	●	●	●	●	●	
	Test	Functional Test Criteria	●	●	●	○	●	●	●	●	●	●	○	●
		Integration Test Criteria	●	●	●	○	●	●	●	●	●	●	○	●
Design Constraints Test Criteria		○	○	○	○	●	●	●	●	●	●	○	●	
Traceability	Needs to Requirements	○	○	○	○	○	○	○	○	○	●	●	●	
	Requirements to Sys.Spec	○	○	○	○	○	○	●	●	●	●	○	○	

Legend: ● Completely specified
 ● Incompletely specified
 ○ Missing

4.3. Influencing Project Parameters (RQ 2)

Within the semi-structured interviews, we built a theory about the project parameters with an influence on the artefact completeness. Table 5 on page 17 summarises the categorised project parameters in which the interviewees participating in the different projects made no contradictory statements.

The resulting table is organised according to the documented content items (see also Table 4) and on the left side by the project parameter, since the identification of the project parameters was performed according to the content items (see also the analysis procedure in Section 3.4). We group the parameters into three major categories: The category *Customers' Domain* groups parameters that arise from the industrial sector or from circumstances of a customers' organisation, such as stakeholder-specific characteristics. The category *System under Consideration* groups parameters that arise from the envisioned family of systems and other characteristics of this kind. The third category *Cross-Cutting Process Aspects* groups further parameters that restrict the project-specific application of the development process model.

Each cell of the table contains the impact of one parameter on one content item as it was stated by the interviewees. The symbol “+” indicates that the parameter has a positive impact on the content item, i.e., that the parameter can be taken as one reason for specifying the content item (“need for action”). The symbol “-” indicates that the parameter has a negative impact on a content item and thereby hampers its specification (“ability to act”). An empty cell indicates that the interviewees did not report an influence of the respective project parameter on the artefact.

We subsequently describe the parameters and their impacts. Due to the high variety of the parameters and their impacts, we organise the following description according to the three categories.

Customer Domain. One observation is that three major circumstances arise from the customer domain: the industrial sector, the general relationship with the customer and characteristics of the different stakeholders. Especially whether project participants have weak access to business process information (e.g., for reasons of confidentiality) has an influence on the ability and the necessity to specify the ROI calculations, the value for the customer and the business risk analysis.

In particular, many customers do not share enough details about their organisation (e.g., their business processes) for performing such calculations, mostly for reasons of confidentiality. This is especially true when elaborating the value of single requirements for the customers. Consequently, the prioritisation of requirements (expressing the relevance of requirements for customers) can often not be performed. The only exception are projects that are performed with German governmental authorities. The reason is that those customers and related development projects are required to conform to the V-Modell XT [24]. This standard demands an ROI calculation before performing a requirements analysis.

The relationship with the customer also has an influence on the definition of the scope and the limitations, as well as the system success factors. If a customer is well-known, for example from a previous project, the limitations are left incomplete to improve efficiency. Similarly, the system success factors have a strong dependency on the knowledge about the customers and their domain. In particular, the less familiar customers are (e.g., in the first development project for this customer), the higher the probability of defining system success factors and also acceptance criteria.

Further parameters that the interviewees mentioned consider the stakeholders' characteristics. The availability of the stakeholders (in particular of the future users of a system) strongly influences the possibilities of specifying application scenarios, e.g., via use cases. Projects that have no access to the users often document services (abstract description of system functions) as an abstraction of use cases with no ordered interaction scenarios. The unavailability also negatively affects the possibility of specifying content items that are directly related to application scenarios; for instance, the user classes (actors), the environment model, or the quality requirements. Consequently, this parameter implies the additional calculations of project risks.

Similarly, the technical knowledge of the stakeholders negatively impacts the quality requirements. When specifying quality requirements, reference models and reference values are often missing. Quality requirements are thus left on a high level of abstraction. For example, instead of stating specific security requirements, customers often refer to security standards, such as the *Common Criteria*. This project parameter also has a strong relation to the assumptions that then often have to be made explicit. Missing or incomplete quality requirements increase the probability of having to explicitly specify assumptions to compensate for upcoming risks relating to the quality requirements. Finally, a similar effect can be observed with regards to the reliability of stakeholders. The more unreliable the stakeholders and, thus, the higher the probability of having moving targets, the higher the probability of specifying weak quality requirements. In addition, this parameter argues for the specification of acceptance criteria.

System under Consideration. Regarding the system under consideration, the expected degree of user interaction has a positive influence on the use of application scenarios and related content items, such as the data model (in terms of modelling objects being processed as part of an interaction scenario). Also, a high degree of innovation has a positive effect on the use of application scenarios, since these are documented if the feasibility of the system is unclear.

Another parameter with similar effects is the type of system. Building a workflow management system, for example, has a positive effect on application scenarios. Instead, if considering, e.g., database integration or content management systems with low user interaction, the projects emphasise the specification of the data model rather than application scenarios. The degree of distribution and the degree of dependencies on surrounding systems also has a positive impact on application scenarios, but hampers the specification of quality requirements (in early stages of development).

A further negative impact on quality requirements is given by insufficient knowledge of the operative background of the systems. For instance, if the requirements engineers cannot define how many users will access the system simultaneously, the corresponding quality requirements will remain at a high level of abstraction.

Finally, projects that target standard software, such as SAP components, differ strongly from ones that target custom software. This parameter influences, similar to the availability of stakeholders, the existence of application scenarios. If the project considers standard software instead of custom software, services are specified instead of detailed application scenarios.

Cross-Cutting Process Aspects. Regarding the characteristics that arise from the development process, one remarkable influence is time-boxing, which means the project team faces a hard deadline for the milestones (maybe at the cost of quality). Projects that have agreed on time-boxing have a detailed release plan and also specify the linkage between the content items to ensure traceability. A traceability matrix supports the control of the actual degree of realisation of the requirements, especially necessary for time-boxing, but also gives an overview of the number of requirements in general. Time-boxing is seen in general as a risk within projects and hence implies detailed risk calculations. Further risks are implied by the involvement of external parties. If acceptance tests are performed by external parties, projects document their scope and limitations, as done in acceptance criteria and functional test criteria.

Projects that have a long duration comprehensively specify a data model since they use data models as an ontology within a project, defining the relevant terms within the envisioned domain. Similar impacts on the data model are the team size, the degree of distribution and the experience of the team. Besides also impacting the risk calculations, the latter has a negative impact on the quality requirements, since team members are not aware of the technical consequences of quality requirements.

When performing estimations of functional complexity and effort by the use of, for example, function points, project participants consider application scenarios to be necessary. The application scenarios also provide support in change-intensive projects with unstable requirements.

In general, application scenarios are explicitly documented within a requirements specification if either a requirements phase with an acceptance phase of corresponding specifications is assigned (instead of a continuous development project), or if a change management process is set up. In the latter case, the

customers are often the ones to state functional requirements by the means of use cases.

Finally, the completeness of the content items of the design concept has its rationale in the standardised design process of the company according to the IAF and RUP.

4.4. Artefact Patterns (RQ 3)

Regarding the artefact patterns, we identify clusters with similar degrees of completeness in the artefacts. The k-means cluster analysis gives the most useful grouping into three artefact patterns. The Euclidian distances from the projects to their cluster centres range from 1 to 3.3 based on the encoding of completeness from 0 to 2. A higher number of clusters results in very small clusters that cannot be reasonably interpreted, but have similar distances. Table 6 shows the mapping of projects to the artefact patterns, as well as the cluster centres from the k-means cluster analysis for those artefacts that have differing values amongst these patterns. The resulting values of the cluster centres are mapped to the range used in RQ 1 (see Table 4 on page 15) to express the artefact completeness: *completely specified*, *incompletely specified*, and *missing*.

Table 6: Artefact patterns and corresponding artefacts, for which the completeness differs between patterns.

Pattern	Solution-Oriented P1-P4	Functional-Oriented P5, P9	Problem-Oriented P6-P8, P10-P12
Business Objectives	●	●	●
Assumptions	●	●	●
Scope	●	○	●
Business Risk	●	○	●
Risk Calculation	●	●	●
System Success Factors	○	●	●
Application Scenarios	●	●	●
User Interface	○	●	●
System Boundaries	●	●	●
Assumptions	○	●	●
SW Design Constraints	●	●	●
Design Constraints Test Criteria	○	●	●
Acceptance Criteria	●	●	○
Acceptance Test Cases	○	●	○
Tracing: Business Needs to Requirements	○	○	●
Tracing: Requirements to System Specification	○	●	●

The analysis of the three artefact patterns shows different tendencies in the artefacts. One cluster has more emphasis on the solution description, one on the functional description, and one on the problem description. This leads us to the assumption that the artefact patterns are caused by a *solution-oriented*, a *functional-oriented*, and a *problem-oriented* RE execution strategy.

Solution Orientation. This pattern reflects a solution-biased approach and implies a weak description of the content of the business specification. The corresponding project parameters show that this pattern results from circumstances that mostly have to do with the customers' domain, such as the *relationship with customers* and the *knowledge of the customer's domain*. The consequences are, for example, that the business objectives and the future system environment are incompletely specified and that the system

success factors are missing. Also, the projects emphasise risk calculations and the initial scope. Another consequence is that the traceability is missing due to the incompleteness of the content that should be traced.

Functional Orientation. The projects within this pattern emphasise the functional analysis models of the requirements specification, including the application scenarios and the user interfaces. This focus is also reflected in the traceability from the requirements to the system specification. This mainly arises from the project parameter that considers the establishment of a *change management* and whether an *RE phase is explicitly assigned* with direct participation of the customer. A further parameter is the *availability of the stakeholders*. Corresponding projects have set up a change management process and end users have been able to contribute to the definition of functional analysis models (like use cases). Since the functional demands requested by the customers can be linked up with the elements of the system specification, this positively affects the traceability and the acceptance criteria. In contrast to the solution-oriented approach, the business objectives are completely specified.

Problem Orientation. The projects in this pattern have, in particular, a profound specification of the business needs. The strong focus on business needs is also reflected in the traceability that includes, in contrast to the functional-oriented pattern, a linkage between the requirements and the business needs. Some major reasons for this strategy are project parameters like a *high degree of innovation*, the *relation to customers* enabling insights into customers' organisations and business processes, or whether it was a *governmental customer*.

Summary. In summary, half of the projects act in a problem-oriented way, while a third act in a solution-oriented way, and a sixth in a functional-oriented way. Even if solution orientation is an established phenomenon in practice [5], we can depict the strategy with artefact patterns and its relation to project parameters. For instance, we observe that project parameters resulting from the customer domain have a strong influence on the choice of a solution-oriented approach. The reason is that the parameters reflect the possibilities of accessing business knowledge, and whether customers can contribute to a clear requirements analysis. If customers do not give detailed insights into their organisation and their business processes, it seems that solution orientation is a way to successfully tackle this problem. This is then reflected in the low degree of completeness in the content items within the business needs specification. At the same time, one can observe an increasing degree of completeness in risk calculations and in the initial scope definitions.

None of the interviewees showed awareness of having made an explicit decision about whether to follow solution orientation or not during the last feedback meeting. This unawareness of possibilities and necessities in RE may come from the company-specific development process model and/or underlying solution-biased architecture frameworks. Both still do not consider the discipline of RE to be an integrated part of software engineering. Hence, no integrated RE approach was available as a guideline in the projects.

4.5. Effort Impacts (RQ 4)

We now analyse the effort spent and the efficiency of used RE processes over the identified patterns. Due to confidentiality reasons, we cannot give the exact effort data.

Figure 2 shows the relative effort for the two categories Requirements Engineering (REQ) and change requests (CR) for each project. We use this data to analyse the relationship between these two effort categories. It is plotted in Figure 3 and shows a slightly negative relationship.

The more effort goes into REQ, the less effort is needed for CR. A correlation analysis shows a Pearson coefficient of -0.303, but the result is not statistically significant at a 5% level (p-value: 0.428). Therefore, we have an indication that more effort in RE can reduce the later effort for change requests, but we cannot confidently generalise from the data.

We have not been able to obtain the necessary data for 3 of the 12 projects. This leaves us with 2 functional-oriented projects, 4 problem-oriented projects, and 3 solution-oriented projects. Overall REQ/TOT is between 9.3% and 23.3%, CR/TOT is between 1% and 17%. In addition, Table 7 shows the means of the analysed measures for each project and their totals.

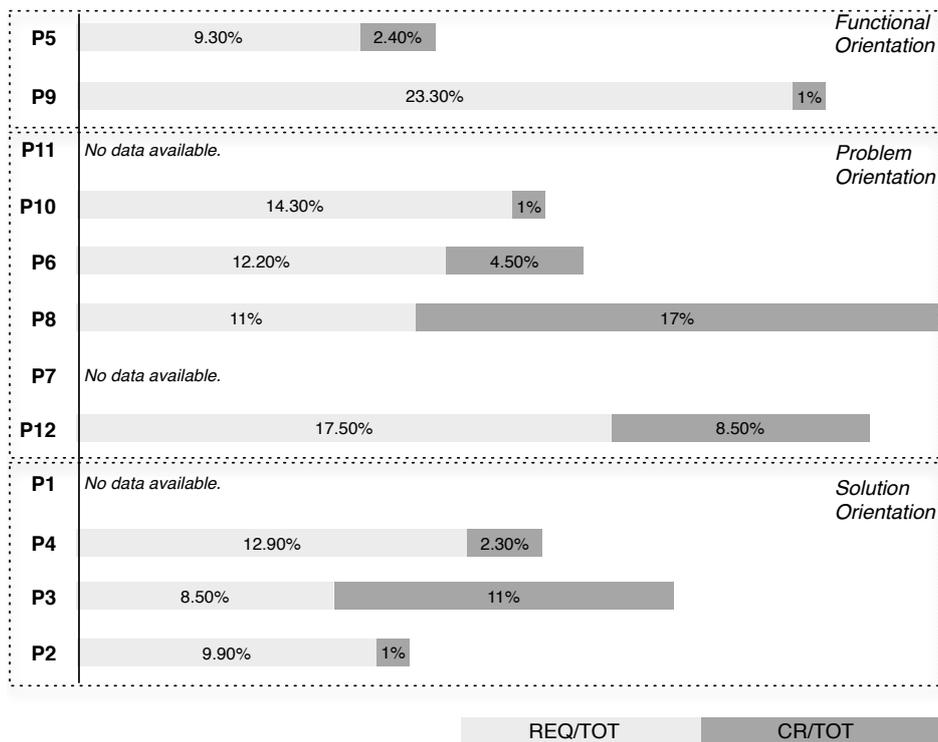


Figure 2: Bar chart with the relative effort for RE (REQ/TOT) and change requests (CR/TOT).

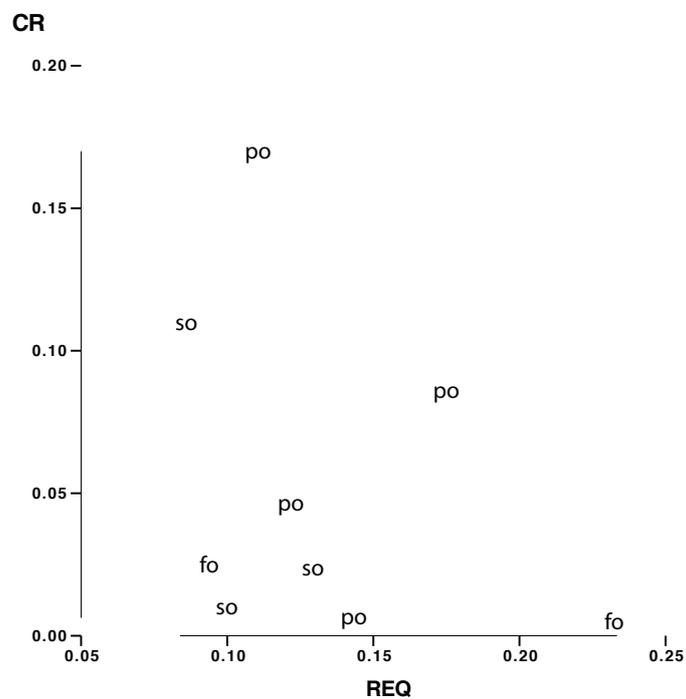


Figure 3: Requirements effort REQ in relation to change request effort CR (po = problem-oriented, fo = functional-oriented, so = solution-oriented).

Table 7: Arithmetic means of the effort data for each pattern.

	REQ/TOT	SWL/TOT	CR/TOT	CR/REQ
Problem-oriented	0.138	0.783	0.077	0.608
Functional oriented	0.163	0.823	0.014	0.140
Solution-oriented	0.140	0.848	0.047	0.518
All	0.132	0.814	0.053	0.474

To analyse the effort impacts of the patterns, we are interested in the differences between the effort and efficiency data for the patterns. To use parameterised tests to analyse these differences, we check whether the data is distributed normally. We perform the Shapiro-Wilk test and analyse whether the effort data is distributed normally at a significance level of 0.05. In the test, we exclude the functional-oriented pattern, because only two projects fell into this pattern. The test shows that the effort data is not distributed normally for the chosen significance level. This means that we cannot use a t-test to compare the differences over the patterns and we have to use a nonparametric test instead.

We use these two tests to test the null hypotheses 1–4, which state that there are no differences in the distribution. The alternative hypotheses are that there are differences. The Kruskal-Wallis test is a suitable statistical test for this task.

Table 8: Kruskal-Wallis test on differences in the distribution of the effort data for the patterns.

	p-value
REQ/TOT	0.425
CR/TOT	0.305
SWL/TOT	0.449
CR/REQ	0.449

Table 8 contains the p-values of the Kruskal-Wallis test for our data. At a significance level of 0.05, there is no support for the alternative hypotheses that there are significant differences between the effort and efficiency distribution of the patterns. All null hypotheses (1–4) are supported by the data. The results of the test suggest that the data comes from the same population. Therefore, no statistically significant difference between the effort impacts of the patterns is evident.

4.6. Evaluation of Validity

We subsequently discuss the construct validity, the internal validity and finally the external validity of the study.

Construct Validity. The major threat to the construct validity of our study is that we analyse the different RE execution strategies after the fact. We have not observed the study subjects in their actual execution, but analysed the existing artefacts and interviewed them in retrospect. Because of this, our analysis might differ from that of a direct observation. Analysing the existing artefacts in the content analysis, however, gives at least a basic level of objectiveness. Furthermore, missing information was collected directly from participating study subjects to round up the picture. In the content analysis, we also did not take into account the requirements’ attributes, because they were handled differently in the projects. We see this threat, however, as a minor one, because those attributes were mainly management attributes (e.g., the priority of a requirement or the source). None of the attributes would have affected the degree of completeness in the content items given in our reference model, such as acceptance criteria or measurements for quality requirements.

Another threat is that artefacts are not the only indicator for a specific RE execution strategy. The artefacts themselves contain no information about how they were created. To mitigate this threat, additional interviews and feedback meetings were held to add this additional information.

For the categorisation of the projects with respect to the artefact patterns, we had to abstract from many details of each project. Every project has its specifics because of, e.g., its business contexts, or the people that work in it, which all can have a substantial influence. Some details had to be left unconsidered for a more general analysis. We mitigated this threat by considering the projects' details in the interviews in which we collected project parameters.

Similarly, regarding the effort analysis, we did not differentiate whether a customer domain was new or not. Thus, a certain learning curve in new domains (in contrast to follow-up projects) might have affected the effort. We explicitly took this aspect into account, however, as part of the project parameters and, thus, as part of the the corresponding RE execution strategies. During the effort analysis, we also had to generalise some of the effort within the SWL group that, in part, would also belong to the REQ group. For instance, effort spent for travelling was exclusively allocated to the overall software life cycle. We mitigated this threat by analysing the effort equally for all analysed projects.

Internal Validity. In terms of the internal validity, it is possible that there were more artefacts developed in the projects that we did not analyse but which would have changed the classification of the project. There were, for example, specific feature lists in some projects that were not available for analysis because of confidentiality. A similar threat comes from the interviews, in which the interviewees could not give us all their information because of confidentiality. We mitigated this in the feedback meetings in which the study subjects had the chance to comment on analysis and classification.

Furthermore, it is a threat that a large share of the information is based on the interviews and information given by people that participated in the projects. There is the possibility that the information is biased. We mitigated this threat in the preliminary interviews when we emphasised that the analysis is not an assessment that results in statements about which projects are good and which are bad. This lowered the barrier to giving us complete and accurate information.

The analysis of the content items and their classification was done subjectively by us. This holds the threat that it is not repeatable. To mitigate that threat, we used REM as a reference model, classified the artefacts during the content analyses by more than one researcher, and discussed the results with study subjects.

Another threat is that the project parameters were gathered by discussing the influences according to the content items, and in addition, that the project parameters reflect circumstances subjectively perceived by the project participants. Hence, the project parameters and the influences documented in Table 5 might be incomplete and exclusively reflect individual experiences. We did not mitigate the threat completely, since we are explicitly interested in industrial best practice and individual experiences. In addition, our interpretation of these experiences as project parameters can be subjective as well. We mitigated this threat by discussing the project parameters in the last feedback meetings with the project participants.

Finally, further threats are at the stage of the effort analysis. The assignment of effort to the accounts by the project participants can be distorted in two ways. First, many projects were performed before standardised account names for the system were introduced in the company. We mitigated this threat by directly asking the study subjects for the corresponding account names and deviations from the actual naming convention. Second, change requests may not have been accounted for politically motivated reasons. Change requests that were not billed for whatever reason appear in the account system with negative effort. For instance, if a change request was documented with "10 person days", it was possible that project participants additionally accounted the same task with "-10 person days". We mitigated this threat by only analysing positive effort and disregarding negative ones.

External Validity. The results of this study can only be generalised to some extent because the major threat is that we only analysed a single company. The results may depend to a large extent on company-specific parameters such as the development project or the corporate culture. Moreover, all analysed projects

built a certain kind of business information system. Hence, it is not clear to what extent the results can be transferred to other categories of systems. These threats are mitigated by analysing projects from different industrial sectors and by including the company-specific development process model into the investigation. Furthermore, the analysed company is large enough to ensure a relatively low overlap between the analysed projects.

5. Conclusions and Future Work

In the following, we summarise our conclusions and the relation to existing evidence. After discussing the implications of our contribution, we sum up its limitations, before concluding with an outline of future work.

5.1. Summary of Conclusions

We analysed 12 industrial projects regarding their Requirements Engineering execution strategy. To this end, we investigated the existence and completeness of RE artefacts referring to a generic artefact model, as well as using interviews to gather further information. The result is an analysis of the produced artefacts, project parameters influencing the specification of these artefacts, and a categorisation of the projects into 3 main patterns. We found that half of the projects act in a problem-oriented way, a third act in a functional-oriented way and a sixth in a solution-oriented way. We evaluated each pattern to discover differences in their efficiency and discovered no statistically significant difference. One may conclude that each pattern seems to be an appropriate response to project-specific parameters with no observable disadvantage.

5.2. Relation to Existing Evidence

In contrast to earlier studies (see Section 2), we analysed projects that were successful in terms of having released and deployed software systems to the customer that are used in production. A finding was that only 50% of these successful projects acted in RE in a problem-oriented way. First, this manifests the idea that there still is a tendency to act in a solution-oriented way as it was already observed during the late 1970's [5]. Second, we also showed that many project parameters that are considered to be the main reason for project failures, arise from the customer domain and often cannot be avoided. We found, however, that these parameters can be effectively handled as reflected in specific artefact patterns.

The analysis was performed in a process-neutral manner investigating which RE artefacts had been specified and which influencing project parameters were affecting the specification of each single artefact. Hence, we get a more detailed view of the parameters that builds on existing ones. For instance, the *Chaos Report* states in [28] that 12.4% of project failures are caused by missing user involvement. Hull et al. [22] discovered further organisational problems, such as inappropriate skills of project participants. Our results relate to those facts in two ways.

First, we detailed the parameters with additional ones, like the availability of stakeholders, their technical ability, confidentiality issues or the general relationship with the customers; each having different impacts on different artefacts. Further discovered parameters that are not in the scope of current studies are, for example, the degree of user interaction, the degree of innovation (of the system) or the involvement of external suppliers. Second, we showed that parameters like these affect the creation of chosen artefacts and thereby the execution strategy, but they do not necessarily lead to a project's failure. Missing user involvement, for example, negatively affects the specification of certain content items and relates to the solution-oriented execution strategy. We achieved a more profound analysis of the produced artefacts and the underlying project parameters than provided in the study of Kamata et al. [20]. They exclusively investigated the relation of selected parts in the IEEE software requirements specification Std. 830-1998 to general project failures (with a particular focus on defects like budget and time overrun). Also, our data does not support their observation of a balance in the depth of specifications that are produced in the projects (see Table 4 on page 15).

In addition to the investigated project parameters and their impacts on the artefacts created as part of specific patterns, we found that there is no significant difference between the resulting RE execution strategies

regarding the spent effort or the efficiency in RE. In contrast to studies like the aforementioned ones, we discovered more project parameters and how these can be successfully handled, since the discovered artefact patterns arise as a direct “successful” response to these parameters with no significant losses regarding their efficiency (and, thus, project failures).

The study by Damian et al. [4] on the influences of improvements in the RE process on further development tasks also came to a different conclusion than we did. They analysed via interviews and document inspections the payoffs of a process improvement in the RE phase within one project. After improving the RE process in that particular project, they discovered that the study participants being responsible, e.g., for project management tasks, perceived fewer field defects. Although we did not explicitly take into account the direct relationship between the RE efficiency and further development tasks, and we also abstracted from variations in the RE process definitions, we still discovered no significant difference in change requests, depending on the completeness of generated RE artefacts.

Based on our data, we thus cannot uphold our initial assumption that front loading effort results in payoffs in later stages as motivated by studies like the one by Damian et al. [4]. The objectives, the study design, and the methods used in our study, however, also differ from their study. Since they analysed one project in detail gathering a broad spectrum of experiences made by the study participants, they could focus on soft facts (e.g., team communication) and reason about the different impacts of RE on further development activities. In contrast, we analysed a broader range of development projects allowing for generalisations as part of patterns. We covered the “soft facts” of the projects as part of our project parameters and our effort analysis relied not on interviews, but on detailed data comprehensibly persisted in an effort accounting system that we could objectively analyse in isolation. Therefore, while Damian et al. were able to discuss the different dependencies between improvements in the RE phase and further development activities, we could objectively show how successful RE strategies are related to the chosen artefacts, rather than to the actually performed processes and used methods.

5.3. Impact/Implications

What can be considered a successful artefact pattern in Requirements Engineering depends on the parameters that influence the project. We found in the study that in successful projects these parameters, such as the technical knowledge of stakeholders, lead to differences in artefacts and finally artefact patterns. Each resulting execution strategy arises as a direct response to a set of project parameters, whereas we showed that the strategies have no significant differences regarding the efficiency in RE.

Since we discovered a detailed set of project parameters, corresponding artefact patterns, and execution strategies that each can be taken as an appropriate specific-purpose reaction to individual project situations, we lay the foundation for the future elaboration of tailoring approaches.

In such an approach, we can take the discovered project parameters and their positive or negative relationship to single artefacts as a guideline to

1. systematically reflect chosen project characteristics and
2. appropriately react by creating the necessary artefacts and, thus, deciding on a suitable RE execution strategy

From a practitioner’s perspective, our results can be directly taken as a framework to guide in the creation of particular content items in response to project parameters which are known bear a risk of project failure. From a researcher’s perspective, we can complement available approaches in decision (support) systems for RE with the project parameters we discovered. In addition, we can complement the activity-centric area of customisation and situational method engineering – emphasising the selection of methods according to project parameters – with a notion of syntactic quality in the created results (see also Section 5.5).

5.4. Limitations

The field study has only been performed at one company. If we expand it to other companies, this could affect the results and consequently the criteria for deriving the artefact patterns. We doubt that the basic findings would change substantially, but we would be able to make more detailed statements about the artefact patterns based on elaborated trends.

In addition, all projects have been a success in the sense that they resulted in systems that are now in production on the customers' side. The different RE execution strategies are not the determinant of project success, but reflect principle ways to tackle project-specific problems.

5.5. Future Work

The importance of customisation and decision-making in Requirements Engineering has been acknowledged. There are already valuable approaches for supporting these tasks. Aurum and Wohlin [8] mapped out decision-making approaches to the RE process to understand decision-making patterns in RE activities [40]. In contrast to general activity-based customisation approaches [9, 10, 11, 2], we envision an artefact-based approach that is able to make use of the execution strategies to customise the effort according to individual project-specific parameters.

We have proposed such an approach for the application domain of business information systems [41]. In this approach, we couple project parameters, as found in this field study, to selected artefacts so as to guide the systematic reflection on project characteristics, and the decision about an appropriate RE execution, respecting the necessary and possible degree of completeness in the artefacts. In [42], we investigated the application of this approach in a case study and showed an overall improvement in the RE process with respect to the RE process previously used in the same industrial context.

While these are only first steps, they strengthen our confidence in the suitability of the identified patterns and parameters. A further necessary step, however, consists of the extension of the found project parameters with the purpose of establishing of a comprehensive project repository, facilitating the application in real-life projects. Furthermore, our work can also be the foundation for developing new software requirements (process) patterns [43]. The focus of this study was not to bring the results in a form that they can be directly used as requirements patterns. For that, we need to document them in an appropriate template and evaluate them in different contexts.

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