MANAGING SOFTWARE EVOLUTION THROUGH MIDLEWARE AND
POLICY-BASED SOFTWARE ADAPTATION FRAMEWORK

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A thesis submitted in fulfilment of the
requirements for the award of the degree of
Doctor of Philosophy (Computer Science)

Faculty of Computing
Universiti Teknologi Malaysia

JANUARY 2015
Dedicated to a great family that I have.

“I sustain myself with the love of family.”

Maya Angelou
ACKNOWLEDGEMENT

This challenging journey of completing my thesis would not become a reality without the help from numerous kind people around me. It is a great pleasure for me to thank these people. I would like to express my utmost gratitude to my main supervisor, Prof. Dr. Shamsul Shahibuddin for his trust in me and his vital support. I am forever indebted to Assoc. Prof. Dr. Wan Mohd Nasir Wan Kadir, my co-supervisor for his guidance, patience, and abundance of support throughout this research. Without his constant encouragement, the path would be extremely hard for me.

I would like to thank the management of HeiTech Padu Berhad for fully sponsoring my research. My special thanks go to En. Ahmad Abdul Ghani, CEO of HeiTech Academy for all his assistance, support and “just enough” pressure to keep me going. My sincere appreciation goes to Padusoft team, especially to the ex-Chief Operating Officer, En. Khairol Amin Mohd. Salleh for providing all supports I needed, from providing technical advice to allowing me to test the framework using the systems they developed.

A special thank and gratitude to my husband, Arham Rahimy Hariri for his understanding. My gratitude also goes to my parents, Tn. Haji. Awang and Pn. Hajah, Siti Zaharah for teaching me that “we have to always try the best in anything we do”. Last but not least, thank you to Sarah and Hannah for keeping your mother sane throughout this meaningful journey.
ABSTRACT

Software evolution is a process that is needed in order for software to remain useful. Thus, software evolution should be properly planned and controlled to prevent its negative impact from affecting any organization. Software adaptation concept is one of the promising ways to control software evolution. In this approach, software is made adaptable to minimize the impact of change. A lot of researches on software adaptation focus on adaptability of mobile based and network application due to its context sensitivity and quality-of-service requirements. However, there is still lack of work in enterprise system domain with multiple delivery channels, which focus on adaptability of its context environment such as the changes introduced to its devices. Hence, the purpose of this research is to develop a middleware and policy-based, adaptation framework to manage negative effects of software evolution in an enterprise system. The main research focus is on the changes introduced at the device layer. The concept of policy is used to specify adaptations requirements. This research provides a framework called Middleware and Policy-Based Framework to Manage Software Evolution (MiPAF), which can be used to develop adaptive software, allowing parameterized and compositional adaptation. Furthermore, the framework can be used by client-server and web-based application. A policy language called MiPAF Policy Language (MPL) is created to be used with the framework. MiPAF is formally specified using Z Notation and the policy language is described using pseudo code. A tool is provided to assist developers in creating the policy. For evaluation of the framework, a set of runtime components were developed and implemented for Unit Trust System (UTS) Front-end and web-based UTS, two industrial-based case studies. The evaluation result shows that MiPAF excellently fulfil all the evaluation criteria described in this thesis.
ABSTRAK

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<tr>
<td>ADL</td>
<td>Architecture Definition Language</td>
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<tr>
<td>AOM</td>
<td>Aspect-Oriented Modeling</td>
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<td>AOP</td>
<td>Aspect-Oriented Programming</td>
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<tr>
<td>COM</td>
<td>Component Object Model</td>
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<td>CORBA</td>
<td>Common Object Request Broker Architecture</td>
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<td>CRM</td>
<td>Customer Relationship Management</td>
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<td>DCOM</td>
<td>Dynamic Component Object Model</td>
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<td>EJB</td>
<td>Enterprise Java Bean</td>
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<td>ERP</td>
<td>Enterprises Resource Planning</td>
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<td>EBNF</td>
<td>Extended Backus-Naur Notation</td>
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<td>HTTP</td>
<td>Hyper-Text Transfer Protocol</td>
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<td>IBM</td>
<td>International Business Machine</td>
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<td>IPC</td>
<td>Inter-Process Communication</td>
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<td>JADE</td>
<td>Java Agent Development Framework</td>
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<td>MOP</td>
<td>Meta-Object Protocol</td>
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<td>MAPE</td>
<td>Monitor, Analyze, Plan, Execute</td>
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<td>MPL</td>
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<td>OCL</td>
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<td>Object Management Group</td>
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CHAPTER 1

INTRODUCTION

This chapter consists of the introduction to this research. A brief introduction on software evolution is presented. Subsequently, background of the problem is described. Next, problem statements, objective; scope and significance of the research are discussed.

1.1 Introduction

The issue of software evolution has its root back in the 1970s based on the work done by Lehman and Belady [1]. In essence, software evolution refers to required changes in software due to changes in operating environment and/or user requirements. With the advancement of technology and dynamic business environment, changes mentioned above become more complex and difficult to manage.

Software evolution phenomenon has the potential to present huge problems to software projects as it affects all phases of software process. For long term survival, software evolution is inevitable [2]. Due to this, effective approach to software evolution has fired much interest in research community as organizations have a growing dependency on software [3].

Ideally, software should be developed with a capability to adapt itself to the changing requirements and environment. Software with this kind of capability is called
**adaptive software.** Changes in user requirements, the need for faster delivery of software, addition of features or bugs removal, are some of the factors driving the needs for software adaptation [4]. These needs are further emphasized currently due to the heterogeneity and complexity of computing environment; such as pervasive environment, varieties in software delivery channels and different type of networks and operating platforms.

Managing software evolution via software adaptation has been the subject of many researches such as in [4-9]. Software evolution and software adaptation are connected processes. Inter-connectedness between evolution management and adaptation management is described extensively in [10].

### 1.2 Background of the Problem

The role of software in an enterprise system is very important in providing operational supports in day-to-day operations. Enterprise system is referred to as intricate systems that communicate with and affect each other [11]. Example of enterprise systems are banking and financial system and postal system where various systems communicate with each other to deliver services to customers. A high level view of typical enterprise system architecture is depicted by the following Figure 1.1.
In a typical environment of an enterprise system, 3 main levels exist, Device layer, Delivery Channels layer, and Back-end Systems layer. This architecture is observed to exist in large organizations in Malaysia such as financial institutions and public services. The observation is backed-up by a guided interview conducted with IT personnel of specific organizations and IT personnel from System Integrator (SI) Company. Please refer to Appendix A for the questionnaire used for the guided interview and analysis of the result. The description of each layer is as follows:-

- **Device Layer**

  Enterprise applications, especially counter-based systems use variety of devices such as printer, biometric reader, scanner and barcode reader. These devices are logically group in Device Layer and are used by application systems at Delivery Channels.

- **Delivery Channels Layer**

  The Delivery Channels level is where interaction with end users occurs. In the above diagram, different types of delivery channels exist, namely desktop-based
applications that adopt client/server architecture, web-based application (thin client), mobile application and application deployed on kiosks.

- **Back-end Systems Layer**

  The Back-end System level consists of various enterprise systems that need to interact with the delivery channels. The systems may include core systems of the organization such as Banking System, Enterprise Resource Planning (ERP) system, and Customer Relationship Management (CRM) system.

1.2.1 **Issues related to software evolution**

  Enterprise systems will evolve [12-14] due to changes in user requirements or operating environment. Unplanned evolution of an enterprise system will incur high cost and risk [15]. In some organizations, the Delivery Channel Layer of an enterprise system evolves over time, but some of the devices evolve at a slower rate. For instance, although the application system at the Delivery Channel Layer is changed, the related devices are not. However, the new application system is expected to work with these legacy devices. Problems arise when the new system fail to support legacy devices due to lack of supported interfaces provided by the Application Programming Interface (API) of the devices.

  Another possible problem that is foreseeable is when the Device Layer evolves. The evolution will happen when a new device is added to the Device Layer. Addition of a new device can happen in two scenarios. The first scenario is the replacement of existing devices with new devices from different vendors. Devices from different vendors come with different set of API. Therefore, applications at the Delivery Channel layer must adapt accordingly in order to use the devices.

  The second scenario is the addition of new devices to support new user requirements. As the variety of devices increase, the device interfaces and protocols grows. Thus, the task of integrating these devices into the enterprise system becomes
difficult and costly [16]. When any of these scenarios happen, application systems that use the device must adapt to this changes with minimal impact to its operation at lowest cost and minimum risk.

Changes in user requirements such as the need to reduce cost by sharing devices, can also lead to system evolution [13]. Less problems will be faced if the device sharing is supported by the operating system. However, for some proprietary devices, the sharing mechanism is not supported by the operating system. Examples of such devices are IBM4722 and IBM9068 passbook printers. Application systems that were designed to use device exclusively must be changed in order to adapt to this type of requirement. The problem becomes more profound if the same device needs to be shared by different applications. Worst, if the need to share the device only arises after these systems have been implemented. Changes introduced to any system at a later lifecycle are costly [17].

Application systems evolve due to technology advancement and changes in business requirements [12, 14]. As a result of the evolution, different type of client architecture existed such as thick-client, thin-client and smart-client. These client architectures require different ways of device integration. Problems will be further exacerbated when applications adopting different type of client-architecture need to share the same devices.

As the ecosystem of an enterprise system evolves over the time, the back-end systems become heterogeneous in terms of operating platforms. These back-end systems may interact with other systems using different communication protocols such as SNA protocols, TCP/IP or SOAP. However, the evolution problems at the back-end system level are not within the scope of this research.

### 1.2.2 The needs for adaptive software

From the background of the problem, it is shown that there is a need for software that is adaptive in an enterprise domain. The adaptive software should
support both upward scalability and downward scalability. This is due to different requirements of the application systems at delivery channels level.

The adaptive software is required due to heterogeneity of devices used by enterprise systems. The software need to adapt with the changes of devices, able to detect when a device fails and perform necessary reconfiguration. Furthermore, the adaptability of software in enterprise system must not be restricted in terms of its client architecture.

In an environment where the enterprise systems provide services to the public, performance of the system is critical. Device failure can affect performance of service delivery and in the end, may affect customer satisfaction. The enterprise system should be able to detect failed devices and adapt necessarily such as enabling users to use other devices in the network without halting the operations. The adaptive enterprise system must have an acceptable performance, based on user requirement. Apart from that, an adaptive enterprise system should not be too cumbersome to develop.

1.2.3 Software Evolution and Software Maintenance

The term software evolution and software maintenance are used interchangeably in a number of publications. Both terms revolve around changes subjected to software. However, according to Priyadarshiv and Kshivasagar [18], there are differences between software evolution and software maintenance. They argued that software maintenance comprises bug fixing activities to rectify defects in order to ensure the software meet its development purpose. The bug fixing activities happen after implementation phase and the functionalities of the software remain unchanged.

Software evolution refers to continuous changes subjected to software, which resulted in changes of one software state to a more complex and better state. Software evolution includes creation of new design which is originated from existing design, development of new functionalities or improvement of software performance.
In this research, we treat software maintenance as a subset of software evolution.

1.3 Statement of the Problem

The aim of this research is to provide an adaptation framework to manage software evolution based on compositional and parameterized adaptation approach in the domain of enterprise system. The framework will increase the adaptability of an enterprise system in the changing operating environment and user requirements. The problem statement brings about the main research problem that is:-

“How to manage software evolution by creating an adaptation framework using appropriate technique in compositional and parameterized adaptation approach?”

To answer the main research problem, a set of related questions must be addressed. The questions are as follows:-

1. What are compositional approach and parameterized approach and why these two approaches are selected?

   a. What are the state-of-the art for both approach?

   b. What are usage suitability of both approach – when, where to use?

   c. What are advantages and disadvantages of both approaches?

2. What are the main adaptability criteria for the framework to ensure it is beneficial for enterprise environment?
a. What are the main problems need to be addressed in an enterprise systems related to changes in operating environment and user requirements?

3. What are opportunities for improvement in both approaches that can be translated into the framework to manage software evolution?

4. How to make the framework easy to be used by software developers?

5. How to validate the framework to ensure its success in meeting the defined adaptability criteria?

1.4 Objectives of the Study

This research has the following objectives:-

- To investigate major techniques with respect to adaptation approaches in order to manage software evolution

- To develop a new adaptation framework in managing software evolution using compositional and parameterized adaptation approach.

- To demonstrate the applicability of the proposed approach using an industrial-based case study and the development of its supported tool.

1.5 Scope of the Study

In order to produce a new approach in managing software evolution via adaptation approach, this research is focused on the following scope:-
• Software evolution

The focus of this research is to manage software evolution. The term *evolution* in software context refers to changes that happen to software during its lifetime [19]. This research will adopt the above definition of software evolution. To prevent a system from becoming unreliable, software evolution must be managed in software development process [15]. More explanation on software evolution can be found in Section 2.1.

• Software adaptation

Software adaptation is a popular research area of late. There are many existing approaches to software adaptation. Researchers are looking at software adaptation from many angles such as from software architecture point of view [20, 21], component-based software development [22] and agent-oriented software engineering [23, 24].

• Two promising approaches to software adaptation are middleware and policy based approach. Middleware is said to be an important building block that impede software development [25]. Adaptive middleware on-the-other hand, allows modification to application systems when there are changes in user or operating environment [26]. Middleware can be designed to allow for separation between adaptive behavior and non-adaptive behavior in an enterprise system. This research has the interest to adopt middleware approach in developing the proposed framework. Sub-section 2.5.4 present a discussion on the topic of middleware

Policy based approach involved the use of policy to specify the adaptation logic. Using this approach, a clear separation can be made between the business logic and adaptation specification. This separation
is important since it promotes low coupling between the two, hence changes in can be implemented in a controlled manner.

- Case Study

Lehman in his work in Laws of Software Evolution coined the term E-type software [27]. E-type software can be defined as software that addresses real world problem. Therefore, the enterprise system described in the problem background is an instance of E-type software and thus, the system is subjected to software evolution.

Based on the researcher experience in developing and integrating enterprise systems, the proposed approach will be demonstrated using an industrial-based, E-type, case studies that is a Unit Trust System that has been implemented throughout Malaysia. The reason for selecting this system is that its Device Layer is always subjected to changes and there exist two type of front-end architecture or the system i.e. client-server based and web based.

1.6 Significance of the Study

Software evolution is an important issue that needs to be addressed to ensure longer life-time of implemented software thus “avoiding an early death” [12]. There is no way to prevent change in software since it has to react to the changing environment to ensure the software meets its purpose. Changes subjected to software during its post-deployment phase are not only costly but also risky. Thus, managing software evolution is one of major aspects in software development process since huge amount of project cost and effort are consumed in maintenance of existing system instead of creating a brand new system. One way to manage software evolution is via software adaptation approach.
There are other efforts towards software adaptation ranging from research specific for mobile devices [28, 29], multimedia systems [30], and network adaptability [29] to generic domain [31, 32]. However, there is lack of specific research that focuses on adaptability of an enterprise system. As technology evolves, more delivery channels and more new devices are introduced in an enterprise system. Enterprise systems must adapt to this changes to deliver required services. As the enterprise grows, more systems are added to the whole ecosystem. Existing application systems need to communicate with the new added systems at the lowest cost and lowest risk.

This study will contribute in providing an adaptation framework to overcome the above challenges faced by enterprise systems by enabling the systems to be more adaptive to the changing environments. The framework, Middleware and Policy-based Framework to Manage Software Evolution (MiPAF) is developed to enable software evolution to be planned and managed so that, the life of enterprise software can be increased and the maintenance cost can be reduced.

1.7 Thesis Organization

This thesis has the aim to develop an adaptation framework to manage software evolution. The chapters are organized as follows:-

Chapter 1: This chapter describes the background of the problem. Issues related to software evolution and the needs for software adaptation are also discussed. Problem statement, objective of the study and significance of the study are described.

Chapter 2: This chapter provides literature review on software evolution and software adaptation. It starts with the definition of software evolution and continues with discussion on existing approaches in minimizing the impact of software evolution where software adaptation is one of the approaches. Next, justification on the selection of software adaptation is presented. Software adaptation is further described and adaptation management is also discussed. Four software adaptation approaches are discussed in detail and criteria used to evaluate them are introduced.
Chapter 3: This chapter further describes the evaluation criteria introduced in Chapter 2. Comparative evaluation of the four approaches are presented based on the chosen criteria. Critical discussion is included in this chapter in order to evaluate which approach is best suited to be used in the development of MiPAF. Result of the evaluation is presented at the end of this chapter.

Chapter 4: This chapter describes research procedure, operational framework and instrumentation used to deliver the thesis objectives. Research assumptions and limitations and methods for evaluation are also described. This chapter also details up the case study to be used and approach for MiPAF evaluation using the said case study.

Chapter 5: This chapter starts with the rationale behind MiPAF and it proceeds with the overview of MiPAF. Key approaches used in MiPAF development is described. Next, MiPAF building block and collation diagram are discussed. The chapter also describes MiPAF Policy Language.

Chapter 6: This chapter describes in detail about MiPAF. Each component is presented formally using Z Notation. Next, the sub-sections in this chapter describe processes used to govern the application of MiPAF in order to manage software evolution. This chapter also includes description of MiPAF Policy Language (MPL) and ontology of MPL is also presented.

Chapter 7: This chapter discusses on the implementation of MiPAF using industrial-based case study. It focuses on adaptation requirements of the case studies, the design of adaptation policy and implementation of MiPAF runtime in order to test the adaptation behaviour of the case study. Towards the end of the chapter, case study result is analysed based on the evaluation criteria mentioned in Chapter 2.

Chapter 8: This chapter concludes the research. It provides research summary and contribution of the research. This chapter ends with suggestion for future works.
REFERENCES


