



Software Engineering

Sixth Edition

Ian Sommerville

江苏工业学院图书馆 藏 书 章



Pearson Education Limited

Edinburgh Gate Harlow Essex CM20 2JE England

and Associated Companies around the world

Visit us on the World Wide Web at: www.pearsoneduc.com

First published 1982 Second Edition 1984 Third Edition 1989 Fourth Edition 1992 Fifth Edition 1995 Sixth Edition 2001

- © Addison-Wesley Publishers Limited 1982, 1984
- © Pearson Education Limited 1989, 2001

The right of Ian Sommerville to be identified as author of this Work has been asserted by him in accordance with the Copyright, Designs and Patents Act 1988.

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without either the prior written permission of the publisher or a licence permitting restricted copying in the United Kingdom issued by the Copyright Licensing Agency Ltd, 90 Tottenham Court Road, London W1P OLP.

The programs in this book have been included for their instructional value. The publisher does not offer an marranties or representations in respect of their fitness for a particular purpose, nor does the publisher accept any liability for any loss or damage (other than for personal injury or death) arising from their use.

Many of the designations used by manufacturers and sellers to distinguish their products are claimed as trademarks. Pearson Education Limited has made every attempt to supply trademark information about manufacturers and their products mentioned in this book. A list of trademark designations and their owners appears on page xx.

ISBN 0 201 39815 X

British Library Cataloguing-in-Publication Data

A catalogue record for this book can be obtained from the British Library

Library of Congress Cataloging-in-Publication Data

Sommerville, Ian, 1951–

Software engineering / Ian Sommerville. — 6th ed.
p. cm. — (International computer science series)
Includes bibliographical references and index.
ISBN 0-201-39815-X
1. Software engineering. I. Title. II. Series,
QA76.758. S.657 2000

00-033197

10 9 8 7 6 5 4 3 2 05 04 03 02 01

005.1-dc21

Typeset by 35 in 10/12.5pt Times
Printed and bound in the United States of America



Software systems are now ubiquitous. Virtually all electrical equipment now includes some kind of software; software is used to help run manufacturing industry, schools and universities, health care, finance and government; many people use software of different kinds for entertainment and education. The specification, development, management and evolution of these software systems make up the discipline of *software engineering*.

Even simple software systems have a high inherent complexity, so engineering principles have to be used in their development. Software engineering is therefore an engineering discipline where software engineers use methods and theory from computer science and apply this cost-effectively to solve difficult problems. These difficult problems have meant that many software development projects have not been successful. However, most modern software provides good service to its users; we should not let high-profile failures obscure the real successes of software engineers over the past 30 years.

Software engineering was developed in response to the problems of building large, custom software systems for defence, government and industrial applications. We now develop a much wider range of software, from games on specialised consoles through personal PC products and web-based systems to very large-scale distributed systems. Although some techniques that are appropriate for custom systems, such as object-oriented development, are universal, new software engineering techniques are evolving for different types of software. It is not possible to cover everything in one book, so I have concentrated on universal techniques and techniques for developing large-scale systems rather than individual software products.

Although the book is intended as a general introduction to software engineering, it is oriented towards my own interests in system requirements engineering and

critical systems. I think these are particularly important for software engineering in the 21st century where the challenge we face is to ensure that our software meets the real needs of its users without causing damage to them or to the environment.

The approach that I take in this book is to present a broad perspective on soft-ware engineering and I don't concentrate on any specific methods or tools. I dislike zealots of any kind whether they are academics preaching the benefits of formal methods or salesmen trying to convince me that some tool or method is the answer to software development problems. There are no simple solutions to the problems of software engineering and we need a wide spectrum of tools and techniques to solve software engineering problems.

Books inevitably reflect the opinions and prejudices of their authors. Some readers will inevitably disagree with my opinions and with my choice of material. Such disagreement is a healthy reflection of the diversity of the discipline and is essential for its evolution. Nevertheless, I hope that all software engineers and software engineering students can find something of interest here.

Changes from the fifth edition

Like many software systems, this book has grown and changed since its first edition was published in 1982. One of my goals in preparing this edition was to reduce rather than increase the size of the book and this has entailed some reorganisation and difficult decisions on what to cut out while still including important new material. The end result is a book that is about 10% shorter than the fifth edition.

- The book has been restructured into seven rather than eight parts covering an
 introduction to software engineering, specification, design, critical systems development, verification and validation, management, and software evolution.
- There are new chapters covering software processes, distributed systems architectures, dependability and legacy systems. The section on formal specification has been cut to a single chapter and material on CASE has been reduced and distributed to different chapters. Coverage of functional design is now included in the new chapter on legacy systems. Chapters on verification and validation have been amalgamated.
- All chapters have been updated and several chapters have been extensively rewritten. Reuse now focuses on development with reuse, with material on patterns and component-based development; object-oriented design has more of a process focus; the chapters on requirements have been separated into chapters on the requirements themselves and chapters on the requirements engineering process; cost estimation has been updated to COCOMO 2.
- The introductory part now includes four chapters. I have taken introductory
 material that was distributed throughout the book in the fifth edition and covered

it all in this part. Chapter 1 has been completely rewritten as a set of frequently asked questions about software engineering.

- The material on critical systems has been restructured and integrated so that reliability, safety and availability are not covered as separate topics. I have introduced some material on security as an attribute of a critical system.
- Program examples are now in Java and object models are described in the UML.
 Ada and C++ examples have been removed from the text but are available from my web site.

The further reading associated with each chapter has been updated from previous editions. However, in many cases, articles written in the 1980s are still the best introduction to some topics.

Readership

The book is aimed at students taking undergraduate and graduate courses and at software engineers in commerce and industry. It may be used in general software engineering courses or in courses such as advanced programming, software specification, software design or management. Practitioners may find the book useful as general reading and as a means of updating their knowledge on particular topics such as requirements engineering, architectural design, dependable systems development and process improvement. Wherever practicable, the examples in the text have been given a practical bias to reflect the type of applications which software engineers must develop.

I assume that readers have a basic familiarity with programming and modern computer systems and knowledge of basic data structures such as stacks, lists and queues.

Using the book as a course text

There are three main types of software engineering courses where this book can be used:

1. General introductory courses in software engineering For students who have no previous software engineering experience, you can start with the introductory section, then pick and choose the chapters from the different sections of the book. This will give students a general overview of the subject with the opportunity of more detailed study for those students who are interested.

- 2. Introductory or intermediate courses on specific software engineering topics. The book supports courses in software requirements specification, software design, software engineering management, dependable systems development and software evolution. Each of the parts in the book can serve as a text in its own right for an introductory or intermediate course on that topic. Some additional reading is suggested for these courses.
- 3. More advanced courses in specific software engineering topics In this case, the chapters in the book form a foundation for the course which must be supplemented with further reading which explores the topic in more detail. All chapters include my suggestions for further reading and additional reading is suggested on my web site.

The benefit of a general text like this is that it can be used in several different related courses. At Lancaster, we use the text in an introductory software engineering course, in courses on specification, design and critical systems and in a software management course where it is supplemented with further reading. With a single text, students are presented with a consistent view of the subject. They also like the extensive coverage because they don't have to buy several different books.

This book covers all suggested material in the SE Software Engineering component of the draft computer science body of knowledge proposed by the ACM/IEEE in the Computing Curricula 2001 document. The book is also consistent with the forthcoming IEEE/ACM 'Software Engineering Body of Knowledge' document which is due for publication sometime in 2000 or 2001.

Web site

My web site is http://www.software-engin.com and this includes links to material to support the use of this book in teaching and personal study. The following downloadable supplements are available:

- An instructor's guide including hints on teaching using the book, class and term
 project suggestions, case studies and examples and some solutions to the exercises. This is available in Adobe PDF format.
- A set of overhead projector transparencies for each chapter. These are available
 in Adobe PDF and in Microsoft PowerPoint format. Instructors may adapt and
 modify the presentations as they wish.
- Source code in Java for most of the individual program examples, including supplementary code required for compilation.

Additional material based on chapters from previous editions on algebraic specification, Z and function-oriented design. Ada and C++ examples as used in the fifth edition are also available.

This page also includes links to copies of slides and papers on systems engineering, links to other software engineering sites, information on other books and suggestions for additional further reading.

I am always pleased to receive feedback on my books and you can contact me by e-mail at ian@software-engin.com. However, I regret that I don't have time to give advice to individual students on their homework.

Acknowledgements

A large number of people have contributed over the years to the evolution of this book and I'd first like to thank everyone who has commented on previous editions and made suggestions for change. I am grateful to the reviewers of initial drafts of this text for their helpful comments and suggestions which helped me a great deal when completing the final version.

The reviewers of the first draft were Andy Gillies and Lindsey Gillies of the University of the West of England, Joe Lambert of Penn. State University, Frank Maddix of the University of the West of England, Nancy Mead of the Software Engineering Institute, Pittsburgh, Chris Price of the University of Wales, Aberystwyth, Gregg Rothermel of Oregon State University and Guus Schreiber of the University of Amsterdam. I'd particularly like to thank my friends Ron Morrison of St Andrews University and Ray Welland of Glasgow University who have reviewed previous editions and again volunteered to review this text.

Finally, my family has put up with my absence for more evenings than I like to think while I finished this book. Thanks to my wife Anne and my daughters Ali and Jane for their coffee and tolerance.

Ian Sommerville Lancaster, February 2000

Contents at a glance

	Preface	
Part 1	Overview	
	Chapter 1 Introduction Chapter 2 Computer-based system engineering Chapter 3 Software processes Chapter 4 Project management	2: 4 7
Part 2	Requirements	9.
	Chapter 5 Software requirements	9
	Chapter 6 Requirements engineering processes	12
	Chapter 7 System models	14
	Chapter 8 Software prototyping Chapter 9 Formal specification	17 19:
Part 3	Design	21:
	Chapter 10 Architectural design	21:
	Chapter 11 Distributed systems architectures	239
	Chapter 12 Object-oriented design	260
	Chapter 13 Real-time software design	28!
	Chapter 14 Design with reuse Chapter 15 User interface design	300 32
Part 4	Critical Systems	35
	Chapter 16 Dependability	35:
	Chapter 17 Critical systems specification	37
	Chapter 18 Critical systems development	392
Part 5	Verification and Validation	417
	Chapter 19 Verification and validation	419
	Chapter 20 Software testing	440
_	Chapter 21 Critical systems validation	467
Part 6	Management	487
	Chapter 22 Managing people	489
	Chapter 23 Software cost estimation Chapter 24 Quality management	51° 53'
	Chapter 25 Process improvement	557
Part 7	Evolution	579
	Chapter 26 Legacy systems	58
	Chapter 27 Software change	60
	Chapter 28 Software re-engineering	622
	Chapter 29 Configuration management	641
	References Index	663
	muex	679



	Preface	v
Part 1	Overview	. 1
Chapter 1	Introduction	3
	1.1 FAQs about software engineering	5
	1.2 Professional and ethical responsibility	14
	Key points Further reading Exercises	17 18 18
Chapter 2	Computer-based system engineering	20
	2.1 Emergent system properties	22
	2.2 Systems and their environment	24
	2.3 System modelling	26
	2.4 The system engineering process	29
	2.5 System procurement	37

	Key points Further reading	39 40
	Exercises	40
Chapter 3	Software processes	42
	3.1 Software process models	44
	3.2 Process iteration	51
	3.3 Software specification	55
	3.4 Software design and implementation	56
	3.5 Software validation	60
	3.6 Software evolution	63
	3.7 Automated process support	63
	Key points Further reading Exercises	68 68 69
		¥
Chapter 4	Project management	71
	4.1 Management activities	73
	4.2 Project planning	75
	4.3 Project scheduling	78
	4.4 Risk management	84
	Key points	90
	Further reading Exercises	91 92
Part 2	Requirements	95
Chapter 5	Software requirements	97
	5.1 Functional and non-functional requirements	100
	5.2 User requirements	106
	5.3 System requirements	109

		Contents	xiii
	5.4 The software requirements document		115
	Key points		119
	Further reading		119
	Exercises		120
Chapter 6	Requirements engineering processes	1	21
	6.1 Feasibility studies		123
	6.2 Requirements elicitation and analysis		124
	6.3 Requirements validation		137
	6.4 Requirements management		139
	Key points		145
	Further reading Exercises		145 146
Chapter 7	System models	1	48
	7.1 Context models		150
	7.2 Behavioural models		153
	7.3 Data models		158
	7.4 Object models		160
	7.5 CASE workbenches		166
	Key points Further reading		168
	Exercises		169 169
Chapter 8	Software prototyping	1	71
	8.1 Prototyping in the software process		174
	8.2 Rapid prototyping techniques		180
	8.3 User interface prototyping		188
	Key points Further reading Exercises		189 190

Chapter 9	Formal specification	192
	9.1 Formal specification in the software process	194
	9.2 Interface specification	197
	9.3 Behavioural specification	204
	Key points	209
	Further reading Exercises	210 210
Part 3	Design	213
Chapter 10	Architectural design	215
·	10.1 System structuring	219
	10.2 Control models	224
	10.3 Modular decomposition	229
	10.4 Domain-specific architectures	233
	Key points	236
	Further reading	237
	Exercises	237
Chapter 11	Distributed systems architectures	239
	11.1 Multiprocessor architectures	243
	11.2 Client–server architectures	244
	11.3 Distributed object architectures	249
	11.4 CORBA	252
	Key points	257
	Further reading Exercises	258 258
Chapter 12	Object-oriented design	260
	12.1 Objects and object classes	262
	12.2 An object-oriented design process	267

		Contents xv
	12.3 Design evolution	280
	Key points	282
	Further reading Exercises	282 283
	Exercises	203
Chapter 13	Real-time software design	285
	13.1 System design	287
	13.2 Real-time executives	291
	13.3 Monitoring and control systems	295
	13.4 Data acquisition systems	300
	Key points	303
	Further reading Exercises	303 304
Chapter 14	Design with reuse	306
	14.1 Component-based development	310
	14.2 Application families	318
	14.3 Design patterns	322
	Key points	325
	Further reading Exercises	325 326
Chapter 15	User interface design	327
	15.1 User interface design principles	330
	15.2 User interaction	332
	15.3 Information presentation	334
	15.4 User support	340
	15.5 Interface evaluation	345
	Key points	347
	Further reading Exercises	348 348
		5.0

Part 4	Critical Systems	351
Chapter 16	Dependability	353
	16.1 Critical systems	356
	16.2 Availability and reliability	359
	16.3 Safety	364
	16.4 Security	367
	Key points	369
	Further reading Exercises	369 370
Chapter 17	Critical systems specification	371
	17.1 Software reliability specification	373
	17.2 Safety specification	379
	17.3 Security specification	387
	Key points	389 389
	Further reading Exercises	390
Chapter 18	Critical systems development	392
	18.1 Fault minimisation	393
	18.2 Fault tolerance	400
	18.3 Fault-tolerant architectures	410
	18.4 Safe system design	413
	Key points	414
	Further reading Exercises	415 415
Part 5	Verification and Validation	417
Chapter 19	Verification and validation	419
	19.1 Verification and validation planning	423
	19.2 Software inspections	425

		Contents	xvi
	19.3 Automated static analysis		431
	19.4 Cleanroom software development		434
	Key points Further reading Exercises		437 438 438
Chapter 20	Software testing		440
	20.1 Defect testing		442
	20.2 Integration testing		452
	20.3 Object-oriented testing		458
	20.4 Testing workbenches		462
	Key points Further reading Exercises		464 465 466
Chapter 21	Critical systems validation	,	467
	21.1 Formal methods and critical systems		469
	21.2 Reliability validation		470
	21.3 Safety assurance		476
	21.4 Security assessment		483
	Key points Further reading Exercises		484 484 485
Part 6	Management		487
Chapter 22	Managing people		489
	22.1 Limits to thinking		490
	22.2 Group working		497
	22.3 Choosing and keeping people		503

	22.4 The People Capability Maturity Model	506
	Key points Further reading Exercises	508 509 509
Chapter 23	Software cost estimation	511
	23.1 Productivity	513
	23.2 Estimation techniques	518
	23.3 Algorithmic cost modelling	520
	23.4 Project duration and staffing	531
	Key points Further reading Exercises	533 533 534
Chapter 24	Quality management	535
	24.1 Quality assurance and standards	539
	24.2 Quality planning	544
	24.3 Quality control	546
	24.4 Software measurement and metrics	547
	Key points Further reading Exercises	555 555 556
Chapter 25	Process improvement	557
	25.1 Process and product quality	560
	25.2 Process analysis and modelling	562
	25.3 Process measurement	566
	25.4 The SEI Process Capability Maturity Model	568
	25.5 Process classification	573
	Key points Further reading Exercises	576 576 577