

# Requirements Engineering I

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# Part I: Fundamentals

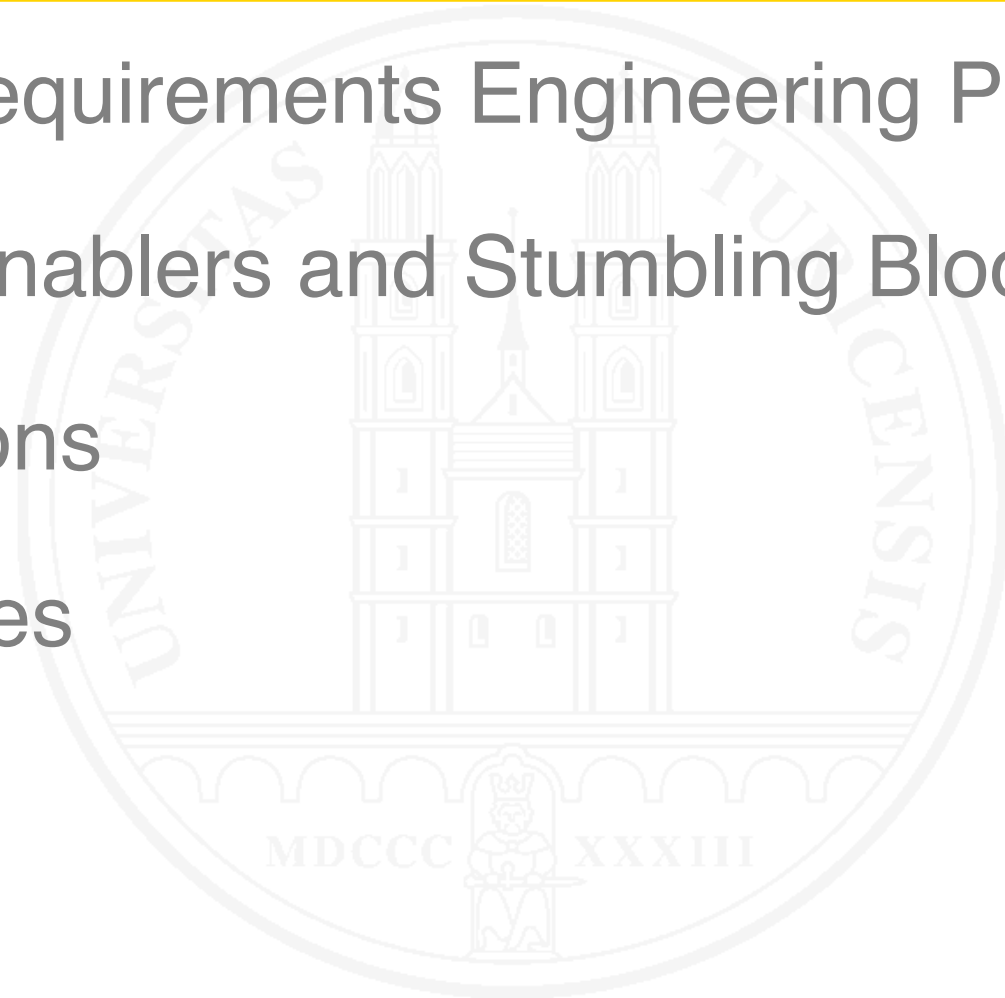
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Part II: Requirements Engineering Practices

Part III: Enablers and Stumbling Blocks

Conclusions

References



# 1 Introduction

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A communication problem



**Need**

What the customer wanted



**Analysis**

What the analyst understood



**Design**

What the architect designed



**Deployed System**

What the programmers implemented

# We need to know the requirements.

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DEFINITION. **Requirement** –

1. A need perceived by a stakeholder.
2. A capability or property that a system shall have.
3. A documented representation of a need, capability or property.

DEFINITION. **Requirements Specification** – A systematically represented collection of requirements, typically for a system or component, that satisfies given criteria.

[Glinz 2017]

# Requirements specification: terminology

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In some situations we distinguish between a **customer (or stakeholder) requirements specification** (typically written by the customer) and a **system requirements specification** or **software requirements specification** (written by the supplier).

## German terminology:

- Customer/stakeholder requirements specification: **Lastenheft**
- System/software requirements specification: **Pflichtenheft**

Requirements specification may also denote the **activity** of specifying requirements.

# Beyond requirements specifications

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Agile projects frequently do not produce a comprehensive requirements specification

Instead, they express requirements in

- user stories, issues, storyboards, etc.
- acceptance criteria associated with user stories
- a vision document
- implicit shared understanding among the people involved

# Terminology: What is a system?

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DEFINITION. **System** – 1. A principle for ordering and structuring. 2. A coherent, delimitable set of components that – by coordinated action – provides services.

- A system may **comprise other systems**
- A system may provide its services by
  - **deploying** it at the place(s) where it is used
  - **selling/providing** it as a **product** to its users
  - having **providers** who **offer** the system's **services** to users
- Requirements Engineering is primarily concerned with systems in which **software** plays a major role

# A sample problem

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A ski resort operates several chairlifts. Skiers buy RFID-equipped day access cards. Access to the lifts is controlled by RFID-enabled turnstiles. Whenever a turnstile senses a valid access card, it unlocks the turnstile for one turn, so that the skier can pass.

## The task

Build a software-controlled system for managing the access of skiers to the chairlifts.





# When building such a system...

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- How do we determine the requirements?
- How can we analyze and document these requirements?
- How do we make sure that we've got the right requirements?
- How do we manage and evolve the requirements?

# Requirements Engineering – the classic notion

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DEFINITION. **Requirements Engineering (RE) [Classic]** – The application of a systematic, disciplined, quantifiable approach to the specification and management of requirements; that is the application of engineering to requirements.

[Adapted from the definition of Software Engineering in IEEE 610.12-1990]

Metaphor: upfront engineering

Goal: complete, unambiguous requirements prior to design

Smells: paper, process

Reality check: Does this always work?

# Wait a minute – it's about customers' needs

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DEFINITION. **Requirements Engineering [Customer-oriented]** – Understanding and documenting the customers' desires and needs.

[Glinz 2005a, Chapter 7, inspired by Gause and Weinberg (1989)]

Metaphor: Customer satisfaction

Goal: Understand the customer

Reality check:

- (1) Why not just code what the customer desires and needs?
- (2) Who is “the customer”?

# Where's the value?

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DEFINITION. **Requirements Engineering [Risk-oriented]** –  
Specifying and managing requirements to **minimize the risk** of  
delivering a system that does not meet the stakeholders'  
desires and needs.

[Glinz (2017) based on my  
work on requirements risk]

Metaphor: Balancing effort and value

Goal: Mitigate risk



# Risk-based RE

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“We have no time for a complete specification.”

“This is too expensive!”

“We’re agile, so rough stories suffice.”

⇒ **Wrong approach**

**Right question:** “How much RE do we need such that the risk of deploying the wrong system becomes acceptable?”

Rule:

The *effort* spent for Requirements Engineering shall be *inversely proportional* to the *risk* that one is willing to take.

# A synoptic definition of RE

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[Glinz (2017); for the definition of ‘stakeholder’ see Chapter 2]

DEFINITION. **Requirements Engineering** – A systematic and disciplined approach to the specification and management of requirements with the following goals:

- (1) Knowing the relevant requirements, achieving a consensus among the stakeholders about these requirements, documenting them according to given standards, and managing them systematically,
- (2) Understanding and documenting the stakeholders’ desires and needs,
- (3) Specifying and managing requirements to minimize the risk of delivering a system that does not meet the stakeholders’ desires and needs.

# A note on terminology

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- Lots of sources for today's terminology
  - Textbooks and articles about RE
  - IEEE 610.12 (1990) – a slightly aged glossary of software engineering terminology
  - IEEE 830-1998 – an outdated, but still cited RE standard
  - ISO/IEC/IEEE 29148 (2018) – a new, but still rather unknown RE standard; provides definitions of selected terms, some of them being rather uncommon
  - ISO/IEC/IEEE ISO/IEC/IEEE 24765 (2017) – compiles definitions from various other standards
  - IREB Glossary [Glinz 2017] – influential through IREB's certification activities; used as a terminology basis in this course

# Why specify requirements?

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## ○ Lower cost

- Reduce error cost
- Reduce rework cost

Supplier makes profit

## ○ Manage risk

- Meet stakeholders' desires and needs
- Reliable estimates for deadlines and cost

Customer is satisfied

☞ The economic **effects** of Requirements Engineering are (almost ever) **indirect ones**; **RE as such just costs!**



# 2 Principles of Requirements Engineering

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## Nine basic principles

- 1 **Value-orientation**: Requirements are a means to an end, not an end in itself
- 2 **Stakeholders**: RE is about satisfying the stakeholders' desires and needs
- 3 **Shared understanding**: Successful systems development is impossible without a common basis
- 4 **Context**: Systems cannot be understood in isolation
- 5 **Problem – Requirement – Solution**: An inevitably intertwined triple
- 6 **Validation**: Non-validated requirements are useless
- 7 **Evolution**: Changing requirements are no accident, but the normal case
- 8 **Innovation**: More of the same is not enough
- 9 **Systematic and disciplined work**: We can't do without in RE

## 2.1 Value-orientation

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Traditional Requirements Engineering: **always write a complete specification**

However...

- Customers typically pay for systems, not for requirements
- Many successful projects don't have a complete specification
- Good Requirements Engineering must create **value**
- Value comes **indirectly**

# Requirements are a means, not an end

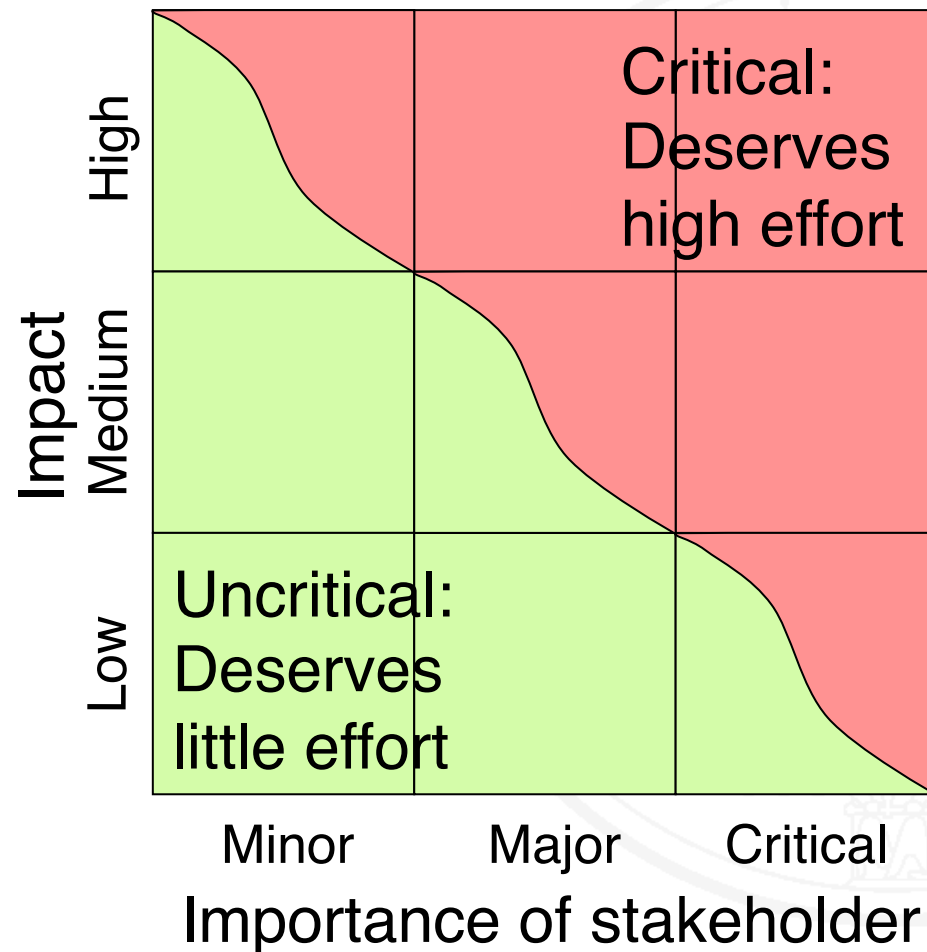
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[Glinz 2008]

- Requirements shall deliver **value**
- Value of a requirement:
  - The **benefit** of **reducing development risk** (i.e. the **risk of not meeting the stakeholders' desires and needs**)
  - **minus** the **cost of specifying** the requirement
- ☞ Adapt the effort put into RE such that the specification yields optimum value
  - **Low risk:** little RE     **High risk:** full-fledged RE
- ☞ Assessment of value requires **assessment of risk**

# Assessing risk

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- Assess the criticality of the requirement
- Consider other factors (next slide)
- Use requirements triage techniques

[Glinz 2008]

# Assessing risk: other factors

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- Specification effort
- Distinctiveness
- Shared understanding
- Reference systems
- Length of feedback-cycle
- Kind of customer-supplier relationship
- Certification required

The effort invested into requirements engineering shall be inversely proportional to the risk that one is willing to take.

## 2.2 Stakeholders

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Who is “the customer”?

In our sample problem: Just the skiers?

In reality: Many persons in many roles are involved

DEFINITION. **Stakeholder** – A person or organization that has a (direct or indirect) influence on a system’s requirements.

Indirect influence also includes situations where a person or organization is impacted by the system.

[Glinz and Wieringa 2007]

[Macaulay 1993]

# Viewpoints

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The same building.  
Different views.

Different viewpoints by different stakeholders must be taken into account.

[Nuseibeh, Kramer und Finkelstein 2003]

# Consensus and variability

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The viewpoints and needs of different stakeholders may conflict

Requirements Engineering implies

- Discovering conflicts and inconsistencies
- Negotiating
- Moderating
- Consensus finding

But: also determine where variability is needed



## 2.3 Shared understanding

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- A basic prerequisite for any successful development of systems
- Created, fostered and assured in Requirements Engineering



→ Chapter 4

## 2.4 Context

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Requirements never come in isolation.

- Requirements specify a **system**
- The system may be **part of another system**
- The system is **embedded** in a domain **context**
- The **scope** of a system may exceed the system boundary

# Which system?

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Some requirements for our sample problem:

For every turnstile, the system shall count the number of skiers passing through this turnstile.

**The turnstile control software**

The system shall provide effective access control to the resort's chairlifts.

**Everything: equipment, computers, cards, software**

The system shall operate in a temperature range of  $-30^{\circ}\text{C}$  to  $+30^{\circ}\text{C}$ .

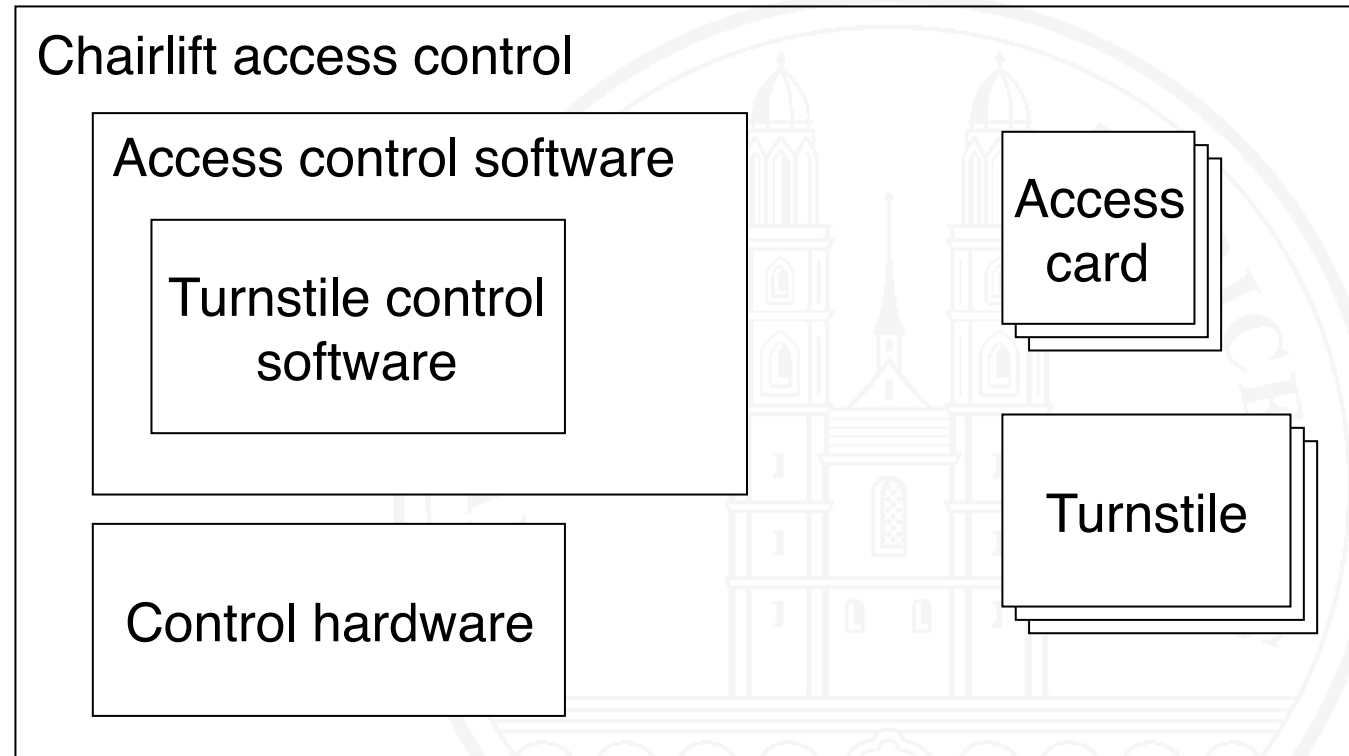
**The computer hardware and the devices**

The operator shall be able to run the system in three modes: normal (turnstile unlocked for one turn when a valid card is sensed), locked (all turnstiles locked), and open (all turnstiles unlocked).

**The access control software for a chairlift**

# Systems of systems

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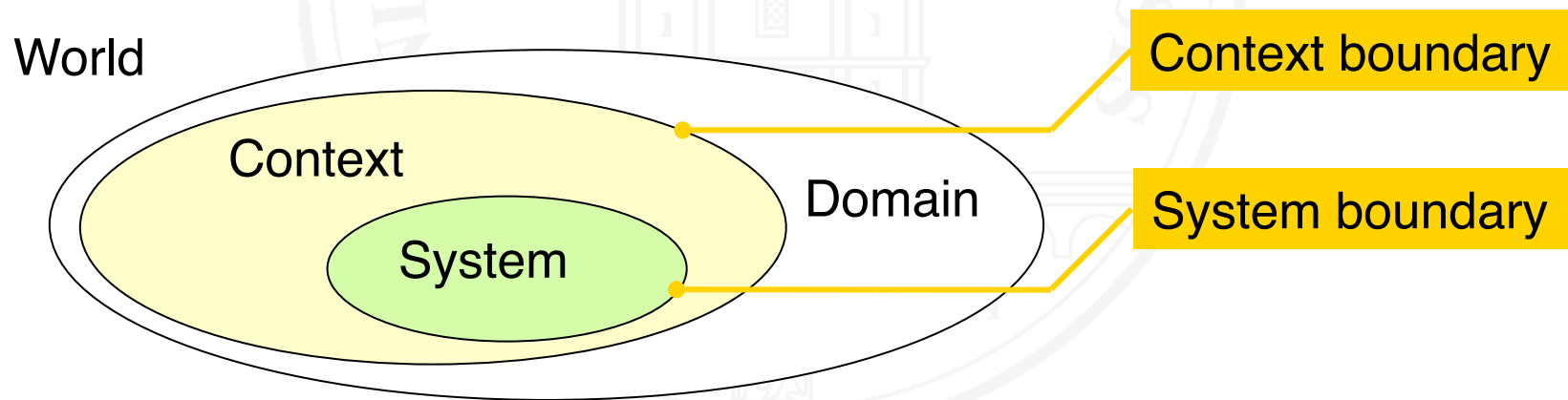
⇒ Requirements need to be framed in a **context**

⇒ Dealing with **multi-level requirements** is unavoidable

# Context

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DEFINITION. **Context** – 1. In general: The network of thoughts and meanings needed for understanding phenomena or utterances. 2. Especially in RE: The part of a system's environment being relevant for understanding the system and its requirements.



# System boundary and context boundary

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DEFINITION. **System boundary** – The boundary between a system and its surrounding context.

DEFINITION. **Context boundary** – Boundary between the context of a system and those parts of the application domain that are irrelevant for the system and its requirements.

- The system boundary **separates** the system to be developed from its environment
- RE needs to determine the **system boundary**
- Information outside of the **context boundary** is not considered

# Context models

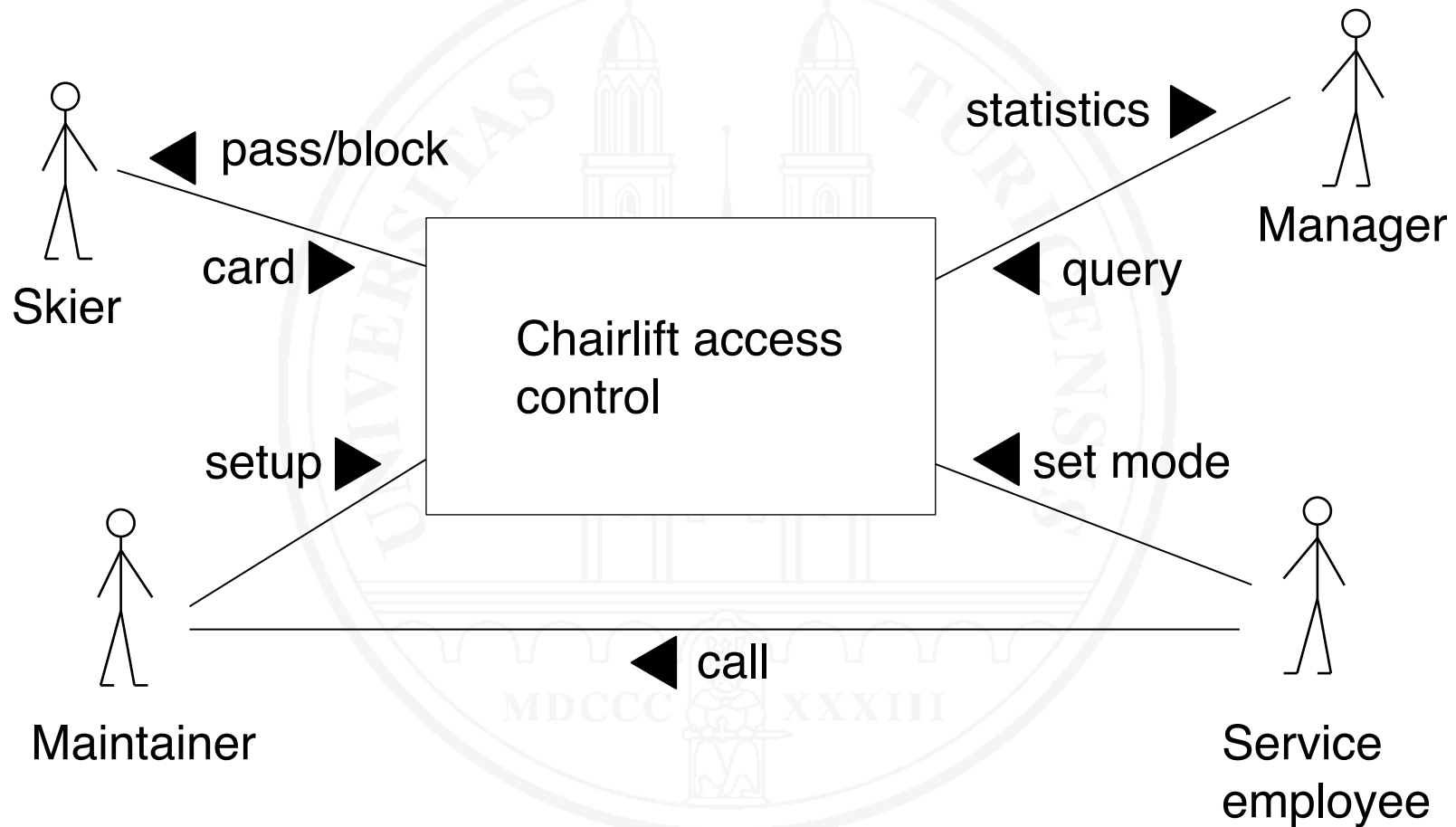
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Modeling a system in its **context**

- Determine the **level** of specification
- Usually **no system internals** (→ system as black box)
- Model **actors** which interact directly with the system
- Model **interaction** between the **system** und its **actors**
- Model **interaction** among **actors**
- Represent **result** graphically

# A context diagram

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# Mapping world phenomena to machine phenomena: a major RE problem

① A requirement in the world:

For every turnstile, the system shall count the number of persons passing through this turnstile.

② Mapped to a requirement for the system to be built:

The turnstile control software shall count the number of 'unlock for a single turn' commands that it issues to the controlled turnstile.

② satisfies ① only if these domain assumptions hold:

- An unlock command actually unlocks the turnstile device
- When a turnstile is unlocked, a single person passes through it
- Nobody passes through a locked turnstile (e.g. by crouching down)

# The world and the machine

[Zave and Jackson 1997]

[Gunter et al. 2000]

[Jackson 2005]

Requirements must hold in the world.

But we need them to build machines (aka systems).

A machine with capabilities described by the specification  $S$

Properties  $D$   
of the domain  
In the real world

Required behavior  $R$   
in a real world domain

The requirements problem (according to Jackson):

Given a machine *satisfying the specification  $S$*  and *assuming that the domain properties  $D$  hold*, the requirements  $R$  in the world must be satisfied:  $S \wedge D \vdash R$

# Mini-Exercise

Imagine the problem of two traffic lights that regulate traffic at a road construction site where only a single lane may be used. The following real-world requirement shall be satisfied:

*“Ensure that, at each point in time, traffic flows at most in one direction in the one-lane region and that the control regime is both effective (actual throughput in both directions) and fair (does not favor one direction over the other).”*

Determine

- the system requirements that the control system must meet
- which domain properties/assumptions must hold

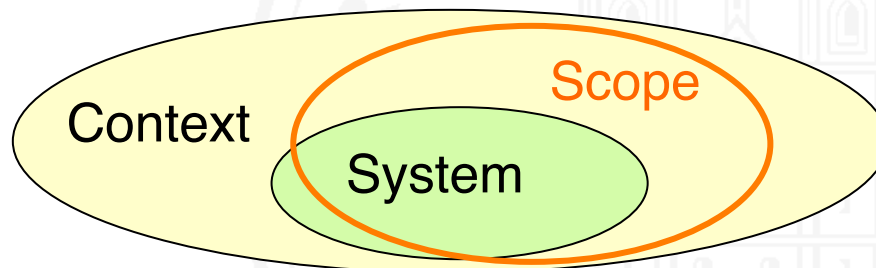
in order to satisfy the given real-world requirement

# The role of the system scope

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DEFINITION. **Scope** (of a system) – The range of things that can be **shaped** and **designed** when developing a system.

System scope  $\neq$  Everything within the system boundary



- The scope of a system may **comprise parts of its context**

If this is the case, **(re)-designing the context** may lead to **better systems** than designing the system to a given context

- Some **parts** of a system **may be given** and not changeable

## 2.5 Problem – requirement –solution

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[Swartout and Balzer 1982]

Having a **problem**, we need **requirements** for a system that **solves** the problem

Traditional Requirements Engineering: the waterfall

- Start with a complete specification of requirements
- Then proceed to designing and implementing a solution
- Does not work properly in most cases
- Specification and implementation are inevitably intertwined:
  - Hierarchical intertwinement: high-level design decisions inform lower-level requirements
  - Technical feasibility: non-feasible requirements are useless
  - Validation: what you see is what you require

# Requirements vs. solution decisions

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The system shall provide effective access control to the resort's chairlifts.

A requirement

Manual control

Automatic control

Potential solution decisions

Requirements about selecting and training people

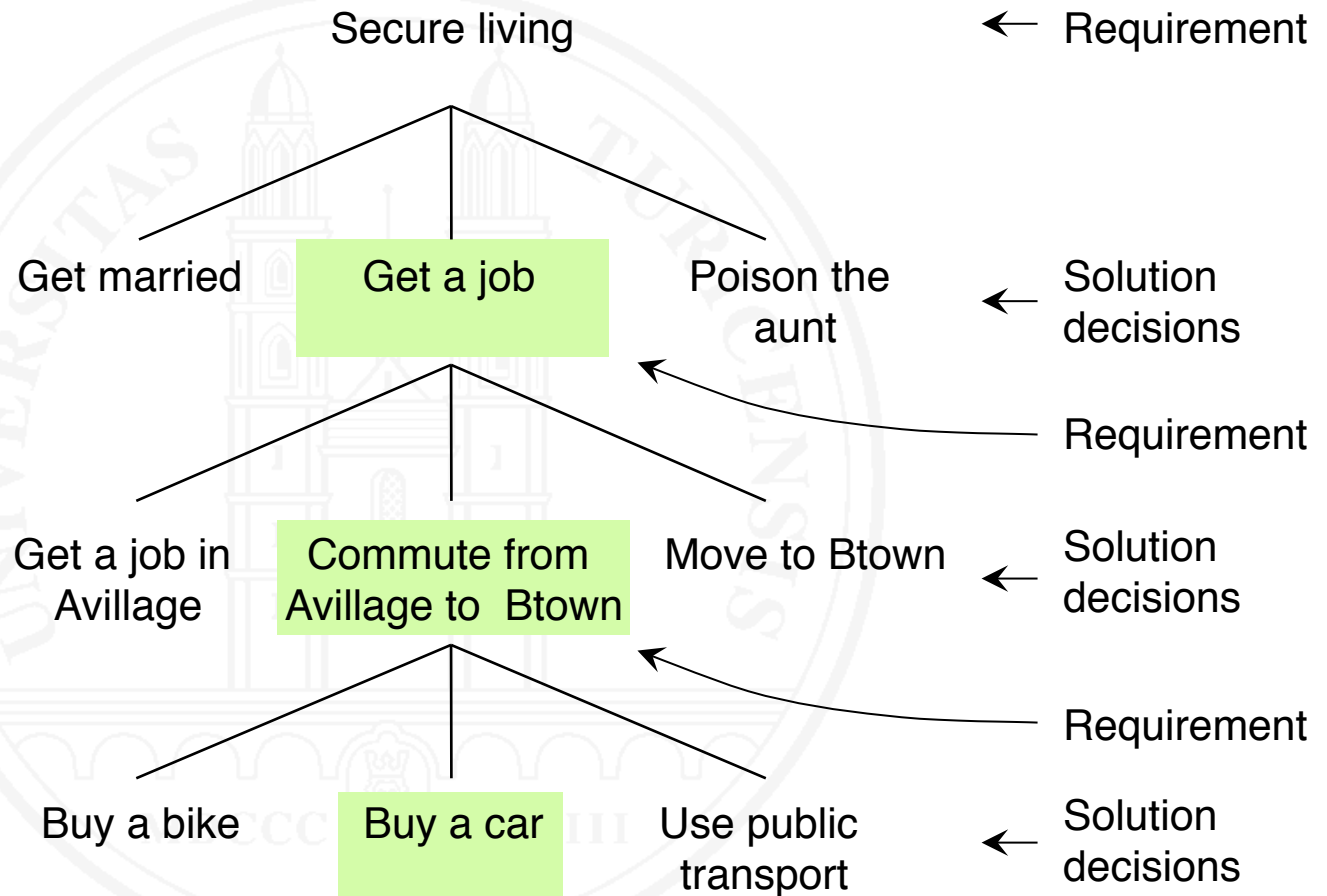
Requirements about turnstiles, access cards, and control software

Lower level requirements

- ⇒ Solution decisions inform lower level requirements
- ⇒ Requirements and solutions are **inevitably intertwined**

# Requirements vs. solution decisions

Problem: Sonja Müller has completed her university studies and does no longer receive any money from her parents. Hence, she is confronted with the requirement to secure her living. She is currently living in Avillage and has a job offer by a company in Btown. Also, she has a rich boy friend and she is the only relative of an equally rich aunt.



# Typical requirement layers

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Using a railway system as an example

- ☆ **Business:** “More people than today shall be transported using the existing tracks.”
- ☆ **System:** “The minimal distance between two trains shall always be greater than the current maximum braking distance of the successive train.”
- ☆ **Software:** “The current maximum braking distance shall be computed every 100 ms.”



# WHAT vs. HOW in Requirements Engineering

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A traditional belief:

WHAT = Requirements, HOW = Technical Design

But: is this a requirement or a technical design decision?

“The system prints a list of ticket purchases for a given day. Every row of this report lists(in this order) date and time of sale, ticket type, ticket price, and payment method. Every page has a footer with current date and page number.”

→ WHAT vs. HOW is context-dependent and doesn't provide a useful distinction.

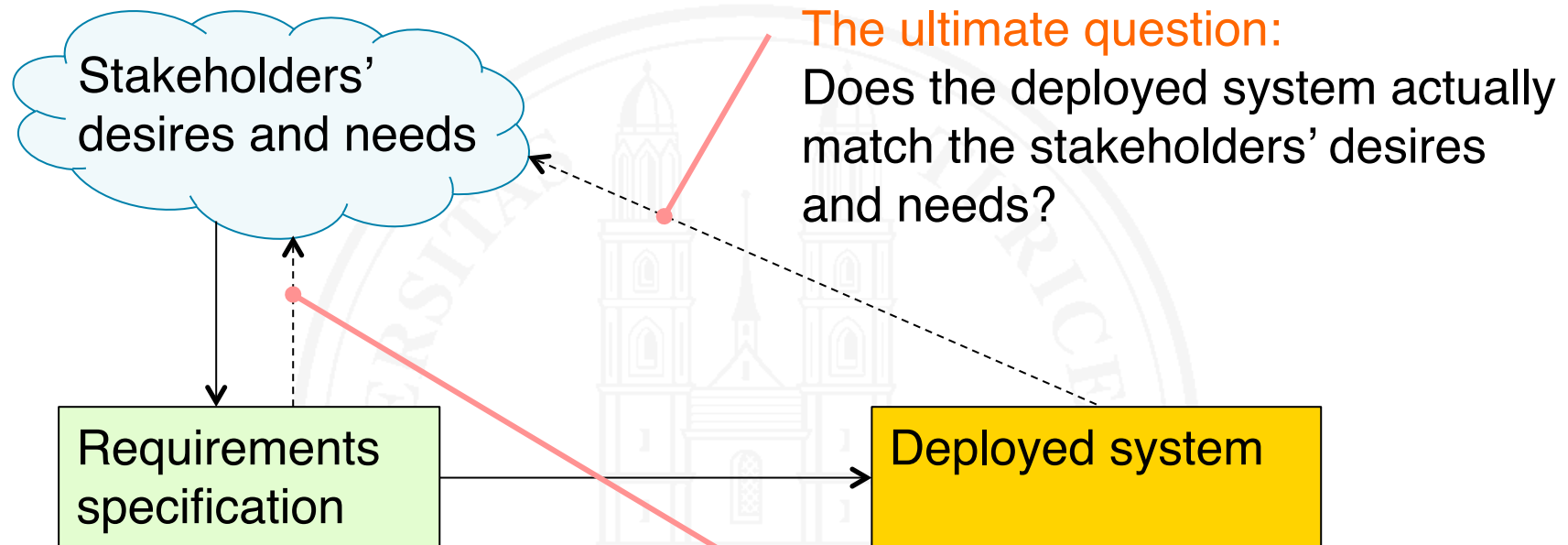
# Distinguishing requirements and solutions

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- Documenting requirements and technical solutions separately makes sense
- Distinguishing by **WHAT vs. HOW** doesn't work
- Distinguish **operationally**:
  - If a statement is owned by stakeholders (i.e., changing it requires stakeholder approval), it's a requirement
  - If a statement is owned by the supplier (i.e. the supplier may change it freely), it's part of the technical solution

## 2.6 Validation

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**The ultimate question:**

Does the deployed system actually match the stakeholders' desires and needs?

**The risk-reduction question:**

Do the documented requirements match the stakeholders' desires and needs?

Every requirement needs to be validated

→ Chapter 11

## 2.7 Evolution

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The world evolves.

So do requirements.

The problem:

Keeping requirements **stable**...

... while permitting requirements to **change**

Potential solutions

- Very short development cycles (1-6 weeks)
- Explicit requirements change management

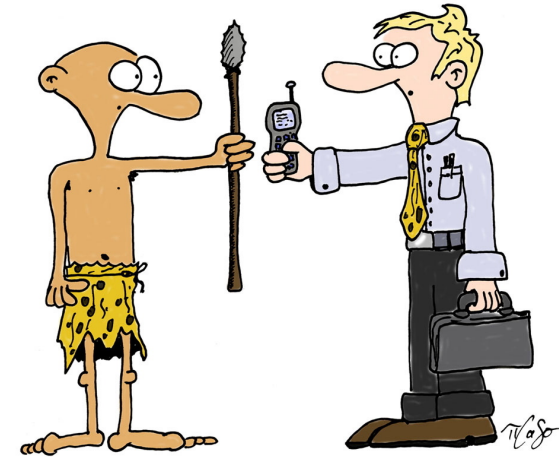


Image © C. Sommer /EKHN

→ Chapter 13

## 2.8 Innovation

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Image © Apple

“Give the customers exactly what they want.”

Maybe the worst you can do onto them.

“We know perfectly well what is good for the customer.”

Your customers will love you for your attitude.

“Our new system does all the rubbish we did manually before.  
But it’s much faster now.”

Wow, what a progress.

Don’t just automate – satisfying stakeholders is **not enough**.  
More of the same will **not excite** anybody.  
Strive for making stakeholders **happy**.

**Innovative requirements** are the key.

→ Chapter 12

## 2.9 Systematic and disciplined work

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We can't do without.

Requirements need to be elicited, documented, validated and managed systematically

- using a suitable **process**
- with suitable **practices**

Also applies for **agile development**, just with a different process and maybe different practices

Systematics does not mean “One size fits all”

- **Adapt** your processes and practices **to the problem**
- **No unreflected reuse** of RE techniques from previous projects

# 3 Classifying requirements

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The turnstile control software shall count the number of ‘unlock for a single turn’ commands that it issues to the controlled turnstile.

A function

The operator shall be able to run the system in three modes: normal (turnstile unlocked for one turn when a valid card is sensed), locked (all turnstiles locked), and open (all turnstiles unlocked).

A behavior

The system shall be deployed at most five months after signing the contract.

A project requirement

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The system must comply with the privacy law of the country where the resort is located.

A legal constraint

The reaction time from sensing a valid card to issuing an 'unlock for a single turn' command must be shorter than 0.5 s.

A performance attribute

The system shall be highly available.

A quality attribute

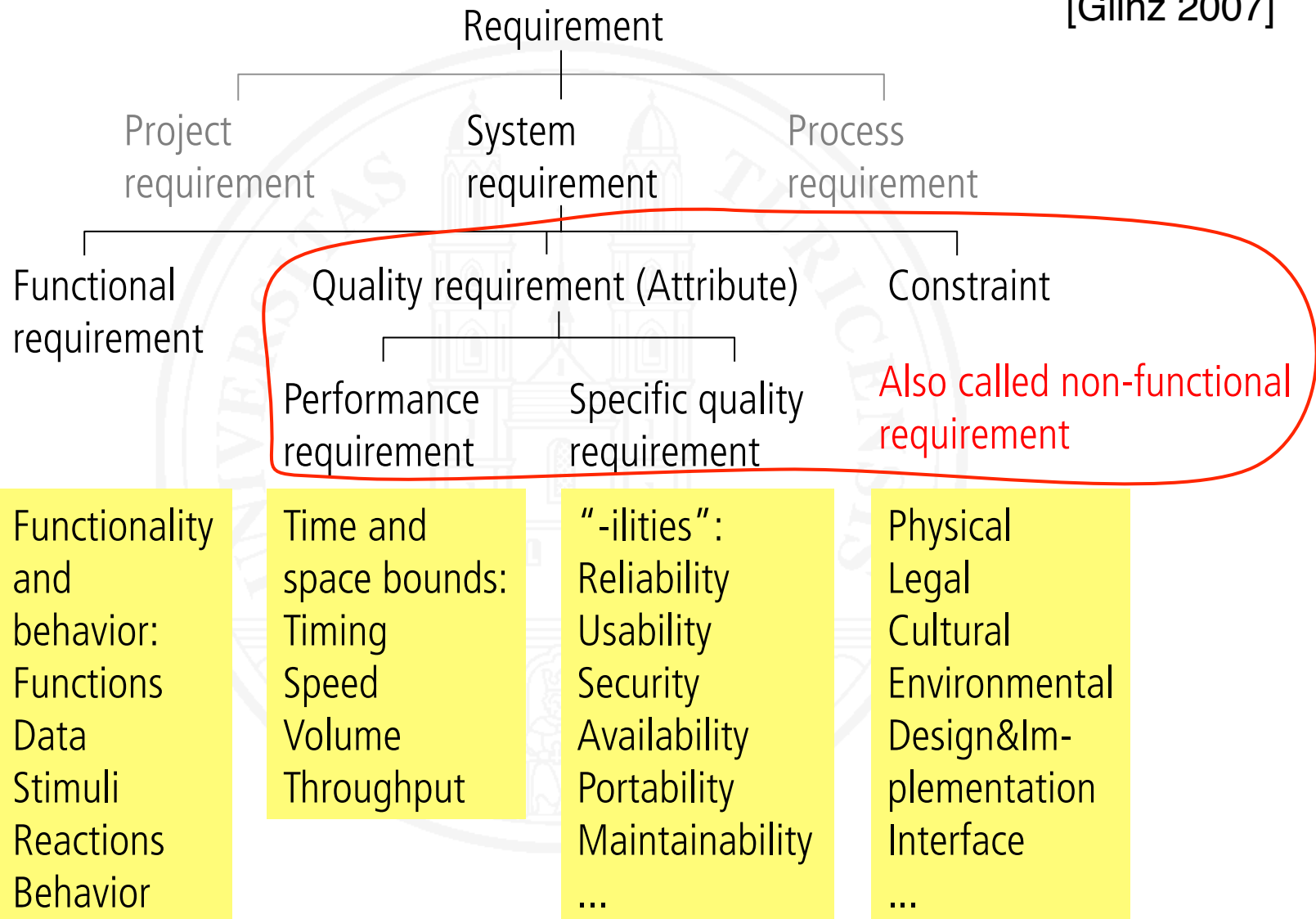


# Requirements have a concern

Application order ↓	Question	Kind of requirement
	Was this requirement stated because we need to specify ...	
... some of the system's behavior, data, input, or reaction to input stimuli – regardless of the way this is done?	functional requirement	
... restrictions about timing, processing or reaction speed, data volume or throughput?	performance requirement	
... a specific quality that the system or a component shall have?	specific quality requirement	
... any other restriction about what the system shall do, how it shall do it, or any prescribed solution or solution element?	constraint	

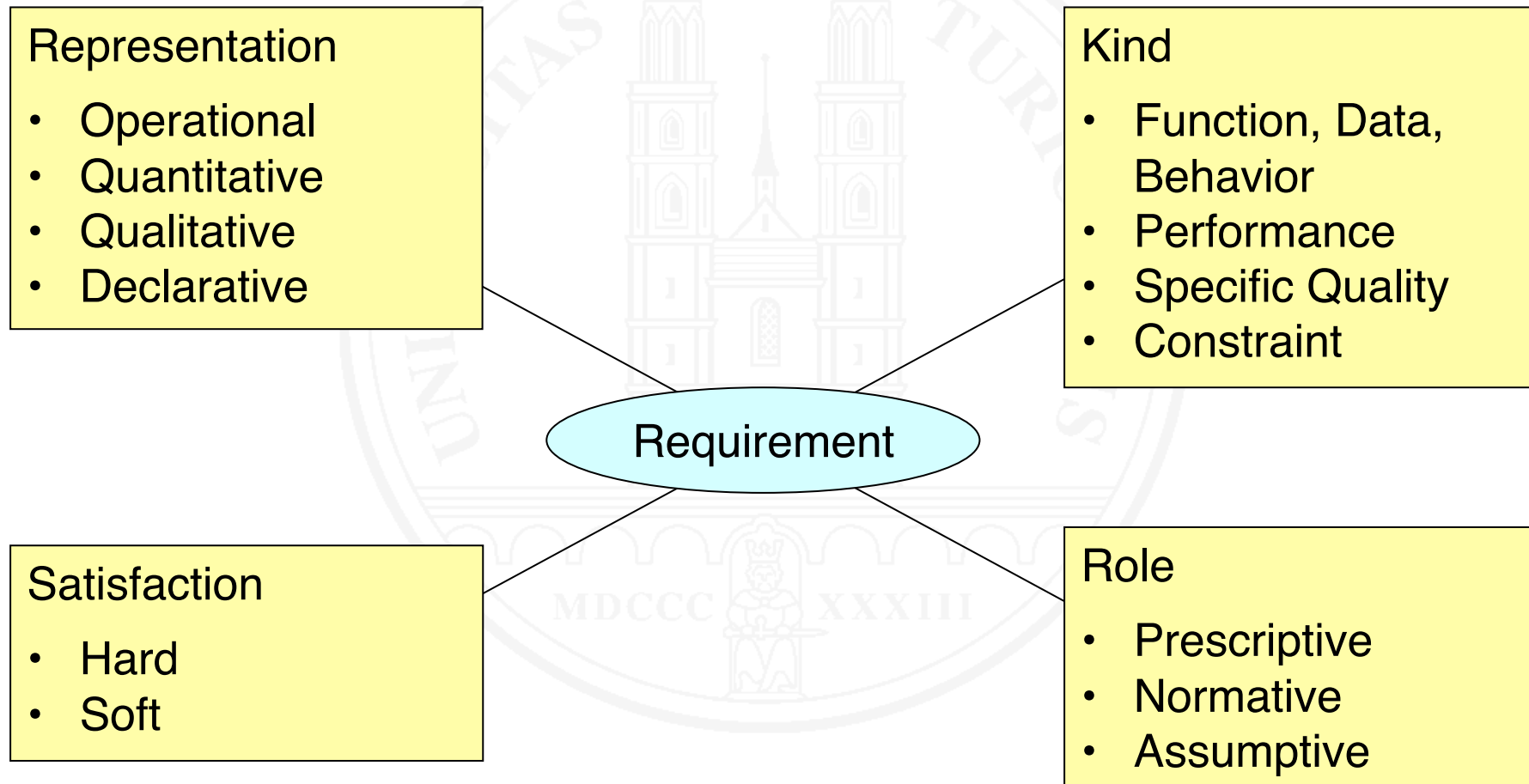
# Classification according to kind

[Glinz 2007]



# Beyond kind: A faceted classification

[Glinz 2005b, 2007]



# Classification according to representation

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The system shall be highly available.

Qualitative

During the operating hours of the chair lift, the system must be available for 99.99% of the time.

Quantitative

The system must comply with the privacy law of the country where the resort is located.

Declarative

The turnstile control software shall count the number of ‘unlock for a single turn’ commands that it issues to the controlled turnstile.

Operational

# Representation informs validation

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## Representation

Operational

Quantitative

Qualitative

Declarative (informally)

Declarative (formally)

## Validation technique(s)

Test, Review, Formal verification

Measurement

No direct validation technique. Use

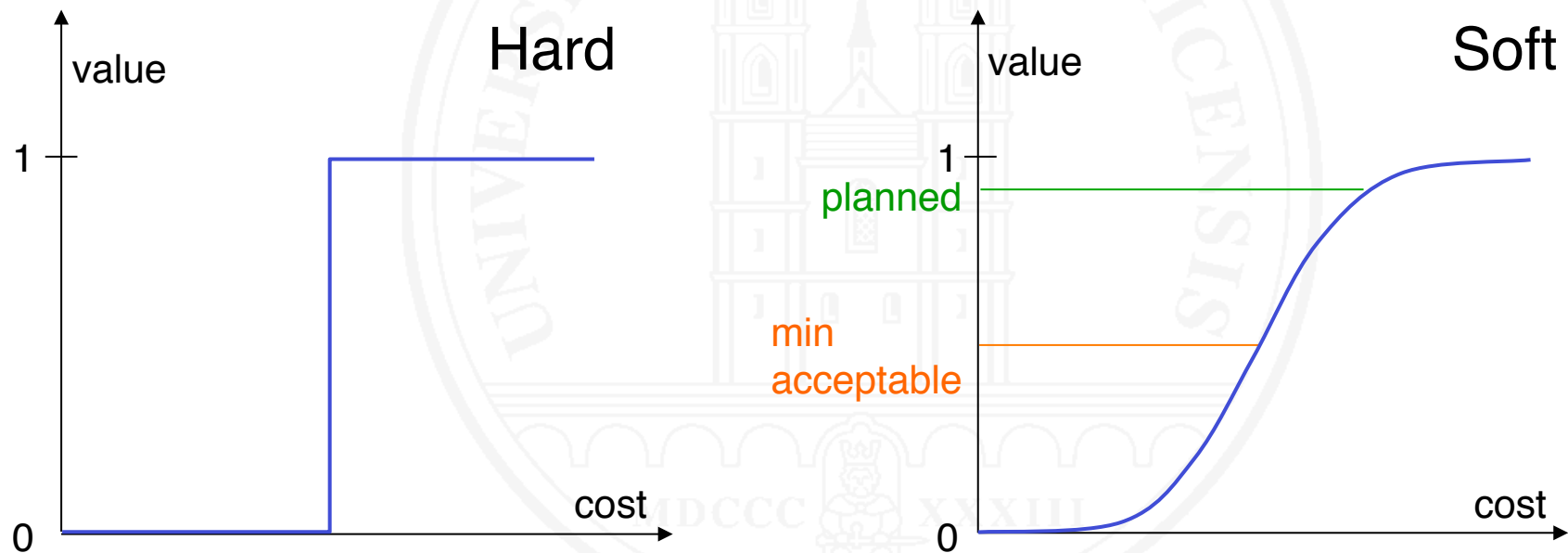
- Stakeholder judgment
- Prototypes
- Indirect validation by derived metrics

Review

Review, Model checking

# Classification according to satisfaction

- ✧ **Hard** – The requirement is satisfied **totally or not at all**
- ✧ **Soft** – There is a **range** of satisfaction



**Binary** acceptance criterion

**Range** of acceptable values

# Classification according to role

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**Prescriptive:** “Classic” requirement pertaining the system-to-be

“The sensor value shall be read every 100 ms.”

**Normative:** A norm in the system environment that is relevant for the system-to-be

“The social security number uniquely identifies a patient.”

**Assumptive:** Required behavior of an actor that interacts with the system-to-be

“The operator shall acknowledge every alarm message.”

→ Makes norms and assumptions explicit

# 4 Shared understanding

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[Glinz and Fricker 2013, 2015]

Two disturbing observations:

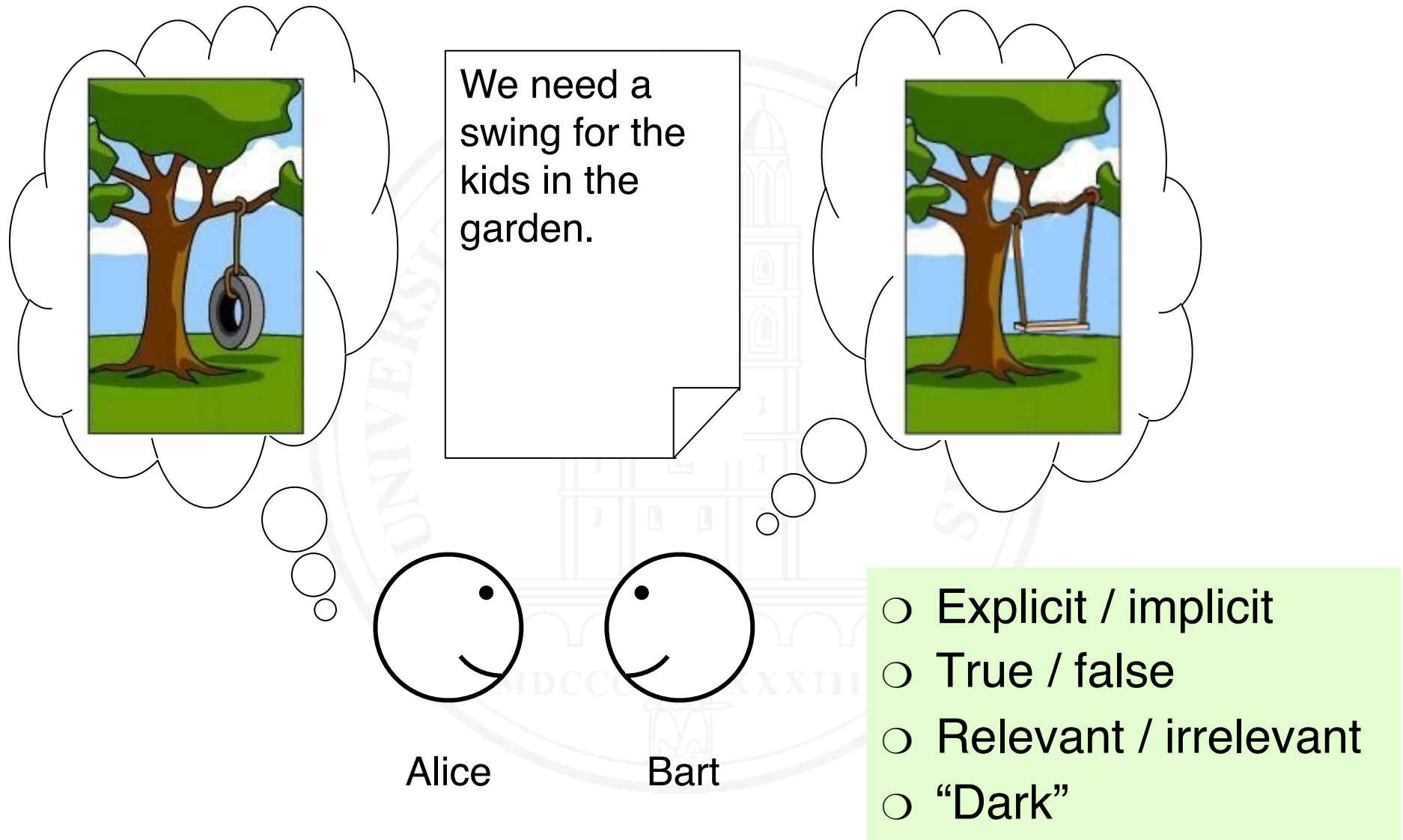
- Specifying everything explicitly is **impossible** and **infeasible**
- Explicitly specified requirements may be **misunderstood**

→ Requirements Engineering has to deal with the problem of **shared understanding**

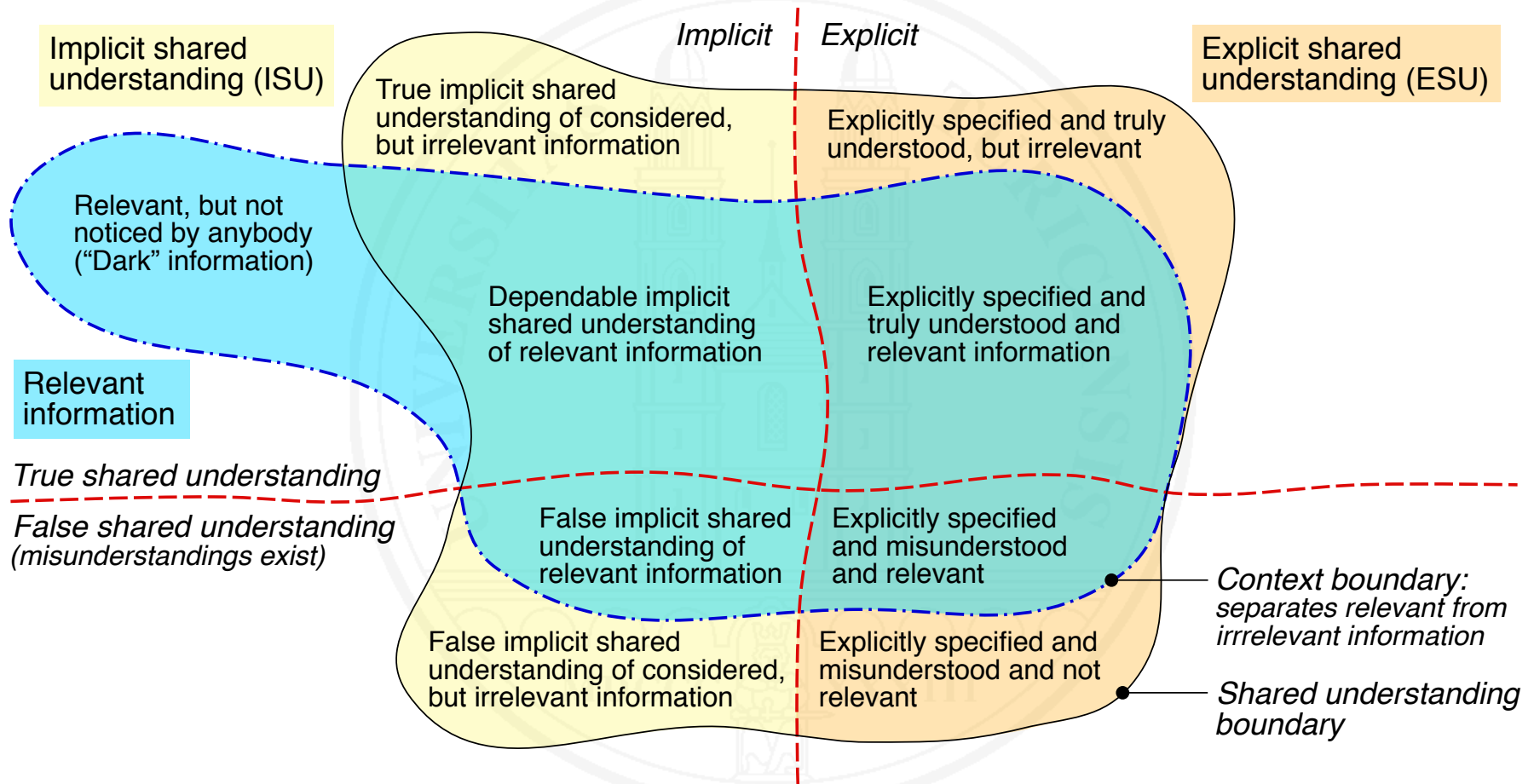
- How do we establish shared understanding?
- How can we rely on shared understanding?



# Shared understanding: the problem



# Forms of shared understanding



[Glinz and Fricker 2015]

# Rephrasing the problem

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Achieve successful software development by:

- (P1) Achieving **shared understanding** by **explicit specifications** as far as needed,
- (P2) Relying on **implicit shared understanding** of relevant information **as far as possible**,
- (P3) Determining the **optimal amount** of explicit specifications, i.e., striking a **proper balance between the cost and benefit** of explicit specifications.

Note that P1, P2 and P3 are not orthogonal

# In fact a value problem

(cf. Principle 4 in Chapter 2)

*How can we achieve specifications that create optimal value?*

Value means

- The **benefit** of an explicit specification

Bringing down the probability for developing a system that doesn't satisfy its stakeholders' expectations and needs to an acceptable level

minus

- The **cost** of writing, reading and maintaining this specification



# Shared understanding: Enablers and obstacles

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- + Domain knowledge
- + Previous joint work or collaboration
- + Existence of reference systems
- + Shared culture and values
- + Mutual trust
- +/- Contractual situation
- +/- Normal vs. radical design
- Geographic distance
- Outsourcing
- Regulatory constraints
- Large and/or diverse teams
- Fluctuation



# Achieving and relying on shared understanding

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- **Building** shared understanding: The essence of requirements **elicitation** (cf. Chapter 7)
- **Assessing** shared understanding
  - **Validate** all **explicitly** specified requirements
  - **Test** (non-specified) **implicit** shared understanding
- **Reducing** the **impact** of **false** shared understanding
  - Short feedback cycles
  - Build and assess shared understanding early
  - Specify and validate high risk requirements explicitly

# Mini-Exercise

Consider the chairlift access control case study.

- (a) How can you make sure that the following explicit requirement is not misunderstood:  
“The ticketing system shall provide discounted tickets which are for sale only to guests staying in one of the resort’s hotels and are valid from the first to the last day of the guest’s stay.”
- (b) We have used the term “skier” for denoting an important stakeholder role.  
How can we test whether or not there is true implicit shared understanding among all people involved about what a “skier” is?