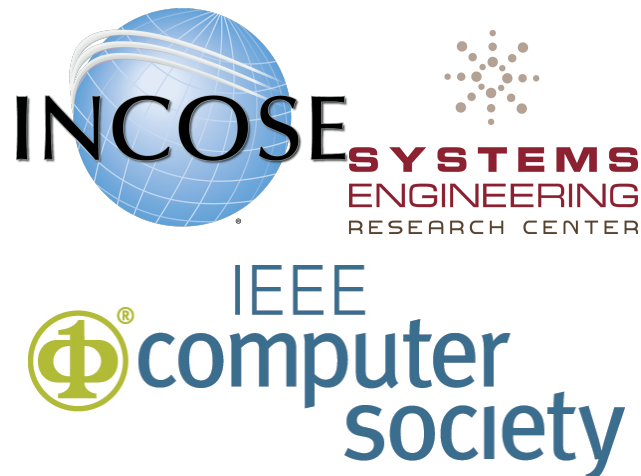


# Guide to the Systems Engineering Body of Knowledge (SEBoK), version 2.2

## Part 7

Please note that this is a PDF extraction of the content from [www.sebokwiki.org](http://www.sebokwiki.org)



# Guide to the Systems Engineering Body of Knowledge, Part 7

version 2.1

# Contents

## Articles

<b>Front Matter</b>	<b>1</b>
Letter from the Editor	1
BKCASE Governance and Editorial Board	2
Acknowledgements and Release History	7
Cite the SEBoK	9
Bkcase Wiki:Copyright	10
 <b>Part 7: Systems Engineering Implementation Examples</b>	 <b>11</b>
Systems Engineering Implementation Examples	11
 <b>Matrix of Implementation Examples</b>	 <b>14</b>
Matrix of Implementation Examples	14
 <b>Commercial Examples</b>	 <b>18</b>
Complex Adaptive Taxi Service Scheduler	18
Complex Adaptive Project Management System	24
Denver Airport Baggage Handling System	29
Global Positioning System Case Study	30
Global Positioning System Case Study II	35
Next Generation Medical Infusion Pump	42
Medical Radiation	47
Successful Business Transformation within a Russian Information Technology Company	50
 <b>Government Examples</b>	 <b>57</b>
FBI Virtual Case File System	57
Design for Maintainability	61
FAA Advanced Automation System (AAS)	63
Federal Aviation Administration Next Generation Air Transportation System	65
How Lack of Information Sharing Jeopardized the NASA/ESA Cassini/Huygens Mission to Saturn	70
Hubble Space Telescope	75
Northwest Hydro System	78
Singapore Water Management	84
Submarine Warfare Federated Tactical Systems	86

Successful Business Transformation within a Russian Information Technology Company	92
UK West Coast Route Modernisation Project	99
Virginia Class Submarine	101
<b>Combined Examples</b>	<b>104</b>
Applying a Model-Based Approach to Support Requirements Analysis on the Thirty-Meter Telescope	104
Miniature Seeker Technology Integration Spacecraft	112
Standard Korean Light Transit System Vignette	114
<b>References</b>	
Article Sources and Contributors	118
Image Sources, Licenses and Contributors	119



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# Front Matter

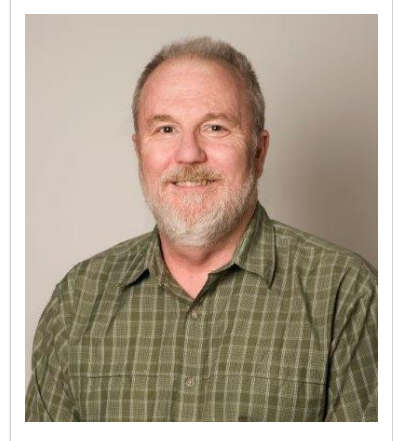
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## Letter from the Editor

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Hi there! Welcome to the October 2019 instantiation of the Systems Engineering Body of Knowledge. Since version 1.0 appeared in September 2012, that means the SEBoK just celebrated its 7th birthday! This release, version 2.1 is also my third release as Editor in chief. This release brings what I hope are some exciting changes for the readers and authors.

The **first change** I hope you notice is that we have added bylines to those articles for which we can track their origins. As of this release, we are recognizing the contribution of lead authors and the additional contributing authors. It is our hope that these contributions will be beneficial to the authors in their professional lives - being able to prove their contributions to this important knowledge base.



The **next obvious change** should be the way glossary bubbles have been updated. They are more readable now, with a grey background and black text.

Other changes include **new articles** on:

- Digital Engineering
- Mission Engineering
- Set Based Design
- MBSE Adoption Trends 2009-2018

Additionally, we have **updated content** on Resilience, Human Systems Integration, and Capability Engineering. Part 1 also received a wire brushing. We have also begun incorporating video. You will find a short video on the Main page. We are also going to begin to look at existing INCOSE YouTube channel content to look for 1-3 minute clips we can strategically place throughout the SEBoK to add value.

There is a big announcement to be made relative to the SEBoK. The IEEE Computer Society has been one of the three stewards of the SEBoK from the beginning. They have had a seat on the Board of Governors, and have provided invaluable counsel. In January 2020, that stewardship will be transferred from the IEEE Computer Society to the IEEE Systems Council. The Editorial Board looks forward to the continued support and participation of IEEE. Thank you IEEE Computer Society, and in particular to Rich Hilliard and Andy Chen.

Regarding the reach of the SEBoK, there were over 29,000 visitors and 68,781 page views during the the month of July 2019. That brings our total page views to over 3.45M since 2012. Top content pages in July: 1) Stakeholder Needs and Requirements, 2) Types of Models, 3) Types of Systems, 4) Systems Requirements, and 5) Reliability, Availability, and Maintainability. Top countries accessing the SEBoK in July:

1. US
2. India
3. Australia
4. United Kingdom
5. Philippines

Looking forward to the next release, it is my hope that those of you that enjoy working with video will think about creating video content now that we have that capability. Please limit your submissions to no more than 3 minute

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clips, and the preferred format is mp4.

I am still looking for additional authors and folks interested in taking a leadership role as editors to help manage and grow our content for specific areas. It would be nice to add some more content in Part 6: Related Disciplines, and Part 7: SE Implementation Examples. If you would like to author an article for those sections, please reach out to Nicole Hutchinson (emtrnicole@gmail.com) or myself (rcloutier@southalabama.edu).

That is it for now ... I hope to see you at the upcoming International Workshop being held in Torrence, CA in January 2020. If you have ideas for the SEBoK, or would like to get involved, be sure to find me there and we can have some coffee and chat. But, do not feel you have to wait until then to get involved - reach out now! Thanks for your ongoing support.

A handwritten signature in blue ink that reads "R. J. Cloutier". The signature is written in a cursive, flowing style.

## BKCASE Governance and Editorial Board

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### BKCASE Governing Board

The three SEBoK steward organizations – the International Council on Systems Engineering (INCOSE), the Institute of Electrical and Electronics Engineers Computer Society (IEEE-CS), and the Systems Engineering Research Center (SERC) provide the funding and resources needed to sustain and evolve the SEBoK and make it available as a free and open resource to all. The stewards appoint the BKCASE Governing Board to be their primary agents to oversee and guide the SEBoK and its companion BKCASE product, GRCSE.

The BKCASE Governing Board includes:

- **The International Council on Systems Engineering (INCOSE)**
  - Art Pyster (Governing Board Chair), Paul Frenz
- **Systems Engineering Research Center (SERC)**
  - Jon Wade, Cihan Dagli
- **IEEE Computer Society (IEEE CS)**
  - Andy Chen, Rich Hilliard

Past INCOSE governors Bill Miller, Kevin Forsberg, David Newbern, David Walden, Courtney Wright, Dave Olwell, Ken Nidiffer, Richard Fairley, Massood Towhidnejad, and John Keppler. The governors would also like to acknowledge John Keppler, IEEE Computer Society, who has been instrumental in helping the Governors to work within the IEEE CS structure.

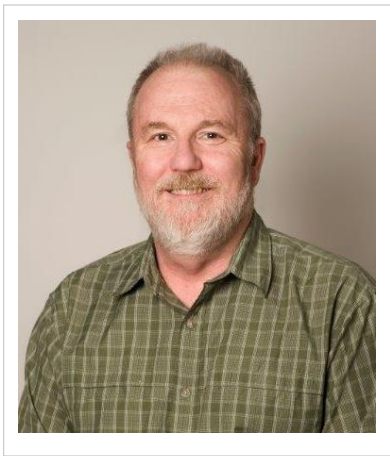
The stewards appoint the BKCASE Editor in Chief to manage the SEBoK and GRCSE and oversee the Editorial Board.

---

# Editorial Board

The SEBoK Editorial Board is chaired by an Editor in Chief, supported by a group of Associate Editors.

**SEBoK Editor in Chief**



**Robert J. Cloutier**  
*University of South Alabama*  
rcloutier@southalabama.edu <sup>[1]</sup>  
Responsible for the appointment of SEBoK Editors and for the strategic direction and overall quality and coherence of the SEBoK.

**SEBoK Managing Editor**



**Nicole Hutchison**  
*Stevens Institute of Technology*  
nicole.hutchison@stevens.edu <sup>[2]</sup> or emtnicole@gmail.com <sup>[3]</sup>  
Responsible for the the day-to-day operations of the SEBoK and supports the Editor in Chief.

Each Editor has his/her area(s) of responsibility, or shared responsibility, highlighted in the table below.

**SEBoK Part 1: SEBoK Introduction**

**Lead Editor: Robert J. Cloutier**  
*University of South Alabama*  
rcloutier@southalabama.edu <sup>[1]</sup>  
Responsible for Part 1

**SEBoK Part 2: Foundations of Systems Engineering****Lead Editor: Gary Smith***Airbus*gary.r.smith@airbus.com<sup>[4]</sup>**Assistant Editor: Dov Dori***Massachusetts Institute of Technology (USA) and Technion Israel Institute of Technology (Israel)*dori@mit.edu<sup>[5]</sup>

Responsible for the Representing Systems with Models knowledge area

**Assistant Editor: Duane Hybertson***MITRE (USA)*dhyberts@mitre.org<sup>[6]</sup>

Jointly responsible for the Systems Fundamentals, Systems Science and Systems Thinking knowledge areas

**Assistant Editor: Peter Tuddenham***College of Exploration (USA)*Peter@coexploration.net<sup>[7]</sup>**Assistant Editor: Cihan Dagli***Missouri University of Science & Technology (USA)*dagli@mst.edu<sup>[8]</sup>

Responsible for the Systems Approach Applied to Engineered Systems knowledge areas.

**SEBoK Part 3: Systems Engineering and Management****Assistant Editor: Barry Boehm***University of Southern California (USA)*boehm@usc.edu<sup>[9]</sup>

Jointly responsible for the Systems Engineering Management and Life Cycle Models knowledge areas

**Assistant Editor: Kevin Forsberg***OGR Systems*kforsberg@ogrsystems.com<sup>[10]</sup>

Jointly responsible for the Systems Engineering Management and Life Cycle Models knowledge areas

**Assistant Editor: Gregory Parnell***University of Arkansas (USA)*gparnell@uark.edu<sup>[11]</sup>

Responsible for Systems Engineering Management knowledge area.

**Assistant Editor: Garry Roedler***Lockheed Martin (USA)*garry.j.roedler@lmco.com<sup>[12]</sup>

Responsible for the Concept Definition and System Definition knowledge areas.

**Assistant Editor: Phyllis Marbach***Incose LA (USA)*prmarbach@gmail.com<sup>[13]</sup>**Assistant Editor: Ken Zemrowski***ENGILITY*kenneth.zemrowski@incose.org<sup>[14]</sup>

Responsible for the Systems Engineering Standards knowledge area.

**SEBoK Part 4: Applications of Systems Engineering****Lead Editor: Judith Dahmann***MITRE Corporation (USA)*jdahmann@mitre.org<sup>[15]</sup>

Jointly responsible for Product Systems Engineering and Systems of Systems (SoS) knowledge areas

**Assistant Editor: Michael Henshaw***Loughborough University (UK)*M.J.d.Henshaw@lboro.ac.uk<sup>[16]</sup>

Jointly responsible for Product Systems Engineering and Systems of Systems (SoS) knowledge areas

**Assistant Editor: James Martin***The Aerospace Corporation*james.martin@incose.org<sup>[17]</sup>

Responsible for the Enterprise Systems Engineering knowledge area.

**SEBoK Part 5: Enabling Systems Engineering****Assistant Editor: Emma Sparks***Cranfield University*

Jointly responsible for the Enabling Individuals and Enabling Teams knowledge area

**Assistant Editor: Rick Hefner***California Institute of Technology*Rick.Hefner@ngc.com<sup>[18]</sup>**Assistant Editor: Tim Ferris** *Cranfield University*Timothy.Ferris@cranfield.ac.uk<sup>[19]</sup>**Assistant Editor: Bernardo Delicado***MBDA / INCOSE*bernardo.delicado@mbda-systems.com<sup>[20]</sup>**SEBoK Part 6: Related Disciplines****Lead Editor: Alice Squires***Washington State University (USA)*alice.squires@wsu.edu<sup>[21]</sup>**SEBoK Part 7: Systems Engineering Implementation Examples****Lead Author: Clif Baldwin***FAA Technical Center*cliftonbaldwin@gmail.com<sup>[22]</sup>

Responsible for Part 7: Systems Engineering Implementation Examples, which includes Case Studies and examples.

***Graduate Reference Curriculum for Systems Engineering (GRCSE)*****David H. Olwell***St. Martin's University (USA)*dolwell@stmartin.edu<sup>[23]</sup>

Associate Editor for SEBoK.

**Graduate Student Support**

With SEBoK v. 2.1, the Governing Board has hired a graduate student to support the Editor in Chief and Managing Editor. Madeline Haas, a master's student at George Mason University, is the current graduate student supporting the SEBoK and we gratefully acknowledge her exemplary efforts.

**Interested in Editing?**

The Editor in Chief is looking for additional editors to support the evolution of the SEBoK. Editors are responsible for maintaining and updating one to two knowledge areas, including recruiting and working with authors, ensuring the incorporation of community feedback, and maintaining the quality of SEBoK content. We are specifically interested in support for the following knowledge areas:

- System Deployment and Use
- Product and Service Life Management
- Enabling Businesses and Enterprises
- Systems Engineering and Software Engineering
- Procurement and Acquisition
- Systems Engineering and Specialty Engineering

If you are interested in being considered for participation on the Editorial Board, please visit the BKCASE website <http://www.bkcase.org/join-us/> or contact the BKCASE Staff directly at [bkcase.incose.ieeeecs@gmail.com](mailto:bkcase.incose.ieeeecs@gmail.com) <sup>[24]</sup>.

**SEBoK v. 2.1, released 31 October 2019**

## References

- [1] <mailto:rcloutier@southalabama.edu>
- [2] <mailto:nicole.hutchison@stevens.edu>
- [3] <mailto:emtnicole@gmail.com>
- [4] <mailto:gary.r.smith@airbus.com>
- [5] <mailto:dori@mit.edu>
- [6] <mailto:dhyberts@mitre.org>
- [7] <mailto:Peter@coexploration.net>
- [8] <mailto:dagli@mst.edu>
- [9] <mailto:boehm@usc.edu>
- [10] <mailto:kforsberg@ogrsystems.com>
- [11] <mailto:gparnell@uark.edu>
- [12] <mailto:garry.j.roedler@lmco.com>
- [13] <mailto:prmarbach@gmail.com>
- [14] <mailto:kenneth.zemrowski@incose.org>
- [15] <mailto:jdahmann@mitre.org>
- [16] <mailto:M.J.d.Henshaw@lboro.ac.uk>
- [17] <mailto:james.martin@incose.org>
- [18] <mailto:Rick.Hefner@ngc.com>
- [19] <mailto:Timothy.Ferris@cranfield.ac.uk>
- [20] <mailto:bernardo.delicado@mbda-systems.com>
- [21] <mailto:alice.squires@wsu.edu>
- [22] <mailto:cliftonbaldwin@gmail.com>
- [23] <mailto:dolwell@stmartin.edu>
- [24] <mailto:bkcase.incose.ieeeecs@gmail.com>

# Acknowledgements and Release History

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This article describes the contributors to the current version of the SEBoK. For information on contributors to past versions of the SEBoK, please follow the links under "SEBoK Release History" below. To learn more about the updates to the SEBoK for v. 2.1, please see the Letter from the Editor.

The BKCASE Project began in the fall of 2009. Its aim was to add to the professional practice of systems engineering by creating two closely related products:

- *Guide to the Systems Engineering Body of Knowledge (SEBoK)*
- *Graduate Reference Curriculum for Systems Engineering (GRCSE)*

## BKCASE History, Motivation, and Value

The **Guide to the Systems Engineering Body of Knowledge (SEBoK)** is a living authoritative guide that discusses knowledge relevant to Systems Engineering. It defines how that knowledge should be structured to facilitate understanding, and what reference sources are the most important to the discipline. The curriculum guidance in the **Graduate Reference Curriculum for Systems Engineering (GRCSE)** (Pyster and Olwell et al. 2015) makes reference to sections of the SEBoK to define its core knowledge; it also suggests broader program outcomes and objectives which reflect aspects of the professional practice of systems engineering as discussed across the SEBoK.

Between 2009 and 2012 BKCASE was led by Stevens Institute of Technology and the Naval Postgraduate School in coordination with several professional societies and sponsored by the U.S. Department of Defense (DoD), which provided generous funding. More than 75 authors and many other reviewers and supporters from dozens of companies, universities, and professional societies across 10 countries contributed many thousands of hours writing the SEBoK articles; their organizations provided significant other contributions in-kind.

The SEBoK came into being through recognition that the systems engineering discipline could benefit greatly by having a living authoritative guide closely related to those groups developing guidance on advancing the practice, education, research, work force development, professional certification, standards, etc.

At the beginning of 2013, BKCASE transitioned to a new governance model with shared stewardship between the Systems Engineering Research Center (SERC) <sup>[1]</sup>, the International Council on Systems Engineering (INCOSE) <sup>[2]</sup>, and the Institute of Electrical and Electronics Engineers Computer Society (IEEE-CS) <sup>[3]</sup>. This governance structure was formalized in a memorandum of understanding between the three stewards that was finalized in spring of 2013. The stewards have reconfirmed their commitment to making the SEBoK available at no cost to all users, a key principle of BKCASE.

As of the end of July 2019, SEBoK articles have had over 3.4M pageviews from 1.7M unique visits. We hope the SEBoK will regularly be used by thousands of systems engineers and others around the world as they undertake technical activities such as eliciting requirements, creating systems architectures, or analysis system test results; and professional development activities such as developing career paths for systems engineers, deciding new curricula for systems engineering university programs, etc.

## Governance

The SEBoK is shaped by the BKCASE Editorial Board and is overseen by the BKCASE Governing Board. A complete list of members for each of these bodies can be found on the BKCASE Governance and Editorial Board page.

## Content and Feature Updates for 2.1

This version of the SEBoK was released 31 October 2019. This is a significant release of the SEBoK which includes new articles, new functionality and minor updates throughout. The SEBoK PDF was also updated (see Download SEBoK PDF).

For more information about this release please refer to Development of SEBoK v. 2.1.

## SEBoK Release History

There have been 21 releases of the SEBoK to date, collected into 13 main releases.

### Main Releases

- Version 2.1 - Current version. This is a significant release with new articles, new functionality, and minor updates throughout.
- Version 2.0 - This was a major release of the SEBoK which included incorporation of multi-media and a number of changes to the functions of the SEBoK.
- Version 1.9.1 - This was a micro release of the SEBoK which included updates to the editorial board, and a number of updates to the wiki software.
- Version 1.9 - A minor update which included updates to the System Resilience article in Part 6: Related Disciplines, as well as a major restructuring of Part 7: Systems Engineering Implementation Examples. A new example has been added around the use of model based systems engineering for the thirty-meter telescope.
- Version 1.8 - A minor update, including an update of the Systems of Systems (SoS) knowledge area in Part 4: Applications of Systems Engineering where a number of articles were updated on the basis of developments in the area as well as on comments from the SoS and SE community. Part 6: Related Disciplines included updates to the Manufacturability and Producibility and Reliability, Availability, and Maintainability articles.
- Version 1.7 - A minor update, including a new Healthcare SE Knowledge Area (KA), expansion of the MBSE area with two new articles, Technical Leadership and Reliability, Availability, and Maintainability and a new case study on the Northwest Hydro System.
- Version 1.6 - A minor update, including a reorganization of Part 1 SEBoK Introduction, a new article on the Transition towards Model Based Systems Engineering and a new article giving an overview of Healthcare Systems Engineering, a restructure of the Systems Engineering and Specialty Engineering KA.
- Version 1.5 - A minor update, including a restructure and extension of the Software Engineering Knowledge Area, two new case studies, and a number of corrections of typographical errors and updates of outdated references throughout the SEBoK.
- Version 1.4 - A minor update, including changes related to ISO/IEC/IEEE 15288:2015 standard, three new case studies and updates to a number of articles.
- Version 1.3 - A minor update, including three new case studies, a new use case, updates to several existing articles, and updates to references.
- Version 1.2 - A minor update, including two new articles and revision of several existing articles.
- Version 1.1 - A minor update that made modest content improvements.
- Version 1.0 - The first version intended for broad use.

Click on the links above to read more information about each release.

---



## Wiki Team

In January 2011, the authors agreed to move from a document-based SEBoK to a wiki-based SEBoK, and beginning with v. 0.5, the SEBoK has been available at [www.sebokwiki.org](http://www.sebokwiki.org) <sup>[4]</sup> Making the transition to a wiki provided three benefits:

1. easy worldwide access to the SEBoK;
2. more methods for search and navigation; and
3. a forum for community feedback alongside content that remains stable between versions.

The Managing Editor is responsible for maintenance of the wiki infrastructure as well as technical review of all materials prior to publication. Contact the managing editor at [emtnicole@gmail.com](mailto:emtnicole@gmail.com) <sup>[3]</sup>

The wiki is currently supported by Ike Hecht from WikiWorks.

**SEBoK v. 2.1, released 31 October 2019**

## References

- [1] <http://www.sercuarc.org>
- [2] <http://www.incose.org>
- [3] <http://www.computer.org>
- [4] <http://www.sebokwiki.org>

## Cite the SEBoK

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When **citing the SEBoK in general**, users must cite in the following manner:

SEBoK Editorial Board. 2019. *The Guide to the Systems Engineering Body of Knowledge (SEBoK)*, v. 2.1, R.J. Cloutier (Editor in Chief). Hoboken, NJ: The Trustees of the Stevens Institute of Technology. Accessed [DATE]. [www.sebokwiki.org](http://www.sebokwiki.org). BKCASE is managed and maintained by the Stevens Institute of Technology Systems Engineering Research Center, the International Council on Systems Engineering, and the Institute of Electrical and Electronics Engineers Computer Society.

To **cite a specific article** within the SEBoK, please use:

SEBoK Authors. Author name(s). "Article Title." in SEBoK Editorial Board. 2019. *The Guide to the Systems Engineering Body of Knowledge (SEBoK)*, v. 2.1 R.J. Cloutier (Editor in Chief). Hoboken, NJ: The Trustees of the Stevens Institute of Technology. Accessed [DATE]. [www.sebokwiki.org](http://www.sebokwiki.org). BKCASE is managed and maintained by the Stevens Institute of Technology Systems Engineering Research Center, the International Council on Systems Engineering, and the Institute of Electrical and Electronics Engineers Computer Society.

**Note that each page will include the by line (author names) for the article. If no byline is listed, please use "SEBoK Authors".**

When **using material** from the SEBoK, attribute the work as follows:

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### Cite this Page

This feature is located under "Tools" on the left menu. It provides full information to cite the specific article that you are currently viewing; this information is provided in various common citation styles including APA, MLA, and Chicago.

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# Bkcase Wiki:Copyright

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Please read this page which contains information about how and on what terms you may use, copy, share, quote or cite the Systems Engineering Body of Knowledge (SEBoK):

## Copyright and Licensing

A compilation copyright to the SEBoK is held on behalf of the BKCASE Board of Governors by The Trustees of the Stevens Institute of Technology ©2019 ("Stevens") and copyright to most of the content within the SEBoK is also held by Stevens. Prominently noted throughout the SEBoK are other items of content for which the copyright is held by a third party. These items consist mainly of tables and figures. In each case of third party content, such content is used by Stevens with permission and its use by third parties is limited.

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## Attribution

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When **citing the SEBoK in general**, please refer to the format described on the Cite the SEBoK page.

When **using images, figures, or tables from the SEBoK**, please note the following intellectual property (IP) classifications:

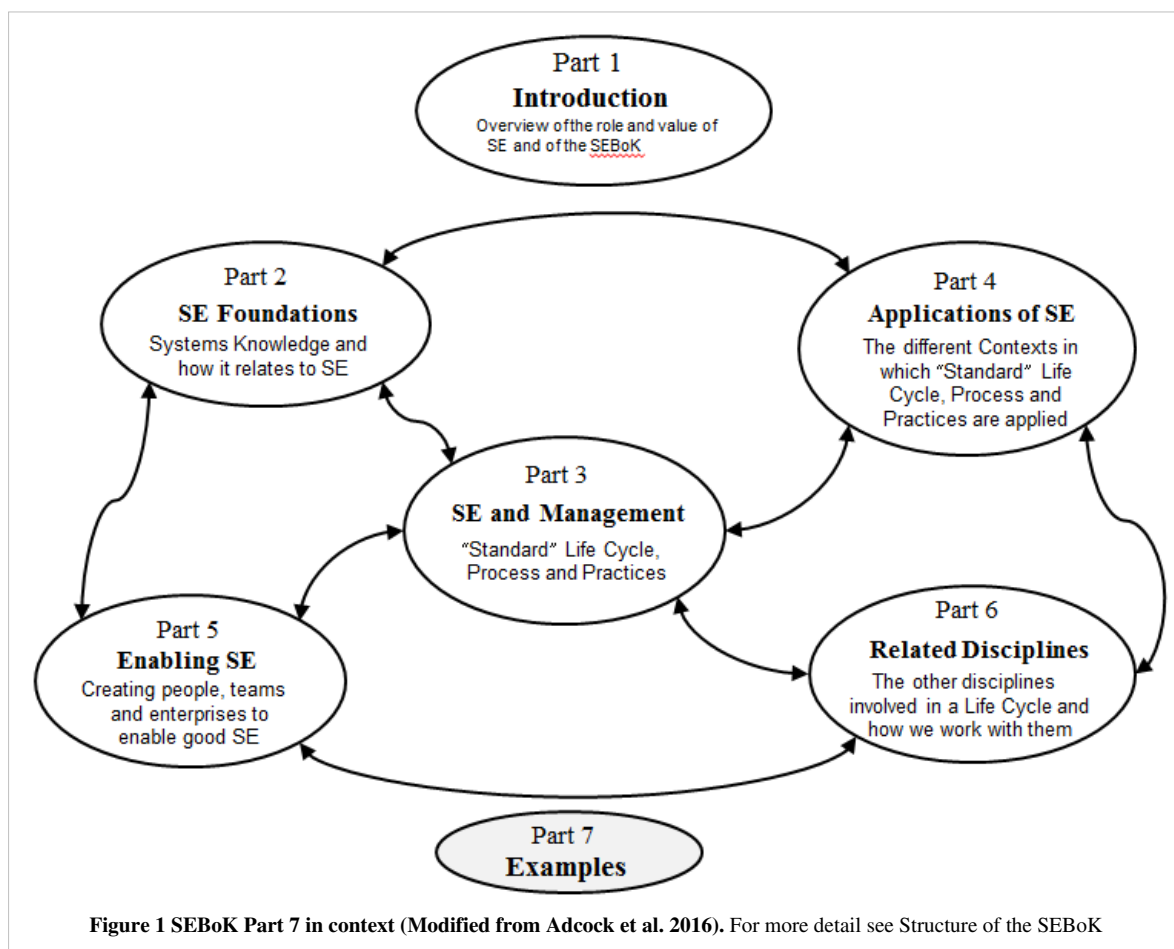
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-

# Part 7: Systems Engineering Implementation Examples

## Systems Engineering Implementation Examples

*Lead Authors: Heidi Davidz, Richard Turner*

Part 7 is a collection of systems engineering (SE) implementation examples to illustrate the principles described in the Systems Engineering Body of Knowledge (SEBoK) Parts 1-6. These examples describe the application of SE practices, principles, and concepts in real settings.



The intent is to provide typical instances of the application of systems engineering (SE) and relate these to key SE principles and concepts from the rest of the SEBoK. This can improve the practice of SE by illustrating to students, educators, and practitioners the benefits of effective practice, as well as the risks and liabilities of poor practice.

A published case study will typically describe aspects of the practice of SE in a particular situation and then provide comments and critique of that practice. Where possible, examples in the SEBoK refer to published case studies and relate the discussions in them to appropriate areas of the SEBoK. In some cases, good or bad examples of SE practice are available but have not been documented in a case study. In these cases the SEBoK authors have described and commented on these examples directly.

A matrix of implementation examples is used to map these examples to main topics in the SEBoK which they cover. More examples will be added over time to highlight the different aspects and applications of SE. In addition, new examples can be added to demonstrate the evolving state of practice, such as the application of model-based SE and the engineering of complex, adaptive systems.

## Knowledge Areas in Part 7

Part 7 is organized in the following way:

- Matrix of Implementation Examples
- Implementation Examples

## Value of Implementation Examples

Learning from critical examples has been used for decades in medicine, law, and business to help students learn fundamentals and to help practitioners improve their practice. A Matrix of Implementation Examples is used to show the alignment of systems engineering case studies to specific areas of the SEBoK. This matrix is intended to provide linkages between each implementation example to the discussion of the systems engineering principles illustrated. The selection of examples covers a variety of sources, domains, and geographic locations. Both effective and ineffective use of systems engineering principles are illustrated.

The United States Air Force Center for Systems Engineering (AF CSE) has developed a set of case studies "to facilitate learning by emphasizing the long-term consequences of the systems engineering/programmatic decisions on cost, schedule, and operational effectiveness." (USAF Center for Systems Engineering 2011) The AF CSE is using these cases to enhance SE curriculum. The cases are structured using the Friedman-Sage framework (Friedman and Sage 2003; Friedman and Sage 2004, 84-96), which decomposes a case into contractor, government, and shared responsibilities in the following nine concept areas:

1. Requirements Definition and Management
2. Systems Architecture Development
3. System/Subsystem Design
4. Verification/Validation
5. Risk Management
6. Systems Integration and Interfaces
7. Life Cycle Support
8. Deployment and Post Deployment
9. System and Program Management

This framework forms the basis of the case study analysis carried out by the AF CSE. Two of these case studies are highlighted in this SEBoK section, the Hubble Space Telescope Case Study and the Global Positioning System Case Study.

The United States National Aeronautics and Space Administration (NASA) has a catalog of more than fifty NASA-related case studies (NASA 2011). These case studies include insights about both program management and systems engineering. Varying in the level of detail, topics addressed, and source organization, these case studies are used to enhance learning at workshops, training, retreats, and conferences. The use of case studies is viewed as important by NASA since "organizational learning takes place when knowledge is shared in usable ways among organizational members. Knowledge is most usable when it is contextual" (NASA 2011). Case study teaching is a method for sharing contextual knowledge to enable reapplication of lessons learned. The MSTI Case Study is from this catalog.

## References

### Works Cited

Adcock, R., Hutchison, N., Nielsen, C., 2016, "Defining an architecture for the Systems Engineering Body of Knowledge," Annual IEEE Systems Conference (SysCon) 2016.

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### Additional References

None.

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

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# Matrix of Implementation Examples

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## Matrix of Implementation Examples

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**Lead Authors:** Heidi Davidz, Alice Squires, Tom Hilburn, **Contributing Authors:** Alex Lee, John Brackett, Richard Turner

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The following matrix maps the Systems Engineering Implementation Examples to topics in the Systems Engineering Body of Knowledge (SEBoK). It provides both a list of systems engineering implementation examples for topics of interest, and a list of relevant topics for each implementation example. Since the number of topics in the SEBoK is extensive, only a subset are included here for clarity. For additional information, see the example of interest and the corresponding SEBoK topic.

### Organization and Mapping of Examples to the SEBoK

The following short titles shown in Table 1 are used for the implementation examples:

**Table 1. Short Titles for the SEBoK Examples. (SEBoK Original)**

	Case Studies
<b>BT</b>	Business Transformation
<b>ATC</b>	NextGen Air Traffic Control
<b>NASA</b>	NASA's Mission to Saturn
<b>HST</b>	Hubble Space Telescope
<b>GPS</b>	Global Positioning System
<b>GPS II</b>	Global Positioning System II
<b>Radiation</b>	Medical Radiation
<b>FBI VCF</b>	FBI Virtual Case File System
<b>MSTI</b>	Miniature Seeker Technology Integration
<b>Infusion Pump</b>	Next Generation Medical Infusion Pump
<b>DfM</b>	Design for Maintainability
<b>CAS</b>	Complex Adaptive Operating System
<b>PM</b>	Project Management
<b>TS</b>	Taxi Service
<b>TS</b>	Taxi Service
<b>SWFTS</b>	SWFTS MBSE
<b>Bag Handling</b>	Denver Airport Baggage Handling System
<b>VA Sub</b>	Virginia Class Submarine
<b>Route Mod</b>	UK West Coast Route Modernisation Project
<b>Water Mgmt</b>	Singapore Water Management
<b>FAA AAS</b>	FAA Advanced Automation System

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<b>Light Rail</b>	Standard Korean Light Transit System
<b>TMT</b>	Thirty-Meter Telescope

Table 2 shows how the topics (each row) align with the first set of implementation examples (each column):

**Table 2. Implementation Examples based on published case studies. (SEBoK Original)**

SEBoK Topic	BT	ATC	NASA	HST	GPS	GPS II	Radiation	FBI VCF	MSTI	Infusion Pump	DfM	CAS	PM	TS	SWFTS	NHS
Systems Thinking					X	X		X	X	X	X	X	X	X		
Models and Simulation		X	X			X							X	X	X	
Product Systems Engineering				X	X		X	X								X
Service Systems Engineering			X			X								X		X
Enterprise Systems Engineering	X	X	X			X							X	X		X
Systems of Systems (SoS)	X	X				X								X		X
Life Cycle Models	X			X	X				X	X	X	X				X
Business or Mission Analysis	X	X				X		X		X			X	X		
Stakeholder Needs and Requirements	X	X		X		X		X		X			X	X	X	
System Requirements				X	X			X		X			X	X	X	
System Architecture	X	X			X	X			X	X						
System Analysis			X		X							X	X	X		
System Implementation					X						X			X		
System Integration	X		X	X	X	X			X		X		X	X		
System Verification			X		X		X		X	X						
System Validation	X				X	X	X		X	X						
System Deployment					X	X					X					
Operation of the System					X	X				X	X			X		X
System Maintenance																X
Logistics																
Planning	X	X		X				X		X			X			
Assessment and Control							X	X	X				X	X		
Risk Management			X	X	X	X	X	X		X		X	X			
Measurement									X							
Decision Management	X								X			X	X	X		

Configuration Management	X	X		X		X	X	
Information Management	X						X	X
Quality Management								X
Enabling Systems Engineering	X	X	X	X	X	X	X	X
Related Disciplines		X	X	X	X		X	

Table 3 shows how the topics (each row) align with the second set of implementation examples (each column):

**Table 3. Implementation Examples Developed for SEBoK. (SEBoK Original)**

SEBoK Topic (Part 3)	Bag Handling	VA Sub	Route Mod	Water Mgmt	FAA AAS	Light Rail
Business or Mission Analysis			X	X		X
Stakeholder Needs and Requirements			X	X		X
System Requirements			X		X	X
System Architecture	X	X		X	X	X
System Analysis	X			X	X	X
System Implementation						X
System Integration	X			X		X
System Verification	X				X	X
System Validation	X				X	X
System Deployment						X
Operation of the System				X		X
System Maintenance						X
Logistics	X					
Planning	X		X	X	X	X
Assessment and Control					X	X
Risk Management	X		X	X	X	X
Measurement						X
Decision Management	X		X	X		
Configuration Management	X		X		X	
Information Management			X			
Quality Management				X		



## References

### Works Cited

None.

### Primary References

None.

### Additional References

None.

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[< Previous Article](#) | [Parent Article](#) | [Next Article >](#)

**SEBoK v. 2.1, released 31 October 2019**

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# Commercial Examples

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## Complex Adaptive Taxi Service Scheduler

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*Lead Author: Rick Adcock*

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This article is based around a **London Taxi Service Case Study** (Rzevski and Skobelev, 2014). The case study focuses on the development of a Real-Time Complex Adaptive Scheduler for a London Taxi Service capable of managing the complexity of many hundreds of taxi journeys in an unpredictable and changing environment, while fitting into the goals and values of the Enterprise.

### Background

When this project was initiated, our client, the largest and the best-known minicab (taxi) operator in London had a fleet of more than 2,000 vehicles, each with a Global Positioning System (GPS) navigation system. The fleet comprised a variety of vehicles, including minivans and Sport Utility Vehicles (SUVs), some with equipment to match special customer requirements. Typically approximately 700 drivers worked concurrently, competing with each other for customers.

The company had a modern Enterprise Resource Planning (ERP) system and a call centre with over 100 operators receiving orders concurrently. Some orders were received through the company website. A large team of skilled dispatchers allocated vehicles to customers.

Main characteristics of the taxi service were as follows:

- More than 13,000 orders per day
- Occasionally more than 1,500 orders per hour (1 order every 2.4 seconds)
- Unpredictable order arrival times and locations
- Various clients, e.g., personal, corporate, Very Important Persons (VIPs), a variety of discounted tariffs, special requirements suitable for the disabled, small children (child seats), transportation of pets, etc.
- Many freelance drivers who leased cars from the company and were allowed to start and finish their shifts at times that suited them, which may have differed from day to day
- Clients in central London were guaranteed pick up times within 15 minutes of order placement
- Fundamentally the company tried to find the best economic match of vehicle to every client
- However, dynamic exceptions to this basic requirement included: matching drivers going to and from home with passengers travelling in the same direction (to reduce drivers' idle runs); and giving priority to drivers with less work during a particular day (to increase drivers' satisfaction with working conditions)

No pre-planned taxi schedule was viable because any of the following unpredictable "Disruptive Events" occurred every 2 to 10 seconds:

- Order arrival, change, or cancellation
  - Changes in driver profile, status, or location
  - Client no-show
  - Vehicle failure
  - Delays due to traffic congestion, or queues at airports, railway stations, etc.
-

## Purpose

Rescheduling up to 700 independent entities, travelling in London under unpredictable conditions that change every few seconds represented an exceedingly complex task, which was not feasible to accomplish using any known mathematical method.

Manual scheduling, as practiced, could not handle the frequent disruptive events. Many perturbations, such as unexpected delays, had to be ignored by the human dispatchers.

Therefore the project's objective was to provide effective, real-time, automated assistance to accommodate the disruptions that drove the scheduling. Thus, the project purpose became the development of a complex adaptive software system capable of managing the taxi operation complexity described above with the aim of substantially improving: (1) operational profitability; (2) customer service quality; and (3) driver working conditions.

The planned transformation was from a manual to semi-automated managed taxi operation that facilitated optional human dispatcher interactions with a complex adaptive system scheduler. A thorough analysis of contemporary practices showed that such a transformation has never been achieved before. To the best of the team knowledge, there were no real-time schedulers of taxi operations in existence anywhere in the world.

## Challenges

The team undertaking the development of a new real-time scheduler for this client had vast experience of designing and implementing complex adaptive software, and therefore no particular challenges were anticipated. The multi-agent technology, which underpinned the system, was well understood by the team, and a methodology for managing complexity (Rzevski and Skobelev, 2014) of the task was in place.

## Systems Engineering Practices

### Overview

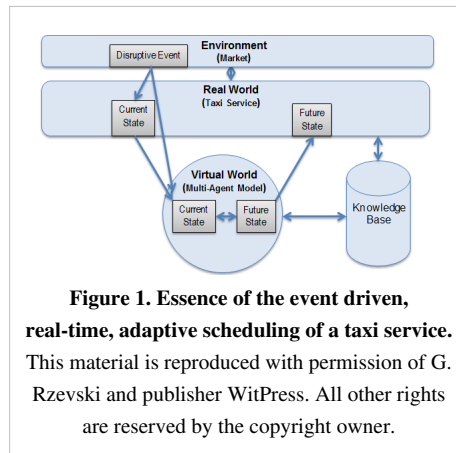
The complexity of the taxi service ruled out all conventional systems engineering practices. The real-time adaptive scheduler for the client's taxi service was developed using multi-agent software technology.

The scheduler design consisted of the following major components (Rzevski and Skobelev, 2014):

1. Knowledge Base containing domain useful information relevant to the client's taxi service
2. Multi-agent Virtual World which models the Real World of the taxi service and is capable of managing its complexity
3. Communication channels between the Virtual and Real Worlds which enable the Virtual World management of the Real World with or without human intervention.

The system was designed to behave as follows. In reaction to every disruptive event, Order Agents, assigned to every received order, and Driver Agents, assigned to every working driver, negotiate, through the exchange of messages, the most suitable Order-Driver match. Before starting negotiations these software agents consult the Knowledge Base for the current negotiation rules. Once the best possible match (under prevailing circumstances) is agreed, the result is communicated to Drivers, who are free to accept or reject the task (Glaschenko et al. 2009). All this is depicted simply in the figure below.

After a successful prototype implementation, a basic version of the complex adaptive scheduler was developed as described below.



## Knowledge Base

The Knowledge Base consisted of: (1) Ontology, containing conceptual knowledge as a semantic network; and (2) Values, in standard databases.

The basic Ontology contained two Object Classes: Order and Driver. Order attributes were

- Location of pick-up and drop-off
- Pick-up: urgent or booked in advance (for a certain date and time)
- Type of service (standard car, minivan, VIP, etc.)
- Importance of service (a number from 0 to 100 depending upon the client)
- Special requirements (pet, child chair, etc.)

Driver attributes were

- Type of vehicle
- Capability to complete special jobs
- Driver experience (novice or experienced)
- Domicile of driver
- Current vehicle location (GPS coordinates)
- Driver status (unavailable, break, working, free, will be free in 5/10 minutes, home transit)

Factual data on Object Instances (Individual Orders and Drivers/Vehicles statuses) were stored in client's databases, including Scenes (i.e., instantaneous models of the taxi service yielding every vehicle location and driver availability).

## Virtual World

In the basic version of the scheduler, the allocation of taxis to customers was done by the negotiation between Order Agents, assigned to customers, and Driver Agents, assigned to taxi drivers. Order Agents were active: they compiled lists of available vehicles and initiated negotiations with Driver Agents. Driver Agents, in this first version of the system were designed to be only reactive: they only replied to requests from Order Agents and implemented the option selected by an Order Agent.

In the extended version, hereafter described, Order Agents and Driver Agents competed with each other or co-operated, depending on what was best for the whole enterprise. In this version, in addition to Order and Driver Agents, some new types of agents, namely, External Events Agents, Regional Loading Agents, and Orders Allocation Agents were also used.

Agents were designed to use flexible decision-making criteria instead of direct priorities, which is valuable when there is a need to deal with different categories of clients. For example, if a VIP order arrived and there was only one

driver that fully corresponded to the specified requirements and if that driver was already assigned to another job, the system would nevertheless allocate the VIP order to this driver and initiate re-scheduling of the previously agreed matches, if required.

The system first attempted to maximize company profit. Then, other criteria that are important for the business were considered, such as the service level and driver working conditions. For example, when choosing from two approximately equal options the system allocated the order to the driver who had not received orders for a longer time, thus ensuring relatively fair distribution of orders.

This virtual agent-based scheduling system was designed to work effectively with human dispatchers. In a situation where one dispatcher takes a new order and schedules a vehicle to come from north to south to pick up a client, and another dispatcher independently schedules another vehicle to go from south to north for another order, the virtual agents can spot this schedule anomaly and recommend dispatchers change their decisions to be more effective.

To enable improved performance, the taxi allocation system functioned in short cycles rather than as an immediate reaction to every event. Between the cycles the system collected the events and placed them in a queue. During each cycle, the events from the queue were processed, one by one, and appropriate agents, in turn, were given control by a designated human system dispatcher. Each event thus initiated a chain of negotiations among virtual agents. When all events were processed and the system dispatcher was satisfied that the best possible schedule was produced for that cycle, the schedule perturbation was implemented in the real world, and the system fell asleep (was idled) until a new event arrived causing the initiation of the next cycle.

To decrease the dimensions of the decision space, a pre-matching mechanism was used, which determined the suitability of Order-Driver matching. This mechanism cuts off unpromising options.

The Order-Driver pairs were evaluated before the final decision was made. An evaluation mark was given to each option and good options were remembered so that the evaluations did not need to be repeated later. The evaluation mark was determined using a multi-criteria model and calculated as a sum of all criteria values multiplied by their (variable) weights.

The following criteria were used for option evaluation: distance to the order, predicted delay of the pick-up, if any, preferences of the driver, driver experience, distance of the driver to overloaded area (to utilize drivers from outlying districts), service level conformity, importance and priority of the order, driver's place in a queue (if he is waiting at an airport), driver's home address (if he is looking for an order to or from home).

Scheduling workflow included the following steps:

1. New order arrives and joins the event queue
2. Possibility of order scheduling is checked
3. A software agent is assigned to the order
4. All drivers that can complete this order are included in pre-matching
5. Evaluation of all Order-Driver pairs is done according to agreed criteria
6. The Order Agent requests order completion costs from selected Driver Agents. This cost includes the cost of transferring the order from the previously allocated driver, if any
7. The Driver Agent receives the information on the reallocation costs by sending a request to its current Order Agent
8. If the revised decision is better than the previous one, it is applied
9. Step 6 continues for all candidate drivers, for whom the initial evaluation (without transfers) was better than the current evaluation
10. If no further changes occur during the cycle, the event processing is considered finished

In order to achieve the best possible solution, the system continued to search for improvements in previously agreed Order-Driver matches until the last moment when it had to issue the instruction to a driver to fulfil an order (commitment time). During this time interval the Driver was considered to be available for new allocations, but only

if the new allocation improved specified performance indicators.

When required, Driver Agents attempted “to come to an agreement” with each other about proposed re-allocation of orders. Occasionally, compensation was offered to the Driver Agent who lost a good client in order to improve overall value of the business, and Driver Agent satisfaction, in particular. Very often the re-scheduling of allocated resources caused a wave of negotiations aimed at the resolution of conflicts between new and old orders. The length of the re-scheduling chain was limited only by the time required for a taxi to reach a customer in a busy city such as London, which normally was sufficient for several changes of the schedule.

To summarise, the system built a schedule and perpetually reviewed it, attempting to improve key performance indicators as long as the time for essential re-scheduling was still available.

The Commitment Time was dynamically calculated for each order taking into account the priority and service type of the order and some other parameters. The introduction of the dynamic Commitment Time resulted in the increase of the fleet effectiveness by reducing the average task completion time per driver.

An option was introduced for the system to distribute the fleet according to the order-flow forecasts. Having information about the current order-flow and distribution of orders in the past, the expected order-flow was extrapolated, enabling the system to generate short-term (30 minutes) forecasts, which were normally reasonably correct. Based on the forecast, the system sent text messages to unoccupied drivers with recommendations to stay in, or move to the region where an increased order flow was expected. This feature enabled an improved distribution of the fleet, reducing response times and idle miles and increasing the number of pick-ups.

In cases when forecasts envisaged a probability of a VIP order arrival at a significant distance from the point where drivers were advised to congregate, the system would recommend that a proximate driver to move closer to the likely order point, offering him/her a guaranteed next order in exchange for compliance. This was an important feature because there were usually enough proximate drivers to complete available orders in areas that were not overloaded, and productivity of work in overloaded areas determined the actual fleet effectiveness. The system was also designed with an option to temporary amend criteria for the allocation of orders to drivers (for example, to extend the area where drivers are allowed to search for orders) to enable drivers to reach critical locations without being intercepted by less important orders from nearby locations.

The forecasting functionality was supported by an agent-based dynamic data mining system, which was, in fact, another complex adaptive system cooperating with the complex adaptive scheduler.

In later versions the system was designed to detect and identify drivers that cheat, i.e., by deliberately providing the scheduler with false information to gain personal advantages. Recorded cases include attempts to

- Reduce their ultimate waiting time by reporting that they were already waiting in an airport queue when, in reality, they may still have been tens of miles from the airport
- Get an earlier next order by indicating “free in 10 minutes” at or near the beginning of a long assignment
- Receive orders in their home direction by indicating “going home” several times during a day.

To reduce cheating Driver Agents were designed to monitor drivers’ schedules and ignore their messages, when judged inappropriate.

The final version of the complex adaptive taxi service scheduler negotiated only with agents that were affected by a disruptive event and then modified only affected parts of the schedule. This capability was a key feature that improved overall effectiveness.

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## Connecting Virtual and Real Worlds

The Virtual World, which is a model of reality and resides in the scheduler, is connected with the Real World of customers, dispatchers, and drivers, as follows.

As customers ring the call centre or visit the website to place, modify or cancel an order, dispatchers enter the pertinent information into the system. Drivers communicate with the system using GPS, mobile phones, or specialised handheld devices, conveying information on their location, direction of travel, availability, etc., and, in turn, receive instructions to pick up customers.

## Lessons Learned

The system began its operation and maintenance phase in March 2008, only 6 months from the beginning of the project.

Results were extremely good: 98.5 % of all orders were allocated automatically without dispatcher's assistance; the number of lost orders was reduced by up to 2 %; the number of vehicles idle runs was reduced by 22.5 %. Each vehicle was able to complete two additional orders per week spending the same time and consuming the same amount of fuel, which increased the yield of each vehicle by 5 – 7 %.

Time required to repay investments was 2 months from the beginning of the operation and maintenance phase. During the first month of operation the fleet utilization effectiveness was increased by 5 – 7 %, which represents potential additional revenue of up to 5 million dollars per year. Such realized additional income has benefited both the company and the taxi drivers. According to available statistics, since 2008 driver wages have increased by 9 %, and there is a possibility for an overall fleet growth.

Delayed pick-ups were reduced by a factor of 3 which considerably improved customer service. Urgent order average response time (from booking until taxi pick-up arrival) decreased to 9 minutes which is the best time among all taxi services in London. For high priority orders the response time is 5 – 7 minutes or less. Response time reductions are especially noticeable in overloaded areas.

Implementation of “on the way home” orders, an improved allocation mechanism, when compared with a previous system, gives 3 – 4 thousand miles reduction in daily fleet run, greatly benefiting both drivers and the city's ecology.

Further developments targeting business effectiveness improvements may include an analysis of vehicle movements to determine actual vehicle velocities that could improve courier service by increasing the number of orders per courier.

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## Additional References

None.

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[< Previous Article](#) | [Parent Article](#) | [Next Article >](#)

**SEBoK v. 2.1, released 31 October 2019**

# Complex Adaptive Project Management System

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This article is based around a **Russia space agency Project Management Systems case study** (Rzevski and Skobelev, 2014). The case study focuses on the development of a Real-Time Complex Adaptive Project Management Systems capable of effectively managing multiple related projects collectively contributing to a defined Enterprise Value.

## Background

The essence of every management system should be the same: the allocation of human, physical, financial and intellectual (knowledge) resources to demands (tasks) with the aim of increasing the specified Enterprise Value, where the Enterprise Value is a system of values such as profit, market share, business sustainability, quality of service to customers, quality of working conditions for employees, quality of life in the community, etc. The key difference between the management of a business and management of a project is that businesses are continuously evolving processes whilst projects have specified beginnings and ends.

Standard challenges for project management are:

- Stringent budgets and deadlines
- High competition for limited resource availability such as up-to-date domain knowledge, skills and advanced productivity tools
- Functional organisation, which inevitably impedes interdepartmental cooperation
- Bureaucratic management, which is more concerned with lines of command and reporting than with the full use of project member's initiative and creativity and which negatively affects their motivation
- Rigid project planning, which leads to a rapid divergence between the project plan and reality

Large enterprises commonly operate several projects concurrently. What is best for an individual project it is not always best for the enterprise and therefore it is necessary to implement coordination of concurrently run projects with the objective of significantly increasing Enterprise Value.

There are two new key problems, which the 21st century brought to us.

The first is the rapidly increasing complexity of the Internet-based global market, which creates frequent unpredictable disruptive events. This requires real-time adaptive project management, for which there is at present no precedent.

The second is the replacement of capital with knowledge as the key business resource in the economy in which the wealth created by knowledge services is greater than wealth created by producers of goods. There is at present no management system capable of discovering, processing, storing and allocating knowledge to project tasks.

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## Purpose

The client for this case study was one of the key space technology organisations in Russia, their equivalent of NASA, which operates, at any time, many concurrent mission critical projects.

The purpose of the project management system was to enable the client to effectively manage several related projects (at least ten), collectively contributing to the specified Enterprise Value, with the following requirements.

- Each project may consist of up to 5,000 constituent tasks
- Project members may have different backgrounds and skills and may belong to diverse business cultures
- Project members must have an opportunity to contribute to decision making processes, which affects their domain of work (distributed decision making)
- Both project management and project members must have readily available and up-to-date information on, respectively, project and individual progress, productivity and achievements of goals
- The allocation of resources to tasks must consider 4 types of resources, namely, human, physical, financial and knowledge
- Availability of resources for and constituent tasks of each project may change with short notice and these changes must be rapidly incorporated into the system
- Projects will be subjected to frequent disruptive events such as non arrival of expected orders, arrival of unexpected orders, sudden and unforeseen emergence of external/internal competitors, cancellations, changes in task specifications, delays, failures, no-shows, etc.
- Rules and regulations governing projects are likely to change rather frequently and any change in rules and regulations must be incorporated immediately and easily into the relevant project management system
- Any discrepancy between project plans and reality in the field must be continuously monitored and rapidly detected and reported
- Projects may cooperate and/or compete for resources in order to increase specified Enterprise Value

A thorough analysis of the client's requirements led to the conclusion that it is necessary to develop a real-time, complex adaptive project management system capable of cooperating and/or competing with other systems, with the overarching goal to continuously increase specified Enterprise Value.

The new system would replace a number of stand-alone, manual or semi-automated project management systems with inadequate monitoring of progress and productivity.

A thorough analysis of contemporary practices showed that such a transformation had never before been achieved. To the best of the team's knowledge, there were no real-time project management systems in existence anywhere in the world.

## Challenges

This particular undertaking had a number of challenges.

The most important challenge was the resistance to change by client's managers. The new system with its progress and productivity monitoring capabilities threatened to expose inefficiencies and was not universally welcomed. Two approaches were planned to manage this challenge: the first was education of participants and the second, a proposal for a new payment structure which related salaries to meeting of targets, as reported by the new system.

The scale of the proposed network of systems was an even more important challenge, especially because all projects were mission critical. To manage this challenge the plan was made to adopt an evolutionary development strategy. The first step was planned to be a fully engineered prototype with a limited functionality, which would be extended into the first project management system only after a complete acceptance by the client that the prototype was capable of delivering its limited functionality as specified. The network of project management systems would be grown step by step.

The multi-agent technology, which underpinned the system, was well understood by the team, and a methodology for managing complexity (Rzevski and Skobelev, 2014) of the task was in place.

## Systems Engineering Practices

### Overview

The complexity of client's projects ruled out all conventional project management practices and systems. Instead, for every project, the team designed a complex adaptive project management system, based on multi-agent technology, capable of meeting client requirements.

The system consisted of the following major components (Rzevski and Skobelev, 2014):

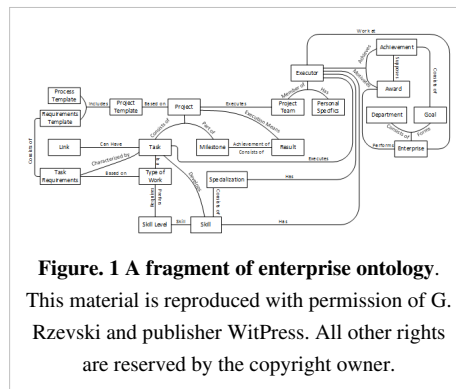
1. Knowledge Base containing domain knowledge relevant to the client's project management processes
2. Multi-agent Virtual World which models the Real World of projects and is capable of managing real-world complexity
3. Interfaces between the Virtual and Real Worlds, which enable the Virtual World to, in-effect, manage the Real World, with or without human intervention

### Knowledge Base

Examples of Classes of Objects in the ontology are: Enterprise, Organisational Unit, Project, Task, Project Member (Human Resource), Hardware (Physical) Resource, Document, Software Resource, Knowledge Resource and Process.

Examples of attributes are, for Task: Content, Cost, Duration, Deadline and Preferences; and for Project Member: Organisational Unit, Competences, Profile, Schedule, Current Task, Salary, Achievements and Preferences.

A fragment of enterprise ontology is shown below.



### Virtual World

Examples of agents that populate the Virtual World include:

- Task Agent, whose objective is to search for the best resources capable to meet its requirements
- Human Resource Agent, whose objective is to get the best possible task, which will keep the project participant fully occupied, provide opportunities for bonuses and/or enable the participant to learn new skills or get new experience
- Physical Resource Agent, whose objective is to maximise resource utilisation
- Project Agent, whose objective is to maximise Project Value
- Enterprise Agent, whose objective is to maximise Enterprise Value

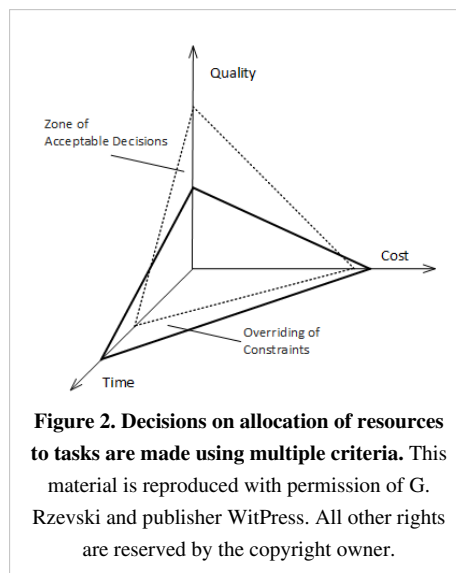
All decisions are made through agent negotiations, as exemplified by the following process:

Task Agents send messages to Human Resource Agents with required competences inviting them to contribute to task fulfilments. Human Resource Agents that are available send their bids. Task Agents offer project participation to those Agents that sent the best bids. Bids are subject to negotiations between affected agents.

A new Task Agent is created whenever a new task is formulated or a previously allocated task is modified. The new Task Agent consults ontology to find out what are its objectives and how to achieve them, and proceeds to send messages to selected Human Resource Agents inviting them to bid for project participation. It is very likely that this invitation will result in re-scheduling, giving an opportunity to Human Resource Agents that were not fully satisfied with their previous allocations to improve their positions. Remuneration, including bonuses, if any, is calculated on the basis of project member participation and achieved results. Enterprise members may participate in several projects.

The allocation of physical, software and knowledge resources is done in an analogous manner. Advanced methods (Rzevski and Skobelev, 2014) have been employed to maximise effectiveness of agent negotiation, such as, virtual microeconomics, agent satisfaction, agent proactivity, enterprise agents, swarm cooperation, etc.

Decisions on allocation of resources to project tasks are made using multiple criteria, for example, decreases in completion time, increases in quality and reducing identified risks, as illustrated below.



## Connecting Virtual and Real Worlds

The project member dashboard is the key link between the system and the project member. The exchange of information that could be conducted using the dashboard include:

- Negotiations of task content, risks, deadlines and budgets
- Acceptance/rejection by the project member of offered project tasks
- Inputs by project members of unexpected disruptive events and comments during the project
- Reports by the system on the project member performance in carrying out accepted tasks

The system may decide to engage two or more available project members in competition with each other to secure an agreement on the acceptable task performance.

The other key link between the virtual and real worlds is the project managers dashboard, which displays detailed project performance data in the form of various diagrams and Gant charts and allows the manager to examine or modify decisions made autonomously by the system.

## Lessons Learned

The first real-time complex adaptive project management system was commissioned and deployed by the client in 2014 achieving the following results:

- 10% to 15% increase in project member productivity;
- 3 to 4 times reduction in manpower required for project scheduling, monitoring and coordination;
- 2 to 3 times reduction of response time to unpredictable disruptive events;
- 15% to 30% increase in the number of projects completion on budget and in time;
- A significant increase in project member motivation;
- A possibility to increase the number of projects operating in parallel without increasing the number of employees.

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### Additional References

None.

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[< Previous Article](#) | [Parent Article](#) | [Next Article >](#)

**SEBoK v. 2.1, released 31 October 2019**

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# Denver Airport Baggage Handling System

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*Lead Authors: Art Pyster, Heidi Davidz*

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This example was developed as a SE example for the SEBoK. It describes systems engineering (SE) issues related to the development of the automated baggage handling system for the Denver International Airport (DIA) from 1990 to 1995. The computer controlled, electrical-mechanical system was part of a larger airport system.

## Description

In February 1995, DIA was opened 16 months later than originally anticipated with a delay cost of \$500 million (Calleam Consulting Ltd. 2008). A key schedule and cost problem—the integrated automated baggage handling system—was a unique feature of the airport. The baggage system was designed to distribute all baggage automatically between check-in and pick-up on arrival. The delivery mechanism consisted of 17 miles of track on which 4,000 individual, radio-controlled carts would circulate. The \$238 million system consisted of over 100 computers networked together, 5,000 electric eyes, 400 radio receivers, and 56 bar-code scanners. The purpose of the system was to ensure the safe and timely arrival of every piece of baggage. Significant management, mechanical, and software problems plagued the automated baggage handling system. In August 2005, the automated system was abandoned and replaced with a manual one.

The automated baggage system was far more complex than previous systems. As planned, it would have been ten times larger than any other automated system, developed on an ambitious schedule, utilized novel technology, and required shorter-than-average baggage delivery times. As such, the system involved a very high level of SE risk. A fixed scope, schedule, and budget arrangement precluded extensive simulation or physical testing of the full design. System design began late as it did not begin until well after construction of the airport was underway. The change management system allowed acceptance of change requests that required significant redesigns to portions of work already completed. The design did not include a meaningful backup system; for a system that required very high mechanical and computer reliability, this increased failure risks. The system had an insufficient number of tugs and carts to cope with the volume of baggage expected and this, along with severely limited timing requirements, caused baggage carts to jam in the tracks and for them to misalign with the conveyor belts feeding the bags. This resulted in mutilated and lost bags (Neufville 1994; Gibbs 1994).

The baggage system problems could be associated with the non-use or misuse of a number of systems engineering (SE) concepts and practices: system architecture complexity, project scheduling, risk management, change management, system analysis and design, system reliability, systems integration, system verification and validation/testing, and insufficient management oversight.

## Summary

The initial planning decisions, such as the decision to implement one airport-wide integrated system, the contractual commitments to scope, schedule, and cost, as well as the lack of adequate project management (PM) procedures and processes, led to a failed system. Attention to SE principles and practices might have avoided the system's failure.

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< Previous Article | Parent Article | Next Article >

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# Global Positioning System Case Study

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**Lead Authors:** Heidi Davidz, Richard Freeman, Alice Squires, **Contributing Authors:** Tom Hilburn, Brian White

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The Global Positioning System (GPS) case study was developed by the United States Air Force Center for Systems Engineering (AF CSE) located at the Air Force Institute of Technology (AFIT). The GPS is a space-based radio-positioning system. A constellation of twenty-four satellites, including three spares, comprise the overall system which provides navigation and timing information to military and civilian users worldwide. GPS satellites, in one of six Earth orbits, circle the globe every twelve hours, emitting continuous navigation signals on two different L-band frequencies. The system consists of two other major segments: a world-wide satellite control network, and the GPS user equipment that can either be carried by a human user or integrated into host platforms such as ships, vehicles, or aircraft.

This case study discussion is based on the original source (O'Brien and Griffin 2007) which provides useful insights into what we might consider a "traditional" SE application. A second Global Positioning System Case Study II looks at the same case study from the perspectives of system of systems (sos) engineering and enterprise systems engineering (ese).

## Domain Background

When looking at the Global Positioning System (GPS), it would be difficult to imagine another system that relies so heavily upon such a wide range of domains, with the possible exception of the World Wide Web (WWW). Additionally, the various systems operating within these domains must all function together flawlessly to achieve success. It is evident from reading this case study that it directly relates to the following domains:

- aerospace;
  - space;
  - communications; and
  - transportation.
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This is also an example of systems of systems (SoS) and is considered an innovative technology.

The GPS case study includes a detailed discussion of the development of the GPS and its components, as well as other applicable areas. The reader of this study will gain an increased understanding of the effect that GPS has on military and commercial industries in the context of the systems engineering support required to achieve success.

## Case Study Background

The United States Air Force Center for Systems Engineering (AF CSE), established in 2002 at the Air Force Institute of Technology (AFIT), was tasked to develop case studies focusing on the application of systems engineering principles within various aerospace programs. The GPS case study (O'Brien and Griffin 2007) was developed by AFIT in support of systems engineering graduate school instruction. The cases are structured using the Friedman-Sage framework (Friedman and Sage 2003; Friedman and Sage 2004, 84-96), which decomposes a case into contractor, government, and shared responsibilities in the following nine concept areas:

1. Requirements Definition and Management
2. Systems Architecture Development
3. System/Subsystem Design
4. Verification/Validation
5. Risk Management
6. Systems Integration and Interfaces
7. Life Cycle Support
8. Deployment and Post Deployment
9. System and Program Management

The Friedman-Sage framework (2004) is provided in Appendix A of the case study. This case study is an example where the government - specifically the JPO Systems Engineering Directorate - bore the responsibility for systems integration and configuration management. That is, the government played more than an oversight role in the systems engineering of the GPS system of systems. As mentioned in the case study, JPO developed the CONOPs, mission analysis, requirements and design analysis including security, and developed their own approach to the cryptology methodology. JPO coordinated the Configuration Control Board (CCB) chaired by the Program Director. JPO was also responsible for Level I ICDs and system design configurations; where the contractors were responsible for the system architecture and ICDs within their segment.

## Case Study Description

The "Global Positioning System - Systems Engineering Case Study" describes the application of systems engineering during the concept validation, system design and development, and production phases of the GPS program (O'Brien and Griffin 2007). The case examines the applied systems engineering processes, as well as the interactions of the GPS joint program office (JPO), the prime contractors, and the plethora of government agencies that were associated with the program's development and fielding. The systems engineering process is traced from the initiation of studies and the development of key technologies, which established the vision of a satellite navigation system in the 1960s, through to the multiphase joint-program that resulted in a fully operational capability release in 1995. This case study does not cover system enhancements incorporated through Blocks IIM, IIF, and III.

The GPS case study derived four learning principles (LPs) that explain the more broadly applicable areas of systems engineering knowledge that are addressed by the case study. These four LPs relate strongly to the SEBoK in the following areas:

- enabling individuals (LP1);
- configuration management (LP2);
- enabling the organization (LP3); and

- risk management (LP4).

Additionally, the GPS case study contains a thorough overview of life cycle management and exemplifies systems thinking principles.

## **Enabling Individuals**

*Learning Principle 1:* Programs must strive to staff key positions with domain experts.

From the program management team, to the systems engineering, design, manufacturing, and operations teams, the individuals on the program were well-versed in their disciplines and all possessed a systems view of the program. While communications, working relationships, and organization were important, it was the ability of the whole team at all levels to understand the implications of their work on the system that was vital. Their knowledge-based approach for decision making had the effect of shortening the decision cycle because the information was understood and the base and alternative solutions were accurately presented.

## **Configuration Management**

*Learning Principle 2:* The systems integrator must rigorously maintain program baselines.

The joint program office (JPO) retained the role of managing and controlling the system specification and, therefore, the functional baseline. The JPO derived and constructed a mutually agreed to set of system requirements that became the program baseline in 1973. While conducting the development program, the GPS team was able to make performance, risk, cost, and trade analyses against the functional baseline to control both risk and cost. The JPO was fully cognizant of the implications of the functional requirements on the allocated baseline because they managed the interface control working group process. Managing that process gave them first-hand knowledge and insight into the risks at the lowest level. The individual with the system integrator role must rigorously maintain the system specification and functional baseline. There must be appropriate sharing of management and technical responsibilities between the prime contractor and their government counterparts to ensure success.

## **Enabling the Organization**

*Learning Principle 3:* Achieving consistent and continuous high-level support and advocacy helps funding stability, which impacts systems engineering stability.

Consistent, continuous high-level support provides the requirements and assists funding stability. In this role, the Office of the Secretary of Defense (OSD) provided advocacy and sourced the funding at critical times in the program, promoted coordination among the various services, and reviewed and approved the GPS JPO system requirements. The OSD played the central role in the establishment and survivability of the program. The GPS JPO had clear support from the Director of Defense Development, Research, and Engineering, Dr. Malcolm Currie, and program support from the Deputy Secretary of Defense, Dr. David Packard. Clearly, the armed services – particularly the Navy and the Air Force early on, and later the Army – were the primary users of GPS and the eventual customers. However, each armed service had initial needs for their individual programs, or for the then-current operational navigation systems. Additionally, the secretary of the Air Force provided programmatic support to supply manpower and facilities.

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## **Risk Management**

*Learning Principle 4:* Disciplined and appropriate risk management must be applied throughout the life cycle.

The GPS program was structured to address risk in several different ways throughout the multiphase program. Where key risks were known up front, the contractor and/or the government utilized a classic risk management approach to identify and analyze risk, as well as develop and track mitigation actions. These design (or manufacturing/launch) risks were managed by the office who owned the risks. Identified technical risks were often tracked by technical performance measures (such as satellite weight and software lines of codes) and addressed at weekly chief engineer's meetings.

Serving in the clear role of program integrator allowed the JPO to sponsor risk trade studies at the top level. The JPO would issue study requests for proposals to several bidders for developing concepts and/or preliminary designs. Then, one contractor would be down-selected and the process would continue. This approach provided innovative solutions through competition, as well as helped in defining a lower risk, more clearly defined development program for the fixed-price contracts approach that was being used for development and production.

As the system integrator, the JPO was also closely involved with technical development. To identify unforeseeable unique technical challenges, the JPO would fund studies to determine the optimal approaches to new issues. There were schedule risks associated with the first launch due to unforeseen Block II issues with respect to the space vehicle and control segments (software development). Although a catastrophic event, the Challenger accident actually provided much needed schedule relief. Using decision analysis methodology led the JPO to an alternative approach to develop the expendable launch vehicle for the Block II satellites.

Good communication, facilitated by cooperative working relationships, was a significantly positive (though intangible) factor in the success of the GPS program, regardless of whether it was between the contractors and the government (JPO or other agencies), or between contractors and sub-contractors. A true team environment also played a significant role in reducing risk, especially considering the plethora of government agencies and contractors that were involved in the effort.

## **Life Cycle Management**

The GPS case study takes the reader through the initial concept of GPS (March 1942) all the way to the development, production, and operational capability of the system. The current GPS program traces its heritage to the early 1960s when Air Force Systems Command initiated satellite-based navigation systems analyses conducted by The Aerospace Corporation. The case study follows the execution of the GPS program from the inception of the idea to the full operational capability release on April 27th, 1995. The concentration of the case study is not limited to any particular period, and the learning principles come from various times throughout the program's life.

## **Systems Thinking**

The GPS case study highlights the need for systems thinking throughout. GPS satellites, in one of six Earth orbits, circle the globe every twelve hours. These satellites emit continuous navigation signals on two different L-band frequencies. The system consists of two other major segments: a world-wide satellite control network and the GPS user equipment that can either be carried by a human user, or integrated into host platforms such as ships, vehicles, or aircraft. The ability to conceive, develop, produce, field, and sustain the GPS demands the highest levels of systems thinking.

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## Summary

The GPS case study is useful for global systems engineering learning and provides a comprehensive perspective on the systems engineering life cycle. The study is applicable for detailed instruction in the following areas:

- enabling individuals;
- configuration management;
- enabling the organization;
- risk management;
- life cycle management; and
- systems thinking.

The GPS case study revealed that key Department of Defense personnel maintained a clear and consistent vision for this unprecedented, space-based navigation capability. The case study also revealed that good fortune was enjoyed by the JPO as somewhat independent, yet critical, space technologies matured in a timely manner.

Although the GPS program required a large degree of integration, both within the system and external to the system amongst a multitude of agencies and contractors, the necessary efforts were taken to achieve success.

Lastly, the reader of the GPS case study will gain an increased understanding of the effect that GPS has on the military and commercial industries in the context of the systems engineering support required to achieve success. The system was originally designed to help “drop five bombs in one hole” which defines the accuracy requirement in context-specific terms. The GPS signals needed to be consistent, repeatable, and accurate to a degree that, when used by munitions guidance systems, would result in the successful delivery of multiple, separately-guided munitions to virtually the identical location anywhere at any time across the planet. Forty to fifty years ago, very few outside of the military recognized the value of the proposed accuracy and most non-military uses of GPS were not recognized before 1990. GPS has increasingly grown in use and is now used every day.

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## Additional References

none.

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[< Previous Article](#) | [Parent Article](#) | [Next Article >](#)

**SEBoK v. 2.1, released 31 October 2019**

# Global Positioning System Case Study II

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*Lead Author: Brian White*

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This article highlights some of the differences between the so-called classical, traditional, or conventional systems engineering (SE) approaches and the newer, and, as yet, less defined principles of system of systems (SoS) engineering (SoSE), enterprise systems engineering (ESE), and/or complex systems engineering (CSE) or complex adaptive systems engineering (Gorod et al. 2015). The topic is still somewhat controversial, especially considering those that are sceptical that broader views of SE might work better when one is immersed in trying to cope with our most difficult problems. Indeed, the lack of a unified theory of SE is one of the prime motivations for producing and analysing case studies to develop more knowledge of what seems to work, what does not seem to work, and reasons why, really challenging SE environments.

For addition information, refer to Systems Engineering: Historic and Future Challenges, Systems Engineering and Other Disciplines, Enterprise Systems Engineering, and System of Systems Engineering.

Rather than modifying the previous discussion of the Global Positioning System Case Study in SEBoK, the focus is on comparing and contrasting the older and newer forms of SE by commenting on quotations from the original case study source documents (O'Brien and Griffin 2007).

## Preface

The original case study begins by describing systems engineering (SE) principles. For example,

System requirements are critical to all facets of successful system program development. First, system development must proceed from a well-developed set of requirements. Second, regardless of the evolutionary acquisition approach, the system requirements must flow down to all subsystems and lower-level components. And third, the system requirements must be stable, balanced, and must properly reflect all activities in all intended environments. However, system requirements are not unchangeable. As the system design proceeds, if a requirement or set of requirements is proving excessively expensive to satisfy, the process must rebalance schedule, costs, and performance by changing or modifying the requirements or set of requirements. (O'Brien and Griffin 2007, p. 9)

The Global Positioning System (GPS), including its multi-various applications, was developed over many years as the result of the efforts of a host of contributors. It is very difficult to believe that the classical, traditional or conventional systems engineering approach described in the above paragraph (especially those phrases highlighted in bold by the present authors) was truly responsible for this remarkable achievement that so profoundly impacts our lives. Rather, some more advanced form of systems engineering (SE), that might be called, system of systems (SoS) engineering (SoSE), enterprise systems engineering (ESE), or complex (adaptive) systems engineering (CSE), or a

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blend and/or combination of these approaches or methodologies, had to be responsible. This premise is supported explicitly and repeatedly in the following case study revision using bold font.

Continuing, the following quoted paragraphs seem flawed in several places highlighted in bold. The bold phrases might be replaced by the phrases in brackets [...]. Such brackets might also include other editorial comments of the present authors.

Systems engineering includes making key system and design trades early in the process to establish the system architecture. These architectural artifacts This architecture can depict any new system, legacy system, modifications thereto, introduction of new technologies, and overall system-level behavior and performance. Modeling and simulation are generally employed to organize and assess architectural system alternatives at this stage. System and subsystem design follows the functional [system] architecture [as defined from a functional point of view]. System architectures designs are modified if elements are too risky, expensive, or time-consuming. (O'Brien and Griffin 2007, p. 9)

A good architecture, once established, should guide systems development, and not change very much, if at all, at least compared to possible changes in the system design, which, of course, can evolve as one learns more about the problem and potential solutions that may increase the system's capability. Thus, it is crucial to not confuse architecture with designs instantiating the architecture, contrary to what seems to be the case in (Ricci, et al. 2013).

Important to the efficient decomposition and creation of functional and physical architectural designs are the management of interfaces and the integration of subsystems. interface management and integration is applied to subsystems within a system or across a large, complex system of systems. Once a solution is planned, analyzed, designed, and constructed, validation and verification take place to ensure satisfaction of requirements. Definition of test criteria, measures of effectiveness (MOEs), and measures of performance (MOPs) are established as part of the requirements process, taking place well before any component/subsystem assembly design and construction occurs. (O'Brien and Griffin 2007, p. 10)

In the quoted paragraph just above bold phrases note the emphasis on a reductionist approach, reductionism, where great attention is paid to the subsystems and managing the interfaces among them. This is the antithesis of a holistic approach where one concentrates on the whole system, recognizing that it is difficult to identify overall system behavior as depending on any particular subsystem or set of subsystems. In a truly complex system that is continually evolving, the above-mentioned requirements process is flawed because the system is continually changing, i.e., the system is evolutionary; the requirements are either ill-defined at the outset, or are modified because stakeholders change their minds, or become somewhat irrelevant because the system environment changes.

There are several excellent representations of the [usual traditional or conventional] systems engineering process presented in the literature. These depictions present the current state of the art in maturity and evaluation of the systems engineering process. One can find systems engineering process definitions, guides, and handbooks from the International Council on Systems Engineering (INCOSE), European Industrial Association (EIA), Institute of Electrical and Electronics Engineers (IEEE), and various Department of Defense (DoD) agencies and organizations. They show the process as it should be applied [Really? In all situations?] by today's experienced practitioner. One of these processes, long used by the Defense Acquisition University (DAU), is [a model] not accomplished in a single pass. This iterative and nested process gets repeated to the lowest level of definition of the design and its interfaces. (O'Brien and Griffin 2007, p. 10)

The above description appears to be written with pride without any acknowledgement that this SE methodology might fail to work if applied according to these guidelines, or that there might be new SE techniques that could be more effective in some situations. Again, this reflects a reductionist approach that ignores holism and emergent properties that might not be explained even when thoroughly understanding the systems components and their interactions. On the positive side, the next paragraph suggest how the world is changing and hints that something more is needed. Nevertheless, the advice seems to be oriented toward applying the existing SE discipline more

vigorously instead of seeking new methods that might be more effective.

The DAU model, like all others, has been documented in the last two decades, and has expanded and developed to reflect a changing environment. Systems are becoming increasingly complex internally and more interconnected externally. The process used to develop aircraft and systems of the past was effective at the time. It served the needs of the practitioners and resulted in many successful systems in our inventory. Notwithstanding, the cost and schedule performance of the past programs are replete with examples of well-managed programs and ones with less-stellar execution. As the nation entered the 1980s and 1990s, large DoD and commercial acquisitions experienced overrunning costs and slipping schedules. The aerospace industry and its organizations were becoming larger and were more geographically and culturally distributed. Large aerospace companies have worked diligently to establish common systems engineering practices across their enterprises. However, because of the mega-trend of teaming in large (and some small) programs, these common practices must be understood and used beyond the enterprise and to multiple corporations. It is essential that the systems engineering process govern integration, balance, allocation, and verification, and be useful to the entire program team down to the design and interface level. (O'Brien and Griffin 2007, p. 11)

Finally, in the next paragraph there is a suggestion that SE could be made more sophisticated but there is no mention of addressing people problems or advocating a broader transdisciplinary approach.

Today, many factors overshadow new acquisition; including system-of-systems (SoS) context, network centric warfare and operations, and rapid growth in information technology. These factors are driving a more sophisticated systems engineering process with more complex and capable features, along with new tools and procedures. One area of increased focus of the systems engineering process is the informational systems architectural definitions used during system analysis. This process, described in DoD Architectural Framework (DoDAF), emphasizes greater reliance on reusable architectural views describing the system context and concept of operations, interoperability, information and data flows, and network service-oriented characteristics. (O'Brien and Griffin 2007, p. 11)

The last two sections of the systems engineering principles portion of the original case study address case studies themselves, mainly for academic purposes, to help people appreciate systems engineering principles, and the framework used in the case study, namely the rather narrowly defined Friedman-Sage framework that will be discussed briefly in Section II below.

The treatment of the reason for case studies is quite good in that it talks about the benefits of applying systems engineering principles, as highlighted from real-world examples of what works and what does not. Except near the end, where there is allusion to the possibility of new endeavor systems engineering principles, the principles espoused tend to be traditional or conventional.

On the other hand, based upon the original case study (O'Brien and Griffin 2007), if one views the boundary of the GPS system to include primarily the technology associated with the GPS space segment and its controlling ground network, then it can be assumed that system was likely implemented primarily by following traditional or conventional systems engineering processes. If one takes this viewpoint, then all of the above criticism which attempts to point out some of the shortcomings of conventional systems engineering, may seem vacuous at best, or politically incorrect at worst. It may well be that many would rather not denigrate the original GPS case study by exposing it to the possibilities of a broader system engineering approach.

Unless otherwise indicated, as the present authors have already been doing, unchanged quotations from the existing SEBoK are indented below. Modifications to such quotations are shown in brackets [...]; deletions are not necessarily shown explicitly.

## Background

The Global Positioning System (GPS) case study was developed by the United States Air Force Center for Systems Engineering (AF CSE) located at the Air Force Institute of Technology (AFIT). The GPS is a space-based radio-positioning system. A constellation of twenty-four satellites, including three spares, comprise the overall system which provides navigation and timing information to military and civilian users worldwide. GPS satellites, in one of six Earth orbits, circle the globe every twelve hours, emitting continuous navigation signals on two different L-band frequencies. The system consists of two other major segments: a world-wide satellite control network, and the GPS user equipment that can either be carried by a human user or integrated into host platforms such as ships, vehicles, or aircraft.

A user needs to receive signals from at least four GPS satellites simultaneously (satellite orbital positions and terrestrial terrain blockage can be issues that degrade performance) to determine one's position in three dimensions; the altitude determination is typically less accurate than the other two dimensions.

When looking at [GPS], it would be difficult to imagine another system that relies so heavily upon such a wide range of [domains containing systems that must interact effectively to achieve successful GPS operation]. It is evident that [GPS directly relates to many domains and applications including:

- position location and tracking
- time synchronization
- navigation
- transportation
- times of arrival
- air traffic management
- situational awareness
- jam-resistant communications
- business and commerce
- farming
- aerospace
- sensing nuclear detonations from space
- military war-fighting
- targeting
- weapons delivery
- etc.].

[GPS is] an example of [a collaborative (Dahmann, et al. 2008) systems of systems (SoS)]. As such, no one is in charge, and the capabilities (not requirements) flow from the bottom-up, as opposed to top-down.

## Purpose

The GPS case study includes a detailed discussion of the development of the GPS and its components, as well as other applicable areas. The reader of this study will gain an increased understanding of the effect that GPS has on military and commercial industries in the context of the systems engineering support required to achieve success.

This may be, but the principal purpose of this revised case study is to suggest a broader view of GPS that discusses signature aspects of SoS, enterprises, and complex systems, and emphasizes SoSE, ESE, and CSE.

[AF CSE] was tasked to develop case studies focusing on the application of [SE] principles within various aerospace programs. The GPS case study [was developed in support of SE] graduate school instruction using the Friedman-Sage framework (Friedman and Sage 2003) (Friedman and Sage 2004).]

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However, the Friedman-Sage framework involves only two contractual stakeholders, the Government and the contractor; further, the framework is limited to the traditional or conventional SE life cycle which mainly treats activities in a linear instead of nonlinear fashion; still further, only risks are considered, not a balance of risk and opportunity. Thus, the present authors believe a broader framework embracing SoSE, ESE, and CSE is more appropriate.

## Challenges

In the original case study the first highly technical section (Section 2) was the system description. The original idea derived from trying to determine the precise orbital parameters of the first artificial satellites such as Sputnik launched by the Soviets in 1957. Researchers at Johns Hopkins realized the inverse, that if one knew precisely the orbital parameters, the locations of ground stations receiving satellite signals could be determined quite accurately. (O'Brien and Griffin 2007, p. 20)

GPS got its start in the early 70s (O'Brien and Griffin 2007, p. 19) building upon several previous satellite navigation systems. The primary motive was very accurate position information for the purposes of military applications. For example, the U.S. Air Force wanted to deliver nuclear weapons from bombers with unprecedented accuracy and precision. (O'Brien and Griffin 2007, p. 29)

With such an intense interest from the military, the first real challenge, other than the many technical challenges of making GPS work as well as envisioned, might have been the question of how to make GPS available to the civilian community so they could share the benefits. The study claimed that the system was always offered for civilian use, albeit with some charge. After the Korean airliner went astray and got shot down by a Soviet interceptor aircraft, President Reagan made GPS officially available for civilian use free of charge. (O'Brien and Griffin 2007, p. 14)

The second challenge could be associated with preserving precision capabilities for the military only, and relegating course acquisition (C/A) accuracy to the civilian community. (O'Brien and Griffin 2007, p. 15) Later this dichotomy was essentially eliminated with the realization that a differential GPS configuration involving a fixed ground station with a precisely known location will yield great accuracy. (Kee, et al. 1991)

The GPS satellites used space-borne atomic clocks. To alleviate the need for updating these clocks too often a successful effort was initiated to revise the international time standard which ended up using relatively infrequent "leap seconds". (O'Brien and Griffin 2007, p. 23) Even these are still annoying for many other applications, such as the continual need to achieve precise synchronization of frequency hopping radios.

An organizational challenge of inter-service rivalries was overcome with the formation of the Joint Program Office (JPO). (O'Brien and Griffin 2007, p. 25)

In the early days of satellite communication systems, for example, the satellites were quite small and low powered while the terminals were large and high-powered. By the time GPS came along, the satellites are getting bigger and more sophisticated. Then the challenge to develop relatively low-cost terminals, particularly for mobile users, greatly increased. (O'Brien and Griffin 2007, p. 29)

A small but interesting challenge was the definition of system of systems (SoS). It was decided that GPS was an SoS because it involved three independent systems, namely, the space vehicle (SV), the control segment (CS), and the user equipment (UE), that "merely" had to interface with each other. (O'Brien and Griffin 2007, p. 30)

Continually changing requirements is usually a problem, although in this case the requirements did not change as often as they could have. (O'Brien and Griffin 2007, p. 31)

Difficulties of defining and updating the many GPS interfaces was largely overcome by the GPS program director, Col. Brad Parkinson, when he convinced his own management, Gen. Schultz at Space and Missile Systems Office (SAMSO) (which eventually became the Space Division) that GPS ought to be defined solely by the signal-structure-in-space and not the physical interfaces. (O'Brien and Griffin 2007, p. 31)

## Systems Engineering Practices

Although the systems engineering process in Phase I has been discussed previously, this section will expand on the concepts. For example, one of the user equipment contractors was technically competent, but lacked effective management. The JPO strongly suggested that a systems engineering firm be hired to assist the contractor in managing program and they agreed. (O'Brien and Griffin 2007, p. 42)

There did not seem to be any mention of what SE firm was hired, if any. The Aerospace Corporation, a non-profit Federally Funded Research and Development Center (FFRDC), which had such a key role in the run-up to GPS was also prominently and centrally involved in development phase of this humungous project. (O'Brien and Griffin 2007, pp. 20, 22, 25, 33, 34, 40, 41, 44, 48, 50-52, 56, 57, 62, 63, 64, 66, 67, 71)

## Lessons Learned

Communications was a key ingredient that was fostered throughout GPS development. (O'Brien and Griffin 2007, p. 71)

Yes, from reading the original case study there seems to have been a lot of cooperation among the various organizations, more so than might have been expected in a less compelling case.

Several precepts or foundations of the Global Positioning Satellite program are the reasons for its success. These foundations are instructional for today's programs because they are thought-provoking to those who always seek insight into the program's progress under scrutiny. These foundations of past programs are, of course, not a complete set of necessary and sufficient conditions. For the practitioner, the successful application of different systems engineering processes is required throughout the continuum of a program, from the concept idea to the usage and eventual disposal of the system. Experienced people applying sound systems engineering principles, practices, processes, and tools are necessary every step of the way. Mr. Conley, formerly of the GPS JPO, provided these words: "Systems engineering is hard work. It requires knowledgeable people who have a vision of the program combined with an eye for detail." (O'Brien and Griffin 2007, p. 72)

In very complex systems engineering efforts of this type, it is also important to explore new techniques that attempt to deal with "soft" issues involving people. Those that seem to work can be added to the systems engineering process collection.

Systems engineering played a major role in the success of this program. The challenges of integrating new technologies, identifying system requirements, incorporating a system of systems approach, interfacing with a plethora of government and industry agencies, and dealing with the lack of an operational user early in the program formation required a strong, efficient systems engineering process. The GPS program embedded systems engineering in their knowledge-base, vision, and day-to-day practice to ensure proper identification of system requirements. It also ensured the allocation of those requirements to the almost-autonomous segment developments and beyond to the subcontractor/vendor level, the assessments of new requirements, innovative test methods to verify design performance to the requirements, a solid concept of operations/mission analysis, a cost-benefit analysis to defend the need for the program, and a strong system integration process to identify and control the "hydra" of interfaces that the program encountered. The program was able to avoid major risks by their acquisition strategy, the use of trade studies, early testing of concept designs, a detailed knowledge of the subject matter, and the vision of the program on both the government and contractor side. (O'Brien and Griffin 2007, p. 72)

This well summarizes the successful systems engineering approach utilized in GPS. Another element of achieving overall balance is the pursuit of opportunities as the "flipside" of risk mitigation.

Finally, here is the list of academic questions offered in original case study.



QUESTIONS FOR THE STUDENT (O'Brien and Griffin 2007, p. 73) The following questions are meant to challenge the reader and prepare for a case discussion.

- Is this program start typical of an ARPA/ DARPA funded effort? Why or why not?
- Have you experiences similar or wildly different aspects of a Joint Program?
- What were some characteristics that should be modeled from the JPO?
- Think about the staffing for the GPS JPO. How can this be described? Should it be duplicated in today's programs? Can it?
- Was there anything extraordinary about the support for this program?
- What risks were present throughout the GPS program. How were these handled?
- Requirement management and stability is often cited as a central problem in DoD acquisition. How was this program like, or [un]like, most others?
- Could the commercial aspects of the User Equipment be predicted or planned? Should the COTS aspect be a strategy in other DoD programs, where appropriate? Why or why not?

Other questions might be: What possible influences did the demand for or offering to the public of this GPS capability entail? What differences in the development of GPS might have emerged if the public was more aware of the potential applications for their benefit at the outset?

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## Additional References

None

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

# Next Generation Medical Infusion Pump

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*Lead Author: Heidi Davidz*

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This case study summarizes the systems engineering aspects of the next-generation Symbiq™ IV (intravenous) medical pump development. Symbiq™ was developed by Hospira Inc. and documented in detail in Chapter 5 of the National Research Council book, *Human-System Integration in the System Development Process*. As described in the book, Symbiq™'s purpose was "to deliver liquid medications, nutrients, blood and other solutions at programmed flow rates, volumes and time intervals via intravenous and other routes to a patient, primarily for hospital use with secondary limited feature use by patients at home" (Pew 2007).

## Domain Background

This case study provides insight into the use of systems engineering practices in a medical application.

## Case Study Background

The project that is the subject of this report was approved by the Governing Board of the National Research Council, whose members are drawn from the councils of the National Academy of Sciences, the National Academy of Engineering, and the Institute of Medicine.

The study was supported by Award Nos. W911NF-05-0150 and FA5650-06-1-6610 between the National Academy of Sciences, the U.S. Department of the Army, and the U.S. Department of the Air Force.

## Case Study Description

In creating a next-generation product, Hospira proposed to introduce new IV pump features, such as:

- multi-channel vs. single-channel liquid delivery;
  - the ability to group multi-channeled devices together;
  - associated user-programming capabilities and programmable drug libraries for specifying parallel delivery of liquids;
  - use of color touchscreen devices;
  - integration with numerous types of hospital information systems;
  - ease of use for both medical personnel and patients at home;
  - handling of potential hardware, software, and human-user faults;
  - compliance with U.S. and international safety standards;
  - use of alternating-current or battery power; and
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- the ability to be cost-competitive and attractive to traditional medical and hospital administration personnel.

Many of these features are highly coupled, such as the multi-channel hardware controls, concurrent software synchronization, distinctive displays and alarms for multi-channel devices, and rigorous medical safety standards.

Views of the resulting medical infusion pump can be found as Figures 5-5 and 5-6 in Chapter 5, page 107 of the Pew and Mavor (2007) book. Systems engineering for the device involved a great deal of concurrent analysis and engineering of its hardware, software, human factors, operational, business, and safety aspects. It has been a commercial success and won the 2006 Human Factors and Ergonomics Society's User-Centered Product Design Award and the 2007 Medical Design Excellence Award.

Not only were there numerous technical challenges in the development of Symbiq™, but there were also challenges in the systems engineering of a product with a life-cycle operational concept that would produce satisfactory outcomes for a wide variety of product and operational stakeholders whose value propositions were often in some conflict. Some stakeholders wanted numerous features that would require a complex user interface, while others wanted a simple and easy to learn interface. Some users wanted the most advanced color touchscreen displays available, while others wanted a simpler, less-expensive product that was harder to misuse due to inadvertent screen commands. Some organizations felt that a minimal interpretation of the required safety features would be acceptable, while others advocated ultrahigh assurance levels. Some marketing personnel wanted a quick development and fielding of the basic product to capture market share, while maintainers wanted initial built-in life cycle support, maintenance, and diagnostic capabilities.

In such situations, many organizations focus on making quick requirement decisions and rapidly proceed into development. However, Hospira's understanding of the uncertainties and risks caused them to pursue a risk-driven, incremental commitment course of buying information to reduce risk, as emphasized in the SEBoK Part 3 knowledge area on Risk Management. As described in Pew and Mavor (2007), Hospira used a version of the Incremental Commitment Spiral Model (ICSM) summarized in the SEBoK Part 3 Knowledge Area on representative systems engineering process models. The following sections describe the project's incremental system definition progress through the ICSM exploration, valuation, foundations, and Development phases. Some evolution of terminology has occurred, the Pew and Mavor (2007) version uses ICM instead of ICSM and "architecting phase" instead of "foundations phase".

## **Symbiq™ Exploration Phase Summary**

In the exploration phase, the project carried out numerous analyses on stakeholder needs, technical opportunities, and business competition. Using these analyses, the project team determined ranges of preferred options. Stakeholder needs analyses included contextual inquiry via shadowing of nurses using IV pumps and followup interviews, as well as creating task flow diagrams, use environment analyses, and user profiles analyses. Technical opportunity analyses included initial conceptual designs of multi-channel pump configurations, evaluation of commercially available single-color and multicolor display devices with touchscreen capabilities, and software approaches for specifying multi-channel delivery options and synchronizing concurrent processes.

Business competition analyses included hiring a management and marketing planning firm to examine next-generation pump competitor strengths and weaknesses with respect to such capabilities as the number of pump channels, therapies, programming options, air-in-line management, battery and alternating current capabilities, biomedical domain expertise, and alarms. Several key competitive advantages of a next-generation pump were identified, such as the ability to read bar-codes, small size, light weight, stand-alone functional channels, an extensive drug library, a high level of reliability, and clear mapping of screen displays and pumping channels.

Market research and market segment analyses also identified market windows, pricing alternatives, hospital purchasing decision-making trends, and safety aspects. These were iterated by focus groups of key thought leaders in critical care. The results were factored into a product concept plan, cost analysis, and business case analysis. These were independently reviewed by experts as part of the ICSM Valuation Phase Commitment Review process, which

resulted in a go-ahead decision with an identification of several risks to be managed.

## **Symbiq™ Valuation Phase Summary**

The valuation phase focused on the major risks highlighted in the Valuation Commitment Review, such as the multi-channel pump options, the types of programmable therapies, the need for tailorable medication libraries, the display screen and user interface options, and the safety considerations. The valuation phase also elaborated the product concept plan for the most attractive general set of options, including a development plan and operations plan, along with an associated cost analysis, risk analysis, and business case for review at the Foundations Commitment Review.

The multi-channel pump options were explored via several hardware industrial design mockups and early usability tests of the mockups. These included evaluation of such desired capabilities as semi-automatic cassette loading, special pole-mounting hardware, stacking of and total number of channels, and tubing management features. The evaluations led to the overall all choice to use a semi-automatic cassette loading capability with a red-yellow-green LED display to indicate concerns with the loading mechanism and with the pump in general.

Field exercises with prototypes of the pole mountings indicated the need for quick release and activation mechanisms, which were subsequently implemented. Risk analyses of alternative stacking mechanisms and the potential number of channels available established a preference for side-by-side stacking, a decision to develop one and two channel units, and to support a maximum of four channels in a stacked configuration.

The types of programmable therapies considered included continuous delivery for a specified time period, patient weight-based dosing, piggyback or alternating delivery between the two channels, tapered or ramped-rate delivery, intermittent-interval delivery, variable-time delivery, and multistep delivery. These were evaluated via prototyping of the software on a simulated version of the pump complexes and were iterated until satisfactory versions were found.

Evaluation of the tailorable medication libraries addressed the issue that different hard and soft safety limits were needed for dosages in different care settings (e.g., emergency room, intensive care, oncology, pediatric care, etc.) which creates a need for hospitals to program their own soft limits (overridable by nurses with permission codes) and hard limits (no overrides permitted). Stakeholder satisfaction with the tailoring features was achieved via prototype exercises and iteration with representative hospital personnel.

A literature review was conducted to determine the relative advantages and disadvantages of leading input and display technologies, including cost and reliability data. After down-selecting to three leading vendors of touch screen color LCD displays and further investigating their costs and capabilities, a business risk analysis focused on the trade offs between larger displays and customer interest in small-footprint IV pumps. The larger display was selected based on better readability features and the reduced risk of accidental user entries since the larger screen buttons would help to avoid these occurrences. Extensive usability prototyping was done with hardware mockups and embedded software that delivered simulated animated graphic user interface (GUI) displays to a touchscreen interface that was integrated into the hardware case.

The safety risk analysis in the valuation phase followed ISO 14971:2000 standards for medical device design, focusing on Failure Modes and Effects Analyses (FMEAs). This analysis was based on the early high-level design, such as entry of excessive drug doses or misuse of soft safety limit overrides. Subsequent-phase FMEAs would elaborate this analysis, based on the more detailed designs and implementations.

As in the exploration phase, the results of the valuation phase analyses, plans, budgets for the succeeding phases, the resulting revised business case, evidence of solution feasibility, and remaining risks with their risk management plans were reviewed by independent experts and the ICSM Foundations Commitment Review was passed, subject to a few risk level and risk management adjustments.

## **Symbiq™ Foundations Phase Summary**

During the foundations phase, considerable effort was focused on addressing the identified risks such as the need for prototyping the full range of GUI usage by the full range of targeted users, including doctors, home patients, the need for interoperability of the Symbiq™ software with the wide variety of available hospital information systems, and the need for fully detailed FMEAs and other safety analyses. Comparable added effort went into detailed planning for development, production, operations, and support, providing more accurate inputs for business case analyses.

GUI prototyping was done with a set of usability objectives, such as

- 90% of experienced nurses will be able to insert the cassette the first time while receiving minimal training;
- 99% will be able to correct any insertion errors;
- 90% of first time users with no training will be able to power the pump off when directed; and
- 80% of patient users would rate the overall ease of use of the IV pump three or higher on a five-point scale (with five being the easiest to use).

Similar extensive evaluations were done on the efficacy and acceptability of the audio alarms, including the use of a patient and intensive care unit simulator that included other medical devices that produced noises, as well as other distractions such as ringing telephones. These evaluations were used to enable adjustment of the alarms and to make the visual displays easier to understand.

Software interoperability risk management involved extensive testing of representative interaction scenarios between the Symbiq™ software and a representative set of hospital information systems. These resulted in several adjustments to the software interoperability architecture. Also, as the product was being developed as a platform for the next generation of infusion pump products, the software design was analyzed for overspecialization to the initial product, resulting in several revisions. Similar analyses and revisions were performed for the hardware design.

As the design was refined into complete build-to specifications for the hardware and the operational software, the safety analyses were elaborated into complete FMEAs of the detailed designs. These picked up several potential safety issues, particularly involving the off-nominal usage scenarios, but overall confirmed a high assurance level for the safety of the product design. However, the safety risk assessment recommended a risk management plan for the development phase to include continued FMEAs, thorough off-nominal testing of the developing product's hardware and software, and extensive beta-testing of the product at representative hospitals prior to a full release.

This plan and the other development and operations phase plans, product feasibility evidence, and business case analysis updates were reviewed at a Development Commitment Review, which resulted in a commitment to proceed into the development phase.

## **Symbiq™ Development Phase Systems Engineering Summary**

The development phase was primarily concerned with building and testing the hardware and software to the build-to specifications, but continued to have an active systems engineering function to support change management; operations, production, and support planning and preparation; and further safety assurance activities as recommended in the risk management plan for the phase.

For hospital beta-testing, thoroughly bench-tested and working beta versions of the IV pump were deployed in two hospital settings. The hospitals programmed drug libraries for at least two clinical care areas. The devices were used for about four weeks. Surveys and interviews were conducted with the users to capture their "real world" experiences with the pump. Data from the pump usage and interaction memory was also analyzed and compared to the original doctors' orders. The beta tests revealed a number of opportunities to make improvements, including revision of the more annoying alarm melodies and the data entry methods for entering units of medication delivery time in hours or minutes.

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Usability testing was also conducted on one of the sets of abbreviated instructions called TIPS cards. These cards serve as reminders for how to complete the most critical tasks. Numerous suggestions for improvement in the TIPS cards themselves, as well as the user interface, came from this work, including how to reset the “Air-in-Line” alarm and how to check all on-screen help text for accuracy.

The above mentioned usability objectives were used as acceptance criteria for the validation usability tests. These objectives were met. For example, the calculated task completion accuracy was 99.66% for all tasks for first time nurse users with minimal training. There were a few minor usability problems uncovered that were subsequently fixed without major changes to the GUI or effects on critical safety related tasks.

The risk analysis was iterated and revised as the product development matured. FMEAs were updated for safety critical risks associated with three product areas: the user interface, the mechanical and electrical subsystems, and the product manufacturing process. Some detailed implementation problems were found and fixed, but overall the risk of continuing into full-scale production, operations, and support was minimal. Systems engineering continued into the operations phase, primarily to address customer change requests and problem reports, and to participate in planning for a broader product line of IV pumps.

Overall, customer satisfaction, sales, and profits from the Symbiq™ IV pump have been strong and satisfaction levels from the management, financial, customer, end user, developer, maintainer, regulatory, and medical-community stakeholders have been quite high (Pew 2007).

## Summary

In summary, the Symbiq™ Medical Infusion Pump Case Study provides an example of the use of the systems engineering practices discussed in the SEBoK. As appropriate for a next-generation, advanced technology product, it has a strong focus on risk management, but also illustrates the principles of synthesis, holism, dynamic behavior, adaptiveness, systems approach, progressive entropy reduction, and progressive stakeholder satisfying discussed in Part 2 of the SEBoK. It provides an example of an evolutionary and concurrent systems engineering process, such as the incremental commitment spiral process, and of other knowledge areas discussed in SEBoK Parts 3 and 4, such as system definition, system realization, system engineering management, and specialty engineering.

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### Primary References

None.

### Additional References

None.

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< Previous Article | Parent Article | Next Article >

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# Medical Radiation

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*Lead Authors: Heidi Davidz, John Brackett*

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This case study presents system and software engineering issues relevant to the accidents associated with the Therac-25 medical linear accelerator that occurred between 1985 and 1988. The six accidents caused five deaths and serious injury to several patients. The accidents were system accidents that resulted from complex interactions between hardware components, controlling software, and operator functions.

## Domain Background

Medical linear accelerators, devices used to treat cancer, accelerate electrons to create high energy beams that can destroy tumors. Shallow tissue is treated with the accelerated electrons. The electron beam is converted to X-ray photons to reach deeper tissues. Accidents occur when a patient is delivered an unsafe amount of radiation.

A radiation therapy machine is controlled by software that monitors the machine's status, accepts operator input about the radiation treatment to be performed, and initializes the machine to perform the treatment. The software turns the electron beam on in response to an operator command. The software turns the beam off whenever the treatment is complete, the operator requests the beam to shutdown, or when the hardware detects a machine malfunction. A radiation therapy machine is a reactive system in which the system's behavior is state dependent and the system's safety depends upon preventing entry into unsafe states. For example, the software controls the equipment that positions the patient and the beam. The positioning operations can take a minute or more to execute, thus it is unsafe to activate the electron beam while a positioning operation is in process.

In the early 1980s, Atomic Energy of Canada (AECL) developed the Therac-25, a dual-mode (X-rays or electrons) linear accelerator that can deliver photons at 25 megaelectron volts (MeV) or electrons at various energy levels. The Therac-25 superseded the Therac-20, the previous 20-MeV dual mode accelerator with a history of successful clinical use. The Therac-20 used a DEC PDP-11 (Digital Equipment Corporation Programmed Data Processor) minicomputer for computer control and featured protective circuits for monitoring the electron beam, as well as mechanical interlocks for policing the machine to ensure safe operation. AECL decided to increase the responsibilities of the Therac-25 software for maintaining safety and eliminated most of the hardware safety mechanisms and interlocks. The software, written in PDP-11 assembly language, was partially reused from earlier products in the Therac product line. Eleven Therac-25s were installed at the time of the first radiation accident in June 1985.

The use of radiation therapy machines has increased rapidly in the last 25 years. The number of medical radiation machines in the United States in 1985 was approximately 1000. By 2009 the number had increased to approximately 4450. Some of the types of system problems found in the Therac-25 may be present in the medical radiation devices currently in use. References to more recent accidents are included below.

## Case Study Background

The Therac-25 accidents and their causes are well documented in materials from the U.S. and Canadian regulatory agencies (e.g., the U.S. Food and Drug Administration (FDA) and the Canadian Bureau of Radiation and Medical Devices) and in depositions associated with lawsuits brought against AECL. An article by Leveson and Turner (1993) provides the most comprehensive, publicly available description of the accident investigations, the causes of the accidents, and the lessons learned relevant to developing systems where computers control dangerous devices.

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## Case Study Description

The Therac-25 accidents are associated with the non-use or misuse of numerous system engineering practices, especially system verification and validation, risk management, and assessment and control. In addition, numerous software engineering good practices were not followed, including design reviews, adequate documentation, and comprehensive software unit and integration tests.

The possibility of radiation accidents increased when AECL made the systems engineering decision to increase the responsibilities of the Therac-25 software for maintaining safety and eliminated most of the hardware safety mechanisms and interlocks. In retrospect, the software was not worthy of such trust. In 1983 AECL performed a safety assessment on the Therac-25. The resulting fault tree did include computer failures, but only those associated with hardware; software failures were not considered in the analysis.

The software was developed by a single individual using PDP-11 assembly language. Little software documentation was produced during development. An AECL response to the FDA indicated the lack of software specifications and of a software test plan. Integrated system testing was employed almost exclusively. Leveson and Turner (1993) described the functions and design of the software and concluded that there were design errors in how concurrent processing was handled. Race conditions resulting from the implementation of multitasking also contributed to the accidents.

AECL technical management did not believe that there were any conditions under which the Therac-25 could cause radiation overdoses, and this belief was evident in the company's initial responses to accident reports. The first radiation overdose accident occurred in June 1985 at the Kennestone Regional Oncology Center in Marietta, Georgia, where the Therac-25 had been operating for about 6 months. The patient who suffered the radiation overdose filed suit against the hospital and AECL in October 1985. No AECL investigation of the incident occurred and FDA investigators later found that AECL had no mechanism in place to follow up potential reports of suspected accidents. Additionally, other Therac-25 users received no information that an accident had occurred.

Two more accidents occurred in 1985, including a radiation overdose at Yakima Valley Memorial Hospital in Yakima, Washington that resulted in an accident report to AECL. The AECL technical support supervisor responded to the hospital in early 1986: "After careful consideration, we are of the opinion that this damage could not have been produced by any malfunction of the Therac-25 or by any operator error... there have apparently been no other instances of similar damage to this or other patients."

In early 1986 there were two accidents at the East Texas Cancer Center in Tyler, Texas, both of which resulted in the death of the patient within a few months. On March 21, 1986 the first massive radiation overdose occurred, though the extent of the overdose was not realized at the time. The Therac-25 was shut down for testing the day after the accident. Two AECL engineers, one from the plant in Canada, spent a day running machine tests but could not reproduce the malfunction code observed by the operator at the time of the accident. The home office engineer explained that it was not possible for the Therac-25 to overdose a patient. The hospital physicist, who supervised the use of the machine, asked AECL if there were any other reports of radiation overexposure. The AECL quality assurance manager told him that AECL knew of no accidents involving the Therac-25.

On April 11, 1986 the same technician received the same malfunction code when an overdose occurred. Three weeks later the patient died; an autopsy showed acute high-dose radiation injury to the right temporal lobe of the brain and to the brain stem. The hospital physicist was able to reproduce the steps the operator had performed and measured the high radiation dosage delivered. He determined that data-entry speed during editing of the treatment script was the key factor in producing the malfunction code and the overdose. Examination of the portion of the code responsible for the Tyler accidents showed major software design flaws. Levinson and Turner (1993) describe in detail how the race condition occurred in the absence of the hardware interlocks and caused the overdose. The first report of the Tyler accidents came to the FDA from the Texas Health Department. Shortly thereafter, AECL provided a medical device accident report to the FDA discussing the radiation overdoses in Tyler.



On May 2, 1986 the FDA declared the Therac-25 defective and required the notification of all customers. AECL was required to submit to the FDA a corrective action plan for correcting the causes of the radiation overdoses. After multiple iterations of a plan to satisfy the FDA, the final corrective action plan was accepted by the FDA in the summer of 1987. The action plan resulted in the distribution of software updates and hardware upgrades that reinstated most of the hardware interlocks that were part of the Therac-20 design.

AECL settled the Therac-25 lawsuits filed by patients that were injured and by the families of patients who died from the radiation overdoses. The total compensation has been estimated to be over \$150 million.

## Summary

Leveson and Turner (1993) describe the contributing factors to Therac-25 accidents: "We must approach the problems of accidents in complex systems from a systems-engineering point of view and consider all contributing factors." For the Therac-25 accidents, the contributing factors included

- management inadequacies and a lack of procedures for following through on all reported incidents;
- overconfidence in the software and the resulting removal of hardware interlocks (causing the software to be a single point of failure that could lead to an accident);
- less than acceptable software engineering practices; and
- unrealistic risk assessments along with over confidence in the results of those assessments.

## Recent Medical Radiation Experience

Between 2009 and 2011, The New York Times published a series of articles by Walter Bogdanich on the use of medical radiation, entitled "Radiation Boom" (2011).

The following quotations are excerpts from that series:

*Increasingly complex, computer-controlled devices are fundamentally changing medical radiation, delivering higher doses in less time with greater precision than ever before." But patients often know little about the harm that can result when safety rules are violated and ever more powerful and technologically complex machines go awry. To better understand those risks, The New York Times examined thousands of pages of public and private records and interviewed physicians, medical physicists, researchers and government regulators. The Times found that while this new technology allows doctors to more accurately attack tumors and reduce certain mistakes, its complexity has created new avenues for error — through software flaws, faulty programming, poor safety procedures or inadequate staffing and training. . . .*

*Linear accelerators and treatment planning are enormously more complex than 20 years ago,' said Dr. Howard I. Amols, chief of clinical physics at Memorial Sloan-Kettering Cancer Center in New York. But hospitals, he said, are often too trusting of the new computer systems and software, relying on them as if they had been tested over time, when in fact they have not. . . .*

*Hospitals complain that manufacturers sometimes release new equipment with software that is poorly designed, contains glitches or lacks fail-safe features, records show. Northwest Medical Physics Equipment in Everett, Wash., had to release seven software patches to fix its image-guided radiation treatments, according to a December 2007 warning letter from the F.D.A. Hospitals reported that the company's flawed software caused several cancer patients to receive incorrect treatment, government records show.*

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

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# Successful Business Transformation within a Russian Information Technology Company

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*Lead Author: Brian White*

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This article describes a successful business transformation of an information technology enterprise. The topic may be of particular interest, especially because this transformation was accomplished by a Russian company during the republic's fast growing economic recovery.

For addition information, refer to the closely related topics of Enabling Businesses and Enterprises and Enterprise Systems Engineering.

## Background

In 2001, the top management of the IBS company <sup>[1]</sup> in Moscow initiated a fundamental transformation to change the company's strategy and business model. The company was one of the biggest Russian information technology (IT) systems integrators at that time, with about 900 employees. Annual revenues of about \$80M were mainly generated by information technology (IT) infrastructure projects (complex computing systems, multi-service networks, etc.) and hardware and software distribution. The transformation of the company to form new capabilities in IT services and the associated consulting area is the main topic in the case study.

During the transformation period (from 2001 to the present) IBS was represented as a set of autonomous business units (BUs), called constituent systems, which are virtual, independent businesses with the following characteristics.

- Profit and loss reporting was required for each BU according to management accounting procedures
- BU management established and independently conducted human resources, technology, and product policy
- A centralized back-office was organized to provide supporting functions for each BU. Thus, BUs do not have back-offices; they rely on and "pay" a corporate governing center (CGC) for these services.

A thorough enterprise system (ES) transformation was executed as a set of activities: mission analysis and capabilities decomposition, business architecting, planning of the project program, and implementation of the new business model.

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Before and after transformation IBS was an exemplar directed system of systems (sos): the constituent BUs are autonomous but their operations are supervised by CGC. At the same time IBS also has significant features of an acknowledged SoS: the constituent BUs retain their independent development and sustainment approaches, and changes in the company are based on collaboration between the CGC and each constituent; even operations of BUs are not controlled but only supervised/governed by the CGC through “soft” recommendations and coordination.

IBS was a quite mature ES before the transformation, and it was thoroughly upgraded to form new capabilities of the whole system as well as of the constituents.

## Purpose

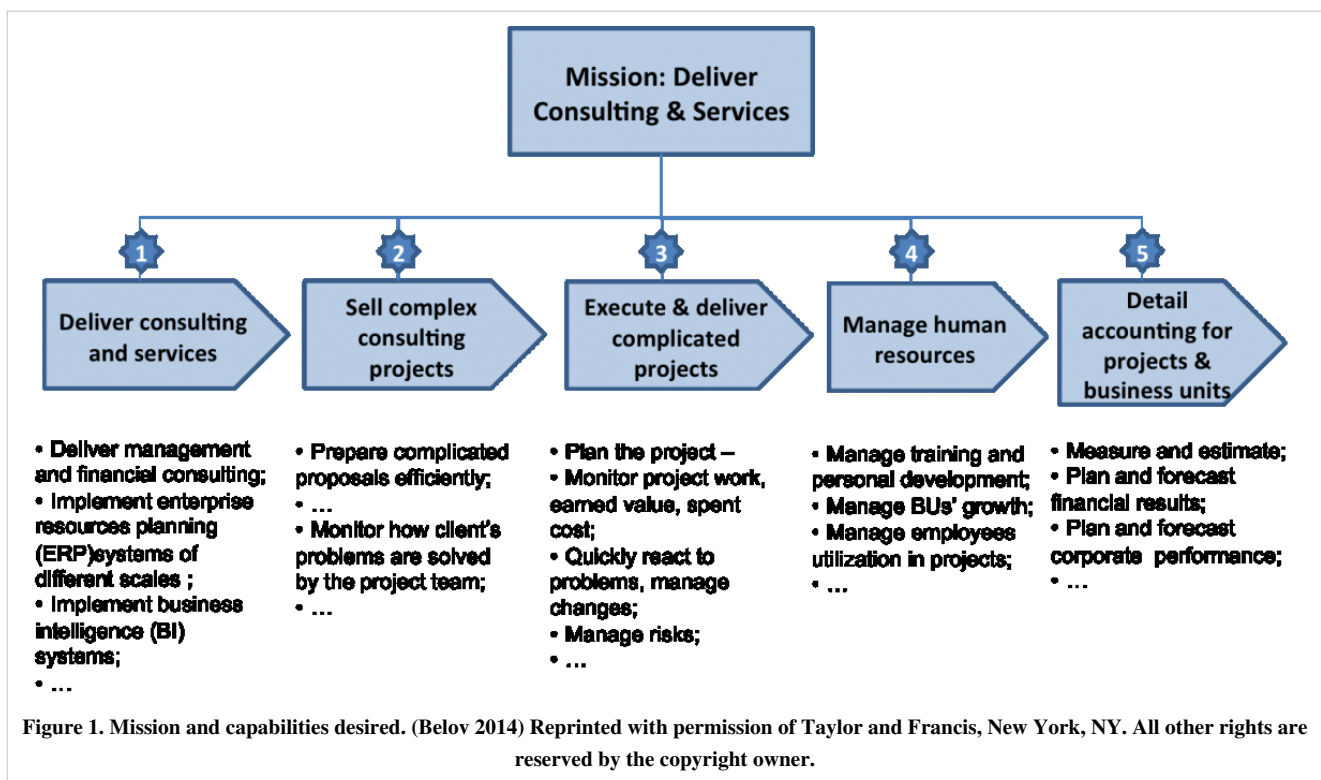
In 2000-2001 IBS management forecasted considerable growth of the Russian IT services and consulting market based on the fast growing Russian economy, which was rapidly recovering from the national financial crisis of 1998. The largest corporations started overseas expansion and borrowed from international markets to finance this growth. IBS predicted corresponding growth in the complexity of business processes and their associated software and hardware systems all of which should require more consulting and IT services.

Based on this forecast, management established a strategy goal to double the share of IT services and consulting from 25% to 50% over one year; further growth in this business was planned as a long term trend.

The consulting and IT services business is very complex technologically and organizationally and dramatically differs from IBS's former infrastructure focus. Thus, a fundamental transformation was required, and it was executed during 2002.

Initially detected problems appeared as expenditures exceeding resources, slow delivery of the projects and reworking. Later, as it was expected, new problems appeared, for example, disinterest of BUs' managers in developing new technologies or raising qualified employees' motivation. All those problems were solved during transformation and during further development.

The first step of the transformation included strategic analysis and mission-to-capabilities decomposition. Five major capability groups to be focused on were defined. The groups and exemplar capabilities for each group are represented at Figure 1.



## Challenges

All main challenges were caused by knowledge/information deficit described by three factors listed as a, b, and c below.

a. The lack of experience in enterprise transformation (and capability based approaches, even the lack of any textbooks or guides in those areas) was the major challenge which IBS management faced. The task to be solved did not devolve to organizational changes (which was a well-developed and described area), but was appropriately allocated to enterprise system or system of systems (SoS) engineering. In spite of the lack of experience it was decided to prepare and execute the transformation based on the company's employees without involving external consultants. The following arguments supported the decision.

- The task to be solved was not typical, so there weren't widely used and well tested algorithms or methods, and there weren't a lot of consultants experienced in exactly what was needed. So only consultants with general experience (strategy consulting, organizational management) might be hired.
- The Russian consulting industry in 2001-2002 was not well developed, so only foreign professionals were available. But foreign consultants would have needed to study Russian specifics; such study would have unduly lengthened the duration and increased the cost of the transformation.
- A joint transformation team would have to be formed, and IBS employees would have to be involved: management would have to be interviewed and be involved in decision making. In any case all employees would have to participate in change implementations.
- External consultants are not stakeholders; so their level of interest in helping to achieve success might not be very high, and their output also might not be outstanding.
- Unwillingness to open professional secrets and other intellectual property issues to direct competitors were other factors that prevented hiring of external consultants.

Thus, the final decision was to execute the transformation without involvement of external consulting resources. A special BoU responsible for business processes development was established and an agile program management approach was applied to handle challenges and to pursue opportunities as well as to mitigate risks.

b. A very high complexity IBS as an enterprise system or SoS. Management recognized that the company and its environment was very complex, with a lot different agents, many constituents, and countless relationships; and that an enterprise system or SoS might become even more complex after transformation. This complexification happened as the company became an "extended enterprise", the governing hierarchies weakened, and the demand for more sophisticated relationships increased.

c. The risk of mistaken forecast of IT market development. The expected growth of the consulting and services market might have not happened. In this case the transformation would have been senseless. This challenge generated additional emotional stress for management.

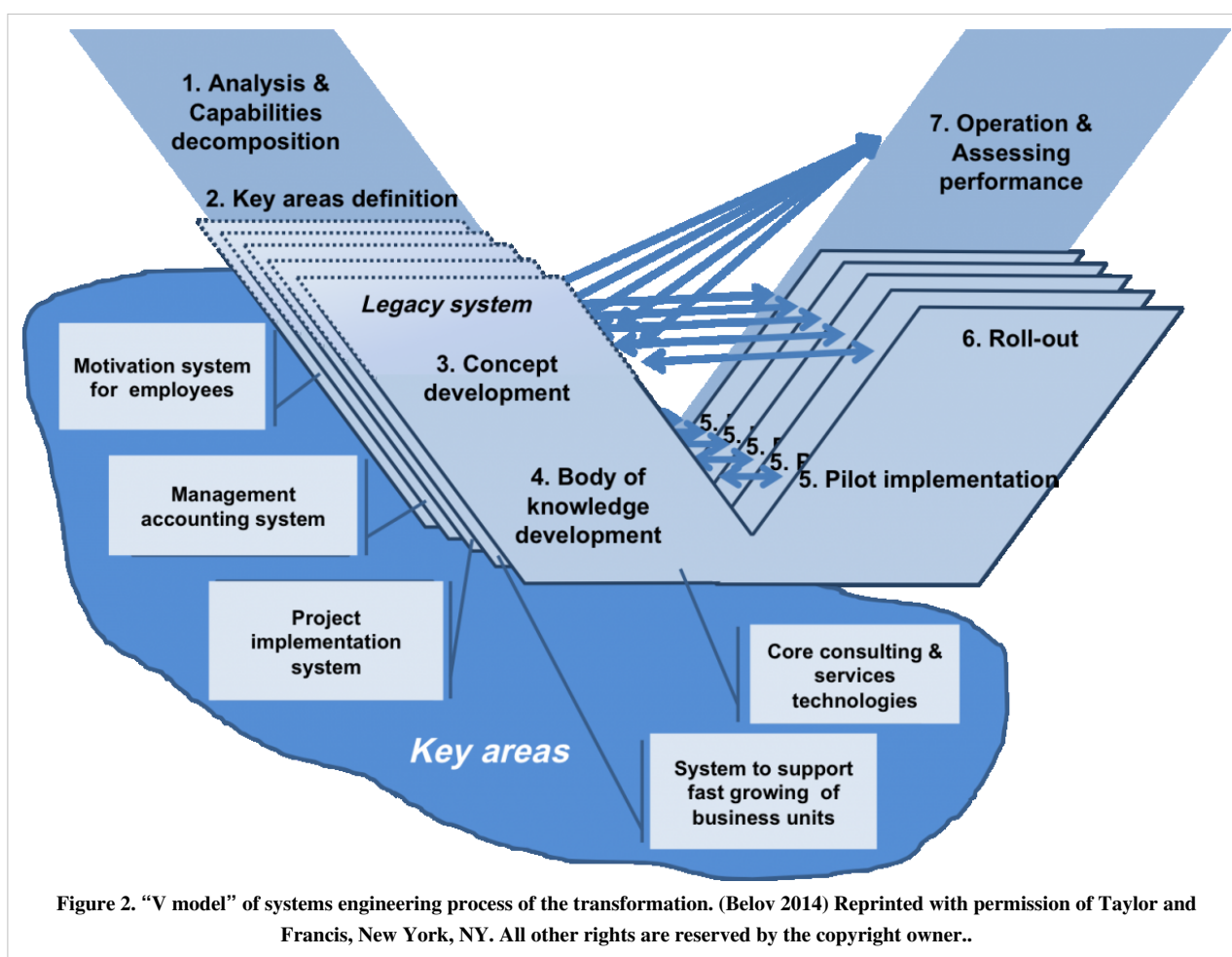
## Systems Engineering Practices

The SE task of the transformation was established in the form: to develop required capabilities for an enterprise system or SoS – IBS company. The SE process might be represented by the following specific IBS interpretation of the vee (v) model ("V model") with Stages 1 through 7 (Figure 2).

Initially (Stage 1) the mission was translated to capabilities (Figure 1); "understanding the constituent systems (BUs) and their relationships" was executed. The transformation team found that capabilities might not be directly translated to any business-agent. Neither BUs (they serves as resource pools), nor projects (being temporal elements), nor employees (each of them have a finite set of skills, experience, responsibilities, etc.) might realize necessary capabilities.

Realizing this (Stage 2) transformation team defined several key areas (Figure 2) of company's operations or activities which were supposed to be changed to form new capabilities. Appropriate artifacts (procedures, guides,

documents, software systems) to support new capabilities were developed and implemented for each of the areas; these new assets formed exactly the corporate infrastructure of new business model.



- In case of failure analyze the situation and find a new solution, generate changes, and update the plan.
- Work in parallel, verifying and coordinating intermediate results.
- The schedule might be corrected and updated but should not be jeopardized by improper execution.
- Formulate and test the most critical and most questionable solutions at first.
- Start from pilot area and then expand to embrace the entire scope.
- Use high quality monitoring and a “manual control mode” for piloting and testing developing solutions but not additional aspects to limit waste of the resources.

Following those principles including a very strong discipline of execution, a high level of the sponsorship and all-employee involvement enabled the transformation to be completed on time without hiring consultants while keeping and developing on-going business.

## Lessons learned

IBS's accomplishment of the mission was the major result of ES transformation. Shareholders and management recognized that new capabilities had been formed, that the company could deliver consulting and services, sell and execute complex projects, manage consulting resources effectively, measure its performance, and plan and forecast financial results. Created capabilities are emergent in some sense because they are not directly related to concrete constituents (BUs, or employee, or projects) but are realized by means of integrated end-to-end processes and functions, which are executed in the projects by employees.

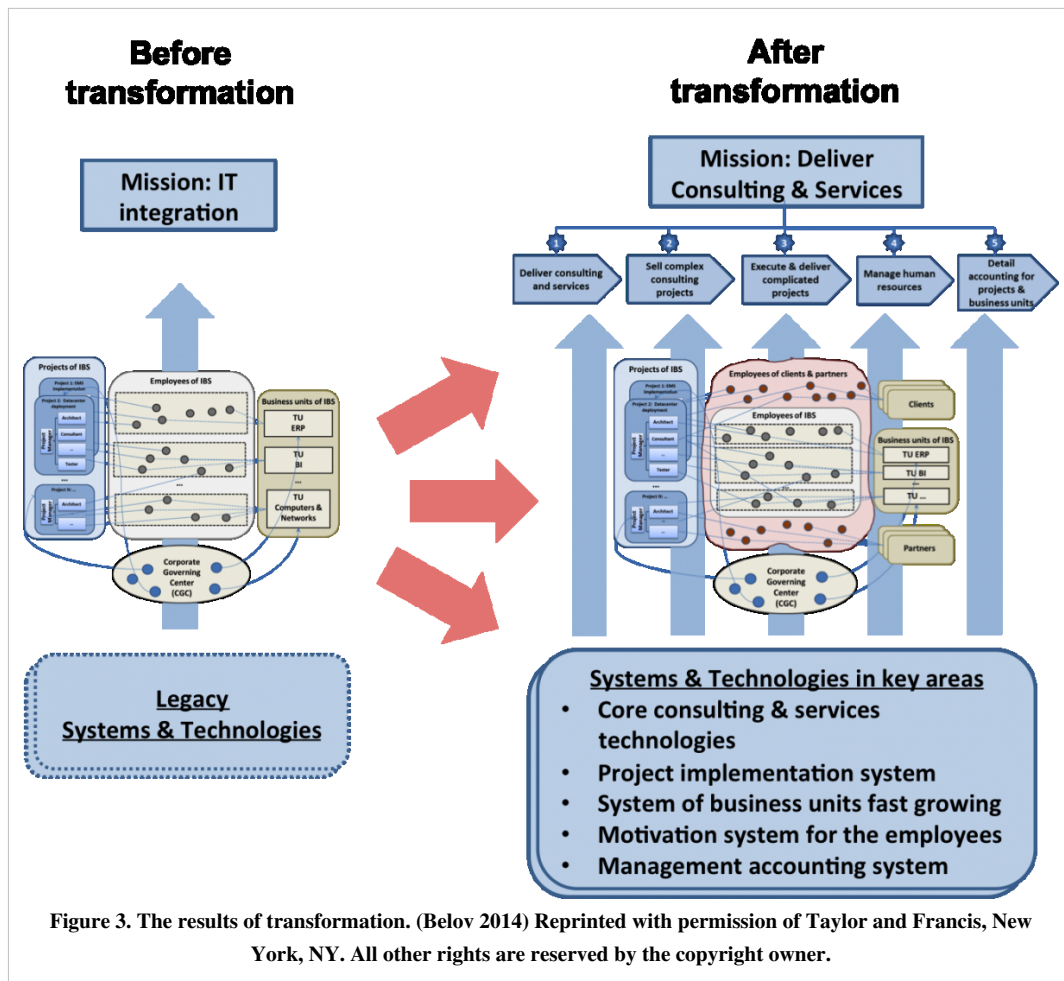
The systems organization did not dramatically change during transformation; “visible structure” was not practically changed: no new types of business-agents appeared, existing types did not change much. Those factors did not create new capabilities. Target capabilities were formed as the result of development and implementation of, it would seem, auxiliary and supporting tools – new capabilities support systems. New capabilities were formed mainly by the changes in the intangible areas of governing media, corporate culture, relations, and personnel competences; as well as by the creation of new capabilities support systems; without considerable changes in main company's business-agents. (Refer to Figure 3.)

The main challenges which management faced (the lack of experience and the ambiguity of market growth forecast) made the uncertainty factor the critical one in the transformation.

## What Worked and Why?

An agile program management in general demonstrated its efficiency and applicability to “soft and uncertain” tasks, especially in triggering a pre-established process for dealing with unexpected events; the main aspects of the approach are:

- Senior and credible sponsors
  - Multi-level integrated project team(s)
  - Open information exchange
  - Partnership and collaboration
  - Proactive and motivated parties and constituents
  - Creative and innovative way of development
-



- Prioritizing and focusing on the most ambiguous elements of systems design
- Piloting and subsequent roll-out in realistic environments
- Strong project scope control
- Strong project execution control – time schedule and resources control.

### What Did Not Work and Why?

Perhaps corporate knowledge base development was the only more or less serious task which was not solved in transformation. The company's management understood the usefulness of knowledge accumulation and further alienation from the carriers in utilizing their business knowledge, so the goal of developing their own knowledge base was established. Special database and software system were developed with appropriate guides, reports and data collection forms; but formal regulation to fill in engineering knowledge accumulation templates did not work. However later this issue progressed quite naturally and simply: common folders were established to store project data in free formats. Such folders served to accumulate knowledge but in flat, unstructured form.

## Best Practices and Replication Prospects

The following methods and approaches were proven as efficient and convenient in transformation.

1. Capability based development approach and capability based architecting might be recommended to be utilized in creation and transformation of an enterprise system or SoS. These focused all efforts on the required capabilities and involved very important relations from mission to capabilities and to functions in systems engineering process.
2. An agile program management might be used to solve a wide range of fuzzy and ambiguous problems of different scale in the areas of SE, ES engineering, SoS engineering where there is much uncertainty and lacks of expertise and proven methods or algorithms to solve them. The combination of “soft” and very creative designs with strong planning and progress control is the crucial foundation of this approach.
3. Key area definition and development appropriate to generating new capabilities for support systems (core consulting and services technologies, project implementation systems, systems for business unit growth, management accounting systems, motivation systems). Precisely defining these areas and developing integrated systems in these areas might be considered as quite common for application to a broader group of ESs.

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

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# Government Examples

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## FBI Virtual Case File System

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*Lead Authors: Heidi Davidz, John Brackett*

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This case study presents systems and software engineering issues encountered in the Federal Bureau of Investigation (FBI) Virtual Case File (VCF) project in the period between 2000-2005. VCF development was abandoned in 2005 after over \$170 million had been spent.

### Domain Background

The FBI is an organization within the United States Department of Justice (DoJ) consisting of 23 divisions, including counterintelligence, criminal investigation, and cyber crime. The Bureau's 12,400 agents investigate everything from counter-terrorism leads to kidnappings. They interview witnesses, develop informants, conduct surveillance, hunt for clues, and collaborate with local law enforcement to find and arrest criminals. Agents document every step and methodically build case files. They spend a tremendous amount of time processing paperwork. This system of forms and approvals stretches back to the 1920s when forms for all of the bureau's investigative reports were standardized.

In 2000, the Bureau had hundreds of standardized paper forms and obsolete information technology (IT) systems. The FBI's 13,000 computers could not run modern software. Most of the agency offices were connected to the FBI Intranet with links operating at about the speed of a 56 kilobits-per-second modem. Agents could not e-mail U.S. Attorneys, federal agencies, local law enforcement, or each other; instead, they typically sent case-related information by fax. The agency's problems in 2000 were summarized in the *9/11 Commission Report*: "the FBI's information systems were woefully inadequate. The FBI lacked the ability to know what it knew; there was no effective mechanism for capturing or sharing its institutional knowledge" (National Commission on Terrorist Acts upon the United States 2004).

In September 2000, Congress approved \$380 million over three years for what was then called the FBI Information Technology Upgrade Program. Eventually divided into three parts, the program became known as the Trilogy Information Technology Modernization Program. The first part would provide all 56 FBI field offices with updated computer terminals, as well as new hardware such as scanners, printers, and servers. The second part would re-implement the FBI Intranet to provide secure local area and wide area networks, allowing agents to share information with their supervisors and each other. The third part was intended to replace the FBI's investigative software applications, including the obsolete Automated Case Support (ACS) system.

In June 2001, the FBI awarded a contract to develop the investigative software applications of Trilogy to Science Applications International Corporation (SAIC) over a three year period. The purpose of the software to be developed was to

- provide the capability to find information in FBI databases without having prior knowledge of its location, and to search all FBI databases with a single query through the use of search engines;
  - Web-enable the existing investigative applications;
  - improve capabilities to share information inside and outside the FBI;
  - provide access to authorized information from both internal and external databases; and
  - allow the evaluation of cases and crime patterns through the use of commercial and FBI-enhanced analytical and case management tools.
-

After the September 11 terrorist attacks, the inability of FBI agents to share the most basic information about al Qaeda's U.S. activities was front-page news. Within days, the FBI's obsolete technology infrastructure was being discussed in Congress and the FBI was under intense pressure to improve its information sharing capabilities. On September 4, 2001, Robert S. Mueller III became FBI director, and, in the face of intense public and congressional pressure, Mueller accelerated the Trilogy program. The planned three year period to develop the investigative software was considered politically unacceptable. In January 2002, the FBI requested an additional \$70 million to accelerate Trilogy; Congress went further, approving \$78 million.

Providing web-enablement of the existing but antiquated and limited ACS system would not provide the investigative case management capabilities required to meet the FBI's post-September 11 mission. In December 2001, the FBI asked SAIC to stop building a Web-based front end for the old programs. Instead, SAIC was asked to devise a new case management system, the Virtual Case File (VCF), to replace ACS. The VCF would contain a major new application, database, and graphical user interface. In order to make both criminal and terrorist investigation information readily accessible throughout the FBI, major changes to the standardized FBI processes would be required. This case study focuses on the VCF component of the Trilogy program.

## Case Study Background

The most complete description of the development of the VCF is the report by the DoJ Office of the Inspector General (OIG). The OIG reports to the Attorney General and is independent of the FBI organizations responsible for the Trilogy program. The introduction to the report states, "We conducted this audit to assess the FBI's progress in meeting cost, schedule, technical, and performance targets for the three components of Trilogy. We also examined the extent to which Trilogy will meet the FBI's current and longer-term IT needs" (OIG 2004).

An IEEE *Spectrum* article complements the OIG audit report by providing detailing the development of the VCF requirements, the contractor's activities, and the project management failures by both the FBI and the contractor. The contractor's viewpoint is presented in testimony given before a subcommittee of the U.S. Senate Appropriations Committee.

These materials, in total, provide a comprehensive view of the VCF program and the reasons for its failure.

## Case Study Description

In the political environment following the 9/11 attacks, funding for the VCF project was never a problem. By early 2002, SAIC and the FBI committed to creating an entirely new case management system in 22 months. High-level funding enabled the project to continue gaining momentum in spite of the problems it encountered. The scheduling for the VCF project focused on what was desired, not what was possible. Trilogy's scope grew by approximately 80% from the initial project baseline (Moore 2010).

The reasons for the failure of the VCF project are associated with the non-use or misuse of numerous system engineering practices, especially within stakeholder requirements, system requirements, planning, assessment and control, and risk management. Given the political pressures following the 9/11 attacks, the schedule was accelerated to the point that it was nearly impossible for the developers to follow an appropriate systems engineering process.

The FBI cycled through five people in the role of Chief Information Officer in four years and most decisions were made by committees. In order to compress the schedule, the FBI even proposed replacing the ACS with the VCF over a weekend using an IT procedure called a "flash cut-over." In this proposed implementation, the ACS system would be taken offline and entirely replaced by VCF. Once the cut-over happened, there would be no mechanism to return to ACS, even if the VCF did not work properly.

SAIC worked under a cost-plus-award-fee contract for the VCF as the scope of the project was undefined in early 2002 when work began. Given the schedule pressures, the FBI believed that there was no time to develop formal requirements (glossary), validate them with the various FBI user communities, and then estimate the cost and time

required to develop the VCF. The SAIC contract did not require specific completion milestones and the cost-plus contract allowed the scope to increase. VCF was a case of not getting the requirements sufficiently defined in terms of completeness and correctness. The continuous redefinition of requirements had a cascading effect on what had already been designed and produced. Once there was demonstrable software, change requests started arriving—roughly 400 from December 2002 to December 2003.

The new FBI Intranet was specified during 2001, before the start of the VCF project and with little understanding of the network traffic that would result from information sharing. By early 2003, the FBI began to realize how taxing the network traffic would be once all 22,000 users came online. The requirements for the FBI Intranet were modified based on the best guesses for the bandwidth that would be required when the VCF was fully operational. By early 2004, the new FBI Intranet was in operation, although the VCF software was far from complete.

In reaction to the time pressure, SAIC broke its VCF development group into eight teams working in parallel on different functional elements of the program. However, this posed many integration challenges and the eight threads would later prove too difficult for SAIC to combine into a single system. By the time VCF was canceled, SAIC had developed over 700,000 lines of software based upon an incomplete set of requirements that were documented in an 800-page volume.

## Summary

The OIG summarizes its conclusions as

*Various reasons account for the delays and associated cost increases in the Trilogy project, including:*

- *poorly defined and slowly evolving design requirements,*
- *contracting weaknesses,*
- *IT investment management weaknesses,*
- *lack of an Enterprise Architecture,*
- *lack of management continuity and oversight,*
- *unrealistic scheduling of tasks,*
- *lack of adequate project integration, and*
- *inadequate resolution of issues raised in our previous reports on Trilogy. . . .*

*According to the Government Accountability Office (GAO), an Enterprise Architecture is a set of descriptive models such as diagrams and tables that define, in business and technology terms, how an organization operates today, how it intends to operate in the future, and how it intends to invest in technology to transition from today's operational environment to tomorrow's. . . .*

*As of early 2005 the FBI's operations remain significantly hampered due to the poor functionality and lack of information-sharing capabilities of its current IT systems. . . . (OIG 2005)*

In May 2005, FBI director Mueller announced Sentinel, a four-phase, four-year project intended to fulfill the purpose of VCF and provide the Bureau with a web-based case and records management system. During the previous five years, commercial case management software had become available; as a result, Sentinel is intended to utilize commercial off-the-shelf (COTS) software. A report by the OIG in late 2009 describes Sentinel and its status at that time. Sentinel was put on line for all employees on July 1, 2012, and it ended up at \$451 million and 2 1/2 years overdue (Yost 2012).

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

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# Design for Maintainability

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*Lead Author: Rick Adcock*

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This article describes an example of where systems thinking led to a much more practical solution to a common problem. For addition information, refer to Systems Thinking.

This article is excerpted and condensed from Johnson, Steven. 2010. *Where Good Ideas Come From: The Natural History of Innovation*. New York: Riverhead Books. pp. 25-28.

## Background

In the late 1870s a Parisian obstetrician named Stephane Tarnier was visiting the Paris Zoo where they had farm animals. While there he conceived the idea of adapting a chicken incubator to use for human newborns, and he hired “the zoo’s poultry raiser to construct a device that would perform a similar function for human newborns.” At the time infant mortality was staggeringly high “even in a city as sophisticated as Paris. One in five babies died before learning to crawl, and the odds were far worse for premature babies born with low birth weights.” Tarnier installed his incubator for newborns at Maternité de Paris, and embarked on a quick study of five hundred babies. “The results shocked the Parisian medical establishment: while 66 percent of low-weight babies died within weeks of birth, only 38 percent died if they were housed in Tarnier’s incubating box. ... Tarnier’s statistical analysis gave newborn incubation the push that it needed: within a few years the Paris municipal board required that incubators be installed in all the city’s maternity hospitals.” ...

## Purpose

“Modern incubators, supplemented with high-oxygen therapy and other advances, became standard equipment in all American hospitals after the end on World War II, triggering a spectacular 75 percent decline in infant mortality rates between 1950 and 1998.”... “In the developing world, however, the infant mortality story remains bleak. Whereas infant deaths are below ten per thousand births throughout Europe and the United States, over a hundred infants die per thousand (births) in countries like Liberia and Ethiopia, many of them premature babies that would have survived with access to incubators.

## Challenges

But modern incubators are complex, expensive things. A standard incubator in an American hospital might cost more than \$40,000 [about €30,000]. But the expense is arguably the smaller hurdle to overcome. Complex equipment breaks and when it breaks you need the technical expertise to fix it, and you need replacement parts. In the year that followed the 2004 Indian Ocean tsunami, the Indonesian city of Meulaboh received eight incubators from a range on international relief organizations. By late 2008, when an MIT professor named Timothy Prestero visited the hospital, all eight were out of order, the victims of power surges and tropical humidity, along with the hospital staff’s inability to read the English repair manual. The Meulaboh incubators were a representative sample: some studies suggest that as much as 95 percent of medical technology donated to developing countries breaks within the first five years of use.

## Systems Engineering Practices

“Presterio had a vested interest in those broken incubators, because the organization he founded, Design that Matters, had been working for several years on a scheme for a more reliable, and less expensive, incubator, one that recognized complex medical technology was likely to have a very different tenure in a developing world context than it would in an American or European hospital. Designing an incubator for a developing country wasn’t just a matter of creating something that worked; it was also a matter of designing something that would break in a non-catastrophic way. You couldn’t guarantee a steady supply of spare parts, or trained repair technicians. So instead, Presterio and his team decided to build an incubator out of parts that were already abundant in the developing world. The idea had originated with a Boston doctor named Jonathan Rosen, who had observed that even the smaller towns of the developing world seemed to be able to keep automobiles in working order. The towns might lack air conditioning and laptops and cable television, but they managed to keep their Toyota 4Runners on the road. So Rosen approached Presterio with an idea: What if you made an incubator out of automobile parts?”

## Lessons Learned

“Three years after Rosen suggested the idea, the Design that Matters team introduced a prototype device called NeoNurture. From the outside, it looked like a streamlined modern incubator, but its guts were automotive. Sealed-beam headlights supplied the crucial warmth; dashboard fans provided filtered air circulation; door chimes sounded alarms. You could power the device via an adapted cigarette lighter, or a standard-issue motorcycle battery. Building the NeoNurture out of car parts was doubly efficient, because it tapped both the local supply of parts themselves and the local knowledge of automobile repair. These were both abundant resources in the developing world context, as Rosen liked to say. You didn’t have to be a trained medical technician to fix the NeoNurture; you didn’t even have to read the manual. You just needed to know how to replace a broken headlight.”

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None.

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[< Previous Article](#) | [Parent Article](#) | [Next Article >](#)

**SEBoK v. 2.1, released 31 October 2019**

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# FAA Advanced Automation System (AAS)

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*Lead Authors: Tom Hilburn, Alice Squires, Heidi Davidz, Contributing Authors: Richard Turner*

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This example was created as a SE example directly for the SEBoK. It describes the Advanced Automation System (AAS), part of the Federal Aviation Administration (FAA) Advanced Automation Program. It describes some of the problems which can occur in a complex, software intensive system program if SE is not applied.

## Description

In 1981 the Federal Aviation Administration (FAA) announced the Advanced Automation Program, which was established to modernize air traffic control (ATC) computer systems. A centerpiece of the project was the Advanced Automation System (AAS). AAS was the largest project in FAA's history to modernize the nation's ATC system. AAS would replace computer hardware and software as well as controller work stations at tower, terminal, and en-route facilities and allow the ATC system to accommodate forecasted large increases in traffic through the use of modern equipment and advanced software functions. (GAO 1992)

The FAA originally proposed AAS in 1982 as a project that would cost \$2.5 billion and be completed in 1996. However, substantial cost increases and schedule delays beset the AAS project over its history, caused by numerous problems in AAS development:

- The project began with a design competition between Hughes and IBM. The competition involved numerous extensions and took four years to complete. Analysis by the FAA and others pointed to inadequate consideration of user expectations and improper assessment of the technology risks. (Barlas 1996)
- The FAA pushed for 99.99999% reliability, which was considered by some "more stringent than on any system that has ever been implemented" and extremely costly. (DOT 1998)
- The program created unworkable software testing schedules - "Testing milestones were skipped or shortcut and new software was developed assuming that the previously developed software had been tested and performed." (Barlas 1996)
- There were an extraordinary number of requirements changes. For example, for the Initial Sector Suite System (ISSS), a key component of AAS, there were over 500 requirements changes in 1990. Because of these changes, 150,000 lines of software code had to be rewritten at a cost of \$242 million. (Boppana et al. 2006)
- IBM's cost estimation and development process tracking used inappropriate data, were performed inconsistently, and were routinely ignored by project managers. The FAA conservatively expected to pay about \$500 per line of computer code - five times the industry average. The FAA ended up paying \$700 to \$900 per line for the AAS software. (Gibbs 1994)
- In 1988, FAA estimated that the AAS program - both contract and supporting efforts - would cost \$4.8 billion. By late 1993, the FAA estimated that it would cost \$5.9 billion. Before the program was dramatically restructured in 1994, estimates had risen to as much as \$7 billion, with key segments expected to be behind schedule by as much as 8 years. In 1994, with significant cost and schedule overruns, as well as concerns about adequate quality, usability, and reliability, the AAS program ceased to exist as originally conceived, leaving its various elements terminated, restructured, or as parts of smaller programs. (DOT 1998)

The AAS problems could be associated with the non-use or misuse of a number of systems engineering (SE) concepts and practices: system requirements, system architecture complexity, project planning, risk management, change management, system analysis and design, system reliability, system integration, system verification and system validation/testing, and management oversight.

## Summary

The AAS program was the centerpiece of an ambitious effort begun in the 1980s to replace the computer hardware and software throughout the ATC system - including controller workstations, and en-route, terminal, and tower air traffic control facilities. AAS was intended to provide new automated capabilities to accommodate increases in air traffic. After sustaining serious cost and schedule problems, FAA dramatically restructured the program into more manageable pieces. This action included terminating major segments of the contract. (DOT 1998)

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

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# Federal Aviation Administration Next Generation Air Transportation System

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*Lead Author: Brian White*

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This article describes a massive undertaking to modernize the air traffic management enterprise. The topic may be of particular interest to those involved in air transportation whether in connection with their careers or as pilots or passengers on airplanes. For additional information, refer to the closely related topics of Enabling Businesses and Enterprises and Enterprise Systems Engineering.

## Background

This case study presents the systems engineering and enterprise systems engineering (ese) efforts in the Next Generation (NextGen) Air Transportation Systems by the Federal Aviation Administration (FAA 2008). NextGen is an unprecedented effort by multiple U.S. federal organizations to transform the U.S. air transportation infrastructure from a fragmented ground-based navigation system to a net-centric satellite-based navigation system. This project is unique to the FAA because of its large scale, the huge number of stakeholder(s) involved, the properties of the system of interest, and the revolutionary changes required in the U.S. Air Transportation Network (U.S. ATN) enterprise.

A sociotechnical system like the U.S. ATN is a “large-scale [system] in which humans and technical constituents are interacting, adapting, learning, and coevolving. In [such] systems technical constraints and social and behavioral complexity are of essential essence”. (Darabi and Mansouri 2014). Therefore, in order to understand changes in the U.S. ATN it was seen as necessary to view it through a lens of evolutionary adaptation rather than rigid systems design. The U.S. ATN serves both military and commercial aircraft with its 19,782 airports, including 547 commercial airports. Nineteen major airlines, with more than a billion dollars in annual total revenue, along with other 57 national and regional airlines, transport 793 million passengers and realize 53 billion revenue ton-miles.

The Air Traffic Organization (ATO) is responsible for ensuring aircraft navigation in the U.S. National Air Space (NAS) system using a five-layer architecture. Each aircraft goes through different layers and possibly various zones of this architecture as it takes off from an airport until it lands at another airport (Donohue and Zellweger 2001). However, this architecture is fragmented and many issues are raised: an airplane’s path through its route is not optimized, and the path may change its direction from one zone to another, the destination airport’s capacity is limited by the current regulations of minimum aircraft separation distance due to navigation limitations, the real-time weather information is not integrated into the system, and communications are mainly voice-based, etc.

In NextGen major changes to the U.S. ATN design are planned. As already stated, the navigation system will be changed from ground-based communication to satellite-based navigation. The current fragmented architecture will be integrated into a seamless net-centric information system in which the digital communication will replace the current voice communications. Moreover, weather information will be assimilated into decision making and planning across the system.

## Purpose

The FAA's purpose is "to provide the safest, most efficient aerospace system in the world". Toward this end the NextGen project is aimed at enhancing the U.S.'s leadership position in air transportation.

During the last three decades the demand for air transportation shows exponential growth. In just one decade from 1995 to 2005 this demand showed a 44% percent increase. Therefore, the change in infrastructure was inevitable. Moreover, 9/11 attacks on the U.S. ATN emphasized this need for change. The combination of a requirement for a safer and more secure network and increasing demand was the motivation for President Bush to enact the Vision 100-Century of Aviation Reauthorization Act on 2003. A major part of this Act was to revolutionize the U.S. ATN by means of the NextGen project. The first integration plan of the project was released in 2004, and the project is estimated to continue until 2025.

The demand behavior of the U.S. ATN shows diverse degrees of congestion among airports. Although there are multitudes of airports in the system, the top 35 most congested airports carried more than 60% of the total traffic consistently during the period of 2000 to 2008. Because the growth of the network demand is not proportional, the demand in congested airports will be even higher.

A study by the Joint Planning and Development Office (JPDO) shows that flight delays in the current network will cause \$6.5 billion of economic loss until 2015, and \$19.6 billion until 2025. By implementing NextGen the delays are estimated to be reduced by 38% until 2020. Moreover, aircraft CO<sub>2</sub> emissions are a major part of environmental pollution in crowded cities; these will be reduced by 14 million metric tons by 2020. The current level of jet fuel usage is also a known problem because of increasing fuel prices. The NextGen project will improve fuel usage by 1.4 billion gallons cumulative through 2020.

NextGen is pursuing multiple goals to retain the U.S. leadership in aviation, to expand the U.S. ATN capacity, to continue to ensure safety, to increase environment protection, to help ensure national air defense, all generally helping to increase the nation's security (JPDO 2007a).

Eight general capabilities are defined in conducting this mission: (1) network-enabled information access, (2) performance-based operations and services, (3) weather assimilated into decision making, (4) layered adaptive security, (5) positioning, navigation, and timing (PNT) services, (6) aircraft trajectory-based operations (TBO), (7) equivalent visual operations (EVO), and (8) super-density arrival/departure operations.

To create the desired capabilities, general areas of transformations are defined as air traffic management operations, airport operations and infrastructure services, net-centric infrastructure services, shared situational awareness services, layered and adaptive security services, environmental management services, safety management services, and performance management services. The detailed changes in each area are discussed in Concept of Operations for NextGen (JPDO 2007a).

## Challenges

An instructive part of this case study is observing evolution in understanding challenges from initial steps of the project through current efforts for delivering it. As an overall conclusion, the perspective on challenges shifted from technical problems and intra-organizational issues to more enterprise-wide issues.

The NextGen Implementation Plan 2008 discussed the following challenges (FAA 2008):

- performance analysis, to understand and assess operational capabilities
  - policy, to balance responsibility between humans and automation, for environmental management processes, and for global harmonization strategies
  - acquisition workforce staffing
  - environmental planning, to resolve conflicts with local environmental constraints
  - security
-

- transition from current ground-based navigation to automatic dependent surveillance – broadcast (ADS-B) technology.

A more recent report on Targeted NextGen Capabilities for 2025 (JPDO 2011) highlights the effect of the multi-stakeholder nature of the project on raising additional challenges. Achieving Interagency Collaboration is the first issue, which is important in implementing security, safety, policy making, and technological advancement.

Increasing capacity, reducing delay and protecting the environment are the main three promises of the NextGen project. However, reaching the defined high standards is not an easy task. A major part of this challenge is integrating new technologies into legacy systems, aircraft, airports, facilities, and organizations. Airlines and general aviation pilots resist the expense of additional avionics and communications equipment, even though it bolsters the common good of air travel.

Maintaining airports and airspace security requires coherent and harmonious work of multiple U.S. agencies. The core of this challenge is not just changing the technology but also the processes, organizational structures, and enterprises to meet the new requirements of security.

Moreover, the need for greater information sharing in this net-centric environment is a challenge. The current culture of limited information sharing in which inter-organizational and intra-organizational information is strictly divided creates tension in a seamless information sharing infrastructure. In addition to that, the responsibility of generating, sharing, and utilizing useful information should be addressed in advance to avoid costly mistakes.

Verification and validation of NextGen deliverables is a major issue. The traditional systems engineering methods of verification and validation are tailored for testing an isolated system, while by definition a project like NextGen requires new methodologies of verification and validation beyond the scope of one system. The knowledge and experience of advancement in systems engineering in this area can be of priceless value for future projects.

Balance between human decision-making and automation is required to ensure a correct policy for increasing traffic and safety concerns. Changes in both human resource and technological facilities are required to effectively address this challenge.

The support of local communities is essential to facilitate development of the U.S. ATN and its physical infrastructure.

Communication, navigation, and surveillance systems in NextGen are going through major changes in terms of capacity and technology. However, planning required backups for them in case of any emergency is an area of challenge in developing NextGen.

The rise of Unmanned Aircraft Systems (UASs) provides significant opportunities for both military and commercial applications. However, integrating them into the NAS and developing policing and strategies for safe and secure use is a concern for the revolutionized U.S. ATN.

And finally realizing the benefits of NextGen is dependent on the critical mass of early adopters, similar to any technological advancement. Therefore, the NextGen project authority requires well-defined policies for motivating stakeholders' participation.

## **Systems Engineering Practices**

The FAA NextGen is not just a revolution of the U.S. air transportation infrastructure, but also a shift in its enterprise. The enterprise architecture document, which is developed by JPDO, provides an overview of the desired capabilities (JPDO 2007b).

The enterprise architecture is described using Department of Defense Architecture Framework (DoDAF) and the Federal Enterprise Architecture (FEA). DoDAF is used to describe the operational aspects of the project. The three views of DoDAF, the Operational View (OV), the Systems View (SV), and the Technical Standards View (TV), are presented in the enterprise architecture document. The Overview and Summary Information (AV-1) is the formal statement about how to use the architecture, the Integrated Dictionary (AV-2) defines the terms in the document, the

Community Model (OV-1) presents a high level depiction of the NextGen community, the Operational Node Connectivity Description (OV-2) presents the information flow among operational nodes in the system, Operational Information Exchange Matrix (OV-3) details the description of information flow in OV-2. Other architectural views of the system based on DoDAF are the Activity Model (OV-5) which documents activities (functions and processes), the Operational Event/Trace Description (OV-6c) is a part of sequence and timing description of activities, the System Functionality Description (SV-4) explains system functional hierarchies, and the Operational Activity to System Functionality Traceability Matrix (SV-5) is specification of relationships between operational activities in architecture and functional activities. However, a challenging part of applying this Enterprise Architecture is transformation from legacy systems to the new NextGen. This transformation is the ultimate test for relevance and comprehensiveness of the developed Enterprise Architecture.

Acquisition is the heart of systems engineering activities in the FAA NextGen project. As mentioned in Challenges above, the current practice of verification of validation in systems engineering (SE) is geared toward single isolated systems, rather than a myriad of interconnected system of systems (sos). Moreover, the capabilities of NextGen are interdependent, and different programs rely on each other to deliver the promises. 250 unique and highly interconnected acquisition programs are identified in the FAA's Capital Investment Plan, and these are to be delivered by 1820 FAA acquisition professionals. In addition, program complexity, budget uncertainty, and the challenge of finding acquisition professionals present other problems. The experience of systems acquisition in NextGen can provide a useful knowledge for future similar projects.

## Lessons Learned

Although major portions of the FAA NextGen project are technical transformations and physical infrastructure developments, the transformation in the aviation enterprise is important but to some degree neglected. Part of the issue might be the fact that this transformation is beyond the responsibility and capability of FAA. However, to accomplish NextGen's perceived benefits it is important to realize the effects of legacy systems, and most importantly the legacy enterprise architecture of the U.S. ATN. Many of the actual challenges in the system arose because of this inattention.

The sequestration in the U.S. government, the Budget Control Act of 2011, has cut the project funding substantially in recent years. As a result the project schedule and portfolio are subject to constant and wide-spread changes. The FAA was focused on delivering Optimization of Airspace and Procedures in the Metroplex (OPAM) program which is designed to reduce the delay, fuel consumption, and exhaust emission in busiest airports. The three areas of Houston, North Texas, and Washington D.C. were planned to complete the design phase on 2013 and start implementation.

Out of 700 planned ADS-B ground stations, 445 were operational on February 2013. ADS-B capability is a NextGen descendant of current radar systems and provides situational awareness for the players in the NAS using the Global Positioning System (GPS) and Wide Area Augmentation System (WAAS).

On the enterprise part of the project, the FAA Modernization and Reform Act of 2012 provided financial incentives for airlines and commercial aviation manufacturers to implement the required equipment in their aircraft. These incentives are designed to engage the air transportation community in the project and to create the critical mass of equipped airplanes.

There are considerable practices in applying NextGen. Establishment of the JPDO made the efforts of the project more coherent and integrated. JPDO's main responsibility is to coordinate development of NextGen. The role of this organization is to represent multiple stakeholders of the project, which enables it to resolve possible conflicts of interests inside one entity. Moreover, such an organization provides a venue for technical knowledge-sharing, creating a consensus, and making an integrated system.

Emphasizing delivery of the mid-term objectives of NextGen is another lesson of the project. It was a well-known practice documented by Forman and Maier to establish mid-points for complex projects (Forman 2000). Developing

a mid-level system provides the system designers an opportunity to examine their underlying assumptions, to identify best practices and heuristics in the context of the project, and to reapply the acquired knowledge through evolutionary developments. A major shift in the policy of FAA in recent years was to focus on delivering project mid-term objectives.

There are unique characteristics of NextGen which makes it a valuable case for learning and replicating to other complex transformation projects of sociotechnical systems. The scale of the project for infrastructure transformation is unprecedented. The system includes legacy systems and cutting edge technology, and its performance is based on their coherent work. The project implementation is dependent on involved participation of multiple governmental and commercial organizations. Moreover, this case-study provides a great investigation in enterprise governance and enterprise transformation beyond a single organization.

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< Previous Article | Parent Article | Next Article >

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# How Lack of Information Sharing Jeopardized the NASA/ESA Cassini/Huygens Mission to Saturn

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*Lead Author: Brian White*

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This article describes a deep space mission where more forthright information exchanges between teamed but rival agencies could have preserved the original plan as well as saved much time and money. The topic may be of particular interest to those involved in institutional collaborations where there are vested interests in protecting rather than sharing information.

For addition information, refer to the closely related topics of Information Management, Organizing Business and Enterprises to Perform Systems Engineering and Fundamentals of Services.

## Background

Before the “Faster, Better, Cheaper” philosophy introduced in the 1990s, the United States National Aeronautics and Space Administration (NASA) focused on three classes of unmanned space missions. In order of increasing cost, these were the Discovery, New Frontiers, and Flagship programs. Flagship programs typically cost more than \$1B, and included the Voyager (outer planets), Galileo (Jupiter), Cassini-Huygens (Saturn), Mars Science Laboratory (Mars), and the James Webb Space Telescope. (Wall 2012)

The concept of the Cassini-Huygens mission was initiated in 1982 as the result of a working group formed by the National Academy of Sciences and the European Science Foundation. This group sought opportunities for joint space missions; several subsequent reports endorsed the working group’s concept of a Saturn orbiter coupled with a Titan (Saturn’s largest moon) lander. (Russell 2003, p. 61)

By 1988, NASA was politically motivated to reverse earlier tensions with the European Space Agency (ESA) by engaging in a joint mission. Cassini-Huygens was seen as a mechanism to achieve this goal, and the cooperation between NASA and ESA helped the program survive potential budget cuts (since the U.S. was obligated to match ESA commitments). (Russell 2003, p. 62)

NASA and ESA approved the Cassini-Huygens program, and it proceeded under a traditional management approach. NASA built the Cassini orbiter (the largest and most complex unmanned space probe ever built) and the ESA constructed the Huygens lander. This partition of responsibility almost led to the failure of the Titan survey portion of the mission. Cassini (which would conduct a variety of scientific surveys of the Saturn planetary system) was expected to relay transmissions from Huygens to NASA’s Deep Space Network (DSN); however, the interface between the lander and orbiter was not well-managed and erroneous assumptions about how the orbiter/lander system would behave after separation nearly doomed the Titan exploration portion of the mission. (Oberg 2004)

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## Purpose

The intent of the Titan survey portion of the Cassini-Huygens mission was that the Huygens lander would separate from the Cassini orbiter and commence a one-way, 2.5 hour descent into Titan's atmosphere. Its modest transmitter would send data back to the orbiter, which would relay the information to Earth. (Oberg 2004, p. 30) This effectively made the radio link between the two spacecraft a single point of failure (SPOF) and one that was not well characterized.

Alenia Spazio SpA, the Italian communications vendor that built the radio system, overlooked the Doppler shift (approximately 38 kHz) (Oberg, 2004, p. 31) that would occur when Huygens separated from Cassini and began its descent (Oberg 2004, p. 38). The communications protocol was binary phase-key shifting: "[the] transmission system represents 1s and 0s by varying the phase of the outgoing carrier wave. Recovering these bits requires precise timing: in simple terms, Cassini's receiver is designed to break the incoming signal into 8192 chunks every second. It determines the phase of each chunk compared with an unmodulated wave and outputs a 0 or a 1 accordingly". (Oberg 2004, p. 31) The receiver was appropriately configured to compensate for the Doppler shift of the carrier wave but would be unable to adjust for the Doppler shift of the encoded data. "In effect, the shift would push the signal out of synch with the timing scheme used to recover data from the phase-modulated carrier." (Oberg 2004, p. 33) Therefore, the communications system would be unable to decode the data from the lander and would then relay scrambled information to NASA. Because of the failure mechanism involved, the data would be completely unrecoverable.

Both Cassini and Huygens had been tested before launch; however, none of the testing accurately reflected the Doppler shift that would be experienced at this critical phase of the mission. An opportunity to conduct a full-scale, high-fidelity radio test was ignored due to budget constraints; the testing would have required disassembly and subsequent recertification of the probes. (Oberg, 2004, p. 30) Correcting this latent issue would have been trivial before the spacecraft were launched (via a minor firmware upgrade); (Oberg 2004, p. 33) once they were on the way to Saturn any corrective action would be severely limited and expensive.

Once the mission was underway, the probe coasted along its seven-year trajectory to Saturn and its moons. Claudio Sollazzo, the ESA ground operations manager, was uncomfortable with the untested communications system. He tasked Boris Smeds, an engineer with radio and telemetry experience, with finding a way to test the communications system using an Earth-generated signal. (Oberg 2004, p. 30)

Smeds spent six months developing the test protocols that would use Jet Propulsion Laboratory (JPL) ground stations and an exact duplicate of Huygens. Simulated telemetry would be broadcast from Earth to Cassini and relayed back; the test signal would vary in power level and Doppler shift to fully exercise the communications link and accurately reflect the anticipated parameters during Huygens's descent into Titan's atmosphere. (ESA 2005)

## Challenges

Smeds faced opposition to his test plans from those who felt it was unnecessary, but ultimately prevailed due to support from Sollazzo and Jean-Pierre Lebreton, the Huygens project scientist. More than two years after the mission was launched, Smeds traveled to a DSN site in California to conduct the test. (Oberg 2004, p. 31)

A test signal was broadcast, received by Cassini, re-transmitted to the DSN site, and relayed to ESA's European Space Operation Centre (ESOC) in Darmstadt, Germany for analysis. Testing had to be conducted when the orbiter was in the correct relative position in the sky; it was more than a quarter of a million miles away with a signal round-trip time of nearly an hour. The test immediately exposed an issue; the data stream was intermittently corrupted, with failures not correlated to the power level of the test signal. The first of two days of testing concluded with no clear root cause identified. (Oberg 2004, p. 31)

Even though the probe was far from its ultimate destination, many science teams were competing for time to communicate with it using the limited bandwidth available. The communications team would not be able to conduct

another set of trials for several months. Smeds diagnosed the root cause of the problem; he felt it was the Doppler shifts induced in the simulated signal. However, the test plan did not include unshifted telemetry (an ironic oversight). He modified his test plan overnight and shortened the planned tests by 60%; this recovered sufficient time for him to inject an unshifted signal into the test protocols. (Oberg 2004, p. 32)

This unshifted signal did not suffer from the same degradation; however, other engineers resisted the diagnosis of the problem. Follow-up testing using probe mockups and other equipment ultimately convinced the ESA of the issue; this took an additional seven months. (Oberg 2004, p. 33)

By late 2000, ESA informed NASA of the latent failure of the communications link between Cassini and Huygens. Inquiry boards confirmed that Alenia Spazio had reused timing features of a communications system used on Earth-orbiting satellites (which did not have to compensate for Doppler shifts of this magnitude). (Oberg, 2004, p. 33) In addition, because NASA was considered a competitor, full specifications for the communications modules were not shared with JPL. The implementation of the communications protocols was in the system's firmware; trivial to correct before launch, impossible to correct after. (ESA 2005)

A 40-man Huygens Recovery Task Force (HRTF) was created in early 2001 to investigate potential mitigation actions. Analysis showed that no amount of modification to the signal would prevent degradation; the team ultimately proposed changing the trajectory of Cassini to reduce the Doppler shift. (ESA 2005) Multiple studies were conducted to verify the efficacy of this remedy, and it ultimately allowed the mission to successfully complete the Titan survey.

## Systems Engineering Practices

Space missions are particularly challenging; once the spacecraft is en route to its destination, it is completely isolated. No additional resources can be provided and repair (particularly for unmanned mission) can be impossible. Apollo 13's crew barely survived the notable mishap on its mission because of the resources of the docked Lunar Excursion Module (LEM) and the resourcefulness of the ground control team's experts. A less well-known failure occurred during the Galileo mission to Jupiter. After the Challenger disaster, NASA adopted safety standards that restricted the size of boosters carried in the Space Shuttle. (Renzetti 1995) Galileo was delayed while the Shuttles were grounded and Galileo's trajectory was re-planned to include a Venus fly-by to accelerate and compensate for a smaller booster. Galileo's main antenna failed to deploy; lubricant had evaporated during the extended unplanned storage (Evans 2003) and limited computer space led to the deletion of the antenna motor-reversing software to make room for thermal protection routines. When the antenna partially deployed, it was stuck in place with no way to re-furl and redeploy it. Engineers ultimately used an onboard tape recorder, revised transmission protocols, the available low-gain antenna, and ground-based upgrades to the DSN to save the mission. (Taylor, Cheung, and Seo 2002)

The Titan survey was ultimately successful because simulation techniques were able to verify the planned trajectory modifications and sufficient reaction mass was available to complete the necessary maneuvers. In addition, Smeds's analysis gave the mission team the time it needed to fully diagnose the problem and develop and implement the remedy. If this test were conducted the day before the survey it would merely have given NASA and ESA advance warning of a disaster. The time provided enabled the mission planners to craft a trajectory that resolved the communication issue and then blended back into the original mission profile to preserve the balance of the Saturn fly-bys planned for Cassini. (Oberg 2004, p. 33)



## Lessons Learned

The near-failure of the Cassini-Huygens survey of Titan was averted because a handful of dedicated systems engineers fought for and conducted relevant testing, exposed a latent defect, and did so early enough in the mission to allow for a recovery plan to be developed and executed. Root causes of the issue included politically-driven partitioning, poor interface management, overlooked contextual information, and a lack of appreciation for single-points-of-failure (SPOFs).

The desire to use a joint space mission as a mechanism for bringing NASA and ESA closer together (with the associated positive impact in foreign relations) introduced an unnecessary interface into the system. Interfaces must always be managed carefully; interfaces between organizations (particularly those that cross organizational or political borders) require extra effort and attention. Boeing and Airbus experienced similar issues during the development of the Boeing 787 and A380; international interfaces in the design activities and supply chains led to issues:

*...every interface in nature has a surface energy. Creating a new surface (e.g., by cutting a block of steel into two pieces) consumes energy that is then bound up in that surface (or interface). Interfaces in human systems (or organizations), a critical aspect of complex systems such as these, also have costs in the effort to create and maintain them. Second, friction reduces performance. Carl von Clausewitz, the noted military strategist, defined friction as the disparity between the ideal performance of units, organizations, or systems, and their actual performance in real-world scenarios. One of the primary causes of friction is ambiguous or unclear information. Partitioning any system introduces friction at the interface. (Vinarcik 2014, p. 697)*

Alenia Spazio SpA's unclear understanding of the Doppler shift introduced by the planned relative trajectories of Huygens and Cassini during the Titan survey led it to reuse a component from Earth-orbiting satellites. Because it considered NASA a competitor and cloaked details of the communications system behind a veil of propriety, it prevented detection of this flaw in the design phase. (Oberg 2004, p. 33)

Because NASA and ESA did not identify this communication link as a critical SPOF, they both sacrificed pre-launch testing on the altar of expediency and cost-savings. This prevented detection and correction of the flaw before the mission was dispatched to Saturn. The resource cost of the later analysis and remedial action was non-trivial and if sufficient time and reaction mass had not been available the mission would have been compromised. It should be noted that a number of recent spacecraft failures are directly attributable to SPOFs (notably, the Mars Polar Lander (JPL 2000) and the Genesis sample return mission (GENESIS, 2005)). Effective SPOF detection and remediation must be a priority for any product development effort. More generally, early in the development process, significant emphasis should be placed on analyses focused on what might go wrong ("rainy day scenarios") in addition to what is expected to go right ("sunny day scenarios").

The success of the Huygens survey of Titan was built upon the foundation established by Boris Smeds by identifying the root cause of the design flaws in a critical communications link. This case study underscores the need for clear contextual understanding, robust interface management, representative testing, and proper characterization and management of SPOFs.

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

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# Hubble Space Telescope

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*Lead Authors: Heidi Davidz, Alice Squires, Richard Freeman, Contributing Authors: Brian White*

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This article describes a remarkable engineering feat with vast scientific benefits and implications. The topic may be of particular interest to those facing formidable systems engineering challenges where one might thrive on a thoughtful blend of humility and optimism. For additional information, refer to the links provided in Section V. Lessons Learned below.

## Background

*The Hubble Space Telescope (HST) Case Study* was developed by the United States Air Force Center for Systems Engineering (AF CSE) located at the Air Force Institute of Technology (AFIT). The AF CSE was tasked to develop case studies focusing on the application of systems engineering principles within various aerospace programs. The HST study (Mattice 2005) is one of four initial case studies selected by AFIT for development in support of systems engineering graduate school instruction. The cases are structured using the Friedman-Sage framework (Friedman and Sage 2003; Friedman and Sage 2004, 84-96), which decomposes a case into contractor, government, and shared responsibilities in the following nine concept areas:

1. Requirements Definition and Management
2. Systems Architecture Development
3. System/Subsystem Design
4. Verification/Validation
5. Risk Management
6. Systems Integration and Interfaces
7. Life Cycle Support
8. Deployment and Post Deployment
9. System and Program Management

The case study provides a useful example of the rising cost of defect correction through successive life cycle phases, demonstrating how an error (in test fixture specification) that could have been fixed for \$1,000 at the design stage, or detected and fixed with a \$10 million investment in an end-to-end test of the telescope on the ground, ended up costing \$1 billion to fix when the system was in service.

## Purpose

The Hubble Space Telescope (HST) is an orbiting astronomical observatory operating in the spectrum from the near-infrared into the ultraviolet. Launched in 1990 and still operational, HST carries and has carried a wide variety of instruments producing imaging, spectrographic, astrometric, and photometric data through both pointed and parallel observing programs. Over 100,000 observations of more than 20,000 targets have been produced for retrieval. The telescope is well known as a marvel of science. This case study hopes to represent the facet of the HST that is a marvel of systems engineering, which, in fact, generated the scientific research and observation capabilities now appreciated worldwide.

Viewed with the clarity that only time and hindsight provide, the HST program certainly represents one of the most successful modern human endeavors on any scale of international scope and complexity. As a systems engineering project the HST had to respond to requirements from the diverse international scientific community at a time when NASA was implementing a different research-development-acquisition philosophy and process than what was predominately being used in most major government acquisition programs. As with most other large programs, powerful influences outside the systems engineering process itself became issues that HST systems engineers in

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effect had to acknowledge as integral to their overall system/program/engineering management responsibility.

## Challenges

The story of how this remarkable capability came to be is a story of the complicated interactions of a systems engineering process, which we like to believe we understand, with equally demanding political, budgetary, and institutional processes we often fail to understand or comprehend at the time they occur. In the final analysis, these processes are inseparable and integral to attaining program success. The challenge to modern systems engineers is to fully embrace the discipline of the systems engineering process while at the same time learning how to continue to practice it in spite of inevitable external influences and instabilities that often cannot be anticipated.

Major differences revolved around the nature and needs of a very different HST “customer” or user from most DoD systems. The HST had to respond to requirements from the diverse international scientific community instead of from DoD’s combatant commands. In addition, at the time, NASA implemented a different research-development-acquisition philosophy and process than the DoD Acquisition Management Framework described in the DoD 5000 series acquisition reforms. As with most other large programs, powerful influences outside the systems engineering process itself became issues that HST systems engineers in effect had to acknowledge as integral to their overall system/program/engineering management responsibility.

## Systems Engineering Practices

During the critical systems engineering phase for the HST program (1970s concept studies thru 1990 launch) there appears to have been no NASA systems engineering master process. Rather, field center processes were operative and possibly even in competition, as centers (especially Marshall and Goddard for HST) were in keen competition for lead management roles and responsibilities. We will see the systems engineering and program management impacts of this competition as it played out for HST, with the science mission objectives and instrumentation payloads being the motivation for Goddard vs. the vehicle/payload access to space motivation of Marshall. In the final analysis, the roles of the major contractors in engineering the system with uneven NASA participation over the system life cycle had a telling effect.

## Lessons Learned

Five learning principles (LPs) were derived that address the more broadly applicable areas of systems engineering knowledge. These five LPs inform the areas of the SEBoK that are most strongly related to the case study. The five areas are:

- stakeholder requirements definition (LP1);
- planning (pre-program trade studies) (LP2);
- system integration (LP3);
- life cycle model management (LP4); and
- risk management (LP5).

A synopsis of the HST Learning Principles (LPs) are as follows:

**Stakeholder Requirements Definition** LP1: Early and full participation by the customer/user throughout the program is essential to success. In the early stages of the HST program the mechanism for involving the customer was not well defined. The user community was initially polarized and not effectively engaged in program definition and advocacy. This eventually changed for the better, albeit driven heavily by external political and related national program initiatives. Ultimately, institutionalization of the user’s process for involvement ensured powerful representation and a fundamental stake and role in both establishing and managing program requirements. Over time, the effectiveness of “The Institute” led to equally effective user involvement in the deployment and on-orbit operations of the system as well.

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**Planning LP 2:** The use of Pre-Program Trade Studies (e.g. “Phased Studies” or “Phased Project Planning”) to broadly explore technical concepts and alternatives is essential and provides for a healthy variety of inputs from a variety of contractors and government (NASA) centers. These activities cover a range of feasibility, conceptual, alternative and preliminary design trades, with cost initially a minor (later a major) factor. In the case of HST, several NASA Headquarters and Center organizations funded these studies and sponsored technical workshops for HST concepts. This approach can promote healthy or unhealthy competition, especially when roles and responsibilities within and between the participating management centers have not yet been decided and competing external organizations use these studies to further both technical and political agendas. NASA Center roles and missions can also be at stake depending on political and or budgetary realities. The systems engineering challenge at this stage is to “keep it technical, stupid!”

**Systems Integration LP 3:** A high degree of systems integration to assemble, test, deploy, and operate the system is essential to success and must be identified as a fundamental program resource need as part of the program baseline. For HST, the early wedding of the program to the Shuttle, prior NASA and NASA contractor experience with similarly complex programs, such as Apollo, and the early requirement for manned, on-orbit servicing made it hard not to recognize this was a big systems engineering integration challenge. Nonetheless, collaboration between government engineers, contractor engineers, as well as customers, must be well defined and exercised early on to overcome inevitable integration challenges and unforeseen events.

**Life Cycle Models LP 4:** Life Cycle Support planning and execution must be integral from day one, including concept and design phases. The results will speak for themselves. Programs structured with real life cycle performance as a design driver will be capable of performing in-service better, and will be capable of dealing with unforeseen events (even usage in unanticipated missions). HST probably represents a benchmark for building in system sustainment (reliability, maintainability, provision for technology upgrade, built-in redundancy, etc.), while providing for human execution of functions (planned and unplanned) critical to servicing missions. With four successful service missions complete, including one initially not planned (the primary mirror repair), the benefits of design-for-sustainment, or life cycle support, throughout all phases of the program becomes quite evident. Without this design approach, it is unlikely that the unanticipated, unplanned mirror repair could even have been attempted, let alone been totally successful.

**Risk Management LP 5:** For complex programs, the number of stakeholders (government and contractor) demands that the program be structured to cope with high risk factors in many management and technical areas simultaneously. The HST program relied heavily on the contractors (especially Lockheed Missiles and Space Company (LMSC) and Perkin-Elmer (P-E)), each of which “owned” very significant and unique program risk areas. In the critical area of optical systems, NASA depended on LMSC as the overall integrator to manage risk in an area where P-E was clearly the technical expert. Accordingly, NASA relied on LMSC and LMSC relied on P-E with insufficient checks, oversight, and independence of the quality assurance function throughout. While most other risk areas were no doubt managed effectively, lapses here led directly to the HST’s going to orbit with the primary mirror defect undetected, in spite of substantial evidence that could have been used to prevent this.

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None.

### Additional References

None.

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

## Northwest Hydro System

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This case study presents the Northwest Hydro System (NwHS), which is situated in the northwestern United States (the Northwest). NwHS comprises a large number of loosely coupled autonomous elements (hydroelectric dams) that operate in a complex environment of social, regulatory, and ecological contexts. It is instructive to note that the NwHS is characterized as a project that is concerned with planning, developing, and maintaining a hydroelectric system that has evolved, and continues to evolve, over time. Each of the hydroelectric dams within the NwHS is also referred to as a project, which indicates that the individual elements of the NwHS are also evolving over time (FWEE 2016).

### Background

As is shown in this case study, NwHS is an adaptive and reconfigurable system that exists within a framework of policies, rules, regulations, and agreements. The NwHS is analyzed using each of the four provisioning paradigms in SEBoK Part 4: product system engineering; service system engineering; enterprise system engineering; and system of systems engineering.

NwHS encompasses the Columbia River and its tributaries. The headwaters of the Columbia are in the Rocky Mountains of British Columbia, Canada. The river flows south into the United States and then east to west; it forms the north-south border between the states of Washington and Oregon in the U.S. and empties into the Pacific Ocean near Astoria, Oregon. The Columbia River drainage basin (Columbia and tributaries) is roughly the size of France and extends across seven U.S. states and British Columbia (Col 2016).

The Columbia River has 14 hydroelectric dams (hydro dams) on its main stem. In total, there are more than 250 hydro dams in the Columbia River Basin, each of which has a generating capacity of five or more megawatts of electricity. The NwHS produces approximately one-third of all hydroelectric power generated in the United States -

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more than any other North American hydroelectric system. The amount of electrical power generated by the NwHS fluctuates between 50% and 75% of all electricity used in the Northwest; other sources include coal, natural gas, nuclear, wind, and solar. Excess electrical energy generated by NwHS is sold to other electrical grids. There are more small hydro dams than large dams. Small hydro dams have a generating capacity of 100 kilowatts to 30 megawatts; large hydro dams have a capacity of more than 30 megawatts. In addition, there are numerous micro dams that each can generate fewer than 100 kilowatts. Most micro dams provide power to isolated homes or small communities but some are elements of the NwHS and sell power to utilities (DOE 2016). Utility companies own some of the dams, some are locally and privately owned, and some are owned and operated by federal agencies.

The Bonneville Power Administration (BPA) provides about one-third of the electrical power generated by NwHS and used in the Northwest; BPA is a federal nonprofit agency – it is part of the U.S. Department of Energy. It is self-funded and covers its costs by selling electrical power generated by 31 federal hydro dams in the Columbia River Basin. The U.S. Army Corps of Engineers and the Bureau of Reclamation operate the dams.

The Bureau of Reclamation also operates a network of automated hydrologic and meteorologic monitoring stations located throughout the Northwest. This network and its associated communications and computer systems are collectively called Hydromet. Remote data collection platforms transmit water and environmental data via radio and satellite to provide near-real-time water management capabilities. Other information, as available, is integrated with Hydromet data to provide timely water supply status for river and reservoir operations (USBR 2016).

Distinguishing characteristics of individual hydro dams are their capacity to generate electrical energy and their physical structure. Several factors contribute to the differences in generating capacity of hydro dams: the number of turbines/generators; the flow rate of a river or tributary; the amount of elevation that water falls in order to spin the turbines; and environmental factors such as providing for fish passage and regulating water flow to provide irrigation water and maintain downstream ecosystems.

Dam structures include storage dams, run-of-river dams, and pumped storage dams (DOE 2016). A storage dam retains water in a reservoir for future use. A run-of-river dam harvests the energy in a river as it flows through the dam but does not impede the flow. Pumped storage dams use generated electricity to pump water back up to a storage reservoir during times of low demand for use during times of high demand. Pumped storage dams are not common in the NwHS.

## Purpose

NwHS has three primary goals (NwHS 2016):

1. To provide most of the Northwest's "firm-energy" needs.
2. To maximize "non-firm" energy production.
3. To maintain the ecological environment.

Firm energy is the amount of electricity the Northwest will need each year. Planners rely on NwHS and other sources to produce enough firm energy to ensure that sufficient electricity will be generated to meet estimated needs (energy sources include hydroelectric, nuclear, coal, natural gas, solar, and wind). NwHS "firm energy" is the amount of electricity that can be generated by NwHS when the amount of available water is at a historical low, thus guaranteeing the amount of energy the NwHS can provide.

Non-firm energy is the electricity generated when the annual hydrologic cycle makes more water available for power generation than in a historically low-water year. Non-firm electricity generated by hydro dams is generally sold at a lower price than the alternatives of electricity generated by nuclear, coal, or natural gas thus making it more attractive to customers. Excess non-firm electricity is also sold to interconnected regional grids when the demand on those grids exceeds supply.

Other goals for NwHS include flood control, navigation, irrigation, and maintaining the water levels of all reservoirs.

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## Challenges

The NwHS is a large, complex system that has many challenges to be met.

NwHS hydro dams have varying design details (e.g., the types of turbines, generators, control systems, and fish passage facilities used). This makes routine maintenance, retrofitting, and other sustainment issues unique for each dam.

Safety and security (both physical and cyber) are common challenges for all dams; cyber security is a growing concern. Smaller dams, having fewer resources, may be more susceptible to cyber attacks than larger ones. It has been reported that on 12 occasions in the last decade hackers gained top-level access to key power networks (HLS 2010) (Cyber 2015).

Run-of-river hydro dams do not store water. They may not be able to meet their firm energy commitments when rivers are lower than anticipated and flowing slowly.

The ways in which electricity generated by a dam is transmitted and sold to utilities and large industrial customers varies widely. For instance, the Bonneville Power Administration transmits and sells power generated by federal dams. Non-federal operators must manage transmission and sale of power produced by their dams.

Depending on factors such as size, structure, location, and ownership of each dam, a large number of policies, regulations, and agreements have dramatically different effects on how dams are operated.

Some of the most contentious environmental issues are associated with maintaining the ecology of the rivers, preserving salmon and other fish, and providing sufficient irrigation water while preserving sufficient reservoir water to meet firm-energy demands (Speakout 2016).

Preserving the salmon population endangered by dams is a continuing challenge. Salmon populations have been depleted because dams impede the return of salmon to upstream spawning beds. Native Americans advocate for their traditional fishing rights, which conflict with governmental policies intended to maintain healthy salmon populations in the Columbia River Basin (Impact 2016). The National Marine Fisheries Service has recently declared that salmon recovery is a higher priority than all other purposes except flood control at 14 federal dams.

## Systems Engineering Practices

The Northwest Hydro System is a large, complex system composed of loosely coupled autonomous elements; each dam operates semi-independently within a large network of similar entities and contextual constraints. The NwHS evolves over time: some dams have been retrofitted to increase power generation capability or to reconfigure connections to electrical transmission lines; new dams have been constructed; and some existing dams have been decommissioned and removed.

Human elements of NwHS include: operators; maintainers; regulators; and inspectors. Others are suppliers to NwHS (vendors and contractors); some humans are users of the electricity generated by NwHS (businesses and home owners); and some are stakeholders who depend on and are impacted by the NwHS (utilities, large industries, farmers, ranchers, homeowners, ecology advocates, Native Americans, towns).

The context of NwHS includes natural elements (rivers, terrain, weather systems, fish); elements purposefully built by humans (transmission lines, electrical grids); cyber connections (both wired and Internet); and rules, regulations, and agreements at the federal, regional, state, and local levels.

Given the complexity of the NwHS and its context, it is instructive to analyze the NwHS by applying each of the four application paradigms of systems engineering presented in SEBok Part 4: the product, service, enterprise, and system-of-systems application paradigms.



## **Product system provisioning**

Product system provisioning applies systems engineering processes, methods, tools, and techniques to conceive, develop, and sustain the purposefully developed elements of a system (e.g., a hydro dam or a hydro system). In addition, some of the naturally occurring physical elements of a system may be shaped and configured (e.g., a river channel).

Major product elements of a hydro dam include the physical structure of the dam (including the spillway), the penstock (used to direct water into the turbines), the generating plant (i.e., the turbines used to turn generator rotors, generator stators and rotors that generate the electricity, step-up transformers used to increase the voltage level of electricity produced by the generators, and connections to transmission lines).

Cyber elements sense, measure, regulate, and control water flow, power generation, safety, security, and the structural integrity of the dam. Some turbines, for example, have adjustable vanes that are controlled to harvest maximum energy from the water, depending on the flow rate, power demand, and other factors. The cyber elements include: computing devices; supporting software (operating systems, databases, spreadsheets); data management software (collection, analysis, reporting); application software (displays of monitored status and interfaces for controlling operation of a dam); and communication interfaces to wired linkage and Internet-enabled links. In addition, software support is provided for the analog and digital devices needed to sense, measure, regulate, and control the purposefully built and naturally occurring elements of a dam and its environment.

Product system provisioning is also concerned with other issues that apply to individual dams, elements of dams, and the overall NwHS. They include issues such as: manufacturability/producibility; logistics and distribution; product quality; product disposal; conformance to policies, laws, regulations, agreements, and standards; value added for stakeholders; and meeting customer's expectations. Many different technologies and engineering disciplines are needed to develop and sustain a hydro dam and the overall Northwest Hydro System. Product system provisioning can provide the coordination and control of systems engineering needed to develop, reconfigure, adapt, analyze, and sustain the hydro dams and the NwHS.

## **Service system provisioning**

A service is an activity performed by an entity to help or assist one or more other entities. Service system provisioning can be applied within the various contexts of services provided by the NwHS to meet stakeholders' requirements, users' needs, and system interactions with operators, users, and maintainers, plus the interactions with the contextual elements that determined services provided by the NwHS in the social, business, regulatory, and physical environments.

The NWHS provides electricity to a grid that serves commercial, industrial, governmental, and domestic customers. Stakeholders in addition to customers served include those who affect or will be affected by development, operation, and sustainment of a dam. Downstream stakeholders served, for example, include, Native Americans, farmers and ranchers, and communities that receive the service of water released by the dam.

Additional service attributes include: the services that enable operators and maintainers to efficiently and effectively operate and maintain the physical and cyber elements of a dam; release water from the dam in a manner that services the upstream and downstream ecosystems; manage sharing of electrical power with other regional grids; provide emergency responses to power demands that result from electrical brownouts, blackouts, and overloads; and handle system failures that might be caused by earthquakes, terrorist attacks, and other catastrophic events.

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## Enterprise system provisioning

An enterprise, such as the NwHS, consists of one or more organizations that share a mission, goals, and objectives to offer an output such as a product or service. The mission and goals of the NwHS are to provide most of the Northwest's firm energy needs and to maximize non-firm energy production while serving stakeholders and preserving affected environmental ecosystems. To meet those goals, the Northwest Hydroelectric Association (NWhA) coordinates the planning, design, improvement, and operation of the hydro dams that constitute the NwHS enterprise.

NWhA members represents all segments of the hydropower industry – independent developers and energy producers; public and private utilities; manufacturers and distributors; and local, state and regional governments including water and irrigation districts. Other NWhA members include contractors, Native American tribes, and consultants: engineers, financiers, environmental scientists, attorneys and others (NWhA 2016).

Note that an enterprise may consist of multiple organizations that are engaged in a common endeavor. The NwHS is a large complex enterprise that has many constituent organizations; namely, the organizations that own and operate the hydro dams and the other stakeholder members of the NWhA. Differences in ownership, structure, location, and size of hydro dams, the special interests of various NWhA members, and a complicated regulatory process, are some of the distinguishing characteristics of the NwHS that can be analyzed by enterprise systems provisioning.

## System of Systems provisioning

Many systems are composed of autonomous elements that are combined to provide increased capabilities that cannot be provided by the elements operating in isolation. The Northwest Hydro System is a system of systems comprised of autonomous hydro dams that have different owners, different operators, different stakeholders, and different regulators. The autonomous hydro dams could not provide the NwHS capabilities without the overall coordination and control that can be managed by applying system of systems provisioning.

## Lessons Learned

NwHS is a collection of many interrelated ongoing projects that have shared common goals and shared constraints. The unique characteristics of NwHS make it a useful case study to illustrate how the four provisioning paradigms in SEBoK Part 4 provide essential viewpoints for analyzing large complex systems comprised of loosely coupled, autonomous elements.

Product systems engineering allows the collection of physical and purposefully built NwHS elements and their interconnections to be analyzed by applying systems product engineering processes and methods.

Service systems engineering supports analysis of the NwHS services provided to customers, users, farmers, ranchers, Native Americans, and other stakeholders who rely on NwHS for those services.

Enterprise systems engineering considers the broad scope and impact of the NwHS enterprise, both positive and negative on the northwestern United States within the context of economic, social, physical, and regulatory environments.

System of Systems engineering applies the principles of planning, coordination, and operation to a collection of semi-autonomous hydro dams that form the Northwest Hydro System. The complexity of adding new dams as well as modifying and decommissioning existing dams in a seamless manner can best be understood by applying system of systems engineering processes and methods.

Taken together, the four provisioning paradigms in SEBoK Part 4 present a comprehensive view of a very large complex system whose many dimensions would be otherwise difficult, if not impossible, to comprehend when the NwHS is examined using only one of the paradigms.

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< Previous Article | Parent Article | Next Article >

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# Singapore Water Management

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*Lead Authors: Heidi Davidz, Alex Lee, Alice Squires, Contributing Author: Richard Turner*

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This example was produced as a SE example directly for the SEBoK. It describes a systems engineering approach in the development of a sustainable National Water Management System for the Republic of Singapore. It demonstrates the successful outcome of long term planning and a systems approach to preempt a critical water shortage. The example is primarily based on information taken from a paper presented at the INCOSE International Symposium in 2008. (Chia 2008)

## Description

When Singapore achieved independence in 1965, water supply depended on water catchment in local reservoirs and two bilateral water agreements with its closest neighbor, Malaysia. These water agreements are registered with the United Nations. The first agreement expired in August 2011, and the second agreement will expire in 2061 (Singapore 2012). After several failed attempts to renegotiate the extension of the first water agreement, Singapore determined that it was necessary to achieve full water self sufficiency by 2060 in case the second water agreement also could not be extended. An intermediate goal was to match the supply of the first water agreement before it expired. This was achieved in several ways. In 2001, the Public Utilities Board (PUB), the national water agency responsible for treating raw water in Singapore, was charged to also begin managing wastewater and stormwater, allowing for an integrated and holistic approach to water management.

This example examines Singapore's water management system from a large-scale systems engineering perspective, particularly focusing on the goals, boundaries (see Concepts of Systems Thinking), stakeholders (see Stakeholder Needs and Requirements), and complexities involved in this type of a national system. This approach illustrates how Systems Thinking (illustrated through causal loop diagrams) and other systems engineering tools may be used to understand systems complexities. Concepts and methodologies of learning organizations were applied to enable understanding of behavioral complexities. Lean thinking facilitated a long term strategic philosophy, built on the premise of continuous improvements.

Perhaps more importantly, it shows that while systems engineering, especially the Systems Approach, is necessary for the conceptualization and planning of such a complex system, it is not sufficient for success. It is the systemic structures that have been put in place over decades, political will, leadership, people, and culture that make such tasks realizable.

The supply of water in Singapore is managed in totality. Collecting rainwater, purchasing water, purifying water utilizing reverse osmosis and desalination were all considered. Approaches included even incentivising consumers to change their habits by making drains and canals recreational areas to encourage the public not to dispose of waste in their drains. By managing sewage and drainage together with water, environmental considerations are taken into

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account as well. By carefully adjusting organizational boundaries, Singapore has managed to reduce silo thinking and parochial interests. The relationships between the industry innovators, government, suppliers and users, and technology innovators create opportunities for Singapore's water management. This demonstrates how multiple stakeholder interests can be combined to create a viable water management solution. Continuous improvements through the use of technology and elimination of waste, such as reducing water that is not accounted for in the system, help to assure the sustainability of an adequate supply of water for a growing Singapore population. The Singapore Water Management system is already in successful operation and is being studied by the Organisation for Economic Co-operation and Development (OECD) and by other nations.

## Summary

The supply of water in Singapore is managed in totality through a systems approach, i.e., water catchment, supply, sewage and drainage. The importance of relationships between the stakeholders is also recognized. Industry innovators, political leadership, suppliers, and consumers are all involved; the project has been able to incentivize this diverse group to work together for a common goal, i.e., assuring the sustainability of an adequate supply of water for Singapore into the future.

Utilizing systems engineering and taking into consideration the systemic structures and culture required has helped Singapore achieve its first milestone of supplying its own water resources by 2010. Singapore has been able to overcome the shortfall that would have come about with the expiry of the first water agreement with Malaysia in 2011.

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

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# Submarine Warfare Federated Tactical Systems

This article describes the transformation of the systems engineering and integration program that produces the common combat system used across the United States Navy (USN) submarine fleet from traditional document-based systems engineering (DBSE) to model-based systems engineering (MBSE). The topic may be of particular interest to those dealing with programs in the sustainment and evolution phase of their life cycle. For additional information, refer to the links provided in Section V, Lessons Learned below.

## Background

Modern submarines are typically in service for 20 - 40 years. Submarines and their internal systems are typically state-of-the-practice at launch, but most navies find it necessary to upgrade the ship's combat system at least once during the operational lifetime. The evolution of threats, technology and interoperability drives the USN to upgrade their submarine combat systems and key components including the sonar (Fages 1998) (Ford and Dillard 2009) and tactical control systems continuously (Jacobus and Barrett 2002).

Over the last three decades submarine combat systems have evolved from multiple independent systems (sonar, combat control, imaging, electronic warfare, weapon control, etc.) with manual or point-to-point interfaces into networked federations of systems (FoS). Confusingly, these component systems are often referred to as subsystems in the literature. Typically, each new class of submarines has been equipped with a new combat system, with a corresponding logistics and sustainment tail unique to that class.

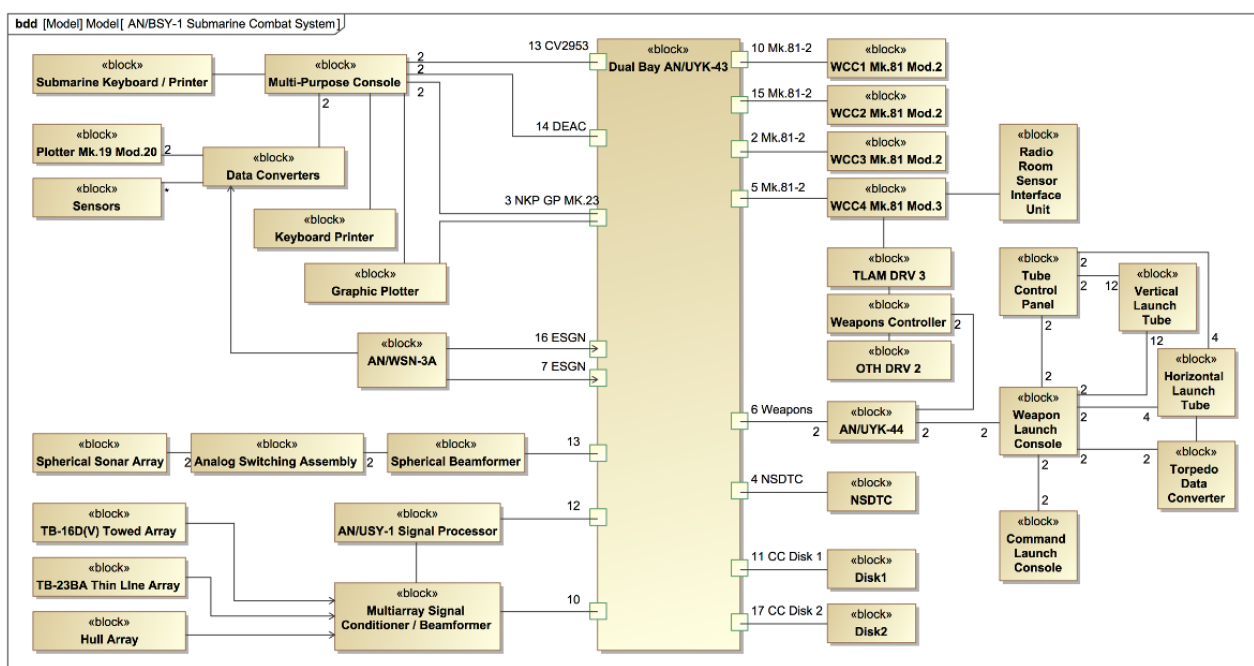


Figure 1. SysML Block Definition Diagram of 1985 era submarine combat system composed from independent component systems with point-to-point interfaces (SEBoK Original)

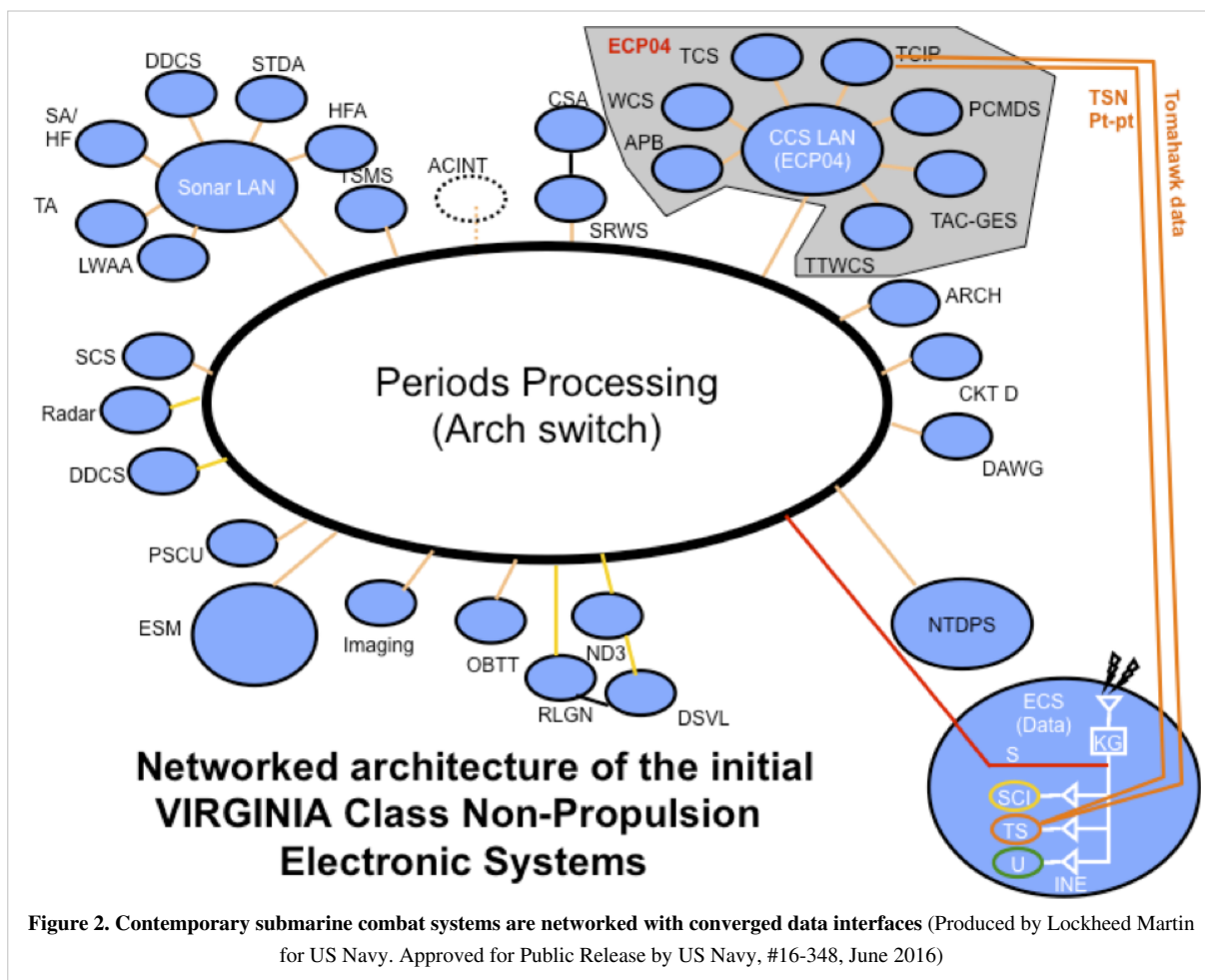
In the USN, each of these component systems has its own acquisition program, customer, and contractor team. Starting as legacy military systems hosted on traditional military-unique computational platforms, these systems have evolved to utilize Commercial Off-The-Shelf (COTS) computational and networking platforms, and leverage large amounts of COTS software.

As the component systems became more tightly interconnected, the acquisition customers established and collaboratively funded a systems engineering and integration (SE&I) program to manage the interfaces between

systems, manage technology insertion and the obsolescence of common COTS hardware, and to integrate and test the production systems (Cooper, Sienkiewicz and Oliver 2006). Starting with the Virginia class, this SE&I program was expanded to encompass both new-production and in-service submarine modernization efforts. Over time, the combat systems of the various submarine classes were converged into variants of a single product line (Zingarelli, et al. 2010). In addition, the independent system-to-system interfaces were rationalized where practical into common interfaces shared between multiple systems.

## Purpose

The submarine combat system SE&I program delivers an updated production baseline annually, along with product line variants for each submarine class or subclass being built or upgraded that year. Production systems implementing this baseline are delivered to new-build submarines, and to in-service submarines being upgraded on a roughly six-year cycle. The common combat system product line is referred to as the Submarine Warfare Federated Tactical Systems (SWFTS). SWFTS is deployed by the USN on submarines of the Los Angeles (SSN 688), Ohio (SSGN 726, SSBN 730), Seawolf (SSN 21), and Virginia (SSN 774) classes, and by the Royal Australian Navy on the Collins (SSG 73) class. SWFTS is also planned for the next-generation USN Columbia (SSBN) and RAN Future Submarine classes. Compared to the submarine combat systems that it replaced, SWFTS significantly reduces development, maintenance and training costs while delivering enhanced combat capabilities and facilitating the rapid insertion of new or improved capabilities (Zingarelli, et al. 2010).



## Challenges

The USN submarine fleet encompasses substantial platform variability between class, sub-classes, and even individual ships within a sub-class. The RAN Collins class contributes additional variability. Platform variability drives combat system variability.

SWFTS is a Federation of Systems (FoS), with each platform hosting a subset of 40 systems produced by 20 different program offices. As is common with System of Systems (SoS) and FoS, there is no central program office that can command the compliance of all of the component system programs. Instead, the evolution of SWFTS is executed through negotiation and consensus.

Many baselines must be produced each year: new common hardware baselines are introduced in odd years, while new common software baselines are introduced in even years (Jacobus, Yan and Barrett 2002). In addition, multiple incremental developmental baselines are established each year. Once the annual production baseline for the product line is defined, variants must be developed for each submarine class or subclass built or upgraded that year (Mitchell 2012).

Like most other defense programs, the SWFTS SE&I program is under constant pressure to accomplish more with decreasing resources. There has been steady increase in SE scope despite decreasing budgets. Program leadership has responded in part through continuous SE process improvement. Improvements have included test automation, changes in the requirements management processes and tools (spreadsheets to IBM® Rational® DOORS® to OMG® SysML®), refined tooling for change management, and the DBSE to MBSE transition that is the focus of this case study. Substantial Return on Investment (ROI) has been achieved with each major SE process or tooling improvement (Mitchell 2014).

## Systems Engineering Practices

During 2009 the SWFTS SE&I program conducted a Model Driven Architecture (MDA) study to determine if MDA should be the next step in the program's continuous SE process improvement. The MDA study predicted a positive Return on Investment (ROI) from converting to MBSE. In January 2010 the SWFTS SE&I program office initiated a three-year effort to develop and validate a SWFTS FoS model and MBSE process. In 2013 a SWFTS baseline was developed using both DBSE and MBSE in parallel. The DBSE products were used to validate the MBSE products. Based on that successful validation, the SWFTS SE&I program transitioned to MBSE for all ongoing work.

Until the transition in 2013, SWFTS SE was performed using traditional DBSE. Requirements were managed in DOORS, and reviewed and used by engineers in the form of massive spreadsheets with hundreds of columns and thousands of rows. The design of each variant was documented in Microsoft Office files. Baseline change requests (BCR) were documented in briefings, and analyzed by all component system programs in parallel for potential impact. Approved BCRs were manually merged into DOORS and into revised baseline documents for each effected variant.

Starting in 2010, the customer community invested in a three-year MBSE transformation effort. The engineering team performed an in-depth tool trade study to select and set up the MBSE environment. That trade study resulted in the selection of MagicDraw™ for system modeling, using Teamwork™ as the model repository.

Once the modeling environment was installed, the MBSE transformation team architected, developed and populated a SysML-based model of the SWFTS FoS interfaces. The team updated the SWFTS SE process to take advantage of the new MBSE environment, with the constraint that the MBSE process produce SE products that were effectively identical to those produced by the DBSE process.

In 2013 the new MBSE environment and process was used to produce a set of SWFTS baseline SE products. In parallel, the DBSE process produced equivalent products. The two sets of baseline products were compared in detail, with all differences traced back to root causes.



This analysis identified a significant number of minor differences that were all traced to errors in the DBSE products. This validated the MBSE process, and demonstrated that while those initial MBSE baseline products were more labor-intensive than the DBSE baseline products, the new MBSE process produced higher quality products. After this validation, the SWFTS SE&I program switched over to MBSE as their basic process.

Since that transformation, SE process improvement has continued apace. Requirements management has moved from DOORS to the system model in MagicDraw. As of 2016, the system model is the baseline for requirements, architecture and the FoS design. BCR impact analysis is now performed in model, leveraging capabilities of the toolset for automated assistance. Variants are documented in the system model as system configurations. Most SE products are generated from system model on demand.

While the initial scope of MBSE was limited to managing the interfaces between component systems, once the transition was successful MBSE started expanding out to encompass additional SWFTS SE&I tasks. MBSE is now beginning to spread into the component system programs as well as the overall submarine combat system SE&I program.

## Lessons Learned

Seven learning principles (LPs) (Friedman and Sage 2005) were derived that address the more broadly applicable areas of systems engineering knowledge, and inform the areas of the SEBoK that are most strongly related to the case study. They are:

- Requirements traceability (LP1);
- Communications (LP2);
- Productivity (LP3);
- Quality (LP4);
- Managing Change (LP5);
- Managing variants (LP6); and
- Life cycle (LP7).

**Requirements traceability** LP1: MBSE improves traceability in multiple dimensions, but maintaining requirements traceability between a traditional database and the MBSE system model can be challenging. While DOORS, MagicDraw and Teamwork can interoperate to provide requirements management and traceability, the combination is fragile. Without careful configuration management, synchronization can lead to database corruption. If DOORS and Teamwork are on separate servers, maintaining the connection can run afoul of ever-evolving corporate information assurance (IA) policies.

Requirements can be managed using the SysML language inside the system model quite effectively. This approach can reduce the resources needed to keep the system model in sync with a traditional requirements database system and increase overall SE productivity.

**Communications** LP2: Tailored SE products generated from the system model can substantially enhance communications both within the technical team and between customer stakeholders. Graphical depictions of the system model often communicate better to human stakeholders than massive spreadsheets and textual documents. Further, the enhanced precision driven by modeling can reduce miscommunications between both technical and programmatic stakeholders.

Having the architecture and design in a system model makes it affordable to generate specialized SE products on demand for particular communications needs while keeping all SE products in concordance. Even technical stakeholders who thought they understood the design can find new insights by looking at it in different representations.

**Productivity** LP3: MBSE increases productivity by enhancing communications within the team, automation of routine tasks and through cost avoidance. Processes used in DBSE often require substantial revision to achieve the

potential productivity gains of MBSE. In particular, review processes must be modified to take advantage of the tooling.

The selected modeling tools constrain how you can practically re-engineer SE processes. Automation can replace a great deal of routine SE work (document generation, identifying potential impacts of changes, etc.).

Developing strong modeling style guidelines and specialized representations, along with training materials to indoctrinate new team members as they join the program, is worth the investment. MBSE does require a trained cadre of modelers, but not all systems engineers have to become skilled modelers.

To effectively quantify the benefits of MBSE, a program needs to plan metrics collection carefully, and then stick to the plan long enough to collect meaningful data.

**Quality LP4:** Much of the ROI from the MBSE transition can be in improved quality. Improving the quality of SE products reduces latent defects in systems delivered to the customer, reducing maintenance costs and increasing customer satisfaction

Models are less tolerant of imprecision than documents. The increased precision improves SE product quality, both in reduced defect generation and in reduced defect escape. The automation of product generation can make specialized SE products affordable, further enhancing system quality.

**Managing change LP5:** How a proposed system change is understood and executed is fundamentally different between a model- and a document-centric approach. In the document-centric approach, the focus is on “What should my final output look like?” In the model-based approach, the focus is on “What does this change mean to the system? Which other parts of the system are impacted by this change?”

Change management is hard. When moving from DBSE to MBSE you need to think carefully up front about what approach you are going to take, and then design the system model to facilitate that approach. Change management also impacts tool selection, since different tools align better with different approaches.

**Managing variants LP6:** The most common process for managing variants in DBSE is ‘clone and own’, where each new product family member takes the then-current baseline and ‘forks’ the baseline for evolution of the variant. This makes synchronizing changes to the core baseline across the product family a very labor-intensive process. Treating variants as deviations from a core baseline in a model greatly reduces the cost of managing variation in a product family.

Variant management is hard. You need to think about what approach you plan to take up front, and design your system model to accommodate it. The selected approach impacts tool selection and tailoring.

Design the system model to treat variants as deviations from the core baseline. Then changes to the core baseline are automatically shared among all variants, and impact to product family members is limited to any impact of core baseline change on specific variant deviations. This also facilitates commonality between variants, a key customer goal as commonality reduces logistics and training costs.

**Life cycle LP7:** MBSE can be applied early or late in the product family life cycle. While most projects using MBSE start off model-based, a program can transition to MBSE late in the life cycle.

Getting from DBSE to MBSE requires serious engineering, careful thought, planning and implementation. The SWFTS MBSE transition required three years of investment by the customer. That time and budget was spent primarily in designing and developing the system model and in re-engineering the SE processes.

Start the transition with carefully defined scope. Once that is accomplished you can expand the scope of MBSE from there.

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

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# Successful Business Transformation within a Russian Information Technology Company

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*Lead Author: Brian White*

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This article describes a successful business transformation of an information technology enterprise. The topic may be of particular interest, especially because this transformation was accomplished by a Russian company during the republic's fast growing economic recovery.

For additional information, refer to the closely related topics of Enabling Businesses and Enterprises and Enterprise Systems Engineering.

## Background

In 2001, the top management of the IBS company <sup>[1]</sup> in Moscow initiated a fundamental transformation to change the company's strategy and business model. The company was one of the biggest Russian information technology (IT) systems integrators at that time, with about 900 employees. Annual revenues of about \$80M were mainly generated by information technology (IT) infrastructure projects (complex computing systems, multi-service networks, etc.) and hardware and software distribution. The transformation of the company to form new capabilities in IT services and the associated consulting area is the main topic in the case study.

During the transformation period (from 2001 to the present) IBS was represented as a set of autonomous business units (BUs), called constituent systems, which are virtual, independent businesses with the following characteristics.

- Profit and loss reporting was required for each BU according to management accounting procedures
- BU management established and independently conducted human resources, technology, and product policy
- A centralized back-office was organized to provide supporting functions for each BU. Thus, BUs do not have back-offices; they rely on and "pay" a corporate governing center (CGC) for these services.

A thorough enterprise system (ES) transformation was executed as a set of activities: mission analysis and capabilities decomposition, business architecting, planning of the project program, and implementation of the new business model.

Before and after transformation IBS was an exemplar directed system of systems (sos): the constituent BUs are autonomous but their operations are supervised by CGC. At the same time IBS also has significant features of an acknowledged SoS: the constituent BUs retain their independent development and sustainment approaches, and changes in the company are based on collaboration between the CGC and each constituent; even operations of BUs are not controlled but only supervised/governed by the CGC through "soft" recommendations and coordination.

IBS was a quite mature ES before the transformation, and it was thoroughly upgraded to form new capabilities of the whole system as well as of the constituents.

## Purpose

In 2000-2001 IBS management forecasted considerable growth of the Russian IT services and consulting market based on the fast growing Russian economy, which was rapidly recovering from the national financial crisis of 1998. The largest corporations started overseas expansion and borrowed from international markets to finance this growth. IBS predicted corresponding growth in the complexity of business processes and their associated software and hardware systems all of which should require more consulting and IT services.

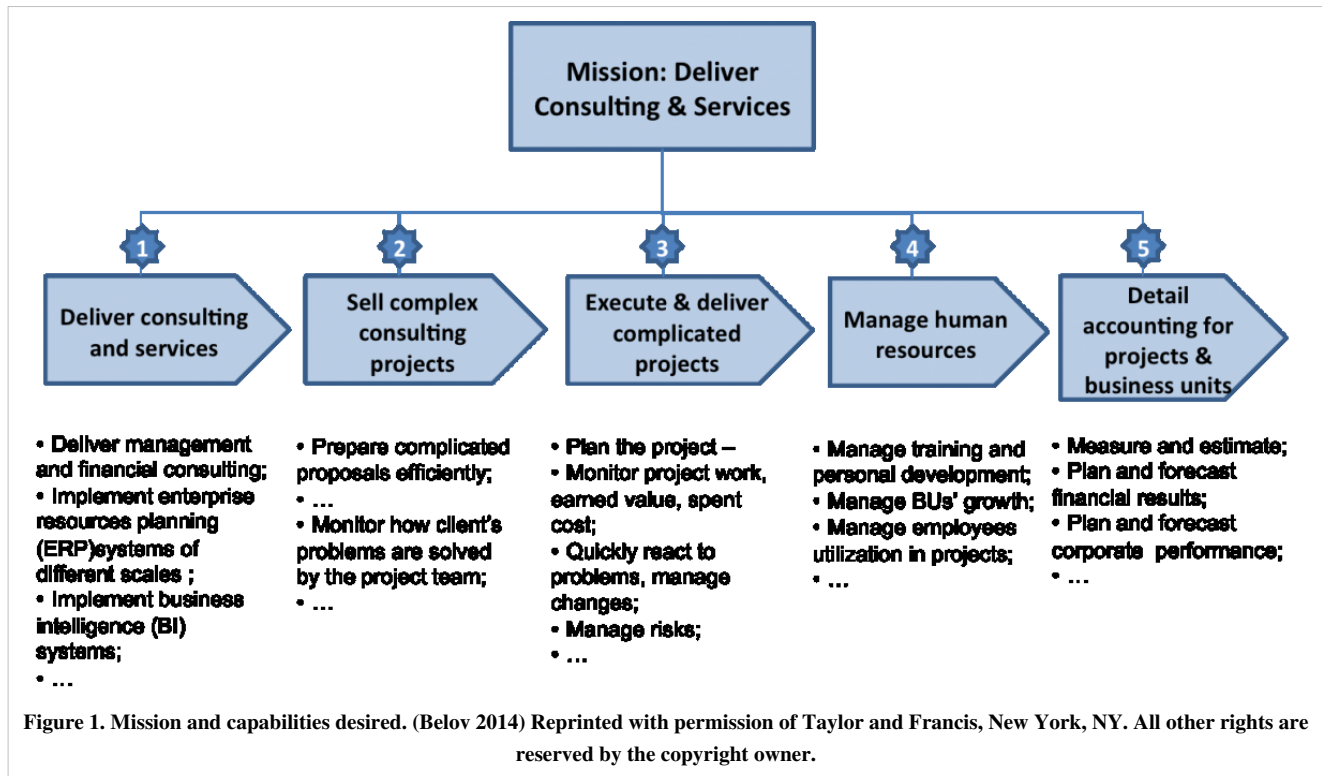
Based on this forecast, management established a strategy goal to double the share of IT services and consulting from 25% to 50% over one year; further growth in this business was planned as a long term trend.

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The consulting and IT services business is very complex technologically and organizationally and dramatically differs from IBS's former infrastructure focus. Thus, a fundamental transformation was required, and it was executed during 2002.

Initially detected problems appeared as expenditures exceeding resources, slow delivery of the projects and reworking. Later, as it was expected, new problems appeared, for example, disinterest of BUs' managers in developing new technologies or raising qualified employees' motivation. All those problems were solved during transformation and during further development.

The first step of the transformation included strategic analysis and mission-to-capabilities decomposition. Five major capability groups to be focused on were defined. The groups and exemplar capabilities for each group are represented at Figure 1.



## Challenges

All main challenges were caused by knowledge/information deficit described by three factors listed as a, b, and c below.

a. The lack of experience in enterprise transformation (and capability based approaches, even the lack of any textbooks or guides in those areas) was the major challenge which IBS management faced. The task to be solved did not devolve to organizational changes (which was a well-developed and described area), but was appropriately allocated to enterprise system or system of systems (SoS) engineering. In spite of the lack of experience it was decided to prepare and execute the transformation based on the company's employees without involving external consultants. The following arguments supported the decision.

- The task to be solved was not typical, so there weren't widely used and well tested algorithms or methods, and there weren't a lot of consultants experienced in exactly what was needed. So only consultants with general experience (strategy consulting, organizational management) might be hired.
- The Russian consulting industry in 2001-2002 was not well developed, so only foreign professionals were available. But foreign consultants would have needed to study Russian specifics; such study would have unduly lengthened the duration and increased the cost of the transformation.

- A joint transformation team would have to be formed, and IBS employees would have to be involved: management would have to be interviewed and be involved in decision making. In any case all employees would have to participate in change implementations.
- External consultants are not stakeholders; so their level of interest in helping to achieve success might not be very high, and their output also might not be outstanding.
- Unwillingness to open professional secrets and other intellectual property issues to direct competitors were other factors that prevented hiring of external consultants.

Thus, the final decision was to execute the transformation without involvement of external consulting resources. A special BoU responsible for business processes development was established and an agile program management approach was applied to handle challenges and to pursue opportunities as well as to mitigate risks.

b. A very high complexity IBS as an enterprise system or SoS. Management recognized that the company and its environment was very complex, with a lot different agents, many constituents, and countless relationships; and that an enterprise system or SoS might become even more complex after transformation. This complexification happened as the company became an “extended enterprise”, the governing hierarchies weakened, and the demand for more sophisticated relationships increased.

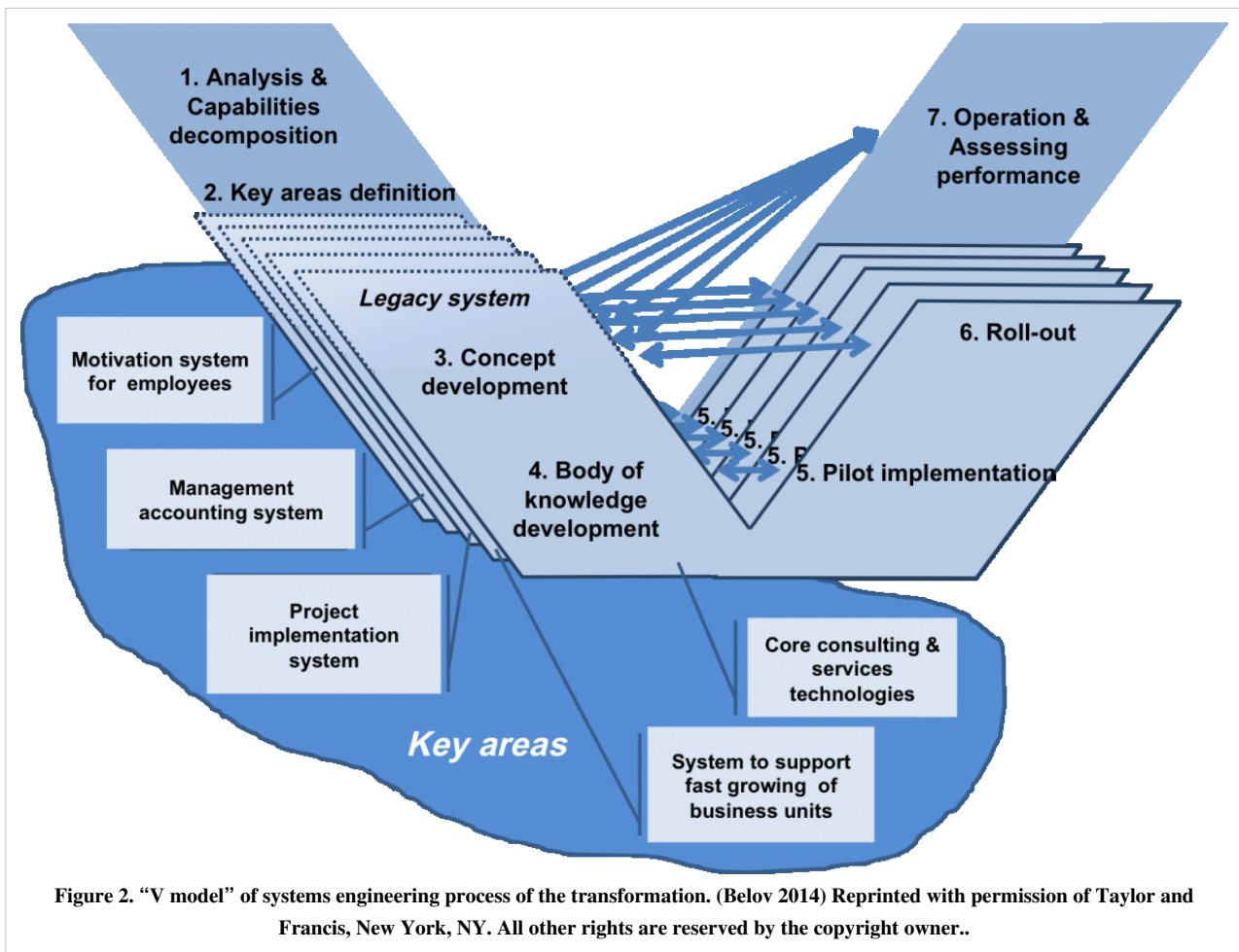
c. The risk of mistaken forecast of IT market development. The expected growth of the consulting and services market might have not happened. In this case the transformation would have been senseless. This challenge generated additional emotional stress for management.

## Systems Engineering Practices

The SE task of the transformation was established in the form: to develop required capabilities for an enterprise system or SoS – IBS company. The SE process might be represented by the following specific IBS interpretation of the vee (v) model (“V model”) with Stages 1 through 7 (Figure 2).

Initially (Stage 1) the mission was translated to capabilities (Figure 1); “understanding the constituent systems (BUs) and their relationships” was executed. The transformation team found that capabilities might not be directly translated to any business-agent. Neither BUs (they serves as resource pools), nor projects (being temporal elements), nor employees (each of them have a finite set of skills, experience, responsibilities, etc.) might realize necessary capabilities.

Realizing this (Stage 2) transformation team defined several key areas (Figure 2) of company’s operations or activities which were supposed to be changed to form new capabilities. Appropriate artifacts (procedures, guides, documents, software systems) to support new capabilities were developed and implemented for each of the areas; these new assets formed exactly the corporate infrastructure of new business model.



For each new and legacy system (Stage 3) a set of conceptual design documents was developed, describing approaches, policies, processes, and procedures. The entire set of documents formed the business architecture description of the company. The description connected all key areas and defined a target operation model of the company after transformation. This architecture represented multiple views of the IBS company, and thus aptly reflected its enterprise system or SoS nature.

Somewhat in contrast with the conventional linear systems engineering approach advocated by the V model, Stages 4-6 were conducted in parallel to save time and resources. The company's performance (Stage 7) should be monitored based on indicators' measurements, and improvements should be developed and implemented (arrows from Stage 3 to Stage 7). Such iterations have been executed in practice not only during transformation but also later, when procedures, guides and the whole systems were updated.

Integration and interoperability of the new systems required a thorough integration of parallel development jobs. So joint workgroups were formed of the employees at the level of low officers; and CGC played the role of integrated workgroup at the management level. Actually, multi-level integrated workgroups were formed.

The major complexity and risks derived from the challenges described above.

The transformation team developed and used an approach which is very similar to the agile development approach to address those risks. The following principles were used to manage the portfolio of projects in case of uncertainty and deficit of knowledge.

- Form solutions as fast as possible (but not necessarily with pure quality) to test them in practice faster.
- Recognizing failures are unavoidable, perceive them readily and react rationally.
- In case of failure analyze the situation and find a new solution, generate changes, and update the plan.
- Work in parallel, verifying and coordinating intermediate results.

- The schedule might be corrected and updated but should not be jeopardized by improper execution.
- Formulate and test the most critical and most questionable solutions at first.
- Start from pilot area and then expand to embrace the entire scope.
- Use high quality monitoring and a “manual control mode” for piloting and testing developing solutions but not additional aspects to limit waste of the resources.

Following those principles including a very strong discipline of execution, a high level of the sponsorship and all-employee involvement enabled the transformation to be completed on time without hiring consultants while keeping and developing on-going business.

## Lessons learned

IBS's accomplishment of the mission was the major result of ES transformation. Shareholders and management recognized that new capabilities had been formed, that the company could deliver consulting and services, sell and execute complex projects, manage consulting resources effectively, measure its performance, and plan and forecast financial results. Created capabilities are emergent in some sense because they are not directly related to concrete constituents (BUs, or employee, or projects) but are realized by means of integrated end-to-end processes and functions, which are executed in the projects by employees.

The systems organization did not dramatically change during transformation; “visible structure” was not practically changed: no new types of business-agents appeared, existing types did not change much. Those factors did not create new capabilities. Target capabilities were formed as the result of development and implementation of, it would seem, auxiliary and supporting tools – new capabilities support systems. New capabilities were formed mainly by the changes in the intangible areas of governing media, corporate culture, relations, and personnel competences; as well as by the creation of new capabilities support systems; without considerable changes in main company's business-agents. (Refer to Figure 3.)

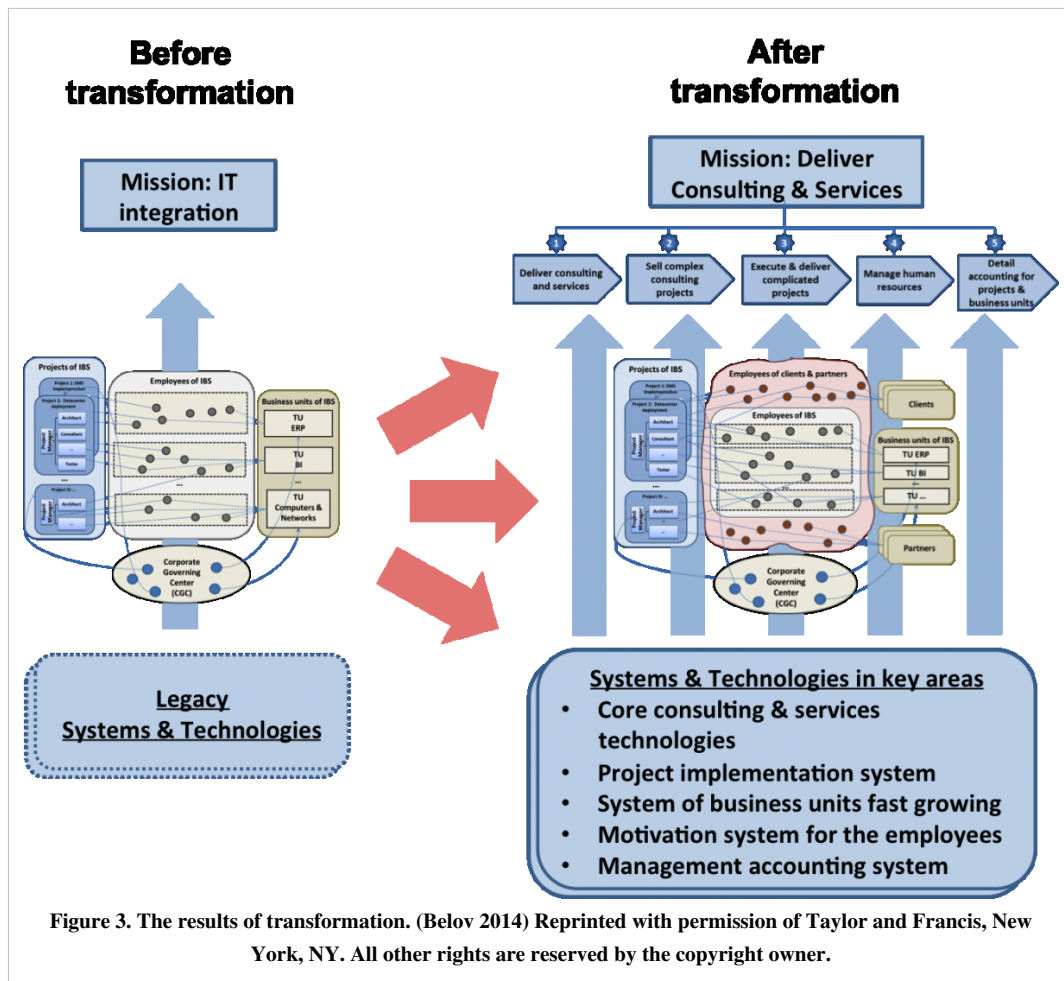
The main challenges which management faced (the lack of experience and the ambiguity of market growth forecast) made the uncertainty factor the critical one in the transformation.

## What Worked and Why?

An agile program management in general demonstrated its efficiency and applicability to “soft and uncertain” tasks, especially in triggering a pre-established process for dealing with unexpected events; the main aspects of the approach are:

- Senior and credible sponsors
  - Multi-level integrated project team(s)
  - Open information exchange
  - Partnership and collaboration
  - Proactive and motivated parties and constituents
  - Creative and innovative way of development
-





- Prioritizing and focusing on the most ambiguous elements of systems design
- Piloting and subsequent roll-out in realistic environments
- Strong project scope control
- Strong project execution control – time schedule and resources control.

### What Did Not Work and Why?

Perhaps corporate knowledge base development was the only more or less serious task which was not solved in transformation. The company's management understood the usefulness of knowledge accumulation and further alienation from the carriers in utilizing their business knowledge, so the goal of developing their own knowledge base was established. Special database and software system were developed with appropriate guides, reports and data collection forms; but formal regulation to fill in engineering knowledge accumulation templates did not work. However later this issue progressed quite naturally and simply: common folders were established to store project data in free formats. Such folders served to accumulate knowledge but in flat, unstructured form.

## Best Practices and Replication Prospects

The following methods and approaches were proven as efficient and convenient in transformation.

1. Capability based development approach and capability based architecting might be recommended to be utilized in creation and transformation of an enterprise system or SoS. These focused all efforts on the required capabilities and involved very important relations from mission to capabilities and to functions in systems engineering process.
2. An agile program management might be used to solve a wide range of fuzzy and ambiguous problems of different scale in the areas of SE, ES engineering, SoS engineering where there is much uncertainty and lacks of expertise and proven methods or algorithms to solve them. The combination of “soft” and very creative designs with strong planning and progress control is the crucial foundation of this approach.
3. Key area definition and development appropriate to generating new capabilities for support systems (core consulting and services technologies, project implementation systems, systems for business unit growth, management accounting systems, motivation systems). Precisely defining these areas and developing integrated systems in these areas might be considered as quite common for application to a broader group of ESs.

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### Additional References

None

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< Previous Article | Parent Article | Next Article >

**SEBoK v. 2.1, released 31 October 2019**

# UK West Coast Route Modernisation Project

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*Lead Authors: Tom Hilburn, Heidi Davidz, Alex Lee, Contributing Authors: Alice Squires, Richard Turner*

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This example was created as a SE example directly for the SEBoK. It describes the United Kingdom West Coast Main Line railway project and some of the problems which occurred on this project before the implementation of SE. It also discussed the value of applying some aspects of SE, even if this is done later in the project.

This example is based on information from a report by the UK National Audit Office (NAO 2006). It also uses an INCOSE publication on systems engineering case studies (INCOSE 2011) to help structure its conclusions.

## Description

The West Coast Main Line (WCML) is a principal United Kingdom (UK) railway artery serving London, the Midlands, the North West and Scotland. The Line is responsible for over 2,000 train movements each day, with more than 75 million rail journeys made each year on the route. It accounts for 43% of Britain's UK freight market (Railway People 2011). In 1998, the British government embarked on a modernization program called the West Coast Route Modernisation (WCRM) project, to carry out a significant volume of modernization work between 1998 and 2008, delivering increased capacity and reduced journey times as well as replacing worn-out parts of the railway. It was challenging a job involving 640 kilometers of track—much of which was incapable of carrying high-speed rail cars. Some sections were seriously dilapidated, and new trains would require a complete overhaul of signaling, power supply, and switching systems.

Early on, the WCRM upgrade had serious problems. A major complicating factor was the introduction of a new signaling technology that was designed to allow improved services for new trains running at 140 miles per hour. By 2001, neither the rail infrastructure upgrade nor the new trains were on course for delivery as expected in the 1998 agreement. By May 2002 the projection of the program's final cost had risen from £2.5 billion (in 1998) to £14.5 billion, but had delivered only a sixth of the original scope.

In January 2002, the UK Secretary of State instructed the Strategic Rail Authority (SRA) to intervene and find a way to renew and upgrade the WCML. An SRA analysis identified the following issues:

- The program lacked direction and leadership before 2002.
- The project did not have a delivery strategy and there was no central point for responsibility and communication.
- There was a lack of openness and communication regarding the program with interested parties before 2002 and a lack of stakeholder management.
- Scope changes arose because WCRM did not have an agreed-upon specification that matched required outputs with inputs.
- There was inadequate knowledge about the West Coast asset condition.
- Technology issues related to the decision to replace conventional signaling with unproven moving block signaling introduced major risk into deliverability and cost before 2002. These technology issues caused scope changes and program delay.
- Project management (PM) was weak, with a lack of senior management skills, too many changes in personnel, and ill-defined and fragmented roles and responsibilities. There was no integrated delivery plan and there was limited oversight of contractors. Poor management of contracts added to costs.

In order to remedy the situation the SRA initiated the following actions, which align with generally accepted systems engineering (SE) practice:

- A clear direction for the project was developed and documented in the June 2003 West Coast Main Line Strategy, specifying desired goals and outcomes.
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- A clear, measurable set of program outputs was established, along with more detailed infrastructure requirements, which were then subject to systematic change control and monitoring procedures fixing scope. Contractors were invited to tender complete detailed designs and deliver the work to a fixed price.
- Clear program governance structures were instituted.
- The SRA consulted widely with stakeholders and, in turn, kept stakeholders informed.

A National Audit Office (NAO) report concluded that the new arrangements worked well and that there were benefits to this approach. (NAO 2006) Until this time, one of the program's key constraints and cost drivers had been the ability to access certain areas of the track. The new approach facilitated the ability to obtain possession of the track for engineering work, which was crucial to delivery. The new approach also enabled the program to identify opportunities to reduce the total cost by over £4 billion.

The NAO report also discussed a business case analysis by the SRA that identified the following benefits (NAO 2006):

- benefit:cost ratio for the enhancements element was 2.5:1;
- journey times and train frequencies exceeded the targets set out in the 2003 West Coast Strategy;
- growth in passenger numbers exceeded expectations (e.g., by 2005-06, following Phase 1 of the West Coast program, annual passenger journeys on Virgin West Coast grew by more than 20%); and
- punctuality improved (e.g., by September 2006, average time delays on Virgin West Coast trains have been approximately 9.5 minutes, a 43% improvement on the average delay of 17 minutes in September 2004).

The WCRM problems could be associated with a number of systems engineering concepts and practices: stakeholders requirements, planning, analysis of risks and challenges of new technology and associated risk management, decision management, configuration or change management, information management, and management oversight.

## Summary

The WCRM project illustrates that when SE concepts and practices are not used or applied properly, system development can experience debilitating problems. This project also demonstrates how such problems can be abated and reversed when SE principles and methods are applied.

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None.

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None.

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

# Virginia Class Submarine

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*Lead Authors: Heidi Davidz, Alice Squires*

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This example was developed as a SE example directly for the SEBoK. It describes the Virginia Class submarine sonar system project. In particular the approach taken to the development of a sonar system architecture and how this helped in the integration of commercial off the shelf products.

## Description

Prior to the Virginia class submarine, sonar systems were comprised of proprietary components and interfaces. However, in the mid-1990s the United States government transitioned to the use of commercially developed products - or commercial off the shelf (COTS) products - as a cost-saving measure to reduce the escalating costs associated with proprietary-based research and development. The Virginia class submarine system design represented a transition to COTS-based parts and initiated a global change in architectural approaches adopted by the sonar community. The lead ship of the program, Virginia, reduced the number of historically procured parts for nuclear submarines by 60% with the use of standardization. The Virginia class submarine sonar system architecture has improved modularity, commonality, standardization, and reliability, maintainability and testability (RMT) over historical sonar systems.

## Architectural Approach: Standardization

Based on the new architectural approach and the success of the transition, system architecture experts developed an initial set of architecture evaluation metrics:

- Commonality
    - Physical commonality (within the system)
      - Hardware (HW) commonality (e.g., the number of unique line replaceable units, fasteners, cables, and unique standards implemented)
      - Software (SW) commonality (e.g., the number of unique SW packages implemented, languages, compilers, average SW instantiations, and unique standards implemented)
    - Physical familiarity (with other systems)
      - Percentage of vendors and subcontractors known
      - Percentage of HW and SW technology known
    - Operational commonality
      - Percentage of operational functions which are automated
      - Number of unique skill codes required
      - Estimated operational training time (e.g., initial and refresh from previous system)
-

- Estimated maintenance training time (e.g., initial and refresh from previous system)
  - Modularity
    - Physical modularity (e.g., ease of system element or operating system upgrade)
    - Functional modularity (e.g., ease of adding new functionality or upgrading existing functionality)
    - Orthogonality
      - Level to which functional requirements are fragmented across multiple processing elements and interfaces
      - Level to which throughput requirements span across interfaces
      - Level to which common specifications are identified
    - Abstraction (i.e., the level to which the system architecture provides an option for information hiding)
    - Interfaces
      - Number of unique interfaces per system element
      - Number of different networking protocols
      - Explicit versus implicit interfaces
      - Level to which the architecture includes implicit interfaces
      - Number of cables in the system
  - Standards-based openness
    - Interface standards
      - Ratio of the number of interface standards to the number of interfaces
      - Number of vendors for products based on standards
      - Number of business domains that apply/use the standard (e.g., aerospace, medical, and telecommunications)
      - Standard maturity
    - Hardware standards
      - Ratio of the number of form factors to the number of line replaceable units (LRUs)
      - Number of vendors for products based on standards
      - Standard maturity
    - Software standards
      - Number of proprietary and unique operating systems
      - Number of non-standard databases
      - Number of proprietary middle-ware
      - Number of non-standard languages
    - Consistency orientation
      - Common guidelines for implementing diagnostics and performance monitor/fault location (PM/FL)
      - Common guidelines for implementing human-machine interface (HMI)
  - Reliability, maintainability, and testability
    - Reliability (fault tolerance)
    - Critical points of fragility (e.g., system loading comprised of percent of processor, memory, and network loading)
    - Maintainability (e.g., expected mean time to repair (MTTR), maximum fault group size, whether the system can be operational during maintenance)
    - Accessibility (e.g., space restrictions, special tool requirements, special skill requirements)
    - Testability
      - Number of LRUs covered by built-in tests (BIT) (BIT coverage)
      - Reproducibility of errors
      - Logging/recording capability
      - Whether the system state at time of system failure can be recreated
-

- Online testing (e.g., whether the system is operational during external testing and the ease of access to external test points)
- Automated input/stimulation insertion

## Other Points

The Virginia class submarine acquisition exhibited other best practices. These are discussed by Schank (2011), GAO (2008), and General Dynamics (2002).

These best practices included stringent design trades to keep costs under control, careful consideration of technical maturity of components, and the importance of program stability.

## Summary

In summary, the work on the Virginia class submarine prompted a change in the traditional architectural approach used in the sonar community to design submarine sonar and validated the cost savings in both research and development (R&D) and in component costs when transitioning from proprietary interfaces to industry standard interfaces. The identification of a list of feasible architecture evaluation metrics was an added benefit of the effort.

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### Primary References

None.

### Additional References

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

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## Combined Examples

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# Applying a Model-Based Approach to Support Requirements Analysis on the Thirty-Meter Telescope

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This article describes how a model-based systems engineering (MBSE) approach was used to support requirements analysis, system design, and early verification for critical subsystems of the Thirty Meter Telescope (TMT) [8]. The MBSE approach applied the Executable Systems Engineering Method (ESEM) [4] [5] and the Open-source Engineering Environment (OpenMBEE) [7] to specify, analyze, and verify requirements of TMT's Alignment and Phasing System (APS) and the Narrow Field Infrared Adaptive Optics System (NFIRAOS). The value proposition for applying this MBSE approach was to establish precise requirements and fine-grained traceability to system designs, and to verify key requirements using executable SysML [6] models beginning early in development.

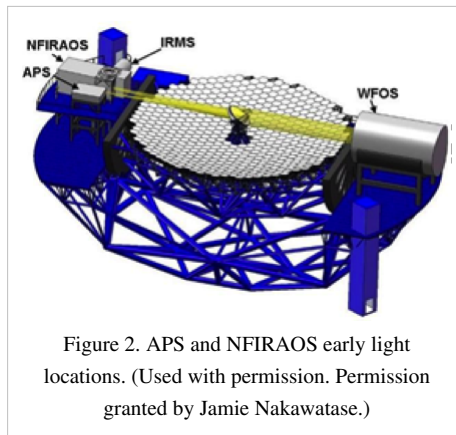
### Background

The TMT (Figure 1) is a next-generation ground-based extremely large telescope designed to answer key science questions regarding the nature and composition of the Universe. At its core is a wide-field, altitude-azimuth Ritchey-Chrétien design with a 492 segment, 30-meter diameter primary mirror (M1), a fully active secondary mirror, and an articulated tertiary mirror. Each segment's optical performance is sensitive to three rigid body degrees of freedom: piston, tip, and tilt. To obtain optimal image quality, the segmented M1 must perform like a single monolithic mirror, achieved through a multitude of controls working to co-align, co-focus, and co-phase its segments. The APS (Figure 2) is responsible for the overall pre-adaptive optics wavefront quality, using starlight to measure wavefront errors and align the TMT optics. Adaptive optics systems like the NFIRAOS (Figure 2) are designed to sense real-time atmospheric turbulence and correct the telescope's optical beam to remove its effect, enabling diffraction-limited imaging on the ground. In LGS MCAO and NGS AO modes, this is achieved through the use of wavefront sensors to detect laser and natural guide stars and deformable mirrors to direct the corrected wavefront to science instruments. These opto-mechanical designs and complex controls are constrained by several requirements that must be satisfied.



Figure 1. Thirty Meter Telescope. (Used with permission. Permission granted by Jamie Nakawatase.)





TMT International Observatory (TIO), LLC is a non-profit organization of international members, responsible for managing the design, development, and operations of the TMT. The Jet Propulsion Laboratory (JPL) [9] participates in the design and development of several TMT subsystems and delivers an operational APS, where TIO is responsible for providing requirements to JPL. The APS team applies an MBSE approach to analyze requirements, derive an architecture design, and implement a system. TIO also works with JPL to analyze the operational behavior of NFIRAOS through modeling system-level operational scenarios (such as slew, acquisition, and dithering) with Monte-Carlo simulations. Modeling patterns are used to capture functional and physical system characteristics, behavior, requirements, parametric relationships, and use case scenarios. MBSE applications are motivated by optimization to better understand TMT's complex system behaviors.

## Purpose

This article describes how MBSE is applied to the development of critical subsystems of a complex interdisciplinary system and the benefits of this approach. While document-based artifacts are necessary throughout the development lifecycle, complex systems engineering relies significantly on the use of models to address concerns from various domains (e.g. mechanics, optics, controls) (Figure 3). MBSE helps to manage implicit dependencies on information contained in these cross-domain documents, understand change impacts, analyze designs, and communicate evolving technical baselines. Models act as the single source of authority for systems engineering information that enables optimization through consistent and automated data exchange, enhanced analyses, and consolidating subsystem design information into separate artifacts needed by various stakeholders.

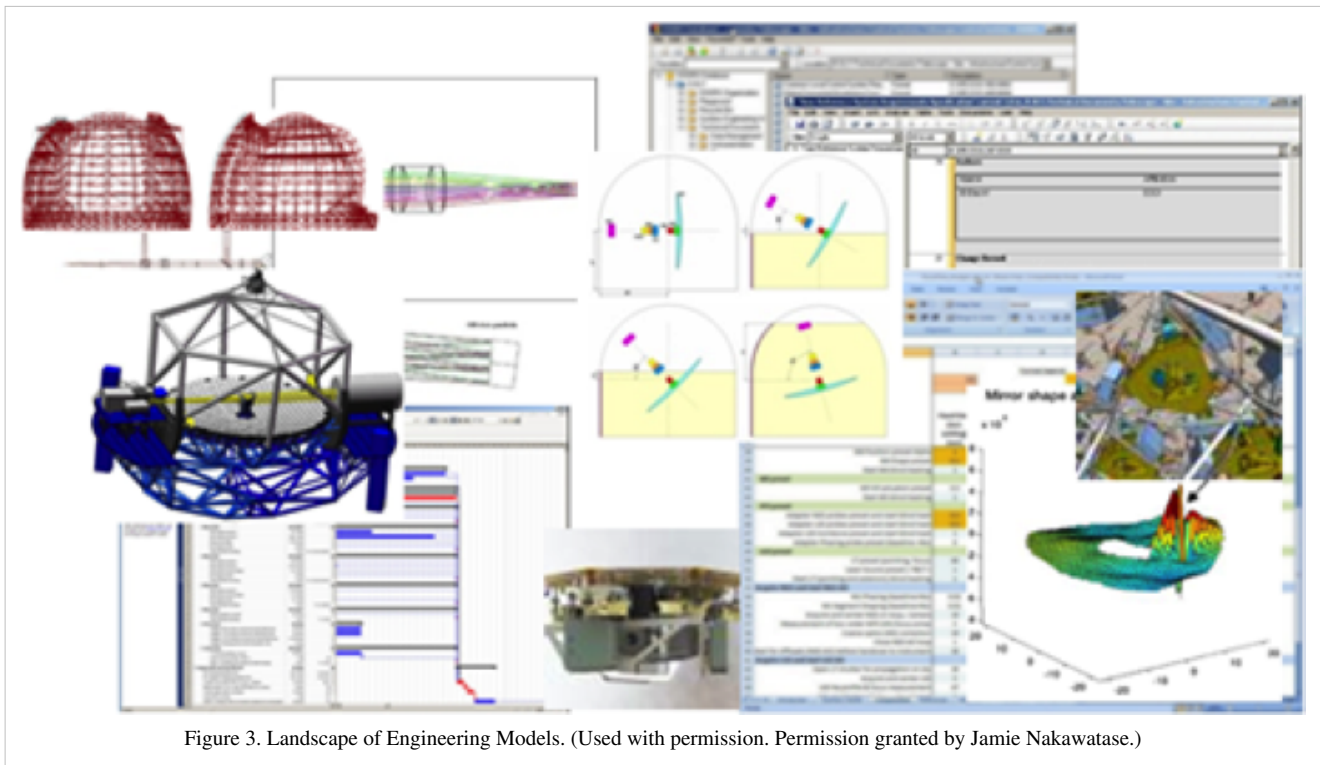


Figure 3. Landscape of Engineering Models. (Used with permission. Permission granted by Jamie Nakawatase.)

## MBSE Challenges

Systems engineering (SE) is inherently challenging with concepts spanning several engineering disciplines. Expressing these concepts in a model demands the use of flexible methodology, language, and tools. The modeler must understand how to leverage this flexibility to rigorously specify systems with a broad range of complex design considerations. This poses the initial MBSE challenge—the **learning curve**. However, this challenge is native to any new undertaking and is overcome by hands-on experience, training, and ever-growing resources.

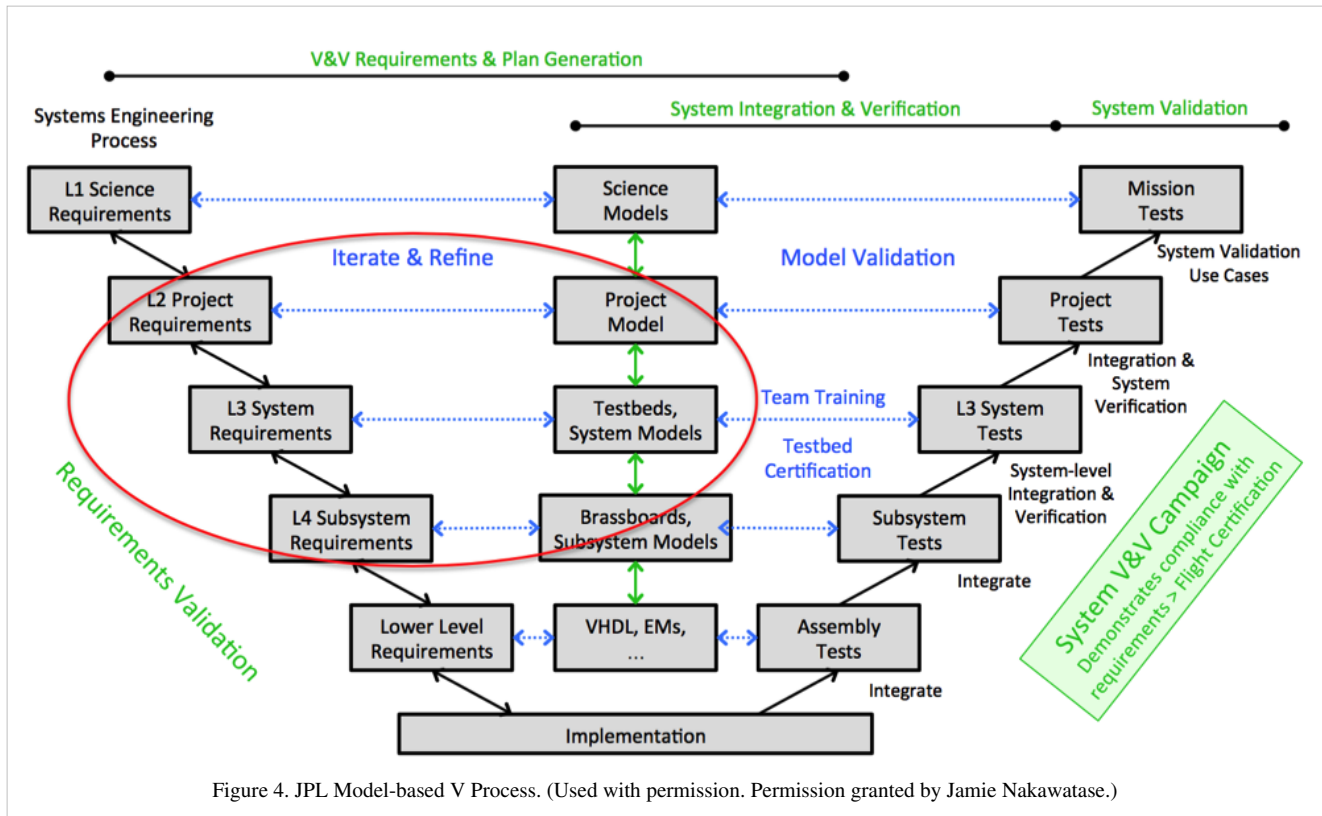
Another challenge is determining how to **apply** MBSE to meet the needs of a project. MBSE is not separate from SE—it is an approach to achieve the fundamental goals of SE more efficiently. MBSE should not be used to duplicate work, but instead replace efforts that can be better accomplished formally through modeling.

Engineers live in a landscape of variability among tools and information models in different domains (e.g. ALM, PLM, CAD), which are often implicitly connected [4]. To benefit from a model-based paradigm, the models require explicit connections. A key challenge is how to leverage data and associated models to enable **cross-domain integration**.

Finally, **standardization** is a challenge for MBSE. A model is only effective if stakeholders can understand it. SysML is an evolving modeling language that is becoming the dominant standard to communicate system architectures, independent of the modeling tools that use it. However, SysML is only one of many standards that must be applied to ensure the models can be consistently interpreted by tools and users.

## MBSE Approach

The MBSE approach follows the conventional SE V-process enriched by a model-based paradigm (Figure 4). The scope of this MBSE application addresses models at L2 and L3, and requirements flow-down to L4, although the approach can be applied to support specification and architecture design at other levels as well. Associated modeling artifacts are created early and maintained throughout the development lifecycle.

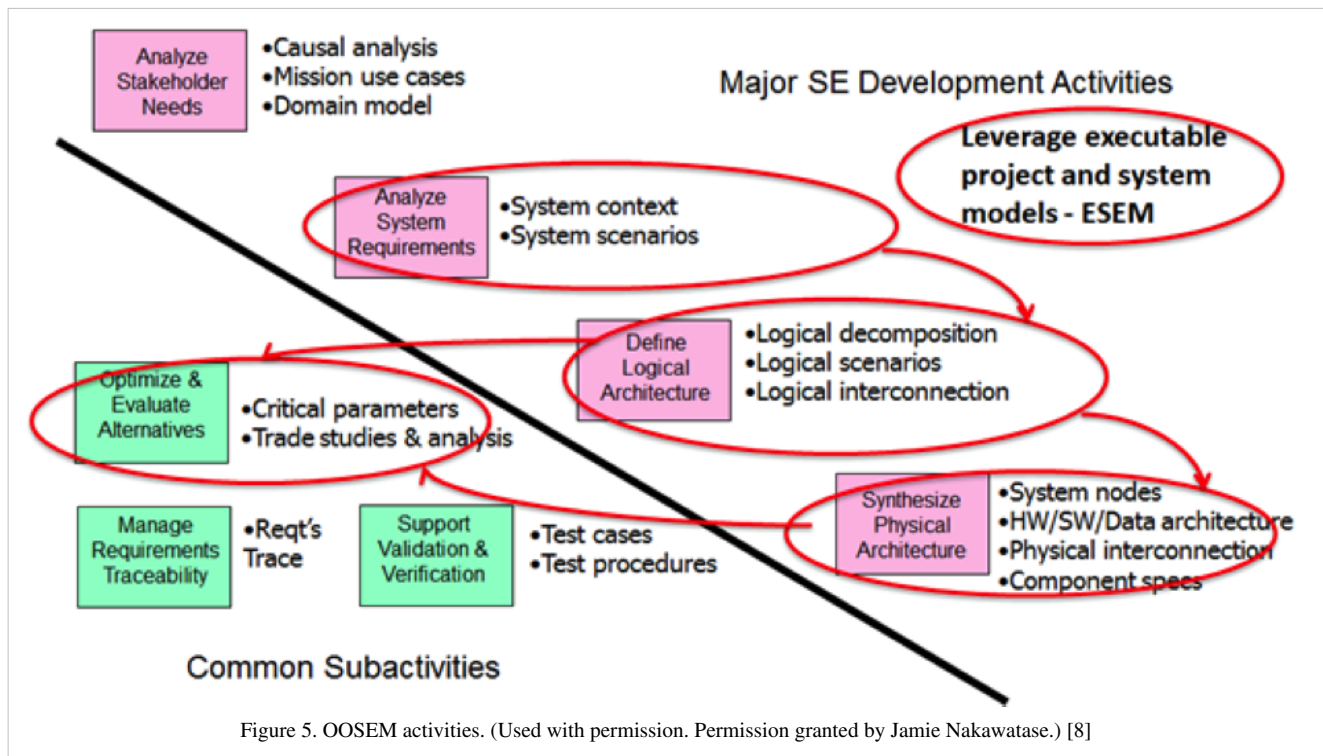


MBSE articulates the system architecture in a formal, executable model that captures structure, behavior, requirements, and parametric relationships of system elements. Operational scenarios are defined in the model and analyzed through system-level simulation to verify requirements and validate overall system design over an expected range of conditions and parameters. The system model is also the authoritative source for several engineering documents. The MBSE approach is subsequently described by its methodology, tooling infrastructure, and analysis processes.

## Methodology

The Executable Systems Engineering Method (ESEM) [1] is used to formalize requirements, specify system designs, characterize components, and specify/run analyses. ESEM augments the Object Oriented Systems Engineering Method (OOSEM) [2] by enabling executable models that enhance understanding, precision, and verification of requirements through applying analysis patterns specified with various SysML diagrams. ESEM also enables integration of supplier/customer models.

Figure 5 shows the major activities common to SE processes using OOSEM. The red circles indicate where ESEM injects formal modeling methods.



ESEM is utilized to model different levels of abstraction that are analyzed using several modeling patterns as detailed in [4]. The system-of-interest is modeled as a black box that interacts with external subsystems, such as controls. Interactions are modeled using ports to identify operations and flows at the system-of-interest interface.

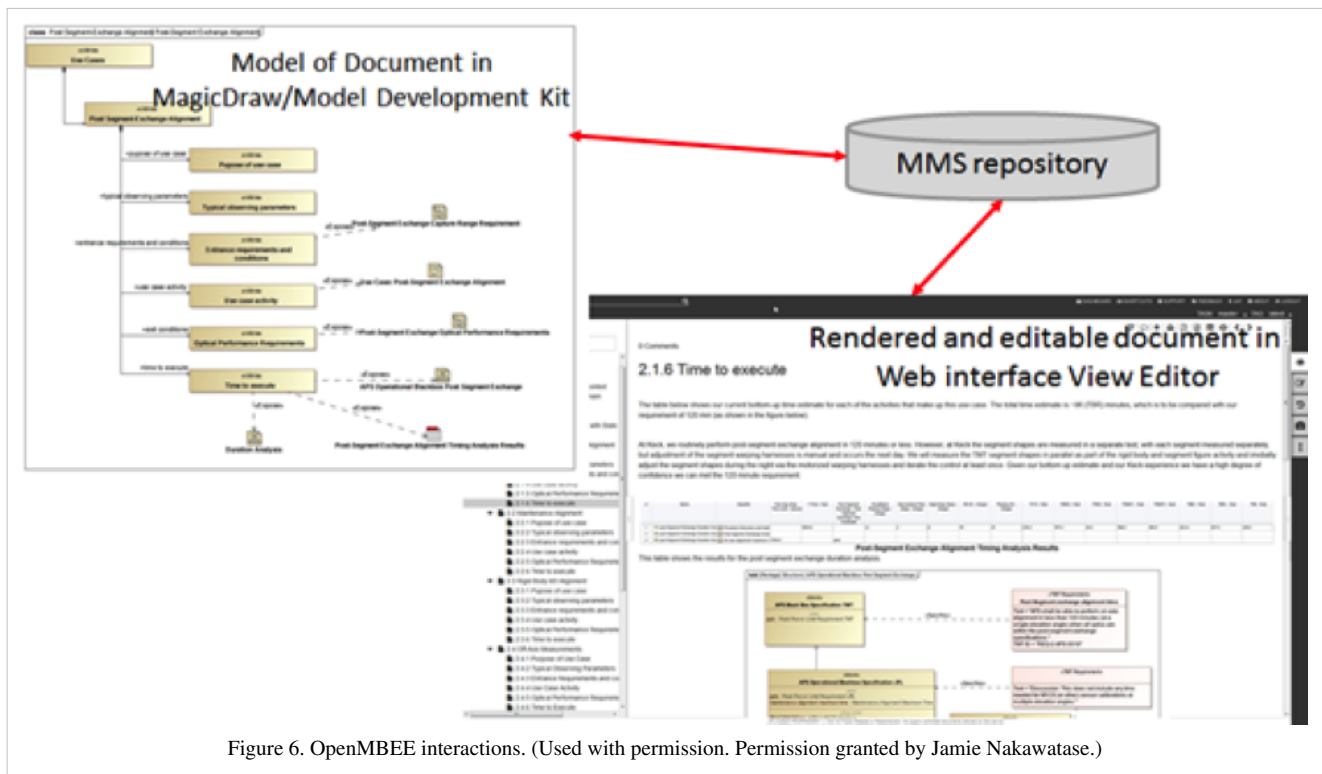
The conceptual model specifies technology-independent system components and captures their behavior. This part of the model is used to analyze characteristics such as duration of operational scenarios. Component behavior is captured using state machines and activity diagrams, and constraint parameters are captured in a table. Communication across internal and external system components is accomplished through the sending and receiving of signals through ports. This model supports production of interface control documents by querying information sent from one component to another over ports.

The conceptual model serves as a basis to specify the realization model of the physical components. The realization model imposes technology-dependent constraints on the design solutions. Both the conceptual (i.e. logical) and realization (i.e. physical) models represent the “as-specified” system.

## Tooling

The MBSE approach uses standard SysML language and modeling tools to minimize custom software. The OpenMBEE community promotes an open tooling environment that provides a platform for modeling. It utilizes the Model Management System (MMS) that can be accessed from rich SysML desktop clients like MagicDraw, lightweight web-based clients like View Editor, computational programs like Mathematica, and other tools that utilize RESTful web services. The MMS also provides the basic infrastructure for search, relation management, versioning, workflow, access control, content flexibility, web applications support, web-based API access, and multi-tool/repository integration across engineering and management disciplines.

Figure 6 shows the integration of model artifacts produced by MMS, View Editor, and MagicDraw. System models are constructed, queried, and rendered following the view and viewpoint paradigm [3] from MMS.

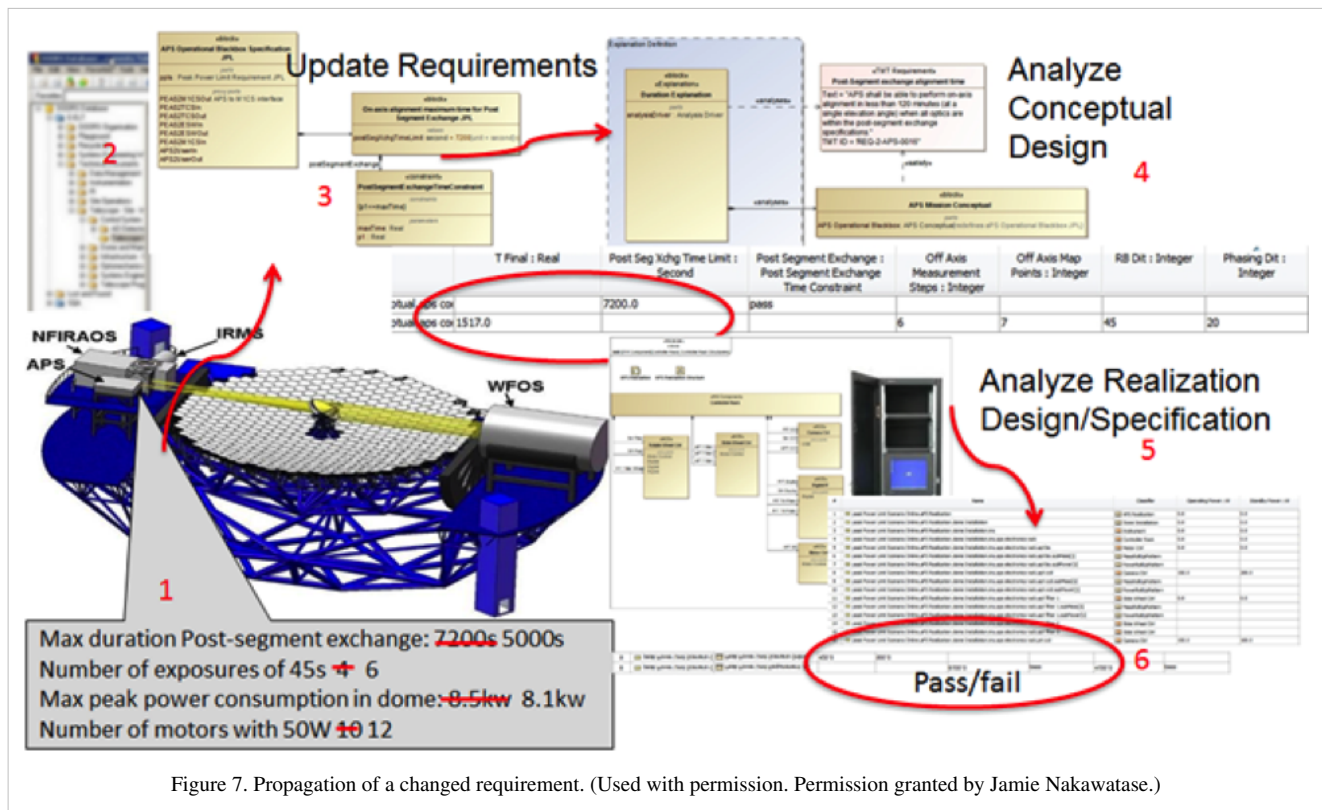


## Analysis

One key SE process is to analyze the impact of changing requirements on the system design. Figure 7 illustrates how the MBSE approach is used to support requirements impact analysis through the following steps:

- Step 1: A changed requirement triggers impact analysis.
- Step 2: MMS integrates DOORS (which manages text requirements) and the SysML model, enabling a DOORS requirement change to propagate to the SysML model.
- Step 3: A property-based requirement is formalized in SysML, enabling requirements specification that can be evaluated by engineering analysis.
- Steps 4-6: The conceptual and/or realization design is automatically verified against the changed requirement, resulting in pass or fail.





In this article, a simplified APS model is shown to illustrate the model-based approach for analyzing changed requirements. The full analysis is available in [4] and [5].

A model-based approach was also applied to APS for error analysis, which was performed to describe the accuracy of expected system performance against requirements. It involved multiple artifacts to analyze a requirement such as “APS shall measure the position of the telescope pupil to an accuracy of 0.03% of the diameter of the pupil.” Defining requirements and parameters in the model indicated the required accuracy and current best estimates of the system design. Defining various roll-up patterns allowed for error decomposition calculations. The benefit is realized in automated requirements verification when applying a parametric solver to formulate results for specified equations in the model. This model-based approach formally integrates accuracy requirements with the system design.

The system model for NFIRAOS LGS MCAO and NGS AO modes was developed to capture sequence behaviors and operational scenarios to run Monte-Carlo simulations for verifying acquisition time, observing efficiency, and operational behavior requirements. The model is particularly useful for investigating the effect of parallelization, identifying interface issues, and re-ordering sequence acquisition tasks.

ESEM enables system analysis by conducting quantitative assessments to select and/or update the most efficient system architecture and generate derived engineering data. System analysis provides rigor for technical decision-making. It includes modeling and simulation, cost, technical risks, and effectiveness analyses, and is used to perform trade studies. In particular, it supports requirements verification, which assesses whether a system design meets its objectives and satisfies the constraints levied by system requirements.

## Observed Benefits

The MBSE approach applied to APS and NFIRAOS was motivated by optimization to coordinate the efforts of complex system development. In these applications, implicit dependencies are made explicit in a formal model through the use of ESEM, OpenMBEE, and SysML modeling constructs. Requirements are formalized and tracked directly to the evolving system design. This tight association of requirements within a common environment promotes cross-domain integration and efficient communication among stakeholders. The model is used to automate requirements verification and to generate systems engineering products. The benefit over a traditional document-based approach is that currently disconnected artifacts become related in the model, enabling the production of consistent model-based documentation. Requirements verification is an important analysis conducted in the context of MBSE. To perform this analysis, the requirements, executable behavior, and models predicting the system's performance must be integrated. The ability to integrate these elements using ESEM and the OpenMBEE tooling infrastructure is a significant value proposition for the MBSE approach described in this article. In the formally integrated and executable SysML model, simulations are performed to analyze the impact of changed requirements and verify that requirements are met within specified constraints for various operational scenarios. MBSE enhances information exchange through created visualizations that communicate system behavior. For example, duration analyses were performed to study acquisition time for observing. The use of Monte-Carlo simulations proved how the model-based approach optimized the analysis process. Higher quality analysis results were obtained through the execution of operational scenario runs in an articulated system model, and the model continues to serve as a communication tool across various domains.

## Acknowledgements

This research was carried out at the Jet Propulsion Laboratory (JPL), California Institute of Technology, under a contract with the National Aeronautics and Space Administration (NASA), and at NoMagic. The TMT Project gratefully acknowledges the support of the TMT collaborating institutions. They are the California Institute of Technology, the University of California, the National Astronomical Observatory of Japan, the National Astronomical Observatories of China and their consortium partners, the Department of Science and Technology of India and their supported institutes, and the National Research Council of Canada. This work was supported as well by the Gordon and Betty Moore Foundation, the Canada Foundation for Innovation, the Ontario Ministry of Research and Innovation, the Natural Sciences and Engineering Research Council of Canada, the British Columbia Knowledge Development Fund, the Association of Canadian Universities for Research in Astronomy (ACURA), the Association of Universities for Research in Astronomy (AURA), the U.S. National Science Foundation, the National Institutes of Natural Sciences of Japan, and the Department of Atomic Energy of India.

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

## Miniature Seeker Technology Integration Spacecraft

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*Lead Authors: Heidi Davidz, Art Pyster, Deva Henry, Contributing Authors: Dave Olwell*

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The Miniature Seeker Technology Integration (MSTI) spacecraft was the first of its kind: a rapid development spacecraft, designed and launched in one year. As an aerospace example for a satellite application, the case study, "M.S.T.I.: Optimizing the Whole System" (Grenville, Kleiner, and Newcomb 2004), describes the project's systems engineering approach. Driven by an aggressive schedule, MSTI optimized over the whole project, rather than allowing sub-optimizations at the component level. As a partnership with Phillips Laboratories, the Jet Propulsion Laboratory (JPL), and Spectrum Astro, MSTI went into orbit on November 21, 1992. The MSTI-1 succeeded in meeting all primary mission objectives, surpassing the 6-day data collection mission requirement.

### Domain Background

There are many case study examples for aerospace systems. This case is of particular interest because it highlights mechanisms which enabled successful performance following an aggressive schedule. Since this rapid development spacecraft was designed and launched in one year, new ways of structuring the project were necessary. Within this domain, the MSTI project used an innovative approach. Practices from this project led to the Mission Design Center and the System Test Bed at JPL.

### Case Study Background

This case study was developed in support of the National Aeronautics and Space Administration (NASA) Program and Project Management Initiative by authors at the Virginia Polytechnic Institute and State University and Scientific Management, Inc. The case study was developed in the interest of continuously improving program and project management at NASA (NASA 2010). Research for this case included comprehensive literature review and detailed interviews. The project was selected based on the potential for providing lessons learned.

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## Case Study Description

The MSTI case study illustrates many principles described in the Systems Engineering Body of Knowledge (SEBoK). The MSTI team had to make adjustments to the traditional approach to spacecraft development in order to stay within budget and to meet the aggressive timeline of bringing a spacecraft from conception to launch within one year. The team realized that they were "building Porsches not Formula 1s"(Grenville, Kleiner, Newcomb 2004). Meeting the schedule was a crucial factor that affected all decisions. The SEBoK knowledge area on life cycle models describes life cycle design in more detail.

The team took advantage of existing hardware architectures for their architectural design to expedite the project. In addition, at each design phase, the whole system was optimized instead of optimizing subsystems, and the level of optimization at the subsystem level was reduced. A hardware-in-the-loop test bed was used throughout the project, which expedited system integration.

The schedule was maintained only at a high level in the project management office, and the costs were managed using a cost reporting technique for "cost to completion." Rather than report on past spending, the Responsible Engineering Authorities (REAs) were expected to continually evaluate their ability to complete their tasks within projected costs. Faster procurement was achieved using the Hardware Acquisition Team, where a technical team member was matched with a procurement representative for each design function. This pair wrote the specifications together and initiated the purchase requisitions.

From the organizational perspective, increased responsibility and accountability were given to each team member. Individuals took ownership of their work and the decision process was streamlined. The team made more "good decisions," rather than optimal decisions. The team was colocated, and daily meetings were used to assign daily tasks and keep the team focused on the launch. The standard Problem Failure Report (PFR) was streamlined and electronic reports provided snapshots of the resolved and outstanding PFRs. The report helped REAs stay on top of potential problem areas. REAs were responsible for looking forward on the project horizon and notifying the team of any potential problem areas.

The first satellite in the MSTI series, MSTI-1, was launched on November 21, 1992. The spacecraft weighed 150 kg and was built for \$19M in less than 12 months. Over 200,000 photographs were returned from the spacecraft. From a project management standpoint, all mission objectives were completed.

In addition, MSTI had a lasting legacy. Faster procurement developed into an approach JPL now calls "Fast Track Procurement." Hardware acquisition teams are used often in JPL projects. The hardware-in-the-loop test bed was the precursor to the Flight System Test Bed at JPL. Team members moved up quickly in JPL due to the increased responsibility and authority they were given on the MSTI project.

## Summary

MSTI demonstrated that an aggressive schedule can be used to design low earth-orbiting spacecraft to optimize the full system. The MSTI experience changed JPL's culture and their approach to spacecraft development and mission management. The insights from this case study example can help both students and practitioners better understand principles described in the SEBoK.

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### Primary References

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### Additional References

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< Previous Article | Parent Article | Next Article >

SEBoK v. 2.1, released 31 October 2019

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## Standard Korean Light Transit System Vignette

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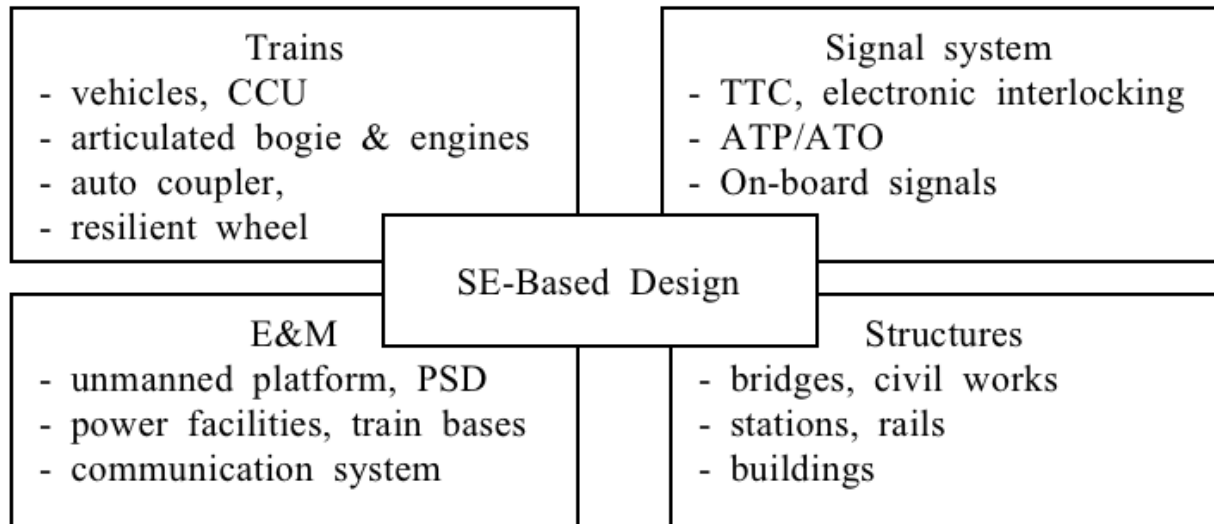
*Lead Authors: Heidi Davidz, Alice Squires, Chuck Calvano, Contributing Authors: Richard Turner*

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This example was created as a SE example directly for the SEBoK. It deals with systems engineering (SE) concepts and guidelines applied to the development of the Standard Korean Light Transit System (SKLTS). In Korea, local authorities had historically been interested in light transit to help resolve their transportation problems. The SKLTS was a joint effort between local authorities and the central government. It was built to provide a standard platform on which any local authority could construct its own light transit system. The issues of stakeholder requirements, safety, and reliability, availability, and maintainability were critical to the success of this system.

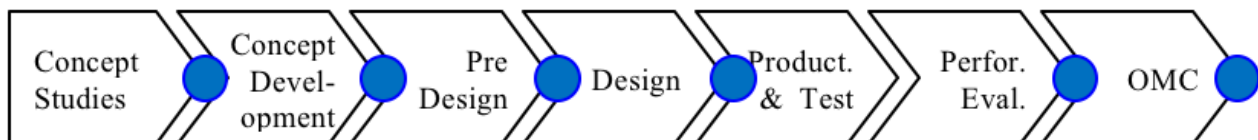
### Description

The elements of the SKLTS were classified into four groups (as shown in Figure 1): trains, signal systems, electric and machinery (E&M) systems, and structures. Trains and vehicles were to be automatically operated, without need for human operators. Operation systems and their interfaces were based on digital signals and communications. For SKLTS, SE-based design activities focused on reliability, availability, maintainability, and safety (RAMS), and were integrated into project management (PM) activities during all phases.



**Figure 1. Subsystems of the SKLTS (Ahn, 2005).** (Notes: CCU: Central Control Unit; TTC: Total Traffic Control; ATP: Automatic Train Protection; ATO: Automatic Train Operation; PSD: Platform Screen Door) Reprinted with permission of *Journal of the Korean Society for Railway*. All other rights are reserved by the copyright owner.

The project life cycle for the SKLTS is summarized in Figure 2. It consisted of 7 phases: concept studies, concept development, preliminary design, design, system production and testing, performance evaluation, and operation/maintenance/close-out (OMC) - please see (Choi 2007) and (Chung et al. 2010) for further details. These phases, with the exception of the production and test phases, are completed through an evaluation and decision point (EDP) (milestone), depicted as a colored circle in Figure 2. These EDPs correspond to common life cycle artifacts such as requests for proposal (RFPs), proposals, preliminary design reviews (PDRs), and critical design reviews (CDRs).



**Figure 2. 7 phases of the SKLTS development (Ahn 2005).** Reprinted with permission of the *Journal of the Korean Society for Railway*. All other rights are reserved by the copyright owner.

During the SKLTS development, SE activities were focused on RAMS as summarized in Table 1.

**Table 1. The SE Framework of the SKLTS (Ahn 2005).** Reprinted with permission of the *Journal of the Korean Society for Railway*. All other rights are reserved by the copyright owner.

Phases	Safety	Reliability	Function	Performance
Concept studies	<ul style="list-style-type: none"> <li>Requirements analysis</li> </ul>	<ul style="list-style-type: none"> <li>Identifying RAM conditions</li> <li>RAM allocation</li> </ul>	<ul style="list-style-type: none"> <li>System configuration</li> <li>Interface management</li> </ul>	<ul style="list-style-type: none"> <li>Performance simulation</li> </ul>
Concept development & pre-design	<ul style="list-style-type: none"> <li>Safety planning</li> <li>Defining safety procedures &amp; levels</li> </ul>	<ul style="list-style-type: none"> <li>RAM planning</li> <li>Initial availability analysis</li> </ul>	<ul style="list-style-type: none"> <li>Defining scenarios and alarm procedure</li> <li>Pre-designing command rooms</li> </ul>	<ul style="list-style-type: none"> <li>Interface analysis</li> </ul>

Design	<ul style="list-style-type: none"> <li>• Hazard log</li> <li>• Safety case analysis</li> <li>• Risk analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Reporting RAM analysis</li> <li>• RAM analysis of auxiliary systems</li> </ul>	<ul style="list-style-type: none"> <li>• Defining alarm systems</li> <li>• Train analysis</li> <li>• Functionality analysis of stations</li> </ul>	<ul style="list-style-type: none"> <li>• Interface analysis</li> </ul>
Performance evaluation	<ul style="list-style-type: none"> <li>• Safety test planning &amp; testing</li> </ul>	<ul style="list-style-type: none"> <li>• Verification and Validation (V&amp;V) RAM</li> <li>• Maintainability test</li> </ul>	<ul style="list-style-type: none"> <li>• System test planning and testing</li> </ul>	<ul style="list-style-type: none"> <li>• Performance test planning &amp; testing</li> </ul>
Initial Operation	<ul style="list-style-type: none"> <li>• System acceptance</li> <li>• Driver certification</li> </ul>	<ul style="list-style-type: none"> <li>• RAM monitoring</li> <li>• FRACAS*</li> </ul>	<ul style="list-style-type: none"> <li>• Analyzing systems</li> <li>• Identifying improvement points</li> </ul>	<ul style="list-style-type: none"> <li>• Performance monitoring</li> </ul>

\*FRACAS: Failure Reporting & Corrective Action System

In the "concept studies" and "concept development" phases, requirements included the RAMS objectives. Planning activities in this phase included the scheduling of various tests and evaluations to be conducted after system design. The basic layout of rails and command rooms was also proposed. Finally, it was during this phase that interface management procedures and relationships between requirements and systems were defined. For RAMS engineering, it was also important to establish associated plans and criteria (e.g., RAM plans, safety plans, service availability, etc.).

During the pre-design phase, the basic architecture of the system was determined for safety planning, RAMS planning, and operational scenarios. Interfaces among subsystems were defined as well as management procedures for contractors and legal regulations. The functional analysis dealt with timeline, accuracy of stop points, and trip times. Pre-design activities also included the specifications of major system elements such as signal systems, trains, and interfaces. For RAMS engineering, safety scenarios were defined, and the hazard and risk analyses were performed.

During the design and performance evaluation phases, hazard log and RAMS analyses were performed to ensure that each subsystem met safety requirements. The specifications of alarm systems and stations were also defined. In addition, V&V and test procedures were determined for performance evaluation. During the design phase, a design/construction interface manual (D/CIM) was developed and applied to ensure integrated and consistent design. (Bombardier, 2005)

Because SKLTS was designed as an automatically-driven system, RAMS issues were critical to its success. The safety and reliability of the SKLTS were evaluated on a test railway that was constructed to standard specifications. Data was gathered from existing Korean light rail systems, as well as the light rail systems from other countries, to support V&V activities.

Various methods were applied for achieving the RAMS objectives, including RAMS requirements analysis, safety and RAMS planning, utilization of systems scenarios, and construction risk analysis.

Initial operation of SKLTS was allowed only after the system was formally accepted and operators were properly certified. During test operation, RAMS performance was continuously monitored and system scenarios were used successfully to evaluate the dynamic behavior of the system. A failure reporting and corrective action system (FRACAS) was used to gather accident and failure data. Continuous improvement when the system is in normal operation was identified as a requirement; the results from the FRACAS will be used to support improvement of the system, maintenance, and improvement of procedures.

## Summary

Korean local authorities have successfully introduced the SKLTS to their precincts with some modifications. Successful examples include the Incheon Airport Line and the Seoul 9th Subway Line. One lesson learned identified was that requirement analysis, especially in the first few phases, should have been more complete.

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