CHAPTER 1

Introduction

We are changing the Earth more rapidly than we are understanding it.

A proper book isn’t just a collection of facts or even of practices: it reflects a cause and a mission. In the preface we couched this book in a broad context of social responsibility. Just as the motivation section (goal in context, summary, or whatever else you call it) in a use case helps the analyst understand requirements scenarios, this chapter might shed light on the ones that follow. It describes our philosophy behind the book and the way we present the ideas to you. If you’re tempted to jump to a whirlwind tour of the book’s contents, you might proceed to Chapter 2. However, philosophy is as important as the techniques themselves in a Lean and Agile world. We suggest you read through the introduction at least once, and tuck it away in your memory as background material for the other chapters that will support your day-to-day work.

1.1 The Touchstones: Lean and Agile

Lean and Agile are among the most endearing buzzwords in software today, capturing the imagination of management and nerds alike. Popular management books of the 1990s (Womack et al 1991) coined the term Lean for the management culture popularized by the Japanese auto industry, and which can be traced back to Toyota where it is called The Toyota Way. In vernacular English, minimal is an obvious synonym for Lean, but to link lean to minimalism alone is misleading.
Lean’s primary focus is the enterprise value stream. Lean grabs the consumer world and pulls it through the value stream to the beginnings of development, so that every subsequent activity adds value. Waste in production reduces value; constant improvement increases value. In Western cultures managers often interpret Lean in terms of its production practices: just-in-time, end-to-end continuous flow, and reduction of inventory. But its real heart is The Lean Secret: an “all hands on deck” mentality that permeates every employee, every manager, every supplier, and every partner. Whereas the Agile manifesto emphasizes customers, Lean emphasizes stakeholders – with everybody in sight being a stakeholder.

Lean architecture and Agile feature development aren’t about working harder. They’re not about working “smarter” in the academic or traditional computer science senses of the word “smart.” They are much more about focus and discipline, supported by common-sense arguments that require no university degree or formal training. This focus and discipline shines through in the roots of Lean management and in many of the Agile values.

We can bring that management and development style to software development. In this book, we bring it to software architecture in particular. Architecture is the big-picture view of the system, keeping in mind that the best big pictures need not be grainy. We don’t feel a need to nail down a scientific definition of the term; there are too many credible definitions to pick just one. For what it’s worth, the IEEE defines it this way:

... The fundamental organization of a system embodied in its components, their relationships to each other, and to the environment and the principles guiding its design and evolution. (IEEE1471 2007)

Grady Booch gives us this simple definition:

Architecture represents the significant design decisions that shape a system, where significant is measured by cost of change. (Booch 2006)

That isn’t too bad. But more generally, we define architecture as the form of a system, where the word form has a special meaning that we’ll explore a bit later. For now, think of it as relating to the first three components of the IEEE definition. No matter how we care to define it, software architecture should support the enterprise value stream even to the extent that the source code itself should reflect the end user mental model of the world. We will deliver code just in time instead of stockpiling software library warehouses ahead of time. We strive towards the practice of continuous flow.

Each of these practices is a keystone of Lean. But at the heart of Lean architecture is the team: the “all hands on deck” mentality that everyone is in some small part an architect, and that everyone has a crucial role to play
in good project beginnings. We want the domain experts (sometimes called
the architects) present as the architecture takes shape, of course. However,
the customer, the developer, the testers, and the managers should also be
fully present at those beginnings.
This may sound wasteful and may create a picture of chaotic beginnings.
However, one of the great paradoxes of Lean is that such intensity at the
beginning of a project, with heavy iteration and rework in design, actually
reduces overall life cycle cost and improves product quality. Apply those
principles to software, and you have a lightweight up-front architecture.
Lightweight means that we reduce the waste incurred by rework (from inade-
quate planning), unused artifacts (such as comprehensive documentation
and speculative code), and wait states (as can be caused by the review
life cycle of architecture and design documents, or by handoffs between
functional teams).
Software folks form a tribe of sorts (Nani 2006) that holds many beliefs,
among them that architecture is hard. The perception comes in part from
architecture’s need for diverse talents working together, compounded by
the apparently paradoxical need to find the basic form of something that
is essentially complex. Even more important, people confuse “takes a
long time” with “hard.” That belief in turn derives from our belief in
specialization, which becomes the source of handoffs: the source of the
delays that accumulate into long intervals that makes architecture look
hard. We tend to gauge our individual uncertainty and limited experience
in assessing the difficulty of design, and we come up short, feeling awkward
and small rather than collaborative and powerful. Architecture requires a
finesse and balance that dodges most silver bullets. Much of that finesse
comes with the Lean Secret: the takes-a-long-time part of hard becomes
softer when you unite specialists together in one room: everybody, all
together, from early on. We choose to view that as hard because, well, that’s
how it’s always been, and perhaps because we believe in individuals first
and interactions second.
Neither Lean nor Agile alone make architecture look easy. However,
architecture needn’t be intrinsically hard. Lean and Agile together illu-
minate architecture’s value. Lean brings careful up-front planning and
“everybody, all together, from early on” to the table, and Agile teaches or
reminds us about feedback. Together they illuminate architecture’s value:
Lean, for how architecture can reduce waste, inconsistency, and irregular
development; and Agile, for how end user engagement and feedback can
drive down long-term cost. Putting up a new barn is hard, too. As Grandpa
Harry used to say, many hands make light work, and a 19th-century Amer-
ican farm neighborhood could raise a new barn in a couple of days. So
can a cross-functional team greatly compress the time, and therefore the
apparent difficulty, of creating a solid software architecture.
Another key Lean principle is to focus on long-term results (Liker 2004, pp. 71–84). Lean architecture is about doing what’s important now that will keep you in the game for the long term. It is nonetheless important to contrast the Lean approach with traditional approaches such as “investing for the future.” Traditional software architecture reflects an investment model. It capitalizes on heavyweight artifacts in software inventory and directs cash flow into activities that are difficult to place in the customer value stream. An industry survey of projects with ostensibly high failure rates (as noted in Glass (2006), which posits that the results of the Standish survey may be rooted in characteristically dysfunctional projects) found that 70% of the software they build is never used (Standish Group 1995).

Lean architecture carefully slices the design space to deliver exactly the artifacts that can support downstream development in the long term. It avoids wasteful coding that can better be written just after demand for it appears and just before it generates revenues in the market. From the programmer’s perspective, it provides a way to capture crucial design concepts and decisions that must be remembered throughout feature production. These decisions are captured in code that is delivered as part of the product, not as extraneous baggage that becomes irrelevant over time.

With such Lean foundations in place, a project can better support Agile principles and aspire to Agile ideals. If you have all hands on deck, you depend more on people and interactions than on processes and tools. If you have a value stream that drives you without too many intervening tools and processes, you have customer engagement. If we reflect the end user mental model in the code, we are more likely to have working software. And if the code captures the form of the domain in an uncluttered way, we can confidently make the changes that make the code serve end user wants and needs.

This book is about a Lean approach to domain architecture that lays a foundation for Agile software change. The planning values of Lean do not conflict with the inspect-and-adapt principles of Agile: allocated to the proper development activities, each supports the other in the broader framework of development. We’ll revisit that contrast in a little while (Section 1.4), but first, let’s investigate each of Lean Architecture and Agile Production in more detail.

### 1.2 Lean Architecture and Agile Feature Development

The Agile Manifesto (Beck et al 2001) defines the principles that underlie the Agile vision, and the Toyota Way (Liker 2004) defines the Lean
vision. This book offers a vision of architecture in an organization that embraces these two sets of ideals. The Lean perspective focuses on how we develop the overall system form by drawing on experience and domain knowledge. The Agile perspective focuses on how that informed form helps us respond to change, and sometimes even to plan for it. How does that vision differ from the classic, heavyweight architectural practices that dominated object-oriented development in the 1980s? We summarize the differences in Table 1-1.

**Table 1-1** What is Lean Architecture?

<table>
<thead>
<tr>
<th>Lean Architecture</th>
<th>Classic Software Architecture</th>
</tr>
</thead>
<tbody>
<tr>
<td>Defers engineering</td>
<td>Includes engineering</td>
</tr>
<tr>
<td>Gives the craftsman “wiggle room” for change</td>
<td>Tries to limit large changes as “dangerous” (fear change?)</td>
</tr>
<tr>
<td>Defers implementation (delivers lightweight APIs and descriptions of relationships)</td>
<td>Includes much implementation (platforms, libraries) or none at all (documentation only)</td>
</tr>
<tr>
<td>Lightweight documentation</td>
<td>Documentation-focused, to describe the implementation or compensate for its absence</td>
</tr>
<tr>
<td>People</td>
<td>Tools and notations</td>
</tr>
<tr>
<td>Collective planning and cooperation</td>
<td>Specialized planning and control</td>
</tr>
<tr>
<td>End user mental model</td>
<td>Technical coupling and cohesion</td>
</tr>
</tbody>
</table>

- Classic software architecture tends to embrace engineering concerns too strongly and too early. Agile architecture is about form, and while a system must obey the same laws that apply to engineering when dealing with form, we let form follow proven experience instead of being driven by supposedly scientific engineering rationales. Those will come soon enough.

- This in turn implies that the everyday developers should use their experience to tailor the system form as new requirements emerge and as they grow in understanding. Neither Agile nor Lean gives coders wholesale license to ravage the system form, but both honor the value of adaptation. Classic architecture tends to be fearful of large changes, so it focuses on incremental changes only to existing artifacts: adding a new derived class is not a transformation of form (architecture), but of structure (implementation). In our combined Lean/Agile approach, we reduce risk by capturing domain architecture, or basic
system form, in a low-overhead way. Furthermore, the architecture encourages new forms in those parts of the system that are likely to change the most. Because these forms aren’t pre-filled with premature structure, they provide less impedance to change than traditional approaches. This is another argument for a true architecture of the forms of domain knowledge and function rather than an architecture based on structure.

- Classic software architecture sometimes rushes into implementation to force code reuse to happen or standards to prevail. Lean architecture also adopts the perspective that standards are valuable, but again: at the level of form, protocols, and APIs, rather than their implementation.

- Some classic approaches to software architecture too often depend on, or at least produce, volumes of documentation at high cost. The documentation either describes “reusable” platforms in excruciating detail or compensates for the lack of a clarifying implementation. Architects often throw such documentation over the wall into developers’ cubicles, where it less often used than not. Agile emphasizes communication, and sometimes written documentation is the right medium. However, we will strive to document only the stuff that really matters, and we’ll communicate many decisions in code. That kills two birds with one stone. The rest of the time, it’s about getting everybody involved face-to-face.

- Classic architectures too often focus on methods, rules, tools, formalisms, and notations. Use them if you must. But we won’t talk much about those in this book. Instead, we’ll talk about valuing individuals and their domain expertise, and valuing the end-user experience and their mental models that unfold during analysis.

- Both Lean and classic architecture focus on long-term results, but they differ in how planning is valued. Even worse than heavy planning is a prescription to follow the plan. Lean focuses on what’s important now, whenever “now” is – whether that is hitting the target for next week’s delivery or doing long-term planning. It isn’t only to eliminate waste by avoiding what is never important (dead code and unread documents), but has a subtler timeliness. Architecture isn’t an excuse to defer work; on the contrary, it should be a motivation to embrace implementation as soon as decisions are made. We make decisions and produce artifacts at the most responsible times.

As we describe it in this book, Lean architecture provides a firm foundation for the ongoing business of a software enterprise: providing timely features to end users.
1.3 Agile Production

If your design is lean, it produces an architecture that can help you be more Agile. By Agile, we mean the values held up by the Agile Manifesto:

We are uncovering better ways of developing software by doing it and helping others do it. Through this work we have come to value:

* Individuals and interactions over processes and tools
* Working software over comprehensive documentation
* Customer collaboration over contract negotiation
* Responding to change over following a plan

That is, while there is value in the items on the right, we value the items on the left more. (Beck et al 2001)

1.3.1 Agile Builds on Lean

Just as with the “all hands on deck” approach of Lean, Agile development also embraces close person-to-person contact, particularly with the clients. Unlike the tendencies of Lean, or much of today’s software architecture, our vision of Agile production plans for change. Lean architecture provides a context, a vocabulary, and productive constraints that make change easier and perhaps a little bit more failure-proof. It makes explicit a value stream along which stakeholder changes can propagate without being lost. We can respond to market whims. And we love market whims – because that’s how we provide satisfaction and keep the enterprise profitable.

Agile production not only builds on a Lean domain architecture, but it stays Lean with its focus on code – working software. The code is the design. No, really. The code is the best way to capture the end user mental models in a form suitable to the shaping and problem solving that occur during design. We of course also need other design representations that close the feedback loop to the end user and other stakeholders for whom code is an unsuitable medium, so lightweight documentation may be in order – we’ll introduce that topic in Section 1.6.4. We take this concept beyond platitudes, always striving to capture the end-user model of program execution in the code.

Classic architectures focus on what doesn’t change, believing that foundations based on domain knowledge reduce the cost of change. Agile understands that nothing lasts forever, and it instead focuses explicitly on what is likely to change. Here we balance the two approaches, giving neither one the upper hand.
Lean also builds on concepts that most people hold to be fundamental to Agile. The Lean notion of value streams starting with end users recalls individual and interactions as well as customer focus. The Lean notion of reduced waste goes hand-in-hand with Agile’s view of documentation. It is not about Lean versus Agile and neither about building Lean on top of Agile nor Agile on top of Lean. Each one is a valuable perspective into the kind of systems thinking necessary to repeatedly deliver timely products with quality.

1.3.2 The Scope of Agile Systems

*Electronically accelerated market economies have swept the world for good reasons. They are grass-roots driven (by customers and entrepreneurs), swiftly adaptive, and highly rewarding.*

*The Clock of the Long Now, p. 25.*

Software architects who were raised in the practices and experience of software architecture of the 1970s and 1980s will find much comfort in the Lean parts of this book, but may find themselves in new territory as they move into the concepts of Agile production. Architecture has long focused on stability while Agile focuses on change. Agile folks can learn from the experience of previous generations of software architecture in how they plan for change. As we present a new generation of architectural ideas in this book, we respond to change more directly, teasing out the form even of those parts of software we usually hold to be dynamic. We’ll employ use cases to distill the stable backbones of system behavior from dozens or hundreds of variations. We go further to tease out the common rhythms of system behavior into the roles that are the basic concepts we use to describe it and the connections between them.

Grandpa Harry used to say that necessity is the mother of invention, so need and user *expectation* are perhaps the mother and father of change. People expect software to be able to change at lightening speed in modern markets. On the web, in financial services and trading, and in many other market segments, the time constants are on the order of hours or days. The users themselves interact with the software on time scales driven by interactive menus and screens rather than by daily batch runs. Instead of being able to stack the program input on punched cards ahead of time, decisions about the next text input or the next menu selection are made seconds or even milliseconds before the program must respond to them.

Agile software development is well suited to such environments because of its accommodation for change. Agile is less well suited to environments
where feedback is either of little value (such as the development of a protocol based on a fully formal specification and development process) or is difficult to get (such as from software that is so far embedded in other systems that it has no obvious interaction with individuals). Libraries and platforms often fall into this category: how do you create short feedback loops that can steer their design? Sometimes a system is so constrained by its environment that prospects for change are small, and Agile approaches may not help much.

Lean likewise shines in some areas better than others. It’s overkill for simple products. While Lean can deal with *complicated* products, it needs innovation from Agile to deal with *complex* products where we take *complicated* and *complex* in Snowden’s (Snowden 2009) terms. Complicated systems can rely on fact-based management and can handle known unknowns, but only with expert diagnosis. Complex systems have unknown unknowns, and there is no predictable path from the current state to a better state (though such paths can be rationalized in retrospect). There are no right answers, but patterns emerge over time. Most of the organizational patterns cited in this book relate to complex problems. Even in dealing with complex systems, Agile can draw on Lean techniques to establish the boundary conditions necessary for progress.

The good news is that most systems have both a Lean component and an Agile component. For example, embedded or deeply layered system software can benefit from domain experience and the kind of thorough analysis characteristic of Lean, while other software components that interact with people can benefit from Agile.

Below the realm of Lean and Agile lie *simple* systems, which are largely knowable and predictable, so we can succeed even if our efforts fall short of both Lean and Agile. On the other end are *chaotic* system problems such as dealing with a mass system outage. There, even patterns are difficult to find. It is important to act quickly and to just find something that works rather than seeking the right answer. Chaotic systems are outside the scope of our work here.

### 1.3.3 Agile and DCI

If we can directly capture key end-user mental models in the code, it radically increases the chances the code will work. The fulfillment of this dream has long eluded the object-oriented programming community, but the recent work on the Data, Context and Interaction (DCI) architecture, featured in Chapter 9, brings this dream much closer to reality than we have ever realized. And by “work” we don’t mean that it passes tests or
that the green bar comes up: we mean that it does what the user expects it to do. The key is the architectural link between the end user mental model and the code itself.

## 1.4 The Book in a Very Small Nutshell

We’ll provide a bit meatier overview in Chapter 2, but here is the one-page (and a bit more) summary of the technical goodies in the book, for you nerds reading the introduction:

- System architecture should reflect the end users’ mental model of their world. This model has two parts. The first part relates to the user’s thought process when viewing the screen, and to what the system is: its form. The second part relates to what end users do – interacting with the system – and how the system should respond to user input. This is the system functionality. We work with users to elicit and develop these models and to capture them in code as early as possible. Coupling and cohesion (Stevens, Myers, and Constantine 1974) follow from these as a secondary effect.

- To explore both form and function requires up-front engagement of all stakeholders, and early exploration of their insights. Deferring interactions with stakeholders, or deferring decisions beyond the responsible moment slows progress, raises cost, and increases frustration. A team acts like a team from the start.

- Programming languages help us to concretely express form in the code. For example, abstract base classes can concretely express domain models. Development teams can build such models in about one Scrum Sprint: a couple of weeks to a month. Design-by-contract, used well, gets us closer to running code even faster. Going beyond this expression of form with too much structure (such as class implementation) is not Lean, slows things down, and leads to rework.

- We can express complex system functionality in use cases. Lightweight, incrementally constructed use cases help the project to quickly capture and iterate models of interaction between the end user (actor) and the system, and to structure the relationships between scenarios.

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1 What users really expect has been destroyed by the legacy of the past 40 years of software deployment. It’s really hard to find out what they actually need, and what they want too often reflects short-term end-user thinking. Our goal is to avoid the rule of least surprise: we don’t want end users to feel unproductive, or to feel that the system implementers didn’t understand their needs, or to feel that system implementers feel that they are stupid. Much of this discussion is beyond the scope of this book, though we will touch on it from time to time.
By making requirement dependencies explicit, use cases avoid dependency management and communication problems that are common in complex Agile projects. Simpler documents like User Narratives are still good enough to capture simple functional requirements.

- We can translate use case scenarios into algorithms, just in time, as new scenarios enter the business process. We encode these algorithms directly as role methods. We will introduce roles (implemented as role classes or traits) as a new formalism that captures the behavioral essence of a system in the same way that classes capture the essence of domain structure. Algorithms that come from use cases are more or less directly readable from the role methods. Their form follows function. This has profound implications for code comprehension, testability, and formal analysis. At the same time, we create or update classes in the domain model to support the new functionality. These classes stay fairly dumb, with the end-user scenario information separated into the role classes.

- We use a recent adaptation of traits to glue together role classes with the domain classes. When a use case scenario is enacted at run time, the system maps the use case actors into the objects that will support the scenario (through the appropriate role interface), and the scenario runs.

Got your attention? It gets even better. Read on.

1.5 Lean and Agile: Contrasting and Complementary

You should now have a basic idea of where we’re heading. Let’s more carefully consider Agile and Lean, and their relationships to each other and to the topic of software design.

One unsung strength of Agile is that it is more focused on the ongoing sustenance of a project than just its beginnings. The waterfall stereotype is patterned around greenfield development. It doesn’t easily accommodate the constraints of any embedded base to which the new software must fit, nor does it explicitly provide for future changes in requirements, nor does it project what happens after the first delivery. But Agile sometimes doesn’t focus enough on the beginnings, on the long deliberation that supports long-term profitability, or on enabling standards. Both Lean and Agile are eager to remove defects as they arise. Too many stereotypes of Lean and Agile ignore both the synergies and potential conflicts between Lean and Agile. Let’s explore this overlap a bit.
Architects use notations to capture their vision of an ideal system at the beginning of the life cycle, but these documents and visions quickly become out-of-date and become increasingly irrelevant over time. If we constantly refresh the architecture in cyclic development, and if we express the architecture in living code, then we’ll be working with an Agile spirit. Yes, we’ll talk about architectural beginnings, but the right way to view software development is that everything after the first successful compilation is maintenance.

Lean is often cited as a foundation of Agile, or as a cousin of Agile, or today as a foundation of some Agile technique and tomorrow not. There is much confusion and curiosity about such questions in software today. Scrum inventor Jeff Sutherland refers to Lean and Scrum as separate and complementary developments that both arose from observations about complex adaptive systems (Sutherland 2008). Indeed, in some places Lean principles and Agile principles tug in different directions. The Toyota Way is based explicitly on standardization (Liker 2004, chapter 12); Scrum says always to inspect and adapt. The Toyota Way is based on long deliberation and thought, with rapid deployment only after a decision has been reached (Liker 2004, chapter 19); most Agile practice is based on rapid decisions (Table 1-2).

Table 1-2 Contrast between Lean and Agile.

<table>
<thead>
<tr>
<th>Lean</th>
<th>Agile</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thinking and doing</td>
<td>Doing</td>
</tr>
<tr>
<td>Inspect-plan-do</td>
<td>Do-inspect-adapt</td>
</tr>
<tr>
<td>Feed-forward and feedback (design for</td>
<td>Feedback (react to change)</td>
</tr>
<tr>
<td>change and respond to change)</td>
<td></td>
</tr>
<tr>
<td>High throughput</td>
<td>Low latency</td>
</tr>
<tr>
<td>Planning and responding</td>
<td>Reacting</td>
</tr>
<tr>
<td>Focus on Process</td>
<td>Focus on People</td>
</tr>
<tr>
<td>Teams (working as a unit)</td>
<td>Individuals (and interactions)</td>
</tr>
<tr>
<td>Complicated systems</td>
<td>Complex systems</td>
</tr>
<tr>
<td>Embrace standards</td>
<td>Inspect and adapt</td>
</tr>
<tr>
<td>Rework in design adds value, in making is</td>
<td>Minimize up-front work of any kind and</td>
</tr>
<tr>
<td>waste</td>
<td>rework code to get quality</td>
</tr>
<tr>
<td>Bring decisions forward (Decision Structure Matrices)</td>
<td>Defer decisions (to the last responsible moment)</td>
</tr>
</tbody>
</table>
Some of the disconnect between Agile and Lean comes not from their foundations but from common misunderstanding and from everyday pragmatics. Many people believe that Scrum insists that there be no specialists on the team; however, Lean treasures both seeing the whole as well as specialization:

[W]hen Toyota selects one person out of hundreds of job applicants after searching for many months, it is sending a message – the capabilities and characteristics of individuals matter. The years spent carefully grooming each individual to develop depth of technical knowledge, a broad range of skills, and a second-nature understanding of Toyota’s philosophy speaks to the importance of the individual in Toyota’s system. (Liker 2004, p. 186)

Scrum insists on cross-functional team, but itself says nothing about specialization. The specialization myth arises in part from the XP legacy that discourages specialization and code ownership, and in part from the Scrum practice that no one use their specialization as an excuse to avoid other kind of work during a Sprint (Østergaard 2008).

If we were to look at Lean and Agile through a coarse lens, we’d discover that Agile is about doing and that Lean is about thinking (about continuous process improvement) and doing. A little bit of thought can avoid a lot of doing, and in particular re-doing. Ballard (2000) points out that a little rework and thought in design adds value by reducing product turn-around time and cost, while rework during making is waste (Section 3.1.2). System-level-factoring entails a bit of both, but regarding architecture only as an emergent view of the system substantially slows the decision process. Software isn’t soft, and architectures aren’t very malleable once developers start filling in the general form with the structure of running code. Lean architecture moves beyond structure to form. Good form is Lean, and that helps the system be Agile.

Lean is about complicated things; Agile is about complexity. Lean principles support predictable, repeatable processes, such as automobile manufacturing. Software is hardly predictable, and is almost always a creative – one might say artistic – endeavor (Snowden and Boone 2007). Agile is the art of the possible, and of expecting the unexpected.

This book tells how to craft a Lean architecture that goes hand-in-glove with Agile development. Think of Lean techniques, or a Lean architecture, as a filter that prevents problems from finding a way into your development stream. Keeping those problems out avoids rework.

*Lean principles lie at the heart of architectures behind Agile projects.* Agile is about embracing change, and it’s hard to reshape a system if there is too much clutter. Standards can reduce decision time and can reduce
work and rework. Grandpa Harry used to say that a stitch in time saves nine; so up-front thinking can empower decision makers to implement decisions lightening-fast with confidence and authority. Lean architecture should be rooted in the thought processes of good domain analysis, in the specialization of deeply knowledgeable domain experts, and once in a while on de facto, community, or international standards.

1.5.1 The Lean Secret

The human side of Lean comes down to this rule of thumb:

Everybody, All together, Early On

Using other words, we also call this “all hands on deck.” Why is this a “secret”? Because it seems that teams that call themselves Agile either don’t know it or embrace it only in part. Too often, the “lazy” side of Lean shines through (avoiding excess work) while teams set aside elements of social discipline and process. Keeping the “everybody” part secret lets us get by with talking to the customer, which has some stature associated with it, while diminishing focus on other stakeholders like maintenance, investors, sales, and the business. Keeping the “early on” part a secret makes it possible to defer decisions—and to decide to defer a decision is itself a decision with consequences. Yet all three of these elements are crucial to the human foundations of Lean. We’ll explore the Lean Secret in more depth in Chapter 3.

1.6 Lost Practices

We speak . . . about the events of decades now, not centuries. One advantage of that, perhaps, is that the acceleration of history now makes us all historians.  
The Clock of the Long Now, p. 16.

As we distilled our experience into the beginnings of this book, both of us started to feel a bit uncomfortable and even a little guilty about being old folks in an industry we had always seen fueled by the energy of the young, the new, and the restless. As people from the patterns, Lean and object communities started interacting more with the new Agile community, however, we found that we were in good company. Agile might be the first major software movement that has come about as a broad-based mature set of disciplines.

Nonetheless, as Agile rolled out into the industry the ties back to experience were often lost. That Scrum strived to remain agnostic with respect to
software didn’t help, so crucial software practices necessary to Scrum’s success were too easily forgotten. In this book we go back to the fundamental notions that are often lost in modern interpretation or in the practice of XP or Scrum. These include system and software architecture, requirements dependency management, foundations for usability, documentation, and others.

1.6.1 Architecture

Electronically accelerated market economies have swept the world for good reasons. They are grass-roots driven (by customers and entrepreneurs), swiftly adaptive, and highly rewarding. But among the things they reward, as McKenna points out, is short-sightedness. *The Clock of the Long Now,* p. 25.

A project must be strong to embrace change. Architecture not only helps give a project the firmness necessary to stand up to change, but also supports the crucial Agile value of communication. Jeff Sutherland has said that he never has, and never would, run a software Scrum without software architecture (Coplien and Sutherland 2009). We build for change.

We know that ignoring architecture in the long term increases long-term cost. Traditional architecture is heavily front-loaded and increases cost in the short term, but more importantly, pushes out the schedule. This is often the case because the architecture invests too much in the actual structure of implementation instead of sticking with form. A structure-free up-front architecture, constructed as pure form, can be built in days or weeks, and can lay the foundation for a system lifetime of savings. Part of the speedup comes from the elimination of wait states that comes from all-hands-on-deck, and part comes from favoring lightweight form over massive structure.

1.6.2 Handling Dependencies between Requirements

To make software work, the development team must know what other software and features lay the foundation for the work at hand. Few Agile approaches speak about the subtleties of customer engagement and end-user engagement. Without these insights, software developers are starved for the guidance they need while advising product management about product rollout. Such failures lead to customer surprises, especially when rapidly iterating new functionality into the customer stream.

Stakeholder engagement (Chapter 3) is a key consideration in requirements management. While both Scrum and XP encourage tight coupling to the customer, the word “end user” doesn’t appear often enough, and
the practices overlook far too many details of these business relationships. That's where the subtle details of requirements show up—in the dependencies between them.

1.6.3 Foundations for Usability

The Agile Manifesto speaks about working software, but nothing about usable software. The origins of Agile can be traced back to object orientation, which originally concerned itself with capturing the end-user model in the code. Trygve Reenskaug’s Model-View-Controller (MVC) architecture makes this concern clear and provides us a framework to achieve usability goals. In this book we build heavily on Trygve’s work, both in the classic way that MVC brings end user mental models together with the system models, and on his DCI work, which helps users enact system functionality.

1.6.4 Documentation

Suppose we wanted to improve the quality of decisions that have long-term consequences. What would make decision makers feel accountable to posterity as well as to their present constituents? What would shift the terms of debate from the immediate consequences of the delayed consequences, where the real impact is? It might help to have the debate put on the record in a way that invites serious review. *The Clock of the Long Now*, p. 98.

Documentation gets a bad rap. Methodologists too often miss the point that documentation has two important functions: to communicate perspectives and decisions, and to remember perspectives and decisions. Alistair Cockburn draws a similar dichotomy between documentation that serves as a reminder for people who were there when the documented discussions took place, and as a tutorial for those who weren’t (Cockburn 2007, pp. 23–24). Much of the Agile mindset misses this dichotomy and casts aspersions on any kind of documentation. Nonetheless, the Agile manifesto contrasts the waste of documentation with the production of working code: where code can communicate or remember decisions, redundant documentation may be a waste.

The Agile manifesto fails to explicitly communicate key foundations that lie beneath its own well-known principles and values. It is change that guides the Agile process; nowhere does the Manifesto mention learning or experience. It tends to cast human interaction in the framework of code development, as contrasted with processes and tools, rather than in the framework of community-building or professional growth. Documentation has a role there.

We should distinguish the act of writing a document from the long-term maintenance of a document. A whiteboard diagram, a CRC card, and a
diagram on the back of a napkin are all design documents, but they are documents that we rarely archive or return to over time. Such documentation is crucial to Agile development: Alistair Cockburn characterizes two people creating an artifact on a whiteboard as the most effective form of common engineering communication (Figure 1-1).

![Diagram of communication effectiveness](image)

*Figure 1-1* Forms of communication documentation. From Cockburn (2007, p. 125).

It is exactly this kind of communication, supplemented with the artifact that brings people together, that supports the kind of dynamics we want on an Agile team. From this perspective, documentation is fundamental to any Agile approach. There is nothing in the Manifesto that contradicts this: it cautions only against our striving for comprehensive documentation, and against a value system that places the documentation that serves the team ahead of the artifacts that support end-user services.

In the 1980s, too many serious software development projects were characterized by heavyweight write-only documentation. Lean architecture replaces the heavyweight notations of the 1980s with lightweight but expressive code. There in fact isn’t much new or Agile in this: such was also the spirit of literate programming. Lean architecture has a place for lightweight documentation both for communication and for team memory. Experience repeatedly shows that documentation is more crucial in a geographically distributed development than when the team is collocated, and even Agile champions such as Martin Fowler agree (Fowler 2006).

**Code Does Not Stand Alone**

In general, “the code is the design” is a good rule of thumb. But it is neither a law nor a proven principle. Much of the crowd that advocates Agile today first advocated such ideas as members of the pattern discipline. Patterns were created out of an understanding that code sometimes does not stand
alone. Even in the widely accepted Gang of Four book, we find that “it’s clear that code won’t reveal everything about how a system will work.” (Gamma et al 2005, p. 23) We go to the code for what and how, but only the authors or their documentation tell us why. We’ll talk a lot about why in this book.

Documentation can provide broad context that is difficult to see in a local chunk of code. Perhaps the best documentation is that which is automatically generated from the code through so-called reverse engineering tools. They can provide a helicopter view of a concrete landscape with a minimum of interpretation and filtering. That honors the perspective that the code is the design while rising above the code to higher-level views. The right volume of more intelligently generated high-level documentation can be even more valuable. Just following the code is a bit like following a path through the woods at night. Good documentation is a roadmap that provides context. More advanced roadmaps can even tell me why I should take a certain direction (“there are nettles on this path in July; take the other path instead,” or, “we use stored procedures here instead of putting the traversals in the business logic because the traversal is simple, but changes frequently”). Different constituencies might need different roadmaps (“the architecture allows customer service to change route lookups without engaging the programming staff”). As Grandpa Harry said, one size does not fit all. Using code as a map suits programmers well, but other constituencies may need different sizes of maps.

Documentation can also be a springboard for discussion and action in much the same way that a culture’s literature provides a backdrop for reflection. This is particularly true of the kinds of domain models we’ll develop in Chapter 5. To take all documentation as formal, literal instruction is to undermine its highest value. Grandfatherly quotes on this topic abound, from Dwight D. Eisenhower’s: “[P]lans are useless but planning is indispensable” to the old military saw: “Trust the terrain, not the map.” There is a story (whether true or not) about a group of Spanish soldiers who became lost in the Pyrenees and who were desperately seeking a path to civilization to secure their survival. One of the group found a ratty old map in his luggage and the group squinted at the faded document to find a way out. They eventually reached a town, inspired by the life-saving document. Only later did they find that the map depicted a distant region in the French Alps. It’s not so much what the map says about the terrain: it’s what people read into the map. Again: “Trust the terrain, not the map.” Updating the maps is good, too – but that means choosing map technology that avoids both technical and cultural barriers to currency. Document the important, timeless concepts so that change is less likely to invalidate them. In areas of rapid change, create code that needs minimal decoding; that’s one goal of DCI.
Capturing the “Why”

As David Byers urged us as we were formulating ideas in the early days of this book, the why of software is an important memory that deserves to be preserved. Philippe Kruchten underscores this perspective in his IEEE Software article (Kruchten, Capilla and Dueñas 2009). Though we can efficiently communicate the why in oral communication with feedback, it is the most difficult to write down. Alistair Cockburn notes that we need cultural reminders that capture valuable decisions. Human transmission of the ideas, practices, and memes of development is still the most important, so we still value domain experts and patterns like Alistair’s Day Care (Coplien and Harrison 2004, pp. 88–91): to place a treasured expert in charge of the novices so the rest of the team can proceed with work. Jeff Sutherland tells that at PatientKeeper, the architects gave a chalk talk about the system architecture – a talk that is kept in the company’s video library and which is a cornerstone of team training. The written media are just another way to record and present why: a way that supports indexing, convenient real-time random access, and which becomes a normative cultural artifact that can contribute to Lean’s goal of consistency.

It takes work to write things down, but the long-term payoff is usually worth it. The authors of The Clock of the Long Now argue why long-term documentation might be a good idea:

One very contemporary reason is to make the world safe for rapid change. A conspicuously durable library gives assurance: Fear not. Everything that might need to be remembered is being collected . . . we’re always free to mine the past for good ideas. (Brandt 1995, p. 94)

This first chapter is our own attempt to explain the why of Lean architecture and Agile software development. We know it is a bit long, and we’ve explored many ways to cut it down, but decided that what remains here is important.

1.6.5 Common Sense, Thinking, and Caring

Finally, this book is about simple things: code, common sense, thinking, and caring. Code is the ever-present artifact at the core of the Agile development team. Properly done, it is an effigy of the end-user conceptual model. It constantly reminds the programmer of end-user needs and dreams, even when the customer isn’t around. In the end, it all comes down to code, and that’s because code is the vehicle that brings quality of life to end users.

Common sense hides deeply within us. Thinking and caring are equally simple concepts, though they require the effort of human will to carry out.
Will takes courage and discipline, and that makes simple things look hard. That in turns implies that simple things aren’t simplistic. As we said in the Preface, we try to find the fewest simple things that together can solve complex problems.

As the intelligent designer in the middle, we sometimes must wrestle with the entire spectrum of complexity. But we should all the while strive to deliver a product that is pure. It’s like good cooking: a good cook combines a few pure, high quality ingredients into a dish with rich and complex flavor. The chef combines the dishes with carefully chosen wines in a menu du jour whose tastes and ingredients are consistent and that complement each other. That’s a lot better than trying to balance dozens of ingredients to achieve something even palatable, or throwing together ingredients that are just good enough. Such food is enough for survival, but we can reach beyond surviving to thriving.

Like a cook, a programmer applies lean, critical thinking. Keep the set of ingredients small. Plan so you at least know what ingredients you’ll need for the meals you envision. That doesn’t necessarily mean shopping for all the ingredients far in advance; in fact, you end up with stale-tasting food if you do that. Software is the same way, and Lean thinking in particular focuses on designing both the meal and the process to avoid waste. It places us in a strategic posture, a posture from which we can better be responsive when the need arises. Maybe Agile is more about reacting while Lean is about responding. It’s a little like the difference between fast food and preparing a meal for guests. Both have a place in life, and both have analogues in software development. But they are not the same thing. And it’s important to distinguish between them. Barry Boehm speaks of a panel that he was asked to join to evaluate why software caused rockets to crash. Their conclusion? “Responding to change over following a plan” (Boehm 2009).

Much of this book is about techniques that help you manage the overall form -- the culinary menus, if you will -- so you can create software that offers the services that your end users expect from you. It’s about lining things up at just the right time to eliminate waste, to reduce fallow inventory, and to sustain the system perspectives that keep your work consistent.

Last, we do all of this with an attitude of caring, caring about the human being at the other end. Most of you will be thinking “customer” after reading that provocation. Yes, we care about our customers and accord them their proper place. We may think about end users even more. Agile depends on trust. True trust is reciprocal, and we expect the same respect and sense of satisfaction on the part of developers as on the part of end users and customers. Nerds, lest we forget, we care even about those nasty old managers. Envision a team that extends beyond the Scrum team, in an all-inclusive community of trust.
That trust in hand, we’ll be able to put powerful tools in place. The Lean Secret is the foundation: everybody, all together, from early on. Having such a proverbial round table lightens the load on heavyweight written communication and formal decision processes. That’s where productivity and team velocity come from. That’s how we reduce misunderstandings that underlie what are commonly called “requirements failures.” That’s how we embrace change when it happens. Many of these tools have been lost in the Agile rush to do. We want to restore more of a Lean perspective of think and do, of strategy together with tactics, and of thoughtfully responding instead of always just reacting.

1.7 What this Book is Not About

This is not a design method. Agile software development shouldn’t get caught in the trap of offering recipes. We as authors can’t presume upon your way of working. We would find it strange if the method your company is using made it difficult to adopt any of the ideas of this book; it’s those ideas we consider important, not the processes in which they are embedded.

While we pay attention to the current industry mindshare in certain fad areas, it is a matter of discussing how the fundamentals fit the fads rather than deriving our practices from the fads. For example, we believe that documentation is usually important, though the amount of documentation suitable to a project depends on its size, longevity, and distribution. This brings us around to the current business imperatives behind multi-site development, which tend to require more support from written media than in a geographically collocated project. We address the documentation problem by shifting from high-overhead artifacts such as comprehensive UML documents\(^2\) to zero-overhead documentation such as APIs that become part of the deliverable, or through enough low-overhead artifacts to fit needs for supplemental team memory and communication.

The book also talks a lot about the need to view software as a way to deliver a service, and the fact that it is a product is only a means to that end. The word “service” appears frequently in the book. It is by coincidence only that the same word figures prominently in Service-Oriented Architecture (SOA), but we’re making no conscious attempt to make this a SOA-friendly book, and we don’t claim to represent the SOA perspective on what constitutes a service. If you’re a SOA person, what we can say is: if the shoe fits, wear it. We have no problem with happy coincidences.

\(^2\) That they are comprehensive isn’t UML’s fault by the way. UML is just a tool, and it can be used tastefully or wastefully.
We don’t talk about some of the thorny architectural issues in this book such as concurrency, distribution, and security. We know they’re important, but we feel there are no universal answers that we can recommend with confidence. The spectra of solutions in these areas are the topics of whole books and libraries relevant to each. Most of the advice you’ll find there won’t contradict anything that we say here.

The same is true for performance. We avoid the performance issue in part because of Knuth’s Law: Premature optimization is the root of all evil. Most performance issues are best addressed by applying Pareto’s law of economics to software: 80% of the stuff happens in 20% of the places. Find the hot spots and tune. The other reason we don’t go into the art of real-time performance is partly because so much of the art is un-teachable, and partly because it depends a great deal on specific domain knowledge. There exist volumes of literature on performance-tuning databases, and there are decades of real-time systems knowledge waiting to be mined. That’s another book. The book by Noble and Weir (Noble and Weir 2000) offers one set of solutions that apply when memory and processor cycles are scarce.

Though we are concerned with the programmer’s role in producing usable, habitable, humane software, the book doesn’t focus explicitly on interaction design or screen design. There are plenty of good resources on that; there are far too many to name here, but representative books include Graham (2003) for practical web interface design, (Raskin 2000) for practical application of interaction design theory, and Olesen (1998) for mechanics. We instead focus on the architectural issues that support good end-user conceptualization: these are crucial issues of software and system design.

1.8 Agile, Lean – Oh, Yeah, and Scrum and Methodologies and Such

If any buzzwords loom even larger than Agile on the Agile landscape itself, they are Scrum and XP. We figured that we’d lose credibility with you if we didn’t say something wise about them. And maybe those of you who are practicing Scrum confuse Lean with Scrum or, worse, confuse Agile with Scrum. Scrum is a great synthesis of the ideas of Lean and Agile, but it is both more and less than either alone. Perhaps some clarification is in order. This section is our contribution to those needs.

This book is about a Lean approach to architecture, and about using that approach to support the Agile principles. Our inspirations for Lean come through many paths, including Scrum, but all of them trace back to basics of the Lean philosophies that emerged in Japanese industry over the past century (Liker 2004): just-in-time, people and teamwork, continuous
improvement, reduction of waste, and continuous built-in quality. We drive deeper than the techno-pop culture use of the term Lean that focuses on the technique alone, but we show the path to the kind of human engagement that could, and should, excite and drive your team.

When we said that this book would build on a Lean approach to architecture to support Agile principles, most of you would have thought that by Agile we meant “fast” or maybe “flexible.” Agile is a buzzword that has taken on a life of its own. Admittedly, even speed and flexibility reflect a bit of its core meaning. However, in this book we mean the word in the broader sense of the Agile Manifesto (Beck et al 2001). Speed and flexibility may be results of Agile, but that’s not what it is. The common laws behind every principle of the Manifesto are self-organization and feedback.

Scrum is an Agile framework for the management side of development. Its focus is to optimize return on investment by always producing the most important things first. It reduces rework through short cycles and improved human communication between stakeholders, using self-organization to eliminate wait states. Scrum encourages a balance of power in development roles that supports the developers with the business information they need to get their job done while working to remove impediments that block their progress.

This is not a Scrum book, and you probably don’t need Scrum to make sense of the material in this book or to apply all or part of this book to your project. Because the techniques in this book derive from the Agile values, and because Scrum practices share many of the same foundations, the two complement each other well.

In theory, Scrum is agnostic with respect to the kind of business that uses it, and pretends to know nothing about software development. However, most interest in Scrum today comes from software development organizations. This book captures key practices such as software architecture and requirements-driven testing that are crucial to the success of software Scrum projects (Coplien and Sutherland 2009).

Agile approaches, including Scrum, are based on three basic principles:

1. Trust
2. Communication
3. Self-organization

Each of these values has its place throughout requirements acquisition and architecture. While these values tend to touch concerns we commonly associate with management, and architecture touches concerns we commonly associate with programmers, there are huge gray areas in between. These areas include customer engagement and problem definition. We take up those issues, respectively, in Chapter 3 and Chapter 4. Those in hand, we’ll be ready to move toward code that captures both what the system is
and what the system does. But first, we’ll give you a whirlwind tour of the book in Chapter 2.

1.9 History and Such


The Toyota Way has its roots in Sakichi Toyoda, a carpenter who went into the loom business in the late 1800s. Toyoda was influenced by the writings of Samuel Smiles, who chronicled the passion of great inventors and the virtue of attentive, caring production and empirical management (Smiles 1860). Toyoda formed Toyoda Automatic Loom Works in 1926. It used steam-powered looms that would shut down when a thread broke, so it could be repaired and the piece of cloth could thereby be rescued instead of becoming waste. These looms generated the fortune that would launch Toyota Motor Corporation in 1930 at the hand of his son, Kiichiro Toyoda.

In the post-war reconstruction, Toyoda took note of inefficiencies in Ford in the U.S. Drawing on some of Ford’s original ideas which had been misread or badly implemented by his namesake company, with a nod to Taylor’s empirical methods and Deming’s statistical process control (SPC), the new Toyota president Eiji Toyoda gave the Toyota Production System many of the concepts that we associate with Lean today: single-piece continuous flow, low inventory, and just-in-time delivery. Deming’s Plan-Do-Act cycle would become a foundation of kaizen: continuous, relentless process improvement.

Toyota refined and grew its manufacturing approaches. In about 1951 Toyota added the practices of Total Productive Maintenance (TPM) to the Toyota Way. Associated with the spotless Toyota service garages and the silhouettes that ensure that every tool is returned to its proper place, TPM is perhaps a better metaphor for the ongoing software life cycle than TPS is – though TPS is a great foundation for system architecture (Liker 2004, pp. 16–25).

Some Lean concepts appeared in recognized software practice as early as the 1970s. Everybody, all together, from early on is a time-honored technique. One early (1970s), broadly practiced instance of this idea is Joint Application Design, or JAD (Davidson 1999). JAD was a bit heavyweight, since it
involved all the stakeholders, from the top management and the clients to the seminar secretary, for weeks of meetings. While it probably didn’t admit enough about emergent requirements (its goal was a specification), its concept of broad stakeholder engagement is noteworthy. Letting everybody be heard, even during design, is a lost practice of great software design.

In the early 1990s Jeff Sutherland would become intrigued by a Harvard Business Review article, again about Japanese companies, called *The New New Product Development Game*, authored by Hirotaka Takeuchi and Ikujiro Nonaka (Takeuchi and Nonaka 1986). Its tenets, together with ideas from iterative development and time boxing, and some practices inspired by an early draft of the Borland study published in Dr. Dobbs Journal (Coplien and Erickson 1994), led to the birth of Scrum.

Lately, Lean has made more inroads into the software world from the manufacturing world. The excellent work of Mary and Tom Poppendieck (e.g., Poppendieck and Poppendieck 2006) features many elements of the Toyota Production System, though it tends to focus less on up-front decisions and value streams than historic Lean practice does.