Application of knowledge-based approaches in software architecture: A systematic mapping study

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\textbf{Abstract}

\textbf{Context:} Knowledge management technologies have been employed across software engineering activities for more than two decades. Knowledge-based approaches can be used to facilitate software architecting activities (e.g., architectural evaluation). However, there is no comprehensive understanding on how various knowledge-based approaches (e.g., knowledge reuse) are employed in software architecture.

\textbf{Objective:} This work aims to collect studies on the application of knowledge-based approaches in software architecture and make a classification and thematic analysis on these studies, in order to identify the gaps in the existing application of knowledge-based approaches to various architecting activities, and promising research directions.

\textbf{Method:} A systematic mapping study is conducted for identifying and analyzing the application of knowledge-based approaches in software architecture, covering the papers from major databases, journals, conferences, and workshops, published between January 2000 and March 2011.

\textbf{Results:} Fifty-five studies were selected and classified according to the architecting activities they contribute to and the knowledge-based approaches employed. Knowledge capture and representation (e.g., using an ontology to describe architectural elements and their relationships) is the most popular approach employed in architecting activities. Knowledge recovery (e.g., documenting past architectural design decisions) is an ignored approach that is seldom used in software architecture. Knowledge-based approaches are mostly used in architectural evaluation, while receive the least attention in architecture impact analysis and architectural implementation.

\textbf{Conclusions:} The study results show an increased interest in the application of knowledge-based approaches in software architecture in recent years. A number of knowledge-based approaches, including knowledge capture and representation, reuse, sharing, recovery, and reasoning, have been employed in a spectrum of architecting activities. Knowledge-based approaches have been applied to a wide range of application domains, among which “Embedded software” has received the most attention.

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1. Introduction

Software architecture (SA) has emerged in the early 1990s as a distinct discipline within software engineering (SE) and entered its golden age a decade later [1,2]. SA is defined in the ISO/IEC IEEE 42010 standard as the “fundamental concepts or properties of a system in its environment embodied in its elements, relationships, and in the principles of its design and evolution” [3]. We adopt this definition for the current study; we further discuss more details about the process of architecting in Section 2.1.1.

Knowledge management (KM) technologies have been employed across the spectrum of SE activities for more than two decades [4,5], for example in requirements elicitation [6], architecture evaluation [7], software testing [8], and software documentation [9]. In recent years, the SA community has paid increasing attention to the application of KM in the architecting process [10], establishing the field of architectural knowledge (AK). This has resulted in acknowledging that the most important types of AK, architectural design decisions (e.g., choosing a particular architectural pattern for a design issue) and design rationale should be treated as first-class entities in SA [11,12].

In the field of AK, a number of KM approaches and tools have been developed for efficiently and effectively improving the practice of software architecting [13,14]. Software architecting is essentially a knowledge-intensive process that is composed of several activities, e.g., architectural analysis, synthesis, and evaluation [15]. Architecting activities are mainly conducted by an architect in collaboration with a set of stakeholders involved towards the construction of the architecture of a software-intensive system. Knowledge-based approaches, such as knowledge sharing and reuse, can be used to facilitate architecting activities. For instance, knowledge about the use of specific architectural patterns in a system development can be shared and reused during architectural synthesis of a similar system. In order to make systematic use of knowledge-based approaches to facilitate architecting activities and develop appropriate methods for using knowledge-based approaches in SA, it is necessary to have a clear understanding on the state of the art of the application of knowledge-based approaches in software architecture. To the best of our knowledge, there is currently no study on what knowledge-based approaches have been employed in what architecting activities, and on the gaps in the existing application of these approaches to various architecting activities. Note that the “application” of knowledge-based approaches in this study does not limit to the practical application of knowledge-based approaches in architecting, but the use of knowledge-based approaches in architecting in both industry and research, for the purpose of a wide coverage of this study. In addition, the comprehensive understanding by this study can also identify the needs for applying specific knowledge-based approaches in architecting and which architecting activities require more exploration on the application of knowledge-based approaches, thereby proposing promising research directions.

To address this issue, we conducted a systematic mapping study (or shortly mapping study) on the application of knowledge-based approaches in SA. A systematic mapping study is a form of secondary study aimed at getting a comprehensive overview on a certain research topic, identifying research gaps, and collecting evidence in order to direct future research [16,17]. It allows the studies in a domain to be plotted at a high level of granularity thereby answering broader research questions regarding the current state of the research on a topic [16]. Another form of secondary study is a systematic literature review (SLR), which targets to identify, evaluate, and interpret all available studies to answer particular research questions, which require more in-depth analysis [16]. We selected to perform a mapping study instead of a SLR since the involved domains, i.e., software architecture and knowledge-based approaches, are quite broad areas. Our focus is not on some particular aspects of the involved domains, but the combination of two domains.

The outcomes of this mapping study are the identified studies with different levels of evidence and a classification and a thematic analysis of existing approaches on the application of knowledge-based approaches in SA. This will in turn identify the gaps in the existing application of knowledge-based approaches to various architecting activities. This mapping study was performed following the guidelines for performing SLRs in software engineering proposed in [16]. Although these guidelines are dedicated to performing SLRs, they can also be used for conducting mapping studies if certain deviations are made. The most important difference
between the process of this mapping study and the guidelines in [16], is that study quality assessment was not used as a criterion for study selection. The reason is that study quality assessment is not essential in a systematic mapping study, but all papers related to the topic of the mapping study should be selected. We performed a simplified study quality assessment and considered it as a means of reducing conclusion validity of this mapping study.

The rest of this paper is organized as follows: Section 2 describes the context, research questions, and execution steps of this mapping study. Section 3 presents the synthesis results of the extracted data from the selected studies and answers the research questions. Section 4 discusses the threats to validity of this mapping study. Section 5 comprises a discussion of the results and their implications, with conclusions in Section 6.

2. Mapping study process

The context of this study, including the involved domains (software architecture and knowledge management) and the research questions, is discussed in Section 2.1. The detailed process of this mapping study is presented in Section 2.2.

2.1. Context and research questions

To clarify the scope of this mapping study, several key concepts need to be explained before formulating the research questions. Architecting activities that comprise the architecting process and knowledge-based approaches in knowledge management are the core concepts of this mapping study. We first describe the architecting activities and knowledge-based approaches, and then define the research questions of this mapping study.

2.1.1. Architecting activities

During the architecting process, architects perform various activities for different purposes towards the construction of the architecture of a software-intensive system. Hofmeister et al. defined a general model of architecture design including three activities, i.e., architectural analysis, architectural synthesis, and architectural evaluation [15]. The first one concerns the problem space of architecture design, while the second and third activities concern the solution space. The definitions of these architecting activities are presented below:

- Architectural Analysis (AA): examining, filtering, and/or reformulating architectural concerns and context in order to come up with a set of architecturally significant requirements (ASRs) [15]. This activity aims to define the problems that an architecture needs to address.
- Architectural Synthesis (AS): proposing a collection of architecture solutions to address the ASRs that are identified during AA [15]. This activity essentially links the problem to the solution space.
- Architectural Evaluation (AE): evaluating the candidate architectural solutions that are proposed during AS against the ASRs [15]. This activity helps to detect potential drawbacks on candidate architectural solutions and selects appropriate solutions for ASRs by making decisions and tradeoffs.

Tang et al. extended this general model to five architecting activities in the architecture lifecycle with architectural implementation and architectural maintenance [14]. The definitions of these two architecting activities are listed below:

- Architectural Implementation (AI): refining architecture design into detailed design, and then implementing the design in code [14]. This activity implements the software system according to the architecture design.
- Architectural Maintenance and Evolution (AME): correcting faults, adapting to a changed or changing operational environment, and implementing new requirements in an architecture [18,19]. This activity ensures the consistency and integrity of the architecture during the next product releases.

Please note that we have combined architectural maintenance and evolution in the same activity. We adopt the following definitions: architectural maintenance is about correcting faults and adapting to a changed or changing operational environment [18], while architectural evolution focuses on implementing new requirements [19,20].

The five architectural activities mentioned above cover the entire architecture lifecycle. We call them specific architecting activities to distinguish them from general activities described later. General architecting activities can be performed across the architecting process to support architects in achieving the goals of specific architecting activities. We identified the following general architecting activities:

- Architecture Recovery (AR): uncovering architecture design and related design decisions based on existing implementation and documentation of the system [21]. This activity transforms existing architectures from implicit to explicit.
- Architecture Description (AD): documenting an architecture using a collection of elements, such as architecture views and models. This activity codifies architecture in a consistent way. The main goals of AD are facilitating the expression and evolution of software systems, providing a blueprint for system development, and supporting the communication among stakeholders [19].
- Architecture Understanding (AU): comprehending the elements of an architecture design and their relationships, as well as the corresponding design decisions (why the architecture is designed the way it is). This activity helps architects and concerned stakeholders to acquire thorough knowledge about an architecture. The difference between AR and AU, is that the information made explicit during AR is used as input to AU and gets transformed into knowledge.
- Architecture Impact Analysis (AIA): identifying the architectural elements affected by a change scenario, including directly-affected and indirectly-influenced parts of an architecture [22]. The outcome of this activity helps architects understand the dependencies between the changed parts and the affected parts of an architecture.
- Architecture Reuse (ARU): using existing architectural assets, such as architectural design elements, decisions, patterns, and other assets, in the solutions addressing various architecting problems [23]. By performing this activity, architectures of better quality can be achieved at lower cost.

Note that, as described in Section 2.2.1.2, we conducted a trial study search before the formal study search of this mapping study. These general architecting activities were identified according to the results of the trial study search. We started with this initial list, with the option of adding other general architecting activities identified during the search process. Eventually, we did not identify other general architecting activities during the formal study search.

As mentioned before, the general architecting activities can be used to facilitate specific architecting activities during the architecting process. Based on our own understanding and experience on the architecting activities, we outline what the primary support that each general architecting activity can provide to a specific
architecting activity in Table 1. AR can support evolving a legacy system or a system without a well-documented architecture during AME; ADp can be used to record the architecture design and related decisions with the rationale behind them during AS; AU can help architects to get a fair understanding for analyzing, evaluating, implementing, maintaining, and further evolving a system (i.e., support for AA, AE, AI and AME); AIA can assist architects to identify affected architectural elements when a new design decision is added or an existing design decision is changed during AS and AME, and when analyzing if a new requirement is an ASR (i.e., support for AS, AME, and AA); and ARu is performed to use the existing architectural assets to address similar problems during AS. Note that other types of secondary support may exist from general to specific architecting activities but are not discussed here. Our goal here is not to exhaust all possible types of support from general to specific architecting activities but to present and explain the potential support from general to specific architecting activities.

2.1.2. Knowledge-based approaches

A knowledge-based approach in this study refers to any approach from KM that can directly contribute to the architecting process. We identified five such approaches, i.e., knowledge capture and representation, reuse, sharing, recovery, and reasoning, from two previous survey papers on AK [13,14]. These approaches are described below.

- **Knowledge Capture and Representation (KCR)** extracts knowledge from diverse sources as well as its acquisition directly from the stakeholders, and expresses knowledge in certain forms so that the knowledge can be used for automatic or human reasoning. On one hand, knowledge representation accompanies knowledge capture since the knowledge should be represented in a certain form when captured; on the other hand, knowledge capture may happen during knowledge representation. For instance, when one uses a conceptual model to transform (e.g., annotate) implicit knowledge to explicit knowledge, knowledge capture takes place at the same time. We thus consider knowledge capture and knowledge representation as a combined knowledge approach.
- **Knowledge Reuse (KR)** applies existing knowledge (e.g., architectural patterns) in a particular context for various purposes [24].
- **Knowledge Sharing (KS)** exchanges knowledge (e.g., skills or expertise) among individuals in a community or an organization.
- **Knowledge Recovery (KRv)** recovers explicit knowledge from tacit knowledge, e.g., decision rationale that is not documented. In KM theory, knowledge is classified into two types: tacit knowledge which resides in people’s head, and explicit knowledge which is codified in a certain form [25].
- **Knowledge Reasoning (KRs)** draws conclusions and derives new knowledge from existing knowledge through inference. An example is reasoning based on the rationale knowledge of the existing architectural design decisions to make new decisions addressing new or modified design issues.

The aforementioned knowledge-based approaches can be mapped on the knowledge activities in a KM framework proposed by Maryam Alavi et al. to analyze KM systems [26]. This framework includes four basic knowledge activities: knowledge creation, knowledge storage/retrieval, knowledge transfer, and knowledge application. In this paper, we do not consider knowledge retrieval, as it does not directly contribute to the architecting process: it concerns the methods of knowledge access and is thus a supporting activity for the other knowledge activities. The rest of the basic knowledge activities are regarded to make direct contribution to the architecting process. First, new knowledge is created when the architect devises solutions for architecture problems. Second, knowledge storage preserves various types of knowledge on architecture in a certain form. This facilitates the reasoning on existing knowledge to solve new architecture issues and supports the reuse of the existing knowledge to address similar issues. Third, knowledge transfer is a prerequisite for knowledge application. Existing knowledge (e.g., best practices) needs to be transferred to the architect in order to be applied to solve a problem. Finally, knowledge application is to (re)use the existing knowledge to tackle architecture issues. Each knowledge-based approach can be mapped on one of the basic knowledge activities in the KM framework in [26] according to its functionality (see Table 2).

### Research questions

The overall goal of this mapping study is to get an overview of existing research on the application of knowledge-based approaches introduced in Section 2.1.2 in architecting activities. To obtain a detailed and comprehensive view on this topic, this high-level goal is decomposed into four research questions (RQs):

- **RQ1**: Which knowledge-based approaches are applied in the architecting activities?
  
  **Rationale**: Architecting is a knowledge-intensive process, and different knowledge-based approaches have been used in this process. We want to know which knowledge-based approaches are used and how often each knowledge-based approach is used in the architecting activities. This information can help us to identify the gaps of the application of various knowledge-based approaches and the needs for applying specific knowledge-based approaches.

- **RQ2**: In which architecting activities have knowledge-based approaches been applied?
  
  **Rationale**: Various architecting activities may have specific needs on different knowledge-based approaches. We want to know in which architecting activities the knowledge-based approaches have been applied and how often the knowledge-based approaches have been applied in each architecting activity. This information can help us to identify the gaps of the application of knowledge-based approaches over various architecting activities and to identify which architecting activities require more exploration on the

| Table 2 Mapping from knowledge-based approaches to knowledge activities. |
|--------------------------|--------------------------|
| Knowledge-based approach | Knowledge activity in the KM framework in [26] |
| Knowledge Capture and Representation (KCR) | Knowledge storage |
| Knowledge Reuse (KR) | Knowledge application |
| Knowledge Sharing (KS) | Knowledge transfer |
| Knowledge Recovery (KRv) | Knowledge creation |
| Knowledge Reasoning (KRs) | Knowledge creation |
application of knowledge-based approaches. The difference between RQ1 and RQ2 is that the former is centered around knowledge-based approaches, while the latter is centered around architecting activities.

RQ3: In which sources and in which years have the studies of the application of knowledge-based approaches in the architecting activities been published?

Rationale: The topic of this mapping study is broad and there should be a number of venues to publish the related studies. In addition, the research on the study topic has been carried out for decades. We want to get an understanding on whether there are specific publication venues for these studies and when the effort regarding the study topic was made. This information can help us to identify the leading publication venues where the authors can better disseminate their research results and the trend of the number of published studies in this topic.

RQ4: In which application domains have knowledge-based approaches been applied to architecting activities?

Rationale: The use of knowledge-based approaches in architecting activities may take place in various application domains, such as embedded systems and financial software. By answering this question, we want to know what application domains the knowledge-based approaches have been applied to and how often the knowledge-based approaches have been applied to each domain. This information can help us to identify which application domains have gained more interest in applying knowledge-based approaches.

2.2. Mapping study execution

This section describes the process of this mapping study, which is largely based on the guidelines for performing SLRs proposed in [16], but with a deviation. As mentioned in the Introduction Section, the quality assessment of the selected studies was not used as a criterion for study selection.

This mapping study covered five main tasks across four phases as illustrated in Fig. 1. The task of study selection includes three sub-tasks, i.e., selection by title (the first round selection), selection by abstract (the second round selection), and selection by full text (the final round selection). The next round study selection refined the results of the previous round study selection. In phase 1, the study search was performed and, meanwhile, the study selection by title was conducted. In phase 2, we did the study selection by abstract based on the results of the study selection by title. In phase 3, we read the full text of all the papers filtered in the study selection by abstract. To make the review more efficient, we simultaneously conducted three (sub-) tasks: the study selection by full text, study quality assessment, and study data extraction. This means, when reading a paper, we made the final decision on whether a paper should be selected or not. If this paper was finally selected, we assessed its quality and extracted the data from it. In this way, we only needed to read the paper once for performing the three (sub-) tasks. We synthesized the extracted data in phase 4 to answer the research questions. The following subsections elaborate on the main tasks of this mapping study.

2.2.1. Study search

We employed two search methods: the automatic search and the manual search. With the automatic search method, we searched studies in an electronic database (e.g., IEEEXplore) with search terms by the search engine provided by this database. The search engine checks the search terms against the metadata, including the title, abstract, and keywords, of each paper in the database. With the manual search method, we browsed all the papers within the time period specified in Section 2.2.1.1 in target venues (i.e., the journals, conferences, and workshops listed in Tables 4–6, respectively) without using search terms but by using the names of the target venues. The use of an automatic search ensures a high coverage (i.e., retrieving studies in as many venues as
possible) of potentially-relevant studies by searching electronic databases using search terms. On the other hand, it may provide many irrelevant studies. Manual search aims at increasing the completeness (i.e., deriving as many studies as possible in target venues) of potentially-relevant studies in target journals, conferences, and workshops, which are of high relevance to the study topic. Although most of the target venues are indexed by the included databases, the manual search is complementary instead of repetitive to the automatic search: the relevant studies published in the target venues may be filtered out in the automatic search, but are likely to be found in the manual search. Moreover, some target venues (e.g., SEKE and IJSER) are not indexed in the included databases, and the manual search therefore may retrieve some relevant studies that the automatic search cannot find. The results of manual search are independent of the results of the automatic search, thus these two search methods can be performed in an arbitrary sequence in this mapping study. In the rest of this section, we first scope the time period and publication sources of the study search, and then present the search strategy used in this mapping study.

2.2.1.1. Search scope. This subsection describes the search scope of this mapping study, including time period and search sources. We include a number of electronic databases (listed in Table 3), journals (listed in Table 4), conferences (listed in Table 5), and workshops (listed in Table 6) that are relevant to the study topic.

- Time period

We scope the time period of the related studies published from January 2000 to March 2011. March 2011 is the end time of the period since it was the time that we started this mapping study. According to the description in [2] by Shaw and Clements, software architecture started to become popular around the year 2000. Therefore, we chose January 2000 as the starting time of the period.

- Electronic databases

As shown in Table 3, six electronic databases were included in this mapping study. According to the results in [27], these six databases are the most popular ones in computer science and engineering that ensure a high coverage of potentially-relevant studies. Even though EI Compendex is considered as a very important source, it was not included as it is not accessible in our university. In addition, many venues indexed by EI Compendex are also indexed by other databases. We did not include Google Scholar since the search results of Google Scholar tend to be repetitive with the search results from the included electronic databases, and its unique contribution to study search is unclear [27].

- Journals, conferences, and workshops

A set of journals (Table 4), conferences (Table 5), and workshops (Table 6) that are of high relevance with the study topic were included. Two criteria for selecting the publication venues are that (1) they should be highly relevant to SA or both SA and KM and (2) they are leading journals, conferences, and workshops in the study area. Conferences such as C3, C4, and C5 and workshop W1 were reasonably chosen as the sources in this mapping study since they are top conferences and unique workshop on SA and knowledge-based SA. As SA is a significant sub-area of software engineering (SE), papers on SA are usually published in journals and conferences in SE. Therefore, the publication venues in SE or both SE and KM should be included. Such publication venues include journals J1, J2, J3, J4, J5, J6, J7, J8, J10, and J11, and conferences C1 and C2. Workshop W2 was included because it is a workshop about requirements knowledge, which has a close relationship to architectural analysis, especially in terms of architecturally significant requirements. Conferences C6 and C7 were selected because studies on architectural maintenance and evolution can be published in these two conferences. In addition, journal J9 focuses on software quality where research on knowledge-based approaches to improve architecture quality can be published.

2.2.1.2. Search strategy. Search strategy is important for a mapping study, since it affects the quality and completeness of retrieved studies and the effort we need to spend. The search strategy and steps in this mapping study are described below:

Step 1: The preliminary search terms were identified according to the study topic and the research questions. The search terms used to retrieve relevant studies in the automatic

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search were formed in Steps 1 and 2. Similar in [28], we adopted the PICO (Population, Intervention, Comparison, Outcomes) criteria to formulate the search terms. Population includes the terms about architecture; intervention includes knowledge-related terms; and outcomes include the terms relevant to architecting activities. The comparison part is not applicable in this mapping study because this mapping study does not involve the comparison of the knowledge-based approaches and other types of approaches [16].

Step 2: Trial searches using various combinations of search terms were performed. The search terms were improved according to the results of the trial searches. The trial results inspired us to come up with some missing terms and synonyms of existing terms. Both types of terms were added when performing formal searches. We got the terms included in the three parts listed below:

- **Population**: architecture, architectural, architecting.
- **Intervention**: knowledge, semantic, rationale, reasoning, decision, information.
- **Outcomes**: architecture design, architectural design, architectural analysis, architectural analysis, architecture synthesis, architectural synthesis, architecture evaluation, architectural evaluation, architecture maintenance, architectural maintenance, architecture implementation, architectural implementation, architecture recovery, architectural recovery, architecture documentation, architectural documentation, architecting process, architectural preservation, architectural preservation, architectural variability, architectural variability, architecture description, architectural description, architecture understanding, architectural understanding, impact analysis, architecture evolution, architectural evolution.

We used Boolean operator OR to join alternate words and synonyms in each part (i.e., population, intervention, outcomes), and used Boolean operator AND to join the terms from the three parts respectively. The full search string is like this:

(architecture OR architectural OR architecting) AND (knowledge OR semantic OR rationale OR reasoning OR decision OR information) AND (“architecture design” OR “architectural design” OR … [each term in the Outcomes]).

To explain the use of the terms and Boolean operators in actual searches, we take the advanced search in IEEEExplore database as an example. We fill in the first field (i.e., the first textbox) in the IEEEExplore search interface with the string “architecture OR architectural OR architecting” and the second field with the string “knowledge OR semantic OR rationale OR reasoning OR decision OR information”. We divide the terms in Outcomes into small groups with two terms each and fill in the third field with one group at a time. The terms in a group are joined by the Boolean operator OR. The three fields are joined by AND. The reason we partition the outcome terms into small groups is that there are many terms in Outcomes, and the returned results will be too many to judge in a reasonable length of time if we fill in the third field with the long string covering all the terms in Outcomes. In other words, a search in IEEEExplore database is composed of a number of small searches. Note that, generally, a search field in the search interface of a specific database has a limitation on the string length or the number of search terms. Thus, a search is often divided into a number of small searches.

Step 3: Formal searches, including automatic and manual searches, were conducted. Meanwhile, the first round study selection was performed accompanying the study searches. The study selection criteria are specified in Section 2.2.2.1. The results of the first round selection of the two types of searches were recorded, and then were merged after removal of duplicated selection results as the input for the second round study selection.

### 2.2.2. Study selection

To make the study selection results objective, we defined selection criteria that were employed in the study selection process. In addition, in the second and final round study selections, two reviewers conducted the selection in parallel and harmonized their selection results to mitigate the personal bias in selection results caused by individual reviewers.

#### 2.2.2.1. Selection criteria

The inclusion and exclusion criteria are used in the three rounds of study selections to decide whether a study should be included or not.

**Inclusion criteria**

1. The paper is about architectures of software-intensive systems rather than hardware or building architecture. (Some papers on hardware or building architecture may be retrieved in the results of automatic searches.)
2. The paper employs at least one knowledge-based approach to address the problems in architecting activities.

**Exclusion criteria**

1. The paper, in which none of knowledge-based approach is applied or software architecting is not the focus, is excluded.
2. The paper that is published in the form of abstract, tutorial, or talk is excluded.

Before the study selection, we conducted a pilot selection to ensure that all the reviewers had a consensus on the understanding of these selection criteria. The inclusion criterion I1 is applied in the first and second rounds of study selection but not in the final round since the abstract of a paper has provided enough information to judge whether the paper is really about software architecture or not. The exclusion criterion E2 is not applicable in the first round of study selection as we cannot know the publication type of a paper, i.e., published as a full paper, abstract, tutorial, or talk, by reading its title. The inclusion criterion I2 and exclusion criterion E1 are applicable and used in all the three rounds of study selection.

#### 2.2.2.2. First round study selection

As illustrated in Fig. 1, study selection is divided into three sub-tasks and each sub-task was performed in different phases. As mentioned in the second paragraph of Section 2.2, we performed the first round study selection along with study search. We checked the title of each paper against the inclusion criteria I1 and I2, and the exclusion criterion E1. If there was any doubt whether a paper was relevant or not, it was included for the next round selection.

#### 2.2.2.3. Second round study selection

We read the abstracts of the papers that were left after the first round selection and checked them against the inclusion criteria I1 and I2, and the exclusion criteria E1 and E2. Selection results were verified by two reviewers and any disagreements among the reviewers were discussed and resolved. If a resolution of the disagreement is impossible to achieve at this stage, the paper was included. If it is difficult to judge whether a paper should be included or not, the paper was included for the next round selection.
Table 7
Questions on study quality assessment.

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<td>How much evidence of the proposed method is available?</td>
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<td>Q2</td>
<td>Is there a clear statement of the aims of the research?</td>
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<tr>
<td>Q3</td>
<td>Is there a clear statement of what the knowledge-based approach is?</td>
</tr>
<tr>
<td>Q4</td>
<td>Is there an adequate description of what architecting activity the</td>
</tr>
<tr>
<td></td>
<td>knowledge-based approach is applied to?</td>
</tr>
<tr>
<td>Q5</td>
<td>Are the limitations of the study discussed explicitly?</td>
</tr>
</tbody>
</table>

2.2.2.4. Final round study selection. We read the full text of the papers left by the second round selection and employed the inclusion criterion I2 and the exclusion criteria E1 and E2 to decide whether the papers will be finally included. In this round of study selection, we also checked whether multiple selected papers published the same study. If two papers publish the same study in different venues (e.g., in a conference and a journal, respectively), the mature one gets selected, and the less mature one (i.e., the one published in a conference) is excluded. Again, we discussed any disagreements on selection results and achieved consensus on the final selection results.

2.2.3. Study quality assessment

Quality assessment of all selected studies is important for the quality of data extraction and synthesis of the mapping study results. All the finally-selected studies underwent such an assessment against a set of questions regarding the evidence level of results. All the finally-selected studies underwent such an assessment against a set of questions regarding the evidence level of results. All the finally-selected studies underwent such an assessment against a set of questions regarding the evidence level of results.

2.2.4. Data extraction

To answer the RQs defined in Section 2.1.3, we extracted specific data from the selected studies. Table 8 describes the data items to be extracted in this mapping study. The first five data items (D1–D5) and the data item D7 directly contribute to the answers of the RQs. The data item D6 supports the explanation of the results of this mapping study in Sections 3.2 and 3.3. To make sure the data extraction results less biased, two reviewers performed the data extraction independently, and then each reviewer checked the data extraction results by the other reviewer, and finally two reviewers achieved a consensus on the data extraction results.

2.2.5. Data synthesis

Data synthesis targets to synthesize the extracted data to answer the RQs. This task will be detailed in Section 3.

3. Study results

We performed the mapping study according to the steps described in Section 2.2. We first present an overview of the study results, and then analyze the results of this mapping study to answer the RQs defined in Section 2.1.3.
3.1. Overview of results

The study search and selection results, and the study results distribution are presented in this section.

3.1.1. Search and selection results

Fig. 2 presents the study search and selection results in the three rounds of selection. In the search phase, we retrieved 16,144 papers, including 3036 papers from the automatic searches in electronic databases and 13,108 papers from the manual searches in target journals, conferences, and workshops (i.e., all the papers published in the target sources between 2000 and 2011). 409 studies were left after the first round study selection. 296 studies were excluded in the second round study selection and 113 studies were left for the final round study selection. Finally, we got 55 studies selected.

3.1.2. Study results distribution

By analyzing the data extracted from the 55 selected studies, we get an overview of the study results distribution. As shown in Fig. 3, a map is used to present the results distribution on the study topic “Application of Knowledge-based Approaches in Software Architecture (AKASA)” over the range of architecting activities, knowledge-based approaches, and time period. In the left part of Fig. 3, a bubble represents one study or several studies on an architecting activity published in a certain year. In the right part of Fig. 3, a bubble denotes one study or several studies applying a certain knowledge-based approach in an architecting activity. The numbers in a bubble are the identification numbers of the corresponding studies in the 55 selected studies as listed in Appendix A. For instance, the left-top bubble in the right part of Fig. 3 denotes that the 6th, 40th, and 48th studies are about the application of knowledge reuse in the architecture reuse activity. In the rest of the paper, study Sn denotes the nth study in the 55 selected studies. The detailed analysis of this map (Fig. 3) is presented in the rest of this section.

3.2. Knowledge-based approaches in architecting activities

This subsection gives the answer about which knowledge-based approaches are applied in various architecting activities. Looking at the map (Fig. 3) from the perspective of knowledge-based approach dimension, we get the distribution of selected studies over knowledge-based approaches in Fig. 4. This figure

![Diagram](image-url)
shows that knowledge-based approaches KCR, KR, KS, KRs, and KRv are all used in architecting activities, but there is a significant difference in terms of the popularity of these knowledge-based approaches.

Knowledge Capture and Representation (KCR) is most frequently used in architecting activities among the five knowledge-based approaches. KCR is used in 42 studies out of total 55, which means 76.4% of the total studies employ this knowledge-based approach in various architecting activities. Knowledge Recovery (KRv) and Knowledge Sharing (KS) are seldom used. More specifically, KRv is used in only three studies out of total 55 (i.e., 5.5%), and KS is used in five studies out of total 55 (i.e., 9.1%). Knowledge Reuse (KR) and Knowledge Reasoning (KRs) rank second and third respectively among the knowledge-based approaches in terms of the popularity. Comparing with KCR, these two approaches are merely employed in a small number of studies, but these two approaches are used more than twice as much as KS and KRv.

Knowledge sharing is seldom employed in architecting activities. In the study selection process, we did retrieve a number of papers that mentioned knowledge sharing, but most of them are about AK sharing tools (such as [32–34]), how to better share knowledge for certain purposes (e.g., [35]), or using various knowledge sharing models (e.g., [36,37]), instead of how to improve architecting activities with knowledge sharing. There are only three selected studies using knowledge recovery to support architecting activities. To be specific, S1 uses semantic annotation, which is a method of knowledge recovery, to facilitate refactoring architecture artifacts for maintaining the system quality during AME; S15 proposes Archtectural Design Decision Recovery Approach (ADRA) to recover architectural design decisions for the purpose of improving architecture documentation (note that ADRA is also a method for architecture recovery); S39 presents an approach to recover implicit assumptions in architecture design to support AME.

Fig. 5 shows the distribution of the selected studies using KCR over architecting activities. KCR is widely employed in all architecting activities within the scope of this mapping study. We are not surprised by this result because the output of KCR provides the basis for using other knowledge-based approaches in architecting activities. For example, one of the prerequisites of using knowledge sharing, reasoning, and reuse is the existence of captured knowledge that is represented in certain forms. However, there are significant differences in the popularity of the KCR application in various architecting activities. Specifically, KCR is more popular in AE, AS, ADp, and AU, but is seldom employed in AIA and AA. This is partly because KCR is frequently used to capture and represent architectural knowledge for various purposes in AE, AS, ADp, and AU. Another reason is that ADp and AU require the architecture to be represented in a certain form for better description and further easier understanding. Finally, AIA and AA have received little attention in using knowledge-based approaches, thus KCR is seldom employed in these two architecting activities.

### 3.3. Architecting activities using knowledge-based approaches

This subsection elaborates on which architecting activities, knowledge-based approaches have been applied in.

Analyzing the map (Fig. 3) from the perspective of architecting activity dimension, we get the distribution of selected studies over architecting activities. As shown in Fig. 6, all the architecting activities (including general and specific architecting activities) employ knowledge-based approaches. However, significant differences in the study distribution exist over the ten architecting activities. Knowledge-based approaches are mostly used in AE with eighteen selected studies. In contrast, only two studies address the problems in AIA.

As revealed in Fig. 6, AIA is not a well-explored research area in architecting activities in terms of the application of knowledge-based approaches. S4 proposes a meta-model of architectural design decisions to make the design decision knowledge explicit (a method of KCR), based on which an algorithm for AIA is designed to automatically identify all the architectural elements affected by a changed architectural design decision; S17 employs KCR and KR to make explicit the architectural design decisions and their relationships, based on which the results of AIA are more reliable. These two studies both consider architectural design decisions as first-class architecture elements and perform AIA from the perspective of changing architectural design decisions. We argue that KS and KR should receive more attention in AIA, as the knowledge about AIA of existing architectures can facilitate the AIA of similar architectures (e.g., the architecture of software product lines). Consider a product line and concrete Products A and B. Performing AIA...
based on a requirement change in Product A can benefit from reusing AIA knowledge from Product B, and vice versa.

Architectural implementation (AI) also receives little attention on using knowledge-based approaches. There are only three studies in this area. Two (S24 and S41) of them focus on object-oriented design and the third one (S48) concentrates on service-oriented architecture. To improve object-oriented design (i.e., architecture implementation in object-oriented design) using the accumulated knowledge systematically and effectively, S24 proposed a method based on a defined rules catalog (that unifies various knowledge such as heuristics, principles, and bad smells) and the relationships between rules and patterns. S41 represents the successful design experience in cases (a method of KCR) and employs Case-Based Reasoning approach to implement architectures in object-oriented design by reusing the cases. S48 introduces an AK base on wireless services, as a means of sharing and reusing existing AK, to improve the quality of service-oriented architecture (SOA) implementation and speed up the SOA development with decreased cost. In the area of AI, the design and development communities have gained much experience on how to implement various architectures. Knowledge-based approaches can help designers and developers to capture, represent, share, and reuse their experiences on AI. For example, with knowledge-based approaches, designers are able to extract architecture patterns and pattern using context in the form of knowledge from past designs to facilitate the understanding and implementation of composing solutions (e.g., combination of patterns) that achieving specific quality attributes.

Researchers and practitioners have put most effort on AE and AS using knowledge-based approaches, with eighteen and fifteen selected studies, respectively. As mentioned in Section 2.1.1, AA, AS, and AE are the three main architecting activities in the model of architecture design proposed by Hofmeister et al. [15]. AS aims to propose architecture design alternatives for ASRs. AE makes sure that the selected architecture design is an appropriate one. These two architecting activities are essential to construct the final architecture. AA aims at defining the problems that an architecture should address with a special focus on identifying ASRs. However, AA received relatively less attention on using knowledge-based approaches with only five selected studies. This situation implies that knowledge-based approaches are considered important and useful to improve the practices in the solution space (i.e., AE and AS), but are not well-explored in terms of their application in the problem space (i.e., AA) of architecture design.

### 3.4. Study classifications by publication venue and year

This subsection gives details about which sources and in which years the selected studies of this mapping study have been published.

#### 3.4.1. Classification by publication type and source

The selected studies were published in four publication types: Conference, Journal, Workshop, and Book Chapter. Table 9 shows the distribution of selected studies over publication types. Conference, Journal, and Workshop are three main publication types and they are with 45.45% (25 studies), 30.91% (17 studies), and 21.82% (12 studies) of the selected studies, respectively. Only one study was published as a Book Chapter. Table 10 presents the publication sources of all the selected studies, their types, number of studies, and their corresponding proportion against the total number of selected studies. Overall, 30 publication sources are identified which means this study topic has received wide attention in the SA research community. One observation is that there are one leading Workshop (SHARK), Conference (WICSA), and Journal (JSS) respectively as the publication venues for this study topic.

#### 3.4.2. Classification by publication year

Fig. 7 presents the distribution of selected studies published from year 2000 to 2010. We did not plot the data of year 2011 in this figure because the data of 2011 is incomplete (covering only the studies of the first quarter). This distribution figure provides the SA community a clear message on the trend of the number of the published studies on knowledge-based approaches in SA. Overall, the number of selected studies in this topic has been increasing with little fluctuation from 2000 to 2010. This trend shows that the application of knowledge-based approaches is receiving increasing attention in SA community. Except year 2001, at least one study was published during the other years. Since 2004, there were at least four studies published each year. One reason for this could be that the software architecture community started a paradigm shift the year 2004 towards addressing architectural design decisions as first class entities in architecture design with their associated architectural knowledge (e.g., design rationale) [38,39].

### 3.5. Application domains

This subsection presents the application domains where knowledge-based approaches have been applied to, with a special focus
on the studies with industrial evidence, i.e., the evidence obtained from industrial practice or industrial cases.

As shown in Table 11, 18 studies did not specify explicitly the application domains and the rest of the studies are classified into 13 application domains. Note that, if a study does not provide related information about its application domain, we classify this study into the domain “not specified”. The application domain “Embedded software” has received the most attention in applying knowledge-based approaches in SA. For instance, S27 proposed a knowledge-based quality-driven architecture design and evaluation approach, which was validated in the architecture design and evaluation of a secure middleware for embedded peer-to-peer systems.

To investigate industrial relevance, we further looked into which of the studies were industrial. We identified that 15 selected studies reach the evidence level 5 (i.e., evidence obtained from industrial studies) or above (i.e., the studies with score 0.8 and 1.0 in Q1 of Table 13). The application domain distribution of these studies is presented in Table 12. Studies with industrial evidence were conducted in eight application domains. The domain “Financial software” has received the most attention in applying knowledge-based approaches in industry. However, each domain has only few studies (i.e., no more than three).

4. Threats to validity

The results of this systematic mapping study may be influenced by the coverage of study search, bias on study selection, and inaccuracy in study data extraction. Therefore, four types of threats to the validity of the study results are discussed in the following subsections.

4.1. Conclusion validity

Conclusion validity (a.k.a. reliability) is concerned with whether the mapping study can be repeated by other researchers and get
the same results [40]. To make the results of this mapping study reproducible, the search terms used in automatic search and the search sources for both automatic and manual searches are presented. Moreover, inclusion and exclusion criteria for study selection are also defined. However, different researchers tend to have different understandings on these criteria, thus the results of study selection performed by various researchers are likely to be varied. To reduce the bias on study selection results, a pilot selection was performed to ensure that the reviewers reached a consensus on understanding the criteria. Also, the study protocol was discussed among researchers to ensure a common understanding on study selection. Furthermore, in the second and final round study selections, two reviewers conducted the selection process in parallel and independently, and then harmonized their selection results to mitigate the personal bias in study selection caused by individual reviewers.

The inaccuracy of the data extraction results may negatively affect the classification results of the selected studies. The quality

<table>
<thead>
<tr>
<th>Application domain</th>
<th>No. of studies</th>
<th>Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not specified</td>
<td>18</td>
<td>S5, S6, S19, S20, S21, S22, S24, S25, S28, S29, S32, S33, S34, S35, S38, S47, S53, S55</td>
</tr>
<tr>
<td>Embedded software</td>
<td>7</td>
<td>S14, S27, S30, S37, S41, S51, S55</td>
</tr>
<tr>
<td>E-commerce system</td>
<td>4</td>
<td>S2, S9, S18, S39</td>
</tr>
<tr>
<td>Information management system</td>
<td>3</td>
<td>S1, S26, S36</td>
</tr>
<tr>
<td>Financial software</td>
<td>3</td>
<td>S3, S44, S52</td>
</tr>
<tr>
<td>Aerospace software</td>
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<td>S8, S11, S49</td>
</tr>
<tr>
<td>Astronomy software</td>
<td>3</td>
<td>S12, S17, S42</td>
</tr>
<tr>
<td>Automatic control software</td>
<td>3</td>
<td>S7, S13, S31</td>
</tr>
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<td>S4, S23</td>
</tr>
<tr>
<td>Distributed system</td>
<td>2</td>
<td>S10, S50</td>
</tr>
<tr>
<td>Education software</td>
<td>2</td>
<td>S15, S43</td>
</tr>
<tr>
<td>Image processing software</td>
<td>2</td>
<td>S40, S46</td>
</tr>
<tr>
<td>Mobile software</td>
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<td>S45, S48</td>
</tr>
<tr>
<td>Database management system</td>
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<td>S16</td>
</tr>
</tbody>
</table>

Total 55

Table 12
Distribution of application domains of the studies with industrial evidence.

<table>
<thead>
<tr>
<th>Application domain</th>
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<th>Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial software</td>
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<td>S3, S44, S52</td>
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<td>S27, S51</td>
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<tr>
<td>E-commerce system</td>
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<td>S9, S39</td>
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<tr>
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</tr>
<tr>
<td>Automatic control software</td>
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<td>S7, S13</td>
</tr>
<tr>
<td>Mobile software</td>
<td>2</td>
<td>S45, S48</td>
</tr>
<tr>
<td>Information management system</td>
<td>1</td>
<td>S26</td>
</tr>
<tr>
<td>Aerospace software</td>
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<td>S11</td>
</tr>
</tbody>
</table>

Total 15

Table 13
Quality assessment results of selected studies.

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<th>Paper index</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
<th>Q5</th>
<th>Total score</th>
<th>Paper index</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
<th>Q5</th>
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assessment on the selected studies helps to increase the accuracy of the data extraction results. The quality assessment results of the selected studies are shown in Table 13 according to the assessment questions listed in Table 7. The mean score of all the selected studies is 3.47. With that score, we can conclude that the overall quality of the selected studies is acceptable. The mean score of Q1 is 0.44, which results from 5 studies with score 0.0 (no evidence) and 22 studies with score 0.2 (evidence obtained from demonstration or working out toy examples). In other words, almost half of the selected studies have very low level of evidence. All the studies got full scores on question Q2. We paid special attention to questions Q3 and Q4 since their scores can reflect the accuracy of the data extraction results. The higher score of the study, the more accurate the data extraction results will be. Thus, the score provides a clue about whether the data extraction results of a study need to be checked more carefully. Each reviewer checked extracted data of all selected studies with special attention to the ones with low scores in Q3 and Q4, and reached a consensus when disagreement exists about the extracted data. Interestingly, the average score of Q5 is very low since 69.1% (i.e., 38 out of 55) of selected studies do not mention the limitations or drawbacks of their work.

4.2. Construct validity

Construct validity is concerned with whether the concepts being studied are interpreted correctly and whether the relevant studies can be collected completely [40]. In this mapping study, the architecting activities and knowledge-based approaches are the key concepts under consideration. To ensure the correct interpretation of these key concepts, we checked the definitions of the concepts with related literature and discussed these definitions among the authors to reach a consensus on the understanding of them. The correct interpretation of the concepts helps to extract the data precisely from the selected studies. In order to ensure the completeness of study search, we design a search strategy that employs a combination method of automatic search and manual search. Furthermore, to make sure the high coverage of potentially relevant studies in automatic search, we improved the search terms according to the results of the trial search before the formal search is performed. However, the refined list of search terms might not be comprehensive, some relevant papers, therefore, might be missing. To address this issue, manual search is used as complementary search to automatic search. We checked all the papers published in relevant journals, conferences, and workshops so that the potentially relevant studies published in these venues are included.

4.3. Internal validity

Internal validity focuses on the analysis of the extracted data [40]. Since the data analysis in this systematic mapping study only uses descriptive statistics, the threats to internal validity are minimal.

4.4. External validity

External validity is concerned with the representativeness of the selected studies regarding the overall goal of the mapping study [40]. The results of this mapping study were considered regarding the knowledge-based approaches in the SA domain. Therefore, the presented classification and systematic map of the selected studies and the conclusions drawn are only valid in the study topic. The predefined protocol is helpful to obtain a representative collection of studies in the given study topic. The representative venues for manual search also contribute to improving the representativeness of the selected studies. We did not include studies published before 2000, which does not affect the representativeness of the selected studies. This decision is supported by a systematic literature review on KM in SE showing that few related studies were published before 2000, and none of them focused on applying knowledge-based approaches in software architecting [5].

5. Discussion

This mapping study indicates that the application of knowledge-based approaches in SA is a quite immature area in both research and practice. First, more than two thirds of the selected studies (37 studies out of 55) are published in conferences and workshops, and only 30.9% (17 out of 55) of the selected studies have reached the maturity of a journal publication. Furthermore, only 27.3% (i.e., 15 out of 55) of the selected studies reach the evidence level 5 (i.e., evidence obtained from industrial studies) or above. In particular, only one study (S52) provides evidence obtained from industrial practice (i.e., the evidence level 6). Finally, almost half (49.1%, 27 out of 55) of the selected studies fall into the evidence level 2 (i.e., evidence obtained from demonstration or working out toy examples) or below. Especially, five selected studies do not provide any evidence.

The increasing number of selected studies over the last decade shows that the application of knowledge-based approaches is receiving increasing attention from the SA research community. The selected studies are published in 30 different venues, indicating that extensive attention on this study topic is being paid from researchers with a broad range of different research interests in SA. These two facts indicate that this study topic is likely to remain attractive. However we would urge the research community to strive for high-level evidence in future studies.

The results of this systematic mapping study also point out a number of implications for further research in SA:

1. The results of this mapping study call for more investigation on improving AIA with knowledge-based approaches. AIA is an architecting activity that is frequently performed to determine which architecture elements are affected when a change scenario happens. The associated architectural knowledge on this change scenario, such as related design decisions and dependencies to these decisions, should be considered and employed to improve AIA.

2. This mapping study also shows that the application of knowledge recovery approach in various forms needs to be explored seriously. In many architecting cases, architects need to recover the knowledge about architecture design, especially when maintaining or evolving the architecture that is not well described and documented. But little work has been done on the application of knowledge recovery in architecting activities.

3. As discussed in Section 3.3, AI can benefit from knowledge-based approaches, e.g., knowledge sharing. However, little effort has been made in this area. AI is a knowledge-intensive activity, in which one architecture design can be implemented in a variety of detailed designs by different designers. Knowledge-based approaches can be used to capture the knowledge in various designs, share them with other designers, and reuse them according to different contexts. This research area has a clear need for more investigation.

4. Little work has been done to provide automatic and semi-automatic knowledge reasoning to support architecting activities. Knowledge reasoning plays an important role in architecting activities, for example, it can be used to justify if a design decision is an appropriate one to address an
6. Conclusions

We got 16,144 papers returned from the literature searches including the papers from both manual and automatic search, of which 55 were finally selected for data extraction. Based on the extracted data, we get an overview on what knowledge-based approaches are currently employed in which architecting activities and on the popularity of various knowledge-based approaches used in general and specific architecting activities. We draw conclusions around four main points:

(1) Knowledge Capture and Representation (KCR), Knowledge Reuse (KR), Knowledge Sharing (KS), Knowledge Reasoning (KRs), and Knowledge Recovery (KRV) are all used in the architecting activities, but there are significant differences on the popularity of these knowledge-based approaches. KCR is the most popular approach that is widely used in all the architecting activities. KRV is almost ignored as it is seldom employed in the architecting activities. More investigation needs to be performed to improve architecting activities using KRV.

(2) Knowledge-based approaches are used in all ten architecting activities. However, the study distribution is highly uneven over the ten activities. Comparing with other architecting activities, AIA receives the least attention on using knowledge-based approaches. This research area needs to be further explored. Also, AI using knowledge-based approaches is a promising research area and requires more research effort.

(3) 30 publication sources from journals, conferences, and workshops are identified, which means the study topic, application of knowledge-based approaches in SA, has received wide attention from the SA community. In addition, there are one leading Workshop (SHARK), Conference (WICSA), and Journal (JSS) respectively as the publication venues for this study topic. The trend on the number of published studies in each year indicates that researchers have made increasingly effort in this topic during the last decade.

(4) Knowledge-based approaches are applied to the software architecture of a wide range of application domains, and the domain "embedded software" has received the most attention. Industrial application and cases were conducted in eight application domains, but each domain has only few (no more than three) studies.

With the implications discussed in Section 5, we encourage the researchers and practitioners in SA community to carry out more empirical studies with high-level evidence on applying various knowledge-based approaches in the architecting process, in order to build a solid foundation for improving architecting activities with the support of knowledge-based approaches.

Acknowledgements

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Appendix A. Selected studies


References


