

# Co-evolution of Infrastructure and Source Code - An Empirical Study

Yujuan Jiang, Bram Adams  
MCIS lab Polytechnique Montreal, Canada  
Email: {yujuan.jiang,bram.adams}@polymtl.ca

**Abstract**—Infrastructure-as-code automates the process of configuring and setting up the environment (e.g., servers, VMs and databases) in which a software system will be tested and/or deployed, through textual specification files in a language like Puppet or Chef. Since the environment is instantiated automatically by the infrastructure languages’ tools, no manual intervention is necessary apart from maintaining the infrastructure specification files. The amount of work involved with such maintenance, as well as the size and complexity of infrastructure specification files, have not yet been studied empirically. Through an empirical study of the version control system of 265 OpenStack projects, we find that infrastructure files are large and churn frequently, which could indicate a potential of introducing bugs. Furthermore, we found that the infrastructure code files are coupled tightly with the other files in a project, especially test files, which implies that testers often need to change infrastructure specifications when making changes to the test framework and tests.

## I. INTRODUCTION

Infrastructure-as-code (IaC) is a practice to specify and automate the environment in which a software system will be tested and/or deployed [1]. For example, instead of having to manually configure the virtual machine on which a system should be deployed with the right versions of all required libraries, one just needs to specify the requirements for the VM once, after which tools automatically apply this specification to generate the VM image. Apart from automation, the fact that the environment is specified explicitly means that the same environment will be deployed everywhere, ruling out inconsistencies.

The suffix “as-code” in IaC refers to the fact that the specification files for this infrastructure are developed in a kind of programming language, like regular source code, and hence can be (and are) versioned in a version control system. Puppet [2] and Chef [3] are two of the most popular infrastructure languages. They are both designed to manage deployments on servers, cloud environments and/or virtual machines, and can be customized via plug-ins to adapt to one’s own working environment. Both feature a domain-specific language syntax that even non-programmers can understand.

The fact that IaC requires a new kind of source code files to be developed and maintained in parallel to source code and test code, rings some alarm bells. Indeed, in some respects IaC plays a similar role as the build system, which consists of scripts in a special programming language such as GNU Make or Ant that specify how to compile and package the source code. McIntosh et al. [4] have shown how build system files have a high relative churn (i.e., amount of code change) and

have a high coupling with source code and test files, which means that developers and testers need to perform a certain effort to maintain the build system files as the code and tests evolve. Based on these findings, we conjecture that IaC could run similar risks and generate similar maintenance overhead as regular build scripts.

In order to validate this conjecture, we perform an empirical case study on 265 OpenStack projects. OpenStack is an ecosystem of projects implementing a cloud platform, which requires substantial IaC to support deployment and tests on virtual machines. The study replicates the analysis of McIntosh et al. [4], this time to study the co-evolution relationship between the IaC files and the other categories of files in a project, i.e., source code, test code, and build scripts. To get a better idea of the size and change frequency of IaC code, we first address the following three preliminary questions.

*PQ1) How many infrastructure files does a project have?*

Projects with multiple IaC files have more IaC files than build files (median of 11.11% of their files). Furthermore, the size of infrastructure files is in the same ballpark as that of production and test files, and larger than build files.

*PQ2) How many infrastructure files change per month?*

28% of the infrastructure files in the projects changed per month, which is as frequently as production files, and significantly more than build and test files.

*PQ3) How large are infrastructure system changes?*

The churn of infrastructure files is comparable to build files and significantly different with the other file categories. Furthermore, the infrastructure files have the highest churn per file (MCF) value among the four file categories.

Based on the preliminary analysis results, we then address the following research questions:

*RQ1) How tight is the coupling between infrastructure code and other kinds of code?*

Although less commits change infrastructure files than the other file categories, the changes to IaC files are tightly coupled with changes to Test and Production files. Furthermore, the most common reasons for coupling between infrastructure and test are “Integration”

|                                                                                                                                                                                                                              |                                                                                                                                                                                                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <pre># Chef snippet case node[:platform] when "ubuntu"   package "httpd-v1" do     version "2.4.12"     action: install   end when "centOS"   package "httpd-v2" do     version "2.2.29"     action: install   end end</pre> | <pre># Puppet snippet case \$platform{   'ubuntu': {     package {'httpd-v1':       ensure =&gt; "2.4.12"     }   }   'centOS': {     package {'httpd-v2':       ensure =&gt; "2.2.29"     }   } }</pre> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Fig. 1: Code snippets of Puppet and Chef.

of new test cases and “Updates” of test configuration in infrastructure files.

#### RQ2) Who changes infrastructure code?

Developers changing the infrastructure take up the lowest proportion among all developers, and they are not dedicated to IaC alone, since they also work on production and test files.

## II. BACKGROUND AND RELATED WORK

### A. Infrastructure as Code

IaC (Infrastructure as Code) makes it possible to manage the configuration of the environment on which a system needs to be deployed via specifications similar to source code. A dedicated programming language allows to specify the environment such as required libraries or servers, or the amount of RAM memory or CPU speed for a VM. The resulting files can be versioned and changed like any other kind of source code. This practice turns the tedious manual procedure of spinning up a new virtual environment or updating a new version of the environment (from the low-level operating system installed all the way up to the concrete application stack) into a simple click of executing a script. This automation and simplification helps shorten the release and test cycle, and reduces the potential of human error.

Currently, Puppet and Chef are the two most popular infrastructure languages. They allow to define a series of environment parameters and to provide deployment configuration. They can define functions and classes, and allow users to customize their own Ruby plug-ins according to their specific requirements. Figure 1 shows two code snippets of Puppet and Chef that realize the same functionality, i.e., initializing an https server on two different platforms (each platform requires a different version of the server).

### B. Related Work

Our work replicates the work of McIntosh et al. [4] who empirically studied the build system in large open source

projects and found that the build system is coupled tightly with the source code and test files. In their work, they classify files into three different categories including “Build”, “Production”, and “Test”. They also studied the ownership of build files to look into who spent the most effort maintaining these files. They observed different build ownership patterns in different projects: in Linux and Git a small team of build engineers maintain most of the build maintenance, while in Jazz most developers contribute code to the build system. In our work, we added a fourth category of files (IaC) and we focus the analysis on those files. Hindle et al. [5] studied the release patterns in four open source systems in terms of the evolution in source code, tests, build files and documentation. They found that each individual project has consistent internal release patterns on its own.

Similar to McIntosh et al. [4], other researchers also used “association rules” to detect co-change and co-evolution. Herzig et al. [6] used association rules to predict test failure and their model shows good performance with precision of 0.85 to 0.90 on average. Zaidman et al. [7] explored the co-evolution between test and production code. They found different coupling patterns in projects with different development style. In particular, in test-driven projects there is a strong coupling between production and test code, while other projects have a weaker coupling between testing and development. Gall et al. [8] studied the co-evolution relation among different modules in a project, while our work focuses on the relation among different file categories.

Adams et al. [9] studied the evolution of the build system of the Linux kernel at the level of releases, and found that the build system co-evolved with the source code in terms of complexity. McIntosh et al. [10] studied the ANT build system evolution. Zanetti et al. [11] studied the co-evolution of GitHub projects and Eclipse from the socio-technical structure point of view. Our work is the first to study the co-evolution process between infrastructure and source code in a project.

Rahman et al. [12], Weyuker et al. [13], Meneely et al. [14] studied the impact of the number of code contributors on the software quality. Karus et al. [15] proposed a model that combines both code metrics and social organization metrics to predict the yearly cumulative code churn. It turns out that the combined model is better than the model only adopting code metrics. Bird et al. [16] proposed an approach for analyzing the impact of branch structure on the software quality. Nagappan et al. [17] conducted a study about the influence of organizational structure on software quality. Nagappan et al. [18] predicted defect density with a set of code churn measures such as the percentage of churned files. They showed that churn measures are good indicators of defect density.

Shridhar et al. [19] conducted a qualitative analysis to study the build file ownership styles, and they found that certain build changes (such as “Corrective” and “New Functionality”) can introduce higher churn and are more invasive. Our work is the first to study the ownership style of infrastructure files.

Curtis et al. [20], Robillard [21], Mockus et al. [22] [23] focus on how domain knowledge impacts the software quality. It turns out that the more experienced and familiar in a domain, the fewer bugs are introduced. This suggests that if IaC experts change IaC files, they are less likely to introduce bugs than,

say, build developers. We study IaC ownership, yet do not study bug reports to validate this link.

To summarize, our study is the first to analyze the co-evolution of IaC with known file categories, as well as ownership of IaC file changes.

### III. APPROACH

The process of our study is shown as a flow chart in Figure 2.

#### A. Data Collection

OpenStack is an open source project launched jointly by Rackspace Hosting and NASA in July 2010. It is in fact governed by a consortium of organizations who have developed multiple interrelated components that together make up a cloud computing software platform that offers “Infrastructure As A Service (IaaS)”. Users can deploy their own operating system or applications on OpenStack to virtualize resources like cloud computing, storage and networking.

Given that testing and deploying a cloud computing platform like OpenStack requires continuous configuration and deployment of virtual machines, OpenStack makes substantial use of IaC, adopting both “Puppet” and “Chef” to automate infrastructure management. Apart from its adoption of IaC, OpenStack has many other characteristics that prompted us to study it in our empirical study. In particular, it has 13 large components (“modules”) spread across 382 projects with their own git repositories, 20 million lines of codes, rapid release cycle (cycle time of 6 months), and a wide variety of users such as AT& T, Intel, SUSE, PayPal, and eBay.

#### B. Classifying Files into Five Categories

In order to study the co-evolution relationship between the infrastructure and the other files, first we need to classify them into different categories. We mainly identify “*Infrastructure*”, “*Build*”, “*Production (i.e., source code)*” and “*Test*” files. Other files, such as images, text, and data files, were categorized into the “*Others*” category and were not considered in our study. Note that we classified any file that ever existed in an OpenStack project across all git commits, amounting to 133,215 files in total.

In order to do the classification, we used a similar approach as McIntosh et al. [4]. First, we wrote a script to identify files with known naming patterns. For example, names containing “test” or “unittest” should be test files, while the “Makefile” or “Rakefile” names are build files, and the files with a programming language suffix such as “.py”, “.rb” (typically, but not always) belong to the production files. The infrastructure files written in Puppet have a suffix “.pp”. After classifying those files that are easily identified, we manually classified the remaining 25,000 unclassified files.

For this, we manually looked inside the files to check for known constructs or syntax, and for naming conventions specific to OpenStack. If the content was not related to any of the four categories of interest, we classified it as “Other”. We put the resulting file classification online <sup>1</sup>.

#### C. Splitting the OpenStack Projects in Two Groups

We collected all the revisions from the 382 git repositories of the OpenStack ecosystem. After classification, we did a statistical analysis and found 117 projects without infrastructure file, so we removed them from our data set, as we focus on the analysis of IaC. Upon manual analysis of the projects without infrastructure files, we found that they mostly do not serve the main functionality of OpenStack (namely cloud computing), but rather provide the supporting services like reviewing management (e.g., “reviewday”), test drivers (e.g., “cloudroast” and “cookbook-openstack-integration-test”), plugins for build support (e.g., “zmq-event-publisher”), front-end user interface generation (e.g., “bugdaystats” and “clif”), and external libraries (e.g., “cl-openstack-client” for Lisp).

Of the projects containing infrastructure files, we found that some of them have only few infrastructure files, while other projects have many infrastructure files. The former repositories are relatively small in terms of the number of files (with a median value of 71.5 and mean of 174.4). In order to study if the infrastructure system acts differently in these different contexts, we split the remaining projects into two groups: the “Multi” group with projects that contain more than one infrastructure file and the “Single” group with projects that contain only one infrastructure file. The Multi group contains 155 projects, whereas the Single group 110 projects. In our study, we compare both groups to understand whether there is any difference in maintenance effort between the two groups.

#### D. Association Rules

To analyze the coupling relationship in RQ1 and RQ2, we use association rules. An association rule is a possible coupling between two different phenomena. For example, supermarkets found that diapers and beer are usually associated together, because normally it is the father who comes to buy diapers and along the way may buy some beer for himself.

To measure the importance of an association rule, a number of important metrics can be calculated, such as “**Support**” (Supp) and “**Confidence**” (Conf). The metric Support(X) indicates the frequency of appearance of X, while the metric Confidence(X=>Y) indicates how often a change of X will happen together with a change of Y. For example, if there are 20 commits in total for project P, and 10 of them are changing infrastructure files, then Supp(Inf)=0.5 (10/20). If among these 10 commits, 6 of them also change test files, then Conf(Inf=>Build)=0.6 (6/10). Association rules can help us understand the coupling relationship among different projects. Note that we don’t mine for new association rules, but analyze the strength of the six rules involving IaC files and the three other file categories (IaC =>Build, IaC =>Production, IaC =>Test and the three inverse rules).

Additionally, in the qualitative analysis of the change coupling, we need to select the most tightly coupled commits for manual analysis. Since Confidence is not a symmetrical measure (Conf(X=>Y) is different from Conf(Y=>X)), it yields two numbers for a particular pair of file categories, which makes it hard to identify the projects with “most tightly coupled” commits. For this reason, we adopt the metric “Lift”, which measures the degree to which the coupling between two file categories is different from the situation where they would

<sup>1</sup><https://github.com/yujuanjiang/OpenStackClassificationList>.

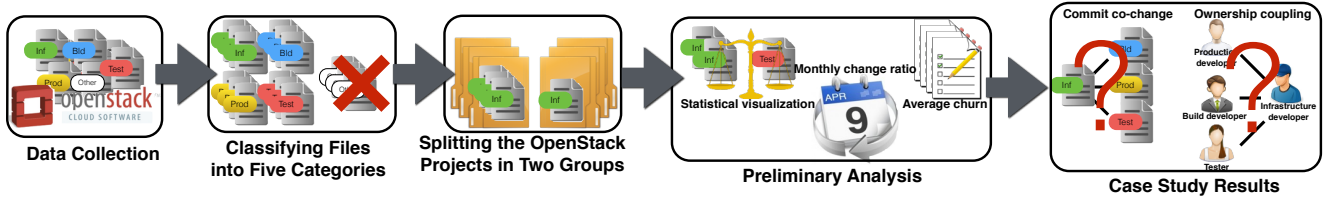


Fig. 2: Flow chart of the whole approach.

be independent from each other. For each project, we computed the Lift value, then for the 10 projects with the highest lift value for a pair of file categories, we selected the top 10 most tightly coupled commits. The formula for “Lift” related to the Conf and Supp metrics is as follows:

$$Conf = \frac{P(A \cap B)}{P(A)}$$

$$Supp = P(A \cap B)$$

$$Lift = \frac{P(A \cap B)}{P(A)P(B)}$$

#### E. Card Sorting

For our qualitative analysis, we adopted “Card Sorting” [24] [25], which is an approach that allows to systematically derive structured information from qualitative data. It consists of three steps: 1) First, we selected the 10 projects with the highest lift value for a certain pair of file categories. Then, for each such project, we wrote a script to retrieve all commits changing files of both categories. 2) Then, we randomly sort all selected commits for a project and pick 10 sample commits. 3) The first author then manually looked into the change log message and code of each commit to understand why this co-change happens. In particular, we were interested in understanding the reason why changes of both categories were necessary in the commit. If this is a new reason, we added it as a new “card” in our “card list”. Otherwise, we just increased the count of the existing card. After multiple iterations, we obtained a list of reasons for co-change between two file categories. Finally, we clustered cards that had related reasons into one group, yielding seven groups.

“Card sorting” is an approach commonly used in empirical software engineering when qualitative analysis and taxonomies are needed. Bacchelli et al. [26] used this approach for analyzing code review comments. Hemmati et al. [27] adopted card sorting to analyze survey discussions [19].

#### F. Statistical tests and beanplot vsualization.

In our work, we mainly used the Kruskal-Wallis and Mann-Whitney tests to do the statistical tests, and used the beanplot package in R as the visualization tool for our results.

The Kruskal-Wallis test [28] is a non-parametric method that we use to test if there exists any difference between the distribution of a metric across the four file categories. If the null hypothesis (“there is no significant difference between the mean of the four categories”) is rejected, at least one of the categories has a different distribution of the metric under study. To find out which of the metrics has a different distribution, we then use Mann-Whitney tests as post-hoc test. We perform such

a test between each pair of file categories, using the Bonferroni correction for the alpha value (which is 0.05 by default in all our tests).

A Beanplot [29] is a visualization of a distribution based on boxplots, but adding information about the density of each value in the distribution. Hence, apart from seeing major moments like median, minimum or maximum, one can also see which values are the most frequent in the sample under study. By plotting two or more beanplots next to each other, one can easily see asymmetry in the distribution of values (see Figure 5).

### IV. PRELIMINARY ANALYSIS

Before addressing the main research questions, we first study the characteristics of IaC files themselves.

#### *PQ1: How many infrastructure files does a project have?*

**Motivation:** As infrastructure code is a relatively new concept, not much is known about its characteristics. How common are such files, and how large are they in comparison to other known kinds of files?

**Approach:** First, we compute the number and percentage of files in each file category for each project. Afterwards, we computed the number of lines of each infrastructure file in each project. Furthermore, we manually checked the Multi projects to understand why they contain such a high proportion of infrastructure files, for example whether they are projects dedicated to IaC code. We also did Kruskal-Wallis and post-hoc tests to check the significance of the results with as null hypothesis “there is no significant difference among the distributions of the proportion/the LOC of each file category”.

**Results: Multi projects have a higher proportion of infrastructure files than build files, with a median value of 11.11% across projects.** Figure 3 shows the boxplot of the proportion of the four file categories relative to all files of a project, while Table I shows the corresponding numbers. We can see that in both groups, the trends are the same except for infrastructure files. Unsurprisingly, the production files take up the largest proportion of files (with a median of 34.62% in group Multi and 47.80% in group Single). This makes sense, because the source code files should be the fundamental composition of projects. The test files take up the second largest proportion (with a median value of 12.95% in group Multi and 23.94% in group Single). By definition, for “Single” projects, the infrastructure files take up the lowest proportion (with a median of 3.85%), behind build files (with a median of 17.24%), while for Multi projects the order is swapped (with a median of 11.11% for Infrastructure and 5.71% for Build files). Indeed, Multi projects not only have more than one infrastructure file, they tend to have a substantial proportion

TABLE I: The proportion of the four file categories in each project (%) in terms of the number of files.

|              |         | Infrastructure | Build | Production | Test  |
|--------------|---------|----------------|-------|------------|-------|
| Group Multi  | 1st Qu. | 3.33           | 2.41  | 0.00       | 2.21  |
|              | Median  | 11.11          | 5.71  | 34.62      | 12.95 |
|              | Mean    | 38.40          | 11.72 | 31.84      | 18.04 |
|              | 3rd Qu. | 89.47          | 12.37 | 57.73      | 29.91 |
| Group Single | 1st Qu. | 1.73           | 7.60  | 11.46      | 12.71 |
|              | Median  | 3.85           | 17.24 | 47.80      | 23.94 |
|              | Mean    | 8.02           | 25.41 | 42.25      | 24.26 |
|              | 3rd Qu. | 11.11          | 40.00 | 66.67      | 35.21 |

of such files. The differences in proportion between IaC files and the three other categories all are statistically significant.

**The percentage of infrastructure files has a large variance for “Multi” projects.** The median value is rather small compared to the other three categories, but within four projects, the percentage of infrastructure files can reach as high as 100%. Therefore, we ranked all the projects by the percentage of infrastructure files (from high to low) and manually looked into the top ones. We found that those projects clearly are infrastructure-specific. 51 of these projects have names related to the infrastructure system (28 of them named after Puppet, 23 after Chef). For example, the “openstack-chef-repo” repository is an example project for deploying an OpenStack architecture using Chef, and the “puppetlabs-openstack” project is used to deploy the Puppet Labs Reference and Testing Deployment Module for OpenStack, as described in the project profile on GitHub [30] [31].

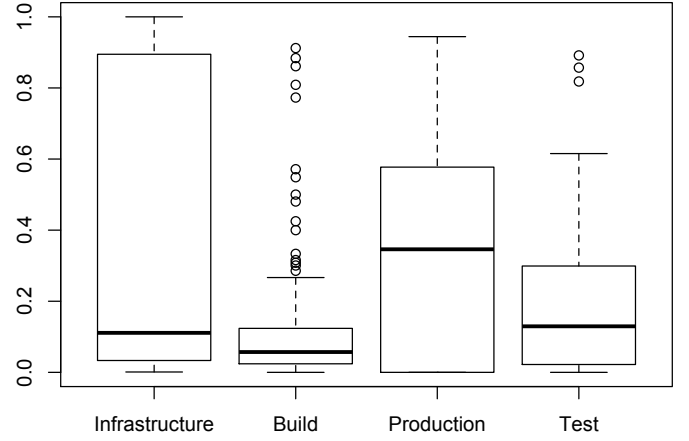
**Although production and test files statistically significantly are larger, the size of infrastructure files is in the same ballpark.** Figure 4 shows for each file category the boxplot across all projects of the median file size (in terms of LOC). We can see that the sizes of infrastructure (median of 2,486 for group Multi and 1,398 for group Single), production (median of 2,991 for group Multi and 2,215 for group Single) and test files (with a median of 2,768 for group Multi and 1,626 for group Single) have the same order of magnitude. The size of build files is the smallest (with a median of 54 for group Multi and 52 for group Single).

*Infrastructure files take up a small portion of projects with a median value of 11.11%, but their size is larger than build files and in the same ballpark as code and test files.*

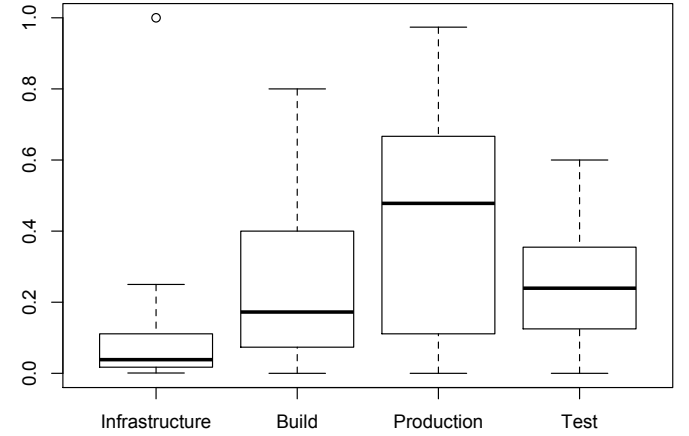
#### PQ2: How many infrastructure files change per month?

**Motivation:** The results of PQ1 related to size and to some degree proportion of files could indicate a large amount of effort needed to develop and/or maintain the infrastructure files, both in Single and Multi projects. To measure this effort, this question focuses on the percentage of files in a category that are being changed per month [4]. The more files are touched, the more effort needed.

**Approach:** In order to see how often each file category changes, we computed the number of changed files per month of each project. To enable comparison across time, we normalize the number by dividing by the corresponding number of files in a category during that month, yielding the proportion of



(a) groupMulti



(b) groupSingle

Fig. 3: Boxplot of median proportions of four file categories for each project across all projects (excluding other files)

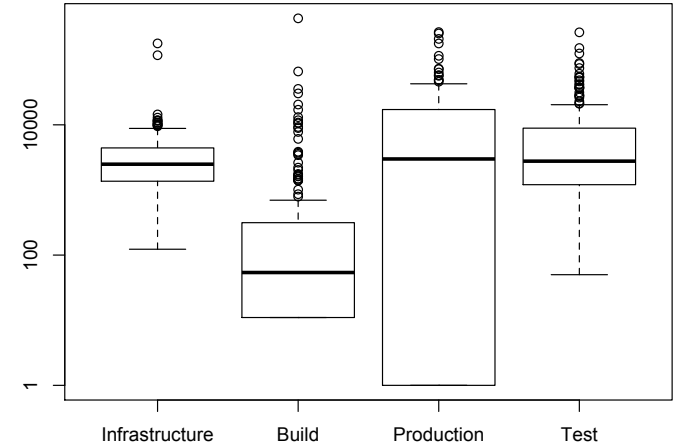


Fig. 4: Boxplot of the median size (in LOC) of the four different file categories across all projects (group “Multi”).

changed files. For each project, we then calculate the average proportion of changed files per month, and we study the distribution of this average across all projects. Note that we use average value in PQ2 and PQ3, whereas we use medians in the rest of the paper, because “Single” projects only have

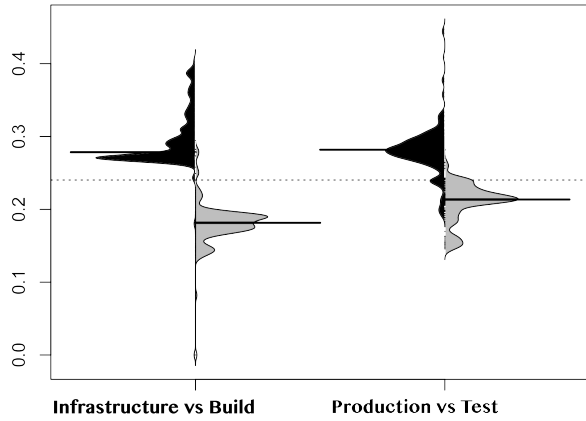


Fig. 5: Distributions of average percentage of changed files per project for the four file categories (group “Multi”).

one infrastructure file and hence a median value would not make sense.

Furthermore, we again did a Kruskal-Wallis test and post-hoc tests to examine the statistical significance of our results.

**Results: The average proportion of infrastructure files changed per month is comparable to that of source code, and much higher than that of build and test files, with a median value across projects of 0.28.** Figure 5 shows the distribution across all projects in group “Multi” of the average proportion of changed files. Since the group “Single” has the same trend, we omitted its figure. We can see that the production files (with a median value of 0.28) change as frequently as the infrastructure files (with a median value of 0.28). The test files change less frequently (with a median value of 0.21) than infrastructure files but more frequently than build files (with a median value of 0.18).

**The percentage of changed files per month for infrastructure and production files are significantly higher than for build and test files.** A Kruskal-Wallis test on all file categories yielded a p-value of less than  $2.2e-16$ , hence at least one of the file categories has a different distribution of monthly change percentage at 0.05 significance level. We then did Mann-Whitney post-hoc tests, which showed that, except for infrastructure and production files (p-value of  $0.112 > 0.05$ ), the other file categories have a statistically significantly lower change proportion (p-value  $< 0.05$ ). Since change of source code is known to be an indicator of bug proneness [32] [33] or risk [34], infrastructure code hence risks to have similar issues.

*The distribution of the median proportion of monthly change for infrastructure files is similar to production files, with a median value of 0.28, being higher than the build and test files.*

### PQ3: How large are infrastructure system changes?

**Motivation:** Now that we know how many infrastructure files change per month for all the projects, we want to know how much each file changes as well. In addition to the number of changed lines, the types of changes matter as well. For example, two commits could both change one line of an infrastructure file, but one of them could only change the version number while the other one may change a macro definition that could cause a chain reaction of changes to other files. Hence, we also need to do qualitative analysis on infrastructure files.

**Approach:** Churn, i.e., the number of changed lines of a commit is a universal indicator for the size of a change. In the textual logs of a git commit, a changed line always begins with a plus “+” or minus “-” sign. The lines with “+” are the newly added lines, while the lines with “-” are deleted lines from the code. In order to understand how much each file category changes per month, we define monthly churn of a project as the total number of changed lines (both added and deleted lines) per month. However, when we first looked into the monthly churn value, we found that there are many projects not active all the time, i.e., in certain months, the churn value is zero. Therefore, we just considered the “active period” for each project, namely the period from the first non-zero churn month until the last non-zero churn month.

To control for projects of different sizes, we also normalize the monthly churn of each project by dividing by the number of files of that project in each month. This yields the monthly churn per file (MCF). We study the distribution of the average value of churn and of the average value of MCF across all projects.

**Results: The churn of infrastructure files is comparable to build files and significantly smaller than for production and test files.** Figure 6 shows the beanplot of the monthly churn for both groups. We can see in group “Multi” that the test files have the highest average churn value (with a median value of 9), i.e., the test commits have the largest size, followed by production files (with a median value of 8). Infrastructure file changes (5.25) are larger than build file changes (4.25). In group “Single”, the production files have the largest commits (median of 10), followed by test files and infrastructure files (both median of 8), and build files (median of 5). Kruskal-Wallis and post-hoc tests show that the distribution of churn of IaC files is significantly different from that of the other files categories, except from build files in the Single group.

**The infrastructure files have the highest MCF value, with a median of 1.5 in group Multi and median of 5 in group Single.** Figure 7 is the beanplot of the MCF for the two groups. We can see for both groups that the infrastructure files have the highest MCF value (median 1.5 in group Multi and median 5 in group Single), which means that the average change to a single infrastructure file is larger than for the other file categories. Hence, although the number of infrastructure files is smaller than the number of production files, there is proportionally more change being done to them.

The differences in average MCF between IaC files and the three other categories all are statistically significant.

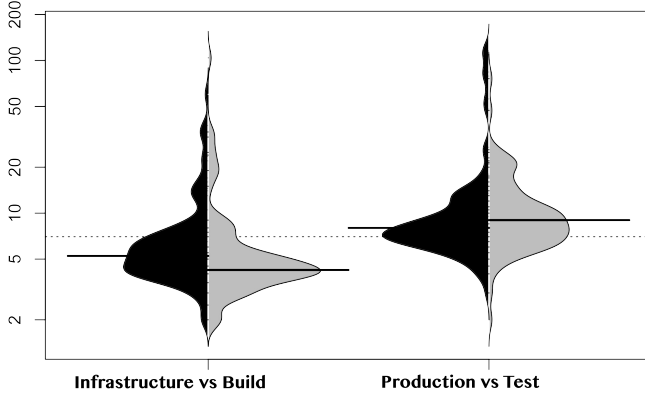


Fig. 6: Beanplot of average monthly churn across all projects for the four file categories (group “Multi”) (log scaled).

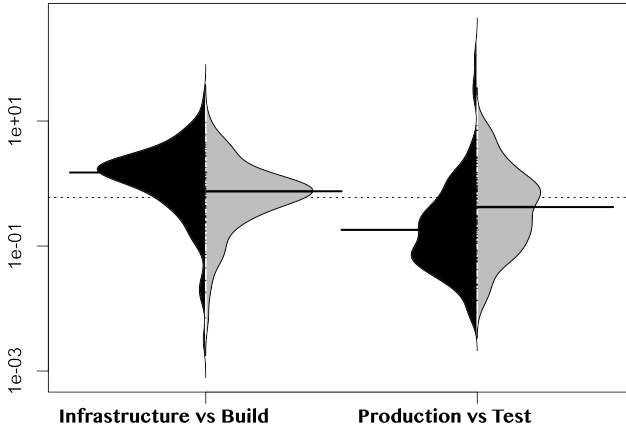


Fig. 7: Beanplot of average MCF across all projects for the four file categories (group “Multi”) (log scaled).

*The churn of infrastructure files is comparable to that of build files, while the average churn per file of infrastructure is the highest across all file categories.*

## V. CASE STUDY RESULTS

Now that we know that projects tend to have a higher proportion of Infrastructure files than build files, infrastructure files can be large, churn frequently and substantially, we turn to the main research questions regarding the coupling relation among commits and IaC ownership.

*RQ1) How tight is the coupling between infrastructure code and other kinds of code?*

**Motivation:** Based on the preliminary questions, we find that infrastructure files are large and see a lot of churn, which means that they might be bug prone. However, those results considered the evolution of each type of file separately from one another. As shown by McIntosh et al. [4], evolution of for example code files might require changes to build files to keep the project compilable. Similarly, one might expect that, in order to keep a project deployable or executable, changes to code or tests might require corresponding changes

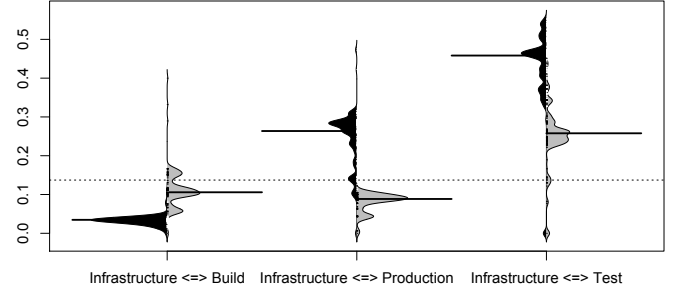


Fig. 8: Distribution of confidence values for the coupling relations involving IaC files (Group Multi). The left side of a beanplot for  $A \Leftrightarrow B$  represents the confidence values for  $A \Rightarrow B$ , while the right side of a beanplot corresponds to  $B \Rightarrow A$ .

to the infrastructure code. This introduces additional effort on the people responsible for these changes. Kirbas et al. [35] conducted an empirical study about the effect of evolutionary coupling on software defects in a large financial legacy software system. They observed a positive correlation between evolutionary coupling and defect measures in the software evolution and maintenance phase. These results motivate us to analyze the coupling of infrastructure code with source, test and build code.

**Approach:** In order to identify the coupling relationship between changes of different file categories, we analyze for each pair  $\langle A, B \rangle$  of file categories the percentage of commits changing at least one file of category A that also changed at least one file of category B. This percentage corresponds to the confidence of the association rule  $A \Rightarrow B$ . For example,  $\text{Conf}(\text{Infrastructure}, \text{Build})$  measures the percentage of commits changing infrastructure files that also change build files. Afterwards, we performed chi-square statistical tests to test whether the obtained confidence values are significant, or are not higher than expected due to chance.

Finally, we also performed qualitative analysis of projects with high coupling to understand the rationale for such coupling. We used “card sorting” (see Section III-E) for this analysis. We sampled 100 commits across the top 10 projects with the highest Lift metric (see Section III-D) to look into why IaC changes were coupled so tightly with changes to other file categories.

**Results: Infrastructure files change the least often in both groups.** Table II shows the distribution of the Support and Confidence metrics across the projects in both groups while Figure 8 visualizes the distribution of these metrics for the group **Multi**. We do not show the beanplot of group **Single**, since it follows the same trends.

With group Multi as example, we can see that in terms of the Support metrics (i.e., the proportion of all commits involving a particular file category), source code changes occur the most frequently (with a median value of 0.3789), followed by test files (median of 0.2348), then build files (median of 0.1276). The infrastructure files change the least often, which suggests that the build and infrastructure files tend to be more stable than the other file categories. We observed the same behavior in group Single.

TABLE II: Median Support and confidence values for the coupling relations involving IaC files. Valued larger than 0.1 are shown in bold.

|         | system         | Group Multi   | Group Single  |
|---------|----------------|---------------|---------------|
| Support | Infrastructure | 0.0402        | 0.0412        |
|         | Build          | <b>0.1276</b> | <b>0.1324</b> |
|         | Production     | <b>0.3789</b> | <b>0.3806</b> |
|         | Test           | <b>0.2348</b> | <b>0.2344</b> |
|         | Inf, Bld       | 0.0044        | 0.0044        |
|         | Inf, Prod      | 0.0336        | 0.0335        |
|         | Inf, Test      | 0.0585        | 0.0607        |
| Conf    | Inf => Bld     | 0.0347        | 0.0343        |
|         | Inf => Prod    | <b>0.2637</b> | <b>0.2730</b> |
|         | Inf => Test    | <b>0.4583</b> | <b>0.4673</b> |
|         | Bld => Inf     | <b>0.1058</b> | <b>0.1140</b> |
|         | Prod => Inf    | 0.0885        | 0.0911        |
|         | Test => Inf    | <b>0.2578</b> | <b>0.2638</b> |

**The commits changing infrastructure files also tend to change production and test files.** In group Multi, Conf(Inf=>Prod) and Conf(Inf=>Test) have a high median value of 0.2637 and 0.4583 respectively. This indicates that most commits changing infrastructure files also change source code and test files. Conf(Inf =>Bld) has the lowest median value (0.0347), which indicates that commits changing infrastructure files don't need to change build files too often. Similar findings were made for group Single.

**26% of test files require corresponding IaC changes in both groups.** In group Multi, the Conf(Test=>Inf) metric has a higher value (median value of 0.2578) than Conf(Production=>Inf) (median value of 0.0885) and Conf(Build=>Inf) (median value of 0.1058). This means that one quarter of the commits changing test files also needs to change infrastructure files. Furthermore, infrastructure files also have a relatively high coupling with build files, i.e., around 11% of commits changing build files need to change infrastructure files as well. The observations in group Single follow the same trend.

**The observed high confidence values are statistically significant in the majority of projects.** Using a chi-square test on the confidence values, we found that in group Multi, among 155 projects, in 97 of them we observe a significant coupling between infrastructure and test files, and in 90 of them we observe a significant coupling between Infrastructure and Production files. In contrast, in only 2 of them we observe a significant coupling between Infrastructure and Build files. This means that the latter co-change relation statistically speaking is not unexpected, whereas the former ones are much stronger than would be expected by chance. In group "Single", among 110 projects, we found 33 that had a significant coupling between Infrastructure and Test files, and 35 of them that had a significant coupling between Infrastructure and production files, while there was no significant coupling observed between Infrastructure and Build files. Although the co-change relations with test and production files are less strong than for the Multi group, they are still significant for many projects.

**The most common reasons for the coupling between infrastructure and Build files are Refactoring and Update.**

Table III contains the resulting seven clusters from our card sort analysis. Those clusters group the different rationales that we identified by manually analyzing 100 commits. The table also contains for each cluster the percentage of the 100 commits that mapped to that cluster. Since each commit mapped to one cluster, the proportions add up to 100%.

The coupling between IaC and build files only had the third highest median Confidence. Coincidentally, the reasons for this coupling turn out to be simple, with three of the seven reasons absent. The most common reasons for this coupling include refactoring and updating files of both file categories because they share the same global parameters.

**The most common reasons for the coupling between Infrastructure and Production files are External dependencies and Initialization.** The most common reason for this coupling are changes in the IaC files to external dependencies like Ruby packages that require corresponding changes to the production files where these dependencies are used. Another common reason is initialization. If the project initializes a new instance of a client instance, it needs to initialize the parameters in the infrastructure file and add new source code for it.

**The most common reasons for the coupling between infrastructure and test files are "Integration" and "Update".** The coupling between infrastructure and test files has the highest value, and the reasons are spread across all seven reasons (similar to the coupling between Infrastructure and Production). The most frequent reason is integrating new test modules into a project and updating the configuration for the testing process in the IaC files as well as in the test files.

*Infrastructure files are changed less than the other file categories. The changes to Infrastructure files are tightly coupled with the changes to Test and Production files. The most common reasons for the coupling between Infrastructure and Test are "Integration" and "Update".*

RQ2) Who changes infrastructure code?

**Motivation:** Herzig et al. [36] studied the impact of test ownership and team social structure on the testing effectiveness and reliability and found that they had a strong correlation. This means that in addition to the code-change relations of RQ1, we also need to check the relationship between the developers, i.e., the ownership among different file categories. Even though test or code changes might require IaC changes, it likely makes a difference whether a regular tester or developer makes such a change compared to an IaC expert.

**Approach:** First, we need to identify the ownership for each category. For this, we check the author of each commit. If the commit changes an infrastructure file, then we identify that commit's author as infrastructure developer. An author can have multiple identifications, e.g., one can be an infrastructure file and production developer at the same time (even for the same commit). We ignore those developers whose commits only change the files of the "Other" category.

We then compute the RQ1 metrics, but this time for the change ownership. Supp(Infrastructure) indicates the percent-

TABLE III: The reasons for high coupling and examples based on a sample of 300 (100\*3) commits with confidence of 0.05.

| Reason                                | IaC & Build                                                                                                                                                                                                                                                                                                                                                      |            | IaC & Production                                                                                                                                                                 |            | IaC & Test                                                                                                                                                                                                                                                                                                   |            |
|---------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|
| Initialization                        | N/A                                                                                                                                                                                                                                                                                                                                                              | 0          | Initializing a new client instance needs to state copyright in both files.                                                                                                       | <b>29%</b> | Integrating a new test specification or testing a bug fix in the infrastructure file. Initializing the value of the parameters of global methods in both the infrastructure and test file. Enabling a new test guideline (i.e., how tests should be performed) in new repositories ( <b>most frequent</b> ). | 18%        |
| External dependency                   | N/A                                                                                                                                                                                                                                                                                                                                                              | 0          | Importing new packages called in the source code, and defining their globally shared parameters.                                                                                 | <b>33%</b> | Adding a new function for testing external libraries or modules, then configuring the imported external libraries or other modules deployed by infrastructure (e.g., access to GitHub interface). Removing excessive dependencies.                                                                           | 12%        |
| Textual Edit                          | Renaming, such as changing the project name from "Nailgun" to "FuelWeb".                                                                                                                                                                                                                                                                                         | 2%         | Re-formatting the text, or general cleanup like typos, quotes in global variables. Ensuring that a variable is changed consistently.                                             | 8%         | Adding the license header for both file categories. Changing the value of shared method parameters such as the private variables of a test case.                                                                                                                                                             | 3%         |
| Refactoring                           | Getting rid of a Ruby gems mirror. Cleaning up the global variables such as the location directory. Removing code duplication.                                                                                                                                                                                                                                   | <b>45%</b> | Removing old python schemas. Environment management overhaul. Changing coding standard and style.                                                                                | 7%         | Refactoring or cleaning up the test configurations in the infrastructure files. Getting rid of a module everywhere.                                                                                                                                                                                          | 14%        |
| Organization of development structure | N/A                                                                                                                                                                                                                                                                                                                                                              | 0          | Separating a macro definition in an infrastructure file, then changing the data schema in source files correspondingly. Disabling a global functionality in infrastructure file. | 10%        | Switching the default test repository.                                                                                                                                                                                                                                                                       | 3%         |
| Integration of new module             | Adding RPM package specifications in an infrastructure file for use in the packaging stage of the build files.                                                                                                                                                                                                                                                   | 9%         | Integrating global bug fixes, or a new external module, such as JIRA.                                                                                                            | 3%         | Enabling a new test module or integrating new test cases                                                                                                                                                                                                                                                     | <b>26%</b> |
| Update                                | Fixing errors in installation of packages. Ad-hoc change: changing Puppet manifest path in infrastructure file and build system bug fix in makefile. Changing installation configuration, such as installing from repos instead of mirrors, which requires removing the path and related parameters of the iso CD image in the infrastructure file and makefile. | <b>44%</b> | Updating external library dependencies, Changing global variables such as installation path. Defining a new function in infrastructure file, implemented in source code.         | 10%        | Updating test configuration (e.g., changing default test repo location or default parameter value that is initialized in infrastructure files)                                                                                                                                                               | <b>24%</b> |

age of developers changing infrastructure files out of the total number of developers. Supp(Infrastructure, Build) is the percentage of developers changing both infrastructure and build files out of the total number of developers. Conf(Infrastructure, Build) is the percentage of IaC developers that also change build files out of the total number of developers changing at least once at infrastructure file.

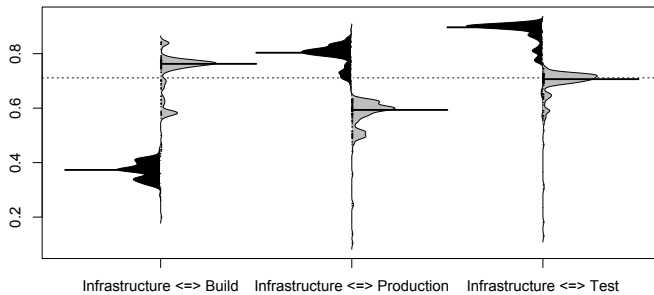


Fig. 9: Distribution of confidence values for the coupling relations involving the owners of IaC files (Group Multi).

**Result: Infrastructure developers have the lowest proportion among all developers while the production developers are the most common.** Table IV and Figure 9 show the measurements support and confidence metrics in terms of change ownership for the two groups of projects. Similar to

TABLE IV: Median Support and confidence values for the coupling relations involving IaC developers. Values larger than 0.5 are shown in bold.

|         | system         | Group Multi   | Group Single  |
|---------|----------------|---------------|---------------|
| Support | Infrastructure | 0.2744        | 0.2733        |
|         | Build          | <b>0.5392</b> | <b>0.5384</b> |
|         | Production     | <b>0.7378</b> | <b>0.7390</b> |
|         | Test           | <b>0.6978</b> | <b>0.6977</b> |
|         | Inf, Bld       | 0.2094        | 0.3726        |
|         | Inf, Prod      | 0.4442        | 0.4443        |
| Conf    | Inf, Test      | 0.4859        | 0.4825        |
|         | Inf => Bld     | 0.3732        | 0.3726        |
|         | Inf => Prod    | <b>0.8034</b> | <b>0.8021</b> |
|         | Inf => Test    | <b>0.8967</b> | <b>0.8962</b> |
|         | Bld => Inf     | <b>0.7625</b> | <b>0.7635</b> |
|         | Prod => Inf    | <b>0.5934</b> | <b>0.5940</b> |
|         | Test => Inf    | <b>0.7064</b> | <b>0.7156</b> |

RQ1, both groups have similar distribution trends, so we only show the beanplots for the Multi group.

We can see that, as expected, the developers of production code take up the highest proportion amongst all developers (with a median value of 0.6978), followed by test developers (median of 0.2744) and build developers (median of 0.5392).

The infrastructure developers take up the lowest proportion (median of 0.2744).

The high value of metrics  $\text{Supp}(\text{Inf}, \text{Prod})$  and  $\text{Supp}(\text{Inf}, \text{Test})$  (with median values of 0.4442 and 0.4859 respectively) indicate that almost half of all developers in their career have had to change at least one Infrastructure and Production file, or Infrastructure and Test file.

**The majority of the infrastructure developers also develop Production or Test files.** The  $\text{Conf}(\text{Inf} \Rightarrow \text{Prod})$  and  $\text{Conf}(\text{Inf} \Rightarrow \text{Test})$  both have a high value (with median of 0.8034 and 0.8967 respectively). This shows that most of the infrastructure developers are also production and test developers. In contrast, the metric  $\text{Supp}(\text{Inf} \Rightarrow \text{Bld})$  has the lowest value (median of 0.2094), which indicates that the developers changing infrastructure and build files respectively do not overlap substantially.

**All kinds of developers change the IaC files.** The  $\text{Conf}(\text{Bld} \Rightarrow \text{Inf})$ ,  $\text{Conf}(\text{Prod} \Rightarrow \text{Inf})$  and  $\text{Conf}(\text{Test} \Rightarrow \text{Inf})$  all have a very high value (median higher than 0.5). This shows that most of the build, production and test developers are infrastructure developers at the same time.

In particular,  $\text{Conf}(\text{Inf} \Rightarrow \text{Bld})$  has a lower value (median of 0.3732) compared to  $\text{Conf}(\text{Bld} \Rightarrow \text{Inf})$  (median of 0.7625). Build developers can be infrastructure developers, but the majority of infrastructure developers hardly change the build system, since so many other kinds of developers change the IaC files.

**There is significant coupling between the Infrastructure and Test, and Infrastructure and Production ownership in most of the projects.** In group **Multi**, for 107 projects we see that the coupling between Infrastructure and Test developers is significant, in 76 projects the coupling between Infrastructure and Production, and in 20 projects the coupling between Infrastructure and Build change ownership. In group **“Single”**, in 59 projects we see significant coupling between Infrastructure and Test developers, in 41 projects between Infrastructure and Production, and in 3 projects between Infrastructure and Build.

*The infrastructure developers take up the lowest proportion among all developers. Developers working on infrastructure files are normal developers that also work on production and test files.*

## VI. THREATS TO VALIDITY

*Construct validity threats* concern the relation between theory and observation. First of all, we use the confidence of association rules to measure how closely file categories and owners co-change in our research questions, similar to earlier work [4]. Furthermore, we use the monthly churn per file to measure the frequency of change and the number of changed lines of code to measure the amount of change. However, these metrics might not 100% reflect the actual coupling relationship and churn rate. Other metrics should be used to replicate our study and compare findings.

*Threats to internal validity* concern alternative explanations of our findings where noise could be introduced. During the

classification of different file categories, we adopted the semi-automatic approach of McIntosh et al. [4], consisting of a script to separate certain file categories, then manually classifying the remaining files. To mitigate bias, at first the first author of this paper did this classification, followed by an independent verification by the second author.

*Threats to external validity* concern the ability to generalize our results. Since we have only studied one large ecosystem of open source systems, it is difficult to generalize our findings to other open and closed source projects. However, because OpenStack consists of multiple projects, and also has adopted the two most popular infrastructure tools Puppet and Chef, it is a representative case study to analyze. Further studies should consider other open and closed source systems.

## VII. CONCLUSION

IaC (Infrastructure as Code) helps automate the process of configuring the environment in which the software product will be deployed. The basic idea is to treat the configuration files as source code files in a dedicated programming language, managed under version control. Ideally, this practice helps simplify the configuration behavior, shorten the release cycle, and reduce the possible inconsistencies introduced by manual work, however the amount of maintenance required for this new kind of source code file is unclear.

We empirically studied this maintenance in the context of the OpenStack project, which is a large-scale open source project providing a cloud platform. We studied 265 data repositories and found that the proportion of infrastructure files in each project varies from 3.85% to 11.11%, and their size is larger than for build files and the same order of magnitude of code and test files (median value of 2,486 in group **“Multi”** and 1,398 for groups **“Single”**). Furthermore, 28% of the infrastructure files are changed monthly, significantly more than build and test files. The average size of changes to infrastructure files is comparable to build files, with a median value of 5.25 in group **Multi** and 8 in group **Single** (in terms of LOC). In other words, although they are a relatively small group of files, they are quite large and change relatively frequently.

Furthermore, we found that the changes to infrastructure files are tightly coupled to changes to the test files, especially because of **“Integration”** of new test cases and **“Update”** of test configuration in the infrastructure file. Finally, infrastructure files are usually changed by regular developers instead of infrastructure experts.

Taking all these findings together, we believe that IaC files should be considered as source code files not just because of the use of a programming language, but also because their characteristics and maintenance needs show the same symptoms as build and source code files. Hence, more work is necessary to study bug-proneness of IaC files as well as help reduce the maintenance effort.

Note that our findings do not diminish the value of IaC files, since they provide an explicit specification of a software system’s environment that can automatically and consistently be deployed. Instead, we show that, due to their relation with the actual source code, care is needed when maintaining IaC files.

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