

Building a Collaborative Culture: A Grounded Theory of Well Succeeded DevOps Adoption in Practice

Welder Pinheiro Luz
Brazilian Federal Court of Accounts
Brasília, Brazil
welder.luz@tcu.gov.br

Gustavo Pinto
Federal University of Pará
Belém, Pará
gpinto@ufpa.br

Rodrigo Bonifácio
University of Brasília
Brasília, Brazil
rbonifacio@cic.unb.br

ABSTRACT

Background. DevOps is a set of practices and cultural values that aims to reduce the barriers between development and operations teams. Due to its increasing interest and imprecise definitions, existing research works have tried to characterize DevOps—mainly using a set of concepts and related practices.

Aims. Nevertheless, little is known about the *practitioners practitioners’ understanding* about successful paths for DevOps adoption. The lack of such understanding might hinder institutions to adopt DevOps practices. Therefore, our goal here is to present a theory about DevOps adoption, highlighting the main related concepts that contribute to its adoption in industry.

Method. Our work builds upon Classic Grounded Theory. We interviewed practitioners that contributed to DevOps adoption in 15 companies from different domains and across 5 countries. We empirically evaluate our model through a case study, whose goal is to increase the maturity level of DevOps adoption at the Brazilian Federal Court of Accounts, a Brazilian Government institution.

Results. This paper presents a model to improve both the understanding and guidance of DevOps adoption. The model increments the existing view of DevOps by explaining the role and motivation of each category (and their relationships) in the DevOps adoption process. We organize this model in terms of *DevOps enabler categories* and *DevOps outcome categories*. We provide evidence that *collaboration* is the core DevOps concern, contrasting with an existing wisdom that implanting specific tools to *automate building, deployment, and infrastructure provisioning and management* is enough to achieve DevOps.

Conclusions. Altogether, our results contribute to (a) generating an adequate understanding of DevOps, from the perspective of practitioners; and (b) assisting other institutions in the migration path towards DevOps adoption.

ACM Reference Format:

Welder Pinheiro Luz, Gustavo Pinto, and Rodrigo Bonifácio. 2018. Building a Collaborative Culture: A Grounded Theory of Well Succeeded DevOps Adoption in Practice. In *ACM / IEEE International Symposium on Empirical Software Engineering and Measurement (ESEM) (ESEM ’18)*, October 11–12, 2018, Oulu, Finland. ACM, New York, NY, USA, 10 pages. <https://doi.org/10.1145/3239235.3240299>

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ESEM ’18, October 11–12, 2018, Oulu, Finland
© 2018 Association for Computing Machinery.
ACM ISBN 978-1-4503-5823-1/18/10...\$15.00
<https://doi.org/10.1145/3239235.3240299>

1 INTRODUCTION

DevOps is a set of practices and cultural values that has emerged in the software development industry. Even before the existence of the term — a mix of “development” and “operations” words [16] — companies like Flickr [4] had already pointed out the need to break the existing separation between the operations and software development teams. Since then, the term has appeared without a clear delimitation and gained strength and interest in companies that perceived the benefits of applying agile practices in *operation tasks*. DevOps claimed benefits include increased organizational IT performance and productivity, cost reduction in software lifecycle, improvement in operational efficacy and efficiency, better quality of software products and greater business alignment between development and operations teams [8, 20, 24]. However, the adoption of DevOps is still a challenging task, because there is a plethora of information, practices, and tools related to DevOps, but it is still unclear how one could leverage such rich, yet scattered, information in an organized and structured way to properly adopt DevOps.

Existing research works have proposed a number of DevOps characterizations, for instance, as a set of concepts with related practices [1, 8, 10, 22, 23, 25]. Although some of these studies leverage qualitative approaches to gather practitioners’ perception (for instance, conducting interviews with them), they focus on characterizing DevOps, instead of providing recommendations to assist on DevOps adoption. Consequently, our **research problem** is that the obtained DevOps characterizations allow a comprehensive understanding of the elements that constitute DevOps, but do not provide detailed guidance to support newcomers interested in adopting DevOps. As a consequence, many practical and timely questions still remain open, for instance: (1) Is there any recommended path to adopt DevOps? (2) Since DevOps is composed by multiple elements [22], do these elements have the same relevance, when adopting DevOps? (3) What is the role played by elements such as measurement, sharing, and automation in a DevOps adoption? To answer these questions, we need a holistic understanding of the paths followed in successful DevOps adoptions.

In this paper, we present a model based on the perceptions of practitioners from 15 companies across five countries that successfully adopted DevOps. The model was constructed based on a classic Grounded Theory (GT) approach, and make clear that practitioners interested in adopting DevOps should focus on building a **collaborative culture**, which prevents common pitfalls related to focusing on tooling or automation. We instantiated our model in the Brazilian Federal Court of Accounts (hereafter TCU), a Brazilian Federal Government institution. TCU was bogged down in implanting specific DevOps tools, repeating the same non-DevOps problems, with conflicts between development and operations teams about how

to divide the responsibilities related to different facets in the intersection between software development and software provisioning. When instantiated, our model helped TCU to change its focus to improve the collaboration between teams, and to use the tooling to support (rather than being the goal of) the entire process. The main contributions of this paper are the following:

- A model, based on the classic Grounded Theory approach, that could support practitioners interested in adopting DevOps, based on evidence acquired from their industry peers;
- An instantiation of this model in a real world, non-trivial context. TCU is different from the typical *tech companies* that have successfully reported the adoption of DevOps, though the use of our model there have brought several benefits and now DevOps practices have been disseminated at TCU.

2 RESEARCH METHOD

We used Grounded Theory (GT) as the research method. GT was originally proposed by Glaser and Strauss [12]. As distinguishing features, it has (1) the absence of clear research hypothesis upfront and (2) limited exposure to the literature at the beginning of the research. GT is a theory-development approach (the hypothesis emerge as a result of a investigation), in contrast with more traditional theory-testing approaches [7]—e.g., those that use statistical methods to either confirm or refute pre-established hypothesis.

We used GT as the research method due to three main reasons. First, GT is a consolidated method in other areas of research— notably medical sociology [6], nursing [5], education [17] and management [19]. GT is also being increasingly employed to study software engineering topics [2, 13, 26]. Second, GT is considered an adequate approach to answer research questions that aims to characterize scenarios under a personal perspective of those engaged in a discipline or activity [5], which is exactly the scenario here: what are the successful adoption paths for DevOps? Finally, GT allows researchers to build an independent and original understanding, which is adequate to collect empirical evidence directly from the practice on industry without bias of previous research. The evidence is only reintegrated back with the existing literature after the step of theory construction.

Since the publication of the original version of GT [12], several modifications and variations have been proposed to the method, coming to exist at least seven different versions [9]. Here we chose the classic version, mainly because we did not have a research question at the beginning of our research, exactly as suggested in this version. We actually started from an area of interest: successful DevOps adoption in industry. In addition, research works in software engineering that leverage GT predominantly use this version [26]. We carried out our research using an existing guideline about how to conduct a Grounded Theory [2] research. This guideline organizes a GT investigation in 3 steps: *Open Coding* Data Collection, *Selective Coding* Data Analysis, and *Theoretical Coding*.

- (A) **Open Coding Data Collection.** We started our research by collecting and analyzing data from companies that claim to have successfully adopted DevOps. To this end, we have conducted a *raw data analysis* that searches for patterns of incidents to indicate concepts, and then grouped these concepts into categories [26].

- (B) **Selective Coding Data Analysis.** In the second step, we evolve the initial set of categories by comparing new incidents with the previous ones. Here the goal is to identify a “core category” [26]. The core category is responsible for enabling the integration of the other categories and structuring the results into a dense and consolidated grounded theory [18]. The identification of the core category represents the end of the open-coding phase and the beginning of the selective coding. In selective coding, we only considered the specific variables that are directly related to the core category, in order to enable the production of an harmonic theory [7, 14]. Selective coding ends when we achieve a theoretical saturation, which occurs when the last few participants provided more evidence and examples but no new concepts or categories [12].
- (C) **Theoretical Coding.** After saturation, we built a theory that explains the categories and the relationships between the categories. Additionally, we reintegrated our theory with the existing literature, which allowed us to compare our proposal with other theories about DevOps. That is, using a Grounded Theory approach, one should only conduct a literature review in later stages of a research, in order to avoid external influences to conceive a theory [3].

Throughout the process, we wrote memos capturing thoughts and analytic processes; the memos support the emerging concepts, categories, and their relationships [3].

Regarding data collection, we conducted semi-structured interviews with 15 practitioners of companies from Brazil, Ireland, Portugal, Spain, and United States that contributed to DevOps adoption processes in their companies. Participants were recruited by using two approaches: (1) through direct contact in a *DevOpsDays* event in Brazil and (2) through general calls for participation posted on DevOps user groups, social networks, and local communities. In order to achieve a heterogeneous perspective and increase the wealth of information in the results, we consulted practitioners from a variety of companies. Table 1 presents the characteristics of the participants that accepted our invitation. To maintain anonymity, in conformance with the human ethics guidelines, hereafter we will refer to the participants as P1–P15 (first column). *We assumed a non-disclosure agreement with the investigated companies to use the data only in the context of our study and, therefore, we can not disclose them.*

The interviews were conducted between April 2017 and April 2018 by means of Skype calls with minimum duration of 20 minutes, maximum of 50 and an average of 31. Data collection and analysis were iterative so the collected data helped to guide future interviews. Questions evolved according to the progress of the research. We started with five open-ended questions: (1) What motivated the adoption of DevOps? (2) What does DevOps adoption mean in the context of your company? (3) How was DevOps adopted in your company? (4) What were the results of adopting DevOps? And (5) what were the main difficulties?

As the analyzes were being carried out, new questions were added to the script. These new questions were related to the concepts and categories identified in previous interviews. Examples of new questions include: (1) What is the relationship between

Table 1: Participant Profile. SX means software development experience in years, DX means DevOps experience in years, CN means country of work, and CS means company size (S<100; M<1000; L<5000; XL>5000).

P#	Job Title	SX	DX	CN	Domain	CS
P1	DevOps Developer	9	2	IR	IT	S
P2	DevOps Consult.	9	3	BR	IT	M
P3	DevOps Developer	8	1	IR	IT	S
P4	Computer Tech.	10	2	BR	Health	S
P5	Systems Engineer	10	3	SP	Telecom	XL
P6	Developer	3	1	PO	IT	S
P7	Support Analyst	15	2	BR	Telecom	L
P8	DevOps Engineer	20	9	BR	Marketing	M
P9	IT Manager	14	8	BR	IT	M
P10	Network Admin.	15	3	BR	IT	S
P11	DevOps Superv.	6	4	BR	IT	M
P12	Cloud Engineer	9	3	US	IT	L
P13	Technology Mngr.	18	6	BR	Food	M
P14	IT Manager	7	2	BR	IT	S
P15	Developer	3	2	BR	IT	S

deployment automation and DevOps adoption? (2) Is it possible to adopt DevOps without automation? (3) How has your company fostered a collaborative culture?

With respect to *data analysis*, the interviews were recorded, transcribed, and analyzed. The interviews with participants from Brazil and Portugal were conducted in Portuguese and later translated into English. The first moment of the analysis, called open coding in GT, starts immediately after the transcription of the first interview. Open coding lasted until there was no doubt about the core category of the study. Similar to that described by Adolph et al. [3], we started considering a core category candidate and changed later. The first core category candidate was *automation*, but we realized that this category did not explain most of the behaviors or events in data. The sense of shared responsibilities in solving problems, and the notion of product thinking are examples of events that could not be naturally explained around *automation*. We then started to understand that *collaborative culture* also appeared recurrently in the analysis and with more potential to explain the remaining events. Thus, we asked explicitly about the role of *automation* and how the *collaborative culture* is formed in a DevOps adoption process.

Considering the script adaptations and the analysis of new data in a constant comparison process, taking into account the previous analyses and the respective memos written during all the process, after the tenth interview, we concluded that *collaborative culture* was unequivocally the core category regarding how DevOps was successfully adopted. At this moment, the open coded ended and the selective coding started. We started by restricting the coding only to specific variables that were directly related to the core category and their relationships. Following three more interviews and respective analysis, we realized that the new data added less and less content to the emerging theory. That is, the explanation around how the *collaborative culture* category is developed showed signs

of saturation. We then conducted two more interviews to conclude that we had reached a theoretical saturation, that is, we were convinced there were no more enablers or outcomes related to DevOps adoption, the relationship between all of them was adequate and the properties of core category were well developed.

At this point, we started the theoretical coding to find a way to integrate all the concepts, categories, and memos in the form of a cohesive and homogeneous theory, where we have pointed out the role of the categories as enablers and outcomes. We will present more details about the results of our theoretical coding phase in the next section. To illustrate the coding procedures, we will show a working example from an interview transcription to a category. It is important to note that *raw interview transcripts* are full of noise. We started the coding by removing this noise and identifying the key points. Key points are summarized points from sections of the interview [11]. For example:

Raw data: “So, here we have adopted this type of strategy that is the infrastructure as code, consequently we have the versioning of our entire infrastructure in a common language, in such a way that any person, a developer, an architect, the operations guy, or even the manager, he can look at it and describe that the configuration of application x is y . So, it aggregates too much value for us exactly with more transparency”

Key point: “Infrastructure as code contributes to transparency because it enables the infrastructure versioning in a common language to all professionals”

We then assigned codes to the key point. A code is a phrase that summarizes the key point and one key point can lead to several codes [13].

Code: *Infrastructure as code contributes to transparency*

Code: *Infrastructure as code provides a common language*

In this example, the concept that emerged was “infrastructure as code”. The expression corresponding to this concept comes directly from raw data, but this is not a rule. It is common for the concept to be an abstraction, without emerging from an expression present in raw data. At this moment, we already identified other concepts that contribute to transparency. We wrote the following memo:

Memo: *Similar to sharing on a regular basis and shared pipelines, the concept of infrastructure as code is an important transparency related one. These transparency related concepts have often been cited as means to achieve greater collaboration between teams.*

The constant comparison method was repeated on the concepts to produce a third level of abstraction called categories. Infrastructure as code was grouped together with five other concepts into the **sharing and transparency** category.

3 CATEGORIES AND CONCEPTS

Here we detail our understanding of the core category of DevOps adoption (*collaborative culture*) and relate it to categories that either work as DevOps **enablers** or are expected **outcomes** of a DevOps adoption process. We have highlighted the concepts along with raw data quotes from the interviews.

3.1 The Core Category: Collaborative Culture

The *collaborative culture* is the core category for DevOps adoption. A *collaborative culture* essentially aims to remove the silos

between development and operations teams and activities. As a result, operations tasks—like deployment, infrastructure provisioning management, and monitoring— should be considered as regular, day-to-day, development activities. This leads to the first concept related to this core category: **operations tasks should be performed by the development teams in a seamless way.**

“A very important step was to bring the deployment into day-to-day development, no waiting anymore for a specific day of the week or month. We wanted to do deployment all the time. Even if in a first moment it were not in production, a staging environment was enough. [...] Of course, to carry out the deployment continuously, we had to provide all the necessary infrastructure at the same pace.” (P14, IT Manager, Brazil)

Without DevOps, a common scenario is an accelerated software development without concerns about operations. At the end, when the development team has a minimum viable software product, it is sent to the operations team for publication. Knowing few things about the nature of the software and how it was produced, the operations team has to create and configure an environment and to publish the software. In this scenario, software delivery is typically delayed and conflicts between teams show up. When a **collaborative culture** is fomented, teams collaborate to perform the tasks from the first day of software development. With the constant exercise of provisioning, management, configuration and deployment practices, software delivery becomes more natural, reducing delays and, consequently, the conflicts between teams.

“We work using an agile approach, planning 15-day sprints where we focused on producing software and producing new releases at a high frequency. However, at the time of delivering the software, complications started to appear. (...) Deliveries often delayed for weeks, which was not good neither for us nor for stakeholders.” (P6, Developer, Portugal)

As a result of constructing a **collaborative culture**, the development team no longer needs to halt its work waiting for the creation of one application server, or for the execution of some database script, or for the publication of a new version of the software in a staging environment. Everyone needs to know the way this is done and, with the collaboration of the operations team, this can be performed in a regular basis. If any task can be performed by the development team and there is trust between the teams, this task is incorporated into the development process in a natural way, manifesting the second concept related to **collaborative culture** category: **software development empowerment.**

“It was not feasible to have so many developers generating artifacts and stopping their work to wait for another completely separate team to publish it. Or needing a test environment and having to wait for the operations team to provide it only when possible. These activities have to be available to quickly serve the development team. With DevOps we supply the need for freedom and have more power to execute some tasks that are intrinsically linked to their work.” (P5, Systems Engineer, Spain)

A **collaborative culture** requires **product thinking**, in substitution to **operations or development thinking**. The development team has to understand that the software is a product that does not end after “pushing” the code to a project’s repository and the operations team has to understand that its processes do not start when an artifact is received for publication. **Product thinking** is the third concept related to our core category.

“We wanted to hire people who could have a product vision. People who could see the problem and think of the best solution to it, not only thinking of a software solution, but also the moment when that application will be published. We also brought together developers to reinforce that everyone has to think of the product and not only in their code or in their infrastructure” (P12, Cloud Engineer, United States)

There should be a **straightforward communication** between teams. Ticketing systems are cited as a typical and inappropriate means of communication between development and operations teams. Face-to-face communication is the best option, but considering that it is not always feasible, the continuous use of tools like *Slack* and *Hip Chat* was cited as appropriate options.

“We also use this tool (Hip Chat) as a way to facilitate communication between development and operations teams. The pace of work there is very accelerated, and thus it is not feasible to have a bureaucratic communication. (...) This gave us a lot of freedom to the development activities, in case of any doubt, the operations staff is within the reach of a message.” (P5, Systems Engineer, Spain)

There is a **shared** responsibility to identify and fix the issues of a software when transitioning to production. The strategy of avoiding liability should be kept away. The development team must not say that a given issue is a problem in the infrastructure, then it is responsibility of the operations team. Likewise, the operations team must not say that a given failure was motivated by a problem in the application, then it is development team’s responsibility. A **blameless** context must exist. The teams need to focus on solving problems, not on laying the blame on others and running away from the responsibility. The context of **shared responsibilities** involves not only solving problems, but also any other responsibility inherent in the software product must be shared. **Blameless** and **shared responsibilities** are the remaining concepts of the core category.

“We realized that some people were afraid of making mistakes. Our culture was not strong enough to make everyone feel comfortable to innovate and experiment without fear of making mistakes. We made a great effort to spread this idea that no-one is to be blamed for any problem that may occur. We take every possible measure to avoid failures, but they will happen, and only without blaming others we will be able to solve a problem quickly.” (P8, DevOps Engineer, Brazil)

At first glance, considering the creation and strengthening of the **collaborative culture** as the most important step towards DevOps adoption seems somewhat obvious, but the respondents cited some

mistakes that they consider recurrent in not prioritizing this aspect in a DevOps adoption:

“In a DevOps adoption, there is a very strong cultural issue that the teams sometimes are not adapted to. Regarding that, one thing that bothers me a lot and that I see very often is people hitching DevOps exclusively by tooling or automation.” (P9, IT Manager, Brazil)

Besides the core category (**collaborative culture**), we have identified three other sets of categories: the enablers of DevOps adoption, the consequences of adopting DevOps, and the categories that are both enablers and consequences.

3.2 Enabler Categories

Below, we detail the categories that support the adoption of DevOps practices, including **automation**, **sharing** and **transparency**.

3.2.1 Automation. This category presents the higher number of related concepts. This occurs because manual proceedings are considered strong candidates to propitiate the formation of a silo, hindering the construction of a **collaborative culture**. If a task is manual, a single person or team will be responsible to execute it. Although **transparency** and **sharing** can be used to ensure collaboration even in manual tasks, with automation the points where silos may arise are minimized.

“When a developer needed to build a new application, the previous workflow demanded him to create a ticket to the operations teams, which should then manually evaluate and solve the requested issue. This task could take a lot of time and there was no visibility between teams about what was going on (...). Today, those silos do not exist anymore within the company, in particular because it is not necessary to execute all these tasks manually. Everything has been automated.” (P12, Cloud Engineer, United States)

In addition to contributing to **transparency**, **automation** is also considered important to ensure **reproducibility** of tasks, reducing rework and risk of human failure. Consequently, **automation** increases the confidence between teams, which is an important aspect of the **collaborative culture**.

“Before we adopted DevOps, there was a lot of manual work. For example, if you needed to create a database schema, it was a manual process; if you needed to create a database server, it was a manual process; if you needed to create additional EC2^a instances, such a process was also manual. This manual work was time consuming and often caused errors and rework.” (P1, DevOps Developer, Ireland)

^aAmazon Elastic Compute Cloud

The eight concepts of the **automation** category will be detailed next. In all interviews we extracted explanations about **deployment automation** (1), as part of DevOps adoption. Software delivery is the clearest manifestation of value delivery in software development. In case of problems in deployment, the expectation of delivering value to business can quickly generate conflicts and manifest the existence of silos. In this sense, **automation** typically

increases agility and reliability. Some other concepts of automation go exactly around deployment automation.

It is important to note that frequent and successfully deployments are not sufficient to generate value to business. Surely, the quality of the software is more relevant. Therefore, quality checks need to be automated as well, so they can be part of the deployment pipeline, as is the case of **test automation** (2). In addition, to automate application deployment, the environment where the application will run needs to be available. So, **infrastructure provisioning automation** (3) must be also considered in the process. Besides being available, the environment needs to be properly configured, including the amount of memory and CPU, availability of the correct libraries versions, and database structure. If the configuration of some of these concerns has not been automated, the deployment activity can go wrong. Therefore, the automation of **infrastructure management** (4) is another concept of the **automation** category.

Modern software is built around services. Microservices was commonly cited as one aspect of DevOps adoption. To Fowler and Lewis [21], in the microservice architectural style, services need to be independently deployable by fully automated deployment machinery. We call this part of microservices characteristics of **autonomous services** (5). **Containerization** (6) is also mentioned as a way to automate the provisioning of containers—the environment where these autonomous services will execute. **Monitoring automation** (7) and **recovery automation** (8) are the remaining concepts. The first refers to the ability to monitor the applications and infrastructure without human intervention. One classic example is the widespread use of tools for sending messages reporting alarms—through SMS, Slack/Hip Chat, or even cellphone calls—in case of incidents. And the second is related to the ability to either replace a component that is not working or roll back a failed deployment without human intervention.

3.2.2 Transparency and Sharing. It represents the grouping of concepts emerged from recurrent interviews that help to disseminate concepts and activities. Training, tech talks, committees lectures, and round tables are examples of these events. Creating channels by using communication tools is another recurrent topic related to **sharing** along the processes of DevOps adoption. According to the content of what is shared, we have identified three main concepts:

- Knowledge sharing: the professionals interviewed mention a wide range of skills they need to acquire during the adoption of DevOps, citing structured sharing events to smooth the learning curve of both technical and cultural knowledge.
- Activities sharing: where the focus is on sharing how simple tasks can or should be performed (e.g., sharing how a bug has been solved). Communication tools, committees, and round tables are the common forum for sharing this type of content.
- Process sharing: here, the focus is on sharing whole working processes (e.g., the working process used to provide a new application server). The content is more comprehensive than in sharing activities. Tech talks and lectures are the common forum for sharing processes.

Sharing concepts contribute with the **collaborative culture**. For example, all team members gain best insight about the entire software production process, with a solid understanding of shared responsibilities. A shared vocabulary also emerged from **sharing** and this facilitates communication.

The use of **infrastructure as code** was recurrently cited as a means for guaranteeing that everyone knows how the execution environment of an application is provided and managed. Bellow, is an interview transcript which sums up this concept.

“So, here we have adopted this type of strategy that is the infrastructure as code, consequently we have the versioning of our entire infrastructure in a common language, in such a way that any person, a developer, an architect, the operations guy, or even the manager, he can look at it and describe that the configuration of application x is y . So, it aggregates too much value for us exactly with more transparency.” (P12, Cloud Engineer, United States)

Regarding **transparency and sharing**, we have also found the concept of **sharing on a regular basis**, which suggests that sharing should be embedded in the process of software development, in order to contribute effectively to transparency (e.g., daily meetings with Dev and Ops staff together was one practice cited to achieve this). As we will detail in the **continuous integration** concept of the **agility** category, a common way to integrate all tasks is a pipeline. Here, we have the concept of **shared pipelines**, which indicates that the code of pipelines must be accessible to everyone, in order to foment transparency.

“The code of how the infrastructure is made is open to developers and the sysadmins need to know some aspects of how the application code is built. The code of our pipelines is accessible to everyone in the company to know how activities are automated” (P13, Technology Manager, Brazil)

3.3 Categories related to the DevOps adoption outcomes

In this section we detail the categories that correspond to the expected consequences with the adoption of DevOps practices, including **agility** and **resilience**; as discussed as follows.

3.3.1 Agility. Agility is frequently discussed as a major outcome of DevOps adoption. With more collaboration between teams, **continuous integration** with the execution of multidisciplinary pipelines is possible, and it is an agile related concept frequently explored. These pipelines might contain infrastructure provisioning, automated regression testing, code analysis, automated deployment and any other task considered important to continuously execute.

These pipelines encourage two other agile concepts: **continuous infrastructure provisioning** and **continuous deployment**. The latter is one of the most recurrent concepts identified in the interview analysis. Before DevOps, deployment had been seen as a major event with high risk of downtime and failure involved. After DevOps, the sensation of risk in deployment decreases and this activity became more natural and frequent. Some practitioners claim to perform dozens of deployments daily.

3.3.2 Resilience. Also related to an expected outcome of adopting DevOps, **resilience** refers to the ability of applications to adapt quickly to adverse situations. The first related concept is **auto scaling**—i.e., allocating more or fewer resources to applications that increase or decrease on demand. Another concept related to the **resilience** category is **recovery automation**, that is the capability that applications and infrastructure have to recovery itself in case of failures. There are two typical cases of recovery automation: (1) in cases of instability in the execution environment of an application (a container, for example) an automatic restart of that environment will occur; and (2) in cases of new version deployment, if the new version does not work properly, the previous one must be restored. This auto restore of a previous version decrease the chances of downtimes due to errors in specific versions, which is the concept of **zero down-time**, the last one of the **resilience** category.

3.4 Categories that are both Enablers and Outcomes

Finally, we will detail bellow the categories that are both enablers and outcomes, including **continuous measurement** and **quality assurance**; as discussed as follows.

3.4.1 Continuous Measurement. As an enabler, regularly performing the measurement and sharing activities contributes to avoiding existing silos and reinforces the **collaborative culture**, because it is considered a typical responsibility of the operations team.

“Before, we had only sporadic looks to zabbix^a to check if everything was OK. At most someone would stop to look memory and CPU consumption. To maintain the quality of services, we expanded this view of metrics collection so that it became part of the software product. We then started to collect metrics continuously and with shared responsibilities. For example, if an overflow occurred in the number of database connections, everyone received an alert and had the responsibility to find solutions to that problem.” (P3, DevOps Developer, Ireland)

^a<https://www.zabbix.com/>

As an outcome, the continuously collection of metrics from applications and infrastructure was appointed as a necessary behavior of the teams after the adoption of DevOps. It occurs because the resultant agility increases the risk of something going wrong. The teams should be able to react quickly in case of problems, and the continuous measurement allows it to be proactive and resilient.

“With DevOps we can do deployment all the time and, consequently, there was a need for greater control of what was happening. So, we used grafana^a and prometheus^b to follow everything that is happening in the infrastructure and in the applications. We have a complete dashboard in real time, we extract reports and, when something goes wrong, we are the first to know.” (P10, Network Administrator, Brazil)

^a<https://grafana.com/>

^b<https://prometheus.io/>

Continuous monitoring involves **application log monitoring** (1), a concept that corresponds to the use of the log produced by

applications and infrastructure as data source. The concept of **continuous infrastructure monitoring** (2) indicates that the monitoring is not performed by a specific person or team in a specific moment. The responsibility to monitor the infrastructure is shared and it is executed on a daily basis. **Continuous application measurement** (3), in turn, refers to the instrumentation to provide metrics that are used to evaluate aspects and often direct evolution or business decisions. All this monitoring/measurement can occur in an automated way, the **monitoring automation** has already been detailed in subsection 3.2.1.

3.4.2 Quality Assurance. In the same way as continuous measurement, quality assurance is a category that can work both as enabler and as outcome. As enabler because increasing quality leads to more confidence between the teams, which in the end generates a virtuous cycle of collaboration. As outcome, the principle is that it is not feasible to create a scenario of continuous delivery of software with no control regarding the quality of the products and its production processes.

Respondents pointed to the need for a sophisticated control of which code should be part of deliverables that are continuously delivered. Git Flow was recurrently cited as a suitable **code branching** (1) model, the first concept of quality assurance. In a previous section, we explored the automation face of microservices and testing. These elements have also a quality assurance face. Another characteristic of microservices is the need for small services focusing in doing only one thing. These small services are easier to scale and structure, which manifest a quality assurance concept: **cohesive services** (2). Regarding testing, another face is **continuous testing** (3). To ensure quality in software products, we found that tests (as well as other quality checks) should occur continuously. Continuous testing is considered challenging without automation, and this reinforces the need for automated tests.

Another two concepts cited as part of quality assurance in DevOps adoption are the use of **source code static analysis** (4) to compute quality metrics in source code and the **parity between environments** (development, staging and production) to reinforce transparency and collaboration during software development.

4 A THEORY ON DEVOPS ADOPTION

The results of a grounded theory study, as the name of the method itself suggests, are grounded on the collected data, so the hypotheses emerge from data. A grounded theory should describe the key relationships between the categories that compose it, i.e., a set of inter-related hypotheses [13]. We present the categories of our grounded theory about DevOps adoption as a network of the two categories of enablers (**automation, sharing and transparency**) that are commonly used to develop the core category **collaborative culture**, as discussed in the previous section. Based on our understanding, implementing the enablers to develop the **collaborative culture** typically leads to concepts related to two categories of expected outcomes: **agility** and **resilience**. Moreover, there are two categories that can be considered both as enablers and as outcomes: **continuous measurement** and **quality assurance**. In this section, we describe the relationships between those categories, building a theory of DevOps adoption.

4.1 A General Path for DevOps Adoption

In Section 1 we presented the general question of this research: is there any recommended path to adopt DevOps? Here, we elaborated a response, based on the analyses conducted as detailed in Section 2. The main point that should be formulated is the construction of a **collaborative culture** between the software development and operations teams and related activities. According to our findings, the other categories, many of which are also present in other studies that have investigated DevOps, only make sense if the practices and concepts related to them either contribute to the level of a **collaborative culture** or lead to the expected consequences of a **collaborative culture**. This understanding induces several hypothesis, as shown below.

Hypothesis 1: *Certain categories related to DevOps adoption only make sense if used to increase the collaborative culture level. We call this set of categories of enablers.*

Based on this first hypothesis, the maturity of DevOps adoption does not advance in situations where only one team is responsible to understand, adapt, or evolve automation—even when such automation supports different activities like deployment, infrastructure provisioning and monitoring. The same holds for the other **enabling** categories. That is, in situations that **transparency and sharing** do not contribute to the **collaborative culture**, they do not contribute to DevOps adoption as a whole. Some examples that support our first hypothesis include:

“DevOps involves tooling, but DevOps is not tooling. That is, people often focus on using tools that are called ‘DevOps tools’, believing that this is what DevOps is. I always insist that DevOps is not tooling, DevOps involves the proper user of tools to improve software development procedures.” (P2, DevOps Consultant, Brazil)

Hypothesis 2: *Some other categories are not related to DevOps adoption for contributing to increase the collaborative culture level, but for emerging as an expected or necessary consequence of the adoption. These categories represent the set of outcomes.*

In a first moment, the simple fact that a team is more **agile** in delivering software, or more **resilient** in failure recovery, does not contribute directly to bringing operations teams closer to development teams. Nevertheless, a signal of a mature DevOps adoption is an increased capacity for continuously delivering software (and thus being more **agile**) and for building **resilient** infrastructures.

Hypothesis 3: *The categories Continuous Measurement and Quality Assurance are both related to DevOps enabling capacity and to DevOps outcomes.*

Measurement is cited as a typical responsibility of the operations team. At the same time that sharing this responsibility reduces silos, it is also cited that measurement is a necessary consequence of DevOps adoption. Particularly because the continuous delivery of software requires more control, which is supplied by concepts related to the **continuous measurement** category. The same premise is

valid to the *quality assurance* category. At first glance, *quality assurance* appears as one response to the context of agility in operations as a result of DevOps adoption. But, the efforts in quality assurance of software products increase the confidence between the development and operations teams, increasing the level of *collaborative culture*.

Altogether, DevOps enablers are the means commonly used to increase the level of the *collaborative culture* in a DevOps adoption process. We have identified five categories of DevOps enablers: *Automation*, *Continuous Measurement*, *Quality Assurance*, *Sharing*, and *Transparency*. Another finding of our study leads to our fourth hypothesis.

Hypothesis 4: *There is no precedence between enablers in a DevOps adoption process.*

We have realized that the adoption process might not have to prioritize any enabler, and a company that aims to implement DevOps should start with the enablers that seem more appropriate (in terms of its specificities). Accordingly, we did not find any evidence that an enabler is more efficient than another for creating a *collaborative culture*. *Automation* is the category that appears more frequently in our study, though several participants make clear that associating DevOps with automation is a misconception.

“I think that the expansion of collaboration between teams involved other things. It was not just automation. There must be an alignment with the business needs. (...) I think that DevOps enabled a broader understanding of software production and we realized the very fact that it is not about automating everything. (...) So, I see with caution a supposed vision that automating things can be the way to implement DevOps.” (P7, Support Analyst, Brazil)

DevOps outcomes is that group of categories that does not primarily produce the expected effect of a DevOps enabler, typically concepts that are expected as consequences of an adoption of DevOps. We have identified four categories that can work as DevOps outcomes: *agility*, *continuous measurement*, *quality assurance*, and *software resilience*. Note that, as mentioned before, *continuous measurement* and *quality assurance* are both enablers and outcomes.

That is, a well succeeded DevOps adoption typically increases the potential of *agility* of teams and enables *continuous measurement*, *quality assurance* and *resilience* of applications. However, in some situations, this potential is not completely used due to business decisions. For example, one respondent cited that, at a first moment, the company did not allow the continuous deployment (more potential of agility) of applications in production:

“We had conditions and security to continuously publish in production, however, in the beginning, the managers were afraid and decided that the publication would happen weekly.” (P9, IT Manager, Brazil)

4.2 A Model for DevOps Adoption and Its Application

Based on H1-H4 hypothesis, we present a three step model that explains how to adopt DevOps according to our understanding. The model considers the following steps:

- (1) In the first step, a company should disseminate that the goal with a DevOps adoption is to establish a *collaborative culture* between development and operations teams.
- (2) In the second step, a company should select and develop the most suitable enablers according to its context. The enablers are means commonly used to develop the *collaborative culture* and its concepts.
- (3) In the third step, a company should check the outcomes of the DevOps adoption in order to verify the alignment with industrial practices and to explore them according to the company's need.

Our proposed model has been applied to guide the DevOps adoption at the Brazilian Federal Court of Accounts (TCU) where one of the authors of this study works as a software developer. The TCU is responsible for the accounting, financial, budget, performance, and property oversight of federal institutions and entities of the country. Currently, there are 2500 professionals working at the TCU, of which approximately 300 work directly on either software development or operations. The source code repository at the TCU hosts more than 200 software projects, totaling over 4 million lines of code. Before the application of our model, the TCU had produced some w.r.t deployment automation results and the focus was being directed to the tooling issue. Considering this incomplete perspective of DevOps, the conflicts between development and operations teams continued. That is, the mere advance in implanting “DevOps tools” simply changed the points of conflict, but they persisted.

After the presentation of our model in a series of lectures, development and operations teams changed their focus to build a *collaborative culture*. This change was only possible due to the engagement and sponsorship of the IT managers. Looking to the concepts within the *collaborative culture* category, the first practical action at the TCU was to facilitate communication between teams. The use of tickets was then abolished. The problems had to be solved in a collaborative way, preferably face to face. Looking to enablers, the TCU is applying *sharing* and *transparency* concepts. The role of internal tech talks and committees to disseminate that collaboration culture and related concepts is being reinforced. When a new infrastructure had to be provided and configured, the current guideline is that there must be a kind of *pair programming* between developers and infrastructure members. All application related tasks must be executed in a collaborative way. Naturally, the professionals noticed that automation would facilitate the operationalization of that collaboration. For this reason, the infrastructure provisioning and management was automated.

The TCU also uses continuous measurement and quality assurance concepts as enablers of its DevOps adoption. The applications started to be continuously tested and measured. The tests were automated and included in the pipelines. Verification of test coverage and quality code also became part of the pipeline. This increased the confidence between teams. The TCU started to explore the

potential of DevOps tools, like recovery automation, zero downtime, and auto scaling. The deployment has also been automated. It is important to note that, before DevOps, deployment activities were historically a controversial point at the TCU. Several conflicts occurred over time. Rigid procedures were created to try to avoid problems. These “rigid procedures” often led to periods of months without any software delivery. The more collaborative scenario, with a strong appeal in automation and quality, created by following an appropriate path in adopting DevOps, enabled the deployment activities to become a lightweight task at the TCU. Continuous deployment became a reality and, currently, several deployments occur as regular activities of the development teams at the TCU.

Since the TCU is a government institution, some advances in DevOps adoption still comes up against regulatory issues. For example, there are internal regulations that establish that only the operations sector is responsible for issues related to application infrastructure, contrasting with shared responsibilities that are part of the *collaborative culture*. Nevertheless, our model enabled the TCU to adopt DevOps in a more sustainable way. Knowing the role of each DevOps element in the adoption was fundamental for the TCU to avoid points of failure and to build a collaborative environment that supports the exploration of DevOps benefits.

5 THREATS TO VALIDITY

Regarding construct validity, we are actually relying on the subjective practitioners’ perception when we stated that we performed our study considering successful cases of DevOps adoptions. However, currently, there is no objective way to measure whether or not a DevOps adoption was successful. Although Grounded Theory offers rigorous procedures for data analysis, our qualitative research may contain some degree of research bias. Certainly, other researchers might form a different interpretation and theory after analyzing the same data, but we believe that the main perceptions would be preserved. This is a typical threat related to GT studies, which do not claim to generate definitive findings. The resulting theory, for instance, might be different in other contexts [15].

For this reason, we do not claim that our theory is absolute or final. We welcome extensions to the theory based on unseen aspects or finer details of the present categories or potential discovery of new dimensions from future studies. Future work can also focus on investigating contexts where DevOps adoption did not succeed, aiming to validate if our model could be relevant in this scenario too. Finally, regarding external validity, although we considered in our study the point of view of practitioners with different backgrounds, working in companies from different domains, and distributed across five countries, we do not claim that our results are valid for other scenarios—although we almost achieved saturation after the 12th interview. Accordingly, our degree of heterogeneity complement previous studies that mostly focus in a single company (as we will discuss next).

6 RELATED WORK

A literature review by Erich et al. [10] presents 8 main concepts related to DevOps: culture, automation, measurement, sharing, services, quality assurance, structures and standards. The authors pointed out that the first four concepts are related to the CAMS

framework, proposed by Willis [27]. The paper concludes that there is a great opportunity for empirical researchers to study organizations experimenting with DevOps. Other studies (e.g., [1, 8, 22, 23, 25]) mixed literature reviews with empirical data to investigate DevOps. Although our research and recent literature are interested in understanding DevOps, there are subtle differences in both (1) the methodological aspects and (2) the focus of each work.

First of all, none of the aforementioned works focused on explaining the process of DevOps adoption, in particular, using data collected in the industry. This is unfortunate, since the practitioners’ perception present an unique point of view that researchers alone could hardly grasp. Moreover, although the literature has a number of useful elements, there is a need to complement such elements with a perspective on how DevOps has been adopted, containing guidance about how to connect all these isolated parts and then enabling new candidates to adopt DevOps in a more consistent way. For instance, the work of Erich et al. [1] focus on investigating the ways in which organizations implement DevOps. However, this work relies only in literature review and does not formulate new hypothesis about DevOps adoption. Second, in terms of results, our main distinct contribution is to improve the guidance to new practitioners in DevOps adoption. Next, we present the overlappings of our results with the existing literature, presenting also the main differences that make the contributions of our work clearer.

The work of J. Smeds et al. [25] uses a literature review to produce one explanation about DevOps through a set of technological and cultural enablers. Additionally, their results present a set of impediments of DevOps adoption based on an interview with 13 subjects of a same company, and whose DevOps adoption process was at an initial stage. The main similarities with our study are: (1) grouping elements as DevOps enablers; and (2) the presence of several similar concepts: (a) testing, deploying, monitoring, recovering and infrastructure automation; (b) continuous integration, testing and deployment; (c) service failure recovery without delay; and (d) constant, effortless communication. The main differences are: (1) their work does not group concepts into categories, for example: most of their technological enablers were grouped together in our study within the *automation* category; (2) presents cultural enablers as common contributor to DevOps, not as the most important concern; and (3) the empirical part of the study focus on building a list of possible impediments to DevOps adoption, not on providing guidance to new adopters.

Lwakatare et al. [23] proposed a conceptual framework to explain “DevOps as a phenomenon”. The framework is organized around five dimensions (collaboration, automation, culture, monitoring and measurement) and these dimensions are presented with related practices. The main similarity with our study is that all dimensions are also presented here. The main differences are: (1) collaboration and culture are presented by us as a single abstraction; (2) Concepts related to monitoring and measurement are grouped by us in a single category: *continuous measurement*; and (3) it does not indicate a major dimension (aka, the core category).

França et al. [8] present a DevOps explanation produced by means of a multivocal literature review. The data was collected from multiple sources, including gray literature, and analyzed by using procedures from GT. The results contain a set of DevOps principles, where there is most of the overlapping with our study. In

addition, the paper presents a definition to DevOps, issues motivating its adoption, required skills, potential benefits and challenges of adopting DevOps. The main similarities are: (1) Automation, sharing, measurement and quality assurance are presented as DevOps categories; and (2) Their social aspects category is similar to our **collaborative culture** category. The main differences are: (1) it presents DevOps as a set of principles, different from enablers and outcomes in our study; and (2) the Leanness category is not present in theirs; and (3) it does not indicate a core category.

The study conducted by Erich et al. [1], similarly to the others cited above, combined literature review with some interviews with practitioners. In the literature review part, the papers were labeled and the similar labels are grouped. The 7 top labels are then presented as elements of DevOps usage in literature: culture of collaboration, automation, measurement, sharing, services, quality assurance and governance. After the literature review, six interviews were conducted in order to obtain evidence of DevOps adoption in practice. The interviews were analyzed individually and a comparison between them was made, focusing on problems that organizations try to solve by implementing DevOps, problems encountered when implementing DevOps and practices that are considered part of DevOps. The main similarity with our study is that 5 of their 7 groups are also present in our study (culture of collaboration, automation, measurement, sharing and quality assurance). The main differences are: (1) it does not consolidate the practitioners' perspective, but only compare it with literature review results; and (3) it does not indicate a major group.

7 FINAL REMARKS

In this paper, grounded in data collected from successfully DevOps adoption experiences, we present a theory on DevOps adoption, a model of how to adopt DevOps according to this theory, and a case of applying it in practice.

We found out that the DevOps adoption involves a very specific relationship between seven categories: **agility, automation, collaborative culture, continuous measurement, quality assurance, resilience, sharing and transparency**. The core category of DevOps adoption is the **collaborative culture**. Some of the identified categories (i.e., automation and sharing and transparency) propitiate the foundation of a **collaborative culture**. Other categories (i.e., agility and resilience) are expected consequences of this formation. Finally, two other categories (i.e., continuous measurement and quality assurance) work as both foundations and consequences. We call the foundations categories "DevOps enablers", and the consequences categories "DevOps outcomes". Crucially, this model simplifies the understanding of the complex set of elements that are part of DevOps adoption, enabling it to be more direct and to offer a lower risk of focusing on wrong things.

We experimented with this model in real settings, improving the benefits of adopting DevOps within a government institution that faced many problems with the separation between the development and operations teams.

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