CBR-WIMS, an Architecture for the Intelligent Monitoring and Diagnosis of Workflows

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Abstract. This paper presents an architecture for the intelligent diagnosis and monitoring of business workflows based on operation data in the form of temporal log data. The representation of workflow related knowledge in this research using graphs is explained. The workflow process is orchestrated by a software system using BPEL technologies within a service-oriented architecture. Workflow cases are represented in terms of events and their corresponding temporal relationships. The matching and CBR retrieval mechanisms used in this research are explained and the architecture of an integrated intelligent monitoring system is shown. The paper contains a simple evaluation of the approach based on two experiments with a university quality assurance exam moderation system. Finally, further work on the system and the extension to a full intelligent monitoring and process optimisation system is presented.

Keywords: Case Based Reasoning, Business Workflows, Temporal Reasoning, Graph Similarity.

1 Introduction

Most businesses define their processes in terms of workflows that are formally defined, followed and audited as part of a quality control management process. Modern business processes are increasingly being monitored and managed using computer systems. In order for this to happen effectively, business processes are usually formally defined and structured in terms of events and tasks involved in their operation. These are usually captured, audited and reported to the various business process stakeholders and managers.

Business processes are typically defined and represented in terms of a series of workflows and temporal relationships and constraints between them. Business processes can be defined using UML diagrams such as activity diagrams and represented formally using newly emerged business process representation standards. The Business Process Modelling Notation (BPMN) developed by the Business Process Management Initiative (BPMI) and Object Management Group (OMG) provides a standard for the graphical representation of workflow based business processes[1]. Workflow based business process representation is possible with standards covering the definition, orchestration and choreography of business processes.
Over the last few years, a number of standards have emerged and are widely accepted and supported by mainly Service Oriented Architecture (SOA) based enterprise technologies and systems. The OASIS Business Process Execution Language (BPEL), short for Web Services BPEL (WS-BPEL) is a key orchestration technology [2]. The Workflow Management Coalition (WFMC) backed XML Process Definition Language (XPDL) is a format standardised to interchange Business Process definitions between different workflow products and systems.

Modern enterprise systems are able to separate the definition of workflow based business processes from the software implementing the operation of these workflows, offering much more flexibility and agility than was possible in older systems. This allows enterprise computer systems to monitor and control business processes and workflows within an organisation. Additionally, this allows for the agile change of workflows to adapt to the changing business needs of an organisation.

Case Based Reasoning (CBR) has been proposed as a natural approach to the recall, reuse and adaptation of workflows and knowledge associated with their structure. Minor et al [4] proposed a CBR approach to the reuse and adaptation of agile workflows based on a graph representation of workflows and structural similarity measures. The definition of similarity measures for structured representations of cases in CBR has been proposed [5] and applied to many real life applications requiring reuse of domain knowledge associated with rich structure based cases [6],[7].

A key issue associated with the monitoring and control of workflows is that these are very often adapted and overridden to deal with unanticipated problems and changes in the operating environment. This is particularly the case in the aspects of workflows that directly interact with human roles. Additionally, workflows are liable to change as the business requirements change and in many case workflows involving processes from different parts of an organisation, or between collaborating organisations can conflict. Due to all of this, the problem of monitoring and controlling business processes involves reasoning with incomplete and uncertain data [12].

The flexibility and adaptability of workflows provides challenges in the effective monitoring of a business process. Typically, workflow management systems provide outputs in terms of event logs of actions occurring during the execution of a workflow. These could refer to an action (such as a sign-off action or uploading a document), or a communication (such as a transaction initiation or email being initiated and sent). The challenge in monitoring and controlling workflows using event information is that even where the workflow structure is well defined and understood, the trace of events/actions does not usually contain all the information required to fully understand the context behind any decisions that caused these events/actions to occur. Additionally, there are often a lot of contextual information and communications that are not captured by the system. For example, some actions can be performed manually and informal communications/meetings between workflow workers may not be captured by the system. Knowledge of the workflow structure and orchestration of workflows does not necessarily define uniquely the choreography and operation of the workflows.

The approach proposed in this paper is based on a CBR process requiring similarity measures informed from knowledge discovery of norms and problems from past operation. The CBR approach proposed uses a graph based representation of cases based on events,
actions, intervals and their temporal relationships. An architecture capable to deal with the
definition and orchestration of business processes as well as capable of providing
monitoring and control services over workflows is key to allowing for the intelligent
management of business processes within an organisation.

Section 2 discusses the exam moderation business process application domain that is
used to explain and evaluate the approach. Section 3 presents briefly the proposed
workflow and event log case representation and similarity measures used. Section 4
presents the architecture of the workflow intelligent monitoring system CBR-WIMS that
has been developed to evaluate this work. Section 5 presents an evaluation based on two
sets of workflow monitoring experiments.

2 The Exam Moderation Business Process Workflows

In order to evaluate the approach proposed in this research, it was decided to use the
University of Greenwich, School of Computing and Mathematical Science exam
moderation system. This is an automated web enabled secure system that allows course
(module) coordinators, course moderators, exam drafters (typically senior managers),
admin staff and external examiners to upload, modify, approve and lock student exam
papers. The system automates the whole process and provides an audit trail of events
generated by workflow stakeholders and the system. The system orchestrates a formal
process made up of workflows. The process can be defined and displayed formally in terms
of a UML activity diagram (Fig. 1). The system tracks most workflow actions in terms of
timed events. Most of these generate targeted email communications to workflow
stakeholders, some for information and others requiring specific further actions from these
stakeholders.

For example, the action of a new exam version upload from a course coordinator is
notified to the moderator, drafter and admin staff. This can prompt the moderator to
approve the uploaded version or upload a new version. However, the coordinator can also
upload a new version and admin staff may also decide to format the uploaded version and
upload it as a newer version. The system captures all versions, workflow actions, emails
sent and there is a facility to record free form comments to document versions and/or
workflow actions.

2.1 Uncertainty in Workflows

The overall exam moderation workflow process is formally defined and constrained by
the system operation. There are also some limited facilities for manual override by the
system administrator. However, the overall process in conjunction with the actions and
communications audit trail do not uniquely explain the exact cause of individual actions
and cannot predict reliably what the next event/action will be and when this is likely to
occur. Most of the uncertainty stems from the problem that a significant part of the
workflow occurs in isolation from the system. The system does not capture all of the
contextual knowledge associated with workflows. A lot of the communications between
workflow stakeholders can occur outside the system e.g. direct emails, physical meetings
and phone calls adding to the uncertainty associated with past or anticipated events and the clear definition of the current state.

Discussions with workflow monitoring managers showed that patterns of events indicated, but not defined uniquely the current context and state of a workflow. Managers were able to guess from looking at the workflow events and communications audit what the context and current state of a workflow was and point to possible problems. Most problems occur due to human misunderstanding of the current state and confusion with roles and responsibilities and usually result to the stalling of a workflow. Managers will then try to restart the process by adding comments to the system, or initiate new actions and communications. However, this depends on managers realizing that such a problem has occurred.

Fig. 1. The exam moderation process activities and workflows (simplified)

A typical problem series of event could be one where a stakeholder has missed reading an email requiring an action. In that case, the workflow would stall until a manager or another stakeholder spots the problem and produces a manual action (such as sending an email) to get the workflow moving again. For example, a course coordinator upload notification may have been missed by a moderator who would then not read the new version and either approve or try to amend by a new upload as s/he needs to do. In that case, the coordinator may take no further action and other stakeholders will not act expecting an action from the moderator to occur.

A key problem with uncertainty about the current status of a workflow is that due to the expected normal delay between workflow events/actions, it may not be clear at a given point in time whether the workflow has stalled or the moderator is just slow at responding
to the original action of the coordinator upload. This can only be resolved in a stochastic way based on retrieved knowledge from a similar series of events in past workflows for that moderator in addition to norms.

Discussions with system managers indicated that some of the uncertainty associated with expected response delays can be reduced by using past experience about response profiles and norms for individual stakeholders. Data mining or statistical analysis of the information obtained from past workflows for individual system users, in a particular workflow role, can provide the most likely response and likely response time for the user in a new workflow context. This can then be used to provide a more reliable similarity measure for the effective comparison between a new, unknown workflow state and past cases as part of a case-based reasoning retrieval process.

2.2 The CBR Workflow Monitoring System

The aim of the CBR Workflow Intelligent Monitoring System (CBR-WIMS) is to provide an automatic monitoring system that will notify managers and stakeholders of potential problems with the workflow and provide advice on actions that can remedy a perceived problem.

The monitoring system is designed to work based on experience of past event/action temporal sequences and the associated contextual knowledge and classification in a Case-Based Reasoning system. Similarity measures allow the retrieval of close matches and their associated workflow knowledge. This allows the classification of a sequence as a particular type of problem that needs to be reported to the monitoring system. Additionally, it is intended that any associated knowledge or plan of action can be retrieved, adapted and reused in terms of a recommendation for remedial action on the workflow.

The CBR monitoring system uses similarity measures based on a linear graph representation of temporal events in a workflow normalized by experience from past behaviour on individual user workflow participation patterns.

3 Workflow and Event Log Representation and Similarity Measures

In CBR-WIMS workflows are defined using UML activity diagrams and mapped through Business Process Management Notation (BPMN)[1] into Web-Services Business Process Execution Language (WS-BPEL) [2] and stored within the system. The storage of workflows is temporal as a number of workflow versions can be stored to allow for modifications of the workflow following business process changes and their application to different contexts of use for a particular process. For example, variants of the exam process workflows can be defined to allow for specific types of exams, such as ones that require external validation or collaboration for courses delivered in partnership with other institutions. Similarity measures between workflow representations can be defined on a graph representation of workflow processes using an exhaustive graph similarity search algorithm based on the Maximum Common Subgraph [7]. This allows the reuse of knowledge about workflows between different workflow processes and variants however, this is beyond the scope of the work presented in this paper.
The workflows stored in WS-BPEL are used by CBR-WIMS to automatically orchestrate the execution of workflows in the system.

The representation of events in the workflow event log uses a general time theory, based on intervals [8]. In the theory used here, the temporal relationships have been reduced from the ones proposed by Allen [9] to just one, the “meets” relationship.

The general time theory takes both points and intervals as primitive. It consists of a triad \((T, \text{Meets}, \text{Dur})\), where:

- \(T\) is a non-empty set of time elements;
- \(\text{Meets}\) is a binary order relation over \(T\);
- \(\text{Dur}\) is a function from \(T\) to \(R^+_0\), the set of non-negative real numbers.

A time element \(t\) is called an interval if \(\text{Dur}(t) > 0\); otherwise, \(t\) is called a point.

This approach has been shown to be suitable for defining temporal similarity measures in the context of a CBR system based on the graph representation of events and intervals and their temporal relationships and similarity measures based on graph matching techniques such as the Maximum Common Subgraph (MCSG)\([11]\)[7]. Additionally, such a graph can be checked for consistency of temporal references using linear programming techniques [11].

For example, consider a scenario with a temporal reference \((T, M, D)\), where:
- \(T = \{t_1, t_2, t_3, t_4, t_5, t_6, t_7, t_8, t_9\}\);
- \(M = \{\text{Meets}(t_1, t_2), \text{Meets}(t_1, t_3), \text{Meets}(t_2, t_5), \text{Meets}(t_2, t_6), \text{Meets}(t_3, t_4), \text{Meets}(t_4, t_7), \text{Meets}(t_5, t_8), \text{Meets}(t_6, t_7), \text{Meets}(t_7, t_8)\}\);
- \(D = \{\text{Dur}(t_2) = 1, \text{Dur}(t_4) = 0.5, \text{Dur}(t_6) = 0, \text{Dur}(t_8) = 0.3\}\).

The graphical representation of temporal reference \((T, M, D)\) is shown in Fig. 2:

The Maximum Common Subgraph similarity between two such graphs can be defined as:

\[
S(G, G') = \frac{\left( \sum_{C \in \text{matches of } G} \sigma(C, C') \right)^2}{\text{count}(G) \cdot \text{count}(G')}
\]

(1)

where \(\text{count}(G)\) represents the number of edges in graph \(G\) and \(\sigma(C, C')\) is the similarity measure, \(0 \leq \sigma(C, C') \leq 1\), between two individual edges (intervals or events) \(C\) and \(C'\).

In the case of time stamped events produced by the workflow event log, the duration of each interval can be calculated, so the graphs are collapsed into a single timeline. In this case, the similarity measure is easier to calculate as the MCS is a common segment made up of events and intervals in a given order in each of the compared workflow logs. In this...
common graph segment each edge (event or interval) has a similarity measure to its counterpart in the other log that exceeds a given threshold value $\varepsilon$. Eq. 1 above can still be used to provide the overall similarity between the two workflows.

4 The Architecture of the Workflow Intelligent Monitoring System

CBR-WIMS is an Intelligent Workflow Monitoring System incorporating a CBR component. The role of the system is to assist the transparent management of workflows in a business process and to orchestrate, choreograph, operate, monitor and adapt the workflows to meet changing business processes and unanticipated operational problems and inconsistencies. Fig. 3 above shows the overall architecture and components of CBR-WIMS. The system allows process managers to create, modify and adapt workflows to suit the changing business needs, and/or to allow for variations related to special business.
requirements. Workflow descriptions are stored in a temporal repository and can be used for looking up past business processes and to provide historical context for past event logs of operations. This allows for workflow based business processes to change in a system auditable way, allowing the system to preserve the context of captured operation logs.

The main part of the system controls the operation of the workflows. It responds to actions of various actors to the system and communicates messages about the operation of the system to them. The control system has a workflow orchestrator component that looks up the current workflow definition and orchestrates responses by invoking specific Web Services. The control component also manages and updates the data stored and current state of the workflow operation and provides an event audit log of the key events and actions that occur within the operation of the workflow.

The workflow monitoring and intervention controller monitors, reports, and proposes possible remedial actions to the workflow operation manager. The monitoring system uses a CBR system to retrieve past useful experience about workflow problems occurred in the past by retrieving similar sequences of events/actions in the events log for a given workflow (or workflow part) compared to the current state and recent sequence of events/actions in the operation of the workflow. If a fault or possible problem pattern is detected, this is reported to the workflow operations manager together with the retrieved similar cases and associated recorded experience of any known remedy/course of action.

In order to deal with the uncertain and contextual dimension of workflow similarity, the CBR system relies on knowledge discovered from past cases about workflow norms and user profiles created by statistical and data mining pre-processing. The pre-processing component analyses operational logs and attempts to discover knowledge about norms and patterns of operation that can be used in the calculation of the similarity measures for the CBR process. This is particularly important for the monitoring process as any “interesting” or “abnormal” states need to be seen in the context of what has been normal or abnormal behaviour in past event sequence cases.

5 Workflow Monitoring Experiments and Evaluation

In order to evaluate the suitability of the approach proposed in this paper, a number of simple experiments were conducted using the CBR-WIMS system.

5.1 First set of experiments: Simulated workflows

A simplified workflow process based on the exam moderation problem was constructed and a simulation was used to produce a series of workflow case studies. 320 simple event logs of workflows were produced to serve as cases in the case base. Each case was labelled as either “stalled” or “not stalled” to indicate the presence or not of a problem in the workflow execution. Only exam upload actions were considered and only the last 3 such uploads in a series of workflow events were used to represent each case. A workflow event log audit trace is represented as:
An example of this would be (intervals are in days):
(CoordUpload, John, 3, ModUpload, Phil, 0, CoordUpload, John, 5)

In the first instance the name of the person involved was ignored, focusing solely on the role involved in the action. The similarity measure between two actions $A_1$ and $A_2$ is defined as:

$$\sigma(A_1, A_2) = \begin{cases} 1 & \text{if } A_1 = A_2 \\ 0 & \text{if } A_1 \neq A_2 \end{cases}$$

The similarity measure between two intervals $I_1$ and $I_2$ is defined as:

$$\sigma(I_1, I_2) = 1 - \frac{|I_1 - I_2|}{\max(|I_1|, |I_2|) + |I_1| + |I_2|}, \quad \max(|I_1|, |I_2|) > 0, \quad \sigma(0, 0) = 1$$

The Maximum Common Subgraph (MCSG) between cases $C$ and $C'$ is assembled starting right (latest) to left (earliest) calculating similarity measures matching each interval and action in $C$ to the corresponding one in $C'$, stopping when the similarity between two edges falls under a threshold set at 0.5. For example, given the following two cases:

$C = (\text{CoordUpload, John, 3, ModUpload, Phil, 0, CoordUpload, John, 5})$ and $C' = (\text{ModUpload, Phil, 4, ModUpload, Phil, 0, CoordUpload, Mary, 3})$

Assembling the MCSG:

1. $\sigma(5, 3) = 1 - 2/8 = 0.75$
2. $\sigma(\text{CoordUpload, CoordUpload}) = 1$
3. $\sigma(0, 0) = 1$
4. $\sigma(\text{CoordUpload, ModUpload}) = 0$
5. $\sigma(0, 0) = 1$
6. $\sigma(\text{CoordUpload, ModUpload}) = 0$ .. MCSG Matching stops

So, the overall similarity between $C$ and $C'$ from eq. 1 is:

$$S(C, C') = \frac{0.75 + 1 + 1 + 1 + 0.857}{6} = 0.59$$

The 320 cases were split randomly into a case base of 300 cases and 20 test target cases. Using the KNN algorithm for $K=3$, the three nearest neighbours to every target case were used to classify the target case as “stalled” or “not stalled” using simple voting. The results were compared against the known classification for the target cases. This evaluation run was repeated 10 times and the results of the classification were averaged over the 10 runs.

Table 1. below shows the results of the evaluation runs:

<table>
<thead>
<tr>
<th></th>
<th>Average number of cases / 20</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Cases Correctly classified</td>
<td>13.8</td>
<td>69</td>
</tr>
<tr>
<td>Missed positives</td>
<td>5</td>
<td>25</td>
</tr>
<tr>
<td>False positives</td>
<td>1.2</td>
<td>6</td>
</tr>
</tbody>
</table>

Table 1. First Evaluation results – no normalisation for person profiles

For the second set of experiments, the interval similarity measures were normalised to take into account the different rates of responses expected from different workflow actors.

A data analysis of the cases classified workflow actors into:

Fast responders: 0-2 days / Medium responders: 2-4 days / Slow responders: over 4 days

For these cases, the interval duration $I$ for each interval was replaced by the difference of the actual duration minus the nominal duration for the relevant type of workflow actor:

Fast responders: 1 day / Medium responders: 3 days / Slow responders: over 5 days
So assuming that if in the example above analysis of past behaviour has shown that John is a fast responder and Phil is a slow responder, the case is represented as:

\[ C = (\text{CoordUpload, John, 2}, \text{ModUpload, Phil, 5}, \text{CoordUpload, John, 4}) \]

This way the similarity measure is modified to provide a context based on knowledge discovered from past cases. The results of running a similar set of experiments as in the first iteration are summarised in Table 2.

<table>
<thead>
<tr>
<th></th>
<th>Average number of cases / 20</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Cases Correctly classified</td>
<td>15.3</td>
<td>76.5</td>
</tr>
<tr>
<td>Missed positives</td>
<td>3.8</td>
<td>19</td>
</tr>
<tr>
<td>False positives</td>
<td>0.9</td>
<td>4.5</td>
</tr>
</tbody>
</table>

Table 2. Second Evaluation results – normalised for person profiles

It can be seen that the overall number of target cases correctly classified has increased, mainly by the corresponding reduction of missed positives.

5.2 Second set of experiments: Using real workflow logs

The preliminary evaluation using simulated data was encouraging. To evaluate the approach and the CBR-WIMS system architecture further, the next step was to conduct a further evaluation using a larger dataset from actual (not simulated) workflow event audit logs. Larger segments of event log were used in the case representation involving a fuller set of possible exam moderation actions and events to predict the exact type of workflow disruption.

Fig. 4 An example excerpt of an event log showing for the exam moderation process (partially obfuscated)
Figure 4 below shows an excerpt of an event log for an exam paper. Each event corresponds to a workflow action. The actor initiating the action is identified, as well as communications sent to other stakeholders of the exam moderation process.

The evaluation involved looking at the last 5 exam upload events and moderation events (such as an exam sign off) for 29 exam papers at the same point in time, near the exam sign off deadline. Manual inspection of the full logs by a domain expert identified 7 problematic (stalled) processes. CBR-WIMS was used to classify the exam process state. This was conducted against a case base of 76 cases representing known and manually classified exam moderation workflow processes. As before the classification was based on “voting” from the 3 nearest retrieved neighbours for each target.

<table>
<thead>
<tr>
<th>Correctly classified stalled workflows</th>
<th>CBR-WIMS: 4 – 57.1%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Missed cases</td>
<td>3 – 42.9%</td>
</tr>
<tr>
<td>False positives</td>
<td>4 – 18.2%</td>
</tr>
<tr>
<td>Correctly classified normal workflows</td>
<td>18 – 81.8%</td>
</tr>
</tbody>
</table>

Table 3. Evaluation results for real workflow logs

Table 3 shows the results of this evaluation. Out of the 7 expert identified problematic workflows the system picked up 4. 3 were incorrectly classified. The system also correctly classified 18 out of the 22 workflows classified as “normal” by the domain expert. However the system picked 4 more workflows and classified these as stalled. When these were shown to the domain expert, the expert identified 2 of those as slow and potentially problematic but not conclusively stalled.

This evaluation did not take into account past norms of human actors and exam processes and only looked at the last 5 upload or sign-off events. The case base used was also relatively small when compared to the full case base available. In this context, the results obtained are judged as very encouraging.

6 Conclusions

This paper discussed an approach for intelligent diagnosis and monitoring of workflows based on incomplete operation data in the form of temporal log data. This was based on a graph representation of workflows using temporal relationships. The workflow process is orchestrated by a software system using BPEL technologies in service oriented architecture in the CBR-WIMS system. The CBR-WIMS architecture was in the context of a system that monitors exam moderation workflows. The matching and similarity measures presented here showed in a preliminary evaluation that they are capable of classifying problems correctly in a simplified workflow process. In particular it was shown that an analysis of past workflow event logs can provide norms and context that can reduce the uncertainty in similarity based matching and improve the efficiency of the reasoning process. The evaluation with real data provided from the exam moderation system event log
has shown that the approach can provide some useful classification of problematic workflows in real business workflow monitoring systems.

Further work will concentrate on further and more realistic evaluation of the approach based on more complex case representation and similarity matching. Work on further building and automating the CBR-WIMS system will allow the extension to provide intelligent advice to operators in addition to the existing simple monitoring action. Other work direction will cover the challenge of explaining the reasoning results and advice to the workflow operation managers, the combination of constraints and temporal consistency checking and the combination of workflow event log temporal knowledge with other uncertain temporal knowledge available about a workflow. Finally, the reuse of knowledge across different workflows, concentrating on changed workflows and variants will be investigated.

References