

Lecture Notes in Business Information Processing

323

Series Editors

Wil M. P. van der Aalst

RWTH Aachen University, Aachen, Germany

John Mylopoulos

University of Trento, Trento, Italy

Michael Rosemann

Queensland University of Technology, Brisbane, QLD, Australia

Michael J. Shaw

University of Illinois, Urbana-Champaign, IL, USA

Clemens Szyperski

Microsoft Research, Redmond, WA, USA

More information about this series at <http://www.springer.com/series/7911>

Han van der Aa

Comparing and Aligning Process Representations

Foundations and Technical Solutions

Han van der Aa
Humboldt University of Berlin
Berlin, Berlin
Germany

This book is a revised version of the PhD dissertation written by the author at the Vrije Universiteit Amsterdam. ISBN: 9402808671

ISSN 1865-1348 ISSN 1865-1356 (electronic)
Lecture Notes in Business Information Processing
ISBN 978-3-319-94633-7 ISBN 978-3-319-94634-4 (eBook)
<https://doi.org/10.1007/978-3-319-94634-4>

Library of Congress Control Number: 2018947442

© Springer International Publishing AG, part of Springer Nature 2018, corrected publication 2018
This work is subject to copyright. All rights are reserved by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed.

The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

The publisher, the authors and the editors are safe to assume that the advice and information in this book are believed to be true and accurate at the date of publication. Neither the publisher nor the authors or the editors give a warranty, express or implied, with respect to the material contained herein or for any errors or omissions that may have been made. The publisher remains neutral with regard to jurisdictional claims in published maps and institutional affiliations.

Printed on acid-free paper

This Springer imprint is published by the registered company Springer International Publishing AG part of Springer Nature
The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

Preface

Processes within organizations can be highly complex chains of inter-related steps, involving numerous stakeholders and information systems. Owing to this complexity, having access to the right information is vital to the proper execution and effective management of an organization's business processes. A major challenge in this regard is that information on a single process is often spread out over numerous models, documents, and systems. This phenomenon results from efforts to provide a variety of process stakeholders with the information that is relevant to them, in a suitable format. However, this disintegration of process information also has considerable disadvantages for organizations. In particular, it can lead to severe maintenance issues, reduced execution efficiency, and negative effects on the quality of process results. Against this background, this doctoral thesis focuses on the spread of process information in organizations and, in particular, on the mitigation of the negative aspects associated with this phenomenon. The main contributions of this thesis are five techniques that focus on the alignment and comparison of process information from different informational artifacts. Each of these techniques tackles a specific scenario involving multiple informational artifacts that contain process information in different representation formats. Among others, we present automated techniques for the detection of inconsistencies between process models and textual process descriptions, the alignment of process performance measurements to process models, conformance-checking in the context of uncertainty, and the matching of process models through the analysis of event-log information. We demonstrate the efficacy and usefulness of these techniques through quantitative evaluations involving data obtained from real-world settings. Altogether, the presented work provides important contributions for the analysis, comparison, and alignment of process information in various representation formats through the development of novel concepts and techniques. The contributions, furthermore, provide a means for organizations to improve the efficiency and quality of their processes.

May 2018

Han van der Aa

The original version of the book frontmatter has been revised: A note has been added to the imprint page. The erratum to the book front matter is available at
https://doi.org/10.1007/978-3-319-94634-4_9

Acknowledgments

The majority of the research presented in this book was conducted as part of my time as a PhD candidate. Looking back at those years, it is clear that I owe a lot to a great number of even greater people who helped and supported me.

First of all, I am immensely grateful to my supervisors, Hajo Reijers and Henrik Leopold. Hajo: thanks for inviting me to be the first member of your group, for supporting my development as a researcher and a teacher, for giving me the freedom to pursue my own research interests, and for the great collaboration. Henrik: thanks for the countless hours you invested in me, for the many trips we took together, and for guiding me in the academic world as well as in other matters of life.

Although I am only at the start of my academic career, I have already had the opportunity to collaborate with numerous excellent researchers from all over Europe and beyond. My gratitude goes out to the co-authors of the publications included in this work: to Adela del-Río-Ortega, Manuel Resinas, and Antonio Ruiz-Cortés from the University of Seville, to Felix Mannhardt from the Eindhoven University of Technology, to Jan Mendling from the Vienna University of Business and Economics, and to Roei Shraga, Tomer Sagi, and Avigdor Gal from the Technion – Israel Institute of Technology. Furthermore, I want to express my great appreciation for Jan and Avi, who invited me to visit their research groups in Vienna and Haifa, respectively.

Closer to home, I am grateful to my former colleagues at the Vrije Universiteit Amsterdam with special mention of Banu, Unal, Dennis, Inge, Ermeson, Isaac, Iris, and Jelmer. Furthermore, thanks go out to the administrative staff, in particular to Caroline and Mojca, for providing me with support as well as all the office essentials and not-so-essentials that allow academics to conduct their work. Outside of the academic world, I am most grateful to my friends, especially Justine, Jennifer, Franzi, and Henrik from Amsterdam, Frank, Koen, Jeroen G., and Jeroen R. from my hometown, as well as Tijn and Wim from Eindhoven. The final dedication goes out to my mother, father, brother, and the rest of my family, for their support and encouragement during my research endeavors.

Contents

1 Introduction	1
1.1 Motivation	1
1.2 Contributions.	2
1.3 Outline	5
2 Background	9
2.1 Process Information in Organizations	10
2.1.1 Business Process Management.	10
2.1.2 Process Information	11
2.1.3 Capturing Process Information.	12
2.1.4 The Problem of Fragmented Process Information.	15
2.2 Natural Language Processing.	19
2.2.1 Part-of-Speech Tagging	20
2.2.2 Sentence Parsing	23
2.2.3 Reference Resolution	25
2.2.4 Natural Language Ambiguity	26
2.2.5 Applications in Business Process Management	27
2.3 Matching	28
2.3.1 Matching Example.	29
2.3.2 The Matching Task	30
2.3.3 Similarity Measures	31
2.3.4 Matching in Business Process Management.	36
3 Comparing Process Models to Textual Process Descriptions	39
3.1 Problem Illustration	40
3.2 Inconsistency-Detection Approach	41
3.2.1 Linguistic Analysis	42
3.2.2 Activity-Sentence Alignment.	45
3.2.3 Inconsistency Detection	48
3.3 Evaluation.	52
3.3.1 Test Collection	52
3.3.2 Setup	53
3.3.3 Results	55
3.3.4 Discussion	58
3.4 Limitations	59
3.5 Related Work	60
3.6 Summary	61

- 4 Conformance Checking Based on Uncertain Event-Activity Mappings** 63
 - 4.1 Problem Illustration 64
 - 4.2 Conformance-Checking Technique 66
 - 4.2.1 Capturing Mapping Uncertainty Using Behavioral Spaces. 66
 - 4.2.2 Using Behavioral Spaces for Conformance Checking 68
 - 4.3 Evaluation. 70
 - 4.3.1 Test Collection 70
 - 4.3.2 Setup 70
 - 4.3.3 Results. 72
 - 4.4 Limitations 73
 - 4.5 Related Work 74
 - 4.6 Summary 75

- 5 Dealing with Ambiguity in Textual Process Descriptions** 77
 - 5.1 Problem Illustration 78
 - 5.2 Capturing Ambiguity Using Behavioral Spaces 79
 - 5.2.1 Parsing Textual Process Descriptions 80
 - 5.2.2 Computing Statement Interpretations 82
 - 5.2.3 Generating a Behavioral Space 86
 - 5.3 Conformance Checking Using Behavioral Spaces. 88
 - 5.4 Pruning Behavioral Spaces Based on Information Gain. 90
 - 5.4.1 Conformance-Checking Uncertainty 90
 - 5.4.2 Information Gain. 91
 - 5.5 Evaluation. 92
 - 5.5.1 Test Collection 93
 - 5.5.2 Conformance Evaluation 93
 - 5.5.3 Pruning Evaluation 96
 - 5.6 Limitations 98
 - 5.7 Related Work 100
 - 5.8 Summary 101

- 6 Transforming and Aligning Process Performance Indicators** 103
 - 6.1 Problem Illustration 104
 - 6.2 Template-Based PPI Definitions. 106
 - 6.2.1 Template Slots 106
 - 6.2.2 Slot Domains 108
 - 6.3 Transformation Approach 111
 - 6.3.1 Semantic Annotation 112
 - 6.3.2 Domain Value Resolution. 115
 - 6.3.3 Operationalization and Extensibility 118
 - 6.4 Evaluation. 119
 - 6.4.1 Test Collection 120
 - 6.4.2 Setup 120
 - 6.4.3 Results. 122

6.5	Limitations	124
6.6	Related Work	124
6.7	Summary	125
7	Process Model Matching Using Event-Log Information	127
7.1	Problem Illustration	128
7.2	Event Log-Based Matching	129
7.2.1	Positional Similarity	130
7.2.2	Occurrence Similarity	130
7.2.3	Duration Similarity	131
7.2.4	Attribute Name Similarity	132
7.2.5	Attribute Value Similarity	133
7.2.6	Prerequisites Similarity	134
7.2.7	Operationalization	135
7.3	Evaluation	135
7.3.1	Test Collection	135
7.3.2	Setup	136
7.3.3	Results	137
7.4	Limitations	140
7.5	Related Work	141
7.6	Summary	141
8	Conclusion	143
8.1	Summary of Results	143
8.2	Implications	145
8.2.1	Implications for Practice	146
8.2.2	Implications for Research	147
8.3	Future Research	148
8.3.1	Technical Perspective	149
	Erratum to: Comparing and Aligning Process Representations	E1
	References	151

Acronyms

BPM	Business Process Management
BPMN	Business Process Model and Notation
CFG	Context-Free Grammar
FLM	First-Line Matcher
IDF	Inverse Document Frequency
IG	Information Gain
IS	Information Systems
IT	Information Technology
LSH	Locality Sensitive Hashing
HMM	Hidden Markov Model
MWBM	Maximum Weighted Bipartite-graph Match
NLP	Natural Language Processing
ORE	Ontobuilder Research Environment
PCFG	Probabilistic Context-Free Grammar
PPI	Process Performance Indicator
SCOR	Supply Chain Operations Reference
SLM	Second-Line Matcher
7PMG	Seven Process Modeling Guidelines
TTF	Task-Technology Fit

List of Figures

Fig. 2.1 Overview of a generic alignment task	9
Fig. 2.2 Hierarchy between data, information, and knowledge (adapted from [55])	11
Fig. 2.3 Main constructs in Task-Technology Fit (TTF) theory	13
Fig. 2.4 Loan application process with fragmented process information	15
Fig. 2.5 Example of a parse tree.	23
Fig. 2.6 Two process models and their correspondences (adapted from [147])	29
Fig. 3.1 A textual and a model-based description of a bicycle manufacturing process	41
Fig. 3.2 Overview of the proposed approach.	42
Fig. 3.3 Simplified parse tree for sentence	44
Fig. 3.4 Correspondences disallowed by ordering constraints	47
Fig. 3.5 Precision-recall graph for the detection of missing activities (activity level)	56
Fig. 3.6 Precision-recall graph for the detection of model-text pairs with missing activities (process level)	56
Fig. 4.1 Process model for a simplified order handling process	65
Fig. 4.2 Overview of the evaluation setup	71
Fig. 4.3 Evaluation results for deterministic conformance checking	72
Fig. 5.1 Exemplary description of a claims handling process.	78
Fig. 5.2 Steps involved to construct a behavioral space from a textual description	80
Fig. 5.3 A behavioral space as a collection of m process interpretations	87
Fig. 5.4 Visualization of three sets of conforming traces for cases with scope ambiguity.	96
Fig. 5.5 Comparison of uncertainty resolution using max. IG and random selection.	98
Fig. 6.1 Process model for an order handling process	104
Fig. 6.2 Semantic concepts in a PPI definition	107
Fig. 6.3 Overview of the proposed transformation approach	111
Fig. 6.4 Fragment of a semantic prior	114
Fig. 7.1 Two process models and their correspondences.	128
Fig. 7.2 Recall scores for top- k results	139

List of Tables

Table 1.1 Overview of the five presented techniques	3
Table 2.1 Informational artifacts for a purchasing approval process (from [9]).	16
Table 2.2 Overview of the Penn Treebank tagset (from [127, p. 131]).	21
Table 2.3 Possible tags for an exemplary sentence, with correct tags in bold	22
Table 2.4 Exemplary Stanford dependencies (from [70])	25
Table 2.5 Comparison of syntactic and semantic similarity scores	33
Table 2.6 Overview of semantic word relations.	34
Table 3.1 Main Stanford Dependencies used for anaphora resolution.	43
Table 3.2 Exemplary similarity matrices with correspondences in bold.	50
Table 3.3 Fragment of the similarity matrix for the running example.	51
Table 3.4 Overview of the test collection	53
Table 3.5 Predictor performance evaluation results	57
Table 3.6 Highest F_1 -measures for different configurations and predictors.	57
Table 5.1 Activities in the running example	80
Table 5.2 Exemplary outcomes of behavioral statement parsing	81
Table 5.3 Parallel indicators used in [93] and their classification.	85
Table 5.4 Overview of the test collection	93
Table 5.5 Evaluation results	95
Table 6.1 PPIs for the order handling example	104
Table 6.2 Example of a structured notation for PPI2	105
Table 6.3 PPI templates and examples	107
Table 6.4 Domains associated with template slots	109
Table 6.5 Tag set used for semantic annotation.	113
Table 6.6 Domain value resolution for PPI2.	116
Table 6.7 Overview of the test collection	120
Table 6.8 Evaluation results	122
Table 7.1 Characteristics of the test collection.	136
Table 7.2 Evaluation results	138