ADEPT2
Next Generation Process Management Technology

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Abstract: If current process management systems shall be applied to a broad spectrum of applications, they will have to be significantly improved with respect to their technological capabilities. In particular, in dynamic environments it must be possible to quickly implement and deploy new processes, to enable ad-hoc modifications of single process instances at runtime (e.g., to add, delete or shift process steps), and to support process schema evolution with instance migration, i.e., to propagate process schema changes to already running instances. These requirements must be met without affecting process consistency and by preserving the robustness of the process management system. In this paper we describe how these challenges have been addressed and solved in the ADEPT2 Process Management System. Our overall vision is to provide a next generation process management technology which can be used in a variety of application domains.

1 Introduction

Contemporary information systems (IS) more and more have to be aligned in a process-oriented way. This new generation of IS is often referred to as Process-Aware IS (PAIS) [1]. Recently, more and more technologies have emerged in this context such as Workflow Management (WFM), Business Process Management (BPM), Enterprise Application Integration (EAI), and Service-oriented Architectures (SOA). They all focus on the realization of PAIS [1]. By offering system-based support for implementing business processes, these technologies aim at an increased efficiency and adaptivity of enterprises regarding their internal processes. By combining process management with SOA, the interaction between enterprises and their customers and partners shall be improved as well.

In order to provide effective process support, PAIS should capture real-world processes adequately, i.e., there should be no mismatch between the computerized processes and those in reality. In order to realize this goal, PAIS enabling technologies must fulfill a number of requirements:

1. They must cover a broad spectrum of applications ranging from simple form- or document-centered workflows to complex production workflows (incl. application integration).
2. They must allow for the rapid and cost-effective implementation of a large variety of business processes.
3. The implemented processes must run in a robust and stable manner. The overall objective should be "robustness by design".
4. The introduction of PAIS must not lead to rigidity and freeze existing business processes. Instead, the PAIS must allow authorized users to flexibly deviate from the predefined

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processes as required (e.g., to deal with exceptions). Such ad-hoc process changes should be enabled at a high level of abstraction and without affecting the robustness of the PAIS.

5. It must be possible to evolve PAIS implementations over time (e.g., due to process optimizations or legal changes). Respective process changes have to be accomplished in an easy and cost-effective way. In particular, for long-running processes the "on-the-fly" adaptation of already running process instances to the new process schema must be possible.

Commercial process management systems do not meet these requirements or offer only very restricted features [1]. A few vendors promise flexible process support, but are unable to cope with fundamental issues related to process change (e.g., correctness and robustness). Most systems, however, completely lack support for deviating from the pre-defined processes in an ad-hoc manner or for migrating running process instances to a changed process schema. Thus, application developers are forced to "enrich" applications with respective process support functions to deal with these limitations. This, in turn, aggravates PAIS development and maintenance significantly and it shifts the risk of errors and the task to deal with them to the application developer or the end-user.

In this paper we present the ADEPT\textsuperscript{1} process management system which constitutes today’s leading technology for realizing flexible and adaptive processes. Using the ADEPT2 system, process-oriented applications can be composed out of existing application components in a plug & play like fashion, and then be flexibly executed at run-time. The ADEPT2 technology enables support for a broad spectrum of processes, ranging from simple document-centered workflows to complex production workflows, which integrate heterogeneous, distributed application components. We illustrate how ad-hoc changes of single process instances as well as process schema changes with (optional) propagation of these changes to the running instances are supported by ADEPT2 in an integrated, safe, and easy-to-use manner. In particular, application programmers and users of the ADEPT2 system are not confronted with the inherent complexity of dealing with such kinds of flexibility (as indicated in Fig. 1a). Instead, this functionality is easy to use since it is an integral part of the ADEPT2 process management system.

\textsuperscript{1} ADEPT means \textit{Application Development based on Encapsulated Premodeled Process Templates}
The remainder of this paper is structured as follows: Section 2 sketches how process composition is realized based on plug & play. In Section 3 we show how ad-hoc process adaptations can be accomplished by end users and how the interaction between the user and the ADEPT2 system looks like. In Section 4 we discuss process schema changes and the adaptations of already running process instances. Section 5 describes the current status of the ADEPT2 technology and Section 6 discusses current trends and related work. We close with a summary and an outlook in Section 7.

2 Process Composition by Plug & Play

A new process can be realized by creating a process template (also denoted as process schema). Such a template describes the intended order of the process steps (e.g., sequential, parallel, alternative paths, loops, etc.) as well as the data flow between them. It either has to be defined from scratch or an existing template is chosen from the process template repository and adapted as needed ("process cloning"). Afterwards application functions (e.g., web services, Java components, ERP functions, or legacy applications) have to be assigned to the process steps. When using the ADEPT2 process editor, these functions can be selected from the component repository and be inserted into the process template by drag & drop (cf. Figure 2). Following this, ADEPT2 analyzes whether the application functions can be connected in the desired order; e.g., we check whether the input parameters of application functions can be correctly supplied for all possible execution paths imposed by the process schema. Furthermore, additional checks are performed in order to exclude deadlocks, undesired cycles, etc. As a result, only those process templates passing these correctness checks may be released and transferred to the ADEPT2 runtime system.

When dragging application components from the repository and assigning them to particular steps in the process template, the process designer does not need to have detailed knowledge about the implementation of these components. Instead the component repository provides an integrated, homogeneous view as well as access to the different components. Internally, this is based on a set of wrappers provided for the different types of application components. The chosen architecture will allow to add new wrappers if new component types shall be supported. Currently, the ADEPT2 Execution Environment Framework allows to integrate different kinds of application components like electronic forms, stand-alone executables, web services, Java library functions, and function calls to legacy systems. All these application components require different treatment when interacting with them.

3 Support of Ad-hoc Adaptations

Composing processes in a plug & play like fashion is very useful for developers since it allows for the rapid implementation of new processes. However, composition support alone does not constitute a big technological progress when compared to the state-of-the-art. If process management systems shall become applicable to a broad spectrum of applications, they must also allow for ad-hoc deviations from the pre-defined process schema. Respective runtime changes must not violate the correctness of the workflow. Finally, support for ad-hoc changes must be offered in an intuitive way to authorized users.
Figure 3a – h illustrate how the interaction between the ADEPT2 system and the end user may look like. In this example it is assumed that during the execution of a particular process instance (e.g., during the treatment of a certain patient under risk) an additional lab test becomes necessary. Assume that the necessity of the lab test has not been foreseen in advance (cf. Figure 3a). As a consequence, this particular process instance will have to be individually adapted if the change request is approved.
by the system. After the user has pressed the "exception button" (cf. Figure 3b), he can specify the
type of the intended ad-hoc change (cf. Figure 3c). If an insert operation shall be applied, for example,
the system will display the application functions that can be added in the given context (cf. Figure 3d).
These can be simple or complex application components (e.g., "write letter" or "send email" vs.
application services), interactive or automatic functions, or even complete processes. Now the user
simply has to state after which step(s) in the workflow the execution of the newly added activity shall be
started and before which step(s) it shall be finished (cf. Figure 3e). Finally, the system checks whether
the resulting process instance adaptations are valid (cf. Figure 3f and Figure 3g).

In this context, the same checks are performed as during the process design phase (absence of
deadlocks, validity of actor assignment expression, etc.). In addition, the current process instance state
is taken into account when the instance is modified. On the one hand this allows for modifications
which would not be valid at design time (e.g., due to uncertainty at design time which execution
branches will be taken). On the other hand the process state also restricts possible changes (see [2]
for details).

All implemented modification operations are also available via the ADEPT2 application programming
interface. Furthermore, changes can be specified at a semantically high level of abstraction, like e.g.
"Insert Step X between Node Set 1 and Node Set 2". All these operations are guarded by pre-
conditions which are automatically checked by the system when the operation is invoked. The related
post conditions guarantee that the resulting process instance graph is again "problem-free". Users or
application programs only interact via these high level API functions with ADEPT. They never do have
to manipulate system-internal states directly (see [3] for details).

For several reasons (e.g., change traceability) ADEPT2 stores applied process instance changes
within so called change logs. Together with the execution logs, which capture the execution information
of process instances, the structure and state of a particular process instance can be reconstructed at
any time. This log information is also a valuable source for process optimizations because repeatedly
performed ad-hoc modifications may be an indicator that the process is not optimally designed [4].

4 On Supporting Process Schema Evolution

Though the support of ad-hoc modifications is very important, it is not yet sufficient. In the context of
long-running business processes, it is often required to adapt the process schema itself (e.g., due to
organizational changes in the company or because of business process optimizations). In this case all
process instances based on this process schema may be affected by the change. If the processes are
of short duration only, already running process instances can be finished according to the old process
schema version. However, this strategy will be not applicable for long running business processes.
Then the old process version may no longer be applicable, e.g., when legal regulations have changed
or when the old process reveals severe problems. One solution would be to individually modify each of
the running process instances by applying corresponding ad-hoc changes (as described in the
previous section). However, this would be too expensive and error-prone if a multitude of running
process instances had been involved. Note that the number of active process instances may become
very large; i.e., change propagation must be accomplished in a very efficient manner for hundreds or
thousands of process instances.

An adaptive process management system must be able to support correct changes of a process
schema and their subsequent propagation to already running process instances if desired. In other
words, if a process schema is changed and thus a new version of this schema is created, process
instances should be allowed to migrate to the new schema version (i.e., to be transferred and re-linked
to the new process schema version). In this context, it is of particular importance that ad-hoc changes
of single process instances and instance migrations do not exclude each other since both change
types are needed for the support of long-running processes!

The ADEPT2 technology implements the combined handling of both change types. Process instances
which have been individually modified can be also migrated to a changed process schema if this does
not cause inconsistencies or errors in the sequel. All necessary correctness checks (on the schema
and the state of the instances) and all necessary instance adaptations to be accomplished when
migrating the instances to the new process schema version are performed by the ADEPT2 system.
The implementation is based on a comprehensive formal framework (see [2, 5] for details). Based on
this framework, it can be precisely stated under which conditions a certain process instance can be
migrated to the new process schema version. This enables to check the compliance of a collection of
process instances with the changed process schema version in an efficient manner. Finally, concurrent
and conflicting changes at the process type and the process instance level are managed in a reliable and consistent manner as well. In particular, long-running processes will benefit from this close integration of the different change levels.

Figure 4a – Figure 4c illustrate how such a process schema evolution is conducted from the user’s point of view in ADEPT2. The process designer loads the process schema from the process template repository, adapts it (using the ADEPT2 process editor), and creates a new schema version (cf. Figure 4a). Then the system checks whether the running process instances can be correctly migrated to the new process schema version (cf. Figure 4b and Figure 4c). These checks are based on state conditions and structural comparisons. Furthermore, the system calculates which adaptations become necessary to perform the migration at the process instance level. The ADEPT2 system analyzes all running instances of the old schema and creates a list of instances which can be migrated as well as a list of instances for which this is not possible (together with a report which explains the different judgments). When pressing the “migration button” the system automatically conducts the migration for all selected process instances (see Figure 4d).

5 On Transferring the ADEPT2 Technology to Business

The vision of enabling ad-hoc modifications within the process management system in a correct and consistent manner was the starting point for our research and implementation work done within the ADEPT project more than 10 years ago [3]. The resulting technology has been integrated in the experimental ADEPT1 system which, to our best knowledge, is still leading in the field of adaptive process management systems today. The ADEPT1 technology has enabled ad-hoc deviations in a controlled, secure, and user-friendly manner. Unforeseen exceptions can be handled within the process-aware information system and not by bypassing it as often necessary when using commercial process management systems. The ADEPT1 system has been used in several national and international research projects. From these projects we gained valuable insights into the practical needs for process management technology on the one side, and we learned many lessons about implementing a complex system such as ADEPT1 on the other side. Partly these “lessons learned” have been published covering topics like log management, system-internal representation of process schemas and process instances, and the transfer of selected implementation concepts to other application areas such as data warehouses [6-8]. One important perception is that the system design
and architecture should offer powerful functionality at a semantically high level and hide the inherent complexity as much as possible from the user.

To transfer the ADEPT2 technology into industrial usage and business, an industrial consortium is currently being formed [9]. The major focus of this initiative is to implement a robust and scalable version of the ADEPT2 system. This system includes all functionality of the old ADEPT1 system. Ad-hoc flexibility is now based on a broader range of supported operations, however. In addition, ADEPT2 realizes the composition of processes based on plug & play techniques as sketched in Section 2. Furthermore, it implements the theoretical framework for process schema evolution as outlined in Section 4. Altogether, the design and implementation of such a powerful and innovative system constitutes a big challenge. However, we can now exploit our lessons learned from implementing the ADEPT1 system. Finally, we benefit very much from the cooperation with our industrial partners and the University of Mannheim within the AristaFlow project (see [9] for details).

6 Current Trends and Related Work

This section discusses current trends and approaches from literature and relates them to ADEPT2:

Plug & Play: Recently, lots of attention has been paid to the area of (dynamic) web service composition [24,26]. In particular, the emergence of WS-BPEL (Business Process Execution Language) has resulted in many research activities (e.g., on match making [25]) as well as new process composition tools and service flow engines (e.g., IBM WebSphere Process Server or SAP Netweaver). How to provide intelligent support for finding the right web services or partners, however, has not been a research topic in ADEPT2 so far. Nevertheless, the basic functionality for composing services in a process-oriented way is already provided by ADEPT2 as described in Section 2. In particular, ADEPT2 is able to invoke any kind of standard component (including web services and Java components); it further offers powerful interface to integrate any application component with little programming effort.

Process choreography & orchestration. Though a distributed variant of ADEPT1, which supports distributed process execution, has been developed [10, 11] and some attention was paid to inter-workflow coordination [12, 13], the focus of ADEPT2 has been on orchestration; i.e., on the coordination and enactment of (business) processes from the viewpoint of one company. Opposed to that, conversation languages like WS-CDL or WSCI have been designed for defining the global choreography of different partner processes (i.e., for cross-organizational processes where each partner runs an internal process and provides a public view on it based on which it can exchange messages with other partners).

A promising integration variant of ADEPT2 with such web service standards is conceivable: While ADEPT2 defines and manages internal (i.e., private) processes, WS-BPEL can be used for describing public process views and WS-CDL for defining the choreography of partner processes based on these public views (i.e., the global protocol based on which the processes of the different partners communicate). The advantage of this approach would be that with ADEPT2 any application component and particularly interactive process steps can be called within the internal processes. This is useful since internal processes typically comprise a mix of interactive and automatic activities as well as a variety of different application functions such as Java components, Web services, but also complex ERP system functions. Using the ADEPT2 technology the correctness of the modeled (plugged) processes can be guaranteed based on the formal checks on, for example, control and data flow.

Adaptive Process Management: The flexible support of business processes has been a hot topic in research for a long time. Mostly, approaches either deal with ad-hoc deviations at process instance level or process schema evolution [2, 14, 15]. The same applies for commercial systems offering some, but very limited flexibility (e.g., Staffware or Ultimus Workflow). Only few approaches and prototypes [16, 17] allow for both kinds of process changes, but in an isolated manner. To our best knowledge, ADEPT2 is the only adaptive PMS which supports ad-hoc deviations, process schema evolution, and their interplay based on a sound theoretical framework and within one implemented system.

Finally, several approaches exist that allow to define “placeholder activities” in a process model for which a concrete sub-process can be bound or modeled during runtime. Representatives of this system category include PocketsOfFlexibility [28] and Worklets [29]. Typically, late modeling has to be finished before instantiating the corresponding sub-process. Though late binding and late modeling increase process flexibility (see [27] for a detailed discussion), they do not allow for structural changes of already running instances. Recently a list of change patterns and change support features have emerged, which allow to systematically compare change and flexibility support in existing PAIS [27].
7 Summary and Outlook

The ADEPT2 technology meets major requirements claimed for next generation adaptive process management systems: it provides advanced functionality to support process composition by plug & play of arbitrary application components, it enables ad-hoc flexibility for process instances without losing control (i.e., without causing process execution errors or inconsistencies), and it supports process schema evolution in a controlled and efficient manner. As opposed to many other approaches all these aspects work in interplay as well. For example, it is possible to propagate process schema changes to individually modified process instances or to dynamically compose processes out of existing application components. All in all such a complex system requires a sound theoretical framework in order to avoid incomplete solutions and implementation gaps [2-4]. Finally, it is important to mention that most of our theoretical results have not been just kept "on paper", but have been implemented within the process management systems ADEPT1 and ADEPT2. As ADEPT2 additionally provides powerful tools and application programming interfaces its transfer to and its use in practice will be further eased.

In addition to the features presented in this paper, the ADEPT2 technology offers promising perspectives for process learning and continuous process optimization [4, 19]. In particular, audit data (i.e., process logs) become much more meaningful, since they do not only capture process execution events (e.g., start / completion of activities), but also contain insightful information on performed ad-hoc changes at the process instance level. By mining the change logs related to a collection of individually modified process instances, we can (semi-)automatically derive potential process improvements (i.e., changes to be applied to the original process schema).

Recently, we have started working on process change mining, and first project results already indicate the new opportunities emerging in this context [19]. Furthermore, process schema adaptations derived with respective mining techniques can be implemented with ADEPT2 in a much quicker and more cost effective way when compared to existing technology. Thus, continuous process evolution and full process lifecycle support become possible. Finally, many other interesting perspectives arise when introducing adaptive process management to practice. This includes the support for emergent processes [23], the "outsourcing" of successfully applied exception handling procedures to a knowledge management component [4, 20], the automatic adaptation of process instances based on business rules [21, 22], or the support of ad-hoc workflows.

One of the main topics of our future work is to incorporate more semantic knowledge into the ADEPT2 framework, i.e., it shall become possible to specify semantical integrity constraints on business processes [18]. Furthermore we aim at providing efficient methods to check the validity of such semantic constraints at the presence of process changes. Following such a constraint-based approach it becomes possible to not only guarantee that processes run correctly regarding their control and data flow, but also regarding the validity of the specified semantic constraints. Note that semantical constraints are also very useful when composing application components in a plug & play like fashion. As another important task we will elaborate the use of ADEPT2 in different practical settings and application areas.

References


Further information on the AristaFlow project and on ADEPT2 can be found on the following web sites: www.AristaFlow.de and www.informatik.uni-ulm.de/dbis

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