A Framework for Dynamic Changes in Workflow Management Systems

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Abstract

Current workflow management systems (WFMSs) are only applicable in a reliable and secure manner, if the business process (BP) to be supported is well-structured. As ad hoc deviations from preplanned BPs are rather the norm and form a key part of process flexibility, this limits the applicability of today's workflow (WF) technology significantly. In this paper we present a framework for the support of ad hoc structural changes of WFMs. Basic to our approach is a conceptual, graph-based WF model which has a formal foundation in its syntax and operational semantics. Based upon this model we have developed a complete and minimal set of change operations which support users in modifying the structure of WFMs at runtime, while preserving their correctness and consistency.

1. Introduction

WF technology offers a promising approach for the realization of process-centered application systems. A characteristic feature of "real" WFMSs (as opposed to e.g., Lotus Notes) is the separation of the application's control structures from the implementation of its task components. Maybe one of the most challenging potentials offered by this approach is the improved adaptability of application systems to changes of the BPs they support. Ideally, process-centered applications should reflect such changes without delay. This applies to the evolution of process schemes due to organizational and functional adaptations of the BP model itself [2, 3], as well as to ad hoc changes and dynamic extensions of individual BPs [1, 4, 6, 7, 9], e.g., due to unplanned events or exceptional situations [8, 10]. This paper deals with the latter type of dynamic change.

Current process-oriented WF technology is pretty good in supporting well-structured BPs, i.e., well-defined set of tasks, showing little variations in their possible execution sequence. It does only provide rudimentary support with respect to dynamic structural changes and dynamic extensions of WFMs. Unfortunately, the majority of BPs is not static in the above sense. In many application domains, BPs show a high variability and dynamics in their possible task sequences [7, 9]. It is therefore not always cost-effective and possible to capture all valid task sequences in advance [10].

The applicability of WFMSs will therefore be limited, if they are too rigid or intolerant of deviations from the standard processes, set out by their designers. A basic step towards more flexibility is the integral support of ad hoc modifications and well-aimed extensions of WFMs during runtime. So a WFMS must provide functions for dynamically adding or deleting tasks resp. task blocks and for changing predefined task sequences. Dynamic changes may also concern single attributes (e.g., a deadline) of a WF object (e.g., a task).

Unrestricted changes of a WF, however, would make it difficult to have the system behave in a predictable and reliable manner. For this reason, allowing ad hoc deviations from premodelled WFMs should not mean that the responsibility for the avoidance of consistency problems (e.g., unintended lost updates) or runtime errors (e.g., invocation of task modules with invalid or missing input parameters) is now completely shifted to the (naive) end user. Instead, convenient rules must be defined in order to avoid an improper and uncontrolled use of change operations.

This requires that all types of structural dependencies between tasks are taken into consideration. As an example, consider the interdependence between the control and data flow of a WF model. Dynamic modifications of premodelled task sequences are uncritical, as long as the application components (i.e., the task programs) would be encapsulated and autonomous, so that they might be executed in an arbitrary order. As this is not very realistic for process-oriented application systems, the data flow between the application components must be explicitly modelled. Otherwise the runtime system is unable to decide which adaptations must be made – regarding the flow of data – when the process is restructured. Furthermore, change operations must consider the state of the WF. For example, users
should not be allowed to delete a task or to change its
attributes, after it was completed. Finally, for security
reasons it must be possible to restrict the use of change
operations to selected users, to specific WF types, to
specific regions of a WF graph (e.g., a single task), to
certain states of a WF, or to any combination of them.

In this paper we present a conceptual and opera-
tional framework for the support of ad hoc structural
changes of WFs. Basic to our approach is a conceptual,
graph-based WF model (ADEPT) which has a formal
foundation in its syntax and operational semantics.
Based upon this model, we have developed a complete
and minimal set of change operations which support
users in modifying the structure of WFs at runtime,
while preserving their correctness and consistency
(ADEPTflex) [7]. If a change leads to the violation of
correctness properties, it is either rejected or the cor-
rectness of the WF graph (e.g., concerning the flow of
data) must be restored by handling the exceptions (e.g.,
missing parameter data) resulting from the change.
This, in turn, may require concomitant changes.

Section 2 gives an overview of the ADEPT WF
model. In section 3 we give some insights into the
ADEPTflex model, taking the dynamic insertion of tasks
into a WF graph as an example. Section 4 discusses
related work and concludes with a summary, an
overview of related issues not addressed within this
paper and an outlook on future work.

2. Fundamentals of the ADEPT WF Model

To operationally support dynamic structural
changes of a WF, a formal specification of its different
aspects and of its behaviour is needed. Essential for the
modelling and the execution of WFs in ADEPT is the
concept of symmetrical control structures. Task sequen-
ces, branchings and loop backs are specified as symme-
trical blocks with well-defined start and end nodes.
These blocks may be arbitrarily nested, but are not
allowed to overlap. In addition, ADEPT supports the
synchronization of tasks from different execution bran-
ches. The use of symmetrical control structures pro-
vides the basis for the efficient analysis of the control
and data flow of a WF, which has proved as crucial for
the support of complex ad hoc changes. Furthermore,
ADEPT defines a set of formal correctness criteria (e.g.,
regarding the progress of a WF or the correctness of the
WF's data flow schema), that should guarantee a correct
execution of WFs. The correctness properties of a WF
model must be preserved in case of dynamic structural
types of

2.1 Workflow Modelling

A detailed description of the ADEPT model [cf. 7]
is beyond the scope of this paper. We only sketch some
of the basic concepts, to which we refer in the following
section. Simplistically, we assume that a WF schema
comprises a set of tasks and control as well as data de-
pendencies between them.

Flow of Control: The control flow of a WF schema
is represented as a directed, structured graph (N, E).
Tasks are abstracted as a set of nodes N (of different
types NT) and control dependencies between them as a
set of directed edges E (of different types ET). Each
WF schema has a unique start and a unique end node.
The sequential execution of tasks is modelled by
linking them with control edges (ET= CONTROL_E).
Branchings start with a split node and are synchronized
symmetrically at a unique join node. ADEPT supports
different types of branchings, among those are parallel
processings (AND-split, AND-join), conditional rou-
tings (OR-split, OR-join) and parallel branchings with
final selection (AND-split / OR-join) [7]. The repeti-
tive execution of a set of tasks is modelled by the use
of loops. Like branchings a loop corresponds to a symme-
trical block with a unique start node and a unique end
node, which are connected by a loop edge (ET = LOOP_E).
In addition, the end node is associated with a loop condition, which is evaluated each time the
loop's end node is triggered. Finally, for the synchroni-
ization of tasks from different execution branches two
types of synchronization (sync) edges are supported:

• ET = SOFT_SYNC_E: A "soft" synchronization
n₁ → n₂ is used to specify a delay dependency
between n₁ and n₂, i.e., n₁ may only be executed if
n₁ is either completed or if it cannot be triggered
anymore. An example is given in Fig. 1, where H
is triggered when G is completed and E is either
completed or skipped (i.e., the corresponding
branch is not selected for execution).

• ET = STRICT_SYNC_E: A "strict" synchroni-
zation n₁ → n₂ requires that n₁ must be successfully
completed before n₂ is allowed to start [cf. 7].

The use of sync edges has to meet several con-
straints in order to avoid redundant control dependen-
cies between tasks, cycles, or even termination prob-
lems of the WF. In any case, only nodes from different
branches of a parallel processing may be synchronized
by the use of sync edges. Furthermore, a sync edge may
not connect a node from inside a loop body B with a
node not contained within B.
Flow of Data: A WF schema may be associated with a set $D$ of global data elements (resp. variables). Each element $d \in D$ has a unique identifier $id_d$ and a domain $dom_d$. The data flow between tasks is defined by connecting their input resp. output parameters with elements from $D$. In this context, the input (resp. output) data of the WF are logically treated as the output (resp. input) data of its start (resp. end) node. Furthermore, each task $n \in N$ may be associated with a set of auxiliary services (ASs), whose execution is closely connected to the task’s one. An AS is either triggered when its corresponding task is started or when it is terminated, and does not appear as a separate work item in any worklist. ASs may be used, for example, to request input data for a task from the user initiating it.

In the following, we assume that for the correct execution of an action (i.e., a task resp. an AS) all input parameters must be supplied and that after its successful completion all output parameters are written. The data flow schema $DF$ of a WF then comprises the set of all data links, connecting task resp. AS parameters with data elements from $D$ (cf. Fig. 2.). ADEPT imposes a set of restrictions which govern the nature of a correct data flow schema. For each data link $df \in DF$ we require that the domains of the data element $d_{df}$ and the parameter $par_{df}$ it connects are type compatible. In addition, each input resp. output parameter of an action must appear in exactly one data link $df \in DF$. To avoid the invocation of application components with missing input data, we further require that before a specific action may be executed, its input parameters must be supplied; i.e., all data elements to which the action's input parameters are connected must be written at least once within all valid task sequences leading to the execution of that action. Trivially, for a given task which reads a data element $d$, this rule is satisfied when $d$ is written by the start node of the WF or by a preceding AS. Note, that this rule also guarantees that the input parameters of the end node, i.e., the output parameters of the WF, are supplied. Finally, in order to avoid unintended lost updates we do not allow tasks from different branches of a parallel processing (with AND-join) to have write access to the same data element, unless they are synchronized by a sync edge.

Due to lack of space, we omit the presentation of algorithms for analysing a data flow schema with respect to these rules. For a basic understanding an example is more suitable. In the WF graph depicted in Fig. 2 the task $G$ may read the data elements $d_1$ and $d_2$, but is not allowed to access $d_3$, as this data element is not written within all valid action sets leading to the execution of $G$ – valid action sets are $\{STARTFLOW, A, B, D, F\}$ and $\{STARTFLOW, A, B, F\}$. The task $H$, however, may read the data elements $d_1$, $d_2$ and $d_3$ as each of them is written within all task sets leading to the execution of $H$. Furthermore, $G$ is not allowed to write $d_3$ as $d_3$ might be concurrently written by task $C$.

The presented rules constitute the basis for detecting exceptions resulting from a dynamic structural change and for adjusting the data flow schema when the WF is restructured. Note, that changes of a WF may violate the presented rules if no further precautions are made. The deletion of a task, for instance, is accompanied by the deletion of the data links connecting its output parameters with elements from $D$. This, in turn, may lead to missing parameter data for succeeding tasks and therefore to an invalid data flow schema. On the other hand, the dynamic insertion of a task and the
addition of data links connecting its output parameters with elements from D may lead to lost updates.

2.2 Workflow Execution

Whether a dynamic change may be applied to a WF instance or not depends on the state of the WF, too. A WF’s state is defined by the current state of the nodes and edges of the WF graph, the values of its data elements (possibly stored in different versions) and information about its previous execution history. The state of a task \( n \) is described by the current state \( NS' \) of its node – NOT_ACTIVATED, ACTIVATED, RUNNING, COMPLETED or SKIPPED – and the total number \( IT' \) of its previous executions. Finally, the state \( ES' \) of an edge \( e \) of a WF graph is either NOT_SIGNED, FALSE_SIGNED or TRUE_SIGNED.

Each time an edge (of arbitrary type) is signalled, the state of its destination node is re-evaluated according to the execution rules defined by ADEPT. These rules define the conditions under which a node may be activated (i.e., routed to worklists). A node representing an AND-join, for instance, is activated, if it is in the state NOT_ACTIVATED and all ingoing control edges are in the state TRUE_SIGNED. Furthermore all strict sync edges must be signalled as true and all soft sync edges as either true or false. On the other hand, a node is skipped if at least one of its ingoing control edges is signalled as false. Comparable execution rules are defined for all node types of a WF (incl. the start / end nodes of loops).

The completion of a node, in turn, leads to the signalling of its outgoing edges. Upon successful completion of an AND-split node, for example, its outgoing control and sync edges are signalled as true, which may lead to the activation of succeeding tasks, and so on. On the other hand, if a task is skipped (e.g., when its corresponding branch is not selected for execution) all outgoing edges are signalled as false, which may lead to the skipping of succeeding tasks. In summary, the marking of edges follows well-defined signalling rules, which are based on the operational semantics of the ADEPT model. We omit further details and refer the interested reader to [7].

As we will see in the following section, execution and signalling rules play an important role in connection with the reevaluation of the state of a WF graph after structural changes have been applied to it.

3. Supporting Dynamic Changes of WFs

Based upon the ADEPT model we have developed a complete and minimal set of operations which serve as the framework for dynamic structural changes of WFs \( \text{ADEPT}_{\text{ns}} \). The main emphasis in designing these operations was put on consistency and correctness issues. The application of a change operation to a specific WF must result in a WF with a syntactically correct schema and with a “legal” state, i.e., the change should not cause inconsistencies and runtime errors. Furthermore each operation should be applicable to any WF instance with arbitrarily structured schemes. Finally, the provided change operations should be complete and minimal in the sense of being able to realize each possible form of restructuring of a WF graph.

In summary, \( \text{ADEPT}_{\text{ns}} \) comprises operations for inserting and deleting tasks (resp. task blocks) into resp. from a WF graph, for fast forwarding the progress of a WF by skipping the execution of tasks (with our without finishing them later), for jumping to currently inactive parts of a WF graph, for serializing tasks that were previously allowed to run in parallel (and vice versa) and for the dynamic iteration resp. rollback of a WF region (incl. the undoing of temporary structural changes). Based upon these operations higher-level services such as the replacement of a specific WF region by a new one can be implemented. The insert operation shall serve as an illustrative example and will be discussed in more detail. For an overview of the other change operations the interested reader is referred to [7].

3.1 Dynamic Insertion Of Tasks

When a new task is inserted into a WF graph, new nodes and edges (incl. data links) must be added, while preserving the correctness and consistency of the WF. Current WFMSs do not provide a sufficient level of flexibility and consistency with respect to this operation. Typically they only allow the addition of an activity upon completion of a task and before the activation of its successors [e.g., 5, 6]. Important aspects, e.g., concerning data integrity, are left aside. To be broadly applicable, an insert operation must be complete in the sense of being able to realize each possible form of insertion. Generally, it must be possible to add new tasks to a WF at any point of time during its execution, to work on an inserted task concurrently to other tasks, to synchronize the execution of an inserted task with those of other tasks, to insert tasks into WF regions that have not yet been entered, to dynamically map the parameters of the inserted task to existing or to newly generated data elements, and so on.

In the \( \text{ADEPT}_{\text{ns}} \) model, a new task \( X \) – together with associated auxiliary services \( S_x \), data elements \( D_x \) and data links \( DF_x \) – may be inserted into a WF graph by synchronizing its execution with two node sets \( M_{\text{before}} \) and \( M_{\text{after}} \).
and M_{after}. The execution semantics of X is then as follows: X is activated as soon as all tasks from M_{before} are either completed or cannot be triggered anymore, i.e., the tasks defined by M_{before} delay the execution of X. On the other hand, tasks from M_{after} may only be activated after X has been completed. This generic approach allows us to synchronize X with tasks from different execution branches.

**Preconditions:** To ensure that the application of the insert operation leads to a WF graph with a syntactically correct schema and with a legal state, the following constraints must be satisfied: (P1) Firstly, for all n_{i} \in M_{before}, n_{j} \in M_{after} the node n_{i} must precede n_{j} in the flow of control. (P2) Secondly, to avoid unnecessary synchronizations, nodes from M_{before} (resp. M_{after}) should not succeed each other in the flow of control. (P3) Finally, the region covered by the nodes between M_{before} and M_{after} may only contain complete loop control structures. Besides structural constraints, the applicability of the insert operation may depend on the state of the WF graph, too. We require that all nodes from M_{after} must be in one of the states NOT_ACTIVATED or ACTIVATED, i.e., the insertion of a new task X as a predecessor of an already running or terminated task is disallowed. If X is inserted as a predecessor of an activated task, i.e., the task has already been routed to worklists, the insertion may only take place after the corresponding work items have been removed. The nodes from M_{before} may be in an arbitrary state.

**Insert Algorithm:** First of all, we concentrate on the restructuring of the control flow graph (N, E). If M_{before} and M_{after} satisfy the above constraints, a task X is added to the graph by applying the following steps:

1. Find the minimal, closed subgraph B \subseteq (N,E) that contains all nodes from M_{before} \cup M_{after} (excl. the start/ end node of the WF graph). Let n_{begin} denote the start node and let n_{end} denote the end node of B.
2. Insert an AND-split n_{i} preceding the node n_{begin} and a corresponding AND-join n_{j} succeeding n_{end}. Both, n_{i} as well as n_{j} are supposed to be null tasks (i.e., tasks without associated actions); n_{i} / n_{j} takes over the input / output firing behaviour and the ingoing /outgoing control edges of n_{begin} / n_{end}.
3. Insert X as a new branch between n_{i} and n_{j} and synchronize it with the tasks from M_{before} and M_{after}; i.e., for each B \in M_{before} (excl. the start node of the WF graph) add a sync edge B \rightarrow X and for each A \in M_{after} (excl. the end node of the WF graph) add a sync edge X \rightarrow A (with ET = SOFT_SYNC_E).

We omit further details and present two examples instead. The first one is depicted in Fig. 3 and shows how a task X is inserted between two sets of nodes. The example shows that nodes and edges might be added to the WF graph, that are not necessarily required to achieve the desired execution semantics. Such unnecessary graph elements may be removed from the resulting WF graph by applying a set of well-defined reduction rules [cf. 7]. The effect of these rules to the WF graph

![Figure 3. Insertion of a new task between two sets of nodes.](image-url)
from Fig. 3c) is shown in Fig. 3d). A second example is given in Fig. 4 where a new task is inserted between an AND-split and its corresponding AND-join.

On the whole, the insert operation substitutes a block $B$ of the WF graph by a symmetrical block, namely a parallel branching with the inserted task $X$ and $B$ as its branches. The symmetrical structuring is therefore preserved and the insertion of the null tasks does not influence the termination behaviour of the WF. The restrictions for the use of sync edges (cf. section 2.1) are further satisfied as the added edges do only synchronize tasks from different branches of a parallel branching – namely the task $X$ with tasks from $B$ –, do not link a node contained within a loop body with $X$ (cf. P3) and do not lead to cycles resp. termination problems. The latter is guaranteed by the ordering of the tasks from the sets $M_{\text{before}}$ and $M_{\text{after}}$ (cf. P1).

**State Reevaluation:** After a task has been added to a WF graph, the state of its nodes and edges (incl. the newly inserted ones) must be re-evaluated. This reevaluation is based on the execution and signalling rules defined by the ADEPT model (cf. section 2.2). Whether the newly inserted task is activated immediately or not depends on the current state of the WF graph. The former is the case, if at insertion time all nodes from $M_{\text{before}}$ are in a finite state. As a simple example consider the WF graph shown in Fig. 4b), whose reevaluation yields to the graph depicted in Fig. 4c). Note, that the addition of a new task does not necessarily mean that it will be activated at all. If a task is inserted into the region of a WF graph that has not yet been entered, its execution may depend on future routing decisions.

**Adjusting the Flow of Data:** A task $X$ may be "plugged" into a WF graph, together with associated data elements $D_X$, auxiliary services $S_X$ and data links $D_{F_X}$. It must be ensured that the resulting data flow schema meets the correctness properties defined in section 2.1. A simple approach to guarantee the supply of $X$'s input parameters, for instance, would be to request them from the user initiating $X$, e.g., by assigning a preceding AS to $X$ whose output parameters correspond to $X$'s input parameters [cf. 7]. In practice, this simple approach would not always yield to a satisfactory solution, since redundant data entries may result in the course of a WF, potentially leading to data inconsistencies. For a more intelligent support it must also be possible to dynamically map the parameters of the inserted task to already existing data elements from $D$. This raises a variety of challenging issues with respect to dynamic parameter mapping, which can only be sketched here. First of all, the data elements $C_X \subseteq D$ to which $X$'s input parameters may potentially be mapped is $C_X = \{d \in D \mid \forall V \in V^X \exists n^* \in V^X : n^* \text{ writes into } d\}$, where $V^X$ denotes the set of all valid task sets, leading to the execution of $X$. A specific input parameter of $X$ may only be linked to a data element $d \in C_X$ if their domains correspond to each other. Of course, this purely syntactical approach would be insufficient in practice and would leave significant complexity to the user. A more sophisticated approach, which aims at the semi-automatic mapping of parameters to data elements, is sketched in [7]. Basic to this approach is a controlled vocabulary which is used for the naming of data elements and task parameters. Finally, the set $C_X$ may be extended by considering the state of the WF,

![Figure 4. Adding a new task X between the AND-split D and the AND-join G.](image-url)
too. As an example, take the insertion shown in Fig. 4 and assume that B is the only task that writes a specific data element d ∈ D. Since B is completed at the time X is added, X may read the value of d, although it is not contained within C. Following this approach, it might become necessary to undo the insertion of X in case of a backward operation [cf. 7].

Similar reflections must be made regarding linkages of the output parameters of inserted tasks to existing resp. newly inserted data elements (cf. section 2.1)

3.2 Further Issues

With increasing complexity and expressive power of the used WF meta model, it becomes more and more difficult to handle dynamic changes of WFs – together with the resulting exceptions – in a proper and secure manner. As an example, consider the use of loops. When a loop enters a new iteration, the control of the WF is passed back to a previous point of the flow. For ad hoc changes, this means that whenever they affect a loop's body, it must be clear whether the change should only be valid for the current iteration (temporary change) or for following iterations, too. In the former case, the change must be undone before the loop may enter its next iteration [cf. 7].

For security reasons, ADEPTflex allows WF designers to restrict the use of a change operation to specific users, WF types, regions of a WF graph, states of a WF, or to any combination of them. Basic to this is a powerful meta model for capturing organizational entities and relationships between them. Finally, for the implementation of flexible client applications a set of API calls is offered to programmers. This API also provides functions for querying information about the context in which the change takes place.

4. Summary and Outlook

Several approaches exist which aim at the support of dynamic changes of WFs at runtime. The proposals made by ProMInaD [6], ObjectFlow [5], MOBILE [4], and many others [e.g., 1, 9] are worth mentioning. In summary, current proposals are rather based on "ad hoc" WF models, which lack a clear theoretical basis. This, in turn, makes it difficult for the runtime system to handle ad hoc changes in a proper and secure manner. There are only few approaches which address correctness issues in connection with dynamic structural changes. Notable exceptions are presented in [2, 3]. In contrast to ad hoc changes applied to individual WF instances, these approaches deal with schema changes and their propagation to WFs whose execution started with the old schema. As ADEPTflex both approaches are based on a conceptual WF model. However they restrict their considerations to dynamic changes of the control flow while other relevant aspects are left aside.

Our paper has illustrated that the dynamic change problem has many facets. We have introduced basic concepts of the ADEPT WF model, which offers a good compromise for the trade-off between the expressive power of a WF model and the complexity of its algorithms for model checking. We believe that this is crucial for the efficient support of complex dynamic structural changes. The ADEPTflex model which is based upon ADEPT has been presented and its adequacy with respect to dynamic changes has been demonstrated. Taking the dynamic addition of tasks as an example, we have shown that the correctness properties of ADEPT and the preconditions defined for each type of change operation constitute a good basis for this.

Besides the issues addressed in this paper, there are numerous areas that warrant further attention. The support of simultaneous changes, the interplay of dynamic changes at the schema level with ad hoc changes at the instance level and the provision of "intelligent" user interfaces name just a few examples.

References