GSM Model Construction from Enterprise Models

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Abstract: Business process analysis is an essential tool to assess how well a business is meeting its goals. However, the process analysis phase may fail in some cases because it focuses either on the data perspective and ignores business activities, or on the functional and behavioral perspectives of the business process and overlooks the data. Indeed, traditional analysis approaches are based on models that do not represent all of these business process perspectives together. Recently, Entity-Centric Modeling has been proposed as a promising approach for the design of business processes based on so-called business entities. It aims to bring together business goals, business operations and business data in a natural way. In this paper, we propose a method to design an enterprise view based on business entities in order to bring together data and processes in a coherent and consistent way. The constructed view provides for an integrated analysis of data and processes. Our method takes as input a domain class diagram of the enterprise information system and a BPMN model representing its business process model, and it constructs a business entity model using the Guard-Stage-Milestone (GSM) language.

1 INTRODUCTION

Business process (BP) analysis is an essential tool that assesses how well a business is meeting its goals. It helps an organization to improve its activities in order to reduce overall costs, provide more efficient use of scarce resources, and offer high quality services to its customers. To be efficient, the process analysis phase must focus on three interdependent perspectives: the data, the functional and behavioral perspectives of the BP. However, traditional analysis approaches are based on models that do not represent all of these perspectives (Leymann et al., 2002) (van der Aalst et al., 2003); by focusing on some perspectives only, these analysis approaches may hinder the analysis of some business subjects. For example, by analyzing the activities of a product delivery process without including pertinent information about the business objects manipulated by these activities, it is not possible to find out the activities which are responsible of delays in the delivery time of a given product category. Such analysis results require the integration of the processes with the data.

Recently, a new concept called business entity (BE) was proposed in the information system domain. It aims to bring together business goals, business operations and business data in a natural way. A BE is a key business-relevant dynamic conceptual object that is manipulated in the information system. It is created, evolved, and archived as it passes through the operations of an enterprise (Nandi et al., 2010). A BE is well defined through its behavior, its structure, as well as the business activities that manage it. Indeed, a BE model includes both an information model showing its structure, and a lifecycle model that describes how, when, and by whom tasks can be invoked and performed on the BE. For instance, in a product delivery management business domain, a product delivery is a BE type, whose information model would include attributes for product ID, sender, recipient, delivery method, arrival times, delivery time, and billing information; its lifecycle model would include the multiple ways that the product could be delivered and paid for.

Several approaches have been proposed to model BEs, which we classify into two categories: Approaches starting from scratch (Liu et al., 2007) (Bhattacharya et al., 2009) (Nandi et al., 2010) and others based on operational enterprise systems (Kumaran et al., 2008) (Nooijen et al., 2013) (Popova and Dumas, 2013). The first category of approaches starts with specifying the stakeholder
needs in order to define the BEs. The approaches in this category are time consuming, costly and they do not exploit the enterprise existing knowledge represented within its operational systems. To overcome these limitations, the second category of approaches exploits this knowledge (workflow logs, databases...) to model business entities. Most of them generate entity models from event logs, i.e. recorded executions of the process. However, the entity model generation from event logs faces many challenges (van der Aalst and Weijter, 2004), e.g., event logs incompleteness and noise such as exceptions and logging errors. Some other researches assume a structured data source (i.e. database) to be given as additional input for BE lifecycle discovery cf. (Nooijen et al., 2013). This data source contains information about the events that have occurred on data in past process executions. Usually, this information is present as timestamps in the records of the data source. But, this data source may be incomplete because the data dependencies were created at the application layer and are not documented in the data source.

In this paper, we propose to bring data and processes together in a coherent and consistent way through the design of an enterprise view based on BE models. The obtained artifacts form an integrated view of data and processes (through BEs), that enables to analyze facts that cannot be analyzed by data and process warehouses taken separately. In addition, this integrated view increases the scope of reuse of process models, since the process is refactored around business entities. It also leads to agility in design, as the changes can be localized in process fragments without affecting other parts of the design (Nandi et al., 2010).

To construct BE models, we make use of conceptual enterprise models. These latter are usually available in enterprises that comply with standards, and they should be aligned with the operational systems. Without loss of generality, we suppose that these models are specified with the standard languages BPMN (BPMN, 2011) and UML (Unified Modeling Language, 1997). We specify BE models with the standard BE specification language Guard-Stage-Milestone (GSM) (Hull et al., 2010) (Hull et al., 2011). More specifically, our GSM model construction method takes as input a domain class diagram of the enterprise IS and a BPMN model representing its BP models. It operates in three steps: In the first step, it runs through the process model to discover all BEs handled by the business activities. Afterwards, in the second step, it constructs, for each identified BE, its lifecycle model. Finally, in the third step, it builds the BE information models based on the domain class diagram.

This paper is organized as follows. In Section 2, we present the concept of BE and the standard BE specification language GSM. In Section 3, we present related works to place our contributions in their context. In Section 4, we present our method to construct a GSM model from enterprise IS and process models. Finally, in Section 5, we conclude and present future works.

2 BUSINESS ENTITIES AND GSM

A BE is a key business-relevant dynamic object manipulated in the information system. It is created, evolved, and archived as it passes through the operations of an enterprise (Nandi et al., 2010). A BE is characterized by its structure and its lifecycle. Most of the existing works on BE modeling focus on the lifecycle model and ignore the BE structure. The formalism used to model the BE lifecycle is based on variants of finite state machines (Kumaran et al., 2003) (Nandi et al., 2010) (Nigam and Caswell, 2003). Recently, the Guard-Stage-Milestone (GSM) language (Hull et al., 2010) (Hull et al., 2011) has been proposed by the Object Management Group (OMG) as a standard for BE specification.

In GSM, a BE includes both an information model and a lifecycle model (cf. Figure 4). The lifecycle model of a BE in GSM specifies its progression stages. A stage is a cluster of activities that might be performed for, with, and/or by an entity instance, in order to achieve one of the operational objectives of that stage called milestone. A stage can be complex (contain sub-stages) or atomic. The transition from one stage to another is conditional due to the sentries used in guards and milestones. These sentries control when stages open and when milestones are achieved or invalidated. Achieving a milestone m of some stage generates an event MAchieved() that can be used in the guard of another stage. This way, the execution of stages can be ordered. The GSM informational perspective of a BE is modeled using the information model. This model captures all of the business-relevant data about a BE. It is broken into two categories. The data attributes hold business-relevant data about the progress of an entity instance. The status attributes hold information about the current status and update time of all milestones (true or false) and all stages (open or closed).

Figure 1 shows an example of a business entity, called "Fixed Price Request entity type", using the GSM notation.
In the following, we give a formal definition of a BE within GSM (Hull, et al., 2011).

**Definition 1:** A BE type (or simply a BE) has the form \((R, \text{Att}, \text{Stg}, \text{Tsk}, \text{Mst}, \text{Str}, \text{Per}, \text{Lc})\) where:

- \(R\) is the name of the BE and it is often used to refer to the BE itself.
- \(\text{Att}\) is the set of attributes of this BE. This set is further split into a set of attributes \(\text{Att}_{\text{data}}\) and a set of status attributes \(\text{Att}_{\text{status}}\).
- \(\text{Tsk}\) is a set of tasks that change the attributes of the BE.
- \(\text{Stg}\) is the set of stage names.
- \(\text{Mst}\) is the set of milestone names.
- \(\text{Str}\) is a set of sentries.
- \(\text{Per}\) is a set of task performers.
- \(\text{Lc}\) is the BE lifecycle model.

![Figure 1: A business entity using GSM notation (Hull et al., 2010).](image)

**Definition 2:** A GSM model is a set of \(n\) BEs with the form \((R_i, \text{Att}_i, \text{Stg}_i, \text{Tsk}_i, \text{Mst}_i, \text{Str}_i, \text{Per}_i, \text{Lc}_i)\), where \(i \in [1..n]\) and all BE type names \(R_i\) are pair wise distinct.

### 3 RELATED WORKS

The works related to our approach involve two domains: analysis of business processes (BPs) and business entity models. Works on analysis of BPs can be classified into three categories: approaches that focus on the data perspective and ignore business activities (Golfarelli, 2010) (P. Giorgini, 2005), those which consider the functional and behavioral perspectives of BPs and overlook data (List, 2000) (Sturm, 2012), and those which propose to improve the BP analysis by adding additional information, such as business goals or organizational structure, during the analysis or the construction phase (Antonio Ferrández, 2014) (Alejandro Matéa, 2014) (Stefanov, 2006) (Chowdhary et al., 2006) (Shahzad, 2012). Indeed, in (Antonio Ferrández, 2014), the authors propose to integrate the DW structured data with the external unstructured data obtained by Question Answering (QA) techniques. The unstructured data are extracted from different external sources (e.g. Big Data, blogs, social networks, etc.). The integration is achieved through the presentation of the data returned by the DW and the QA systems into dashboards that allow the user to handle both types of data. Moreover, the QA results are stored in a persistent way through a new DW repository in order to facilitate comparison of the obtained results with different questions or even the same question with different dates. In (Alejandro Matéa, 2014), the authors propose an i* profile for DWs that considers user goals in a DW model in order to increase the error correction capability of the analysis, and to make complex models easier to understand by DW developers and non expert users.

In (Chowdhary et al., 2006), the authors present a model driven data warehousing approach to bridge the gap between BP models and data warehouse models. This solution defines a business process warehouse model (BPWM) that represents an extension of the existing BPM models to represent data warehouse model elements and then transforms the BPWM model to a physical data warehouse schema. This approach enables the alignment of the data warehouse with the BPs. In (Shahzad, 2012), the author proposes a process warehouse consisting of two parts: a stable and a case-specific part. The stable part stores information about goal structure and its relationship with process warehouse structure, such as satisfaction conditions, indicators, and goal related dimensions. The case-specific part captures the dimensions and facts about a process, which are essential for performance analysis of BPs. This part is dynamic in the sense that a data model is developed for each process, i.e. the dimensions and facts identified for a process can be different from those of another process.
The concept of BE has been proposed in the early 2000 as a means to have an integrated view of BPs and data. Since then, few approaches have been proposed to model BEs. Some works start from scratch and propose methods to construct the BE models (Liu et al. 2007) (Bhattacharya et al., 2009) (Nandi et al., 2010). The proposed methods start from stakeholder requirements to identify the BEs. Then, for each identified BE, they develop the corresponding lifecycle model that the entity moves through, including the key stages of the processing of the entity and how they are or might be sequenced. However, those methods are time consuming and demand consulting skills. Moreover, they do not exploit the existing models of the enterprise.

Other works start from existing enterprise operational systems (workflow logs, databases ...) to model BEs (Kumaran et al., 2008) (Nooijen et al., 2013) (Popova and Dumas, 2013). In (Kumaran et al., 2008), the authors derive an algorithm that generates a BE model from a BP model to bridge the gap between these models and show the duality between them. In (Nooijen et al., 2013), the authors present an automatic technique for discovering BE models from a structured data source that stores process execution information of a data-centric system. In (Popova and Dumas, 2013), the authors propose a method for translating process models, represented by Petri Net models, into lifecycle models of BEs. The formalisms used to model BEs in these works are variants of finite state machines (Kumaran et al., 2003) (Nandi et al., 2010) (Nigam and Caswell, 2003) and the Guard-Stage-Milestone (GSM) model (Hull et al., 2010) (Hull et al., 2011) (Nigam and Caswell, 2003). However, GSM is a standard language. It is more declarative than the finite state machine variants, and supports hierarchy and parallelism within a single artifact instance. It reflects the way stakeholders think about their business. Furthermore, its hierarchical structure allows for a high-level, abstract view on the operations while still being executable. It supports a wide range of process types, from the highly prescriptive to the highly descriptive.

All the works on modeling BEs focus on the lifecycle model of the BE and neglect their informational and organizational perspectives. They generate the lifecycle models starting only from event logs, which contain recorded executions of the process. However, the discovery of lifecycle models from both, event logs and structured data source faces many challenges. Indeed, event logs can be incomplete and may not model all allowable behaviors of the BP. Indeed, the behavior of the process present in the event logs depends on the process history. In addition, the event logs may contain noise such as exceptions and logging errors.

4 GSM CONSTRUCTION METHOD

Our GSM construction method takes as input two conceptual models: a class diagram \( D \) and a BPMN model \( P \) and returns as output a GSM model \( G \). It is composed of three main steps: BE identification
which identifies the BEs in \( P \), BE lifecycle construction which constructs, for each identified BE, its lifecycle model, and BE information model construction which constructs the information models of the business entities.

Before detailing those steps, we start by presenting an example used to illustrate our method. We consider a cash withdrawal process (cf. Figure 2) and a class diagram representing the business objects involved in this process (cf. Figure 3). The process starts when the customer comes to the bank agency, fills a withdrawal request form, and submits it to the receptionist. The latter checks the customer identity and confirms that the declared bank account exists. If not, the withdrawal is refused. Otherwise, the receptionist checks if the balance of the customer account is higher than the requested amount. If not, the withdrawal is refused. Otherwise, the customer account is updated and cash is delivered.

![Figure 3: A class diagram of the Cash Withdrawal.](image)

### 4.1 Business Entity Identification

BEs are the objects handled by BPs. They may be consumed, changed or created by the process activities. In a BPMN model, they are represented by the concept of Data Object. A data object is associated with the activity which manipulates it using an association relation. Hence, for each data object of \( P \), we create a BE having the same name as the data object. This step needs the stakeholder intervention to validate the generated set of BEs. Indeed, the stakeholder may consider that some of these BEs are useless in the view to be constructed, e.g., if the view is intended to be used for transaction analysis, some BEs not representing transactions are not interesting.

Applied to our Cash Withdrawal process of Figure 2, this step yields two business entities: withdrawal request and customer account.

### 4.2 Entity Lifecycle Construction

The second step of our method constructs the lifecycle model for each business entity identified in the first step. It starts with creating the top-level stages of each BE. Then, it creates embedded stages and their associated guards and milestones.

#### 4.2.1 Stage Construction

A stage of a BE in the GSM model corresponds to a named activity related to this BE. That is, it can be seen as a state of the lifecycle of the BE in which some activities are executed. A stage can be either complex or atomic. Complex stages contain one or more sub-stages. Atomic stages cannot have sub-stages, but are placeholders for tasks. Atomic stages can contain one or more tasks, depending on task types. Hence, a top-level stage matches with one of the states of the Data Object corresponding to the BE. In the business process \( P \), for each state of a data object (that is represented as a text between brackets under the data object), we create a BE top level stage.

In our example, the entity withdrawal request has three states: created, refused and accepted. So, in its lifecycle model, we create three top-level stages "Creating", "Refusing" and "Accepting" (cf. Figure 4).

Note that the sequence of activities responsible of a state change of each data object is used to create the sub-stages of the top level one in the GSM model. We identify the sub-stages depending on the number of activities of the sequence and their types:

1- If there is one activity in this sequence and it is a task, then we create a new task associated with the corresponding top-level stage. In our example, the task "Refuse withdrawal" of the withdrawal process is responsible of the change of the state of the entity withdrawal request. So, we create a task "Refuse withdrawal" and we associate it with the top-level stage "Refusing" in the GSM model.

2- If the sequence is composed of one sub-process or of more than one activity, then we go through the sequence and we create sub-stages depending on the type of the crossed activity. If an activity is a sub-process, then we consider the corresponding top-level stage as a complex stage. For each task of this sub-process, we create a new atomic stage and we associate this task with the created stage. The obtained atomic stages are embedded as sub-stages in the top-level one. But, if an activity is a task, then we proceed as explained in 1. In our example, the sequence of activities which trigger the creation of the entity withdrawal request
is composed of two activities: "Fill withdrawal form" and "Submit withdrawal request". Thus, we create two atomic stages "Filling" and "Submitting". Afterwards, we associate the tasks: "Fill withdrawal form" and "Submit withdrawal request" respectively with the created stages. These stages are embedded in the top-level stage "Creating".

4.2.2 Milestone Construction

A milestone in a GSM lifecycle model corresponds to a business relevant objective or goal that can be achieved. It is always attached to exactly one stage, i.e. each stage is equipped with milestones to determine when its goals are achieved. So, for each stage in the new GSM model, we create a milestone that indicates the achievement of the corresponding stage. For example, in our example, we create a new milestone called "Filled" for the stage "Filling" (c.f. Figure 4).

4.2.3 Guard and Sentry Construction

A guard specifies a condition associated to a single stage and indicates when a stage becomes active, i.e. when the guard becomes true, the associated stage is opened. The expression of a guard is called a sentry. We identify the guard of a stage depending on the direct predecessor of the corresponding activity in the BP model P. Possible cases are the following ones:

1. If the predecessor is the start event, then we create a new guard with the sentry "initiating" and we associate it with the corresponding top-level stage (cf. Figure 4).
2. If the predecessor is an intermediate event, then we create a new guard and we associate it with the corresponding stage. Then, we match the event with the sentry of his guard. For instance, in our example, we create a new guard with the sentry "on DeliveredAchieved" for the intermediate message event which comes before the activity "Receive cash". Then, we associate this guard with the stage "Receiving".
3. If the predecessor is an activity, we create a new guard with its sentry and we associate it with the corresponding stage.
4. If the predecessor of the considered activity is a gateway, we generate a combination of conditions. The combining operator corresponds to the gateway type (for AND- and XOR-splits and joins). The obtained expression is the sentry of the guard of the stage under construction. This sentry may be complex especially when there is a sequence of gateways preceding the considered activity. So, we apply the procedures proposed in (Popova and Dumas, 2013) to decompose the sentry into multiple shorter and more intuitive sentries, which are then assigned to separate guards of the corresponding stage.

When applying those rules to our running example, we obtain a new guard, called on NotAuthenticatedAchieved(), for the gateway which precedes the activity Check balance. Then, we associate this guard with the top-level stage "Refusing". Also, we create a new guard called on AuthenticatedAchieved() and we associate it with the stage "Checking" (c.f. Figure 4).

4.2.4 Performer Construction

In a GSM model, a performer can perform human tasks that are invoked from within atomic stages. On the other hand, pools and lanes are participants in a BPMN model. They are viewed as process containers since they are the performers of all the activities of the process they contain. In this sense, a pool or a lane is equal to a performer. So, when the BPMN model has pools without any specification of lanes, then we create a new performer for each pool. But when lanes are specified in the BPMN model, then we create a performer for each lane. The new performers are associated with the corresponding atomic stages.

In our example, two pools are specified in the BPMN model. So, we create two performers "Customer" and "Bank agency" for those pools. Then, we associate the performer "Customer" with the stages "Filling" and "Submitting" of the BE Withdrawal request (c.f. Figure 4).

4.3 Entity Information Model Construction

The third step of our method is to construct the information model of each BE identified in the first step. We start with constructing the information model from the class diagram D. However, the classes of this diagram contain only data attributes, but no status attributes as in an information model. So, we add status attributes for each constructed information model, as explained below.
4.3.1 Data Attribute Construction

In the first step of our view construction method, we have associated BEs to data objects of the enterprise. Since a data object is an artifact of the IS of the enterprise, it corresponds necessarily to a class in its domain class diagram D. So, we construct the data attributes of the information model of each BE from the class attributes of the corresponding class of D.

For instance, in our example, the BE class Customer account is made up of atomic attributes. So, we create a new data attribute for each one: AccountNumber, Type, initialBalance, overDraftLimit, creationDate, amount (c.f. Figure 4).

Afterwards, we deal with the classes related to the BE class. For each class c of these classes, if it does not correspond to a BE, we associate it with a new data attribute in the information model of the BE. This attribute has c as type.

In our example, the BE class Customer account is related to the class Customer (cf. Figure 3). So, we add a new data attribute called customer of type Customer to the information model of this BE. (cf. Figure 4).

4.3.2 Status Attribute Construction

In this step, we add status attributes to the information model of each BE. For each BE, we add a status attribute that stores the most recently incoming event. Also, we add another status attribute for the logical timestamp of this event. Then, for each milestone of a stage of the BE, we add two attributes. The first attribute holds a logical value (true or false) that corresponds to the value of the milestone (achieved or not achieved). The second attribute gives the logical timestamp of the value change of the milestone.

In our example, we add the status attributes LastEventType, LastEventTime. In addition, we add the attributes Accepted and AcceptedTime for the milestone Accepted of the stage Accepting of the entity Withdrawal request (cf. Figure 4).

5 CONCLUSIONS

In this paper, we presented a method for constructing a view above operational business model to allow for analyzing facts that cannot be analyzed by using data or
process warehouses taken separately. This view is based on the concept of BE which integrates data and process in a natural way. Our method takes as input a BP model and a domain model. It identifies business entities and constructs their lifecycle and information models using the standard language GSM. Unlike works starting from scratch (Liu et al. 2007) (Bhattacharya et al., 2009) (Nandi et al., 2010), our method reuses enterprise models to design BEs. Also, it constitutes an alternative to constructing BEs from event logs (Kumaran et al., 2008) (Popova and Dumas, 2013) and structured data source (Nooijen et al., 2013) which faces many challenges as explained in Section 3.

Since our method exploits all knowledge on business perspectives (functional, organizational, behavioral and informational perspectives) represented within these models, the generated BEs are completely defined and all their perspectives are covered. Currently, we are defining a method to identify elements of a new concept of warehouse, the BE warehouse. This warehouse stores BEs and consequently offers analyses based on the correlations among the data, functional and behavioral aspects of business processes.

REFERENCES


