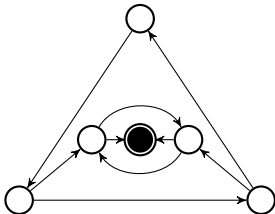


Monitoring Business Metaconstraints Based on LTL & LDL for Finite Traces



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Free University of Bozen-Bolzano

Joint work with: G. De Giacomo, R. De Masellis, M. Grasso, F.M. Maggi

BPM 2014

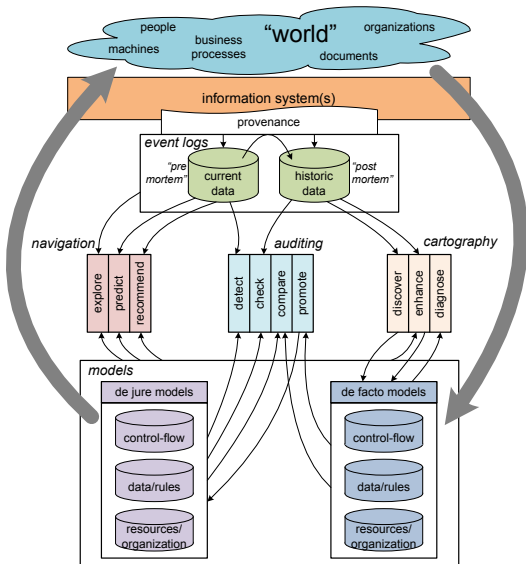
Process Mining



Classically applied to **post-mortem** data.

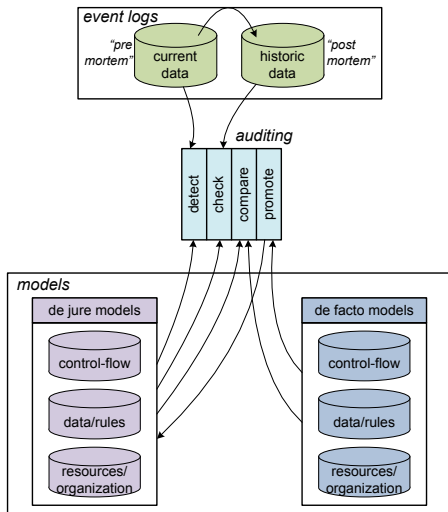
Operational Decision Support

Extension of classical process mining to **current**, **live** data.



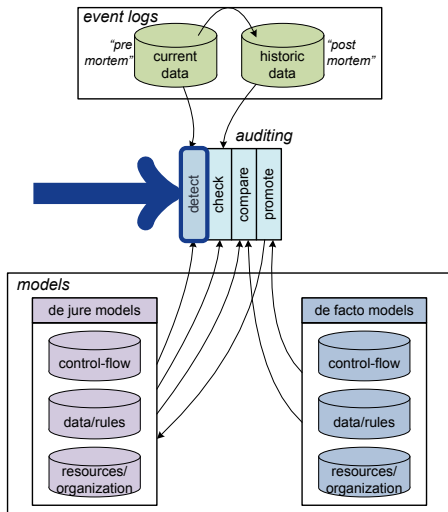
Detecting Deviations

Auditing: find deviations between observed and expected behaviors.



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Our setting:

Model

Declarative business constraints.

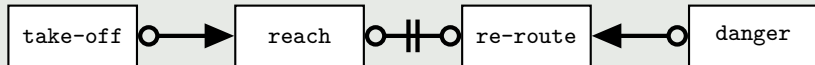
- E.g., **Declare**.

Monitoring

- Online, evolving observations.
- Prompt deviation detection.

Flight routes (thanks Claudio!)

- When the airplane takes off, it must eventually reach the destination airport.
- When the airplane is re-routed, it cannot reach the destination airport anymore.
- If a dangerous situation is detected at the destination, airplane must be re-routed.



Question

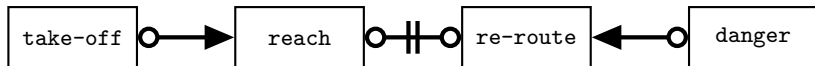
Consider trace:

take-off → danger

Is there any deviation?

Reactive Monitor

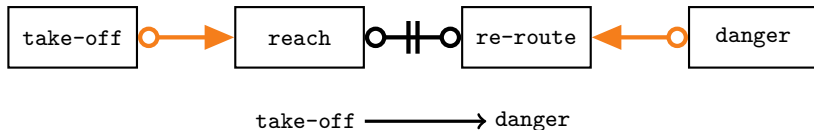
- Checks the **partial trace** observed so far.
- Suspends the judgment if no conclusive answer can be given.



take-off \longrightarrow danger

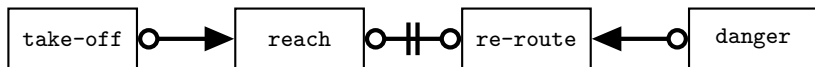
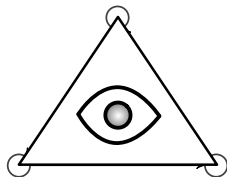
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Proactive Monitor

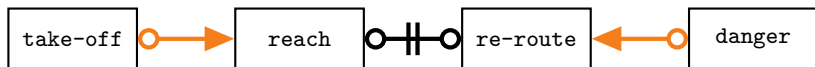
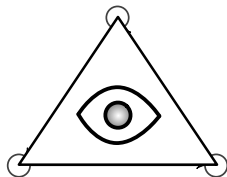
- Checks the **partial trace** observed so far.
- **Looks into the future(s)**.



take-off → danger

Proactive Monitor

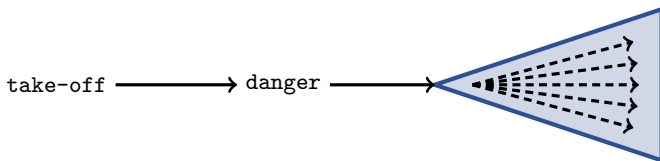
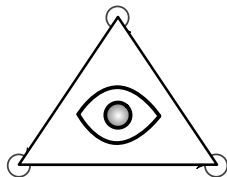
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take-off → danger

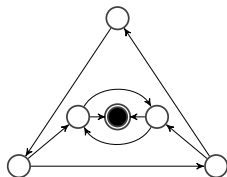
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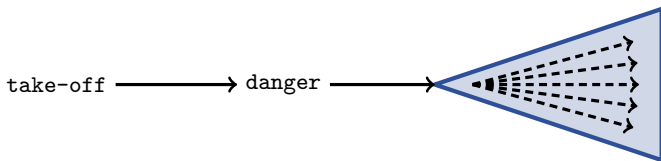


Proactive Monitor

- Checks the **partial trace** observed so far.
- **Looks into the future(s).**



$\square(\text{take-off} \rightarrow \diamond \text{reach}) \wedge \neg(\diamond(\text{reach}) \wedge \diamond(\text{re-route})) \wedge \square(\text{danger} \rightarrow \diamond \text{re-route})$



Goal

Reasoning on **finite partial traces** and their **finite suffixes**.

Typical Solution: LTL_f

Adopt **LTL on finite traces** and corresponding techniques based on **Finite-State Automata**.^a

^a**Not** Büchi automata!

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^a**Not** Büchi automata!



Huge difference, **often neglected**, between LTL on finite and infinite traces!
See [AAAI2014]

Proactive monitoring requires to refine the standard LTL_f semantics.

RV-LTL

Given an LTL formula φ :

- $[\varphi]_{RV} = true \rightsquigarrow$ OK;
- $[\varphi]_{RV} = false \rightsquigarrow$ BAD;
- $[\varphi]_{RV} = temp_true \rightsquigarrow$ OK now, could become BAD in the future;
- $[\varphi]_{RV} = temp_false \rightsquigarrow$ BAD now, could become OK in the future.

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However...

- Typically studied on infinite traces: detour to Büchi automata.
- Only ad-hoc techniques on finite traces [BPM2011].

Need for monitoring constraints only when specific circumstances hold.

- **Compensation** constraints.
- **Contrary-do-duty** expectations.
- ...

Need for monitoring constraints only when specific circumstances hold.


- **Compensation** constraints.
- **Contrary-do-duty** expectations.
- ...

However...


- Cannot be systematically captured at the level of constraint specification.

A light green rectangular box with a dark green border.

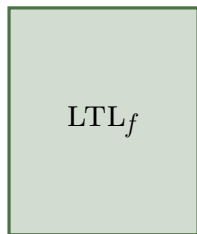
LTL_f

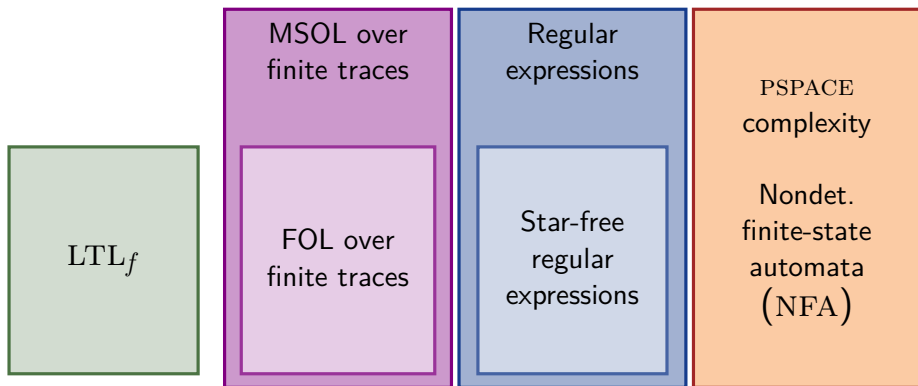
A light purple rectangular box with a dark purple border.

FOL over
finite traces

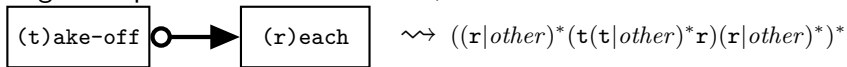
A light blue rectangular box with a dark blue border.

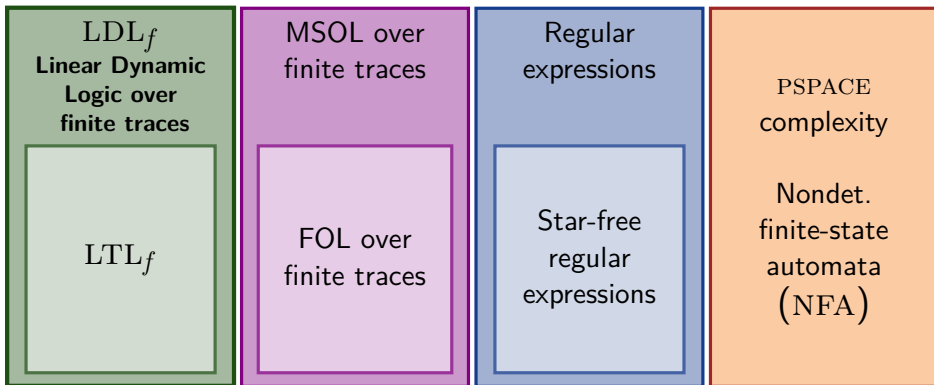
Star-free
regular
expressions



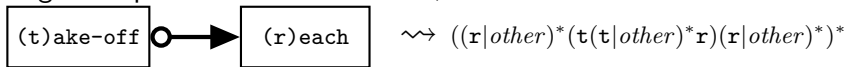


- LTL_f : **declarative**, but lacking **expressiveness**.
- Regular expressions: **rich** formalism, but **low-level**.





- LTL_f : **declarative**, but lacking **expressiveness**.
- Regular expressions: **rich** formalism, but **low-level**.



- LDL_f : combines the best of the two!

Merges LTL_f with regular expressions, through the syntax of Propositional Dynamic Logic (PDL):

$$\begin{aligned}\varphi & ::= \phi \mid tt \mid ff \mid \neg\varphi \mid \varphi_1 \wedge \varphi_2 \mid \langle \rho \rangle \varphi \mid [\rho] \varphi \\ \rho & ::= \phi \mid \varphi? \mid \rho_1 + \rho_2 \mid \rho_1; \rho_2 \mid \rho^*\end{aligned}$$

φ : LTL_f part; ρ : regular expression part.

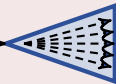
They mutually refer to each other:

- $\langle \rho \rangle \varphi$ states that, from the current step in the trace, *there is* an execution satisfying ρ such that its last step satisfies φ .
- $[\rho] \varphi$ states that, from the current step in the trace, *all* execution satisfying ρ are such that their last step satisfies φ .
- $\varphi?$ checks whether φ is true in the current step and, if so, continues to evaluate the remaining execution.

Of special interest is $end = [true?]ff$, to check whether the trace has been completed (the remaining trace is the empty one).

Check partial trace $\pi = e_1, \dots, e_n$ against formula φ .

From ad-hoc techniques ...

$$e_1 \rightarrow \dots \rightarrow e_n \rightarrow \text{Monitor} \models [\varphi]_{RV} = \begin{cases} temp_true \\ temp_false \\ true \\ false \end{cases}$$


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From ad-hoc techniques ...

$$e_1 \rightarrow \dots \rightarrow e_n \rightarrow \text{monitor} \models [\varphi]_{RV} = \begin{cases} temp_true \\ temp_false \\ true \\ false \end{cases}$$

... To standard techniques

$$e_1 \rightarrow \dots \rightarrow e_n \models \begin{cases} \varphi_{temp_true} \\ \varphi_{temp_false} \\ \varphi_{true} \\ \varphi_{false} \end{cases}$$

How is This Magic Possible?

Starting point: LDL_f formula φ and its RV semantics.

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1. Good and bad prefixes

- $\mathcal{L}_{poss_good}(\varphi) = \{\pi \mid \exists \pi'. \pi\pi' \in \mathcal{L}(\varphi)\}$
- $\mathcal{L}_{nec_good}(\varphi) = \{\pi \mid \forall \pi'. \pi\pi' \in \mathcal{L}(\varphi)\}$
- $\mathcal{L}_{nec_bad}(\varphi) = \mathcal{L}_{nec_good}(\neg\varphi) = \{\pi \mid \forall \pi'. \pi\pi' \notin \mathcal{L}(\varphi)\}$

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2. RV-LTL values as prefixes

- $\pi \models [\varphi]_{RV} = true$ iff $\pi \in \mathcal{L}_{nec_good}(\varphi)$;
- $\pi \models [\varphi]_{RV} = false$ iff $\pi \in \mathcal{L}_{nec_bad}(\varphi)$;
- $\pi \models [\varphi]_{RV} = temp_true$ iff $\pi \in \mathcal{L}(\varphi) \setminus \mathcal{L}_{nec_good}(\varphi)$;
- $\pi \models [\varphi]_{RV} = temp_false$ iff $\pi \in \mathcal{L}(\neg\varphi) \setminus \mathcal{L}_{nec_bad}(\varphi)$.

3. Prefixes as regular expressions

Every NFA can be expressed as a regular expression.

\leadsto We can build regular expression pref_φ s.t. $\mathcal{L}(\text{pref}_\varphi) = \mathcal{L}_{\text{poss_good}}(\varphi)$.

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4. Regular expressions can be immersed into LDL_f

Hence: $\pi \in \mathcal{L}_{\text{poss_good}}(\varphi)$ iff $\pi \models \langle \text{pref}_\varphi \rangle \text{end}$

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5. RV-LTL can be immersed into LDL_f !

- $\pi \models [\varphi]_{RV} = \text{true}$ iff $\langle \text{pref}_\varphi \rangle \text{end} \wedge \neg \langle \text{pref}_{\neg\varphi} \rangle \text{end}$;
- $\pi \models [\varphi]_{RV} = \text{false}$ iff $\langle \text{pref}_{\neg\varphi} \rangle \text{end} \wedge \neg \langle \text{pref}_\varphi \rangle \text{end}$;
- $\pi \models [\varphi]_{RV} = \text{temp_true}$ iff $\pi \models \varphi \wedge \langle \text{pref}_{\neg\varphi} \rangle \text{end}$;
- $\pi \models [\varphi]_{RV} = \text{temp_false}$ iff $\pi \models \neg\varphi \wedge \langle \text{pref}_\varphi \rangle \text{end}$.



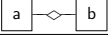

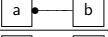
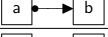
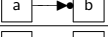


Ending point: **4 LDL_f monitor formulae** under standard semantics.

Step 1. Good prefixes of DECLARE patterns.

| | NAME | NOTATION | pref | POSSIBLE RV STATES |
|-----------|-------------------------|------------|-----------------------------|----------------------------------|
| EXISTENCE | Existence | $1..*$ | $(a + o)^*$ | $temp_false, true$ |
| | Absence 2 | $0..1$ | $o^* + (o^*; a; o^*)$ | $temp_true, false$ |
| CHOICE | Choice | | $(a + b + o)^*$ | $temp_false, true$ |
| | Exclusive Choice | | $(a + o)^* + (b + o)^*$ | $temp_false, temp_true, false$ |
| RELATION | Resp. existence | | $(a + b + o)^*$ | $temp_true, temp_false, true$ |
| | Response | | $(a + b + o)^*$ | $temp_true, temp_false$ |
| | Precedence | | $o^*; (a; (a + b + o)^*)^*$ | $temp_true, true, false$ |
| NEGATION | Not Coexistence | | $(a + o)^* + (b + o)^*$ | $temp_true, false$ |
| | Neg. Succession | | $(b + o)^*; (a + o)^*$ | $temp_true, false$ |

Monitoring DECLARE with LDL_f

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Step 2. Generate LDL_f monitors.

- **Local monitors:** 1 formula for possible RV constraint state.
- **Global monitors:** 4 RV formulae for the conjunction of all constraints.



LDL_f monitors are simply LDL_f formulae.

They can be **combined** into more complex LDL_f formulae!

- E.g., expressing conditional/contextual monitoring.

Business metaconstraint

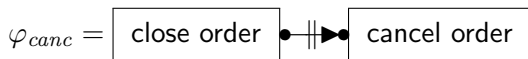
An LDL_f formula of the form $\Phi_{pre} \rightarrow \Psi_{exp}$

- Φ_{pre} combines membership assertions of business constraints to their RV truth values.
- Ψ_{exp} combines business constraints to be checked when Φ_{pre} holds.

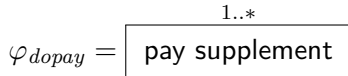
LDL_f metaconstraint monitors

- $\Phi_{pre} \rightarrow \Psi_{exp}$ is a standard LDL_f formula.
- Hence, just reapply our technique and get the 4 LDL_f monitors.

- An order cannot be canceled anymore if it is closed.

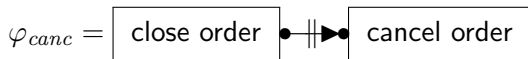


- If **this happens**, then the customer has to **pay a supplement**:

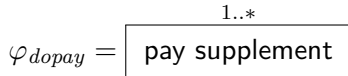


- Formally: $\{[\varphi_{cancel}]_{RV} = false\} \rightarrow \varphi_{dopay}$
- In LDL_f: $(\langle \text{pref}_{\neg\varphi_{cancel}} \rangle end \wedge \neg \langle \text{pref}_{\varphi_{cancel}} \rangle end) \rightarrow \varphi_{dopay}$

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- If **this happens**, then the customer has to **pay a supplement**:



- Formally: $\{[\varphi_{canc}]_{RV} = false\} \rightarrow \varphi_{dopay}$
- In LDL_f: $(\langle \text{pref}_{\neg\varphi_{canc}} \rangle end \wedge \neg \langle \text{pref}_{\varphi_{canc}} \rangle end) \rightarrow \varphi_{dopay}$

Observation

When the **violation** occurs, the **compensation** is monitored from the beginning of the trace: OK to “*compensate in advance*”.

- Trace close order → pay supplement → cancel order is OK.

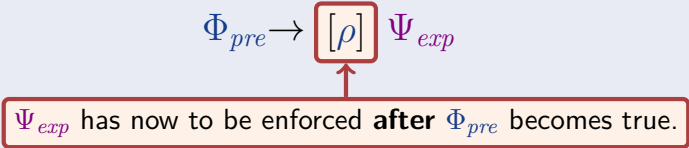
Business metaconstraint with temporal consequence

1. Take Φ_{pre} and Ψ_{exp} as before.
2. Compute ρ : regular expression denoting those paths that satisfy Φ_{pre}
3. Make ρ part of the compensation:

$$\Phi_{pre} \rightarrow [\rho] \Psi_{exp}$$

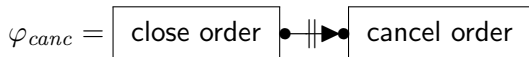
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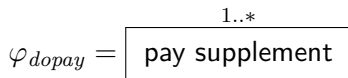
$$\Phi_{pre} \rightarrow [\rho] \Psi_{exp}$$


Ψ_{exp} has now to be enforced **after** Φ_{pre} becomes true.

- An order cannot be canceled anymore if it is closed.



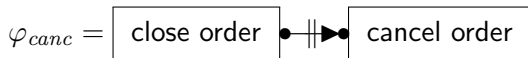
- **After this happens**, then the customer has to **pay a supplement**:



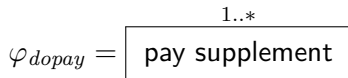
- Formally:

$$\{[\varphi_{canc}]_{RV} = \textit{false}\} \rightarrow [re_{\{[\varphi_{canc}]_{RV} = \textit{false}\}}] \varphi_{dopay}$$

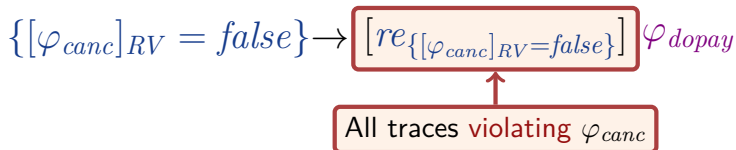
- An order cannot be canceled anymore if it is closed.



- **After this happens**, then the customer has to **pay a supplement**:



- Formally:



Direct calculation of NFA corresponding to LDL_f formula φ

Algorithm

```

1: algorithm  $LDL_f2NFA()$ 
2: input  $LTL_f$  formula  $\varphi$ 
3: output NFA  $A_\varphi = (2^P, \mathcal{S}, \{s_0\}, \varrho, \{s_f\})$ 
4:  $s_0 \leftarrow \{“\varphi”\}$  ▷ single initial state
5:  $s_f \leftarrow \emptyset$  ▷ single final state
6:  $\mathcal{S} \leftarrow \{s_0, s_f\}, \varrho \leftarrow \emptyset$ 
7: while ( $\mathcal{S}$  or  $\varrho$  change) do
8:   if ( $q \in \mathcal{S}$  and  $q' \models \bigwedge_{\psi \in q} \delta(“\psi”, \Theta)$ )
9:      $\mathcal{S} \leftarrow \mathcal{S} \cup \{q'\}$  ▷ update set of states
10:     $\varrho \leftarrow \varrho \cup \{(q, \Theta, q')\}$  ▷ update transition relation
    
```

Note

- Standard NFA.
- No detour to Büchi automata.
- Easy to code.
- Implemented!

Auxiliary rules

$$\delta(“tt”, \Pi) = true$$

$$\delta(“ff”, \Pi) = false$$

$$\delta(“\phi”, \Pi) = \begin{cases} true & \text{if } \Pi \models \phi \\ false & \text{if } \Pi \not\models \phi \end{cases} \quad (\phi \text{ propositional})$$

$$\delta(“\varphi_1 \wedge \varphi_2”, \Pi) = \delta(“\varphi_1”, \Pi) \wedge \delta(“\varphi_2”, \Pi)$$

$$\delta(“\varphi_1 \vee \varphi_2”, \Pi) = \delta(“\varphi_1”, \Pi) \vee \delta(“\varphi_2”, \Pi)$$

$$\delta(“\langle \phi \rangle \varphi”, \Pi) = \begin{cases} “\varphi” & \text{if } last \notin \Pi \text{ and } \Pi \models \phi \quad (\phi \text{ propositional}) \\ \delta(“\varphi”, \epsilon) & \text{if } last \in \Pi \text{ and } \Pi \models \phi \\ false & \text{if } \Pi \not\models \phi \end{cases}$$

$$\delta(“\langle \psi? \rangle \varphi”, \Pi) = \delta(“\psi”, \Pi) \wedge \delta(“\varphi”, \Pi)$$

$$\delta(“\langle \rho_1 + \rho_2 \rangle \varphi”, \Pi) = \delta(“\langle \rho_1 \rangle \varphi”, \Pi) \vee \delta(“\langle \rho_2 \rangle \varphi”, \Pi)$$

$$\delta(“\langle \rho_1; \rho_2 \rangle \varphi”, \Pi) = \delta(“\langle \rho_1 \rangle \langle \rho_2 \rangle \varphi”, \Pi)$$

$$\delta(“\langle \rho^* \rangle \varphi”, \Pi) = \begin{cases} \delta(“\varphi”, \Pi) & \text{if } \rho \text{ is test-only} \\ \delta(“\varphi”, \Pi) \vee \delta(“\langle \rho \rangle \langle \rho^* \rangle \varphi”, \Pi) & \text{o/w} \end{cases}$$

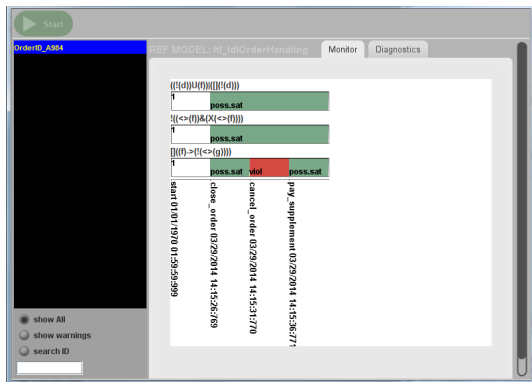
$$\delta(“[\phi] \varphi”, \Pi) = \begin{cases} “\varphi” & \text{if } last \notin \Pi \text{ and } \Pi \models \phi \quad (\phi \text{ propositional}) \\ \delta(“\varphi”, \epsilon) & \text{if } last \in \Pi \text{ and } \Pi \models \phi \quad (\phi \text{ propositional}) \\ true & \text{if } \Pi \not\models \phi \end{cases}$$

$$\delta(“[\psi?] \varphi”, \Pi) = \delta(“nbf(\neg\psi)”, \Pi) \vee \delta(“\varphi”, \Pi)$$

$$\delta(“[\rho_1 + \rho_2] \varphi”, \Pi) = \delta(“[\rho_1] \varphi”, \Pi) \wedge \delta(“[\rho_2] \varphi”, \Pi)$$

$$\delta(“[\rho_1; \rho_2] \varphi”, \Pi) = \delta(“[\rho_1][\rho_2] \varphi”, \Pi)$$

$$\delta(“[\rho^*] \varphi”, \Pi) = \begin{cases} \delta(“\varphi”, \Pi) & \text{if } \rho \text{ is test-only} \\ \delta(“\varphi”, \Pi) \wedge \delta(“[\rho][\rho^*] \varphi”, \Pi) & \text{o/w} \end{cases}$$



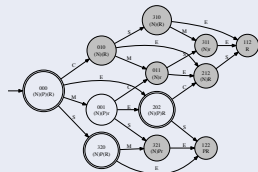
Approach

1. Input LTL_f/LDL_f constraints and metaconstraints.
2. Produce the corresponding RV LDL_f monitoring formulae.
3. Apply the direct algorithm and get the corresponding NFAs.
4. (Incrementally) run NFAs the monitored trace.

Colored Automata [BPM2011]

Ad-hoc technique for monitoring LTL_f formulae according to RV-LTL.

1. Color states of each **local automaton** according to the 4 RV-LTL truth values.
2. Combine colored automata into a **global colored automaton**.



Why is step 1 correct?

1. Take the LTL_f formula φ of a constraint.
2. Produce the 4 corresponding LDL_f monitoring formulae.
3. Generate the 4 corresponding NFAs.
4. Determinize them \rightsquigarrow they are identical but with \neq acceptance states!
5. Hence they can be combined into a unique colored local DFA.

- Focus on finite traces.
- Avoid unneeded detour to infinite traces.
- LDL_f : essentially, the maximal expressive logic for finite traces with good computational properties (\equiv MSO).
- Monitoring is a key problem.
- LDL_f goes far beyond DECLARE.
- LDL_f captures monitors directly as formulae.
 - ▶ Clean.
 - ▶ Meta-constraints.
- Implemented in ProM!

Future work: declarative, **data-aware** processes.

