

Representativeness of Event Data in Conformance Checking

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1 Motivation

Process-aware information systems support the execution of processes and enable their monitoring and subsequent optimization. In these systems, the behavior of the process is captured in the form of event data, which can be compared against process models using conformance checking techniques [8]. Conformance checking addresses the question to which degree a process model and the recorded event data are consistent with each other, thus providing the foundation for subsequent process improvement initiatives. Specifically, conformance checking can be employed to assert whether business or compliance rules enforced upon a process are adhered to [9,11] and to which degree the goals set by the process owner are fulfilled [10]. Depending on the analysis context, conformance checking results may assume different levels of granularity, reaching from local diagnostics that pinpoint the exact occurrence of non-conformance in the log or the process model, to global diagnostics that are based on aggregated results obtained on a large data set with quality metrics, such as fitness or precision [6].

Most existing conformance checking techniques consider the input event data as fully trustworthy. They neglect the inherent incomplete and uncertain nature of conformance checking induced by the provided event data and the specific conformance checking setting, i.e., the used conformance checking technique (e.g., constraint-based or alignment-based) and the results drawn from it (e.g., local deviations or global fitness measures). This is problematic since, in general, the goal of conformance checking is to assess an underlying generative process, represented by event data, against a process model. Put differently, the goal is to derive insights on conformance based on the sample of a process' behavior as it is materialized in the event data.

Consider a scenario, in which conformance checking shall be conducted continuously for data that is available as an event stream, as shown in Fig. 1. Here, multiple aspects influence the quality of the results of conformance checking:

- First, in such an online setting, it is never possible to conduct conformance analysis on the complete set of event data. Instead, time-partitioned samples have to be analyzed. Likewise, even a finite event log can be considered to be only a snapshot of the potentially infinite universe of behavior generated by an underlying process. Here, larger sample sizes may yield more accurate results, assuming that the conformance checking technique generalizes well.

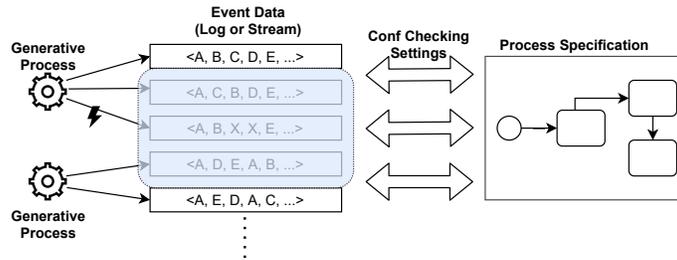


Fig. 1. Aspects affecting event data quality in conformance checking

- Second, if the underlying process changes or introduces faulty event data due to internal errors, then an analysis based on the event data is either not representative of the process (as it is a joint representation of more than one process), or contains noise that obfuscates the true conformance result.
- Lastly, the impact any of the above issues may have on the result quality differs depending on the conformance checking setting, i.e., the specific technique employed as well as the results drawn from it.

Acknowledging the inferential nature of conformance checking, we propose to reframe established conformance techniques as mere estimations of an underlying process, which are influenced by any of the aforementioned aspects. Therefore, the question of event data representativeness arises, i.e., given the event data, how reliable can the results of conformance checking derived from this data be expected to be. In particular, our research aims to answer the following questions:

- What properties does event data need to adhere to, to be considered as representative w.r.t. a given conformance checking setting?
- How can the representativeness of event data be quantified, while providing guarantees on the expected result quality of conformance checking results?
- Based on defined notions of representativeness, how can we derive efficient procedures for the selection and evaluation of event data for a given conformance checking setting?

By answering these research questions, we aim to improve the applicability of conformance checking techniques by acknowledging their inferential nature and formulating an accuracy expectation for the results derived with them. We note, that due to the reliance on recorded event data, similar questions also emerge for many other problem spaces in process mining. Yet, areas such as process discovery and process enhancement already rely on inferential methods, whereas the state of the art in conformance checking mostly relies on discrete methods.

2 Related Work and Background

Our work is concerned with conformance checking and we refer to [2] for a thorough introduction to the wider area of process mining. In the context of traditional conformance checking that focuses on the control-flow perspective, alignment-based methods [3], token replay [16], and constraint-based approaches [20] are most common. Based thereon, additional perspectives of processes may be integrated [14] and conformance checking may be lifted to scenarios that drop certain

assumptions on the event data, e.g., in terms of event ordering [1,13]. In [15], the authors argued to include trust weights for log and model quality in conformance checking, which may be seen as indicators of representativeness.

Techniques for online conformance checking target continuous event streams rather than static event logs. Specifically, prefix alignments have been proposed for such an online setting [21], an idea that was later expanded through an incremental algorithm for the construction of said prefix alignments [19]. Similarly, conformance checking based on constraints was lifted to an online setting [7].

Recently, the application of sample-based conformance checking, i.e., conformance checking using only a subset of the provided event data, has been investigated. In our earlier work [5,4], to be summarized in Section 4, we introduced an incremental sampling strategy and accompanying alignment approximation schemes, which return conformance checking results with attached representativeness guarantees. Other work also proposed a priori sample selection strategies for conformance checking [17,18]. In [12], the authors showed how to quantify the quality of samples of event data by assessing whether certain properties are over- or undersampled. As such, it is one of the few works that relate properties of the input data to the expected quality of the produced outputs.

3 Research Approach

Following the outlined research questions, we first aim to derive models for the description of event data representativeness in conformance checking. That is, we want to quantify, how certain event data properties affect the quality and reliability of the outputs of conformance checking settings. Based on these models, we then develop techniques for assessing, to which degree event data can be considered representative with respect to a defined representativeness model. As the properties that influence representativeness depend on a specific conformance checking setting, we aim to adapt these models for different conformance checking techniques and results.

For this, we intend to utilize sampling techniques, approximation schemes, and input analysis methods. Since conformance checking is inherently an estimation task using finite samples, we may utilize knowledge from sampling theory and statistical estimation for assessing the expected representativeness of inputs, whilst providing provable error rates. Furthermore, based on already analyzed information, we can apply approximation techniques for further generalization. Lastly, analysis schemes for assessing the impact of the aforementioned issues on provided event data, as outlined in Fig. 1, need to be derived.

We will evaluate the proposed techniques using publicly available data sets of the BPI Challenge which, available at the 4TU Centre for Research Data¹. In particular, we aim to evaluate the approaches w.r.t. to their applicability in real-life scenarios in terms of efficiency, and their ability to assess representativeness under varying parameter settings and input specifics. To support open science, all developed approaches and evaluation data will be made publicly available.

¹ see: <https://data.4tu.nl/portal>

4 Initial Results & Current Work

In this section, we first report on our initial results, before outlining the problem space addressed in our current work.

Sampling and approximation for alignment-based conformance checking. In recent work [4,5], we derived an incremental sampling procedure, for alignment-based global conformance checking settings. In this work, we exploit the eventual convergence of aggregated conformance measures with increasing sample sizes to determine when to stop constructing the sample, knowing that the probability of any next added trace to significantly impact the conformance result is below a certain threshold. In particular, we classify the analysis of whether a trace induces a significant change or not on the intermediate conformance aggregate as a series of binomial experiments. Based thereon, we determine the minimum number of consecutive traces without significant information to conclude with a certain confidence that the aforementioned probability is below the threshold. Furthermore, we introduce approximation schemes for the alignment of a trace, the applicability of the procedure for context-dependent conformance metrics, and quality checking procedures to minimize the risk of bad conformance estimations. Evaluation results of this work show that a small fraction of provided event data is already representative for these conformance checking settings, and, therefore, enables to derive conformance checking results with negligible error rates.

Techniques for constructing representative samples. The work on sampling techniques for the construction of alignments does not apply to conformance checking settings, for which large fractions of the input space are irrelevant or uninformative. As such, a sampling method, that only considers those informative traces needs to be derived. Yet, in some contexts, it may not be possible to determine whether a trace is informative or not without a priori analysis. We intend to learn context information, that correlates with properties for which a sample should be created, and use this information for selecting traces with highly correlating context information.

5 Conclusion

In this work, we propose to view conformance checking as a mere estimation of an unknown underlying generative process, and, based thereon, argue for the need of quantifying the representativeness of the event data used as input regarding a specific conformance checking setting. We outlined related research and discussed our research approach, which aims at utilizing sampling and approximation techniques, as well as input analysis methods as a basis of such quantification. Our initial results obtained by utilizing sampling and approximation techniques show that for global alignment-based conformance settings, a small subset of event data can already be considered as representative with negligible accuracy errors on the calculated conformance results.

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