

Chapter 7

Negation: Declarative Interpretation

Outline

- First-Order Formulas and Logical Truth
- The Completion semantics
- Soundness and restricted completeness of SLDNF-Resolution
- Extended consequence operator
- An alternative semantics: Standard models

[Lloyd, 1987] J.W. Lloyd. Foundations of Logic Programming: Second, Extended Edition. *Springer Verlag*, 1987.

[Cavedon and Lloyd, 1989] L. Cavedon and J.W. Lloyd. A Completeness Theorem for SLDNF Resolution. *Journal of Logic Programming*, 7:177-191, 1989.

[Apt and Bol, 1994] K. Apt and R. Bol. Logic Programming and Negation: A Survey. *Journal of Logic Programming*, 19/20: 9-71, 1994.

First-Order Formulas

Π , F ranked alphabets of predicate symbols and function symbols, respectively,
 V set of variables

The **(first-order) formulas** (over Π , F , and V) are inductively defined as follows:

- if $A \in TB_{\Pi, F, V}$, then A is a formula
- if G_1 and G_2 are formulas, then $\neg G_1$, $G_1 \wedge G_2$ (written G_1, G_2), $G_1 \vee G_2$,
 $G_1 \leftarrow G_2$, and $G_1 \leftrightarrow G_2$ are formulas
- if G_1 is formula and $x \in V$, then $\forall x G$ and $\exists x G$ are formulas

Extended Notion of Logical Truth (I)

G formula, I interpretation with domain D , $\sigma : V \rightarrow D$ state

G true in I under σ , written $I \models_{\sigma} G :\Leftrightarrow$

- $I \models_{\sigma} p(t_1, \dots, t_n) :\Leftrightarrow (\sigma(t_1), \dots, \sigma(t_n)) \in p_I$
- $I \models_{\sigma} \neg G :\Leftrightarrow I \not\models_{\sigma} G$
- $I \models_{\sigma} G_1 \wedge G_2 :\Leftrightarrow I \models_{\sigma} G_1$ and $I \models_{\sigma} G_2$
- $I \models_{\sigma} G_1 \vee G_2 :\Leftrightarrow I \models_{\sigma} G_1$ or $I \models_{\sigma} G_2$
- $I \models_{\sigma} G_1 \leftarrow G_2 :\Leftrightarrow$ if $I \models_{\sigma} G_2$ then $I \models_{\sigma} G_1$
- $I \models_{\sigma} G_1 \leftrightarrow G_2 :\Leftrightarrow I \models_{\sigma} G_1$ iff $I \models_{\sigma} G_2$
- $I \models_{\sigma} \forall x G :\Leftrightarrow$ for every $d \in D$: $I \models_{\sigma'} G$
- $I \models_{\sigma} \exists x G :\Leftrightarrow$ for some $d \in D$: $I \models_{\sigma'} G$

where $\sigma' : V \rightarrow D$ with $\sigma'(x) = d$ and $\sigma'(y) = \sigma(y)$ for every $y \in V - \{x\}$

Extended Notion of Logical Truth (II)

G formula, S , T sets of formulas, I , interpretation

Let x_1, \dots, x_k be the variables occurring in G .

- $\forall x_1, \dots, \forall x_k G$ **universal closure** of G (abbreviated $\forall G$)
- $I \models \forall G \Leftrightarrow I \models_{\sigma} G$ for every state σ
- $I \models_{\sigma} p(t_1, \dots, t_n) \Leftrightarrow (\sigma(t_1), \dots, \sigma(t_n)) \in p_I$
- **G true in I** (or: **I model of G**), written: $I \models G \Leftrightarrow I \models \forall G$
- I model of S , written: $I \models S \Leftrightarrow I \models G$ for every $G \in S$
- T semantic (or: logical) **consequence** of S , written $S \models T \Leftrightarrow$ every model of S is a model of T

Programs Never Have Negative Consequences (I)

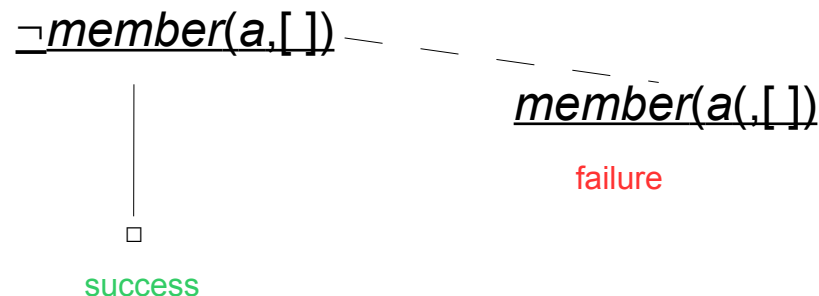
P_{mem} :
 $member(x, [x|y]) \leftarrow$
 $member(x, [y|z]) \leftarrow member(x, z)$

Then $P_{mem} \models member(a, [a,b])$ and $P_{mem} \not\models member(a, [])$.

But also $P_{mem} \not\models \neg member(a, [])$, since

$HB_{\{member\},\{[],[],a\}} \models P_{mem}$ and $HB_{\{member\},\{[],[],a\}} \not\models \neg member(a, [])$.

Nevertheless the SLDNF-tree of $P_{mem} \cup \{\neg member(a, [])\}$ is successful:



Programs Never Have Negative Consequences (II)

Problem: For every extended program P the “corresponding” Herbrand base is a model.

Hence: No negative ground literal L can ever be a logical consequence of P .

But: SLDNF-tree of $P \cup \{L\}$ may be successful!

⇒ **Soundness of SLDNF-resolution?**

Solution: Strengthen P by completion (“replace implications by equivalences”) to $comp(P)$ and compare SLDNF-resolution with $comp(P)$ instead of P !

Completion (Example I)

<i>P: happy</i>	\leftarrow	<i>sun, holidays</i>
<i>happy</i>	\leftarrow	<i>snow, holidays</i>
<i>snow</i>	\leftarrow	<i>cold, precipitation</i>
<i>cold</i>	\leftarrow	<i>winter</i>
<i>precipitation</i>	\leftarrow	<i>holidays</i>
<i>winter</i>	\leftarrow	
<i>holidays</i>	\leftarrow	

<i>comp(P): happy</i>	\leftrightarrow	$(sun, holidays) \vee (snow, holidays)$
<i>snow</i>	\leftrightarrow	<i>cold, precipitation</i>
<i>cold</i>	\leftrightarrow	<i>winter</i>
<i>precipitation</i>	\leftrightarrow	<i>holidays</i>
<i>winter</i>	\leftrightarrow	<i>true</i>
<i>holidays</i>	\leftrightarrow	<i>true</i>
<i>sun</i>	\leftrightarrow	<i>false</i>

Then, $comp(P) \models happy, snow, cold, precipitation, winter, holidays, \neg sun$.

Completion (Example II)

P: $member(x, [x|y]) \leftarrow$
 $member(x, [y|z]) \leftarrow member(x, z)$
 $disjoint([], x) \leftarrow$
 $disjoint([x|y], z) \leftarrow \neg member(x, z), disjoint(y, z)$

comp(P): $\forall x_1, x_2 \ member(x_1, x_2) \leftrightarrow \exists x, y (x_1 = x, x_2 = [x|y]) \vee$
 $\exists x, y, z (x_1 = x, x_2 = [y|z], member(x, z))$
 $\forall x_1, x_2 \ disjoint(x_1, x_2) \leftrightarrow \exists x (x_1 = [], x_2 = x) \vee$
 $(\exists x, y, z \ x_1 = [x|y], x_2 = z,$
 $\neg member(x, z), disjoint(y, z))$

plus standard equality and inequality axioms

Then, e.g. $comp(P) \models member(a, [a|b]), \neg member(a, []), \neg disjoint([a], [a])$.

Completion (I)

Completion of extended program P (denoted by $comp(P)$) is the set of formulas constructed from P by the following 6 steps:

1. Associate with every n -ary predicate symbol p a sequence of pairwise distinct variables x_1, \dots, x_n which do not occur in P .

2. Transform each clause $c = p(t_1, \dots, t_n) \leftarrow \underline{B}$ into

$$p(x_1, \dots, x_n) \leftarrow x_1 = t_1, \dots, x_n = t_n, \underline{B}$$

3. Transform each resulting formula $p(x_1, \dots, x_n) \leftarrow G$ into

$$p(x_1, \dots, x_n) \leftarrow \exists \underline{z} G$$

where \underline{z} is a sequence of the elements of $Var(c)$.

Completion (II)

4. For every n -ary predicate symbol p , let

$$p(x_1, \dots, x_n) \leftarrow \exists \underline{z}_1 G_1, \dots, p(x_1, \dots, x_n) \leftarrow \exists \underline{z}_m G_m$$

be all implications obtained in Step 3 ($m \geq 0$).

- If $m > 0$, then replace these by the formula

$$\forall x_1, \dots, x_n p(x_1, \dots, x_n) \leftrightarrow \exists \underline{z}_1 G_1 \vee \dots \vee \exists \underline{z}_m G_m$$

(If some $\exists \underline{z}_i G_i$ is empty, then replace it by *true*.)

- If $m = 0$, then add the formula

$$\forall x_1, \dots, x_n p(x_1, \dots, x_n) \leftrightarrow \textit{false}$$

Completion (III)

5. Standard axioms of equality

$$\forall [x = x]$$

$$\forall [x = y \rightarrow y = x]$$

$$\forall [x = y \wedge y = z \rightarrow x = z]$$

$$\forall [x_i = y \rightarrow f(x_1, \dots, x_i, \dots, x_n) = f(x_1, \dots, y, \dots, x_n)]$$

$$\forall [x_i = y \rightarrow (p(x_1, \dots, x_i, \dots, x_n) \leftrightarrow p(x_1, \dots, y, \dots, x_n))]$$

6. Standard axioms of inequality

$$\forall [x_1 \neq y_1 \vee \dots \vee x_n \neq y_n \rightarrow f(x_1, \dots, x_n) \neq f(y_1, \dots, y_n)]$$

$$\forall [f(x_1, \dots, x_m) \neq g(y_1, \dots, y_n)] \quad (\text{whenever } f \neq g)$$

$$\forall [x \neq t] \quad (\text{whenever } x \text{ is proper subterm of } t)$$

5. and 6. ensure that = must be interpreted as equality!

Soundness of SLDNF-Resolution

P extended program, Q extended query, θ substitution:

- $\theta \upharpoonright_{\text{Var}(Q)}$ correct answer substitution of $Q : \Leftrightarrow \text{comp}(P) \models Q\theta$
- $Q\theta$ correct instance of $Q : \Leftrightarrow \text{comp}(P) \models Q\theta$

Theorem (cf. e.g. [Lloyd, 1987])

If there exists a successful SLDNF-derivation of $P \cup \{Q\}$ with CAS θ , then $\text{comp}(P) \models Q\theta$.

Corollary

If there exists a successful SLDNF-derivation of $P \cup \{Q\}$, then $\text{comp}(P) \models \exists Q$.

SLDNF-Resolution is Not Complete (I): Inconsistency

$$P: \boxed{p \leftarrow \neg p}$$

$comp(P) \supseteq \{p \leftrightarrow \neg p\}$ “=” $\{false\}$.

Hence, $comp(P) \not\models p$ and $comp(P) \not\models \neg p$.

(because $I \not\models comp(P)$ for every interpretation I , i.e. $comp(P)$ is **inconsistent**)

But there is neither a successful SLDNF-derivation of $P \cup \{p\}$ nor of $P \cup \{\neg p\}$.

SLDNF-Resolution is Not Complete (II): Non-Strictness

$$P: \begin{array}{l} p \leftarrow q \\ p \leftarrow \neg q \\ q \leftarrow q \end{array}$$

$comp(P) \supseteq \{p \leftrightarrow q \vee \neg q, q \leftrightarrow q\} \text{ “=” } \{p \leftrightarrow true\}$.

Hence, $comp(P) \models p$.

But there is no successful SLDNF-derivation of $P \cup \{p\}$.

SLDNF-Resolution is Not Complete (III): Floundering

$$P: \boxed{p(x) \leftarrow \neg q(x)}$$

$comp(P) \supseteq \{\forall x_1 p(x_1) \leftrightarrow \exists x \ x_1 = x, \neg q(x), \quad \forall x_1 q(x_1) \leftrightarrow false\}$
“=” $\{\forall x_1 p(x_1) \leftrightarrow true, \quad \forall x_1 q(x_1) \leftrightarrow false\}$.

Hence, $comp(P) \not\models \forall x_1 p(x_1)$.

But there is no successful SLDNF-derivation of $P \cup \{p(x_1)\}$.

SLDNF-Resolution is Not Complete (IV): Unfairness

$$P: \begin{array}{l} r \leftarrow p, q \\ p \leftarrow p \end{array}$$

$comp(P) \cong \{r \leftrightarrow p, q, p \leftrightarrow p, q \leftrightarrow false\} \text{ “=” } \{r \leftrightarrow false, q \leftrightarrow false\}$.

Hence, $comp(P) \not\models \neg r$.

But there is no successful SLDNF-derivation of $P \cup \{\neg r\}$ w.r.t. leftmost selection rule.

Dependency Graphs

dependency graph D_P of an extended program P

$:\Leftrightarrow$

directed graph with labeled edges, where

- the nodes are the predicate symbols of P ;
- the edges are either labeled by $+$ (positive edge) or by $-$ (negative edge);
- $p \xrightarrow{+} q$ edge in $D_P : \Leftrightarrow$
 P contains a clause $p(s_1, \dots, s_m) \leftarrow \underline{L}, q(t_1, \dots, t_n), \underline{N}$
- $p \xrightarrow{-} q$ edge in $D_P : \Leftrightarrow$
 P contains a clause $p(s_1, \dots, s_m) \leftarrow \underline{L}, \neg q(t_1, \dots, t_n), \underline{N}$

Strict, Hierarchical, Stratified Programs

P extended program, D_P dependency graph of P , p, q predicate symbols, Q extended query:

- p **depends evenly** (resp. **oddly**) on q : \Leftrightarrow
there is a path in D_P from p to q with
an even—including 0—(resp. odd) number of negative edges
- P is **strict** w.r.t. Q : \Leftrightarrow
no predicate symbol occurring in Q depends both evenly and oddly on a predicate symbol in the head of a clause in P
- P is **hierarchical** : \Leftrightarrow
no cycle exists in D_P
- P is **stratified** : \Leftrightarrow
no cycle with a negative edge exists in D_P

Restricted Completeness of SLDNF-Resolution (I)

Theorem ([Lloyd, 1987])

Let P be a **hierarchical** and **allowed** program and Q be an **allowed** query.

If $comp(P) \models Q\theta$ for some θ such that $Q\theta$ is ground, then there exists a successful SLDNF-derivation of $P \cup \{Q\}$ with CAS θ .

Note:

Theorem does not hold, if arbitrary selection rule is fixed!

Selection rule has to be **safe**!

Restricted Completeness of SLDNF-Resolution (II)

Theorem ([Cavedon and Lloyd, 1989])

Let P be a **stratified** and **allowed** program and Q be an **allowed** query, such that P is **strict** w.r.t. Q .

If $comp(P) \models Q\theta$ for some θ such that $Q\theta$ is ground, then there exists a successful SLDNF-derivation of $P \cup \{Q\}$ with CAS θ .

Note:

Theorem does not hold if arbitrary selection rule is fixed!

Selection rule has to be **safe** and **fair**!

Fair Selection Rules

(extended) selection rule \mathcal{R} is **fair** $:\Leftrightarrow$

for every SLDNF-tree \mathcal{F} via \mathcal{R} and for every branch ξ in \mathcal{F} :

- either ξ is failed
- or for every literal L occurring in a query of ξ , (some further instantiated version of) L is selected within a finite number of derivation steps

Example:

- selection rule “select leftmost literal” is **unfair**
- selection rule “select leftmost literal to the right of the literals introduced at the previous derivation step, if it exists; otherwise select leftmost literal” is **fair**

Extended Consequence Operator

Let P be an extended program and I a Herbrand interpretation.
Then

$$T_P(I) := \{H \mid H \leftarrow \underline{B} \in \text{ground}(P), I \models \underline{B}\}$$

In case P is a definite program, we know that

- T_P is monotonic,
- T_P is continuous,
- T_P has the least fixpoint $\mathcal{M}(P)$,
- $\mathcal{M}(P) = T_P^w$.

In case of extended programs all of these properties are lost!

Extended T_P -Characterization (I)

Lemma 4.3 ([Apt and Bol, 1994])

Let P be an extended program and I a Herbrand interpretation.
Then

$$I \models P \text{ iff } T_P(I) \subseteq I.$$

Proof:

$$I \models P$$

iff for every $H \leftarrow \underline{B} \in \text{ground}(P)$: $I \models \underline{B}$ implies $I \models H$

iff for every $H \leftarrow \underline{B} \in \text{ground}(P)$: $I \models \underline{B}$ implies $H \in I$

iff for every ground atom H : $H \in T_P(I)$ implies $H \in I$

iff $T_P(I) \subseteq I$

Extended T_P -Characterization (II)

Definition

Let F and Π be ranked alphabets of function symbols and predicate symbols, respectively, let $= \notin \Pi$ be a binary predicate symbol (“equality”), and let I be a Herbrand interpretation for F and Π .

Then $I_= : \Leftrightarrow I \cup \{=(t, t) \mid t \in HU_F\}$ is called a **standardized** Herbrand interpretation for F and $\Pi \cup \{=\}$.

Lemma 4.4 ([Apt and Bol, 1994])

Let P be an extended program and I a Herbrand interpretation.

Then

$$I_= \models \mathit{comp}(P) \quad \text{iff} \quad T_P(I) = I.$$

Extended T_P -Characterization (III)

Proof Idea of Lemma 4.4:

$$I_{=} \models \text{comp}(P)$$

iff (since $I_{=}$ is a model for standard axioms of equality and inequality)

$$\text{for every ground atom } H : I \models (H \leftrightarrow \bigvee_{(H \leftarrow \underline{B}) \in \text{ground}(P)} \underline{B})$$

iff for every ground atom $H : H \in I \Leftrightarrow I \models \underline{B}$ for some $H \leftarrow \underline{B} \in \text{ground}(P)$

iff for every ground atom $H : H \in I \Leftrightarrow H \in T_P(I)$

iff $T_P(I) = I$

Completion may be Inadequate

$$\begin{array}{l} ill \leftarrow \neg ill, infection \\ infection \leftarrow \end{array}$$

$comp(P) \supseteq \{ill \leftrightarrow \neg ill, infection, infection \leftrightarrow true\}$

is inconsistent (it has no models).

Hence, $comp(P) \not\models healthy$.

But $I = \{infection, ill\}$ is (the only) Herbrand model of P .

Hence, $P \not\models healthy$.

Non-Intended Minimal Herbrand Models

$$P_1: \boxed{p \leftarrow \neg q}$$

P_1 has three Herbrand models:

$M_1 = \{p\}$, $M_2 = \{q\}$, and $M_3 = \{p, q\}$

P_1 has no least, but two minimal Herbrand models: M_1 and M_2

However: M_1 , and not M_2 , is the “intuitive” model of P_1 .

Supported Herbrand Interpretations

A Herbrand interpretation I is **supported**

$:\Leftrightarrow$

for every $H \in I$ there exists some $H \leftarrow \underline{B} \in \text{ground}(P)$ such that $I \models \underline{B}$

(Intuition: \underline{B} is an “explanation” for H)

Example:

M_1 is a supported model of P_1 . ($\neg q$ is explanation for p)

M_2 is no supported model of P_1 .

Also note (cf. Lemma 4.3) that $T_{P_1}(M_2) = \emptyset \subseteq M_2$, but in particular $T_{P_1}(M_1) = M_1$.

Extended T_P -Characterization (IV)

Lemma 6.2 ([Apt and Bol, 1994])

Let P be an extended program and I a Herbrand interpretation.

Then

$$I \models P \text{ and } I \text{ supported} \text{ iff } T_P(I) = I.$$

Proof Idea:

$$I \models P \text{ and } I \text{ supported}$$

$$\text{iff for every } (H \leftarrow \underline{B}) \in \text{ground}(P): I \models \underline{B} \text{ implies } I \models H$$

$$\text{and for every } H \in I: I \models \bigvee_{(H \leftarrow \underline{B}) \in \text{ground}(P)} \underline{B}$$

$$\text{iff for every ground atom } H: I \models (H \leftarrow \bigvee_{(H \leftarrow \underline{B}) \in \text{ground}(P)} \underline{B})$$

$$\text{and } I \models (H \rightarrow \bigvee_{(H \leftarrow \underline{B}) \in \text{ground}(P)} \underline{B})$$

$$\text{iff for every ground atom } H: I \models (H \leftrightarrow \bigvee_{(H \leftarrow \underline{B}) \in \text{ground}(P)} \underline{B})$$

$$\text{iff } I \text{ is a model for } \text{comp}(P)$$

$$\text{iff (Lemma 4.4) } T_P(I) = I$$

Non-Intended Supported Models

$$P_2: \begin{array}{l} p \leftarrow \neg q \\ q \leftarrow q \end{array}$$

P_2 has three Herbrand models:

$M_1 = \{p\}$, $M_2 = \{q\}$, and $M_3 = \{p, q\}$

P_2 has two supported Herbrand models: M_1 and M_2

However: M_1 , and not M_2 , is the “intended” model of P_2 .

M_1 is called the standard model of P_2 (cf. slide VII/35).

Stratifications

P extended program and D_P dependency graph of P :

- predicate symbol p **defined** in P
 $:\Leftrightarrow P$ contains a clause $p(t_1, \dots, t_n) \leftarrow \underline{B}$
- $P_1 \cup \dots \cup P_n = P$ **stratification** of P $:\Leftrightarrow$
 - $P_i \neq \emptyset$ for every $i \in [1, n]$
 - $P_i \cap P_j = \emptyset$ for every $i, j \in [1, n]$ with $i \neq j$
 - for every p defined in P_i and edge $p \xrightarrow{+} q$ in D_P : q not defined in $\bigcup_{j=i+1}^n P_j$
 - for every p defined in P_i and edge $p \xrightarrow{-} q$ in D_P : q not defined in $\bigcup_{j=i}^n P_j$

Lemma 6.5 ([Apt and Bol, 1994])

An extended program is stratified iff it admits a stratification.

Note: A stratified program may have different stratifications.

Example (I)

P:

$zero(0) \leftarrow$
$positive(x) \leftarrow num(x), \neg zero(x)$
$num(0) \leftarrow$
$num(s(x)) \leftarrow num(x)$

$P_1 \cup P_2 \cup P_3$ is a stratification of *P*, where

$$P_1 = \{num(0) \leftarrow, num(s(x)) \leftarrow num(x)\}$$

$$P_2 = \{zero(0) \leftarrow\}$$

$$P_3 = \{positive(x) \leftarrow num(x), \neg zero(x)\}$$

Example (II)

P:

```
num(0) ←  
num(s(x)) ← num(x)  
even(0) ←  
even(x) ← ¬odd(x), num(x)  
odd(s(x)) ← even(x)
```

P admits no stratification.

Standard Models (Stratified Programs)

I Herbrand interpretation, Π set of predicate symbols:

$I \models \Pi :\Leftrightarrow I \cap \{p(t_1, \dots, t_n) \mid p \in \Pi, t_1, \dots, t_n \text{ ground terms}\}$

Let $P_1 \cup \dots \cup P_n$ be stratification of extended program P .

$M_1 :\Leftrightarrow$ least Herbrand model of P_1 such that

$$M_1 \upharpoonright \{p \mid p \text{ not defined in } P\} = \emptyset$$

$M_2 :\Leftrightarrow$ least Herbrand model of P_2 such that

$$M_2 \upharpoonright \{p \mid p \text{ defined nowhere or in } P_1\} = M_1$$

\vdots

$M_n :\Leftrightarrow$ least Herbrand model of P_n such that

$$M_n \upharpoonright \{p \mid p \text{ defined nowhere or in } P_1 \cup \dots \cup P_{n-1}\} = M_{n-1}$$

We call $M_P = M_n$ the **standard model** of P .

Example (I)

Let $P_1 \cup P_2 \cup P_3$ with

$$P_1 = \{num(0) \leftarrow, num(s(x)) \leftarrow num(x)\}$$

$$P_2 = \{zero(0) \leftarrow\}$$

$$P_3 = \{positive(x) \leftarrow num(x), \neg zero(x)\}$$

be stratification of P .

Then:

$$M_1 = \{num(t) \mid t \in HU_{\{s,0\}}\}$$

$$M_2 = \{num(t) \mid t \in HU_{\{s,0\}}\} \cup \{zero(0)\}$$

$$M_3 = \{num(t) \mid t \in HU_{\{s,0\}}\} \cup \{zero(0)\} \cup \{positive(t) \mid t \in HU_{\{s,0\}} - \{0\}\}$$

Hence $M_P = M_3$ is the standard model of P .

Properties of Standard Models

Theorem 6.7 ([Apt and Bol, 1994])

Consider a stratified program P . Then,

- M_P does not depend on the chosen stratification of P ,
- M_P is a minimal model of P ,
- M_P is a supported model of P .

Corollary

For a stratified program P , $comp(P)$ admits a Herbrand model.

Objectives

- First-Order Formulas and Logical Truth
- The Completion semantics
- Soundness and restricted completeness of SLDNF-Resolution
- Extended consequence operator
- An alternative semantics: Standard models