Lecture 2: Positive Programs

Outline

1. Background for rules
2. Rules and programs
3. Minimal models
4. Constructing the least model
5. Programs with variables
6. Expressive power

1. BACKGROUND FOR RULES

➤ Answer set programming adopts a rule-based syntax previously used in PROLOG, deductive databases, and expert systems.

➤ *Horn clauses* provide rule-based reasoning with a solid foundation:

1. Rules can be interpreted as Horn clauses.
2. Classical models determine the set of logical consequences $\mathrm{Cn}(R)$ associated with each set of rules R.

➤ Horn clauses lend themselves for efficient implementation which makes them important from the computational point of view.

➤ Typically, applications require a more expressive language but for now we concentrate on rules corresponding to Horn clauses.

Literals and Clauses

Definitions.

1. A *literal* is either an atom a (a *positive literal*) or the negation of an atom $\neg a$ (a *negative literal*).
2. A *clause* is a disjunction $l_1 \vee \ldots \vee l_n$ of literals $l_1, \ldots, l_n$.
3. A *Horn clause* is a clause with at most one positive literal.
4. A *program clause*, or a *rule* for short, is a disjunction of literals $a \vee \neg b_1 \vee \ldots \vee \neg b_n$ with exactly *one* positive literal.

Example. The clauses $\neg p \vee \neg q \vee \neg r$ and $\neg p \vee q \vee \neg r$ are Horn clauses but $p \vee \neg q \vee r$ is not. Only the second one is a program clause.

2. RULES AND PROGRAMS

Certain notational conventions are adopted for Horn clauses:

- A *rule* $a \vee \neg b_1 \vee \ldots \vee \neg b_n$ is written $a \leftarrow b_1, \ldots, b_n$ where a and $b_1, \ldots, b_n$ form the *head* and the *body* of the rule, respectively.
- A *constraint* $\neg b_1 \vee \ldots \vee \neg b_n$ is written $\leftarrow b_1, \ldots, b_n$ and it can be viewed as a rule with an empty head.
- A *fact* a $(n = 0)$ is a rule written without "$\leftarrow$".
- Full stops "." are also used to separate rules in sets of rules.

Definition. A *positive program* P is a set of rules as defined above.

Remark. Here the word "positive" refers to the fact that rule bodies are negation-free. Forms of negation will be introduced later.

Satisfaction and Entailment

Definitions. Assume rules and constraints based on a set of atoms $\mathcal{P}$.

1. A rule $a \leftarrow b_1, \ldots, b_n$ is *satisfied* in an interpretation $I \subseteq \mathcal{P}$, denoted $I \models a \leftarrow b_1, \ldots, b_n$, iff $\{b_1, \ldots, b_n\} \subseteq I$ implies $a \in I$.
2. A constraint $\leftarrow b_1, \ldots, b_n$ is *satisfied* in an interpretation $I \subseteq \mathcal{P}$, denoted $I \models \leftarrow b_1, \ldots, b_n$, iff $\{b_1, \ldots, b_n\} \not\subseteq I$.
3. An interpretation $I \subseteq \mathcal{P}$ is a *model* of a set of rules and constraints $P \cup C$, denoted $M \models P \cup C$, iff $M \models r$ for each $r \in P \cup C$.
4. An atom a is a *logical consequence* of $P \cup C$ iff $a \in M$ for every interpretation $M \subseteq \mathcal{P}$ such that $M \models P \cup C$.

Proposition. Every positive program P is *satisfiable* (has a model).

Proof. The interpretation $M = \mathrm{Hb}(P)$ is trivially a model of P. □

Translating Constraints into Rules

- Any set Horn clauses S, effectively a union $P \cup C$ of a positive program P and a set of constraints C, is not satisfiable in general.
- E.g., $\{p, \neg p\}$ corresponding to $\{p\} \cup \{\leftarrow p\}$ has no models.
- Any set of constraints C can be translated into a positive program

$$\mathrm{Tr}_{\mathrm{RULE}}(C) = \{\bot \leftarrow b_1, \ldots, b_n \mid \leftarrow b_1, \ldots, b_n \in C\}$$

  where $\bot$ is a new atom not appearing in $\mathrm{Hb}(P)$ nor $\mathrm{Hb}(C)$.

Proposition. A set of Horn clauses S, viewed as a union $P \cup C$ in the way explained above, is satisfiable $\iff$ $P \cup \mathrm{Tr}_{\mathrm{RULE}}(C) \not\models \bot$.

Example. The *unsatisfiability* of $\{p, \neg p\}$ can be determined using the translation given above: $\{p\} \cup \mathrm{Tr}_{\mathrm{RULE}}(\{\leftarrow p\}) = \{p.\ \ \bot \leftarrow p.\ \ \} \models \bot$.

3. MINIMAL MODELS

Definition.

1. An interpretation $M \subseteq \mathcal{P}$, represented as the set of atoms true in M, is smaller than another interpretation $N \subseteq \mathcal{P}$ iff $M \subset N$.
2. An interpretation $M \subseteq \mathrm{Hb}(P)$ is a *minimal model* of a (positive) program P iff $M \models P$ and there is no smaller model $N \models P$.

Example. Consider the following positive program:

$$P = \{q \leftarrow r.\ \ r \leftarrow p, q.\ \ \}.$$

- The interpretation $M = \{q, r\}$ is a model of P.
- However, M is not minimal because $N = \emptyset$ is also a model of P.
- But, in contrast, N is a minimal model of P.

Properties of Minimal Models (I)

Theorem. If $M_i \subseteq \mathrm{Hb}(P)$ (where $i \in I$) is a collection of models for a positive program P, then $M = \bigcap\{M_i \mid i \in I\}$ is also a model of P.

Proof. Suppose that $M \not\models P$.

$\implies$ $\exists\, a \leftarrow b_1, \ldots, b_n \in P$ such that $\{b_1, \ldots, b_n\} \subseteq M$ but $a \notin M$

$\implies$ $\{b_1, \ldots, b_n\} \subseteq M_i$ for all $i \in I$

$\implies$ $a \in M_i$ for all $i \in I$ because $M_i \models P$, $a \leftarrow b_1, \ldots, b_n \in P$ and $M_i \models a \leftarrow b_1, \ldots, b_n$

$\implies$ $a \in M = \bigcap\{M_i \mid i \in I\}$, a contradiction.

Thus $M \models P$ is necessarily the case. □

Properties of Minimal Models (II)

Theorem. A positive program P has at least one minimal model.

Proof. We will cover the case when $|\mathrm{Hb}(P)| = n$ is finite (a generalization for the infinite case requires *transfinite induction*).

Since P is a positive program, we know that $M_0 = \mathrm{Hb}(P) \models P$. Then define a decreasing sequence $M_0 \supseteq \ldots \supseteq M_i \supseteq \ldots$ of models for P:

- If M_i is a minimal model of P, let $M_{i+1} = M_i$.
- If M_i is not a minimal model of P, it has a model $N \subset M_i$. Let $M_{i+1} = N$.

Assuming that $M_i \models P$ is never minimal implies that the sequence is properly decreasing for all $i \geq 0$. A contradiction when $i > n$. $\square$

Example

The idea of the preceding proof can be demonstrated using

$$P_n = \{p_0 \leftarrow p_0. \quad p_1 \leftarrow p_1. \quad p_2 \leftarrow p_2. \quad \ldots \; p_n \leftarrow p_n. \quad \}$$

which is a positive program with a finite number, i.e., $n+1$, of rules.

- ➤ The interpretation $M_0 = \mathrm{Hb}(P_n) = \{p_0, \ldots, p_n\}$ is a model of P but not minimal because $M_1 = \{p_1, \ldots, p_n\} \models P$.
- ➤ A generalization for $i > 0$: the interpretation $M_i = \{p_i, \ldots, p_n\}$ is a model of P_n but not minimal because $M_{i+1} = \{p_{i+1}, \ldots, p_n\} \models P_n$.
- ➤ When i equals to $|\mathrm{Hb}(P_n)| = n+1$, we have a minimal model $M = \bigcap_{i=0}^{n+1} M_i = \emptyset$.

Properties of Minimal Models (III)

Theorem. Every positive program P has a unique minimal model, the *least model* $\mathrm{LM}(P)$ of P, which is the intersection of its all models.

Proof. Since P has at least one minimal model (shown above), let us assume that P had two minimal models, say M_1 and M_2.

$\Longrightarrow \quad M_1 \cap M_2 \models P$

$\Longrightarrow \quad M_1 \cap M_2 = M_1$ and $M_1 \cap M_2 = M_2$ (M_1 and M_2 are minimal)

$\Longrightarrow \quad M_1 = M_2$.

Thus $\mathrm{LM}(P) \subseteq M$ holds for every $M \models P$ because $\mathrm{LM}(P)$ is unique.

Since $\mathrm{LM}(P) \models P$, we obtain $\bigcap\{M \subseteq \mathrm{Hb}(P) \mid M \models P\} = \mathrm{LM}(P)$. $\square$

Answer Sets

Corollary. For any positive program P,

$$\mathrm{LM}(P) = \{a \in \mathrm{Hb}(P) \mid P \models a\}.$$

- ➤ By this corollary, the least model of a positive program P provides means to answer queries about atoms in $\mathrm{Hb}(P)$.
- ➤ Thus $\mathrm{LM}(P)$ is the unique *answer set* associated with P.

Example. For $P = \{a \leftarrow b, c. \quad b \leftarrow a, c. \quad c \leftarrow a, b. \quad \}$,

1. $\mathrm{LM}(P \cup \{a. \quad \}) = \{a\}$ and
2. $\mathrm{LM}(P \cup \{a. \quad b. \quad \}) = \{a, b, c\}$.

Thus $P \cup \{a. \quad \} \not\models c$ but $P \cup \{a. \quad b. \quad \} \models c$.

4. CONSTRUCTING THE LEAST MODEL

Definition. Let P be a positive logic program. Then define an *operator* $\mathrm{T}_P : \mathbf{2}^{\mathrm{Hb}(P)} \rightarrow \mathbf{2}^{\mathrm{Hb}(P)}$ on interpretations $I \subseteq \mathrm{Hb}(P)$ as follows:

$$\mathrm{T}_P(I) = \{a \in \mathrm{Hb}(P) \mid a \leftarrow b_1, \ldots, b_n \in P \text{ and } \{b_1, \ldots, b_n\} \subseteq I\}.$$

An interpretation I is a *fixpoint* of the operator T_P iff $\mathrm{T}_P(I) = I$.

A fixpoint I is the *least fixpoint* of T_P iff $I \subseteq I'$ for every $I' = \mathrm{T}_P(I')$.

Example. Let us analyze $P = \{a \leftarrow a.\ \ b.\ \ c \leftarrow b.\ \ d \leftarrow a, b.\ \ \}$.

1. Now $\mathrm{T}_P(\{a\}) = \{a, b\}$ and $\mathrm{T}_P(\{a, b\}) = \{a, b, c, d\}$,
2. the interpretation $M_1 = \{a, b, c, d\}$ is a fixpoint of T_P since $\mathrm{T}_P(M_1) = \{a, b, c, d\} = M_1$, and
3. the interpretation $M_2 = \{b, c\}$ is the least fixpoint of T_P.

Properties of T_P

Proposition. An interpretation $M \subseteq \mathrm{Hb}(P)$ is a model of a positive program P iff $\mathrm{T}_P(M) \subseteq M$.

Proof. For any interpretation $M \subseteq \mathrm{Hb}(P)$, $M \not\models P$
$\iff \exists\, a \leftarrow b_1, \ldots, b_n \in P$ such that $\{b_1, \ldots, b_n\} \subseteq M$ but $a \notin M$
$\iff \exists a \in \mathrm{T}_P(M)$ such that $a \notin M \iff \mathrm{T}_P(M) \not\subseteq M$. □

Proposition. (Monotonicity) For a positive program P,

$$M \subseteq N \subseteq \mathrm{Hb}(P) \text{ implies } \mathrm{T}_P(M) \subseteq \mathrm{T}_P(N).$$

Proof. For any atom $a \in \mathrm{Hb}(P)$, we have that $a \in \mathrm{T}_P(M)$
$\Longrightarrow \exists\, a \leftarrow b_1, \ldots, b_n \in P$ such that $\{b_1, \ldots, b_n\} \subseteq M$
$\Longrightarrow \exists\, a \leftarrow b_1, \ldots, b_n \in P$ such that $\{b_1, \ldots, b_n\} \subseteq N$ $(M \subseteq N)$
$\Longrightarrow a \in \mathrm{T}_P(N)$. □

Properties of the Least Fixpoint (I)

Proposition. For a positive program P, the operator T_P has the least fixpoint $\mathrm{lfp}(\mathrm{T}_P) = \bigcap\{M \subseteq \mathrm{Hb}(P) \mid M = \mathrm{T}_P(M)\}$.

Proof. Every monotonic operator has a least fixpoint (Knaster-Tarski) which is unique. For T_P, we denote this fixpoint by $\mathrm{lfp}(\mathrm{T}_P)$.

For the intersection property, it is sufficient to note that by definition $\mathrm{lfp}(\mathrm{T}_P) \subseteq M$ for any $M = \mathrm{T}_P(M)$, and $M = \mathrm{lfp}(\mathrm{T}_P)$ in particular. □

The unique fixpoint $\mathrm{lfp}(\mathrm{T}_P)$ can be constructed iteratively:

Definition. For a positive program P, define a sequence of interpretations by setting $\mathrm{T}_P \uparrow 0 = \emptyset$, $\mathrm{T}_P \uparrow i+1 = \mathrm{T}_P(\mathrm{T}_P \uparrow i)$ for $i > 0$, and the *limit* $\mathrm{T}_P \uparrow \infty = \bigcup_{i=0}^{\infty} \mathrm{T}_P \uparrow i$ of the sequence.

Properties of the Least Fixpoint (II)

Theorem. For a positive program P, $\mathrm{lfp}(\mathrm{T}_P) = \mathrm{T}_P \uparrow \infty = \mathrm{LM}(P)$.

Proof. We will prove the claim $\mathrm{lfp}(\mathrm{T}_P) = \mathrm{T}_P \uparrow \infty$ when P is *finite*; the infinite case uses *transfinite induction* and the *compactness* of T_P.

($\subseteq$) The monotonicity of T_P guarantees that the sequence of interpretations $\mathrm{T}_P \uparrow i$ is increasing. Hence $\mathrm{T}_P(\mathrm{T}_P \uparrow i) = \mathrm{T}_P \uparrow i$ for some $i \geq 0$. Thus $\mathrm{lfp}(\mathrm{T}_P) \subseteq \mathrm{T}_P \uparrow i \subseteq \mathrm{T}_P \uparrow \infty$.

($\supseteq$) It follows by induction on i that $\mathrm{T}_P \uparrow i \subseteq \mathrm{lfp}(\mathrm{T}_P)$ for every $i \geq 0$.

For $\mathrm{lfp}(\mathrm{T}_P) = \mathrm{LM}(P)$, we note the following:

($\subseteq$) It follows by induction that $\mathrm{T}_P \uparrow i \subseteq \mathrm{LM}(P)$ for every $i \geq 0$.

($\supseteq$) Any fixpoint $M = \mathrm{T}_P(M)$ is also a model of P. Thus the intersection of models, i.e. $\mathrm{LM}(P)$, is contained in M. □

Example

Reconsider the program $P = \{a \leftarrow a. \;\; b. \;\; c \leftarrow b. \;\; d \leftarrow a, b. \;\; \}$:

$$\begin{aligned}
&\mathrm{T}_P \uparrow 0 = \emptyset,\\
&\mathrm{T}_P \uparrow 1 = \mathrm{T}_P(\mathrm{T}_P \uparrow 0) = \mathrm{T}_P(\emptyset) = \{b\},\\
&\mathrm{T}_P \uparrow 2 = \mathrm{T}_P(\mathrm{T}_P \uparrow 1) = \mathrm{T}_P(\{b\}) = \{b,c\},\\
&\mathrm{T}_P \uparrow 3 = \mathrm{T}_P(\mathrm{T}_P \uparrow 2) = \mathrm{T}_P(\{b,c\}) = \{b,c\}, \;\ldots\\
&\mathrm{T}_P \uparrow i+1 = \mathrm{T}_P(\mathrm{T}_P \uparrow i) = \mathrm{T}_P(\{b,c\}) = \{b,c\}, \;\ldots
\end{aligned}$$

$\Longrightarrow \mathrm{T}_P \uparrow \infty = \bigcup_{i=0}^{\infty} \mathrm{T}_P \uparrow i = \{b,c\} = \mathrm{lfp}(P) = \mathrm{LM}(P)$.

Remarks. If P is a *finite* positive program (as above), then $\mathrm{lfp}(\mathrm{T}_P)$ is always reached with a finite number of steps. For each $a \in \mathrm{lfp}(P)$, there is a finite $i \geq 0$ such that $a \in \mathrm{T}_P \uparrow i$, even if P is *infinite* !

5. PROGRAMS WITH VARIABLES

- Disregarding any non-logical features, logic programs and deductive databases can be viewed as sets of *rules* of the form
$$P(\vec{t}) \leftarrow P_1(\vec{t}_1), \ldots, P_n(\vec{t}_n)$$
where $P(\vec{t})$ and $P_i(\vec{t}_i)$'s are *atomic formulas* involving lists of terms $\vec{t}$, $\vec{t}_1$, ..., $\vec{t}_n$ as their arguments.
- Variables appearing in rules are universally quantified.
- Each set of rules P, also called a *positive program* in the sequel, has a Herbrand base $\mathrm{Hb}(P)$ associated with it.
- A rule $P(\vec{t}) \leftarrow P_1(\vec{t}_1), \ldots, P_n(\vec{t}_n)$ with variables $x_1, \ldots, x_m$ stands for its all *ground instances*, each of which is obtained by substituting the variables $x_1, \ldots, x_m$ by some ground terms $s_1, \ldots, s_m$.

Answer Sets

- The semantics of a positive program P involving variables is determined by the respective *ground program* $\mathrm{Gnd}(P)$.
- It is possible to view $\mathrm{Gnd}(P)$ as a propositional program and it becomes infinite if P has function symbols and variables.

Definition. Let P be a positive program—potentially involving variables. The unique *answer set* of P is $\mathrm{LM}(\mathrm{Gnd}(P))$.

This set gives also the correctness criterion for *query evaluation*:

Proposition. Suppose that $Q(\vec{t})$ is a query involving variables $x_1, \ldots, x_n$ for a positive program P. Then $P \models \exists x_1 \cdots \exists x_n Q(\vec{t}) \iff$ there is a ground substitution θ, which replaces each variable x_i with a ground term $t_i \in \mathrm{Hu}(P)$, such that $Q(\vec{t})\theta \in \mathrm{LM}(\mathrm{Gnd}(P))$.

Example

Consider a positive program P with the following rules

$$R(a,c). \qquad R(b,c). \qquad Q(x) \leftarrow R(x,y).$$

1. The ground program over $\mathrm{Hu}(P) = \{a,b,c\}$ contains the rules
$$\begin{array}{llll}
R(a,c). & Q(a) \leftarrow R(a,a). & Q(a) \leftarrow R(a,b). & Q(a) \leftarrow R(a,c).\\
R(b,c). & Q(b) \leftarrow R(b,a). & Q(b) \leftarrow R(b,b). & Q(b) \leftarrow R(b,c).\\
 & Q(c) \leftarrow R(c,a). & Q(c) \leftarrow R(c,b). & Q(c) \leftarrow R(c,c).
\end{array}$$
2. The answer set is $\mathrm{LM}(\mathrm{Gnd}(P)) = \{R(a,c), R(b,c), Q(a), Q(b)\}$.
3. As earlier, this interpretation captures intended answers to queries:

$P \models R(a,c)$?	**yes**	$P \models R(a,d)$?	**no**
$P \models Q(a)$?	**yes**	$P \models Q(c)$?	**no**

6. EXPRESSIVE POWER

Rules are expressive enough to cover basic operations on relations as present in *relational algebra* (SQL):

1. Union: $\text{EUNational}(x) \leftarrow \text{Finn}(x).$

   $\text{EUNational}(x) \leftarrow \text{Swede}(x).$
2. Intersection: $\text{Father}(x) \leftarrow \text{Parent}(x), \text{Man}(x).$
3. Projection: $\text{Parent}(x) \leftarrow \text{Parent}(x,y).$
4. Selection: $\text{Millionaire}(x) \leftarrow \text{Assets}(x,y), \text{Greater}(y,999999).$
5. Composition: $\text{Result}(x,y) \leftarrow \text{Student}(x,i), \text{Grade}(i,y).$

Contrast with Relational Algebra

Unlike SQL (stands for Structured Query Language), positive programs enable recursive definitions.

Example. E.g., the *transitive closure* of a relation is expressible:

$$\text{Connection}(x,y) \leftarrow \text{Flight}(x,y).$$
$$\text{Connection}(x,y) \leftarrow \text{Flight}(x,z), \text{Connection}(z,y).$$

On the other hand, the conditions used in the form of rules considered so far cannot refer to *complements* of relations as in SQL.

Example. However, it is not trivial to add negation ($\sim$ below):

$$\text{Man}(a). \quad \text{Man}(b). \quad \text{Man}(c).$$
$$\text{Shaves}(c,x) \leftarrow \text{Man}(x), \sim\text{Shaves}(x,x). \quad \text{Shaves}(a,a).$$

OBJECTIVES

- You are able to define minimal models and the least model for positive programs and to prove simple properties about them.
- You know the interconnection between the least model of a positive program and its logical consequences.
- You are able to construct the least model for the given positive program P by calculating the least fixpoint of T_P.
- You have some preliminary ideas how minimal models are exploited in knowledge representation.
- You are aware of the basic similarities and differences of relational algebra and rule-based languages.

TIME TO PONDER

Consider two positive programs P_1 and P_2 and their union $P_1 \cup P_2$.

Which of the following do hold in general?

1. $\mathrm{LM}(P_1 \cup P_2) \subseteq \mathrm{LM}(P_1) \cup \mathrm{LM}(P_2)$.
2. $\mathrm{LM}(P_1) \cup \mathrm{LM}(P_2) \subseteq \mathrm{LM}(P_1 \cup P_2)$.