3 Rule-based systems

 In what follows, we give a brief introduction to the mathematical definitions and applied algorithms of rule-based systems

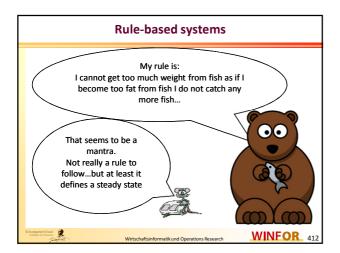
Rule-based systems comprise
 a database that contains the current knowledge of the system. This

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- may comprise current values or states of variables/parameters/sets a **finite set of rules** that enables the system to derive additional
- knowledge out of the given one by applying some rule an **interference engine or algorithm** that controls the interaction
- an interference engine or agoritum that controls the interaction between the knowledge stored in the data base and the applicable rules
- The definition of the knowledge, the rules, and the applied interference engine is application-dependent and therefore requires a suitable formalization

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Definition of rule-base systems

3.1 Definition

A **rule-based system** *P* consists of a tuple (*D*, *R*) with the **data base** *D* and a finite **set of rules** *R*. The elements are also denoted as (known) facts. The elements of *D* are tuples of parameters and values (denoted as terms). The set of parameters are denoted as $\mathcal{P}(P)$ and the set of values are $\mathcal{V}(P)$. As parameters and values are connected in each tuple by some operator (functioning as a connector) =, <, ≤, or ≠ to a **term** $t \in D$, of the form $t \in \mathcal{P}(P) \times \{=, \neq, <, \le\} \times \mathcal{V}(P)$.

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A ${\bf rule}\; r \in R$ possesses the form IF C THEN t with a ${\bf condition}\; C$ that is recursively defined through

1. Each term $r \in D$ is a condition

2. For $r, s \in D$ the notations $(r \land s)$ and $(r \lor s)$ are conditions and a term $t \in D$ that defines the **conclusion** (of the rule).

Conjunction and disjunction

- The symbol "A" represents a conjunction of conditions. Hence, the fulfillment of the resulting (possibly partial) condition requires that both partial conditions are fulfilled by the current database entries
- The symbol "V" represents a disjunction of conditions. Hence, the fulfillment of the resulting (possibly partial) condition requires that (at least) one partial condition is fulfilled by the current database entries

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Observation

 Conclusions do not comprise conjunctions of terms However, this can be replaced by additional rules

- Specifically, instead of defining IF C THEN $t_1 \wedge t_2 \wedge \cdots \wedge$ t_k , we insert the k rules IF C THEN t_1 , IF C THEN t_2 ,..., IF C THEN t_k into R
- Note that the well-known NOT operation is not valid in Definition 3.1
- In what follows, we define the formal satisfaction of a condition

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Satisfaction of conditions in rules

3.2 Definition

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Given a rule-based system P = (D, R) defined according to Definition 3.1. Then, a condition C in a rule IF C THEN t in rule set R is satisfied by the current data base D if one of the following cases applies 1. If C is a single term s and $s \in D$ holds 2. If $C = C_1 \wedge C_2$ and C_1 as well as C_2 are satisfied by the current data base D3. If $C = C_1 \vee C_2$ and C_1 or C_2 is satisfied by the current data base D 4. If $C = \neg C_1$ and C_1 is not satisfied by the current data base DNo further case exists. A rule r = IF C THEN t in set R with a condition C that is satisfied according to

Definition 3.2 is denoted as applicable to data base D.

If the fourth case is not covered, we say that P = (D, R) is without negation. Wirtschaftsinformatik und Operations Research

Inference of terms

3.3 Definition

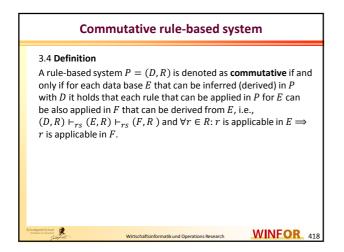
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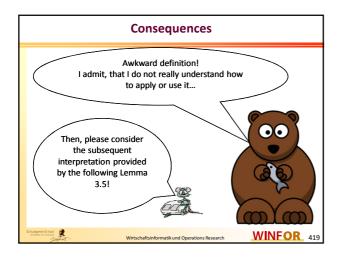
Given two rule-based systems P = (D, R) and P' = (D', R') as defined in Definition 3.1.1. It holds that $(D, R) \vdash_{rs} (D', R')$ if and only if

- 1. There exists a rule $r \in R$ with $r = \operatorname{IF} \mathcal{C}$ THEN t possessing a satisfied condition \mathcal{C} and
- 2. The data base is extended accordingly, i.e., $D' = D \cup \{t\}$

We say that rule $r \in R$ is applicable and term t can be inferred (derived) in P = (D, R) with DShortcut: $(D, R) \vdash_{rs} \{t\}$

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Consequence

3.5 Lemma

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A rule based system P = (D, R) is commutative if and only if the following attribute (*a*) is fulfilled for a data base *E* that can be inferred in *P* with *D*:

(a) Let $R_E \subseteq R$ be a subset of rules given in P that are applicable with data base E. Then, the data set that is inferable by applying these rules is invariant against the sequence in that the rules are applied.

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Proof of Lemma 3.5

- Given a commutative rule-base system P = (D, R) and a data base E that can be inferred in P by using D, i.e., we have (D, R) ⊢_{rs} (E, R)
- Moreover, we assume that $R_E = \{r_1, ..., r_n\} \subseteq R$ is the set of applicable rules of set R with data base E
- Consequently, we define the set of terms $T_E = \{t_1, \dots, t_m\}$ that we obtain by applying rules of set R_E
- Due to the assumed commutativity of P = (D, R) and since data base E can be inferred in P by using D, we know that all rules r ∈ R_E can be also applied in P by using F (instead of E) with (D, R) ⊢_{rs} (E, R) ⊢_{rs} (F, R)
 This means that we can apply the respective rules r ∈ R_E in an arbitrary
- sequence and the set of inferable terms amounts to $E \cup T_E = E \cup \{t_1, ..., t_m\}$ • The latter results from the fact that the application of each rule inserts a term
- of T_E

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Proof of Lemma 3.5

- Conversely, we assume that *P* is not commutative, but attribute (*a*) is fulfilled for a data base *E* that can be inferred in *P* by using *D*, i.e., $(D, R) \vdash_{rs} (E, R)$
- If two rules in R have identical conclusions we combine them into one rule by a disjunction in the condition. Hence all conclusions are disjoint
- Furthermore, we assume that $R_E = \{r_1, ..., r_n\} \subseteq R$ is the set of applicable rules of set R with data base E
- Consequently, we define the set of terms $T_E=\{t_1,\ldots,t_m\}$ that we obtain by applying rules of set R_E
- As P is not commutative, we assume that E was chosen such that there exists a rule $r_j \in R_E = \{r_1, ..., r_n\}$ with F as the set of terms that is obtained by applying all applicable rules of set $R_E \{r_j\}$ while r_j is not applicable in set F, but applicable in set E. By applying all rules of set $R_E \{r_j\}$, we obtain the set $T_{E,j}$
- Since no other rule implies t_j , we obtain a different data base G if we start with (E, R) and apply r_j first as $t_j \in G$ but $t_j \notin T_{E,j}$. This contradicts attribute (a)

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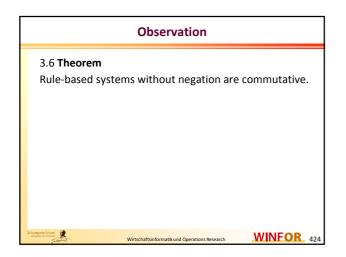
Remark

- The derived definition of commutativity is analogously characterized by <u>Nilsson (1982)</u>. He gives the following three attributes
 - Each rule that is applicable for a given database D stays applicable for each database that is derivable from D
 - Each condition that is fulfilled by D is also fulfilled by each database that is derivable from D
 - Each database that can be derived from D is invariant against the sequence of the applied rules

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Proof of Theorem 3.6

- We consider a rule based system P = (D, R) without negation
- Let *E* be a data base with $(D, R) \vdash_{rs} (E, R)$
- $R_E = \{r_1, \dots, r_n\} \subseteq R$ is the set of applicable rules of set R with data base E, while it holds that $r_i = \text{IF } C_i \text{ THEN } t_i, \forall i \in \{1, \dots, n\}$
- Hence, C_i is true (i.e., fulfilled) in E
- Since there are only connectors of the form ∧ or ∨, the satisfaction of a condition only depends on the fact whether a specific term t is in the data base E
- As each rule application only adds additional terms to the data base, such a satisfaction does not change

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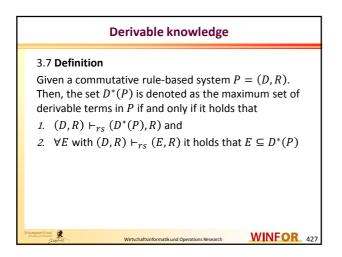
Hence, *P* is commutative

Conclusion

- Due to Theorem 3.6, for rule-based systems without negation, we know that the sequence of applied rules has no impact on the resulting set of terms in the derived data base
- Therefore, an applied inference algorithm do not need a specific selection rule for choosing the next applicable rule to be executed

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Types of reasoning strategies

In order to check whether a specific data can be derived from a given rule-based system, two reasoning strategies are proposed:

Forward chaining

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- Starts with the available data currently stored in the data base
- It iteratively executes the rules that are applicable in order to derive additional knowledge
- It terminates when a predefined goal (sought term) is reached

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 If no predefined goal is given the algorithm stops when no further knowledge can be obtained from applying rules

Types of reasoning strategies

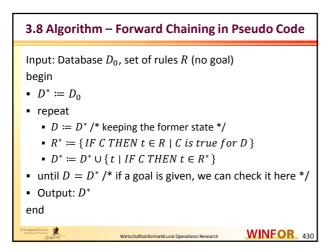
Backward chaining

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- This strategy works in opposite direction to the forward chaining
- Namely, it starts with the goal term that is sought
- This term is inserted into the set of goal terms *G*
- As long as the set of goal terms G is not empty do
 - Take some term t out of G
 - Consider the condition C of each rule of the form IF C THEN t
 - Depending on the condition C insert new terms into G (this may include recursive function calls or the iterative constitution of different sets G and will be specified later on)

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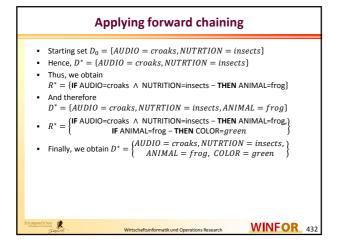
(Very simple) example

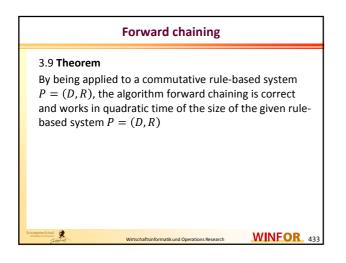
RULE 1: IF AUDIO=croaks \land NUTRITION=insects - **THEN** ANIMAL=frog

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RULE 2: If AUDIO=öök \land NUTRITION=insects - **THEN** ANIMAL=toad

RULE 3: If ANIMAL=frog - THEN COLOR=green RULE 4: If ANIMAL=toad - THEN COLOR=brown





Termination

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- Clearly, the forward chaining algorithm (Algorithm 3.8) always terminates
- This results from the fact that *R* is assumed to be finite and therefore the derivable knowledge (terms located after a THEN statement) is finite
- Hence, the number of extensions of *D*^{*} is limited by the number of rules in *R*
- Specifically, it holds that $D \subseteq D^*(P) \subseteq D \cup \{t \mid IF \ C \ THEN \ t \in R\}$
- Since at least one term is added during each iteration of the algorithm, we have at most |*R*| iterations

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Correctness

- We first show that if the Algorithm 3.8 is called without a goal term it terminates with the output $D^* = D^*(P)$
- We first show that $D^*(P) \subseteq D^*$
- For this purpose, we assume that $\exists s \in D^*(P) D^*$. Due to $D^*(P) \subseteq D \cup$ $\{t \mid IF \ C \ THEN \ t \in R\}$ and the finiteness of D, s can be derived within a finite number of rule applications
- Furthermore, s is defined such that its shortest derivation in $(D, R) \vdash_{rs} (D^*(P), R)$ requires a minimum number of rule applications. This minimum number is denoted as *i*. With other words, no other term in $D^*(P) - D^*$ can be derived with a smaller number of applied rules
- In what follows, the existence of s is disproven by induction over the number of iterations i
- With other words, we prove that after i iterations D^\ast contains all terms of set $D^{*}(P)$ that are derivable by the application of at most *i* rules Wirtschaftsinformatik und Operations Research

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Proof of Theorem 3.9

- Start of induction with i = 0. In this case, we have $D^*(P) = D$ as no application of a rule is allowed
- Hence, as the Algorithm 3.8 sets $D^* = D$, we have $D^*(P) = D =$ D^* and s does not exist with i = 0
- Therefore, it remains to consider the case i > 0
- Then, by induction and the definition of term s, after conducting i-1 iterations of Algorithm 3.8, the set D^* contains all terms of set $D^*(P)$ derivable by at most i - 1 rule applications
- Consequently, as $D^*(P) \subseteq D \cup \{t \mid IF \ C \ THEN \ t \in R\}$ holds and since s is not derivable within i - 1 rule applications, we conclude due to the commutativity of P = (D, R) there must be a rule *IF C THEN s* in set *R* such that the terms of $D^*(P)$ that are derivable within at most i - 1 rule applications fulfill C

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Proof of Theorem 3.9

- However, as, by induction, this set (the terms of D*(P) that are derivable within at most i - 1 rule applications) is subset of D^*
- Therefore, IF C THEN s is applicable during the *i*-th iteration of the Algorithm 3.8 and s is also inserted into D^*
- Hence, s does not exist

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• As $D^*(P) \subseteq D \cup \{t \mid IF \ C \ THEN \ t \in R\}$ holds and D is finite, each term $s \in D^*(P) - D^*$ is derivable in a finite number of rule applications

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- Thus, $D^*(P) D^* = \emptyset$ holds as $s \in D^*(P) D^*$ exists, otherwise and that was excluded before
- This proves $D^*(P) \subseteq D^*$

- We show that $D^* \subseteq D^*(P)$
 - This results directly from the fact that the Algorithm 3.8 only adds terms by applying rules of set R

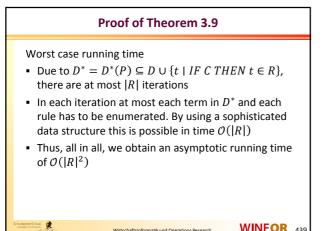
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- Consequently, it holds that $(D, R) \vdash_{rs} (D^*, R)$
- This implies $D^* \subseteq D^*(P)$

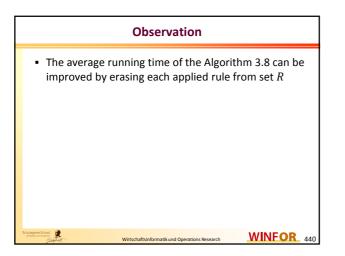
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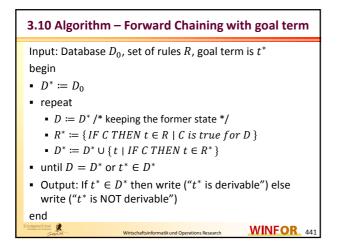
- Therefore, we obtain $D^* = D^*(P)$
- This completes the proof of the correctness

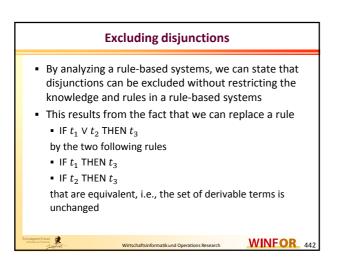
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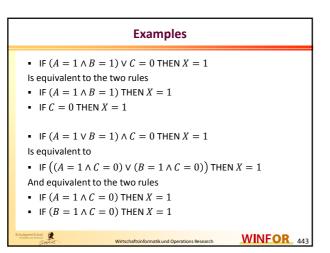


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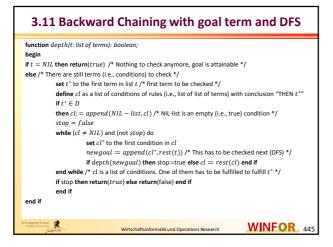


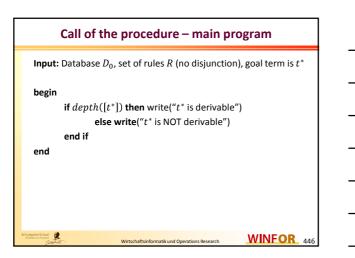
Comment

- As each formula in propositional logic can be transformed in a equivalent formula in so-called Disjunctive Normal Form (DNF), i.e., into the form F = Vⁿ_{i=1} (Λ^{m_i}_{j=1}L_{i,j}), with L_{i,j} ∈ {A₁, A₂, ...} ∪ {¬A₁, ¬A₂, ...}, we can always exclude all disjunctions in a set of rules
 Thus, for the backward chaining algorithm, we solely
- consider rule-based systems without disjunctions

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Corresponding graph

3.12 Definition

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Given a rule-based system P = (D, R). For the set of rules, we define the following corresponding graph $\mathcal{G}(R) = (\mathcal{V}(R), E(R))$ as follows:

- 1. For each term t occurring in a condition or conclusion of a rule $r \in R$ there exists a corresponding node $v_t \in \mathcal{V}(R)$
- 2. For each rule $r \in R$ there exists a corresponding node $v_r \in \mathcal{V}(R)$
- 3. For each rule $r = IF c_1 \land \dots \land c_n THEN t \in R$ there exist n corresponding edges $(v_{c_l}, v_t) \in E(R), \forall i \in \{1, \dots, n\}$ and an additional edge $(v_r, v_t) \in E(R)$
- 4. Aside from the results by applying the preceding steps 1,2, and 3, there are no further nodes and arcs in E(R)

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Acyclic rule-based systems

3.13 Definition

A given rule-based system P = (D, R) is denoted as acyclic if and only if the corresponding graph $\mathcal{G}(R) = (\mathcal{V}(R), E(R))$ is acyclic.

3.14 Comment

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Given a directed graph $\mathcal{G} = (V, E)$. The test of whether graph \mathcal{G} is acyclic can be done in linear time of the size of the set of arcs.

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Correctness of the algorithm

3.15 Theorem

Algorithm 3.11 is correct for acyclic rule-based systems

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- We assume that a given term t can be derived by a rule based system P = (D, R)
- Then there exists a shortest existing derivation $(D, R) \vdash_{rs} (D^*, R)$ with $t \in D^*$ and we prove by induction of the number of applied rules l in the above shortest derivation that depth([t]) = true, i.e., Algorithm returns the correct result
- Start of induction l = 0

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- In this case no rule is necessary for the derivation of $t \in D^*$
- Hence, it holds that $t \in D$
- In this case $first(t) \in D$ holds and the first entry of *cl* is the empty list
- Therefore, newgoal becomes to NIL and depth(NIL) is called
- Then, depth(newgoal) is true and stop is set to true
- Consequently, the Algorithm 3.11 returns the correct result " t^* is derivable" Wirtschaftsinformatik und Operations Research

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Proof of Theorem 3.15

- We consider the case l > 0
 - Hence, as the considered derivation is a shortest one, there exists a rule IF $c_1 \wedge \cdots \wedge c_n$ THEN t in set R that was used by the considered derivation $(D, R) \vdash_{rs} (D^*, R)$ with $t \in D^*$
 - Hence, by induction we have $\forall i \in \{1, ..., n\}$: $depth([c_i]) =$ true
 - As *r* ∈ *R* holds, *cl* is extended by appending the list $[c_1, ..., c_n]$
 - As P = (D, R) is assumed to be acyclic, in the considered case, the Algorithm will either terminate before reaching this part of the list cl (other proving is possible) or after checking $depth([c_1, ..., c_n])$. The latter results from the assumption of the induction

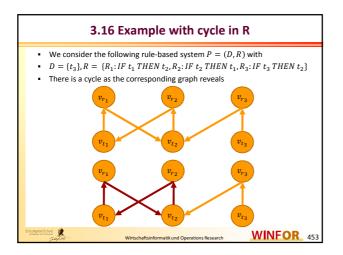
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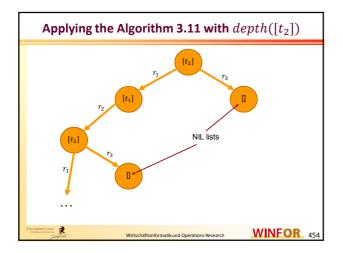
Proof of Theorem 3.15

- We assume that a given term t cannot be derived by a rule-based system P = (D, R)
- Then, there is no $(D, R) \vdash_{rs} (D^*, R)$ with $t \in D^*$
- This, in turn, means that there is no possibility to trace back the term t to the initial entries of set D
- Therefore, depth(NIL) cannot be reached throughout the computation
- Since P = (D, R) is assumed to be acyclic, each rule is chosen once and the Algorithm 3.11 will terminate after finite time as depth is not called in a recursion more than once for a list starting with the same term. Hence, the number of calls is bounded and the algorithm never reaches an empty list
- Thus Algorithm 3.11 returns the correct result "t^{*} is NOT derivable"

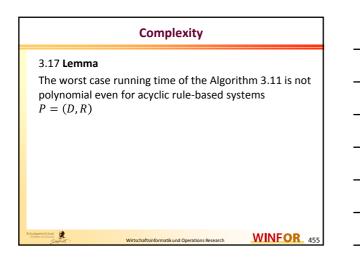
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- We consider the following rule-based system
 - *P_n* = (*D*, *R_n*) with
 D = {*t*₀} and

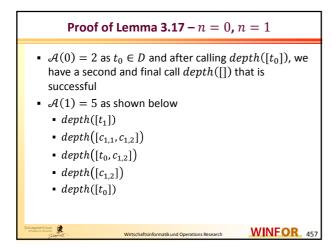
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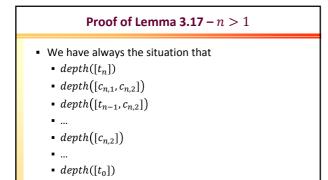
•
$$R_n = \begin{cases} IF \ c_{i,1} \land c_{i,2} \ THEN \ t_i, \\ IF \ t_{i-1} \ THEN \ c_{i,1} \\ IF \ t_{i-1} \ THEN \ c_{i,2} \end{cases} | \ 1 \le i \le n \end{cases}$$

- The rule-based system $P_n = (D, R_n)$ comprises 3n rules and terms
- We count the number of calls $\mathcal{A}(n)$ of the function depth with the goal term t_n

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Proof of Lemma 3.17 – Conclusion

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• For n > 1, it holds that \mathcal{A}(n) = 3 + 2 \cdot \mathcal{A}(n-1)
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- Therefore, we conclude that
 \$\mathcal{A}(n) > 2^n\$ since it holds that
 - $\mathcal{A}(0) = 2 > 2^0 = 1$,
 - $\mathcal{A}(0) = 2 > 2^{-1} = 1$, • $\mathcal{A}(1) = 5 > 2^{1} = 2$, and
 - $\mathcal{A}(n) = 3 + 2 \cdot \mathcal{A}(n-1) > 3 + 2 \cdot 2^{n-1} = 3 + 2^n > 2^n$

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This completes the proof

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