Abstract Interpretation of Resolution-Based Semantics

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Abstract

We extend the abstract interpretation point of view on context-free grammars by Cousot and Cousot to resolution-based logic programs and proof systems. Starting from a transition-based small-step operational semantics of Prolog programs (akin to the Warren Machine), we consider maximal finite derivations for the transition system from most general goals. This semantics is abstracted by instantiation to terms and furthermore to ground terms, following the so called c and s semantics approach. Orthogonally, these sets of derivations can be abstracted to SLD-trees, call patterns and models, as well as interpreters providing effective implementations (such as Prolog). These semantics can be presented in bottom-up fixpoint form. This abstract interpretation-based construction leads to classical bottom-up semantics (such as the s-semantics of computed answers, the c-semantics of correct answers of Keith Clark, and the minimal-model semantics of logical consequences of Maarten van Emden and Robert Kowalski). The approach is general and can be applied to infinite and top-down semantics in a straightforward way.

Key words: Abstract interpretation, Bottom-up semantics, Herbrand semantics, Logic programming, s-semantics.
1 Introduction

The semantics of logic programs is characterised by a variety of forms and methods, ranging from the more traditional operational and denotational semantics towards the more logic-based ones related with the view of the interpreter as a theorem prover. Examples of this variety include the semantics of predicate logic as a programming language in \[1,2\], the operational and denotational semantics of PROLOG \[3–7\], the logical models of PROLOG control features \[8–10\], the (fixpoint) observational models in \[11–19\], and the so called or-compositional models in \[20–25\], the last culminating in the so called s-semantics approach to logic program semantics \[26\], which is comprehensive of different observational semantics.

The essence in the study of comparative semantics in logic programming is the attempt to capture the difference between the various aspects of logic as a programming language, ranging from its view in theorem proving to its use in concrete programming. Theorem proving corresponds to restricting programs as theories of definite Horn clauses. In this context both a model-theoretic semantics (unique Herbrand representative model) and a proof-procedure (e.g. SLD resolution) are given \[1,27\]. Programming instead considers resolution strategies and backtracking control mechanisms such as cut as essential parts of the art of logic programming \[28,29\]. For these latter aspects, the model-theoretic semantics is not adequate. This wide range of possible interpretation for a logic program has led researchers to develop a number of different semantics capturing specific aspects of logic as a programming language, from operational (resolution-based) semantics to denotational, model-theoretic, etc. Several attempts have been made in order to construct a comprehensive hierarchy of semantics \[18\], some of them using abstract interpretation for specifying semantics at different levels of abstraction \[30–33\].

In this paper we develop a hierarchy of semantics for resolution-based languages by incremental abstractions of a maximal trace semantics. The trace semantics is constructed by generalising transitional semantics of context-free grammars akin push-down automata to resolution-based derivations of Horn-like clauses. The result is a hierarchy of top-down and bottom-up semantics of logic programs including as abstract interpretations most of the well-known semantics: the partial correctness semantics, the success semantics, the ground (Herbrand) models, the SLD-semantics, the breadth-first semantics and the cut semantics. All semantics are derived as abstract interpretations, where consecutive abstractions specify a PROLOG interpreter modelling the different observable properties of the program.
2 Mathematical Notations

We let $\mathcal{S} \triangleq \{ \text{true, false} \}$ be the Boolean truth values ($\land$ is conjunction, etc), $i, n, \ldots \in \mathbb{N}$ be the set of natural numbers, $\lambda, \mu \in \mathcal{O}$ be the class of ordinals both with infimum 0 and natural ordering $\leq$, $\langle x_i, i \in \Delta \rangle$ be the indexed family of elements $x_i$ indexed by $i \in \Delta$ which is a sequence when $\langle \Delta, \prec \rangle$ is totally ordered with infimum (e.g. $\Delta$ is $\mathbb{R}$ or $\mathcal{O}$). The concatenation of sequences is denoted by juxtaposition and $\langle \langle x_{ij}, j \in \Delta_2 \rangle, i \in \Delta_1 \rangle$ is $\langle x_{ij}, \langle i, j \rangle \in \Delta_1 \times \Delta_2 \rangle$ where $\Delta_1 \times \Delta_2$ is totally ordered lexicographically.

3 Languages

Let $\mathcal{A}$ be an alphabet, that is a finite set of letters. A sentence $\sigma \in \mathcal{A}^*$ over the alphabet $\mathcal{A}$ of length $|\sigma| \triangleq n \geq 0$ is a possibly empty finite sequence $\sigma_1 \sigma_2 \ldots \sigma_n$ of letters $\sigma_1, \sigma_2, \ldots, \sigma_n \in \mathcal{A}$. For $n = 0$, the empty sentence is denoted $\epsilon$ of length $|\epsilon| = 0$. A language $\Sigma$ over the alphabet $\mathcal{A}$ is a set of sentences $\Sigma \in \wp(\mathcal{A}^*)$. We represent concatenation by juxtaposition. It is extended to languages as $\Sigma \Sigma' \triangleq \{ \sigma \sigma' \mid \sigma \in \Sigma \land \sigma' \in \Sigma' \}$. Given a set $\mathcal{P}$ $\triangleq \{ [i]_i \mid i \in \Delta \} \cup \mathcal{A}$ of matching parentheses and an alphabet $\mathcal{A}$, the Dyck language $\mathcal{D}_{\mathcal{P}, \mathcal{A}} \subseteq (\mathcal{P} \cup \mathcal{A})^*$ over $\mathcal{P}$ and $\mathcal{A}$ is the set of well-parenthesized sentences over $\mathcal{P} \cup \mathcal{A}$. In any sentence $\sigma \in \mathcal{D}_{\mathcal{P}, \mathcal{A}}$ the number of opening parentheses $[i]$ for $i \in \Delta$ is equal to the number of matching closing parentheses $]_i$ while in any prefix of $\sigma$ there are no fewer opening parentheses than closing parentheses. A pure Dyck language has $\mathcal{A} = \emptyset$. The parenthesized language over $\mathcal{P}$ and $\mathcal{A}$ is $\mathcal{P}_{\mathcal{P}, \mathcal{A}} \triangleq \{ [\sigma]_i \mid i \in \Delta \land \sigma \in \mathcal{D}_{\mathcal{P}, \mathcal{A}} \setminus \{ \epsilon \} \}$.

4 Syntax of Logic Programs

We let $\mathcal{F}$ be a set of function symbols $f \in \mathcal{F}$, $f/n \in \mathcal{F}/n$ be the subset of function symbols of arity $n \geq 0$ (unless otherwise stated $\mathcal{F}/0 \neq \emptyset$), $\mathcal{V}$ be a set of variable symbols $v \in \mathcal{V}$ (such that $\mathcal{F} \cap \mathcal{V} = \emptyset$), $\bar{v} \in \mathcal{V}$ be possibly empty sequences of variable symbols $v_1, \ldots, v_n, n \geq 0$ ($\bar{v}$ being the empty sequence of variables), $\mathcal{T}$ be the set of terms $T, U, \ldots \in \mathcal{T}$ built on $\mathcal{F}$ and $\mathcal{V}$, $\mathcal{P}$ be a set of predicate symbols $p \in \mathcal{P}$ (such that $\mathcal{P} \cap \mathcal{V} = \emptyset$ and $\mathcal{P} \cap \mathcal{F} = \emptyset$), $p/n \in \mathcal{P}/n$ be the subset of predicate symbols of arity $n \geq 0$, $\mathcal{A}$ be a set of atoms $A, B \in \mathcal{A}$ built on $\mathcal{P}$ and $\mathcal{F}$, $B \in \mathcal{B}$ be possibly empty sequences of atoms $B = B_1 \ldots B_n$, $n \geq 0$ ($\epsilon$ being the empty sequence of atoms), $C \in \mathcal{C}$ $\triangleq \mathcal{A} \times \mathcal{B}$ be definite clauses of the form $C = A \leftarrow B$ where the head $A \in \mathcal{A}$ is an atom and the body $B \in \mathcal{B}$ is a sequence of atoms ($B$ is empty for unit clauses), $P \in \mathcal{P}^n \triangleq [0, n[ \rightarrow \mathcal{C}$ be the set of all Prolog programs which are
non-empty sequences of clauses \( P = P_0 \ldots P_{n-1} \) of length \(|P| = n \geq 1\), \( \mathbb{P} \triangleq \bigcup_{n \geq 1} \mathbb{P}^n \) be the set of all PROLOG programs, \( \mathbb{L} \triangleq \wp(\wp) \setminus \{\emptyset\} \) be the set of logic programs \( P \in \mathbb{L} \) which are nonempty (unordered) sets of clauses, \( \wp \triangleq \{ p(v) \mid p \in \wp \land v \in \wp\} \) be the set of most general atomic goals. There is an obvious abstraction of a PROLOG program \( P \in \mathbb{P}^n \) into a logic program \( \alpha^i(P) \triangleq \{ P_1, \ldots, P_n \} \in \mathbb{L} \) which forgets about the ordering of clauses.

**Example 1** The following PROLOG program defines natural numbers (\( 0 \in \wp/0, s \in \wp/1, n \in \wp/1 \) and \( x \in \wp\)).

\[
\begin{align*}
0: & \quad n(0) \leftarrow \\
1: & \quad n(s(x)) \leftarrow n(x)
\end{align*}
\]

We let \( \text{vars}(e) \) be the set of variables of the syntactic expression \( e \in \wp \). If \( \mathcal{E} \in \wp(e) \) is a set of syntactic expressions then \( \text{ground}(\mathcal{E}) \triangleq \{ e \in \mathcal{E} \mid \text{vars}(e) = \emptyset \} \) is the subset of ground expressions. The subset of ground expressions in \( e \) is written \( \mathcal{E} \triangleq \{ e \in \wp \mid \text{vars}(e) = \emptyset \} \). For example \( \wp \) is the set of all ground terms, \( \wp \) is the set of all ground atoms, etc.

## 5 Substitutions

A substitution \( \vartheta, \sigma \in \mathcal{S} \) is a map \( \vartheta \in v \mapsto \mathcal{E} \) whose domain \( \text{dom}(\vartheta) \triangleq \{ v \in \wp \mid \vartheta(v) \neq v \} \) is finite. The result of applying a substitution \( \vartheta \) to a term \( T \) is the instance of \( T \) denoted \( \vartheta(T) \). We let \( \text{inst}(T) \triangleq \{ \vartheta(T) \mid \vartheta \in \mathcal{S} \} \) be the set of instances of term \( T \in \wp \) and \( \text{inst}(\mathcal{J}) \triangleq \bigcup \{ \vartheta(T) \mid \vartheta \in \mathcal{S} \land T \in \mathcal{J} \} \) be the set of instances of a set \( \mathcal{J} \in \wp(\wp) \) of terms. The empty substitution \( \varepsilon \) has \( \text{dom}(\varepsilon) = \emptyset \). The range of substitution \( \vartheta \) is \( \text{rng}(\vartheta) \triangleq \bigcup \{ \vartheta(v) \mid v \in \text{dom}(\vartheta) \} \). The restriction of a substitution \( \vartheta \) to the variables \( \text{vars}(e) \) of a syntactic expression \( e \in \wp \) is \( \vartheta|_e \). The composition \( \vartheta \circ \sigma \) is \( \lambda v . \vartheta(\sigma(v)) \). A substitution \( \vartheta \) is idempotent whenever \( \vartheta \circ \vartheta = \vartheta \) or equivalently \( \text{dom}(\vartheta) \cap \text{rng}(\vartheta) = \emptyset \). We let \( \mathcal{S}_*= \) be the set of idempotent substitutions. A renaming \( \rho \) is a (non-idempotent) substitution which has an inverse \( \rho^{-1} \) such that \( \rho^{-1} \circ \rho = \rho \circ \rho^{-1} = \varepsilon \). The preorder \( \preceq \) on substitutions is \( \vartheta \preceq \sigma \) (\( \sigma \) “is more general than” \( \vartheta \)) if and only if there exists \( \sigma' \) such that \( \vartheta = \sigma' \circ \sigma \). The corresponding equivalence relation is \( \vartheta \simeq \vartheta' \) if and only if \( \vartheta \preceq \vartheta' \) and \( \vartheta' \preceq \vartheta \). \( \vartheta \simeq \vartheta' \) is the equivalence class of \( \vartheta \in \mathcal{S} \). \( \mathcal{J}/\simeq \triangleq \{ [\vartheta]_\simeq \mid \vartheta \in \mathcal{J} \} \) is the set of equivalence classes of \( \mathcal{J} \in \wp(\mathcal{S}) \). \( \mathcal{S}_*/\simeq \) is the set of idempotent substitutions considered up to renaming. \( \langle \mathcal{S}_*/\simeq, \preceq \rangle \) is a complete lattice [34]. It is a complete Heyting algebra when closed by instantiation.

Similarly for terms \( T \) and \( T' \), \( T \preceq T' \) (\( T' \) “is more general than” \( T \) or \( T \) “is an instance of” \( T' \)) if and only if there exists a substitution \( \vartheta \) such that \( \vartheta(T') = T \).
or equivalently $\text{inst}(T) \subseteq \text{inst}(T')$. The corresponding equivalence relation is term renaming that is $T \simeq T'$ if and only if $T \preceq T'$ and $T' \preceq T$. $\mathcal{T}/_\simeq$ is the set of equivalence classes $[T]_\simeq$, $T \in \mathcal{T}$ augmented with infimum $\emptyset$.

6 Unification

A substitution $\vartheta$ is a unifier of a set of terms $\mathcal{T} \in \wp(\ell)$ if and only if $\forall T, T' \in \mathcal{T} : \vartheta(T) = \vartheta(T')$ in which case $\mathcal{T}$ is said to be unifiable. A unifiable set of terms $\mathcal{T}$ has an idempotent most general unifier $\sigma$ which is unique up to renaming and we write $\text{mgu}(\mathcal{T}) = \{\sigma\}$. By convention, we let $\text{mgu}(\mathcal{T}) \triangleq \emptyset$ when $\mathcal{T}$ is not unifiable. This notion of unification with respect to a set of terms is equivalent to unification with respect to a set of equations $E \in \mathcal{E}$ of the form $T = U$ with $T, U \in \ell$ where $\mathcal{E} = \{T_i = U_i \mid i \in \Delta\}$ is unifiable if there exists a substitution $\vartheta$ such that $\forall i \in \Delta : \vartheta(T_i) \simeq \vartheta(U_i)$ in which case there exists a most general idempotent unifier $\text{mgu}(\mathcal{E})$ of $\mathcal{E}$, which is unique up to renaming. The set of equations corresponding to a substitution $\vartheta$ is $\mathcal{E}(\vartheta) \triangleq \{v = \vartheta(v) \mid v \in \text{dom}(\vartheta)\}$. The parallel composition of idempotent substitutions $\uparrow \in S/\simeq \times S/\simeq \mapsto \uparrow S/\simeq$ is $\vartheta \uparrow \sigma \triangleq \text{mgu}(\mathcal{E}(\vartheta) \cup \mathcal{E}(\sigma))$ [34], which corresponds to the least upper bound (lub) of classes of idempotent substitutions.

7 Labelled Transition Systems

A labelled transition system is a quadruple $\langle \mathcal{E}, \mathcal{L}, \rightarrow, I \rangle$ where $\mathcal{E}$ is a non-empty set of states $\eta$, $\mathcal{L}$ is a non-empty set of labels $\ell$, $\rightarrow \in \wp(\mathcal{E} \times \mathcal{L} \times \mathcal{E})$ is the transition relation and $I \subseteq \mathcal{E}$ is the set of initial states $\iota$. We write $\eta \xrightarrow{\ell} \eta'$ for $\langle \eta, \ell, \eta' \rangle \in \rightarrow$ and $\eta \not\rightarrow$ for $\forall \eta' \in \mathcal{E} : \langle \eta, \ell, \eta' \rangle \notin \rightarrow$.

8 Traces and maximal derivations

8.1 Finite Traces

A finite trace $\theta \in \Theta[n + 1]$ of length $|\theta| = n + 1$, $n \geq 0$, has the form $\theta = \eta_0 \xrightarrow{\ell_0} \eta_1 \ldots \xrightarrow{\ell_{n-1}} \eta_n$ whence it is a pair $\theta = \langle \underline{\theta}, \overline{\theta} \rangle$ where $\underline{\theta} \in [0, n] \mapsto \mathcal{E}$ is a nonempty finite sequence of states $\bar{\eta}_i = \eta_i$, $i = 0, \ldots, n$ and $\overline{\theta} \in [0, n-1] \mapsto \mathcal{L}$ is a finite sequence of labels $\bar{\ell}_j = \ell_j$, $j = 0, \ldots, n - 1$ (which is the empty sequence $\epsilon$ when $|\theta| = 1$).
A finite trace \( \theta \in \Theta^\ast \) is nonempty, finite, of any length so \( \Theta^\ast \triangleq \bigcup_{n \in [1,\infty]} \Theta[n] \).

The concatenation \( \theta \xrightarrow{\ell} \theta' \) of traces \( \theta \) and \( \theta' \) through label \( \ell \) is extended to sets. We also need the junction of sets of traces \( \Theta, \Theta' \in \wp(\Theta) \), as follows

\[
\Theta \uplus \Theta' \triangleq \{ \theta \xrightarrow{\ell} \eta \xrightarrow{\ell'} \theta' \mid \theta \xrightarrow{\ell} \eta \in \Theta \wedge \eta' \xrightarrow{\ell'} \theta' \in \Theta' \wedge \eta = \eta' \}.
\]

### 8.2 Maximal Derivations

A derivation of the labelled transition system \( S = \langle \mathcal{E}, \mathcal{L}, \rightarrow, \mathcal{I} \rangle \) is a trace \( \theta = \eta_0 \xrightarrow{\ell_0} \eta_1 \ldots \eta_{k-1} \xrightarrow{\ell_{k-1}} \eta_k \ldots \) generated by the transition system \( S \), that is \( \forall i \in [0,|\theta|]: \eta_i \xrightarrow{\ell_i} \eta_{i+1} \).

By abuse of notation, a state \( \eta \) is assimilated to the derivation \( \theta \in \Theta[1] \) such that \( \theta_0 = \eta \) and \( \theta = \epsilon \), while a transition \( \eta \xrightarrow{\ell} \eta' \) is assimilated to the derivation \( \theta \in \Theta[2] \) such that \( \theta_0 = \eta, \theta_0 = \ell \) and \( \theta_1 = \eta' \).

A prefix derivation of \( S = \langle \mathcal{E}, \mathcal{L}, \rightarrow, \mathcal{I} \rangle \) is a derivation of \( S \) starting with an initial state \( \eta_0 \in \mathcal{I} \). A suffix derivation of \( S \) is a derivation of \( S \) which is finite of length \( n = |\theta| \) and ending with an final state \( \forall \eta \in \mathcal{E} : \forall \ell \in \mathcal{L} : \neg(\eta_n \xrightarrow{\ell} \eta) \).

A maximal derivation of the labelled transition system \( S \) is both a prefix and a suffix derivation of \( S \).

### 9 Terminal Labelled Transition System of Prolog Programs

#### 9.1 Labels and Parentheses

We let \( \mathcal{L} \triangleq \mathcal{O} \cup \mathcal{C} \) be the set of labels \( \ell \in \mathcal{L} \) where \( \mathcal{O} \triangleq \{ |i:C/\sigma| i \in \mathfrak{A} \wedge C \in \mathbb{C} \wedge \sigma \in \mathbb{S} \} \) is the set of opening parentheses while \( \mathcal{C} \triangleq \{ i:C \} \mid C \in \mathbb{C} \wedge i \in \mathfrak{A} \) is the set of closing parentheses. A matching pair of parentheses \( |i:C/\sigma\ldots i:C| \) delimits a derivation for the labelled clause \( i:C \) instantiated by substitution \( \sigma \).

#### 9.2 Stacks

In the following we use the grammar LALR-based notation in [35] for sets of clauses. We let \( \varpi \in \mathcal{I} \triangleq \mathcal{K}^+ \) for a program \( P \in \mathbb{P} \) be non-empty.
sequences of control states \( \kappa \in \mathcal{K} \equiv \mathcal{C} \cup \mathcal{M} \) which are either a clause state in \( \mathcal{C} \equiv \{[i : A \leftarrow B, B'] \mid i : A \leftarrow B \text{ is } \not\in P \} \) specifying the control state of the derivation (\( B \) has been derived while \( B' \) is still to be derived) or a marker \( \mathcal{M} = \{[\vdash A], [\vdash \Box] \mid A \in \mathcal{A} \} \) where \([\vdash A] \) is the initial stack marker while \([\vdash \Box] \) is the final empty stack marker for the beginning (resp. the end) of a derivation for the initial question \( A \in \mathcal{A} \). The height of a stack \( \varpi \) is its length \( |\varpi|\).

9.3 States

We let states \( \eta \in \mathcal{E} \equiv \mathcal{I} \times \mathcal{S} \) be pairs \( \eta = \langle \varpi, \vartheta \rangle \) of a stack \( \varpi \) and a substitution \( \vartheta \). The stack \( \varpi \) specifies a return point, i.e., the corresponding clauses, after a procedure call for a clause while the substitution \( \vartheta \) is returned by the call.

9.4 PROLOG Labelled Transition System

Given a PROLOG program \( P \in \mathcal{P} \), we define a concrete labelled transition system \( \mathcal{S}^t[P] \equiv \langle \mathcal{E}, \mathcal{L}, \rightarrow^t, \mathcal{I} \rangle \) (akin to the Warren machine [36,37]). The set of initial states is \( \mathcal{I} \equiv \{[\vdash A], \vartheta \mid A \in \mathcal{A} \land \vartheta \in \mathcal{S} \} \) where \([\vdash A], \vartheta \) specifies the goal \( \vartheta(A) \) (most often \( \vartheta \) is chosen as the empty substitution \( \varepsilon \))\(^1\).

Let \( i : A \leftarrow B \in P \) means that \( i : A \leftarrow B \) is a clause of the PROLOG program \( P \) renamed/standardized apart using fresh variables [38]. The labelled transition relation \( \rightarrow^t, t \in \mathcal{L} \) is

\[
\langle [\vdash A], \vartheta \rangle \xrightarrow{\ell t} \langle [\vdash \Box][i : A' \leftarrow .B], \vartheta' \rangle
\]

if \( i : A' \leftarrow B \in P, \sigma \in \text{mgu}(\vartheta(A), A'), \vartheta' \in \sigma \uparrow \vartheta \) (2)

\[
\langle \varpi[i : A \leftarrow B, B'], \vartheta \rangle \xrightarrow{\ell t} \langle \varpi[i : A \leftarrow BB, B'], j : B' \leftarrow .B'', \vartheta' \rangle
\]

if \( i : A \leftarrow BB, j : B' \leftarrow B'', \sigma \in \text{mgu}(\vartheta(B), B'), \vartheta' \in \sigma \uparrow \vartheta \) (3)

\[
\langle \varpi[i : A \leftarrow B], \vartheta \rangle \xrightarrow{\ell t} \langle \varpi, \vartheta \rangle
\]

if \( i : A \leftarrow B \in P \). (4)

Examples of transitions \( \rightarrow^t \) are given in Ex. 2 below.

The intuition of (2) is that the goal \( \vartheta(A) \) is unified with the head \( A' \) of the renamed apart clause \( i : A' \leftarrow B \) of the PROLOG program by the most general substitution \( \sigma \) and so it remains to prove \( \sigma \uparrow \vartheta(B) \) so \([i : A' \leftarrow .B] \) is pushed on the stack and \( \sigma \uparrow \vartheta \) is recorded in the state. In particular for the empty

\(^1\) A conjunction of goals can be handled by adding a clause to the program.
substitution $\langle \lnot A, \varepsilon \rangle$ \xrightarrow{t} \langle \lnot \square[1], [1]i : A' \leftarrow .B, \sigma \rangle$ and it remains to prove $\sigma(B)$.

If and when the proof succeeds, the final marker $\lnot \square[2]$ on the stack will indicate that the proof is finished while the substitution $\vartheta''$ in the final state $\langle \lnot \square[2], \vartheta'' \rangle$ will be the answer substitution.

The intuition of (3) is that the subgoal $\vartheta(B)$ is unified with the head $B'$ of the renamed apart clause $j : B' \leftarrow B''$ of the PROLOG program by the most general substitution $\sigma$ and so it remains first to prove $\sigma \uparrow \vartheta(B'')$ so $[j : B' \leftarrow .B'']$ is pushed on the stack and $\sigma \uparrow \vartheta$ is recorded in the state, and second to prove $B'$ as indicated by the control state $[i : A \leftarrow BB.B']$ on the stack and finally to terminate the proof as indicated by the bottom $\varpi$ of the stack.

The intuition of (4) is that the proof of $B$ is finished and so the proof goes on as indicated by the bottom $\varpi$ of the stack.

The final states are either

- **answer substitution** states in $E^{AS} \triangleq \{ \langle \lnot \square[2], \vartheta \rangle \mid \vartheta \in S \}$ for successful traces, or

- **finite failure** states in $E^{FF} \triangleq \{ \langle \varpi \lbrack i : A \leftarrow BB.B' \rbrack, \vartheta \rangle \mid \forall j : B' \leftarrow B'' \in P : \text{mgu}(\vartheta(B), B') = \varnothing \}$ for failing traces.

10 Most General Maximal Terminal Derivation Semantics of Logic Programs

10.1 Maximal Derivations of Logic Programs

The maximal derivations of a PROLOG program $P \in \mathcal{P}$ are traces for the transition system $S^t[P] \triangleq \langle \mathcal{E}, \mathcal{L}, \rightarrow^t, \mathcal{I} \rangle$, as defined in Sec. 8.2.

**Example 2** A maximal derivation for the ground goal $n(s(s(0)))$ (the encoding of the natural number 2) as defined by the PROLOG program of Ex. 1 is:

\[
\langle \lnot n(s(s(0))), \varepsilon \rangle \\
\frac{\lbrack 1 : n(s(x)) \leftarrow n(x) / \{ x \leftarrow s(0) \} \rbrack}{t} \quad \text{\{initial state\}}
\]

\[
\langle \lnot \square[2][1]i : n(s(x)) \leftarrow n(x), \{ x \leftarrow s(0) \} \rangle \\
\frac{\lbrack 1 : n(s(x')) \leftarrow n(x') / \{ x' \leftarrow 0 \} \rbrack}{t} \quad \text{\{by (2)\}}
\]

\[
\langle \lnot \square[2][1]i : n(s(x)) \leftarrow n(x), \{ x \leftarrow s(0) \} \rangle \\
\frac{\lbrack 1 : n(s(x')) \leftarrow n(x') / \{ x' \leftarrow 0 \} \rbrack}{t} \quad \text{\{by (3)\}}
\]
Example 3 A maximal derivation for the most general non-ground goal \( n(x) \) as defined by the PROLOG program of Ex. 1 is (among many others):

\[
\begin{align*}
\langle \square, \{ x \leftarrow s(0), x' \leftarrow 0 \} \rangle \\
\langle \square, \{ x \leftarrow s(0), x' \leftarrow 0 \} \rangle \\
\langle \square, \{ x \leftarrow s(0), x' \leftarrow 0 \} \rangle \\
\langle \square, \{ x \leftarrow s(0), x' \leftarrow 0 \} \rangle
\end{align*}
\]
The selection of the traces in a set $\Theta \in \wp(\Theta)$ of traces for an atom $A \in \mathcal{A}$ is denoted $\Theta.A$ and defined as

$$\Theta.A \triangleq \{ \eta \xrightarrow{\ell_i} \theta \mid \eta \xrightarrow{\ell_{i-1}} A' \wedge \eta \in \Theta \wedge A \approx A' \wedge \eta \in \mathcal{E} \wedge \theta \in \Theta \} \quad (5)$$

and similarly the traces starting with a given state $\eta \in \mathcal{E}$ are denoted $\Theta.\eta$ defined as

$$\Theta.\eta \triangleq \{ \eta' \xrightarrow{\ell_i} \theta \mid \eta \approx \eta' \wedge \eta' \xrightarrow{\ell_i} \theta \wedge \eta \in \Theta \} . \quad (6)$$

### 10.2 Transitional Most General Maximal Derivation Semantics

The most general maximal derivation semantics $S^d[P] \in \wp(\Theta)$ of a Prolog program $P \in \mathcal{P}$ is the set of all possible maximal derivations for the concrete labelled transition system $S^t[P]$ of this program $P$ (defined by (2)–(4)) starting from most general goals $\{ p(v) \mid p \in \mathcal{P} \wedge v \in \mathcal{V} \}$.

$$S^d[P] \triangleq \{ \eta_0 \xrightarrow{\ell_0} \eta_1 \ldots \eta_{n-1} \xrightarrow{\ell_{n-1}} \eta_n \in \Theta [n+1] \mid n \geq 0 \wedge \eta_0 = ([\vdash p(v)], \emptyset) \wedge p \in \mathcal{P} \wedge v \in \mathcal{V} \wedge \forall i \in [0, n-1] : \eta_i \xrightarrow{\ell_i} \eta_{i+1} \wedge \forall \eta \in \mathcal{I} : \forall \ell \in \mathcal{L} : \neg(\eta_n \xrightarrow{\ell} \eta) \} . \quad (7)$$

By def. (2)–(4) of $\xrightarrow{\ell}$, a final state $\eta_f$ such that $\forall \eta \in \mathcal{I} : \forall \ell \in \mathcal{L} : \neg(\eta_f \xrightarrow{\ell} \eta)$ is an answer substitution state $\eta_f \in \mathcal{E}^{AS}$ (of the form $\eta_f = ([\vdash \vartheta], \vartheta)$ where $\vartheta$ is the computed answer) or is a finite failure state $\eta_f \in \mathcal{E}^{FF}$.

**Example 4** The trace for $n(x)$ for the Prolog program of Ex. 1 given in the Ex. 3 is a most general maximal derivation while the trace for $n(s(s(0)))$ given in the Ex. 2 is not. □

Semantic derivations are well-parenthesized so that the structure of computations can be described by trees. Let us define the parenthesis abstraction $\alpha^p$ as follows

$$\alpha^p(\varpi \varpi') \triangleq \alpha^p(\varpi') \alpha^p(\varpi), \quad \text{for stacks}$$

$$\alpha^p([\vdash A]) \triangleq \epsilon$$

$$\alpha^p([\vdash \Box]) \triangleq \epsilon$$

$$\alpha^p(\langle i : A \leftarrow B.B' \rangle) \triangleq \langle i : A \leftarrow BB' \rangle$$

$$\alpha^p(\langle i : A \leftarrow B/\sigma \rangle \triangleq \langle i : A \leftarrow B, \quad \text{for labels}$$

10
\[
\alpha^p(i:A \leftarrow B) \triangleq i:A \leftarrow B
\]

\[
\alpha^p(\langle w, \varphi \rangle) \triangleq \alpha^p(w), \quad \text{for states}
\]

\[
\alpha^p(\ell_0 \overset{\ell_0}{\rightarrow} \eta_1 \ldots \eta_{n-1} \overset{\ell_{n-1}}{\rightarrow} \eta_n) \triangleq \alpha^p(\ell_0)\alpha^p(\ell_1) \ldots \alpha^p(\ell_{n-1})\alpha^p(\eta_n) \quad \text{for traces.}
\]

**Example 5** The parenthesis abstraction of the following prefix of the maximal derivation given in Ex. 3 for the PROLOG program of Ex. 1 and the non-ground goal \(n(x)\)

\[
\langle [\neg n(x)], \varepsilon \rangle
\]

\[
\begin{array}{c}
\| 1:n(s(x')) \leftarrow n(x')/\{x\leftarrow s(x')\} \|_t \\
\| [\neg \Box][1:n(s(x')) \leftarrow n(x'), \{x \leftarrow s(x')\}] \|_t \\
\| 1:n(s(x'')) \leftarrow n(x'')/\{x'\leftarrow s(x'')\} \|_t \\
\| [\neg \Box][1:n(s(x')) \leftarrow n(x'), 1:n(s(x'')) \leftarrow n(x'')] \|_t \\
\| 1:n(s(x')) \leftarrow n(x') \|_t \\
\end{array}
\]

is

\[
\begin{array}{c}
\| 1:n(s(x')) \leftarrow n(x') \|_t \\
\| 1:n(s(x'')) \leftarrow n(x'') \|_t \\
\| 1:n(s(x')) \leftarrow n(x') \|_t \\
\end{array}
\]

\(\square\)

**Lemma 6** For any prefix derivation \(\theta\) of a program \(P\), \(\alpha^p(\theta) \in \mathbb{D}_{\mathcal{P}, \mathcal{G}}\) is a pure Dyck language.

**Proof** Let

\[
\theta = \langle [\neg A], \varepsilon \rangle \overset{\ell_0}{\rightarrow} \langle w_1, \vartheta_1 \rangle \ldots \langle w_{n-1}, \vartheta_{n-1} \rangle \overset{\ell_{n-1}}{\rightarrow} \langle w_n, \vartheta_n \rangle \in \mathbb{S}^d[P].
\]

The proof is by induction on the length of \(\theta\) so that we assume, by induction hypothesis, that \(\alpha^p(\langle [\neg A], \varepsilon \rangle \overset{\ell_0}{\rightarrow} \langle w_1, \vartheta_1 \rangle \ldots \langle w_{n-2}, \vartheta_{n-2} \rangle \overset{\ell_{n-2}}{\rightarrow} \langle w_{n-1}, \vartheta_{n-1} \rangle)\) is well-parenthesized.

By definition of \(\mathbb{S}^d[P]\), we have that \(w_{n-1} \neq [\neg \Box]\) so that \(w_{n-1}\) has the form \(w_{n-1} = [\neg A]\) or \(w_{n-1} = w[i:A \leftarrow B,B']\).

— In case 1, \(w_{n-1} = [\neg A]\), we have \(n = 1\) by definition of \(\overset{\ell}{\rightarrow}\) and so

\[
\langle w_{n-1}, \vartheta_{n-1} \rangle \overset{\ell_{n-1}}{\rightarrow} \langle w_n, \vartheta_n \rangle = \langle [\neg A], \varepsilon \rangle \overset{\| i:A' \leftarrow B/\varphi \|_t}{\rightarrow} \langle [\neg \Box][i:A' \leftarrow \cdot B], \sigma \rangle
\]

by (2) where \(i:A' \leftarrow B \in P\) and \(\sigma \in mgu(A, A').\) By definition of \(\mathbb{S}^d[P]\), we have
\[\alpha^p(\theta) = \alpha^p(([\square A], \varepsilon) \xrightarrow{1} ([\square A], \sigma)) \]
\[= \{ \mathit{i}: A' \leftarrow B/\sigma \mathit{i}: A' \leftarrow B/\sigma \}\]

which is well-parenthesized.

In case 2, \(\varpi_{n-1} = \varpi[i:A \leftarrow B.BB']\),

\[\langle \varpi_{n-1}, \vartheta_{n-1} \rangle \overset{\ell_{n-1}}{\rightarrow} \langle \varpi_n, \vartheta_n \rangle = \langle \varpi[i:A \leftarrow B.BB'], \vartheta \rangle \overset{\{j:B' \leftarrow B''/\sigma \varpi[i:A \leftarrow B.BB']\}}{\rightarrow} \langle \varpi[i:A \leftarrow B.BB'[j:B' \leftarrow B''], \vartheta' \rangle \]

by (3) where \(i:A \leftarrow B.BB', j:B' \leftarrow B'' \in P, \sigma \in \text{mgu}(\vartheta(B), B'), \vartheta' \in \sigma \uparrow \vartheta.\)
So \(\alpha^p(\varpi) = \alpha^p(\ell_0) \ldots \alpha^p(\ell_{n-1}) \alpha^p([j:B' \leftarrow B'')] \alpha^p([i:A \leftarrow B.BB']) \alpha^p(\varpi)\)
\(\alpha^p(\varpi) = \alpha^p(\ell_0) \ldots \alpha^p(\ell_{n-1}) \alpha^p([i:A \leftarrow B.BB']) \alpha^p(\varpi)\)
which is well-parenthesized if and only if \(\alpha^p(\ell_0) \ldots [i:A \leftarrow B.BB'] \alpha^p(\varpi)\)
is well-parenthesized, which is the case if and only if \(\alpha^p([i:A \leftarrow B.BB']) \varpi \overset{\ell_0}{\rightarrow} \langle \varpi_1, \vartheta_1 \rangle \ldots \langle \varpi_{n-1}, \vartheta_{n-1} \rangle\) is well-parenthesized, which is true by induction hypothesis.

In case 3, \(\varpi_{n-1} = \varpi[i:A \leftarrow B_*]\),

\[\langle \varpi_{n-1}, \vartheta_{n-1} \rangle \overset{\ell_{n-1}}{\rightarrow} \langle \varpi_n, \vartheta_n \rangle = \langle \varpi[i:A \leftarrow B_*], \vartheta \rangle \overset{i:A \leftarrow B_}\rightarrow \langle \varpi, \vartheta \rangle \]
by (4) where \(i:A \leftarrow B \in P.\) In this case, we have

\[\alpha^p(\theta) = \alpha^p(\ell_0) \ldots \alpha^p(\ell_{n-1}) \mathit{i}:A \leftarrow B \alpha^p(\varpi)\]
\[= \alpha^p(\ell_0) \ldots \alpha^p(\ell_{n-1}) \alpha^p([i:A \leftarrow B_*])\]
\[= \alpha^p([i:A \leftarrow B_*]) \varpi \overset{\ell_0}{\rightarrow} \langle \varpi_1, \vartheta_1 \rangle \ldots \langle \varpi_{n-1}, \vartheta_{n-1} \rangle\)

which is a pure Dyck language by induction hypothesis.

In particular, Lem. 6 implies that a maximal successful derivation \(\theta = \eta_0 \overset{\ell_0}{\rightarrow} \eta_1 \ldots \eta_{n-1} \overset{\ell_{n-1}}{\rightarrow} \eta_n\), \(\eta_n \in \mathcal{E}_{\text{AS}}\) of \(P\) is well-parenthesized in that \(\alpha^p(\theta) = \alpha^p(\ell_0) \alpha^p(\ell_1) \ldots \alpha^p(\ell_{n-1}) \in D_{\mathcal{E}_{\text{AS}}}\) is a pure Dyck language.

11 The Hierarchy of Abstractions

We define abstractions of sets of most general derivations to get classical semantics of PROLOG and logic programs.
11.1 The Partial Correctness Abstractions

The derivations in the most general maximal derivations semantics $S_d[P]$ have finite success and finite failure derivations. The partial correctness abstractions forget about finite failures.

11.1.1 Success Abstraction

The success abstraction eliminates finite failures

$$\alpha^{sd}(\Theta) \triangleq \{ \theta \xrightarrow{L} \langle \lnot \Box, \vartheta \rangle \mid \vartheta \in S \wedge \theta \xrightarrow{L} \langle \lnot \Box, \vartheta \rangle \in \Theta \}$$

Note that the instantiation of a failure (i.e., a failing derivation) is still a failure so no potential success behavior is eliminated but the instantiation of a potential finite success behavior might be a finite failure so not all instantiated finite failures might have been eliminated yet (see e.g. Sec. 11.2.1).

11.1.2 The Partial Correctness Abstraction Hierarchy

Defining the partial correctness semantics $S^{sd}[P] \triangleq \alpha^{sd}(S_d[P])$, we get the first dimension in our hierarchy of semantics:

11.2 The Derivation Instantiation Abstractions

The most general maximal derivation semantics $S_d[P]$ for most general goals $[\models p(v)]$, $p \in \mathcal{P}$, $v \in \mathcal{V}$ can be abstracted by instantiating the derivations by non-ground or ground substitutions.

11.2.1 The Derivation Non-Ground Instantiation Abstraction

The derivation instantiation abstraction maps derivations for most general goals to derivations for instantiations of these goals.
\[ \alpha^\text{id}(\langle \varpi, \vartheta \rangle) \sigma \triangleq \langle \varpi, \vartheta', b \rangle \]

where \( b = (\vartheta' \in \vartheta \uparrow \sigma) \)

\[ \alpha^\text{id}(\langle \lnot \sigma(p(v)) \rangle) \sigma \triangleq \langle \lnot \sigma(p(v)) \rangle, \sigma \]

let \( \langle \eta'_2, b \rangle = \alpha^\text{id}(\eta_2) \sigma \) in

\[ \alpha^\text{id}(\eta_1 \begin{array}{c} \frac{1 \colon A \to B}{\vartheta} \end{array} t \eta_2 \xmapsto{\ell} \theta) \sigma \triangleq \eta_1 \begin{array}{c} \frac{1 \colon A \to B}{\vartheta} \end{array} t \alpha^\text{id}(\eta'_2 \xmapsto{\ell} \theta) \sigma \]

if \( b \land \vartheta' \in \vartheta \uparrow \sigma \)

if \( \neg b \lor \vartheta' \notin \vartheta \uparrow \sigma \)

\[ \alpha^\text{id}(\eta_1 \begin{array}{c} \frac{1 \colon A \to B}{\vartheta} \end{array} t \langle [ \lnot \Box ], \vartheta \rangle) \sigma \triangleq \eta_1 \begin{array}{c} \frac{1 \colon A \to B}{\vartheta} \end{array} t \langle [ \lnot \Box ], \vartheta' \rangle \]

if \( \vartheta' \in \vartheta \uparrow \sigma \)

if \( \vartheta' \notin \vartheta \uparrow \sigma \)

\[ \alpha^\text{id}(\Theta) \triangleq \{ \alpha^\text{id}(\theta) \sigma \mid \theta \in \Theta \land \sigma \in S \} \]

The initial substitution is propagated along traces unless some instantiation fails along the trace, in which case the trace is truncated, now finishing in a finite failure.

**Example 7** The Prolog program

0: \( n(0) \leftarrow \)

1: \( n(s(x)) \leftarrow n(x) \)

2: \( p(a) \leftarrow \)

has the following most general derivation

\[ \langle \lnot n(x), \varepsilon \rangle \]

\[ \langle [ \lnot \Box ][1 \colon n(s(x')) \leftarrow n(x'), \{ x \leftarrow s(x') \} \rangle \]

\[ \begin{array}{c} \frac{1 \colon n(s(x')) \leftarrow n(x')}{x \leftarrow s(x')} \end{array} t \]

\[ \langle [ \lnot \Box ][1 \colon n(s(x')) \leftarrow n(x'), \{ x \leftarrow s(x') \} \rangle \]

\[ \begin{array}{c} \frac{1 \colon n(s(x'')) \leftarrow n(x'')}{x \leftarrow s(x'')} \end{array} t \]

\[ \langle [ \lnot \Box ][1 \colon n(s(x')) \leftarrow n(x'), \{ x \leftarrow s(x') \} \rangle \]

\[ \begin{array}{c} \frac{1 \colon n(s(x'')) \leftarrow n(x''), \{ x \leftarrow s(x'), x' \leftarrow s(x'') \} \end{array} t \]
The instance for the substitution \( \{ x \mapsto s(a) \} \) leads to the following finite failure

\[
\langle \neg \Box \rangle \, \{ 1 : n(s(x')) \leftarrow n(x'), 1 : n(s(x'')) \leftarrow n(x''), 1:n(0) \leftarrow . \},
\{ x \leftarrow s(x'), x' \leftarrow s(x''), x'' \leftarrow 0 \} \rangle
\]

\[
\text{1:n(0)--)t}
\]

\[
\langle \neg \Box \rangle \, \{ 1 : n(s(x')) \leftarrow n(x'), 1 : n(s(x'')) \leftarrow n(x''), 1:n(0) \leftarrow . \},
\{ x \leftarrow s(x'), x' \leftarrow s(x''), x'' \leftarrow 0 \} \rangle
\]

\[
\text{1:n(s(x''))--n(x'')}) \, t}
\]

\[
\langle \neg \Box \rangle \, \{ 1 : n(s(x')) \leftarrow n(x'), 1 : n(s(x'')) \leftarrow n(x''), 1:n(0) \leftarrow . \},
\{ x \leftarrow s(x'), x' \leftarrow s(x''), x'' \leftarrow 0 \} \rangle
\]

since \( \{ x' \leftarrow a \} \uparrow \{ x' \leftarrow s(x'') \} = \emptyset \).

More generally, the instantiation of a finite success or finite failure can lead to an earlier finite failure.

### 11.2.2 The Derivation Ground Instantiation Abstraction

The derivation ground instantiation abstraction maps derivations for non-ground goals to derivations for ground instantiations of these goals. The initial ground substitution \( \sigma \in \mathcal{S} \) is propagated along traces unless the instantiation fails in which case the trace is ignored.

\[
\alpha^{gd}(\Theta) \equiv \{ \alpha^{id}(\theta) \sigma \mid \theta \in \Theta \land \sigma \in \mathcal{S} \}
\]

Since program clauses are replaced by their ground instantiations, it is no longer necessary to keep track of substitutions\(^2\).

\(^2\) In the following we use the above definition of ground derivations with (useless) substitutions so as not to have to consider the particular case where these substitutions are dropped. So non-ground and ground derivations can be handled uniformly.
α′gd((ω, ϑ))σ ≜ (ω, b) \quad \text{where} \quad b = (ϑ' ∈ ϑ ↗ σ)

let (ω₂', b) = α′gd(η₂)σ in

\[ α''gd(⟨\lbrack \vdash p(v)\rbrack, ε⟩)σ \triangleq [\vdash σ(p(v))] \]

\[ α''gd(\omega₁ \esimal{\vdash \lbrack \top \vdash A \rightarrow B \rightleftharpoons ϑ} \eta₂ \rightarrow \theta)σ \triangleq \omega₁ \esimal{\vdash \lbrack \top \vdash A \rightarrow B \rightleftharpoons ϑ'} \alpha''gd(\omega₂' \rightarrow \theta)σ \quad \text{if } b ∧ ϑ' ∈ ϑ ↗ σ \]

\[ \triangleq \omega₁ \quad \text{if } ¬b \lor ϑ' ∉ ϑ ↗ σ \]

\[ α''gd(\omega₁ \esimal{\vdash \lbrack \top \vdash A \rightarrow B \rightleftharpoons ϑ} \eta₂ \rightarrow \theta)σ \triangleq \omega₁ \esimal{\vdash \lbrack \top \vdash A \rightarrow B \rightleftharpoons ϑ'} \alpha''gd(\omega₂' \rightarrow \theta)σ \quad \text{if } b \]

\[ \triangleq \omega₁ \quad \text{if } ¬b \]

\[ α''gd(\omega \esimal{\vdash \lbrack \top \vdash A \rightarrow B \rightleftharpoons ϑ} \eta₂ \rightarrow \theta)σ \triangleq \omega \esimal{\vdash \lbrack \top \vdash A \rightarrow B \rightleftharpoons ϑ'} \alpha''gd(\omega₂' \rightarrow \theta)σ \quad \text{if } b \land ϑ' ∈ ϑ ↗ σ \]

\[ \triangleq \omega \quad \text{if } ¬b \lor ϑ' ∉ ϑ ↗ σ \]

\[ α''gd(Θ) ≜ \{ α''gd(\theta)σ \mid \theta ∈ Θ \land σ ∈ S \} \]

11.2.3 The Derivation Instantiation Abstraction Hierarchy

By instantiating most general maximal derivation semantics, we get a second dimension in our hierarchy of semantics relative to the degree of instantiation of the initial goal.

\[ S^{gd}[P] \quad \text{ground} \]

\[ α^{gd} \]

\[ S^{id}[P] \quad \text{instantiated/non-ground} \]

\[ α^{id} \]

\[ S^{d}[P] \quad \text{most general} \]

Of course, this can be combined with partial correctness abstractions. For example Herbrand models abstract away from finite failures and are relative to ground derivations only.
11.3 The Computational Information Abstractions

A third dimension abstracts away from the detailed information gathered by derivations on the computations. The abstraction below gets rid of information on computation, independently of partial correctness and instantiation abstractions, so it is a third dimension in the hierarchy of abstractions. Not all possible computational information abstractions have been considered here, our aim is to provide a small representative panel only.

11.3.1 The SLD-abstraction

The SLD-abstraction records the set of derivations for a goal in the form of a SLD-tree (as in [39,28] but keeping in addition the answer substitution). We encode trees in parenthesized form through a prefix traversal

so that the syntax of SLD-trees $\xi \in \Xi$ is $(n \geq 1)$

$$\xi ::= \leftarrow B/\sigma \left[ i_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n : A_n \leftarrow B_n/\vartheta_n \xi_n \right] \quad \text{SLD derivation}$$

$$| \leftarrow B/\sigma [] \quad \text{failure}$$

$$| \leftarrow C[] \quad \text{success}$$

The contradiction $[]$ in the refutation contains the answer substitution $\sigma$. A forest is an indexed family $\langle \xi_i, i \in \Delta \rangle$ of SLD-trees $\xi_i, i \in \Delta$. They naturally arise in a PROLOG interpreter when considering a sequence of goals (instead of a set of goals).

The SLD-abstraction collects the nodes of the SLD-tree from the states of traces.

$$\alpha^K([\vdash A], \vartheta) \triangleq \leftarrow \vartheta(A)/\vartheta$$

$$\alpha^K(\langle \varpi, \vartheta \rangle) \triangleq \leftarrow \langle \alpha^K(\langle \varpi, \vartheta \rangle), \vartheta \rangle$$
$\alpha^K$ collects pending subgoals in inverse order on the stack.

$$\alpha^K(\langle \varpi[i:A \leftarrow \mathbf{B} \mathbf{B}', \vartheta] \rangle) \triangleq \vartheta(\mathbf{B} \mathbf{B}') \alpha^K(\langle \varpi, \vartheta \rangle)$$

$$\alpha^K(\langle [\sqcup], \vartheta \rangle) \triangleq \varepsilon$$

The SLD-trees are built from traces by grouping their common prefixes in the order of the PROLOG program clauses.

$$\alpha^K(\Theta) \triangleq \{ \alpha^K(\eta)[i_1: \ell_1 \alpha^K(\Theta_1); \ldots; i_n: \ell_n \alpha^K(\Theta_n)] \mid \eta \in \mathcal{E} \land i_1 < \ldots < i_n \land \Theta.\eta = \bigcup_{k=1}^{n} \Theta_k \land \forall k \in [1,n]: \Theta_k = \{ \theta \mid \eta \xrightarrow{\{ i_k: \ell_k \}} \theta \in \Theta.\eta \} \neq \emptyset \} \cup \alpha^K(\{ \theta \mid \eta \xrightarrow{i.c.} \theta \in \Theta \}) \cup \{ [\square] \} \mid \exists \vartheta : (\langle \sqcup \rangle, \vartheta \rangle \in \Theta \} .$$

Example 8 An SLD-derivation tree for the PROLOG program of Ex. 1 is

\[
\begin{align*}
\text{n(s(s(x)))}/\varepsilon & \\
1 : \text{n(s(x1))} \leftarrow \text{n(x1)} & \\
& \{x1 \leftarrow \text{s(x)}\} \\
\text{n(s(x1))}/\{x1 \leftarrow \text{s(x)}\} & \\
1 : \text{n(s(x2))} \leftarrow \text{n(x2)} & \\
& \{x2 \leftarrow x, x \leftarrow x\} \\
\text{n(x2)}/\{x1 \leftarrow \text{s(x)}, x2 \leftarrow x, x \leftarrow x\} & \\
0 : \text{n(0)} \leftarrow & \\
& \{x2 \leftarrow 0\} \\
& \{x2 \leftarrow x, x \leftarrow x, x \leftarrow x\} & \\
\text{n(x3)}/\{x1 \leftarrow \text{s(x)}, x2 \leftarrow x, x \leftarrow x, x2 \leftarrow \text{s(x3)}\} & \\
0 : \text{n(0)} \leftarrow & \\
& \{x3 \leftarrow 0\} \\
& \{x1 \leftarrow \text{s(x)}, x2 \leftarrow x, x \leftarrow x, x2 \leftarrow \text{s(x3)}, x3 \leftarrow 0\} & \\
\text{n(x3)}/\{x1 \leftarrow \text{s(x)}, x2 \leftarrow x, x \leftarrow x, x2 \leftarrow \text{s(x3)}, x3 \leftarrow 0\} & \\
1 : \text{n(s(x4))} \leftarrow \text{n(x4)} & \\
& \{x3 \leftarrow \text{s(x4)}\} \\
& \ldots \\
\end{align*}
\]

$\alpha^K$ can be easily extended to ground derivations as was done in Sect. 11.2 for traces.
11.3.2 The Prolog abstraction

The Prolog abstraction abstracts a forest \( \langle \xi_i, i \in \Delta \rangle \) of SLD-trees \( \xi_i, i \in \Delta \) into the set of execution traces corresponding to a depth-first traversal of these SLD-trees \( \xi_i \) (as in the Prolog interpreter [40]). SLD-trees may have infinite branches so the execution sequence, defined by transfinite recursion, may be transfinite (and is truncated to \( \omega \) by Prolog interpreters, which is a further abstraction).

\[
\alpha^C(\langle \xi_i, i \in \Delta \rangle) \triangleq \langle \alpha^C(\xi_i), i \in \Delta \rangle
\]

\[
\alpha^C(\begin{array}{c}
\leftarrow B/\sigma
\end{array}[i_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots ; i_n : A_n \leftarrow B_n/\vartheta_n \xi_n]) \triangleq \\
\begin{array}{c}
\leftarrow B/\sigma
\end{array}[i_1 : A_1 \leftarrow B_1/\vartheta_1 \alpha^C(\xi_1) \ldots i_n : A_n \leftarrow B_n/\vartheta_n \alpha^C(\xi_n)
\]
\]

\[
\alpha^C(\begin{array}{c}
\leftarrow B/\sigma
\end{array}[]) \triangleq \epsilon
\]

\[
\alpha^C(\begin{array}{c}
[]
\end{array}[]) \triangleq \sigma
\]

11.3.3 The cut abstraction

Many Prolog implementations have a cut to trigger backtracking. Programs can have cuts (denoted !) on the right-handside of clauses. We assume cuts are kept “as is” in clauses by the transitional and maximal derivation semantics and by the SLD tree abstraction.

The cut abstraction \( \alpha^{\text{ln}} \) abstracts a forest \( \langle \xi_i, i \in \Delta \rangle \) of SLD-trees \( \xi_i, i \in \Delta \) into a (transfinite) execution sequence corresponding to a depth-first traversal of these SLD-trees \( \xi_i \) with cut (as in the Prolog interpreter [41]). If the program has no cut, \( \alpha^{\text{ln}} \) boils down to \( \alpha^C \).

\[
\alpha^{\text{ln}}(\langle \xi_i, i \in \Delta \rangle) \triangleq \langle \alpha^{\text{ln}}(\xi_i), i \in \Delta \rangle
\]

We use \( \alpha^{\text{ln}} \) for non-deterministic traversal of the SLD-trees with backtracking. In nondeterministic mode, the SLD-tree is traversed in depth-first order, top-down, left to right.

\[
\alpha^{\text{ln}}(\begin{array}{c}
\leftarrow B/\sigma
\end{array}[]) \triangleq \epsilon
\]

\[
\alpha^{\text{ln}}(\begin{array}{c}
[]
\end{array}[]) \triangleq \sigma
\]
\[ \alpha^n [i_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n : A_n \leftarrow B_n/\vartheta_n \xi_n] \]
\[ \triangleq [i_1 : A_1 \leftarrow B_1/\vartheta_1 \alpha^n(\xi_1) \ldots i_n : A_n \leftarrow B_n/\vartheta_n \alpha^n(\xi_n)] \quad \text{if } i \notin B \]

We go into deterministic traversal mode the first time a clause with a cut is encountered in nondeterministic traversal mode. We use \( \alpha^{id} \) for deterministic traversal of the SLD-trees with backtracking cut after the first success.

\[ \alpha^n [i_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n : A_n \leftarrow B_n/\vartheta_n \xi_n] \]
\[ \triangleq \text{let } \langle \pi, f \rangle = \alpha^{id}(\text{top}, [i_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n : A_n \leftarrow B_n/\vartheta_n \xi_n]) \text{ in } \pi \]

The deterministic depth-first traversal of the SLD-tree with \( \alpha^{id} \) goes top-down, left to right until the first success. The deterministic traversal abstraction \( \alpha^{id} \) returns failure if resolution failed and success when it succeeded so as to keep track of failures until the first success.

The deterministic traversal abstraction \( \alpha^{id} \) has a marker parameter \( \ell = \text{top} \) or \( \text{below} \) to distinguish the level of the first encountered clause with a cut. The level marker \( \ell = \text{top} \) is used in deterministic mode when the first cut is encountered. The level marker \( \ell \) is then set to \( \text{below} \) when traversing the SLD-trees at lower levels.

\[ \alpha^{id}(\ell, B/\sigma) \triangleq (\epsilon, \text{failure}) \]

\[ \alpha^{id}(\ell, \square) \triangleq (\sigma, \text{success}) \]

\[ \alpha^{id}(\ell, [i_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n : A_n \leftarrow B_n/\vartheta_n \xi_n]) \]
\[ \triangleq \text{let } \langle \langle \pi_i, f_i \rangle, i = 1, \ldots, n \rangle \triangleq \langle \alpha^{id}(\text{below}, \xi_i), i = 1, \ldots, n \rangle \text{ in } \]
\[ \text{if } \bigwedge_{i=1}^n (f_i = \text{failure}) \text{ then } \langle \leftarrow B/\sigma \rangle i_1 : A_1 \leftarrow B'_1/\vartheta_1 \pi_1 \ldots i_n : A_n \leftarrow B'_n/\vartheta_n \pi_n, \text{failure} \rangle \]
\[ \text{else } \]
\[ \langle \leftarrow B/\sigma \rangle i_1 : A_1 \leftarrow B'_1/\vartheta_1 \pi_1 \ldots i_k : A_k \leftarrow B'_k/\vartheta_k \pi_k, \text{success} \rangle \]
where \( \bigwedge_{i=1}^k (f_i = \text{failure}) \land (f_k = \text{success}) \)
We go on in deterministic mode at lower levels where cuts are ignored. We also go on in deterministic mode at top level before the last cut. Indeed all cuts but the last one in the righthand side of a clause are useless hence ignored.

if ($\ell = \text{top} \implies ! \in B$) then

$$\alpha^{\text{id}}(\ell, \overleftarrow{!B/\sigma} [i_1: A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n: A_n \leftarrow B_n/\vartheta_n \xi_n])$$

$$\triangleq \alpha^{\text{id}}(\ell, \overleftarrow{B/\sigma} [i_1: A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n: A_n \leftarrow B_n/\vartheta_n \xi_n])$$

We go back in nondeterministic traversal mode after the last cut in the top level clause.

if $! \notin B$ then

$$\alpha^{\text{id}}(\text{top}, \overleftarrow{!B/\sigma} [i_1: A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n: A_n \leftarrow B_n/\vartheta_n \xi_n])$$

$$\triangleq \langle \alpha^{\text{ln}}(\overleftarrow{B/\sigma} [i_1: A_1 \leftarrow B_1/\vartheta_1 \xi_1; \ldots; i_n: A_n \leftarrow B_n/\vartheta_n \xi_n]), \neg \rangle$$

Therefore the SLD-tree is traversed in depth-first order, top-down, left to right in nondeterministic mode with backtracks until a clause containing a cut is encountered. The SLD-tree traversal goes on with that clause in deterministic mode without backtrack and goes back to nondeterministic mode only after the last cut of the first clause with a cut encountered in the SLD-tree nondeterministic traversal.

**Example 9** The cut semantics of the following program

```
0: p(x, y) ← q(x) ! r(y)
1: q(a) ←
2: q(b) ←
3: r(c) ←
4: r(d) ←
```

contains exactly the two following executions

- \( \overleftarrow{p(x, y)/\varepsilon} 0: p(x', y') \leftarrow q(x') ! r(y')/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y\} \)
- \( \overleftarrow{q(x')/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y\}} 1: q(a) \leftarrow/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y, x' \leftarrow a\} \)
- \( \overleftarrow{r(y')/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y, x' \leftarrow a\}} 3: r(c) \leftarrow/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y, x' \leftarrow a\} \)
- \( \overleftarrow{p(x, y)/\varepsilon} 0: p(x', y') \leftarrow q(x') ! r(y')/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y\} \)
- \( \overleftarrow{q(x')/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y\}} 1: q(a) \leftarrow/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y, x' \leftarrow a\} \)
- \( \overleftarrow{r(y')/\{x \leftarrow x', x' \leftarrow x, y \leftarrow y', y' \leftarrow y, x' \leftarrow a\}} 4: r(d) \leftarrow \)
11.3.4 Lazy backtracking

Some implementations of PROLOG like the Ciao Prolog System [42] have lazy backtracking meaning that the system will backtrack only as necessary to obtain one solution (at the top level) and will not look for more solutions. This lazy backtracking abstraction $\alpha^l$ abstracts a forest $\langle \xi_i, i \in \Delta \rangle$ of SLD-trees $\xi_i$, $i \in \Delta$ into a (transfinite) execution sequence corresponding to a depth-first traversal of these SLD-trees $\xi_i$ until the first success at the top-level

\[
\alpha^l(\langle \xi_i, i \in \Delta \rangle) \triangleq \langle \text{let } \langle \pi, - \rangle = \alpha^d\text{(top, } \xi_i) \text{ in } \pi, i \in \Delta \rangle. 
\]

**Example 10** The lazy backtracking semantics of the program of Ex. 9 contains only the first of the two executions.

11.3.5 The BF-semantics

The breadth-first abstraction explores the forest $\langle \xi_i, i \in \Delta \rangle$ by traversal of each tree $\xi_i, i \in \Delta$ in the forest level by level.

\[
\alpha^B(\langle \xi_i, i \in \Delta \rangle) \triangleq \langle \alpha^B(\xi_i), i \in \Delta \rangle \alpha^B(\langle \alpha^B(\xi_i), i \in \Delta \rangle)
\]

(where concatenation of sequences is denoted by juxtaposition). The exploration of the roots

\[
\alpha^B(\left[ \left[ i_1 : A_1 \leftarrow B_1/\sigma \right] ; \ldots ; i_n : A_n \leftarrow B_n/\sigma \right] \right] \triangleq \left[ \left[ i_1 : A_1 \leftarrow B_1/\sigma \right] ; \ldots ; i_n : A_n \leftarrow B_n/\sigma \right] \right]
\]

\[
\alpha^B(\left[ \left[ \right] \right] ) \triangleq \epsilon
\]

is followed by the breadth-first exploration of the sons of each tree $\xi_i, i \in \Delta$

\[
\alpha^B(\left[ \left[ i_1 : A_1 \leftarrow B_1/\sigma \right] ; \ldots ; i_n : A_n \leftarrow B_n/\sigma \right] \right] ) \triangleq \xi_1 \ldots \xi_n
\]

11.3.6 The call-patterns abstraction

The call-patterns abstraction collects the goal, call-patterns and the answer substitution for each derivation, including those leading to finite failures [43].
\[ \alpha^p(\xi_i, i \in \Delta) \triangleq \bigcup \{ \alpha^p(\xi_i) \mid i \in \Delta \} \]  
SLD derivation forest

\[ \alpha^p(\leftarrow A/\sigma \left[ \xi_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1 ; \ldots ; \xi_n : A_n \leftarrow B_n/\vartheta_n \xi_n \right] \right) \triangleq \]  
SLD tree

\[ \alpha^p(\leftarrow A/\sigma \left[ \xi_1 : A_1 \leftarrow B_1/\vartheta_1 \xi_1 ; \ldots ; \xi_n : A_n \leftarrow B_n/\vartheta_n \xi_n \right] ) (\sigma(A)) \triangleq \]  

\[ \{ \langle \sigma(A'), \sigma(B) \rangle \} \cup \bigcup_{i=1}^{n} \alpha^p(\xi_i)(A') \]

\[ \alpha^p(\leftarrow B/\sigma \emptyset) A' \triangleq \emptyset \]  
failure

\[ \alpha^p(\leftarrow B/\sigma \emptyset) A' \triangleq \{ \langle \sigma(A'), [\bot] \rangle \} \]  
success.

Combining with the \( \alpha^K \) abstraction, this can also be understood as the following abstraction of the derivation semantics

\[ \alpha^p(\Theta) \triangleq \bigcup \{ \alpha^p(\theta) \mid \theta \in \Theta \} \]

\[ \alpha^p(\langle \leftarrow [\bot] A, \vartheta \rangle ) \triangleq \bigcup \{ \langle \vartheta(A), \vartheta(A) \rangle \} \cup \alpha^p(\theta) \vartheta(A) \]

\[ \alpha^p(\langle \leftarrow \mathrm{B.BB'}, \vartheta \rangle ) \triangleq \bigcup \{ \langle \vartheta(A'), \vartheta(B) \rangle \} \cup \alpha^p(\theta) A' \]

The above abstraction defines success/correct call patterns since finite failure are disregarded. An alternative is to consider failure call patterns by redefining

\[ \alpha^p(\langle \leftarrow \mathrm{B.BB'}, \vartheta \rangle ) A' \triangleq \emptyset \]  
failure

where \([\bot]!\] marks failure.

**Example 11** For the following Prolog programs, we have
11.3.7 The Model Abstraction

The model abstraction collects answers in the call patterns

\[ \alpha^m(K) \triangleq \{ A \in \mathbb{A} \mid \langle A, [-\square] \rangle \in K \} \]

Example 12 For Ex. 11, we have

\[ S^m[P] \triangleq \{ p(a), p(x), q(a), q(x) \} \quad S^m[P'] \triangleq \{ p(x), q(x) \} \]

11.3.8 The Computational Information Abstraction Hierarchy

The third dimension in the hierarchy is the following

- lazy
- cut
- breadth-first
- PROLOG
- models
- call patterns
- SLD-trees
- derivations
where the composition of partial correctness abstractions with $\alpha^C$ leads to non-computable semantics but are useful when reasoning on program implementations).

11.4 The Hierarchy of Abstractions and Semantics

The combination of the instantiation abstraction of Sec. 11.2.3 and the information abstraction of Sec. 11.3.8 yields to the two-dimensional hierarchy of abstractions of Fig. 1. Missing in the picture is the partial correctness third abstraction dimension of Sec. 11.1.2.

Fig. 1. The hierarchy of maximal abstractions

By applying this hierarchy of abstractions to the most general maximal derivation semantics $S^d[P]$, we get the hierarchy of maximal semantics given in Fig. 2. Classical examples in the hierarchy of semantics is given in Fig. 3, some of which are detailed below.

11.4.1 The $s$-semantics

The $s$-semantics $S^s[P]$ provides computed answers [46]:

$$S^s[P] \triangleq \alpha^s(S^d[P])$$
Fig. 2. The hierarchy of maximal semantics

\[ S_d^H[P] \triangleq \alpha_m(\alpha^K(\alpha^{sd}(S_d[P]))) \]  
minimal Herbrand-model semantics (logical consequences) of Maarten van Emden and Robert Kowalski [1]

\[ S_c^c[P] \triangleq \alpha_m(\alpha^K(\alpha^{sd}(\alpha^{id}(S_d[P]))) \)  
c-semantics (correct answer substitutions) of Keith Clark [44,45]

\[ S_s^s[P] \triangleq \alpha_m(\alpha^K(\alpha^{sd}(S_d[P]))) \)  
s-semantics (computed answer substitutions) of Giorgio Levi [46]

\[ S_p^p[P] \triangleq \alpha^K(\alpha^{sd}(S_d[P])) \)  
correct call patterns of Maurizio Gabbrielli and Roberto Giacobazzi [43]

\[ S_p^p[P] \triangleq \alpha^K(S_d[P]) \)  
call patterns of Maurizio Gabbrielli, Giorgio Levi and Maria Chiara Meo [47]

\[ S_p^m[P] \triangleq \alpha^K(S_d[P]) \)  
maximal SLD-trees of Robert Kowalski [39,28]

Fig. 3. Examples of classical semantics in the hierarchy

where \( \alpha^{ds} \triangleq \alpha^m \circ \alpha^p \circ \alpha^K \circ \alpha^{sd} \) is

\[ \alpha^{ds}((\{[-\ p(v)]\), \varepsilon) \xrightarrow{\ell} \theta \xrightarrow{\ell^t} (\{\square\}, \vartheta)) = \{\vartheta(p(v))\} \quad \theta \in \Theta^* \]

\[ \alpha^{ds}(\Theta) = \bigcup\{\alpha^{ds}(\theta) \mid \theta \in \Theta\} \]

The ordering of the program clauses is lost as well as the finite failures and infinite behaviors.

**Example 13** For both Prolog programs of **Ex. 11**, we have
11.4.2 The c-semantics

The c-semantics $S^c[P]$ provides correct answers [44,45]

$$S^c[P] \triangleq \{ p(a), p(x), q(a), q(x) \} \quad S^c[P'] \triangleq \{ p(x), q(x) \}$$

where $\alpha^{dc} \triangleq \alpha^m \circ \alpha^p \circ \alpha^K \circ \alpha^{sd} \circ \alpha^{id}$ is

$$\alpha^{dc}([\vdash p(v)], \varepsilon) \frac{\ell}{\ell^*} \theta \frac{\ell^*}{\ell^*} ([\neg \Box], \vartheta)) = \{ \sigma(\vartheta(p(v))) \mid \sigma \in S \} \quad \theta \in \Theta^*$$

$$\alpha^{dc}(\Theta) = \bigcup \{ \alpha^{dc}(\theta) \mid \theta \in \Theta \}$$

Example 14 For both Prolog programs of Ex. 11, we have

$$S^c[P] \triangleq S^c[P'] \triangleq \{ p(a), p(x), q(a), q(x) \}$$

11.4.3 The H-semantics

The H-semantics $S^H[P]$ provides the least Herbrand model of the Prolog program $P$ [1]

$$S^H[P] \triangleq \alpha^{dH}(S^d[P])$$

where $\alpha^{dH} \triangleq \alpha^m \circ \alpha^p \circ \alpha^K \circ \alpha^{sd} \circ \alpha^{gd}$ is

$$\alpha^{dH}([\vdash p(v)], \varepsilon) \frac{\ell}{\ell^*} \theta \frac{\ell^*}{\ell^*} ([\neg \Box], \vartheta)) = \{ \sigma(\vartheta(p(v))) \mid \sigma \in S \} \quad \theta \in \Theta^*$$

$$\alpha^{dH}(\Theta) = \bigcup \{ \alpha^{dH}(\theta) \mid \theta \in \Theta \}$$

Example 15 For both Prolog programs of Ex. 13, we have

$$S^H[P] \triangleq \{ p(a), q(a) \}$$
12 Fixpoint Bottom-Up Semantics

We now show that the bottom-up most general maximal derivation semantics can be expressed in fixpoint form. Because this property is preserved by abstraction, all semantics in the hierarchy of bottom-up semantics can also be expressed in fixpoint form, a property which, by further abstractions, can be exploited in static program analysis.

12.1 Inlaying

For the recursive inlay of a derivation into another one, we need the operation

\[
\langle \varpi, \varpi', \varsigma \rangle \uparrow^d \langle \lceil - \rceil A, \sigma_0 \rangle \xrightarrow{\ell_0} \langle \lceil - \rceil \varpi_1, \sigma_1 \rangle \ldots \langle \lceil - \rceil \varpi_n, \sigma_n \rangle \xrightarrow{\ell_n} \langle \lceil - \rceil, \sigma_{n+1} \rangle
\]

where the application of the substitution expression to the trace is defined as

\[
\varsigma(\langle \varpi_0, \sigma_0 \rangle \xrightarrow{\ell_0} \langle \varpi_1, \sigma_1 \rangle \ldots \langle \varpi_n, \sigma_n \rangle \xrightarrow{\ell_n} \langle \varpi_{n+1}, \sigma_{n+1} \rangle) =
\]

\[
\begin{align*}
\text{if } & \sigma_0 \uparrow \varsigma = \emptyset \\
\triangleq & \varsigma(\langle \varpi_0, \sigma_0 \rangle \xrightarrow{\ell_0} \langle \varpi_1, \sigma_1 \rangle \ldots \langle \varpi_k, \sigma_k \rangle \xrightarrow{\ell_k} \langle \varpi_{k+1}, \sigma_{k+1} \rangle)
\end{align*}
\]

with standardization apart, and

\[
\langle \varpi, \varpi', \varsigma \rangle \uparrow^d \Theta \triangleq \{ \langle \varpi, \varpi', \varsigma \rangle \uparrow^d \theta \mid \theta \in \Theta \}.
\]

Example 16 A trace for the goal \( n(x) \) with \( x = 0 \) as defined by the logic program of Ex. 1 is:

\[
\theta_0 \triangleq \langle \lceil - \rceil n(x'), \varepsilon \rangle \xrightarrow{(0:n(0)\leftarrow \cdot)} \langle \lceil - \rceil, \{ x' \leftarrow 0 \} \rangle
\]

A trace \( \theta_1 \) for the goal \( n(x) \) with \( x = s(0) \) as defined by the PROLOG program of Ex. 1 is obtained by inlay of \( \theta_0 \):
\[
\begin{align*}
\theta_1 \triangleq & \langle [\neg n(x)], \varepsilon \rangle
\begin{pmatrix}
\text{\text{1:n(a(x'))\neg n(x')/\{x\leftarrow s(x')\}}}_{\text{pt}} \\
\text{\{x \leftarrow s(x'), x' \leftarrow 0\}}
\end{pmatrix}
\langle [\neg \square][1:n(s(x')) \leftarrow n(x'), \{x \leftarrow s(x')\} \rangle \uparrow^d \theta_0
\begin{pmatrix}
\text{\text{1:n(a(x'))\neg n(x')}}_{\text{pt}} \\
\text{\{x \leftarrow s(x'), x' \leftarrow 0\}}
\end{pmatrix}
\end{align*}
\]

where
\[
\langle [\neg \square][1:n(s(x')) \leftarrow n(x'), \{x \leftarrow s(x')\} \rangle \uparrow^d \theta_0
\]
\[
\begin{align*}
\Rightarrow & \langle [\neg \square][1:n(s(x')) \leftarrow n(x'), \{x \leftarrow s(x')\} \rangle \\
\Rightarrow & \langle [\neg \square][1:n(s(x')) \leftarrow n(x'), \{x \leftarrow s(x')\} \rangle \\
\Rightarrow & \langle [\neg \square][1:n(s(x')) \leftarrow n(x'), \{x \leftarrow s(x')\} \rangle \\
\end{align*}
\]

12.2 Fixpoint Bottom-Up Most General Maximal Derivation Semantics

Let us define the \textit{bottom-up set of traces transformer} \(\hat{\mathsf{F}}^d[P] \in \wp(\Theta) \hookrightarrow \wp(\Theta)\) for a PROLOG program \(P \in \mathbb{P}\) as

\[
\hat{\mathsf{F}}^d[P] \triangleq \lambda \Theta \cdot \bigcup_{i:A \leftarrow B \in P, p \in \mathbb{P}, v \in \mathbb{V}, \theta \in \text{mgu}(p(v), A)} \langle [\neg p(v)], \varepsilon \rangle \begin{pmatrix}
\text{\text{i:A\leftarrow B/\theta}} \\
\end{pmatrix} \hat{\mathsf{F}}^d[i:A \leftarrow \mathbf{.B}] \vartheta \Theta \quad (9)
\]

where the \textit{clause transformer} \(\hat{\mathsf{F}}^d[i:A \leftarrow \mathbf{B}.B'] \in \mathbb{S} \hookrightarrow \wp(\Theta) \hookrightarrow \wp(\Theta)\) is defined as

\[
\hat{\mathsf{F}}^d[i:A \leftarrow \mathbf{B}.B'] \triangleq \lambda \vartheta \cdot \lambda \Theta \cdot \\
\{\langle [\neg \square][i:A \leftarrow \mathbf{B}.B'], \vartheta \rangle \uparrow^d \eta \begin{pmatrix}
\text{\text{\ell}} \\
\end{pmatrix} \langle (\omega, \vartheta') \rangle \rangle \theta | \\
\eta \begin{pmatrix}
\text{\text{\ell}} \\
\end{pmatrix} \langle (\omega, \vartheta') \rangle \in \Theta.B' \land \sigma \in \text{mgu}(B, B') \land \theta \in \hat{\mathsf{F}}^d[i:A \leftarrow \mathbf{B}.B'] (\vartheta \uparrow \sigma \uparrow \vartheta'_{\text{3}}) \Theta \}
\]

\[
\hat{\mathsf{F}}^d[i:A \leftarrow B_i] \triangleq \lambda \vartheta \cdot \lambda \Theta \cdot \{\langle [\neg \square][i:A \leftarrow B_i], \vartheta \rangle \begin{pmatrix}
\text{\text{i:A\leftarrow B_i}} \\
\end{pmatrix} \rangle \langle [\neg \square], \vartheta \rangle \rangle . \quad (11)
\]

Lemma 17 For all programs \(P\), \(\hat{\mathsf{F}}^d[P]\) and for all definite clause states \([i:A \leftarrow \mathbf{B}.B']\) and substitions \(\vartheta\), \(\hat{\mathsf{F}}^d[i:A \leftarrow \mathbf{B}.B']\vartheta\), are complete join morphisms.

\text{PROOF} Additivity directly follows from (9) for \(\hat{\mathsf{F}}^d[P]\). For \(\hat{\mathsf{F}}^d[i:A \leftarrow \mathbf{B}.B']\vartheta\), this is obvious in case (11) and follows by induction for case (10). \qed

\textit{Note that the composition} \(\uparrow\) \text{ of substitutions is associative and commutative.}
Lemma 18 If all traces in \( T \subseteq \Theta \) are derivations of the transition system \( S_t^\dagger[P] \) then all traces in \( \mathcal{F}_d^\dagger[\iota: A \leftarrow \mathcal{B.B}']_{\mathcal{T}} \) are generated by the transition system \( S_t^\dagger[P] \), start in state \( \langle [\lozenge][\iota: A \leftarrow \mathcal{B.B}'], \emptyset \rangle \) and end in a final state in \( \mathcal{E}^{As} \cup \mathcal{E}^{Pp} \).

**Proof** The proof is by induction on the length of \( B' \).

**Base case:** if \( B' = \varepsilon \) then the trace is \( \langle [\lozenge][\iota: A \leftarrow \mathcal{B}], \emptyset \rangle \xrightarrow{\varepsilon} \langle [\lozenge], \emptyset \rangle \) where \( \iota: A \leftarrow \mathcal{B} \in \mathcal{T} \), which, by the induction hypothesis, is a correct trace generated by \( S_t^\dagger[P] \).

**Inductive case:** if \( B' = \mathcal{B.B}' \) then (10) applies. By hypothesis, all traces in \( T \subseteq \Theta \) are derivations of the transition system \( S_t^\dagger[P] \) hence so are those in the subset \( T.B \). All these traces have the form

\[
\theta = \langle [\lozenge], \varepsilon \rangle \xrightarrow{[\varepsilon: B' \leftarrow B']/\sigma} \langle [\lozenge][\varepsilon: B'], \vartheta_1 \rangle \xrightarrow{\ell_1} \langle [\lozenge][\varepsilon_2], \vartheta_2 \rangle \xrightarrow{\ell_2} \ldots \xrightarrow{\ell_{n-2}} \langle [\lozenge][\varepsilon_{n-1}], \vartheta_{n-1} \rangle \xrightarrow{\ell_{n-1}} \eta_n
\]

where

\[
\eta_n = \langle [\lozenge], \vartheta_n \rangle \quad \text{if the computation succeeds}
\]

\[
= \langle [\lozenge][\varepsilon_n], \vartheta_n \rangle \quad \text{for finite failure.}
\]

Because trace inlaying preserves finite failure, the only possible cases which can continue the computation are inlaying of successful traces. The case of traces ending in \( \mathcal{E}^{Pp} \) is therefore straightforward. Consequently, we only consider the traces in the subset \( T.B \) ending in a state in \( \mathcal{E}^{As} \).

In this case, we have

\[
\langle [\lozenge][\iota: A \leftarrow \mathcal{B.B}'], [\lozenge][\iota: A \leftarrow \mathcal{B.B}'], \emptyset \rangle \uparrow^d \theta = \theta'
\]

where

\[
\theta' = \langle [\lozenge][\iota: A \leftarrow \mathcal{B_B}'], \vartheta' \rangle \xrightarrow{[\varepsilon: B' \leftarrow B']/\sigma} \langle [\lozenge][\iota: A \leftarrow \mathcal{B_B'}][\varepsilon: B \leftarrow B], \vartheta' \rangle \xrightarrow{\ell_1} \langle [\lozenge][\iota: A \leftarrow \mathcal{B.B}'][\varepsilon_2], \vartheta_2' \rangle \xrightarrow{\ell_2} \ldots \xrightarrow{\ell_{n-2}} \langle [\lozenge][\iota: A \leftarrow \mathcal{B_B'}, \vartheta_{n-1}' \rangle \xrightarrow{\ell_{n-1}} \langle [\lozenge][\iota: A \leftarrow \mathcal{B_B'}], \vartheta_n' \rangle \rangle
\]

with \( \vartheta' \in \vartheta \uparrow \mgu(\mathcal{B}, B) \).

\( \theta' \) is a valid derivation in \( S_t^\dagger[P] \) because it can be concatenated with the derivations in

\[
\mathcal{F}_d^\dagger[\iota: A \leftarrow \mathcal{B.B}'][\vartheta_n' \emptyset]
\]

where \( \vartheta_n' = \vartheta_n \uparrow \emptyset \)

which, by the induction hypothesis, are valid derivations in \( S_t^\dagger[P] \), starting with the state \( \langle [\lozenge][\iota: A \leftarrow \mathcal{B_B'}, \vartheta_n' \rangle \rangle \) which performs a correct junction.

**Corollary 19** If all traces in \( T \) are derivations of the transition system \( S_t^\dagger[P] \) then so are all traces in \( \mathcal{F}_d^\dagger[P]T \).
Proof. By (9), all traces in \( \hat{\Phi}^d[P]T \) have the form

\[
\langle [\vdash p(v)], \varepsilon \rangle \xrightarrow{\ell_1: A \leftarrow .B/\theta} \theta
\]

where \( \theta \in \hat{\Phi}^d[i:A \leftarrow .B] / \varnothing \). By Lem. 18, \( \theta \) is generated by the transition system \( S^i[P] \) and starts in state \( \langle [\neg []][i:A \leftarrow .B], \varnothing \rangle \).

If all steps succeed, \( \theta \) ends in state \( \langle [\neg []][i:A \leftarrow .B], \varnothing'' \rangle \) while if instead \( \theta \in \hat{\Phi}^d[i:A \leftarrow .B] / \varnothing \) was not successful then \( \theta \) ends in failure state \( \langle [\neg []] \varnothing, \varnothing'' \rangle \). In both cases, by (2), \( \langle [\vdash p(v)], \varepsilon \rangle \xrightarrow{\ell_1: A \leftarrow .B/\theta} \langle [\neg []][i:A \leftarrow .B], \varnothing \rangle \) is a valid transition for \( S^i[P] \) with \( i:A \leftarrow .B \in P, \varnothing \in mgu(p(v), A) \), proving that \( \langle [\vdash p(v)], \varepsilon \rangle \xrightarrow{\ell_1: A \leftarrow .B/\theta} \theta \) is a valid trace generated by the transition system \( S^i[P] \). \( \blacksquare \)

The maximal ground derivation semantics of a Prolog program \( P \) can be expressed in fixpoint form for transformer \( \hat{\Phi}^d[P] \) as follows.

**Theorem 20** \( S^d[P] = lfp \hat{\Phi}^d[P] \).

Proof. By continuity of \( \hat{\Phi}^d[P] \) and [48], \( lfp \hat{\Phi}^d[P] = \Theta^\omega \) where \( \Theta^0 \triangleq \varnothing \), \( \Theta^{n+1} \triangleq \hat{\Phi}^d[P](\Theta^n) \) and \( \Theta^\omega \triangleq \bigcup_{n \geq 0} \Theta^n \). We prove the two inclusions separately.

---

All traces in \( \Theta^0 = \varnothing \) as well as, by Cor. 19, those in \( \Theta^\omega \) are derivations of the transition system \( S^i[P] \), so we have \( lfp \hat{\Phi}^d[P] \subseteq S^d[P] \).

---

Let \( \theta \in S^d[P] \) be a derivation of the transition system. Because all derivations are of the form

\[
\theta = \langle [\vdash p(v)], \varepsilon \rangle \xrightarrow{\ell_1} \langle \varnothing_1, \varnothing_1 \rangle \xrightarrow{\ell_2} \ldots \xrightarrow{\ell_n} \langle \varnothing_n, \varnothing_n \rangle
\]

we prove that \( \theta \in lfp \hat{\Phi}^d[P] \) by proving that there exists \( i \in \mathcal{A} \) such that \( \theta \in \Theta^{i+1} \). We prove that

\[
\theta' = \langle [\neg []][i:A \leftarrow .B], \varnothing \rangle \xrightarrow{\ell_2} \ldots \xrightarrow{\ell_n} \langle \varnothing_n, \varnothing_n \rangle \in \hat{\Phi}^d[i:A \leftarrow .B] / \varnothing \Theta^i
\]

for some \( i \in \mathcal{A} \) and so, by (9), \( \theta = \langle [\vdash p(v)], \varepsilon \rangle \xrightarrow{\ell_1: A \leftarrow .B/\theta} \theta' \in \hat{\Phi}^d[P] / \Theta^i = \Theta^{i+1} \).

---

If \( B = \varepsilon \) is empty then \( \theta' \) is reduced to

\[
\theta' = \langle [\neg []][i:A \leftarrow .], \varnothing \rangle \xrightarrow{\ell_1: A/\theta} \langle [\neg []], \varnothing \rangle
\]

which, by Lem. 17, belongs to \( \hat{\Phi}^d[i:A \leftarrow .] / \varnothing \) for all \( i \geq 0 \).
If \( B \) is not empty, then the proof is by recurrence on the maximal height
\[
h = \max\{|\varpi_1|, \ldots, |\varpi_n|\} \geq 2
\]
of stacks in \( \theta \).

- For \( h = 2 \), \( B \) has to be empty \( \varepsilon \) which boils down to the previous case.

- If \( h > 2 \), we consider \( B = B' B'' \) and we solve the more general problem
\[
\langle [\square][i: A \leftarrow B'.B''], \vartheta_k \rangle \xrightarrow{\ell_k + 1} \ldots \xrightarrow{\ell_n} \langle \varpi_n, \vartheta_n \rangle \in \hat{\mathcal{F}}^d[i: A \leftarrow B'.B''] \vartheta_k \Theta^i
\]
for some \( i \in \mathcal{X} \). The result will follow by considering \( B' = \varepsilon \) empty and \( B = B'' \).

- If \( |B''| = 0 \) so \( B'' = \varepsilon \) then
\[
\langle [\square][i: A \leftarrow B'], \vartheta_k \rangle \xrightarrow{\ell_k} \langle [\square], \vartheta_k \rangle \in \hat{\mathcal{F}}^d[i: A \leftarrow B'] \vartheta_k \Theta^i
\]
for all \( i \geq 0 \).

- Otherwise \( |B''| > 0 \) so \( B'' = BB'' \) and \( B = p(T) \) for some predicate symbol \( p \in \mathcal{P} \) and term \( T \in \mathcal{E} \). Then we have
\[
\langle [\square][i: A \leftarrow B'.B.B''], \vartheta_k \rangle \xrightarrow{\ell_k + 1} \langle [\square][i: A \leftarrow B'.B.B''][\ell: \tilde{A} \leftarrow \tilde{B}], \vartheta_{k+1} \rangle \xrightarrow{\ell_{k+2}} \ldots \xrightarrow{\ell_n} \langle \varpi_n, \vartheta_n \rangle
\]
where \( \sigma = \text{mgu}(\vartheta_k(B), \tilde{A}) \) and \( \vartheta_{k+1} = \vartheta_k \uparrow \sigma \).

By \textbf{Lem. 6}, \( \alpha^p(\theta) \in \mathcal{D}_{\mathcal{P}, \varnothing} \) so \( \theta \) is well-parenthesized, i.e. either \( \langle \varpi_n, \vartheta_n \rangle \) is a failure state including \( [\ell: \tilde{A} \leftarrow \tilde{B}] \) in the stack or we must have \( m < n \) such that
\[
\langle \varpi_m, \vartheta_m \rangle = \langle \varpi[\ell: \tilde{A} \leftarrow \tilde{B}], \vartheta_m \rangle \xrightarrow{\ell: \tilde{A} \leftarrow \tilde{B}} \langle \varpi, \vartheta_m \rangle
\]
with \( \varpi = \varpi_{m+1} \) and \( \vartheta_m = \vartheta_{m+1} \). Observe that in \( \theta' \):

- The height of the stack is increased by \( 1 \) in (3) and decreased by \( 1 \) in (4).

- In case of success, \( \theta' \) is well-parenthesized and so the stack has the same height on matching parentheses. Moreover the transition never changes the bottom of the stack. Because
\[
\langle [\square][i: A \leftarrow B'.B.B''], \vartheta_k \rangle \xrightarrow{\ell_k} \langle [\square][i: A \leftarrow B'.B.B''][\ell: \tilde{A} \leftarrow \tilde{B}], \vartheta_{k+1} \rangle
\]
and symmetrically

\[
\langle [\square][i: A \leftarrow B'B.B''], [\square][i: A \leftarrow B'B.B''], \varnothing \rangle \xrightarrow{\ell: \tilde{A} \leftarrow \tilde{B}} \langle [\square][i: A \leftarrow B'B.B''], \varnothing \rangle
\]

we can write the trace from \( k \) to \( m + 1 \) as

\[
\langle [\square][i: A \leftarrow B'.B.B''], [\square][i: A \leftarrow B'B.B''], \varnothing \rangle \xrightarrow{t} \langle [\square], \varnothing \rangle
\]

where

\[
\theta'' \triangleq \langle \lceil \ p(v) \rceil, \varepsilon \rangle \xrightarrow{\ell: \tilde{A} \leftarrow \tilde{B}/\sigma} \langle [\square][\ell: \tilde{A} \leftarrow \tilde{B}], \sigma' \rangle \xrightarrow{\ell_{k+1}} \ldots \xrightarrow{\ell_m} \langle [\square][\ell: \tilde{A} \leftarrow \tilde{B}], \varnothing \rangle
\]

where \( \ell_{m+1} = \varnothing \). Since the maximal length of stacks in \( \theta'' \) is strictly less than in \( \theta' \), there exists, by induction hypothesis, a \( \Theta' \) such that \( \theta'' \in \Theta', p(v) \). Therefore, by monotonicity

\[
\langle [\square][i: A \leftarrow B'.B.B''], [\square][i: A \leftarrow B'B.B''], \varnothing \rangle \xrightarrow{t} \langle [\square], \varnothing \rangle
\]

for all \( t \geq q \).

Let us define

\[
\theta''' \triangleq \langle [\square][i: A \leftarrow B'B.B''], \varnothing \rangle \xrightarrow{\ell_{m+2}} \ldots \xrightarrow{\ell_n} \langle [\square], \varnothing \rangle.
\]

Because \( |B'''| < |B''| \), there exists, by induction, some \( j \geq 0 \) such that

\[
\theta''' \in \hat{\mathcal{F}}_d[i: A \leftarrow B'B.B''] \varnothing \Theta^j
\]

By the increasing fixpoint computation of the chain \( \{T_i\}_{i \geq 0} \) and \( \hat{\mathcal{F}}_d \) monotonicity, we have

\[
\theta''' \in \hat{\mathcal{F}}_d[i: A \leftarrow B'B.B''] \varnothing \Theta^t \text{ for all } t \geq j.
\]

By letting \( t = \max\{j, q\} \), the theorem follows.

**Example 21** For the PROLOG program \( P \) of Ex. 1, the fixpoint equation (9) is \( \Theta = \hat{\mathcal{F}}_d[P](\Theta) \) of the form

\[
\Theta = \{\langle [\square][n(x_0)], \varepsilon \rangle \xrightarrow{\ell_0: n(0) \leftarrow x_0} \hat{\mathcal{F}}_d[0: n(0) \leftarrow i] \{x_0 \leftarrow 0\} \Theta \} \cup \\
\{\langle [\square][n(x_1)], \varepsilon \rangle \xrightarrow{\ell_1: n(s(x_2)) \leftarrow n(x_2)/(x_1 \leftarrow s(x_2))} \hat{\mathcal{F}}_d[1: n(s(x_2)) \leftarrow n(x_2)] \}
\]
The first iterates of the fixpoint computation for finite traces are as follows:

\[
\Theta_0 = \emptyset
\]

\[
\Theta_1 = \{ (\rightarrow n(x_0), \epsilon) \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_0 \leftarrow 0\}) \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_0 \leftarrow 0\}) \}
\]

\[
\Theta_2 = \{ (\rightarrow n(x_0), \epsilon) \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_0 \leftarrow 0\}), (\rightarrow n(x_1), \epsilon) \xrightarrow{\langle 1:n(s(x_2)) \leftarrow n(x_2) \rangle} (\square[1:n(s(x_2)) \leftarrow n(x_2)], \{x_1 \leftarrow x_2\} \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_1 \leftarrow x_2, x_2 \leftarrow 0\}) \xrightarrow{1:n(s(x_2)) \leftarrow n(x_2)} (\square[1:n(s(x_2)) \leftarrow n(x_2)], \{x_1 \leftarrow x_2, x_2 \leftarrow 0\}) \}
\]

\[
\Theta_3 = \{ (\rightarrow n(x_0), \epsilon) \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_0 \leftarrow 0\}), (\rightarrow n(x_1), \epsilon) \xrightarrow{\langle 1:n(s(x_2)) \leftarrow n(x_2) \rangle} (\square[1:n(s(x_2)) \leftarrow n(x_2)], \{x_1 \leftarrow x_2\} \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_1 \leftarrow x_2, x_2 \leftarrow 0\}) \xrightarrow{1:n(s(x_2)) \leftarrow n(x_2)} (\square[1:n(s(x_2)) \leftarrow n(x_2)], \{x_1 \leftarrow x_2, x_2 \leftarrow 0\}), (\rightarrow n(x_3), \epsilon) \xrightarrow{\langle 1:n(s(x_4)) \leftarrow n(x_4) \rangle} (\square[1:n(s(x_4)) \leftarrow n(x_4)], \{x_3 \leftarrow x_4\} \xrightarrow{\langle 0:n(0)\rangle} (\square[0:n(0) \leftarrow \cdot], \{x_3 \leftarrow x_4, x_4 \leftarrow x_5, x_5 \leftarrow 0\}) \xrightarrow{1:n(s(x_4)) \leftarrow n(x_4)} (\square[1:n(s(x_4)) \leftarrow n(x_4)], \{x_3 \leftarrow x_4, x_4 \leftarrow x_5, x_5 \leftarrow 0\}) \}
\]

The first iterates of the fixpoint computation for finite traces are as follows:
12.3 Fixpoint $s$-semantics

Let us define the bottom-up call-patterns transformer $\hat{F}^s[P] \in \varphi(\Lambda) \mapsto \varphi(\Lambda)$ for a PROLOG program $P \in \mathcal{P}$ as

$$\hat{F}^s[P] \triangleq \lambda A \cdot \bigcup \{ \vartheta(A) \mid \vartheta \in \hat{F}^s[i : A \leftarrow .B] \varphi \{ \varepsilon \} \}$$

where the clause transformer $\hat{F}^s[i : A \leftarrow B.B'] \in \varphi(\Theta) \mapsto \varphi(S) \mapsto \varphi(S)$ is defined as

$$\hat{F}^s[i : A \leftarrow B.B'] \triangleq \lambda A \cdot \lambda S \cdot \{ \vartheta' \mid B' \in A \land \sigma \in \text{mgu}(B,B') \land \vartheta \in \varphi \land \vartheta' \in \hat{F}^s[i : A \leftarrow B.B'] \varphi (\vartheta \uparrow \sigma) \}$$

$$\hat{F}^s[i : A \leftarrow B] \triangleq \lambda A \cdot \lambda A \cdot \varphi \varphi .$$

Example 22 For the PROLOG program $P$ of Ex. 1, the fixpoint equation (12) of the form $\mathcal{A} = \hat{F}^s[P](\mathcal{A})$ is

$$\mathcal{A} = \{ n(0) \} \cup \{ \sigma(n(s(x))) \mid B' \in \mathcal{A} \land \sigma \in \text{mgu}(n(x), B') \}$$

The iterates of the fixpoint computation for finite traces are as follows

$\mathcal{A}^0 = \emptyset$

$\mathcal{A}^1 = \{ n(0) \}$

$\mathcal{A}^2 = \{ n(0), n(s(0)) \}$

...  

$\mathcal{A}^k = \{ n(s^i(0)) \mid i = 0, ..., k - 1 \}$  induction hypothesis

$\mathcal{A}^{k+1} = \{ n(0) \} \cup \{ \sigma(n(s(x))) \mid B' \in \mathcal{A}^k \land \sigma \in \text{mgu}(n(x), B') \}$

$= \{ n(0) \} \cup \{ \sigma(n(s(x))) \mid \sigma \in \text{mgu}(n(x), n(s^i(0))) \land i = 1, ..., k - 1 \}$

$= \{ n(0) \} \cup \{ n(s^i(0)) \mid i = 1, ..., k - 1 \}$

$= \{ n(s^i(0)) \mid i = 0, ..., k \}$

...  

$\mathcal{A}^\omega = \bigcup_{k \geq 0} \mathcal{A}^k = \{ n(s^i(0)) \mid i \geq 0 \}$  limit

Lemma 23 $\alpha^s \circ \hat{F}^d[P] = \hat{F}^s[P] \circ \alpha^s$ where $\alpha^s \triangleq \alpha^m \circ \alpha^p \circ \alpha^K \circ \alpha^d$.  □
Proof. We must prove that
\[ \alpha^s(\hat{F}^d[P](\Theta)) = \hat{s}(\alpha^s(\Theta)) \]
where by (9) and \( \alpha^s \) is a complete join morphism, we have
\[ \alpha^s(\hat{F}^d[P])\Theta = \bigcup_{i:A-B \in P} \alpha^s(\langle \lceil \cap \rangle p(v), \varepsilon \rangle \xrightarrow{i:A-B/\theta} \hat{F}^d[i:A \leftarrow .B | \theta \Theta}) \]
and by (12)
\[ \hat{F}^d[P](\alpha^s(\Theta)) = \bigcup_{i:A-B \in P} \{ \vartheta(A) | \vartheta \in \hat{F}^d[i:A \leftarrow .B | (\alpha^s(\Theta)) \{ \varepsilon \} \} \]
so we have to prove that for all \( i:A \leftarrow B \in P \), we have
\[ \alpha^s(\langle \lceil \cap \rangle p(v), \sigma \rangle \xrightarrow{i:A-B'/\theta} \hat{F}^d[i:A \leftarrow .B'.B] (\vartheta' \sigma) \Theta) \]
\[ = \{ \vartheta'(A) | \vartheta' \in \hat{F}^d[i:A \leftarrow .B'.B | (\alpha^s(\Theta)) \{ \sigma \} \} \quad \text{where} \quad \vartheta \in mgu(p(v), A) \]
We proceed by induction on the length of \( B \)

- For the base \( B = \varepsilon \), we have

\[ \alpha^s(\langle \lceil \cap \rangle p(v), \sigma \rangle \xrightarrow{i:A-\cap/\sigma} \hat{F}^d[i:A \leftarrow .B'] (\vartheta' \sigma) \Theta) \]
\[ = \{ \text{by def. (11) of} \hat{F}^d[i:A \leftarrow .B'] (\vartheta' \sigma) \Theta \} \]
\[ \alpha^s(\langle \lceil \cap \rangle p(v), \sigma \rangle \xrightarrow{i:A-\cap/\sigma} \{ \langle \lceil \cap \rangle[i:A \leftarrow .B'], (\vartheta' \sigma) \xrightarrow{i:A-\cap} \langle \lceil \cap \rangle, \} \]
\[ = \{ \text{by def.} \alpha^s \} \]
\[ \{ (\vartheta' \sigma) (p(v)) \} \]
\[ = \{ \vartheta'(A) \ | \ \vartheta' \in \{ \sigma \} \} \quad \text{since} \quad \vartheta \in mgu(p(v), A) \]
\[ = \{ \vartheta'(A) \ | \ (\vartheta' \sigma) \in \hat{F}^d[i:A \leftarrow .B'] \alpha^s(\Theta) \{ \sigma \} \} \]

- For the induction step \( B = BB'' \), we have

\[ \alpha^s(\langle \lceil \cap \rangle p(v), \sigma \rangle \xrightarrow{i:A-B'BB''/\theta} \hat{F}^d[i:A \leftarrow .B'.BB''] (\vartheta \Theta) \]
\[ = \{ \text{by def (10) of} \hat{F}^d[i:A \leftarrow .B'.BB''] (\vartheta \Theta) \} \]
We have $H \in \mathcal{X}$ if and only if there exists a $\sigma'$ such that $H = \sigma'(p(v))$ and 

$$\alpha^\ast([\lceil p(v) \rceil], \sigma) \xhookrightarrow{\{i : A \leftarrow B', B'B''\} / \vartheta} \{([\lceil \Box \rceil][i : A \leftarrow B'. B'B''], [\lceil \Box \rceil][i : A \leftarrow B.B''], \vartheta) \ni \eta \mapsto \langle \varpi, \vartheta' \rangle \in \Theta.B' \land \sigma \in \text{mgu}(B, B') \land \theta \in \hat{\mathcal{F}}_d^\ast[i : A \leftarrow B.B''](\vartheta \uparrow \sigma \uparrow \vartheta') \} \triangleq \mathcal{X}$$

By induction hypothesis for $B''$, $\alpha^\ast([\lceil p(v) \rceil], \sigma \uparrow \vartheta') \xhookrightarrow{\{i : A \leftarrow B', B'B''\} / \vartheta} \hat{\mathcal{F}}_d^\ast[i : A \leftarrow B'. B.B''](\alpha^\ast(\Theta)) \{\sigma \uparrow \vartheta'\}$ and so $\sigma' = \sigma \uparrow \vartheta \uparrow \vartheta' \in \hat{\mathcal{F}}_d^\ast[i : A \leftarrow B'. B.B''](\alpha^\ast(\Theta)) \{\sigma\}$ proving that

$$H \in \{\vartheta''(A) \mid \vartheta'' \in \hat{\mathcal{F}}_d^\ast[i : A \leftarrow B'. B.B''](\alpha^\ast(\Theta)) \{\sigma\}\}.$$  

The fixpoint $s$-semantics of [46] is an abstract interpretation of the fixpoint bottom-up most general maximal derivation semantics of Sec. 12.2.

**Theorem 24 (G. Levi et al.)** $\mathcal{S}_s[P] = \lfloor P \rfloor \subseteq \hat{\mathcal{F}}_d^\ast[P]$.  

**PROOF** By Lem. 23 and [49, Th. 7.1.0.4 (3)].

### 13 Conclusion

We showed how abstract interpretation of the maximal trace semantics of a simple grammar-based language, akin the semantics of context-free grammars and pushdown automata [35], can provide a comprehensive view of most well-known semantics of resolution-based languages such as logic programming and PROLOG. Other semantics can be derived similarly, for instance for modelling infinite computations by combining inductive and co-inductive semantics [50] and for modelling different forms of negation [27]. The result is a uniform specification framework for interpreters of logic programs which can be systematically designed by consecutive abstractions of a basic abstract machine. The analogy with the semantics of grammars is, in this context, striking. We believe that both the semantics of grammars and that of resolution-based languages can be specified in a uniform way as instances of a unique transition system semantics involving more expressive grammars inspired by PROLOG, rewriting, etc. Having formalized logic program semantics by abstract interpretation, may provide the way to integrate its correctness proofs with that of its decidable abstractions, such as those for static analysis. Because abstraction can be constructed by calculational design [51], as shown in the formal
proofs, a proof assistant or theorem prover can be used to automatically check or perform these calculations. This leads to formally verified implementations and static analyzers.

References


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