

# Constraints in SGGS

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## Abstract

We discuss the constraint system in the SGGS inference system, which stands for semantically-guided goal-sensitive theorem proving.

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## 1 Basic definitions and concepts for SGGS

### 1.1 Constrained clauses

The SGGS inference system takes as input

- a set  $S$  of clauses,
- an initial interpretation  $I$ , and
- an ordering  $\prec$  on ground literals,

and builds a sequence of clauses that represents a partial model of  $S$ .

While in propositional logic a partial model of a set of clauses can be represented by a sequence of literals, in first-order logic it needs a sequence of clauses with constraints:

**Definition 1.1 (Constraint)** *An atomic constraint is either*

1. *empty, denoted by  $true$ , or*
2. *an expression of the form  $x \equiv y$  or  $top(t) = f$ , where*
  - (a)  *$x$  and  $y$  are variables,*
  - (b)  *$f$  is a function symbol, and*
  - (c)  *$t$  is a term.*

*A constraint is either*

1. *an atomic constraint, or*
2. *the negation, conjunction, or disjunction of constraints.*

The meaning of the constraints is defined by

1.  $\models t \equiv u$  for ground terms  $t$  and  $u$  if  $t$  and  $u$  are the same element of the Herbrand universe.
2.  $\models top(t) = f$  if the top symbol of ground term  $t$  is  $f$ .

**Definition 1.2 (Standard form)** *A constraint is in standard form, if it is a conjunction of distinct atomic constraints of the form  $x \neq y$  and  $\text{top}(x) \neq f$ , where  $x$  and  $y$  are variables.*

- A constraint  $\text{top}(x) \neq f$  says that  $x$  cannot be replaced by a term whose top function symbol is  $f$ , while
- a constraint  $x \neq y$  specifies that  $x$  and  $y$  may not be replaced by identical terms.

**Definition 1.3 (Constrained clause)** *A constrained clause is a formula  $A \triangleright C$ , where*

- $A$  is a constraint and
- $C$  is a clause.

*Any variable that appears in  $A$  and not in  $C$  is implicitly existentially quantified.*

In a constrained clause  $A \triangleright C$  a literal  $L$  may be *selected*, written  $A \triangleright C[L]$ .

- By analogy,  $A \triangleright L$  is called a *constrained literal*,
- and by convention, if  $L$  is the selected literal of  $C$ , and  $C' \equiv C\vartheta$ , then  $L' \equiv L\vartheta$  is the selected literal of  $C'$ .
- $\text{true} \triangleright C$  is usually abbreviated as  $C$ .

**Definition 1.4 (Constrained ground instances)** *Given a constrained clause  $A \triangleright C$  its set of constrained ground instances (cgi) is*

$$Gr(A \triangleright C) = \{C\vartheta : \models A\vartheta, C\vartheta \text{ ground.}\}$$

Note how

- $Gr(\text{false} \triangleright C) = \emptyset$ , while
- $Gr(\text{true} \triangleright C)$  contains all ground instances of  $C$ .

The same notion applies to a single literal:

$$Gr(A \triangleright L) = \{L\vartheta : \models A\vartheta, L\vartheta \text{ ground}\}.$$

For a single literal  $\neg Gr(A \triangleright L)$  or  $Gr(A \triangleright \neg L)$  is the set

$$\{\neg L' : L' \in Gr(A \triangleright L)\}.$$

**Example 1.1** *For a clause  $x \neq y \triangleright P(x, y)$ ,*

1.  $P(a, b) \in Gr(x \neq y \triangleright P(x, y))$ ,
2.  $P(b, b) \notin Gr(x \neq y \triangleright P(x, y))$ .

**Definition 1.5** *The minimal constrained ground instance of a constrained literal  $A \triangleright L$  is*

$$cmin(A \triangleright L) = \begin{cases} \min_{\prec} \{M : M \in Gr(A \triangleright L)\} & \text{if } Gr(A \triangleright L) \neq \emptyset, \\ M_{\infty} & \text{otherwise.} \end{cases}$$

where the ordering  $\prec$  is suitably defined.

The minimal constrained ground instance of a constrained clause  $A \triangleright C[L]$  is the minimal constrained ground instance of its selected literal:

$$cmin(A \triangleright C[L]) = cmin(A \triangleright L).$$

## 1.2 Clause Sequences

SGGS works with clause sequences that satisfy certain requirements, which will be omitted here.

## 2 Intersection, partition, splitting and difference

**Definition 2.1** *Constrained literals  $A \triangleright L$  and  $B \triangleright M$*

1. intersect if  $at(Gr(A \triangleright L)) \cap at(Gr(B \triangleright M)) \neq \emptyset$ , and
2. are disjoint, otherwise.

Intersection does not require that two literals have the same sign, because it is defined based on the atoms of their constrained ground instances.

**Definition 2.2 (Partition)** A partition of  $A \triangleright C \langle L \rangle$ , where  $A$  is satisfiable, is a set

$$\{A_i \triangleright C_i \langle L_i \rangle\}_{i=1}^n$$

such that

1.  $Gr(A \triangleright C) = \bigcup_{i=1}^n \{Gr(A_i \triangleright C_i \langle L_i \rangle)\}$ ,
2. the constrained literals  $A_i \triangleright L_i$  are pairwise disjoint,
3. all  $A_i$ 's are satisfiable, and
4. the  $L_i$ 's are chosen consistently with  $L$ .

**Example 2.1** The set

$$\{true \triangleright P(f(z), y), top(x) \neq f \triangleright P(x, y)\}$$

is a partition of  $true \triangleright P(x, y)$ .

If  $L$  and  $M$  intersect, it is possible to split  $A \triangleright C \langle L \rangle$  by  $B \triangleright D[M]$ :

**Definition 2.3 (Splitting and difference)** A splitting of  $A \triangleright C \langle L \rangle$  by  $B \triangleright D[M]$ , denoted  $split(C, D)$ , is a partition  $\{A_i \triangleright C_i \langle L_i \rangle\}_{i=1}^n$  of  $A \triangleright C \langle L \rangle$  such that:

1.  $\exists j, 1 \leq j \leq n$ , such that  $at(Gr(A_j \triangleright L_j)) \subseteq at(Gr(B \triangleright M))$ , and
2.  $\forall i, 1 \leq i \neq j \leq n$ ,  $at(Gr(A_i \triangleright L_i))$  and  $at(Gr(B \triangleright M))$  are disjoint;

and the difference  $C - D$  is  $\text{split}(C, D)$  with  $C_j$  removed.

Clause  $C_j$  is the representative of  $D$  in  $\text{split}(C, D)$ .

SGGS needs to compute splitting and differences.

Computing  $\text{split}(C, D)$  and  $C - D$  introduces constraints, including non-standard ones, even when  $C$  and  $D$  have empty constraints to begin with:

**Example 2.2** A splitting of  $\text{true} \triangleright P(x, y)$  by  $\text{true} \triangleright P(f(w), g(z))$  is

- $\{\text{true} \triangleright P(f(w), g(z)),$
- $\text{top}(x) \neq f \triangleright P(x, y),$
- $\text{top}(y) \neq g \triangleright P(f(x), y)\}$ .

### 3 Constraints

In this section we present rules that manipulate constraints to compute clause differences and splittings, and standardize constraints.

These rules are *sound*, in the sense that premise and conclusion represent the same set of constrained ground instances.

If a conclusion is made of multiple clauses, it is read as their disjunction:

- if a rule has premise  $A \triangleright C$  and conclusion  $A_1 \triangleright C_1, \dots, A_n \triangleright C_n$ , then  $\text{Gr}(A \triangleright C) = \bigcup_{i=1}^n \text{Gr}(A_i \triangleright C_i)$ ;



- if the conclusion is  $\perp$ , it means that  $A$  is unsatisfiable.

### 3.1 Rules for constraints

In general we define  $Gr(C - D)$  by

$$Gr(C - D) = \bigcup_{i=1, i \neq j}^n Gr(C_i)$$

for  $split(C, D) = \{A_i \triangleright C_i \langle L_i \rangle\}_{i=1}^n$  and  $C_j$  the representative of  $D$ .

According to Definition 2.3, given  $A \triangleright C[L]$  and  $B \triangleright D[M]$ ,

- if  $at(L)$  and  $at(M)$  do not unify, then

$$Gr(C - D) = Gr(C)$$

.

- If  $at(L)$  and  $at(M)$  unify, with  $\sigma = mgu(at(L), at(M))$ , then

$$split(C, D) = (C - D) \cup \{A\sigma \wedge B\sigma \triangleright C[L]\sigma\},$$

and

$$(C - D) = (C - (A\sigma \wedge B\sigma \triangleright C[L]\sigma)).$$

Thus,

- if we have a way to compute  $C - D$ , we also have a way to compute  $split(C, D)$ , and
- we can restrict ourselves to compute  $C - D$  under the assumption that  $D$  is an instance  $C\sigma$  of  $C$ .

**Definition 3.1 (Rules for clause difference)** *Given clauses  $A \triangleright C$  and  $B \triangleright D$ , such that  $D \equiv C\sigma$ , the rules for clause difference are:*

- *If  $\{x \leftarrow f(x_1, \dots, x_n)\} \subseteq \sigma$  for some  $x \in \text{vars}(C)$  and new variables  $x_i, 1 \leq i \leq n$ , the DiffSim rule*
  - *applies  $\{x \leftarrow f(x_1, \dots, x_n)\}$  to make  $C$  closer to being similar to  $D$  and*
  - *on the other hand adds  $\text{top}(x) \neq f$  to make the clauses disjoint:*

$$\frac{(A \triangleright C) - (B \triangleright D)}{(A \triangleright C)\{x \leftarrow f(x_1, \dots, x_n)\} - (B \triangleright D), A \wedge (\text{top}(x) \neq f) \triangleright C}$$

- *If  $C$  and  $D$  are similar, which means  $\sigma$  only replaces variables by variables, and  $\{x \leftarrow y\} \subseteq \sigma$  for distinct variables  $x, y \in \text{vars}(C)$ , the DiffVar rule*
  - *applies  $\{x \leftarrow y\}$  to make  $C$  closer to a variant of  $D$  and*
  - *on the other hand adds  $x \not\equiv y$  to make the clauses disjoint:*

$$\frac{(A \triangleright C) - (B \triangleright D)}{(A \triangleright C)\{x \leftarrow y\} - (B \triangleright D), (x \not\equiv y \wedge A) \triangleright C}$$

- *If  $C$  and  $D$  are variants but not identical, the DiffId rule*

*makes them identical:*

$$\frac{(A \triangleright C) - (B \triangleright D)}{(A \triangleright C)\sigma - (B \triangleright D)}$$

- *The DiffElim rule replaces difference by negation if  $C$  and  $D$  are identical:*

$$\frac{(A \triangleright C) - (B \triangleright C)}{(A \wedge \neg B) \triangleright C}$$

Since  $B$  is a conjunction of constraints,  $\neg B$  is a disjunction of their negations.

Thus, the system needs rules that restore disjunctive normal form (DNF):

**Definition 3.2 (Rules for connectives)** *The rules for connectives are:*

- *The Equiv rule replaces a constraint  $A$  by its disjunctive normal form  $dnf(A)$ :*

$$\frac{A \triangleright C}{dnf(A) \triangleright C}$$

- *The Div rule subdivides disjunction:*

$$\frac{(A \vee B) \triangleright C}{A \triangleright C, B \triangleright C}$$

Next come rules that reduce identity constraints to standard form.

For these rules we can assume that a constraint is a conjunction of atomic constraints and their negations.

**Definition 3.3 (Rules for identity)** *The rules for identity are:*

- *The ElimId1 rule eliminates a constraint between variable and term: if  $x \notin \text{vars}(s)$ , then:*

$$\frac{(A \wedge x \equiv s) \triangleright C}{(A \triangleright C)\{x \leftarrow s\}}$$

*if  $x \in \text{vars}(s)$  and  $s$  is not a variable, then:*

$$\frac{(A \wedge x \equiv s) \triangleright C}{\perp} \quad \frac{(A \wedge x \not\equiv s) \triangleright C}{(A \triangleright C)}$$

- *The ElimId2 rule detects a conflict: if  $f \neq g$ ,  $m \geq 0$ ,  $n \geq 0$ , then:*

$$\frac{(A \wedge f(s_1, \dots, s_n) \equiv g(t_1, \dots, t_m)) \triangleright C}{\perp}$$

- *The ElimId3 rule eliminates a satisfied constraint: if  $f \neq g$ ,  $m \geq 0$ ,  $n \geq 0$ , then:*

$$\frac{(A \wedge f(s_1, \dots, s_n) \not\equiv g(t_1, \dots, t_m)) \triangleright C}{A \triangleright C}$$

- *The ElimId4 rule decomposes an identity: if  $n \geq 0$ , then:*

$$\frac{(A \wedge f(s_1, \dots, s_n) \equiv f(t_1, \dots, t_n)) \triangleright C}{(A \wedge s_1 \equiv t_1 \wedge \dots \wedge s_n \equiv t_n) \triangleright C}$$

- The *ElimId5* rule decomposes a negated identity: if  $n \geq 0$ , then:

$$\frac{(A \wedge f(s_1, \dots, s_n) \not\equiv f(t_1, \dots, t_n)) \triangleright C}{(A \wedge (s_1 \not\equiv t_1 \vee \dots \vee s_n \not\equiv t_n)) \triangleright C}$$

After this rule, of course, the constraint can be reduced to *dnf* and split into conjuncts as before.

- The *ElimId6* rule eliminates a negated identity between variable and non-variable term:

$$\frac{(A \wedge x \not\equiv f(s_1, \dots, s_n)) \triangleright C}{A \wedge \text{top}(x) \not\equiv f \triangleright C, ((A \wedge f(s_1, \dots, s_n) \not\equiv f(y_1, \dots, y_n)) \triangleright C)\rho}$$

where

- $\rho = \{x \leftarrow f(y_1, \dots, y_n)\}$ ,
  - $n \geq 0$ , and
  - for all  $i$ ,  $1 \leq i \leq n$ ,  $y_i$  is a new variable;
  - (this in turn permits an application of *ElimId5*)
- The *ElimId7* rule detects a conflict: if  $s$  is a variable or constant, then:

$$\frac{(A \wedge s \not\equiv s) \triangleright C}{\perp}$$

The *ElimId5* rule also calls for restoration of DNF.

The *rules for top symbol* eliminate all top symbol constraints, except those in standard form  $\text{top}(x) \not\equiv f$ :

**Definition 3.4 (Rules for top symbol)** *The rules for top symbol are*

- *The ElimTop1 rule detects a conflict in a positive constraint: if  $f \neq g$ ,  $n \geq 0$ , then:*

$$\frac{A \wedge \text{top}(f(s_1, \dots, s_n)) = g \triangleright C}{\perp}$$

- *The ElimTop2 rule eliminates a satisfied positive constraint: if  $n \geq 0$ , then:*

$$\frac{A \wedge \text{top}(f(s_1, \dots, s_n)) = f \triangleright C}{A \triangleright C}$$

- *The ElimTop3 rule eliminates a satisfied negative constraint: if  $f \neq g$ ,  $n \geq 0$ , then:*

$$\frac{A \wedge \text{top}(f(s_1, \dots, s_n)) \neq g \triangleright C}{A \triangleright C}$$

- *The ElimTop4 rule detects a conflict in a negated constraint: if  $n \geq 0$ , then:*

$$\frac{A \wedge \text{top}(f(s_1, \dots, s_n)) \neq f \triangleright C}{\perp}$$

- *The ElimTop5 rule eliminates a positive constraint: if  $n \geq 0$ , then:*

$$\frac{A \wedge \text{top}(x) = f \triangleright C}{(A \triangleright C)\{x \leftarrow f(x_1, \dots, x_n)\}}$$

*where for all  $i$ ,  $1 \leq i \leq n$ ,  $x_i$  is a new variable.*

The combined effect of all rules is to standardize all constraints (cf. Definition 1.2).

However, the application of the identity rules may not terminate:

**Example 3.1** Consider a clause  $(x \neq f(y) \wedge y \neq f(x) \triangleright P(x, y))$ :

By applying the *ElimId6* rule one gets the two clauses

1.  $(\text{top}(x) \neq f \wedge y \neq f(x)) \triangleright P(x, y)$  and
2.  $(f(z) \neq f(y) \wedge y \neq f(f(z)) \triangleright P(f(z), y))$ .

Using *ElimId5*, the latter clause becomes

$$(z \neq y \wedge y \neq f(f(z)) \triangleright P(f(z), y)),$$

which then by another application of *ElimId6*, yields the two clauses

1.  $(z \neq y \wedge \text{top}(y) \neq f) \triangleright P(f(z), y)$  and
2.  $(z \neq f(w) \wedge f(w) \neq f(f(z)) \triangleright P(f(z), f(w)))$ .

Using *ElimId5* again, the latter clause becomes

$$(z \neq f(w) \wedge w \neq f(z) \triangleright P(f(z), f(w))),$$

whose constraint is a variant of the original one.

SGGs does not need that every series of applications of these rules terminate.

It suffices to show that the computation of clause difference terminates:

**Theorem 3.1** *Given  $A \triangleright C$  and  $B \triangleright D$ , such that  $D \equiv C\sigma$ , and  $A$  and  $B$  are in standard form, any application of the clause difference rules to  $C - D$ , where*

1. *any application of  $\text{DiffElim}$  or  $\text{ElimId5}$  is followed by conversion to DNF, and*
2. *all constraints are restored to standard form after every application of a clause difference rule,*

*is guaranteed to terminate.*

**Proof:** First we show that the rules for clause difference do not cause non-termination.

1.  $\text{DiffId}$  and  $\text{DiffElim}$  can be applied only once.
2.  $\text{DiffVar}$  can be applied only a finite number of times, because each application decreases the number of variables in  $C$ .
3. Each  $\text{DiffSim}$  step applies to  $C$  a substitution  $\{x \leftarrow f(x_1, \dots, x_n)\}$  from  $\sigma$ : since  $\sigma$  contains finitely many such pairs,  $\text{DiffSim}$  can be applied only a finite number of times.

Then we prove that standardization between an application of a clause difference rule and the next is guaranteed to terminate:

1.  $\text{DiffId}$  only renames variables, which does not enable any other rule.



2. DiffVar adds an  $x \neq y$ , which is in standard form, and applies a substitution  $\{x \leftarrow y\}$ , whose only effect may be to replace an  $x \neq y$  by an  $x \neq x$ , eliminated by ElimId7.
3. DiffSim adds a  $top(x) \neq f$ , which is in standard form, and applies a substitution  $\{x \leftarrow f(x_1, \dots, x_n)\}$ , which may have two effects.

- One is to replace the occurrence of  $x$  in a constraint  $top(x) \neq g$  by  $f(x_1, \dots, x_n)$ .

This enables either ElimTop3 or ElimTop4, which terminate.

- The other is to transform an  $x \neq y$  into an  $f(x_1, \dots, x_n) \neq y$ , enabling ElimId6.

ElimId6 adds a  $top(x) \neq f$ , which is in standard form, and applies another substitution of the same form, so that eventually a subset of the variables may be replaced by terms  $f(x_1, \dots, x_n)$  where the  $x_i$ 's are new.

- This can only be done a finite number of times, because the new variables will never be replaced in this way.

- If two such substitutions are applied to a  $z \neq w$ , an  $f(x_1, \dots, x_n) \neq f(y_1, \dots, y_n)$  may arise.

ElimId5 applies to such a constraint, followed by conversion to DNF.

- The result is a disjunction of constrained clauses, each containing in its constraint an  $x_i \neq y_i$ , for some

$i$ , which is in standard form.

4. DiffElim yields  $(A \wedge \neg B) \triangleright C$ , followed by conversion to DNF.

The effect may be to add  $x \equiv y$  (negation of  $x \not\equiv y$  in  $B$ ) or  $top(x) = f$  (negation of  $top(x) \neq f$  in  $B$ ).

- In the first case, ElimId1 applies  $\{x \leftarrow y\}$ , covered in Case (2) of this proof.
- In the second case, ElimTop5 applies  $\{x \leftarrow f(x_1, \dots, x_n)\}$ , covered in Case (3) of this proof.

The set of inference rules for constraints is completed by rules that remove from a clause  $A \triangleright C$  variables that appear in  $A$  but not in  $C$ .

These rules do not affect Theorem 3.1.

**Definition 3.5 (Rules for variable removal)** *Given a clause  $A \triangleright C$ , such that*

- *$A$  is in standard form,*
- *$y \in vars(A)$ , and*
- *$y \notin vars(C)$ ,*

*the rules for variable removal are:*

- The *ElimVar1* rule detects that the constraints on  $y$  are satisfiable:

if  $\exists f \in \text{fun}(S)$ , such that  $\text{ar}(f) \geq 1$  and  $\text{top}(y) \neq f \notin A$ , then:

$$\frac{A \triangleright C}{\text{Rem}(y, A) \triangleright C}$$

where  $\text{Rem}(y, A)$  is  $A$  with all conjuncts of the form

- $\text{top}(y) \neq g$ ,  $g \neq f$ , and
- $y \neq z$ , where  $z$  is another variable,

replaced by *true*;

- The *ElimVar2* rule detects that the constraints on  $y$  are unsatisfiable:

if  $\forall f \in \text{fun}(S)$ ,  $A$  contains a constraint  $\text{top}(y) \neq f$ , then:

$$\frac{A \triangleright C}{\perp}$$

- The *ElimVar3* rule removes  $y$  by replacing it with all possible constants:

if  $\forall f \in \text{fun}(S)$  such that  $\text{ar}(f) \geq 1$ ,  $A$  contains a constraint  $\text{top}(y) \neq f$ , then:

$$\frac{A \triangleright C}{(\bigvee_{c \in \text{fun}(S), \text{ar}(c)=0} A\{y \leftarrow c\}) \triangleright C}$$

To justify these rules,

- If the conditions of the ElimVar1 rule are met, all constraints about  $y$  can be satisfied by replacing  $y$  with a term having  $f$  as top symbol.

Since there are infinitely many such terms, one can always be chosen to satisfy the constraints of the form  $y \neq z$ .

- The ElimVar2 rule deals with the case in which all function and constant symbols are prohibited for  $y$ , which means that the constraint is unsatisfiable.
- The ElimVar3 rule deals with the case in which all function symbols (i.e., having arity one or more) are prohibited for  $y$ ; in this case,
  - $y$  has to be replaced by a constant symbol, and
  - since there are only finitely many of them,  $A$  can be replaced by a disjunction of constraints.

Also ElimVar3 relies on subsequent conversion to DNF.

It is possible to test whether a constraint  $A$  is satisfiable, by applying the rules in this section to  $A \triangleright false$ .

- If the result is *false*, then  $A$  is satisfiable; if the result is  $\perp$ , then  $A$  is unsatisfiable.
- Since  $A$  is valid if and only if  $\neg A$  is unsatisfiable, one can test the validity of  $A$  by testing  $\neg A$  for satisfiability.

## 3.2 Computing minimal constrained ground instances

It is helpful at times to compute  $cm\text{in}$ . In this section we cover the issue of how to compute

$$cm\text{in}(A \triangleright L),$$

assuming that  $A$  is in standard form.

- If  $A$  is unsatisfiable,  $Gr(A \triangleright L) = \emptyset$  and

$$cm\text{in}(A \triangleright L) = M_\infty$$

where  $M_\infty$  represents infinity.

- If  $A$  is satisfiable, the idea is to compute a finite set of constrained literals

$$\mathcal{T} = \{A\alpha \triangleright L\alpha\},$$

and then consider those  $L\alpha$  such that  $A\alpha$  is satisfied.

The literal  $cm\text{in}(A \triangleright L)$  will be the smallest of these  $L\alpha$  in the ordering  $\prec$ .

The set  $\mathcal{T}$  is initialized to contain  $A \triangleright L$  itself and the candidate for  $cm\text{in}$  is set to  $M_\infty$ .

### 3.2.1 First Phase

In a first phase, for each constraint  $top(x) \neq f$  in  $A$ ,  $\mathcal{T}$  is expanded to specify all function symbols other than  $f$  as the top symbol for  $x$ .

This is done by adding the instances

$$\{A'\vartheta \triangleright L\vartheta : g \in \text{fun}(S), \text{ar}(g) = k, g \neq f, \vartheta = \{x \leftarrow g(y_1, \dots, y_k)\}\},$$

where

- $A'$  is  $A$  with  $\text{top}(x) \neq f$  removed, and
- $\forall i, 1 \leq i \leq k, y_i$  is new.

If  $A$  contains at least one constraint  $\text{top}(x) \neq f$ , the original constrained literal  $A \triangleright L$  can be removed from  $\mathcal{T}$  after this expansion.

- The result of repeatedly applying this rule is a set  $\mathcal{T}$  of constrained literals with no constraint of the form  $\text{top}(x) \neq f$ .
- If  $A$  originally contained at least one constraint  $\text{top}(x) \neq f$ , the constraints in  $\mathcal{T}$  are no longer in standard form: they are conjunctions of constraints of the form  $s \neq t$  for terms  $s$  and  $t$ .

The rules in Definition 3.3 can be applied to transform them into standard form.

- Since unrestricted application of the rules in Definition 3.3 is not guaranteed to terminate,
  - this simplification phase can be applied only with a bound on the number of rule applications, and

- there is no guarantee in general to reach a set with constraints in standard form.

However, maintaining all constraints in standard form is not necessary to compute  $\text{cmin}(A \triangleright L)$ .

### 3.2.2 Second Phase

A second phase interleaves variable instantiation, bounded simplification by the rules in Definition 3.3, constraint testing, and discovery of  $\text{cmin}(A \triangleright L)$ .

- For variable instantiation, the idea is to instantiate each variable to all possible top symbols.

Thus if  $x \in \text{vars}(A\alpha)$  for some  $A\alpha \triangleright L\alpha$  in  $\mathcal{T}$ ,  $A\alpha \triangleright L\alpha$  is replaced by  $A\alpha\vartheta \triangleright L\alpha\vartheta$ , where

- $\vartheta = \{x \leftarrow g(y_1, \dots, y_k)\}$ ,
- $g \in \text{fun}(S)$ ,
- $\text{ar}(g) = k$ , and
- $\forall i, 1 \leq i \leq k, y_i$  is new.

- For constraint testing, any  $A\alpha \triangleright L\alpha$  such that  $A\alpha$  is unsatisfiable is removed from  $\mathcal{T}$ .
- For discovery of  $\text{cmin}(A \triangleright L)$ , any  $A\alpha \triangleright L\alpha \in \mathcal{T}$  such that  $A\alpha\sigma$  simplifies to *true*, where

- $\sigma$  is a substitution that replaces all variables of  $A\alpha \triangleright L\alpha$  by constant symbols,

yields a candidate  $L\alpha\sigma$  for  $\text{cmin}(A \triangleright L)$ .

Eventually at least one such candidate literal  $M$  will be found, because the original constraint  $A$  is satisfiable.

- Any  $A\alpha \triangleright L\alpha \in \mathcal{T}$  such that  $L\alpha \succ M$  can be deleted from  $\mathcal{T}$ , even if  $L\alpha$  contains variables, because  $\prec$  extends the size ordering.
- Constrained literals  $A\alpha \triangleright L\alpha$  in  $\mathcal{T}$  such that  $L\alpha \prec M$ , are retained for further variable instantiation and constraint testing.
- If a ground literal  $M'$  such that  $M' \prec M$  is produced,  $M$  is deleted, and  $M'$  replaces it as current candidate for  $\text{cmin}(A \triangleright L)$ .

This procedure terminates when  $\mathcal{T}$  is a singleton, and its only element is  $\text{cmin}(A \triangleright L)$ .

- This is guaranteed to happen, because  $A$  is satisfiable,  $\succ$  is well-founded, and variable instantiation causes the literals  $L\alpha$  in  $\mathcal{T}$  to grow in size, and therefore in the ordering  $\prec$ .
- This procedure works because the literals  $L\alpha$  in  $\mathcal{T}$  become larger and larger in  $\prec$ .