

Rule-based Graph Repair using Minimally Restricted Consistency-Improving Transformations

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Abstract

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1 Introduction

Graphs and graph transformations are an appropriate framework for model-driven software engineering. The models (graphs) must be consistent with respect to a set of constraints. The concept of *nested graph conditions* is suitable to describe these constraints based on second order logic [7]. During development, inconsistencies may arise and a method for resolving them, called *model repair*, is necessary. Due to the versatility of graphs and graph transformations, the concept of model repair can be used to resolve inconsistencies for all kinds of graph-like structures. For example, in traffic light control or road networks.

For model repair, a notion is needed to assess the degree of inconsistency of a graph with respect to a constraint. There are already concepts for this, such as consistency preserving and guaranteeing transformations, and rules [8] that assess the change in consistency due to a graph transformation. These notions only look at the first graph of a constraint or whether the derived graph is consistent. They are not able to detect small increases or decreases in consistency caused by the insertion or deletion of single elements. In this paper we introduce the finer grained notions of *consistency-maintaining* and *consistency-increasing* transformations and rules that are able to detect these small increases or decreases in consistency. In addition, we introduce the more restricted notions of *direct consistency-maintaining* and *direct consistency-increasing* transformations and rules, which completely prohibit the insertion of new inconsistencies and have the advantage that second-order formulas can be used to specify these notions. We will also introduce direct consistency-maintaining and direct consistency-increasing application conditions for general rules, and direct consistency-increasing application conditions for a specific type or rules, called *basic rules*. It is known that the application conditions for these concepts are either very restrictive or large. For basic rules, we are able to construct smaller and less restrictive application conditions. We also present a rule-based graph repair approach capable of repairing specific constraints, namely *circular conflict free constraints*, and we extend this repair approach to repair specific sets of constraints, namely *circular conflict free sets of constraints*.

This paper is structured as follows: Formal prerequisites are introduced in section 2. The notions of (direct) consistency-maintaining and (direct) consistency-increasing transformations are given in section 3 and the construction of application conditions and characterisation of basic rules is given in section 4. The repair process is presented in section 5, and we summarise related graph repair approaches in section 6, before concluding the paper in section 7.

2 Preliminaries

Our graph repair process is based on the concept of the double-pushout approach [5]. In this chapter we introduce some formal prerequisites such as graphs, graph morphisms, nested graph conditions and constraints, and graph transformations.

2.1 Graphs and Graph morphisms

We start by introducing graphs and graph morphisms according to [5].

Definition 2.1 (graph). A graph $G = (V, E, \text{src}, \text{tar})$ consists of a set of vertices (or nodes) V , a set of edges E and two mappings $\text{src}, \text{tar} : E \rightarrow V$ that assign the source and target vertices to an edge. The edge $e \in E$ connects the vertices $\text{tar}(e)$ and $\text{src}(e)$.

If no tuple as above is given, V_G , E_G , tar_G and src_G denote the sets of vertices, edges and target and source mappings, respectively.

For the rest of this paper we will assume that all graphs are finite, i.e. given a graph G , the sets V_G and E_G are finite.

Definition 2.2 (graph morphism). Let graphs G and H be given. A graph morphism $f : G \rightarrow H$ consists of two mappings $f_V : V_G \rightarrow V_H$ and $f_E : E_G \rightarrow E_H$ such that the source and target functions are preserved. This means

$$\begin{aligned} f_V \circ \text{src}_G &= \text{src}_H \circ f_E \text{ and} \\ f_V \circ \text{tar}_G &= \text{tar}_H \circ f_E \end{aligned}$$

holds. A graph morphism f is called injective (surjective) if f_E and f_V are injective (surjective) mappings. An injective morphism $f : G \rightarrow H$ is called inclusion if $f_E(e) = e$ and $f_V(v) = v$ for all edges $e \in E_G$ and all nodes $v \in V_G$. If f is injective, it is denoted with $f : G \hookrightarrow H$. Two morphisms $f_1 : G_1 \rightarrow H$ and $f_2 : G_2 \rightarrow H$ are called jointly surjective if for each element e of H either an element $e' \in G_1$ with $f_1(e') = e$ or an element $e' \in G_2$ with $f_2(e') = e$ exists.

For our newly introduced notions of consistency increase and maintainment, we also need to consider *subgraphs*, *overlaps* of graphs, and so-called *intermediate graphs*. Intuitively, intermediate graphs are graphs G' which lie between two given graphs G and H . That is, G is a subgraph of G' and G' is a subgraph of H .

Definition 2.3 (subgraph). Let the graphs G and H be given. Then G is called a subgraph of H if an inclusion $p : G \hookrightarrow H$ exists. G is called a proper subgraph of H if the p is not bijective.

Note that since the inclusion can also be surjective, by this definition every graph G is a subgraph of itself.

Definition 2.4 (intermediate graph). Let G and H be graphs such that G is a subgraph of H . A graph C is called an intermediate graph of G and H , if G is a proper subgraph of C and C is a subgraph of H . The set of intermediate graphs of G and H is denoted by $\text{IG}(G, H)$.

Definition 2.5 (overlap). Let the graphs G_1 and G_2 be given. An overlap $P = (H, i_{G_1}, i_{G_2})$ consists of a graph H and a jointly surjective pair of injective morphisms $i_{G_1} : G_1 \hookrightarrow H$ and $i_{G_2} : G_2 \hookrightarrow H$ with $i_{G_1}(G_1) \cap i_{G_2}(G_2) \neq \emptyset$. The set of all overlaps of G_1 and G_2 is denoted by $\text{ol}(G_1, G_2)$. If a tuple as above is not given, then G_P , $i_{G_1}^P$ and $i_{G_2}^P$ denote the graph and morphisms of a given overlap $P \in \text{ol}(G_1, G_2)$.

Note that (H, i_{G_1}, i_{G_2}) with i_{G_1} and i_{G_2} being jointly surjective and $i_{G_1}(G_1) \cap i_{G_2}(G_2) = \emptyset$ could also be considered as an overlap of G_1 and G_2 . In this paper we only need to consider overlaps with $i_{G_1}(G_1) \cap i_{G_2}(G_2) \neq \emptyset$. So we have embedded this property directly into the definition.

As mentioned above, our approach also considers intermediate graphs. Therefore a notion of restricted graph morphisms is needed. For this, we introduce the notion of *restricted morphisms*, which intuitively is the restriction of the domain and co-domain of a morphism $p : G \hookrightarrow H$ with subgraphs of G and H respectively.

Definition 2.6 (restriction of a morphism). *Let the graphs G, H and a morphism $f : G \rightarrow H$ be given. Then, a morphism $f' : G' \rightarrow H'$ is called a restriction of p if inclusions $i : G' \hookrightarrow G$ and $i' : H' \hookrightarrow H$ exist such that*

$$\begin{aligned} i'_E \circ f'_E &= f_E \circ i_E \text{ and} \\ i'_V \circ f'_V &= f_V \circ i_V. \end{aligned}$$

A restriction of p is denoted by p^r .

Note that given a morphism $p : G \rightarrow H$ a restriction $p^r : G' \rightarrow H'$ of p is uniquely determined by G' and H' . Assume two restrictions $p^r : G' \rightarrow H'$ and $q^r : G' \rightarrow H'$ of p are given. It holds that $i' \circ p^r = p \circ i = i' \circ q^r$ and $p^r = q^r$ follows because i' is injective.

2.2 Nested Graph Conditions and Constraints

Nested graph constraints are useful for specifying graph properties. The more general notion of *nested graph conditions* allows the specification of properties for graph morphisms and the definition of graph conditions and constraints in a recursive manner. Within these conditions, only quantifiers and Boolean operators are used [8].

Definition 2.7 (nested graph condition). *A nested graph condition over a graph C_0 is defined recursively as*

1. *true is a graph condition over every graph.*
2. *$\exists(a_0 : C_0 \hookrightarrow C_1, d)$ is a graph condition over C_0 if a_0 is a inclusion and d is a graph condition over C_1 .*
3. *$\neg d$, $d_1 \wedge d_2$ and $d_1 \vee d_2$ are graph conditions over C_0 if d , d_1 and d_2 are graph conditions over C_0 .*

*Conditions over the empty graph \emptyset are called constraints. We use the abbreviations $\forall(a_0 : C_0 \hookrightarrow C_1, d) := \neg \exists(a_0 : C_0 \hookrightarrow C_1, \neg d)$ and **false** = \neg **true**.*

Conditions of the form $\exists(a_0 : C_0 \hookrightarrow C_1, d)$ are called existential and the graph C_1 is called existentially bound. Conditions of the form $\forall(a_0 : C_0 \hookrightarrow C_1, d)$ are called universal and the graph C_1 is called universally bound.

Since these are the only types of conditions that will be used in this paper, we will refer to them only as *conditions* and *constraints*. We will use the more compact notations $\exists(C_1, d)$ for $\exists(a_0 : C_0 \hookrightarrow C_1, d)$ and $\forall(C_1, d)$ for $\forall(a_0 : C_0 \hookrightarrow C_1, d)$ if C_0 and a_0 are clear from the context.

Example 2.1. Given a condition $c = \forall(a_0 : \emptyset \hookrightarrow C_1, \exists(a_2 : C_1 \hookrightarrow C_2, \text{true}))$. The compact notation of this condition is given by $\forall(C_1, \exists(C_2, \text{true}))$.

Definition 2.8 (semantic of graph conditions). Given a graph G , a condition c over C_0 and a graph morphism $p : C_0 \hookrightarrow G$. Then p satisfies c , denoted by $p \models c$, if

1. $c = \text{true}$.
2. $c = \exists(a_0 : C_0 \hookrightarrow C_1, d)$ and there exists an injective morphism $q : C_1 \hookrightarrow G$ with $p = q \circ a_0$ and $q \models d$.
3. $c = \neg d$ and $p \not\models d$.
4. $c = d_1 \wedge d_2$ and $p \models d_1$ and $p \models d_2$.
5. $c = d_1 \vee d_2$ and $p \models d_1$ or $p \models d_2$.

A graph G satisfies a constraint c , denoted by $G \models c$, if the morphism $p : \emptyset \hookrightarrow G$ satisfies c .

Our approach is designed to repair a specific type of constraint, constraints without any boolean operators. Each of these conditions can be transformed into an equivalent condition in so-called *alternating quantifier normal form* [15]. As the name suggests, these are conditions with alternating quantifiers and without any Boolean operators.

Definition 2.9 (alternating quantifier normal form (ANF)). Conditions in alternating quantifier normal form (ANF) are defined recursively as

1. *true* and *false* are conditions in ANF.
2. $\exists(a_0 : C_0 \hookrightarrow C_1, d)$ is a condition in ANF if either d is an universally bound condition over C_1 in ANF or $d = \text{true}$.
3. $\forall(a_0 : C_0 \hookrightarrow C_1, d)$ is a condition in ANF if either d is an existentially bound condition over C_1 in ANF or $d = \text{false}$.

Every condition is a subcondition of itself. In cases 2 and 3, d is called a subcondition of $\exists(a : C_0 \hookrightarrow C_1, d)$ or $\forall(a : C_0 \hookrightarrow C_1, d)$ respectively. All subcondition of d are also subconditions of $\exists(a : C_0 \hookrightarrow C_1, d)$ or $\forall(a : C_0 \hookrightarrow C_1, d)$ respectively. The nesting level $\text{nl}(c)$ of a condition c is recursively defined as $\text{nl}(\text{true}) = \text{nl}(\text{false}) = 0$ and $\text{nl}(\exists(a : P \hookrightarrow Q, d)) = \text{nl}(\forall(a : P \hookrightarrow Q, d)) := \text{nl}(d) + 1$.

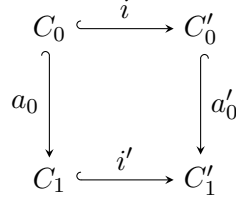


Figure 1: Diagram for the Shift operator.

In the literature, conditions in ANF also allow conditions that end with conditions of the form $\exists(C_1, \text{false})$ or $\forall(C_1, \text{true})$. We exclude these cases so that conditions in ANF can only end with conditions of the form $\exists(C_1, \text{true})$ or $\forall(C_1, \text{false})$, since it is easily seen that every morphism $p : C_0 \hookrightarrow G$ satisfies $\forall(C_1, \text{true})$ and does not satisfy $\exists(C_1, \text{false})$. Therefore, these conditions can be replaced by **true** and **false** respectively.

In the following, we assume that all graphs and the nesting level of a condition are finite. c

Using the *shift over morphism* construction, we are able to transform a nested condition over C into a nested condition over C' via an injective morphism $i : C \hookrightarrow C'$ [8].

Definition 2.10 (shift over morphism). Let a condition c over C_0 and a morphism $i : C_0 \hookrightarrow C'_0$ be given. The shift of c over i , denoted by $\text{Shift}(c, i)$, is given by

1. If $c = \text{true}$, $\text{Shift}(c, i) = \text{true}$.
2. If $c = \exists(a_1 : C_0 \hookrightarrow C_1, d)$, $\text{Shift}(c, i) = \bigvee_{(a', i') \in \mathcal{F}} \exists(a', \text{Shift}(d, i'))$ with \mathcal{F} being the set of all pairs (a', i') of injective morphisms that are jointly surjective and $i' \circ a = a' \circ i$, i.e., the diagram shown in Figure 1 commutes.
3. If $c = \neg d$, $\text{Shift}(c, i) = \neg \text{Shift}(d, i)$
4. If $c = d_1 \wedge d_2$, $\text{Shift}(c, i) = \text{Shift}(d_1, i) \wedge \text{Shift}(d_2, i)$
5. If $c = d_1 \vee d_2$, $\text{Shift}(c, i) = \text{Shift}(d_1, i) \vee \text{Shift}(d_2, i)$

Lemma 2.11 ([8]). Let a condition c over C_0 and a morphism $i : C_0 \hookrightarrow C'_0$ be given. Then, for each morphism $m : C'_0 \hookrightarrow G$,

$$m \models \text{Shift}(c, i) \iff m \circ i \models c$$

2.3 Rules and Graph Transformations

Via *rules* and *graph transformation* graphs can be modified by inserting or deleting nodes and edges. We will use the concept of the double-pushout approach for rules and transformations, which is based on category theory [5]. A rule consists of the three graphs

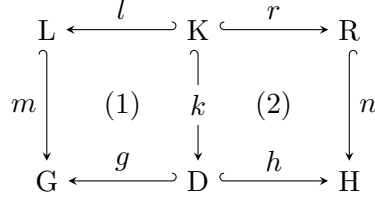


Figure 2: Diagram of a transformation in the double-pushout approach.

L , called the *left-hand side*, K , called *context*, and R , called *right-hand side*, where K is a subgraph of L and R . During a transformation, denoted by $G \Longrightarrow H$, elements of $L \setminus K$ are removed and elements of $R \setminus K$ are inserted so that a new morphism $p : R \hookrightarrow H$ is created. In addition, the so-called *dangling edge condition* must be satisfied, which means that for every edge $e \in E_H$ there are vertices $u, v \in V_H$ such that $\text{tar}(e) = u$ and $\text{src}(e) = v$ or vice versa. We also define application conditions. These are nested conditions over L and R that prevent the transformation if they are not satisfied. Later, we will use application conditions to ensure that transformations cannot reduce consistency. For example, application conditions that prevent a transformation if $G \models c$ and $H \not\models c$.

Definition 2.12 (rules and application conditions). A plain rule $\rho = L \xleftarrow{l} K \xrightarrow{r} R$ consists of graphs L, K, R and inclusions $l : K \hookrightarrow L$ and $r : K \hookrightarrow R$. The rule $\rho^{-1} = R \xleftarrow{r} K \xrightarrow{l} L$ is called the inverse rule of ρ .

An application condition is a nested condition over L or R respectively. A rule $(\text{ap}_L, \rho, \text{ap}_R)$ consists of a plain rule ρ and application conditions ap_L over L , called left application condition, and ap_R over R , called right application condition respectively.

Definition 2.13 (graph transformation). Let a rule $\rho = (\text{ap}_L, \rho', \text{ap}_R)$, a graph G and a morphism $m : L \hookrightarrow G$, called the match, be given. Then, a graph transformation $t : G \Longrightarrow_{\rho, m} H$ is given in Figure 2 if the squares (1) and (2) are pushouts in the sense of category theory, $m \models \text{ap}_L$ and the morphism $n : L \hookrightarrow H$, called the co-match of t , satisfies ap_R . The morphisms $g : D \hookrightarrow G$ and $h : D \hookrightarrow H$ are called the transformations morphisms of t .

The presence of right applications conditions leads to unpleasant side effects. The satisfaction of a right application condition can only be checked after the transformation. The transformation must therefore be reversed if the co-match does not satisfy this condition. To avoid this, we introduce the *shift over rule* operation, which is capable of transforming a right into an equivalent left application condition [8].

Definition 2.14 (shift over rule). Let a plain rule $\rho = L \xleftarrow{l} K \xrightarrow{r} R$ and a right application condition ap of ρ be given. The shift of ap over ρ , denoted with $\text{Left}(\text{ap}, \rho)$, is defined as

1. If $\text{ap} = \text{true}$, $\text{Left}(\text{ap}, \rho) := \text{true}$.

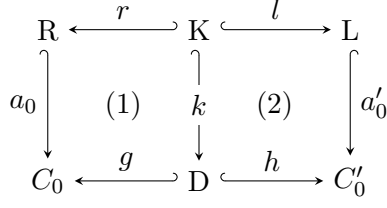


Figure 3: Transformation for the shift over rule operator.

2. If $\text{ap} = \neg d$, $\text{Left}(\text{ap}, \rho) := \neg \text{Left}(d, \rho)$.
3. If $\text{ap} = d_1 \wedge d_2$, $\text{Left}(\text{ap}, \rho) := \text{Left}(d_1, \rho) \wedge \text{Left}(d_2, \rho)$.
4. If $\text{ap} = d_1 \vee d_2$, $\text{Left}(\text{ap}, \rho) := \text{Left}(d_1, \rho) \vee \text{Left}(d_2, \rho)$.
5. If $\text{ap} = \exists(a_0 : R \hookrightarrow C_1, d)$, $\text{Left}(\text{ap}, \rho) := \exists(a'_0 : L \hookrightarrow C'_0, \text{Left}(d, \rho'))$ where $\rho' = C_0 \xleftarrow{g} D \xhookrightarrow{h} C'_0$ is the rule derived in Figure 3 by applying ρ^{-1} at match a_0 . If this transformation does not exist, we set $\text{Left}(\text{ap}, \rho) := \text{false}$.

Shift over rule produces an equivalent left application condition, meaning that, given a right application condition ap and a plain rule ρ , a match of a transformation satisfies $\text{Left}(\text{ap}, \rho)$ if and only if the co-match satisfies ap [8].

Lemma 2.15. *Let a plain rule $\rho = L \xleftarrow{l} K \xhookrightarrow{r} R$, a right application condition ap for ρ and a transformation $t : G \Longrightarrow_{\rho, m} H$ be given. Then,*

$$m \models \text{Left}(\text{ap}, \rho) \iff n \models \text{ap}.$$

Since every right application condition can be transformed into an equivalent left application condition, we will assume from now on that each rule contains only left application conditions. These rules are denoted by (ap, ρ) .

Via the *track morphism* it is possible to track elements across a transformation [14].

Definition 2.16 (track morphism). *Consider the transformation t shown in figure 2. The track morphism, $\text{tr}_t : G \dashrightarrow H$, of t is a partial morphism, defined as*

$$\text{tr}_t = \begin{cases} h(g^{-1}(e)) & \text{if } e \in g(D) \\ \text{undefined} & \text{otherwise.} \end{cases}$$

For example, given a transformation $t : G \Longrightarrow H$, the track morphism can be used to check whether a morphism $p : C \hookrightarrow G$ extends to the derived graph H by checking whether $\text{tr}_t \circ p$ is total, or whether a new morphism $q : C \hookrightarrow H$ has been inserted by checking that no morphism $p : C \hookrightarrow H$ with $q = \text{tr}_t \circ p$ exists [10]. We will use these results later on.

Lemma 2.17 ([10]). *Let a transformation $t : G \Longrightarrow G$ with transformation morphisms $g : D \hookrightarrow G$, $h : D \hookrightarrow H$ and an occurrence $p : C \hookrightarrow G$ of a graph C be given. Then,*

1. The track morphism tr_t of t is total when restricted to $p(C)$, i.e. $\text{tr}_t \circ p$ is total, if and only if there is an injective morphism $p' : C \hookrightarrow D$ such that $p = g \circ p'$.
2. Given an injective morphism $p : C \hookrightarrow H$, $p(C)$ is contained in $\text{tr}_t(G)$ if and only if there is an injective morphism $p' : C \hookrightarrow D$ such that $p = h \circ p'$.

Lemma 2.18 ([10]). *Given a transformation $t : G \Rightarrow H$ with the transformation morphisms $g : D \hookrightarrow G$, $h : D \hookrightarrow H$ and a constraint c in ANF that contains the morphism $a_i : C_{i-1} \hookrightarrow C_i$. Given injective morphisms $p_{i-1} : C_{i-1} \hookrightarrow G$ and $p_i : C_i \hookrightarrow G$ such that $p_{i-1} \circ a_i = p_i$ and the track morphism $\text{tr}_t : G \dashrightarrow H$ is total when restricted to $p_i(C_i)$. Then, $p'_{i-1} = p'_i \circ a_i$ where $p'_{i-1} = \text{tr}_t \circ p_{i-1}$ and $p'_i = \text{tr}_t \circ p_i$. Also, given injective morphisms $p'_{i-1} : C_{i-1} \hookrightarrow H$ and $p'_i : C_i \hookrightarrow H$ such that $p'_{i-1} = p'_i \circ a_i$ and $p_i(C_i)$ is contained in $\text{tr}_t(G)$, then $p_{i-1} = p_i \circ a_i$ where $p_{i-1} = \text{tr}_t^{-1} \circ p'_{i-1}$ and $p_i = \text{tr}_t^{-1} \circ p'_i$.*

Definition 2.19 (new and removed occurrences). *Given a transformation $t : G \Rightarrow H$ and a graph C . An occurrence $p : C \hookrightarrow G$ is called a removed occurrence of C by t if $\text{tr}_t \circ p$ is not total. An occurrence $p' : C \hookrightarrow H$ is called a inserted occurrence of C by t if there is no morphism $p : C \hookrightarrow G$ such that $p' = \text{tr}_t \circ p$.*

Given a sequence of transformations, the notion of *concurrent rules* can be used to describe this sequence by a rule. In other words, any sequence of transformations can be replaced by a transformation via its concurrent rule [6].

Definition 2.20 (concurrent rule). *Let the rules $\rho_1 = L_1 \xleftarrow{l_1} K_1 \xrightarrow{r_1} R_1$, $\rho_2 = L_2 \xleftarrow{l_2} K_2 \xrightarrow{r_2} R_2$ and a sequence of transformations*

$$G_1 \Rightarrow_{\rho_1, m_1} G_2 \Rightarrow_{\rho_2, m_2} G_3$$

be given. Then, $\rho' = G_1 \xleftarrow{l'} K \xrightarrow{r'} G_3$ is called the concurrent rule of the transformation sequence if the square (5) in Figure 4 is a pullback.

A transformation sequence $G_1 \Rightarrow_{\rho_1, m_1} G_2 \Rightarrow_{\rho_2, m_2} G_3$ can be replaced by a transformation $G_1 \Rightarrow_{\rho', \text{id}} G_3$ via its concurrent rule. By inductive application, a concurrent rule for a transformation sequence $G_1 \Rightarrow_{\rho_0} \dots \Rightarrow_{\rho_n} G_n$ of arbitrary finite length can be derived.

2.4 Concepts of Consistency

Now, we will introduce familiar consistency concepts. Namely, the notions of consistency preserving and guaranteeing transformations [8] and the notions of (direct) consistency sustaining and improving transformations [10]. Later, we will examine how these concepts differ from and correlate to our newly introduced concept of consistency.

Definition 2.21 (consistency preserving and guaranteeing transformations). *Let a constraint c and a transformation $t : G \Rightarrow H$ be given. Then, t is called c -preserving if*

$$G \models c \Rightarrow H \models c.$$

The transformation t is called c -guaranteeing if $H \models c$.

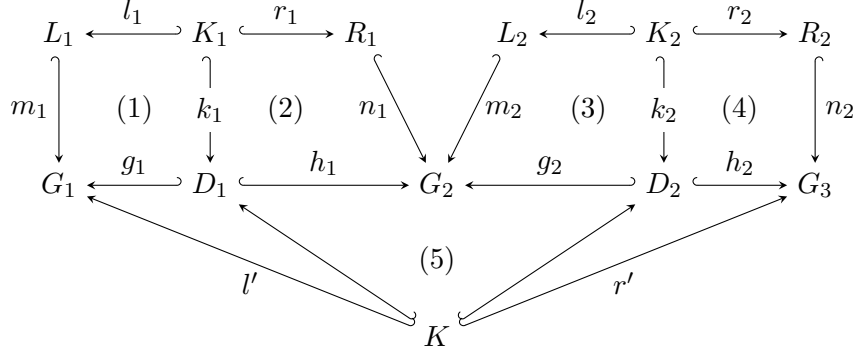


Figure 4: Pushout diagram of the transformation sequence $G_1 \Rightarrow_{\rho_1, m_1} G_2 \Rightarrow_{\rho_2, m_2} G_3$ using the rules $\rho_1 = L_1 \xleftarrow{l_1} K_1 \xrightarrow{r_1} R_1$ and $\rho_2 = L_2 \xleftarrow{l_2} K_2 \xrightarrow{r_2} R_2$.

While consistency preserving and guaranteeing transformations are defined for nested conditions, the finer-grained notions of (direct) consistency sustaining and improving transformations are defined only for conditions in ANF.

Definition 2.22 (consistency sustaining and improving transformations). *Let a constraint c in ANF and a transformation $t : G \Rightarrow_{\rho} H$ be given. If c is existentially bound, t is called consistency sustaining w.r.t. c if it is c -preserving and t is called consistency improving w.r.t. c if it is c -guaranteeing. If $c = \forall(a_0 : \emptyset \hookrightarrow C_1, d)$ is universally bound, t is called consistency sustaining w.r.t. c if*

$$|\{p : C_1 \hookrightarrow G \mid p \not\models d\}| \geq |\{p : C_1 \hookrightarrow H \mid p \not\models d\}|$$

and t is called consistency improving w.r.t. c if

$$|\{p : C_1 \hookrightarrow G \mid p \not\models d\}| > |\{p : C_1 \hookrightarrow H \mid p \not\models d\}|.$$

The number of elements of these sets are called the number of violations in G and number of violations in H respectively.

The even stricter notion of direct sustaining and improving transformations prohibits the insertion of new violations altogether.

Definition 2.23 (direct sustaining and improving transformations). *Let a constraint c in ANF and a transformation $t : G \Rightarrow_{\rho} H$ be given. If c is existentially bound, t is called direct consistency sustaining w.r.t. c if t is c -preserving and t is called direct consistency improving w.r.t. c if t is c -guaranteeing.*

If $c = \forall(a_0 : \emptyset \hookrightarrow C_1, d)$, t is called consistency sustaining w.r.t. c if

$$\begin{aligned} \forall p : C_0 \hookrightarrow G ((p \models d \wedge \text{tr}_t \circ p \text{ is total}) \implies \text{tr}_t \circ p \models d) \text{ and} \\ \forall p' : C_0 \hookrightarrow H (\neg \exists q : C_0 \hookrightarrow G (p' = \text{tr}_t \circ q) \implies p' \models d) \end{aligned}$$

and t is called consistency improving w.r.t. c if additionally

$$\begin{aligned} \exists p : C_0 \in G (p \not\models d \text{ and } \text{tr}_t \circ p \text{ is total} \wedge \text{tr}_t \circ p \models d) \vee \\ \exists p : C \hookrightarrow G (p \not\models d \wedge \text{tr}_t \circ p \text{ is not total}). \end{aligned}$$

3 Consistency Increase and Maintainment

In the following we will introduce the notions of *Satisfaction until after layer*, *(direct) consistency-maintaining* and *(direct) consistency-increasing* transformations and rules and compare them with the notions of consistency introduced in the previous section.

Definition 3.1 (layer of a subcondition). *Let a condition c in ANF and a subcondition d of c be given. The layer of d is defined as $\text{lay}(d) := \text{nl}(c) - \text{nl}(d)$.*

Our approach is based on the idea that the consistency of a constraint increases layer by layer, and that even small improvements, such as inserting single elements of existentially bound graphs, should be detectable as increasing. To formalise this, we introduce the notions of *consistency increasing* and *consistency maintaining* transformations and rules, where consistency increasing indicates that the consistency has actually increased and consistency maintaining indicates that the consistency has not decreased.

3.1 Universally quantified ANF

The definition of consistency increase and maintainment requires that each condition begins with a universal quantifier. Otherwise, case discrimination is required. Therefore, we will only consider a subset of the set of conditions in ANF, namely the set of universally quantified conditions in ANF, called *universally quantified ANF* (UANF). Furthermore, we will show that these sets are expressively equivalent by showing that every condition in ANF can be transformed into an equivalent condition in UANF.

Definition 3.2 (universally quantified alternating quantifier normal form). *A conditions c in ANF is in universally quantified ANF (UANF) if it is universally bound.*

Note that in our notation, given a condition c in UANF, any subcondition of c at layer $0 \leq k \leq \text{nl}(c)$ is universal if k is an even number and existential if k is an odd number. Furthermore, a graph C_k of c is universally bound if k is an odd number and existentially bound if k is an even number. It is already known that an existentially bound condition c can be extended to the equivalent condition $\exists(\text{id}_{C_0} : C_0 \hookrightarrow C_0, d)$ [7]. Analogously, we show that every condition in ANF has an equivalent condition in UANF.

Lemma 3.3. *Any condition in ANF can be transformed into an equivalent condition in UANF.*

Proof. Let a graph G and a constraint c in ANF be given. If c is universally bound, then c is already in UANF. If $c = \exists(a_0 : C_0 \hookrightarrow C_1, d)$, we show that c is equivalent to $c' := \forall(\text{id}_{C_0} : C_0 \hookrightarrow C_0, c)$.

1. Let $p : C_0 \hookrightarrow G$ be a morphism such that $p \models c$. Then $p \models c'$, because p is the only morphism from C_0 to G with $p = p \circ \text{id}_{C_0}$ and $p \models c$.
2. Let $p : C_0 \hookrightarrow G$ be a morphism with $p \models c'$, then all morphisms $q : C_0 \hookrightarrow G$ with $p = q \circ \text{id}_{C_0}$ satisfy c . Since $p = p \circ \text{id}_{C_0}$, it immediately follows that $p \models c$. \square

$$c_1 = \forall(C_1^1, \exists(C_2^1, \text{true}))$$

$$c_2 = \forall(C_1^1, \exists(C_2^2, \forall(C_3^2, \exists(C_4^2, \text{true}))))$$

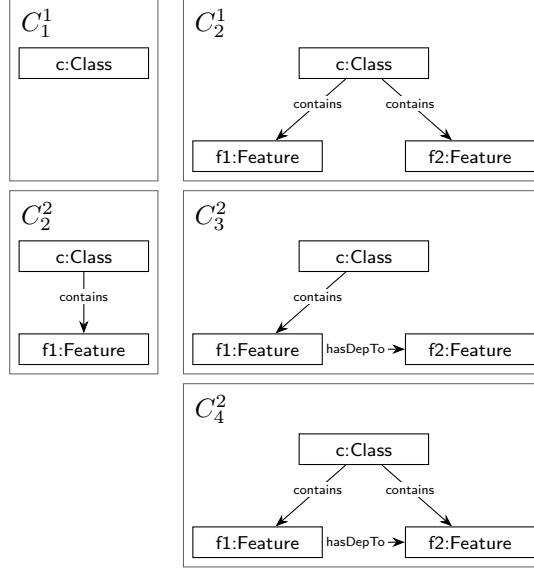


Figure 5: constraints

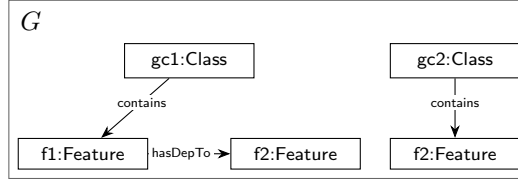


Figure 6: graph

For the rest of this thesis, given a condition $c = \forall(a_0 : C_0 \hookrightarrow C_1, d)$ in UANF, we assume that no morphism in c , except a_0 , is bijective, since it can be shown that every condition in ANF can be transformed into an equivalent condition in UANF that satisfies this property, by showing that $\exists(\text{id}_{C_0} : C_0 \hookrightarrow C_0, \forall(a_1 : C_0 \hookrightarrow C_2, d))$ is equivalent to $\forall(a_1 : C_0 \hookrightarrow C_2, d)$ and that $\forall(\text{id}_{C_0} : C_0 \hookrightarrow C_0, \exists(a_1 : C_0 \hookrightarrow C_2, d))$ is equivalent to $\exists(a_1 \circ a_0 : C_0 \hookrightarrow C_2, d)$ [7]. In addition, given a condition c in UANF, we will denote the first graph of c with C_0 , the first morphism with a_0 , the second graph with C_1 , the second morphism with a_1 , and so on. This means that we always write constraints as $\forall(a_0 : C_0 \hookrightarrow C_1, \exists(a_1 : C_1 \hookrightarrow C_2, \dots))$.

3.2 Satisfaction until after Layer

The goal of our approach is to increase the consistency of a constraint layer by layer, as we have already mentioned. To do this, we introduce a notion of partial consistency,

called *Satisfaction until after layer*, which allows us to check whether a constraint is satisfied at a particular layer by checking whether the so-called *truncated condition after layer* is satisfied at that layer.

We first define the *subcondition at layer* $-1 \leq k \leq \text{nl}(c)$ of a condition c . As the name suggests, the subcondition at layer $0 \leq k \leq \text{nl}(c)$ denotes the subcondition of c with layer k . We also define the subcondition at layer -1 , which is *true*. This will be useful for defining the satisfaction at layer when a graph does not satisfy any layer of a constraint.

Definition 3.4 (subcondition at layer). *Let a condition c in ANF be given. The subcondition at layer $-1 \leq k \leq \text{nl}(c)$, denoted by $\text{sub}_k(c)$, is the subcondition d of c with $\text{lay}(d) = k$ if $0 \leq k \leq \text{nl}(c)$ and *true* if $k = -1$.*

Note that by definition the subcondition at layer k is always a condition over the graph C_k and the morphism is denoted by a_k .

Example 3.1. *Consider the condition $c = \forall(a_0 : C_0 \hookrightarrow C_1, \exists(a_1 : C_1 \hookrightarrow C_2, \forall(a_2 : C_2 \hookrightarrow C_3, \text{false})))$. Then, $\text{sub}_1(c) = \exists(a_1 : C_1 \hookrightarrow C_2, \forall(a_2 : C_2 \hookrightarrow C_3, \text{false}))$.*

1. $\text{sub}_{-1}(c) = \text{true}$.
2. $\text{sub}_0(c) = \forall(a_0 : C_0 \hookrightarrow C_1, \exists(a_1 : C_1 \hookrightarrow C_2, \forall(a_2 : C_2 \hookrightarrow C_3, \text{false}))) = c$.
3. $\text{sub}_1(c) = \exists(a_1 : C_1 \hookrightarrow C_2, \forall(a_2 : C_2 \hookrightarrow C_3, \text{false}))$.
4. $\text{sub}_2(c) = \forall(a_2 : C_2 \hookrightarrow C_3, \text{false})$.
5. $\text{sub}_3(c) = \text{false}$.

Let us first introduce an operator which allows to replace a subcondition $\text{sub}_k(c)$ by an arbitrary condition over C_k , called *replacement starting from layer*.

Definition 3.5 (replacement starting from layer). *Given a condition $c = Q(a_0 : C_0 \hookrightarrow C_1, d)$, with $Q \in \{\forall, \exists\}$, in ANF, and a condition e over C_k in ANF. The replacement starting from layer k in c by e , denoted by $\text{rep}_k(c, e)$, is defined recursively as*

$$\text{rep}_k(c, e) := \begin{cases} e & \text{if } k = 0 \\ Q(a_0 : C_0 \hookrightarrow C_1, \text{rep}_{k-1}(d, e)) & \text{otherwise.} \end{cases}$$

Example 3.2. *Consider the conditions $c := \forall(a_0 : C_0 \hookrightarrow C_1, \exists(a_1 : C_1 \hookrightarrow C_2, \text{true}))$ and $e = \exists(a'_1 : C_1 \hookrightarrow C_3, d)$. The replacement of layer 1 in c by e is given by*

$$\text{rep}_1(c, e) = \forall(a_0 : C_0 \hookrightarrow C_1, \exists(a'_1 : C_1 \hookrightarrow C_3, d)).$$

We now define *truncated conditions after layer* using the concept of replacement starting from layer. Intuitively, a condition is truncated after a particular layer by replacing the subcondition at the next layer with *true* or *false*, depending on which quantifier the replaced subcondition is bound by.

Definition 3.6 (truncated condition after layer). Let a condition c in UANF be given. The truncated condition of c after layer $-1 \leq k < \text{nl}(c)$, denoted by $\text{cut}_k(c)$, is defined as

$$\text{cut}_k(c) := \begin{cases} \text{true} & \text{if } k = -1 \\ \text{rep}_{k+1}(c, \text{true}) & \text{if } \text{sub}_k(c) \text{ is a existential condition, i.e. } k \text{ is odd} \\ \text{rep}_{k+1}(c, \text{false}) & \text{if } \text{sub}_k(c) \text{ is a universal condition, i.e. } k \text{ is even.} \end{cases}$$

Example 3.3. Consider constraint c_2 given in Figure 5. The truncated conditions of c_2 after layer $-1 \leq k < 3$ are given by

1. $\text{cut}_{-1}(c_2) = \text{true}$.
2. $\text{cut}_0(c_2) = \forall(C_1^1, \text{false})$.
3. $\text{cut}_1(c_2) = \forall(C_1^1, \exists(C_2^2, \text{true}))$.
4. $\text{cut}_2(c_2) = \forall(C_1^1, \exists(C_2^2, (\forall C_3^2, \text{false})))$.
5. $\text{cut}_3(c_2) = \forall(C_1^1, \exists(C_2^2, (\forall C_3^2, \exists(C_4^2, \text{true})))) = c_2$.

Note that the truncated condition of a condition c at layer $\text{nl}(c) - 1$ is c itself. With these prerequisites we can now introduce *satisfaction until after layer*, which allows us to check whether a condition is satisfied up to a given layer. A morphism or graph satisfies a condition or constraint until after a layer if it satisfies the truncated condition after that layer.

Definition 3.7 (satisfaction until after layer). Let a graph G and a condition c in UANF be given. A morphism $p : C_0 \hookrightarrow G$ satisfies c until after layer $-1 \leq k < \text{nl}(c)$, denoted by $p \models_k c$, if

$$p \models \text{cut}_k(c).$$

A graph G satisfies a constraint c until after layer $-1 \leq k < \text{nl}(c)$, denoted by $G \models_k c$, if $q : \emptyset \hookrightarrow G$ satisfies $\text{cut}_k(c)$. The largest $-1 \leq k < \text{nl}(c)$ such that $G \models_k c$ and there is no $k < j < \text{nl}(c)$ with $G \models_j c$, called the largest satisfied layer, is denoted by $k_{\max}(c, G)$. When c and G are clear from the context, we use the abbreviation k_{\max} .

Note that given a graph G and a constraint c , $k_{\max}(c, G)$ always exists, since $\text{cut}_{-1}(c) = \text{true}$ and every graph satisfies true . Moreover, if $p \models_{\text{nl}(c)-1} c$, i.e. $k_{\max} = \text{nl}(c) - 1$, it immediately follows that $p \models c$.

Example 3.4. Consider the graph G given in Figure 6 and the constraint c_2 given in Figure 5. This graph does not satisfy c_2 because the occurrence of **Class** denoted with **gc2** does not satisfy $\text{sub}_1(c_2) = \exists(C_2^2, (\forall C_3^2, (\exists C_4^2, \text{true})))$, but it satisfies $\text{cut}_1(c_2) = \forall(C_1^1, \exists(C_2^2, \text{true}))$ and therefore

$$G \models_1 c_2 \text{ and } k_{\max} = 1.$$

$p \models_k c$	$p \models_{j < k} c$		$p \models_{j > k} c$		$p \models c$
	j even	j odd	j even	j odd	
k even	?	✓	✓	✓	✓
k odd	?	✓	?	?	?

Table 1: Overview of the inferences made about satisfaction at layer, with “✓” indicating that $p \models_j c$ and $p \models c$, respectively, if $p \models_k c$, and “?” indicating that it cannot be inferred from $p \models_k c$ whether $p \models_j c$ or $p \not\models_j c$.

Given a graph G , a condition c and a morphism $p : C_0 \hookrightarrow G$. Suppose that $p \models_k c$ with $0 \leq k < \text{nl}(c)$. Then we can infer results for the satisfaction until after other layers. If k is even, i.e. $\text{sub}_k(c)$ is a universal condition, we can conclude that $p \models_j c$ for all $k < j < \text{nl}(c)$ and especially $p \models c$. It also follows that $p \models_j c$ for all odd $0 \leq j < k$, i.e. $\text{sub}_j(c)$ is an existential condition. We present these results in the following lemmas, and an overview is given in Table 1.

We start by examining the consequences for the satisfaction until after layer $\text{nl}(c) > j > k$ if $p \models_k c$. Our first lemma shows that replacing the subcondition $\text{sub}_{k+1}(c)$ by any condition over C_{k+1} leads to a condition that is satisfied by p if k is even.

Lemma 3.8. *Given a graph G , a condition c in UANF and a morphism $p : C_0 \hookrightarrow G$ with $p \models_k c$ and $-1 \leq k < \text{nl}(c)$ even. Then, for any condition f over C_{k+1} it holds that*

$$p \models \text{rep}_{k+1}(c, f).$$

Proof. We start by showing the statement for the smallest $-1 \leq j < \text{nl}(c)$ such that $\text{sub}_j(c)$ is universally bound and $p \models_j c$. After this, we can conclude that this statement holds for all $-1 \leq i < \text{nl}(c)$ such that $\text{sub}_i(c)$ is universally bound and $p \models_i c$.

Let $q : C_j \hookrightarrow G$ be a morphism such that $q \models \forall(a_j : C_j \hookrightarrow C_{j+1}, \text{false})$. This morphism must exist, since j is the smallest even number with $p \models_j c$. Therefore, there does not exist a morphism $q' : C_{j+1} \hookrightarrow G$ with $q = q' \circ a_j$. Hence, for every condition f over C_{j+1} a morphism $q' : C_{j+1} \hookrightarrow G$ with $q \not\models f$ and $q = q' \circ a_j$ cannot exist. It follows immediately that $q \models \forall(a_j : C_j \hookrightarrow C_{j+1}, f)$ and with that $p \models \text{rep}_{j+1}(c, f)$.

We can now conclude that for every even $j < k \leq \text{nl}(c)$, such that $p \models_k c$, and every condition d over C_{k+1} it holds that $p \models \text{rep}_{k+1}(c, d)$ because $\text{rep}_{k+1}(c, d) = \text{rep}_{j+1}(c, \text{sub}_{j+1}(\text{rep}_{k+1}(c, d)))$. \square

As a direct consequence of the previous lemma, a morphism which satisfies the condition at layer k , where k is even, also satisfies the condition at layer j for all $j > k$.

Lemma 3.9. *Given a graph G , a morphism $p : C_0 \hookrightarrow G$ and a condition c in UANF. If $0 \leq k < \text{nl}(c)$ is even, i.e. $\text{sub}_k(c)$ is a universal condition, then for all $k < j < \text{nl}(c)$ it holds that*

$$p \models_k c \implies p \models_j c.$$

Proof. Follows immediately by using Lemma 3.8 and setting f equal to $\text{sub}_{k+1}(\text{cut}_j(c))$. \square

$p \models_k c$	$k_{\max} < \text{nl}(c) - 1$ $k \leq k_{\max}$	$k_{\max} = \text{nl}(c) - 1$ $k < k_{\max}$
k even	✗	?
k odd	✓	✓

Table 2: Overview of the satisfaction until after layer k with respect to k_{\max} , where “**✓**” indicates that $p \models_k c$, “**✗**” indicates that $p \not\models_k c$ and “?” indicates that it cannot be concluded from $p \models_k c$ whether $p \models_j c$ or $p \not\models_j c$.

Since a morphism p satisfies a condition c in UANF if and only if p satisfies c at layer $\text{nl}(c) - 1$, we can conclude the following.

Corollary 3.10. *Given a graph G , a morphism $p : C_0 \hookrightarrow G$ and a condition c in UANF. If $0 \leq k < \text{nl}(c)$ is even, it holds that*

$$p \models_k c \implies p \models c.$$

In the following, we will mostly assume that k_{\max} is odd. This is because an even k_{\max} implies that the condition is already satisfied. Furthermore, this allows us to make statements about the satisfaction of other conditions. Given a graph G , a morphism $p : C_0 \hookrightarrow G$ and a condition c such that $p \models_k c$ for an even $-1 \leq k < \text{nl}(c)$. It follows that $p \models c$ and in particular $p \models c'$ for each condition c' with $\text{cut}_k(c) = \text{cut}_k(c')$.

Let us now examine the satisfaction until after layer j with $-1 < j < k$. If j is odd, i.e. $\text{sub}_j(c)$ is an existential condition, we can conclude that $p \models_j c$ as shown in the next lemma. If j is even, i.e. $\text{sub}_j(c)$ is universally bound, we can only make statements that depend on k_{\max} . If $k_{\max} < \text{nl}(c) - 1$, then $p \not\models_j c$. Otherwise $p \models c$ and therefore $k_{\max} = \text{nl}(c) - 1$ would immediately follow Corollary from 3.10. If $k_{\max} = \text{nl}(c) - 1$, we can say that there is at least one even $j \leq k_{\max}$ with $p \models_j c$ if c ends with $\forall(C_{\text{nl}(c)}, \text{false})$. An overview of these relations is given in Table 2.

Lemma 3.11. *Given a graph G , a morphism $p : C_0 \hookrightarrow G$ and a constraint c in UANF. Then for all odd $-1 \leq k \leq k_{\max}$, i.e. $\text{sub}_k(c)$ is an existential condition, we have*

$$p \models_k c.$$

Proof. If there is an even $0 \leq j < k_{\max}$, i.e. $\text{sub}_j(c)$ is universal, with $p \models_j c$, let j' be the smallest of these. Lemma 3.8 implies that $p \models_\ell c$ for all $j' \leq \ell < \text{nl}(c)$. Otherwise we set $j' = k_{\max}$.

Let $\ell < j'$, such that $\text{sub}_\ell(c)$ is an existential condition and let $d = \text{sub}_\ell(\text{cut}_{j'}(c)) = \exists(a_\ell : C_\ell \hookrightarrow C_{\ell+1}, e)$ be the subcondition at layer ℓ of the truncated condition after layer j' of c . Since $\ell < j'$, there must be a morphism $q : C_\ell \hookrightarrow G$ with $q \models d$ and therefore there must be a morphism $q' : C_{\ell+1} \hookrightarrow G$ with $q = q' \circ a_\ell$ and $q' \models e$. It follows that $q \models \exists(a_\ell : C_\ell \hookrightarrow C_{\ell+1}, \text{true})$ and thus $p \models_\ell c$. \square

Example 3.5. *We will show counterexamples for all “?” in Table 1 and Table 2. Consider constraint $c_2 = \forall(C_1^1, \exists(C_2^2, \forall(C_3^2, \exists(C_4^2, \text{true}))))$ given in Figure 5. We begin with Table 1.*

1. $j < k$, j and k are even. We set $k = 2$ and $j = 0$. It follows that $\text{cut}_k(c) = \forall(C_1^1, \exists(C_2^2, \forall(C_3^2, \text{false})))$ and $\text{cut}_j(c) = \forall(C_1^1, \text{false})$. Then, $C_2^2 \models_2 c_2$, $C_2^2 \not\models_0 c_2$ and $\emptyset \models_2 c_2$ and $\emptyset \models_0 c_2$.
2. $j < k$, k is odd and j is even. We set $k = 3$ and $j = 0$. It follows that $\text{cut}_k(c_2) = c_2$ and $\text{cut}_j(c) = \forall(C_1^1, \text{false})$. Then, $C_4^2 \models_3 c_2$, $C_4^2 \not\models_0 c_2$ and $\emptyset \models_3 c_2$ and $\emptyset \models_0 c_2$.
3. $j > k$, k is odd and j is even. We set $k = 1$ and $j = 2$. It follows that $\text{cut}_k(c) = \forall(C_1^1, \exists(C_2^2, \text{true}))$ and $\text{cut}_j(c) = \forall(C_1^1, \exists(C_2^2, \forall(C_3^2, \text{false})))$. Then, $C_2^2 \models_1 c_2$, $C_2^2 \models_2 c_2$ and $C_3^2 \models_1 c_2$ and $C_3^2 \not\models_2 c_2$.
4. $j > k$, k and j are odd. We set $k = 1$ and $j = 3$. It follows that $\text{cut}_k(c) = \forall(C_1^1, \exists(C_2^2, \text{true}))$ and $\text{cut}_j(c) = c_2$. Then, $C_2^2 \models_1 c_2$, $C_2^2 \models_3 c_2$ and $C_3^2 \models_1 c_2$ and $C_3^2 \not\models_3 c_2$. Since $\text{cut}_j(c) = c_2$ this is also a counterexample for the “?” in the column “ $p \models c$ ”.

For the “?” in Table 2 the graph C_2^2 satisfies c_2 and therefore $k_{\max} = 3 = \text{nl}(c_2) - 1$. But, $C_2^2 \models_2 c_2$ and $C_2^2 \not\models_0 c_2$.

3.3 Consistency Increasing and Maintaining Transformations and Rules

Using satisfaction until after layer, an increase of consistency can be detected in the following way: Let $t : G \Longrightarrow H$ be a transformation. If the largest satisfied layer in H is greater than the largest satisfied layer in G , i.e. $k_{\max}(c, G) < k_{\max}(c, H)$, we consider the transformation as consistency increasing. However, the notion of consistency increasing should also be able to detect the smallest changes made by a transformation that lead to an increase of consistency, namely the insertion of a single edges or nodes of an existentially bound graph. To remedy this problem, we introduce *intermediate conditions*, which are used to detect this type of increase by checking whether an intermediate condition not satisfied by G is satisfied by H . Obviously, a decrease of consistency can be detected in a similar way, by checking whether an intermediate condition satisfied by G is not satisfied by H . Intuitively, the last graph of a truncated condition c will be replaced by an intermediate graph of the penultimate graph and the last graph of this truncated condition.

If c ends with an existentially bound condition, the constructed intermediate condition is weaker than c , in the sense that the satisfaction of c implies the satisfaction of the intermediate condition as shown by Lemma 3.13.

Conversely, if c ends with a universally bound condition, the opposite holds: satisfying an intermediate condition implies the satisfaction of c . This is why we have designed intermediate conditions so that they only replace graphs on existential layers.

Definition 3.12 (intermediate condition). Let a condition c in UANF be given and let $0 \leq k < \text{nl}(c)$ be odd, i.e. $\text{sub}_k(c)$ is a existential condition. The intermediate condition, denoted by $\text{IC}_k(c, C')$, of c at layer k with $C' \in \text{IG}(C_k, C_{k+1})$ is defined as

$$\text{IC}_k(c, C') := \text{rep}_k(c, \exists(a_k^r : C_k \hookrightarrow C', \text{true})).$$

Lemma 3.13. *Given a condition c in UANF, a graph G , $0 \leq k < \text{nl}(c)$ odd, i.e. $\text{sub}_k(c)$ is a existential condition, and $C' \in \text{IG}(C_k, C_{k+1})$. Then,*

$$G \models \text{cut}_k(c) \implies G \models \text{IC}_k(c, C').$$

Proof. Assume that $G \models \text{cut}_k(c)$, i.e. $G \models_k c$. If there is an even $-1 \leq j < k$ such that $G \models_j c$, $G \models \text{IC}_k(c, C')$ follows with Lemma 3.8. Otherwise, if there is no such j , for all morphism $p : C_k \hookrightarrow G$ such that there is a morphism $p' : C_{k+1} \hookrightarrow G$ with $p = p' \circ a_k$, there is also a morphism $q : C' \hookrightarrow G$ with $p = q \circ a_k^r$ where $a_k^r : C_k \hookrightarrow C$ is the restriction of a_k and q is restriction of p to the domain C . It follows that $G \models \text{IC}_k(c, C')$. \square

Example 3.6. *Consider the constraint c_1 given in Figure 5. Since $C_2^2 \in \text{IG}(C_1^1, C_2^1)$, we can construct an intermediate condition of c_1 at layer 1 with C_2^2 as $\text{IC}_1(c_1, C_2^2) = \forall(C_1^1 \exists(C_2^2, \text{true}))$. While c_1 checks whether each node of type **Class** is connected to at least two nodes of type **Feature**, the intermediate condition checks whether each node of type **Class** is connected to at least one node of type **Feature** which is trivially satisfied if c_1 is satisfied.*

With the results above, we are now ready to define the notions of *consistency increase* and *maintainment*, where increase is a special case of maintainment. A transformation t is considered as consistency maintaining if it does not decrease consistency in the finer grained sense as described above, while t is considered as consistency increasing if it increases the consistency.

These notions are designed to detect only transformations that maintain (or increase) the consistency of the first two unsatisfied layers of a constraint c . That means, given a graph G and a constraint c , a transformation $t : G \implies H$ is considered as consistency maintaining if the largest satisfied layer has not decreased, i.e. if $k_{\max}(c, G) \leq k_{\max}(c, H)$, and at least as many increasing insertions or deletions have been made as decreasing ones. An increasing deletion is the deletion of an occurrence of $C_{k_{\max}(c, G)+2}$ that does not satisfy $\exists(C_{k_{\max}(c, G)+3}, \text{true})$, an increasing insertion is the insertion of elements, such that for at least one occurrence p of $C_{k_{\max}(c, G)+2}$ it holds that $p \not\models \exists(C', \text{true})$ and $\text{tr}_t \circ p \models \exists(C', \text{true})$ for an intermediate graph $C' \in \text{IG}(C_{k_{\max}(c, G)+2}, C_{k_{\max}(c, G)+3})$. Decreasing insertions and deletions are the opposite of increasing ones. That is, a decreasing insertion is the insertion of an occurrence of $C_{k_{\max}(c, G)+2}$ that does not satisfy $\exists(C_{k_{\max}(c, G)+3}, \text{true})$ and a decreasing deletion is the deletion of elements such that for one occurrence p of $C_{k_{\max}(c, G)+2}$ with $p \models \exists(C', \text{true})$ it holds that $\text{tr}_t \circ p \not\models \exists(C', \text{true})$ for an intermediate graph $C' \in \text{IG}(C_{k_{\max}(c, G)+2}, C_{k_{\max}(c, G)+3})$. If $k_{\max}(c, G) < k_{\max}(c, H)$ or the number of increasing insertions and deletions is greater than the number of decreasing ones, t is considered as consistency increasing.

To evaluate this, we define the *number of violations*. Intuitively, for all occurrences p of $C_{k_{\max}+2}$ the number of graphs $C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$ with $p \not\models \exists C'$ is added up, and by comparing these numbers for G and H it can be determined whether there have been more increasing insertions and deletions than decreasing ones.

The number of violations is defined for each layer of the constraint, but only for the first unsatisfied layer the sum is calculated as described above. For all layers k with

$k \leq k_{\max}$ it is set to 0 and for all layers k with $k > k_{\max} + 1$ it is set to ∞ . In this way, a transformation $t : G \Rightarrow H$ that increases the largest satisfied layer can be easily detected, since the number of violations in H at layer $k_{\max} + 1$ will be set to 0.

Definition 3.14 (number of violations). *Given a graph G and a constraint c in UANF, and let $e = \text{sub}_{k_{\max}+2}(c)$. The number of violations $\text{nv}_j(c, G)$ at layer $-1 \leq j < \text{nl}(c)$ in G is defined as:*

$$\text{nv}_j(c, G) := \begin{cases} 0 & \text{if } j < k_{\max} + 1 \\ \sum_{C' \in \text{IG}(C_{j+1}, C_{j+2})} |\{q \mid q : C_{j+1} \hookrightarrow G \wedge q \not\models \text{IC}_0(e, C')\}| & \text{if } e \neq \text{false} \text{ and } j = k_{\max} + 1 \\ |\{q \mid q : C_{j+1} \hookrightarrow G\}| & \text{if } e = \text{false} \text{ and } j = k_{\max} + 1 \\ \infty & \text{if } j > k_{\max} + 1 \end{cases}$$

Note that the second and third cases of Definition 3.14 only occur if $G \not\models c$ and $\text{sub}_{k_{\max}}(c)$ is an existential condition. So e is also existentially bound or equal to **false** if c ends with $\forall(C_{\text{nl}(c)}, \text{false})$ and $k_{\max} = \text{nl}(c) - 2$. Also note that the sets described above do contain occurrences of $C_{k_{\max}+2}$ whose removal (or repair such that they satisfy $\exists(C_{k_{\max}+3}, \text{true})$) will never lead to an increase of the largest satisfied layer. In particular, only the occurrences of $p : C_{k_{\max}+2} \hookrightarrow G$ such that the following holds affect the largest satisfied layer.

1. $p \not\models \exists(C_{k_{\max}+3}, \text{true})$.
2. $p = a_{k_{\max}+1} \circ \dots \circ a_0 \circ q$ where $a_i \circ \dots \circ q \models \text{sub}_{i+1}(\text{cut}_{k_{\max}}(c))$ for all $0 \leq i \leq k_{\max}$ and $q : \emptyset \hookrightarrow G$ is the empty morphism.

We will show this in the following lemma.

Lemma 3.15. *Given a graph G , a constraint c in UANF and an odd $-1 \leq k < \text{nl}(c) - 3$ such that $G \models_k c$. Then,*

$$G \models_{k+2} c$$

if for all occurrences $p : C_{k+2} \hookrightarrow G$ of C_{k+2} where $p = a_{k+1} \circ \dots \circ a_0 \circ q$ and $a_i \circ \dots \circ q \models \text{sub}_{i+1}(\text{cut}_k(c))$ for all $0 \leq i \leq k$ with the empty morphism $q : \emptyset \hookrightarrow G$ it holds that $p \models \exists(C_{k+3}, \text{true})$.

Proof. Assume that $G \not\models_{k+2} c$ and for all occurrence $p : C_{k+2} \hookrightarrow G$ where $p = a_{k+1} \circ \dots \circ a_0 \circ q$ and $a_i \circ \dots \circ q \models \text{sub}_{i+1}(\text{cut}_k(c))$ for all $0 \leq i \leq k$ it holds that $p \models \exists(C_{k+3}, \text{true})$. Since $G \not\models_k c$ and $G \not\models_{k+2} c$ there must be a morphism $p : C_{k+2} \hookrightarrow G$ such that $p \not\models \exists(C_{k+3}, \text{true})$, $p = a_{k+1} \circ \dots \circ a_0 \circ q$ and $a_i \circ \dots \circ q \models \text{sub}_{i+1}(\text{cut}_k(c))$ for all $0 \leq i \leq k$. This is a contradiction. \square

Only considering the occurrence of $C_{k_{\max}+2}$ as described above will lead to a more precise definition of the number of violations, and therefore of the consistency maintaining and increasing rules, with the drawback that the application conditions designed for

this more precise version will be much more complex, since it will be necessary to check that repaired occurrences satisfy the additional condition. We have therefore decided to use this less precise definition of the number of violations.

Using the number of violations, we are now ready to define *consistency maintaining* and *increasing* transformations and rules by checking that the number of violations has not increased or, in the case of consistency increasing, has decreased. In addition, we will also introduce a weaker notion, called *consistency maintaining and increasing rules at layer*. Intuitively, a rule is consistency-maintaining or consistency-increasing w.r.t. c at layer k if all of its applications at graphs G with $G \models_k c$ are consistency-maintaining or consistency-increasing w.r.t. c . This notion will be important for our application conditions, since these only consider graphs of a constraint up to a certain layer. Therefore, it is clear, that rule equipped with these application conditions are not consistency-maintaining or consistency-increasing rules with the advantage of less complex application conditions.

Definition 3.16 (consistency maintaining and increasing transformations and rules). *Given a graph G , a constraint c in UANF and a rule ρ . A transformation $t : G \Rightarrow_{\rho, m} H$ is called consistency-maintaining w.r.t. c , if*

$$nv_k(c, H) \leq nv_k(c, G)$$

for all $-1 \leq k < nl(c)$. The transformation is called consistency-increasing w.r.t. c if it is consistency-maintaining w.r.t. c and

$$nv_{k_{\max}(c, G)+1}(c, H) < nv_{k_{\max}(c, G)+1}(c, G).$$

A rule ρ is called consistency maintaining or increasing w.r.t c , if all of its transformations are.

A rule ρ is called consistency maintaining w.r.t. c at layer $-1 \leq k < nl(c)$ if all transformations $t : G \Rightarrow_{\rho, m} H$ with $k_{\max}(c, G) = k$ are consistency maintaining w.r.t. c . Analogously, a rule ρ is called consistency increasing w.r.t. c at layer $-1 \leq k < nl(c)$ if all transformations $t : G \Rightarrow_{\rho, m} H$ with $k_{\max}(c, G) = k$ are consistency-increasing w.r.t. c .

Note that if $G \models c$, there is no consistency-increasing transformation $G \Rightarrow H$ w.r.t c , since $nv_j(c, G) = 0$ for all $0 \leq j < nl(c)$. Also note that a consistency-maintaining rule at layer $nl(c) - 1$ w.r.t. c is also a consistency-maintaining rule w.r.t. c , since all graphs to which this rule is applied satisfy c . For the same reason, there is no consistency-increasing rule at layer $nl(c) - 1$ w.r.t. c . Also, no plain rule ρ is consistency-increasing w.r.t c , since a graph G satisfying c such that a transformation $t : G \Rightarrow_{\rho, m} H$ exists can always be constructed. Therefore, every consistency-increasing rule must have at least one application condition.

As mentioned above, a transformation is considered to be consistency-increased if the largest satisfied layer is increasing. This property is already indirectly embedded in the definition of consistency-increasing transformations.

Theorem 3.1. *Given a rule ρ , a constraint c in UANF and a graph G with $G \not\models c$. A transformation $t : G \Rightarrow_{\rho, m} H$ is consistency-increasing w.r.t. c if*

$$k_{\max}(c, G) < k_{\max}(c, H).$$

Proof. No $\ell > k_{\max}(c, G)$ with $G \models_{\ell} c$ exists. Hence, $\text{nv}_{k_{\max}(c, G)+1}(c, G) > 0$. Since $k_{\max}(c, H) > k_{\max}(c, G)$, $\text{nv}_{k_{\max}(c, G)+1}(c, H) = 0$, which immediately implies that t is consistency-increasing w.r.t. c . \square

Since there are no consistency-increasing transformations starting from consistent graphs, there are no infinitely long sequences of consistency-increasing transformations.

Theorem 3.2. *Let c be a constraint in UANF. Every sequence of consistency-increasing transformations w.r.t. c is finite.*

Proof. Let

$$G_0 \Rightarrow_{\rho_0, m_0} G_1 \Rightarrow_{\rho_1, m_1} G_2 \Rightarrow_{\rho_2, m_2} \dots$$

be a sequence of consistency-increasing transformations w.r.t. c . We assume that $k_{\max}(c, G_0) < \text{nl}(c) - 1$, otherwise $\text{nv}_j(c, G_0) = 0$ for all $0 \leq j < \text{nl}(c)$ and there is no consistency-increasing transformation $G_0 \Rightarrow H$ with respect to c .

We show that $G_x \models_{k_{\max}(c, G_0)+2} c$ holds after a maximum of $x := \text{nv}_{k_{\max}(c, G_0)+1}(c, G_0)$ transformations. Note that x must be finite, since G_0 contains only a finite number of occurrences of $C_{k_{\max}(c, G_0)+2}$. Since every transformation is consistency-increasing w.r.t. C , it follows that $\text{nv}_{k_{\max}(c, G_i)+1}(c, G_{i+1}) \leq \text{nv}_{k_{\max}(c, G_i)+1}(c, G_i) - 1$ after each transformation. Therefore, after at most x transformations, $\text{nv}_{k_{\max}(c, G_0)+1}(c, G_j) \leq \text{nv}_{k_{\max}(c, G_0)+1}(c, G_0) - x = 0$ and thus $G_x \models_{k_{\max}(c, G_0)+2} c$. If this is applied iteratively, it follows that after a finite number of transformations there must exist a graph G_k with $G_k \models c$. Since there is no consistency increasing transformation $G_k \Rightarrow_{\rho_k, m_k} G_{k+1}$, the sequence must be finite. \square

3.4 Direct Consistency Maintaining and Increasing Transformations

We will now introduce stricter versions of consistency-increasing and consistency-maintaining transformations, called *direct consistency-maintaining* and *direct consistency-increasing* transformations and rules. These are consistency-maintaining and consistency-increasing transformations, which do not perform any unnecessary insertions and deletions. For example, given a constraint c in UANF and graphs G with $G \not\models c$ and H with $H \models c$, the transformation $t : G \Rightarrow_{\rho, \text{id}_G} H$ via the rule $\rho = G \xleftarrow{l} \emptyset \xrightarrow{r} H$ is a consistency-increasing transformation. Therefore, the notions of consistency-increasing and consistency-maintaining transformations allow insertions or deletions that are unnecessary in order to increase or maintain consistency. That is, deleting occurrences of existentially bound graphs, deleting occurrences $p : C_k \hookrightarrow G$ of universally bound graphs C_k satisfying $\exists(C_{k+1}, \text{true})$ or inserting occurrences of universally bound graphs

and inserting occurrences p of intermediate graphs $C' \in \text{IG}(C_{k-1}, C_k)$ such that each occurrence q of C_{k-1} with $q = p \circ a_{k-1}^r$ already satisfies $\exists(C', \text{true})$.

Direct consistency-increasing and *maintaining* transformations are more restricted, in the sense that these unnecessary deletions and insertions cause a transformation not to be direct consistency-increasing or direct consistency maintaining, respectively. In addition, we can use second-order logic formulas to characterise these transformations. Furthermore, these formulas ensure that now new violations are inserted. Thus, the removal of one violation is sufficient to state that the transformation is (direct) consistency-increasing, which can also be expressed using a second-order logic formula. We start by introducing *direct consistency-maintaining* transformations, rules and the weaker notion of *direct consistency-maintaining rules at layer*. The definition of direct consistency maintaining transformations consists of the following formulas:

1. *No new violation by deletion*: This condition ensures that the consistency is not reduced by deleting intermediate graphs $C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$. This leads to the insertion of new violations only if an occurrence of $C_{k_{\max}+2}$ which satisfies $\exists(C', \text{true})$ in the originating graph does not satisfy $\exists(C', \text{true})$ in the derived graph of the transformation. Therefore, this condition checks that this case does not occur.
2. *No new violation by insertion*: This condition ensures that the consistency is not decreased by inserting an occurrence of $C_{k_{\max}+2}$. Again, this only causes a new violation to be inserted if that occurrence does not satisfy $\exists(C_{k_{\max}+3}, \text{true})$. The condition checks that this is not the case.
3. *No satisfied layer reduction by insertion*: This condition ensures that the largest satisfied layer is not reduced by inserting a universally bound graph C_j . This can only happen if $j \leq k_{\max}$, and the condition checks that no occurrences of such universally bound graphs are inserted.
4. *No satisfied layer reduction by deletion*: This condition ensures that the largest satisfied layer is not reduced by deleting an existentially bound graph C_j . Again, this can only happen if $j \leq k_{\max}$. The condition checks that no occurrences of such existentially bound graphs are deleted.

The *no new violation by deletion* and *no new violation by insertion* conditions ensure that the number of violations is not increased, and the *no satisfied layer reduction by insertion* and *no satisfied layer reduction deletion* conditions ensure that the largest satisfied layer is not reduced. Of course, the insertion of universal and deletion of existential graphs does not necessarily lead to a decrease of the largest satisfied layer, but it can also be considered as an unnecessary insertion or deletion.

Since a condition c in UANF is also allowed to end with $\forall(C_{\text{nl}(c)}, \text{false})$, *no new violation by deletion* and *no new violation by insertion* contain case discrimination. If the constraint c ends with $\forall(C_{\text{nl}(c)}, \text{false})$ and $k_{\max} = \text{nl}(c) - 2$, there is no graph $C_{k_{\max}+3}$ and thus no intermediate graphs. Therefore, there is no new violation by deletion and

this formula is set equal to **true** and the *no new violation by insertion* formula will check that no new occurrence of $C_{k_{\max}+2}$ are introduced at all.

For the rest of this paper, we will assume that the empty conjunction is always equal to **true**.

Definition 3.17 (direct consistency maintaining transformations and rules).

Given a graph G , a rule ρ and a constraint c in UANF. If $G \models c$, a transformation $t : G \Rightarrow_{\rho,m} H$ is called direct consistency-maintaining w.r.t. c if $H \models c$. Otherwise, if $G \not\models c$, let $k_{\max} = k_{\max}(c, G)$ and $e = \text{sub}_{k_{\max}+2}(c)$. A transformation $t : G \Rightarrow_{\rho,m} H$ is called direct consistency maintaining w.r.t. c if the following formulas are satisfied.

1. No new violation by deletion: If $e \neq \text{false}$, then each occurrence of $C_{k_{\max}+2}$ in G which satisfies $\text{IC}_0(e, C')$ for any $C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$ still satisfies $\text{IC}_0(e, C')$ in H :

$$\begin{aligned} \forall p : C_{k_{\max}+2} \hookrightarrow G \Big(\bigwedge_{C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})} (p \models \text{IC}_0(e, C') \wedge \text{tr}_t \circ p \text{ is total}) \\ \implies \text{tr}_t \circ p \models \text{IC}_0(e, C') \Big) \end{aligned} \quad (3.1)$$

Otherwise, if $e = \text{false}$, this formula is equal to **true**.

2. No satisfied layer reduction by insertion: Let $d = \text{IC}_0(e, C_{k_{\max}+3})$ if $e \neq \text{false}$ and $d = \text{false}$ otherwise. Each newly inserted occurrence of $C_{k_{\max}+2}$ satisfies d .

$$\forall p' : C_{k_{\max}+2} \hookrightarrow H \Big(\neg \exists p : C_{k_{\max}+2} \hookrightarrow G (p' = \text{tr}_t \circ p) \implies p' \models d \Big) \quad (3.2)$$

3. No satisfied layer reduction by insertion: No occurrence of a universally bound graph C_j with $j \leq k_{\max}$ is inserted.

$$\bigwedge_{\substack{i < k_{\max} \\ C_i \text{ universal}}} \forall p : C_i \hookrightarrow H (\exists p' : C_i \hookrightarrow G (p = \text{tr}_t \circ p')) \quad (3.3)$$

4. No satisfied layer reduction by deletion: No occurrence of an existentially bound graph C_j with $j \leq k_{\max}+1$ is deleted.

$$\bigwedge_{\substack{i \leq k_{\max} \\ C_i \text{ existential}}} \forall p : C_i \hookrightarrow G (\text{tr}_t \circ p \text{ is total}) \quad (3.4)$$

A rule ρ is called direct consistency-maintaining w.r.t. c if all of its transformations are. A rule ρ is called direct consistency maintaining w.r.t. c at layer $-1 \leq k < \text{nl}(c)$ if all transformations $t : G \Rightarrow_{\rho,m}$ with $k_{\max}(c, G) = k$ are direct consistency-maintaining w.r.t. c .

Before continuing with the definition of direct consistency-increasing transformations and rules, let us first show that every direct consistency-maintaining transformation is indeed consistency-maintaining. To do this, we first show that satisfying the *no satisfied layer reduction by insertion* and *no satisfied layer reduction by insertion* formulas guarantees that the largest satisfied layer is not decreased.

Lemma 3.18. *Given a transformation $t : G \Longrightarrow H$ and a constraint c in UANF such that the *no satisfied layer reduction by insertion* and *no satisfied layer reduction by insertion* formulas are satisfied. Then*

$$H \models_{k_{\max}(c,G)} c.$$

Proof. Let us assume that $H \not\models_{k_{\max}(c,G)} c$. Then either a new occurrence of a universally bound graph C_i with $i < k_{\max}(c, G)$ has been inserted, or an occurrence of an existentially bound graph C_j with $j \leq k_{\max}(c, G)$ has been destroyed. Therefore, the following applies:

$$\exists p : C_i \hookrightarrow H (\neg \exists p' : C_i \hookrightarrow G (p = \text{tr}_t \circ p')) \vee \exists p : C_j \hookrightarrow G (\text{tr}_t \circ p \text{ is not total})$$

where $i, j \leq k_{\max}(c, G)$, i is even and j is odd, i.e. C_i is universally and C_j is existentially bound. It follows immediately that either the *no satisfied layer reduction by insertion* and *no satisfied layer reduction by insertion* formula is not satisfied. This is a contradiction. \square

With this we are now going to show that a direct consistency-maintaining transformation is also a consistency-maintaining transformation.

Theorem 3.3. *Given a graph G , a constraint c in UANF, a rule ρ and a direct consistency-maintaining transformation $t : G \Longrightarrow_{\rho,m} H$ w.r.t. c . Then, t is also a consistency-maintaining transformation.*

Proof. Lemma 3.18 implies that $k_{\max}(c, G) \leq k_{\max}(c, H)$ and it immediately follows that $\text{nv}_{k_{\max}(c,G)+1}(c, H) \neq \infty$. It remains to show that $\text{nv}_k(c, H) \leq \text{nv}_k(c, G)$ for all $0 \leq k < \text{nl}(c)$. In particular, we only need to show that $\text{nv}_{k_{\max}(c,G)+1}(c, H) \leq \text{nv}_{k_{\max}(c,G)+1}(c, G)$ since for all $-1 \leq j < k_{\max}(c, G) + 1$ it holds that $\text{nv}_j(c, H) = \text{nv}_j(c, G) = 0$. And since $\text{nv}_j(c, G) = \infty$ for all $k_{\max}(c, G) + 1 < j < \text{nl}(c)$, it follows that $\text{nv}_j(c, H) \leq \text{nv}_j(c, G)$ for all $k_{\max}(c, G) + 1 < j < \text{nl}(c)$.

Let $k_{\max} = k_{\max}(c, G)$ and $d = \text{sub}_{k_{\max}+2}(c)$. We show that the satisfaction of the *no new violation by deletion* and *no new violation by insertion* formulas imply that $\text{nv}_{k_{\max}+1}(c, H) \leq \text{nv}_{k_{\max}+1}(c, G)$.

Let us assume that $\text{nv}_{k_{\max}+1}(c, H) > \text{nv}_{k_{\max}+1}(c, G)$. Therefore, there is a morphism $p : C_{k_{\max}+2} \hookrightarrow H$ with $p \not\models \text{IC}_0(d, C')$ for some $C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$ such that either 1. or 2. below is satisfied. Note that this is only the case if $d \neq \text{false}$. Otherwise there must be a morphism p which satisfies 2.

1. There is a morphism $q' : C_{k_{\max}+2} \hookrightarrow G$ with $q' \models \text{IC}_0(d, C')$ and $p = \text{tr}_t \circ q'$.
2. There is no morphism $q : C_{k_{\max}+2} \hookrightarrow G$ with $p = \text{tr}_t \circ q$.

This is a contradiction, if 1 is satisfied, q' does not satisfy the *no new violation by deletion* formula. If (2) is satisfied, p does not satisfy the *no new violation by insertion* formula since p only satisfies $\text{IC}_0(d, C_{k+2})$ if p satisfies $\text{IC}_0(d, C')$ for all $C' \in \text{IG}(C_{k+1}, C_{k+2})$. It follows that

$$\text{nv}_k(c, H) \leq \text{nv}_k(c, G)$$

holds and t is a consistency-maintaining transformation. □

The following corollary arises as a direct consequence of Theorem 3.3.

Corollary 3.19. *Given a constraint c in UANF and a rule ρ . If ρ is a direct consistency-maintaining rule w.r.t. c , ρ is also a consistency-maintaining rule w.r.t. c . If ρ is a direct consistency-maintaining rule w.r.t. c at layer $-1 \leq k \leq \text{nl}(c)$, ρ is also a consistency-maintaining rule w.r.t. c at layer k .*

Let us now introduce the notions of *direct consistency-increasing* transformations, rules and *direct consistency-increasing rules at layer*. Similar to the definition of consistency-maintaining and consistency-increasing transformations, the notion of *direct consistency-increasing transformations* is based on the notion of direct consistency-maintaining transformations, in the sense that a direct consistency-increasing transformation is also a direct consistency-maintaining one. Since a direct consistency-maintaining transformation t does not introduce any new violations, it is sufficient that t removes at least one violation to say that t is direct consistency-increasing.

Again, we need case discrimination if the constraint ends with $\forall(C_{\text{nl}(c)}, \text{false})$ and $k_{\max} = \text{nl}(c) - 2$. So we will use two second-order logic formulas, one for the general case and one for this special case.

1. *General increasing formula:* This formula is satisfied if either an occurrence of $C_{k_{\max}+2}$ that does not satisfy $\exists(k_{\max}+3, \text{true})$ is deleted, or an occurrence of $C_{k_{\max}+2}$ which does not satisfy $\exists(C', \text{true})$ in the first graph of the transformation satisfies $\exists(C', \text{true})$ in the second graph of the transformation where $C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$. Both cases result in the removal of a violation.
2. *Special increasing formula:* This formula is satisfied if an occurrence of $C_{k_{\max}+2}$ is removed. In the special case this is the only way to remove a violation.

Definition 3.20 (direct consistency-increasing transformations and rules). *Given a constraint c in UANF, a rule ρ , a graph G with $G \not\models c$ and let $e = \text{sub}_{k_{\max}+2}(c)$.*

A transformation $t : G \Rightarrow_{\rho, m} H$ is called direct consistency-increasing w.r.t. c if it is direct consistency-maintaining w.r.t. c and either the special increasing condition is satisfied if $\text{sub}_{\text{nl}(c)-1}(c) = \forall(C_{\text{nl}(c)}, \text{false})$ and $k_{\max} = \text{nl}(c) - 2$ or the general increasing condition is satisfied otherwise.

1. *General increasing formula:*

$$\exists p : C_{k_{\max}+2} \hookrightarrow G \left(\bigvee_{C' \in \text{IG}(k_{\max}+2, k_{\max}+3)} (p \not\models \text{IC}_0(e, C') \wedge (\text{tr}_t \circ p \text{ is not total} \vee \text{tr}_t \circ p \models \text{IC}_0(e, C'))) \right) \quad (3.5)$$

2. *Special increasing formula:*

$$\exists p : C_{k_{\max}+2} \hookrightarrow G (\text{tr}_t \circ p \text{ is not total}) \quad (3.6)$$

A rule ρ is called *direct consistency-increasing w.r.t. c* if all of its transformations are. A rule ρ is called *direct consistency-increasing w.r.t. c at layer $-1 \leq k < \text{nl}(c)$* if all transformations $t : G \Rightarrow_{\rho, m} H$ with $k_{\max}(c, G) = k$ are *direct consistency-increasing w.r.t. c* .

Note that the satisfaction of the *no satisfied layer reduction by insertion* and *no satisfied layer reduction by deletion* formulas not only ensure that the largest satisfied layer does not decrease, as shown in Lemma 3.18, but also prevent further unnecessary insertions and deletions, since inserting a universally bound graph and deleting an existentially bound graph will never lead to an increase in consistency.

Now, we will show the already indicated relation between direct consistency-increasing and consistency-increasing transformations, namely that a direct consistency-increasing transformation is also consistency-increasing transformation. Counterexamples in which the inversion of the implication does not hold can be easily constructed, showing that these notions are not identical but related.

Theorem 3.4. *Given a constraint c in UANF, a rule ρ , a graph G with $G \not\models c$ and a direct consistency-increasing transformation $t : G \Rightarrow_{\rho, m} H$ w.r.t. c . Then, t is also a consistency-increasing transformation.*

Proof. Theorem 3.3 implies that t is a consistency maintaining transformation. Therefore, it is sufficient to show that $\text{nv}_{k_{\max}(c, G)+1}(c, H) < \text{nv}_{k_{\max}(c, G)+1}(c, G)$. Let $k_{\max} = k_{\max}(c, G)$ and $d = \text{sub}_{k_{\max}+2}(c)$ with $d \neq \text{false}$.

Then, the general increasing formula is satisfied, so there exists a intermediate graph $C' \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$ and a morphism $p : C_{k_{\max}+2} \hookrightarrow G$ with $p \not\models \text{IC}_0(d, C')$, such that either $\text{tr} \circ p$ is total and $\text{tr}_t \circ p \models \text{IC}_0(d, C')$ or $\text{tr} \circ p$ is not total. In both cases the following applies:

$$p \in \{q \mid q : C_{k_{\max}+2} \hookrightarrow G \text{ and } q \not\models \text{IC}_0(d, C')\} \text{ and } \text{tr} \circ p \notin \{q \mid q : C_{k_{\max}+2} \hookrightarrow H \text{ and } q \not\models \text{IC}_0(d, C')\}$$

Since t is direct consistency maintaining, it follows that

$$|\{q \mid q : C_{k_{\max}+2} \hookrightarrow G \text{ and } q \not\models \text{IC}_0(d, C)\}| \leq |\{q \mid q : C_{k_{\max}+2} \hookrightarrow H \text{ and } q \not\models \text{IC}_0(d, C)\}|.$$

for all $C \in \text{IG}(C_{k_{\max}+2}, C_{k_{\max}+3})$. Furthermore, this inequality is strictly satisfied if $C = C'$. It immediately follows that $\text{nv}_k(c, H) < \text{nv}_k(c, G)$ and t is a consistency-increasing transformation.

If $d = \text{false}$, i.e. $\text{sub}_{\text{nl}(c)-1}(c) = \forall(C_{\text{nl}(c)}, \text{true})$ and $k_{\max} = \text{nl}(c) - 2$, the special increasing formula is satisfied. It holds that

$$|\{q \mid q : C_k \hookrightarrow G\}| \leq |\{q \mid q : C_k \hookrightarrow H\}|,$$

and since t is a direct consistency-maintaining transformation, it can be shown in a similar way as above that satisfying the special increasing formula implies that

$$|\{q \mid q : C_k \hookrightarrow G\}| < |\{q \mid q : C_k \hookrightarrow H\}|.$$

It follows that t is a consistency-increasing transformation. \square

Again, the following corollary is a direct consequence of Theorem 3.4.

Corollary 3.21. *Given a constraint c in UANF and a rule ρ . If ρ is a direct consistency-increasing rule w.r.t. c , ρ is also a consistency-increasing rule w.r.t. c . If ρ is a direct consistency-increasing rule w.r.t. c at layer $-1 \leq k \leq \text{nl}(c)$, ρ is also a consistency-increasing rule w.r.t. c at layer k .*

Example 3.7. *Consider constraint c_1 given in Figure 5, the transformations t_1, t_2 and the set $\text{IG}(C_1^1, C_2^1)$ given in Figure 7. Then, t_1 is a consistency-maintaining transformation w.r.t. c_1 . The number of violations in both graphs is 9. In the first graph, the occurrence $\mathbf{c1}$ does not satisfy $\exists(I_3, \text{true})$, $\exists(I_4, \text{true})$, $\exists(I_5, \text{true})$ and $\exists(I_6, \text{true})$, the occurrence $\mathbf{c2}$ does not satisfy $\exists(I_2, \text{true})$, $\exists(I_3, \text{true})$, $\exists(I_4, \text{true})$, $\exists(I_5, \text{true})$ and $\exists(I_6, \text{true})$. In the second graph, these roles are swapped, i.e. $\mathbf{c1}$ satisfies exactly the intermediate conditions that $\mathbf{c2}$ satisfied in the first graph, and vice versa. But, t_1 is not a direct consistency-maintaining transformation, since the occurrence $\mathbf{c1}$ satisfies $\exists(I_2, \text{true})$ in the first but not in the second graph. Therefore, the no new violation by deletion formula is not satisfied.*

The transformation t_2 is consistency increasing w.r.t. c_1 . The number of violations in the first graph is equal to 14. The occurrence $\mathbf{c1}$ does not satisfy $\exists(I_3, \text{true})$, $\exists(I_4, \text{true})$, $\exists(I_5, \text{true})$ and $\exists(I_6, \text{true})$. Both occurrences $\mathbf{c2}$ and $\mathbf{c3}$ do not satisfy $\exists(I_2, \text{true})$, $\exists(I_3, \text{true})$, $\exists(I_4, \text{true})$, $\exists(I_5, \text{true})$ and $\exists(I_6, \text{true})$.

In the second graph, $\mathbf{c1}$ does not satisfy $\exists(I_2, \text{true})$, $\exists(I_4, \text{true})$, $\exists(I_5, \text{true})$ and $\exists(I_6, \text{true})$ and both $\mathbf{c2}$ and $\mathbf{c3}$ do not satisfy $\exists(I_6, \text{true})$. Therefore, the number of violations in the second graph is 6.

But t_2 is not a direct consistency increasing transformation, since $\mathbf{c1}$ satisfies $\exists(I_3, \text{true})$ in the first but not in the second graph, and the no new violation by deletion formula is not satisfied.

$$\text{IG}(C_1^1, C_2^1) := \{I_1, I_2, I_3, I_4, I_5, I_6\}$$

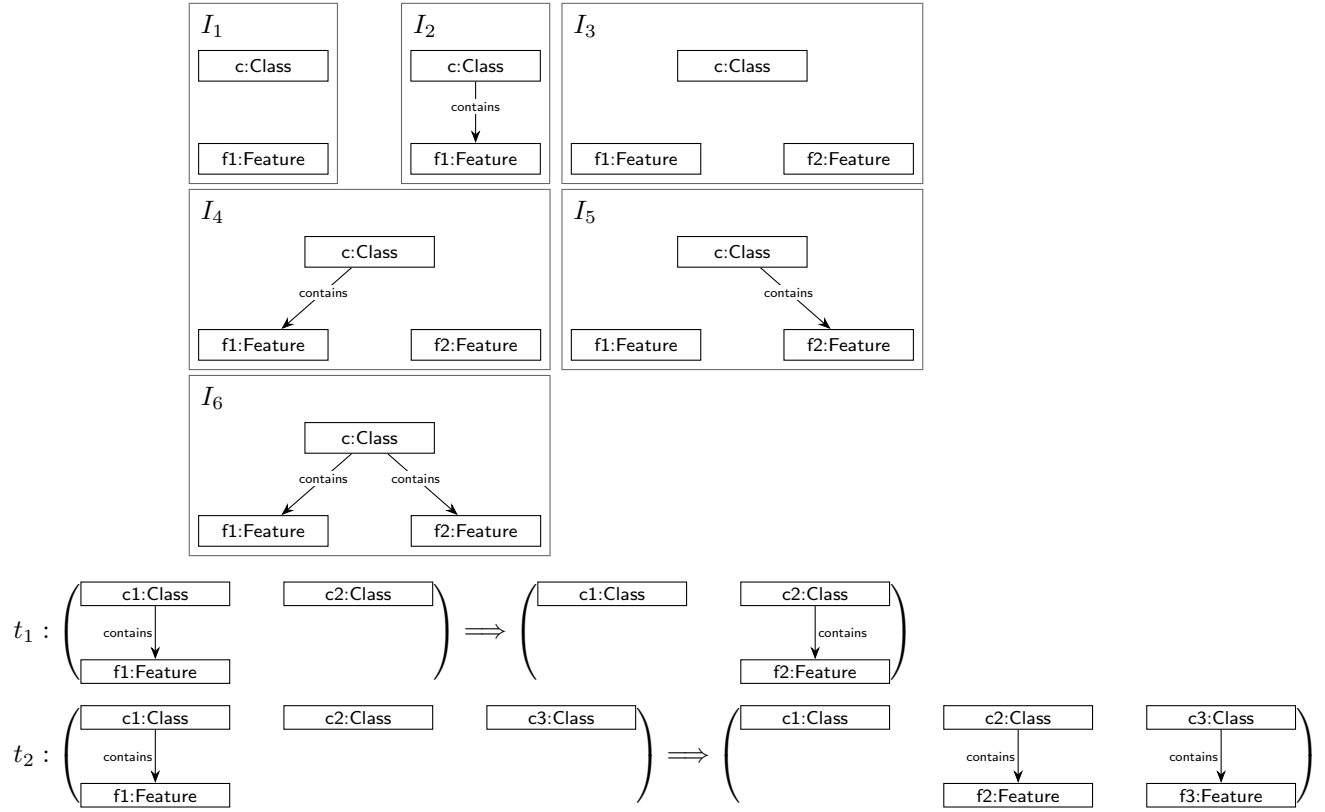


Figure 7: example

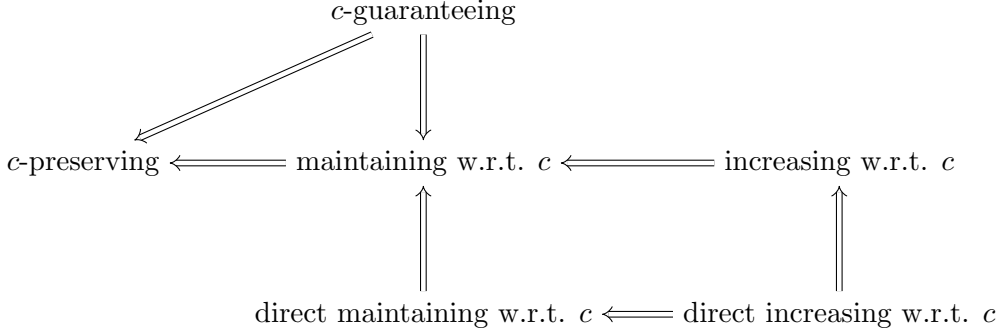


Figure 8: Relations of consistency notions.

3.5 Comparison with other concepts of Consistency

In this chapter, the notions of (direct) consistency increase and maintainment are compared to the already known notions of consistency guaranteeing, consistency preserving [8], (direct) consistency increasing and sustaining [10], in order to reveal relations between them and to ensure that (direct) consistency increase and maintainment are indeed new notions of consistency. These relationships are summarized in Figure 8.

First, we compare (direct) consistency increase and maintainment with the notions of consistency-guaranteeing, preserving, sustaining and improving in the general case and later on, for some special cases. We begin by examining the implications that can be drawn about a consistency-maintaining or consistency-increasing transformation.

Theorem 3.5 (Implications of a consistency-maintaining or consistency-increasing transformation). *Given a condition c in UANF and a transformation $t : G \Rightarrow H$. Then,*

$$\begin{aligned}
 t \text{ is consistency-maintaining w.r.t. } c & \implies t \text{ is } c\text{-preserving} & \text{and} \\
 t \text{ is consistency-maintaining w.r.t. } c & \not\Rightarrow t \text{ is } c\text{-guaranteeing} & \text{and} \\
 t \text{ is direct consistency-increasing w.r.t. } c & \not\Rightarrow t \text{ is consistency sustaining w.r.t. } c
 \end{aligned}$$

Proof. 1. t is consistency-maintaining w.r.t. $c \implies t$ is c -preserving: Let t be a consistency-maintaining transformation w.r.t. c . If $G \not\models c$, then t is a c -preserving transformation. If $G \models c$, then $\text{nv}_j(c, G) = 0$ for all $0 \leq j < \text{nl}(c)$. Since t is consistency maintaining it follows that $\text{nv}_j(c, H) = 0$ for all $0 \leq j < \text{nl}(c)$ and hence $H \models c$. It follows that t is a c -preserving transformation.

2. t is consistency maintaining w.r.t. $c \not\Rightarrow t$ is c -guaranteeing: Consider the transformation $t_2 : G \Rightarrow H$ shown in Figure 7 and constraint c_1 shown in Figure 5. As discussed in Example 3.7, t_2 is consistency-increasing and thus consistency-maintaining w.r.t. c_1 . But t is not a c -guaranteeing transformation, since all occurrences of nodes of type **Class** do not satisfy $\exists(C_2^1, \text{true})$.

3. t is direct consistency maintaining w.r.t. $c \not\Rightarrow t$ is consistency sustaining w.r.t. c : Consider the constraint $c = \forall(C_1^1, \exists(C_2^1, \forall(C_4^2, d)))$, where d is an existentially bound constraint in ANF with $d \neq \text{false}$ composed of the graphs given in Figure 5. And consider transformation t_2 given in Figure 9. Then, t is direct consistency increasing; the *no new violation by deletion*, *no new violation by insertion*, *no satisfied layer reduction by insertion* and *no satisfied layer reduction by deletion* formulas are satisfied and the *general increasing* formula is satisfied because an occurrence of C_1^1 that did not satisfy $\exists(C_2^1, \text{true})$ in G satisfies $\exists(C_2^1, \text{true})$ in H . But this transformation is not consistency-sustaining since the number of occurrences of C_1^1 not satisfying $\exists(C_2^1, \forall(C_4^2, d))$ in H is greater than the number of occurrences of C_1^1 in G not satisfying $\exists(C_2^1, \forall(C_4^2, d))$. □

These results are not surprising, since consistency-maintaining and consistency-increasing are much stricter notions than guaranteeing and sustaining, in the sense that the notion of violation is more fine-grained. For example, for guaranteeing transformations, an arbitrary number of violations can be introduced as long as the derived graph satisfies the constraint, and thus guaranteeing does not imply direct increasing, since a direct increasing transformation is not allowed to introduce new violations. Let us now examine whether a concept of consistency implies the notions of consistency-maintaining and increasing.

Theorem 3.6 (Implications of preserving, guaranteeing, sustaining and improving transformations). *Given a condition c in UANF and a transformation $t : G \Rightarrow H$. Then,*

- | | |
|--|---|
| t is c -guaranteeing | $\Rightarrow t$ is consistency-maintaining w.r.t. c and |
| t is c -guaranteeing | $\not\Rightarrow t$ is consistency-increasing w.r.t. c and |
| t is c -preserving | $\not\Rightarrow t$ is consistency-maintaining w.r.t. c and |
| t is direct consistency improving w.r.t. c | $\not\Rightarrow t$ is consistency-maintaining w.r.t. c |

- Proof.*
1. t is c -guaranteeing $\Rightarrow t$ is consistency-maintaining w.r.t. c : Let t be a c -guaranteeing transformation. Then, t is also a consistency-maintaining transformation w.r.t. c since $H \models c$ and therefore $\text{nv}_j(c, H) = 0$ for all $-1 \leq j < \text{nl}(c)$.
 2. t is c -guaranteeing $\not\Rightarrow t$ is consistency-increasing w.r.t. c : Assume that $G \models c$ and $H \models c$. Then, t is a c -guaranteeing transformation, but not a consistency-increasing one.
 3. t is c -preserving $\not\Rightarrow t$ is consistency-maintaining w.r.t. c : Consider graphs C_1^1 , C_2^2 and constraint c_1 given in Figure 5. The transformation $t : C_2^2 \Rightarrow C_1^1$ is c_1 -preserving, since $C_2^2 \not\models c_1$, but not consistency maintaining w.r.t. c_1 since $\text{nv}_0(c_1, C_2^2) = 4$ and $\text{nv}_0(c_1, C_1^1) = 6$.

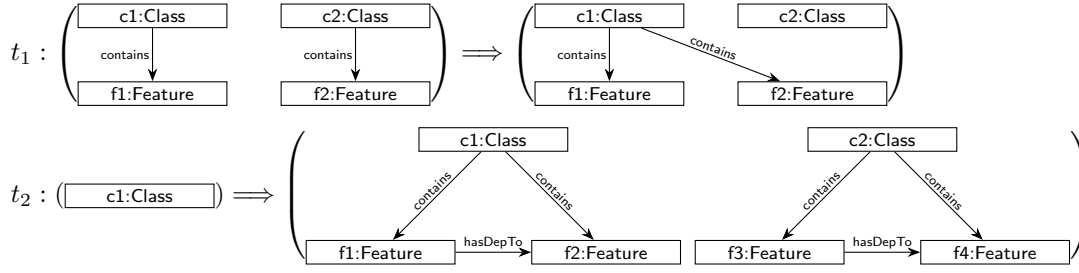


Figure 9: example

4. t is direct consistency-improving w.r.t. $c \not\Rightarrow t$ is consistency-maintaining w.r.t. c : Consider transformation t_1 given in Figure 9 and constraint c_1 given in Figure 5. The transformation t_1 is direct consistency-improving since no occurrence of C_1^1 is inserted, no occurrence of C_1^1 satisfying $\exists(C_2^1, \text{true})$ is deleted, and one occurrence of C_1^1 satisfies $\exists(C_2^1, \text{true})$. But, this transformation is not consistency-maintaining w.r.t. c since the number of violations in the first graph is 2 and the number of violations in the second graph is 3.

□

This shows, that in general the notions of (direct) consistency increase and maintainment are not related to (direct) consistency improve- and sustainment. We have only shown some of these relations. Since by definition, (direct) consistency improvement implies (direct) consistency sustainment are related we can conclude results for all pairs of consistency types [10]. An overview of these is given in Table 3.

For some special cases, we can infer other types of relationships.

Theorem 3.7 (Relations of consistency concepts in special cases). *Given a constraint c in UANF and a transformation $t : G \Rightarrow H$.*

1. If $G \not\models c$, then

$$t \text{ is } c\text{-guaranteeing} \Rightarrow t \text{ is consistency-increasing w.r.t. } c.$$

2. If $\text{nl}(c) = 1$, then

$$t \text{ is consistency improving w.r.t } c \iff t \text{ is consistency increasing w.r.t } c$$

Proof. 1. Let t be a c -guaranteeing transformation with $G \not\models c$. Then, t is a consistency-increasing transformation w.r.t. c since $0 < \text{nv}_{\text{kmax}(c,G)+1}(c, G) < \infty$ and $\text{nv}_j(c, H) = 0$ for all $-1 \leq j \leq \text{nl}(c)$.

2. Let $\text{nl}(c) = 1$. Since c is in UANF, $\text{sub}_1(c) = \text{false}$ and $\text{nv}_0(c, G)$ is the number of occurrences of C in G . This is exactly the definition of the number of violations for consistency-improving transformations, and the statement immediately follows.

□

\implies	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
maintaining (1)	✓	✗	✗	✗	✗	✗	✗	✗	✗	✓
increasing (2)	✓	✓	✗	✗	✗	✗	✗	✗	✗	✓
direct maintaining(3)	✓	✗	✓	✗	✗	✗	✗	✗	✗	✓
direct increasing (4)	✓	✓	✓	✓	✗	✗	✗	✗	✗	✓
improving (5)	✗	✗	✗	✗	✓*	✓*	✗*	✗*	✗*	✓*
sustaining(6)	✗	✗	✗	✗	✗*	✓*	✗*	✗*	✗*	✓*
direct improving (7)	✗	✗	✗	✗	✓*	✓*	✓*	✓*	✗*	✓*
direct sustaining (8)	✗	✗	✗	✗	✗*	✓*	✗*	✓*	✗*	✓*
guaranteeing(9)	✓	✗	✗	✗	✓*	✓*	✓*	✓*	✓**	✓**
preserving (10)	✗	✗	✗	✗	✗*	✗*	✗*	✗*	✗**	✓**

Table 3: Overview of the relationships between consistency concepts, “✓” indicates that the notion in this row implies the notion in the column, and “✗” indicates that this implication does not hold. All results marked with “*” are from [10] and those marked with “**” are from [8].

4 Consistency-Maintaining and Increasing Application Conditions

In the following, we present application conditions which ensure that any rule equipped with this application condition is (direct) consistency-increasing at layer or (direct) consistency-maintaining at layer or (direct) consistency-maintaining. In particular, we present application conditions in the general case and for specific rules, called *basic maintaining* and *basic increasing* rules. For basic rules, less complex application conditions can be constructed. Similar to the notions of consistency-maintaining and consistency-increasing, these application conditions will only consider graphs of the constraint up to a certain layer and we will show that these rules are direct consistency-maintaining and direct consistency-increasing rules at layer.

4.1 Application Condition for general Rules

We will now present consistency-maintaining and consistency-increasing application conditions at layer for general rules. That means, a rule equipped with these application conditions is consistency-maintaining or consistency-increasing at layer respectively. We will also introduce an application condition such that any rule equipped with it is indeed a consistency-maintaining rule.

Let us start with the consistency-maintaining application condition. The maintaining application condition has a odd parameter $-1 \leq k < \text{nl}(c)$ which specifies which graphs of a constraint are to be considered. In particular, only the graphs C_j with $0 \leq j \leq k+3$ are considered. Note that there is no graph with k_{\max} odd and $k_{\max} \neq \text{nl}(c) - 1$. So it is not a restriction that k must be odd. The maintaining application condition consists of the following three parts, which also use the k parameter:

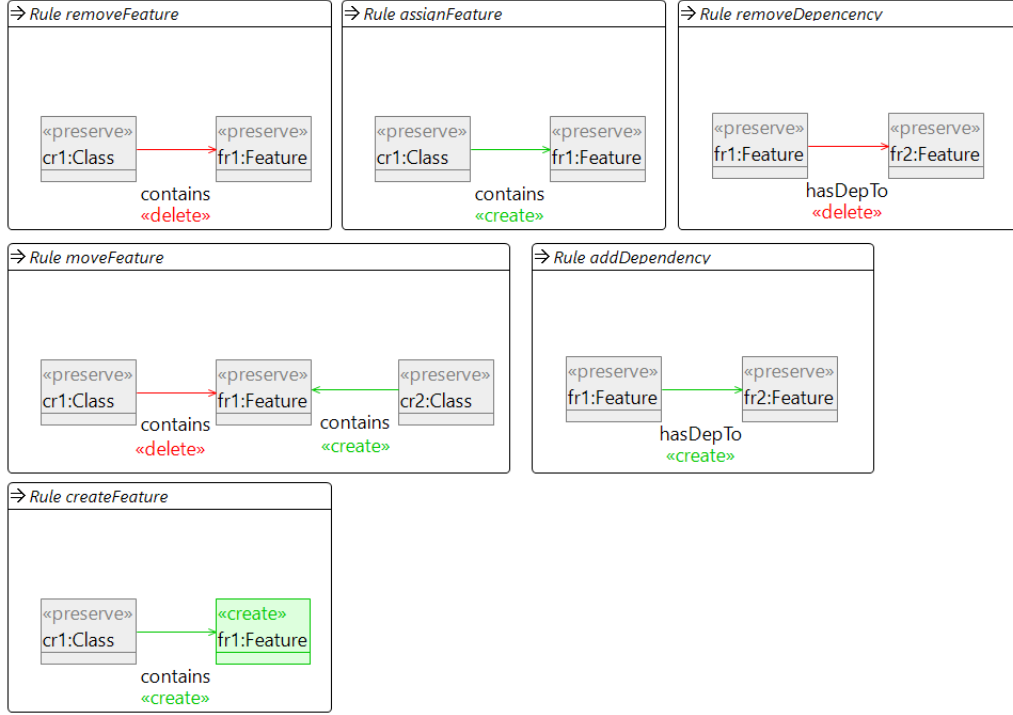


Figure 10: rules

$$\begin{aligned}
c = & \forall \left(\boxed{\text{cc1:Class}} ; \exists \left(\begin{array}{c} \boxed{\text{cc1:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array} , \forall \left(\begin{array}{c} \boxed{\text{cc1:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array} \xrightarrow{\text{hasDepTo}} \boxed{\text{cf3:Feature}} , \exists \left(\begin{array}{c} \boxed{\text{cc1:Class}} \quad \boxed{\text{cc2:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array} \xrightarrow{\text{hasDepTo}} \boxed{\text{cf3:Feature}} , \text{true} \right) \right) \right) \\
\text{ned}_{-1} = & \text{true} \\
\text{ned}_1 = & \neg \exists \left(\begin{array}{c} \boxed{\text{cr1} = \text{cc1:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{fr1} = \text{cf2:Feature}} \end{array} , \text{true} \right) \\
\text{ned}_3 = & \neg \exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{fr1} = \text{cf2:Feature}} \end{array} , \text{true} \right) \wedge \neg \exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{fr1} = \text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array} \xrightarrow{\text{hasDepTo}} \boxed{\text{cf3:Feature}} , \text{true} \right) \wedge \\
\neg \exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \quad \boxed{\text{cc2:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{fr1} = \text{cf2:Feature}} \end{array} \xrightarrow{\text{hasDepTo}} \boxed{\text{cf3:Feature}} , \text{true} \right) \wedge \neg \exists \left(\begin{array}{c} \boxed{\text{cc1:Class}} \\ \swarrow \text{contains} \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array} \xrightarrow{\text{hasDepTo}} \boxed{\text{fr1} = \text{cf3:Feature}} , \text{true} \right)
\end{aligned}$$

Figure 11: no existentially deleted conditions for the constraint and rule **removeFeature**.

1. *No violation inserted* ($\text{vio}_k()$): This application condition checks that no new violations are introduced by removing occurrences of intermediate graphs from the set $\text{IG}(C_{k+2}, C_{k+3})$. It corresponds to the *no new violation by deletion* formula in the sense that a rule that satisfies this application condition also satisfies the *no new violation by deletion* formula when applied to a graph with $k_{\max} = k$. There are several cases for this application condition. If $k = \text{nl}(c) - 2$, the constraint ends with $\forall(C_{\text{nl}(c)}, \text{false})$. Therefore no violations can be introduced by removing occurrences of intermediate graphs. In particular, there is no graph C_{k+3} . If $k = \text{nl}(c) - 1$, every transformation $t : G \Rightarrow H$ with $G \models c$ is direct consistency maintaining w.r.t. c if $H \models c$. This is ensured by $\text{ned}_k()$ and $\text{nui}_k()$. Therefore, if $k \geq \text{nl}(c) - 2$, we set the application condition to **true**.
2. *No universally inserted* ($\text{nui}_k()$): This application condition checks that no occurrences of universally bound graphs C_j with $1 \leq j \leq k + 2$ are inserted. It corresponds to the *no satisfied layer reduction by insertion* and *no new violations by insertion* formulas, in the sense that a rule that satisfies this application condition also satisfies the *no satisfied layer reduction by insertion* and *no new violations by insertion* formulas when applied to a graph with $k_{\max} = k$.
3. *No existentially destroyed* ($\text{ned}_k()$): This application condition checks that no occurrences of existentially bound graphs C_j with $2 \leq j \leq k + 1$ are removed. It corresponds to the *no satisfied layer reduction by deletion* formula, since a rule that satisfies this application condition also satisfies the *no satisfied layer reduction by deletion* formula when applied to a graph with $k_{\max} = k$.

Recall that given a constraint c in UANF, each subcondition $\text{sub}_k(c)$ is a condition over the graph C_k and the morphism with domain C_k is denoted by a_k .

Definition 4.1 (consistency maintaining application condition). *Given a rule $\rho = (\text{ac}, \rho')$ with $\rho' = L \longleftrightarrow K \hookrightarrow R$, a constraint c in UANF and an odd $-1 \leq k < \text{nl}(c)$. The maintaining application condition of c for ρ at layer k is defined as $\text{ac} \wedge \text{main}_k(\rho')$ with*

$$\text{main}_k(\rho') := \text{ned}_k(\rho') \wedge \text{nui}_k(\rho') \wedge \text{vio}_k(\rho')$$

where $\text{ned}_k(\rho')$, $\text{nui}_k(\rho')$ and $\text{vio}_k()$ are defined as

1. *No violation inserted:* Let $\mathbf{P}_{C'}$ be the set of all overlaps P of L and C' with $i_L^P(L \setminus K) \cap i_{C'}^P(C' \setminus C_{k+2}) \neq \emptyset$ for $C' \in \text{IG}(C_{k+2}, C_{k+3})$:

$$\text{vio}_k(\rho') := \begin{cases} \text{true} & \text{if } k \geq \text{nl}(c) - 2 \\ \bigwedge_{C' \in \text{IG}(C_{k+2}, C_{k+3})} \bigwedge_{P \in \mathbf{P}_{C'}} \neg \exists (i_L^P : L \hookrightarrow P', \text{true}) & \text{otherwise} \end{cases}$$

2. *No universally inserted:*

Let \mathbf{U} be the set of all universally bound graphs C_j with $1 \leq j \leq k+2$, and \mathbf{P}_{C_j} be the set of all overlaps P' of R and C_j with $i_R^{P'}(R \setminus K) \cap i_{C_j}^{P'}(C_j \setminus C_{j-1}) \neq \emptyset$:

$$\text{nui}_k(\rho') := \bigwedge_{C \in \mathbf{U}} \bigwedge_{P' \in \mathbf{P}_C} \text{Left}(\neg \exists(i_R^{P'} : R \hookrightarrow P', \text{true}), \rho')$$

3. *No existentially destroyed:* If $k = -1$, we set $\text{ned}_k(\rho') := \text{true}$. Otherwise, let \mathbf{E} be the set of all existentially bound graphs C_j with $2 \leq j \leq k+1$ and \mathbf{P}_{C_j} be the set of all overlaps P' of L and C_j with $i_L^{P'}(L \setminus K) \cap i_{C_j}^{P'}(C_j \setminus C_{j-1}) \neq \emptyset$:

$$\text{ned}_k(\rho') := \bigwedge_{C \in \mathbf{E}} \bigwedge_{P' \in \mathbf{P}_C} \neg \exists(i_L^{P'} : L \hookrightarrow P', \text{true})$$

We are aware that there are optimisations for $\text{nui}_k()$ and $\text{ned}_k(\rho')$ since not all overlaps need to be considered which [4]. But for the simplicity of our definition we did not implement these optimisations.

Example 4.1. 1. Consider the constraint c given in Figure 11 and the rule `removeFeature`. The conditions $\text{ned}_{-1}(\text{removeFeature})$, $\text{ned}_1(\text{removeFeature})$ and $\text{ned}_3(\text{removeFeature})$ are also given in Figure 11; $\text{ned}_{-1}(\text{removeFeature})$ is equal to `true`. $\text{ned}_1(\text{removeFeature})$ checks that no occurrences of C_2 are inserted, while $\text{ned}_3(\text{removeFeature})$ checks that no occurrences of C_2 and C_4 are inserted. Obviously, $\text{ned}_1(\text{removeFeature})$ is contained in $\text{ned}_3(\text{removeFeature})$. Note that there are conditions in $\text{ned}_3(\text{removeFeature})$ that imply each other. For example, the first condition implies the second and third. Using the optimisations according to [4], these can be removed.

2. Again consider constraint c given in Figure 11 and the rule `assignFeature`. The condition $\text{nui}_{-1}(\text{assignFeature})$ is equal to `true` since `assignFeature` cannot create any occurrences of the first universally bound graph of the constraint. The condition $\text{nui}_1(\text{assignFeature})$ is given in Figure 12.

The condition $\text{nui}_3(\text{assignFeature})$ is equal to $\text{nui}_1(\text{assignFeature})$ since there are only two universally bound graphs and $\text{nui}_1(\text{assignFeature})$ already considers both.

3. Consider the constraint c given in Figure 13 and the rule `addDependency`. Then, $\text{vio}_{-1}(\text{addDependency})$ is given in Figure 13. The condition $\text{vio}_1(\text{addDependency})$ is equal to `true` since $1 > \text{nl}(c) - 2 = 2 - 2$.

Let us now show that every rule equipped with $\text{main}_k()$ is a consistency-maintaining rule at layer k .

Theorem 4.1. *Given a constraint c in UANF. Every rule $\rho = (\text{ac} \wedge \text{main}_k(\rho'), \rho')$ where $\rho' = L \xleftarrow{l} K \xrightarrow{r} R$ and $-1 \leq k < \text{nl}(c)$ is odd is a direct consistency maintaining rule w.r.t. c at layer k .*

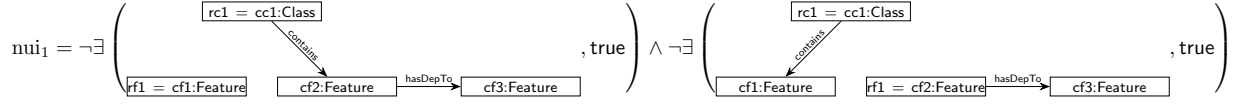


Figure 12: No universally inserted conditions for the constraint given in Figure 11 and rule `assignFeature`.

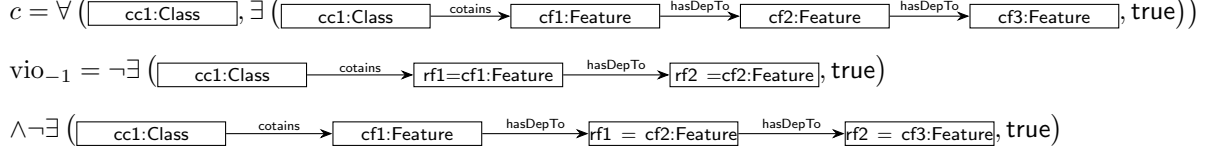


Figure 13: No violation inserted conditions for the constraint and rule `removeDependency`.

Proof. Given a graph G with $k_{\max} = k$ and a transformation $t : G \Rightarrow_{\rho, m} H$. We show that t is a direct consistency maintaining transformation w.r.t. c .

We show that t satisfies the *no new violation by deletion*, *no new violation by insertion*, *no satisfied layer reduction by insertion* and *no satisfied layer reduction by deletion* formulas.

1. Assume that t does not satisfy the *no new violation by deletion* formula. Then $k_{\max} < \text{nl}(c) - 1$, $e = \text{sub}_{k+2}(c) \neq \text{false}$ and there is a morphism $p : C_{k+2} \hookrightarrow G$ such that $p \models \text{IC}_0(e, C')$, $\text{tr}_t \circ p$ is total and $\text{tr}_t \circ p \not\models \text{IC}_0(e, C')$ for a graph $C' \in \text{IG}(C_{k+2}, C_{k+3})$. Therefore, there is an overlap P of L and C' with $i_L^P(L \setminus K) \cap i_{C'}^P(C' \setminus C_{k+2}) \neq \emptyset$ such that $i_{C'}^P \circ a_{k+2}^r \models \exists(a_{k+2}^r : C_{k+2} \hookrightarrow C', \text{true})$ and $m \models \exists(i_L^P : L \hookrightarrow P, \text{true})$. Thus, $\text{vio}_k(\rho')$ and consequently also $\text{main}_k(\rho')$ cannot be satisfied.
2. Assume that t does not satisfy the *no new violation by insertion* formula. Let

$$d := \begin{cases} \text{IC}_0(\text{sub}_{k+2}(c), C_{k+3}) & \text{if } \text{sub}_{k+2}(c) \neq \text{false} \\ \text{false} & \text{otherwise.} \end{cases}$$

Then, there is a morphism $p' : C_{k+2} \hookrightarrow H$ with $p' \not\models d$ such that no morphism $p : C_{k+2} \hookrightarrow G$ with $\text{tr}_t \circ p = p'$ exists. Therefore, there is an overlap P of R and C_{k+2} with $i_R^P(R \setminus K) \cap i_{C_{k+2}}^P(C_{k+2} \setminus C_{k+1}) \neq \emptyset$ such that $m \models \text{Left}(\exists(i_R^P : R \hookrightarrow P, \text{true}), \rho')$. Hence, m does not satisfy $\text{nui}_k(\rho')$.

3. Assume that t does not satisfy the *no satisfied layer reduction by insertion* formula. Then, there is a morphism $p : C_j \hookrightarrow H$ with $0 \leq j < k$ and C_j universally bound such that no morphism $p' : C_j \hookrightarrow G$ with $\text{tr}_t \circ p' = p$ exists. Then, there is an overlap P of C_j and R with $i_R^P(R \setminus K) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$ such that $m \models \text{Left}(\exists(i_R^P : R \hookrightarrow P, \text{true}), \rho)$. Hence, $m \not\models \text{nui}_k(\rho')$.

4. Assume that t does not satisfy the *no satisfied layer reduction by deletion* formula. There is a morphism $p : C_j \hookrightarrow G$ with $j \leq k + 1$ and C_j existentially bound and such that $\text{tr}_t \circ p$ is not total. Then, there is an overlap P of C_j and L with $i_L^P(L \setminus K) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$, such that $m \models \exists(i_L^P : L \hookrightarrow P, \text{true})$. Hence, $m \not\models \text{ned}_k(\rho')$.

It follows that ρ is a direct consistency-maintaining rule at layer k w.r.t. c . \square

With the constructions described in Definition 4.1 we are also able to construct direct consistency-maintaining application conditions.

Theorem 4.2. *Given a constraint c in UANF. Every rule ρ equipped with the application condition*

$$\left(\bigwedge_{\substack{-1 \leq i < \text{nl}(c) \\ i \text{ odd}}} \text{vio}_i(\rho) \right) \wedge \text{nui}_{\text{nl}(c)-1}(\rho)$$

is a direct consistency-maintaining rule w.r.t. c .

Proof. Let $\rho = R \xleftarrow{r} K \xrightarrow{l} L$ be a rule equipped with this application condition. We show that ρ is a consistency-maintaining rule at layer k w.r.t. c for all $-1 \leq k \leq \text{nl}(c) - 1$. Obviously, $\text{nui}_{\text{nl}(c)-1}(\rho)$ contains $\text{nui}_j(\rho)$ for all $-1 < j \leq \text{nl}(c) - 1$. The set of intermediate graphs always contains second graphs on which this set was built, so $\text{vio}_i(\rho)$ contains the condition

$$\bigwedge_{P' \in \mathbf{P}_{C_{i+3}}} \neg \exists(i_L^{P'} : L \hookrightarrow P', \text{true})$$

which also checks that no occurrence of C_{i+3} is deleted. Therefore

$$\left(\bigwedge_{\substack{-1 \leq i < \text{nl}(c) \\ i \text{ odd}}} \text{vio}_i(\rho) \right)$$

must contain $\text{ned}_{\text{nl}(c)-1}(\rho)$ and therefore it contains $\text{ned}_j(\rho)$ for all $-1 \leq j \leq \text{nl}(c) - 1$. So we can rewrite this application condition into the equivalent condition

$$\left(\bigwedge_{\substack{-1 \leq i < \text{nl}(c) \\ i \text{ odd}}} \text{vio}_i(\rho) \wedge \text{nui}_i(\rho) \wedge \text{ned}_i(\rho) \right) = \left(\bigwedge_{\substack{-1 \leq i < \text{nl}(c) \\ i \text{ odd}}} \text{main}_i(\rho) \right).$$

It follows that ρ is a direct consistency-maintaining rule at layer k for all $-1 \leq k < \text{nl}(c)$. Since $-1 \leq k_{\max} < \text{nl}(c)$ for each graph G , all transformations of ρ are direct consistency-maintaining w.r.t. c . Hence, ρ is a consistency-maintaining rule w.r.t. c . \square

The *extended overlap* will be a useful tool for our consistency-increasing application conditions. Intuitively, given an overlap and a morphism a , the overlap is extended such that one overlap morphism satisfies $\exists(a, \text{true})$.

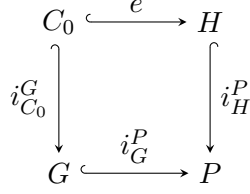


Figure 14: Diagram for the alternative definition of extended overlaps.

Definition 4.2 (extended overlaps). *Given an overlap $(G, i_{C_0}^G, i_{C_1}^G)$ of C_0 and C_1 and a morphism $e : C_0 \hookrightarrow H$. The set of extended overlaps of G at $i_{C_0}^G$ with e , denoted by $\text{eol}(G, i_{C_0}^G, e)$ is defined as*

$$\text{eol}(G, i_{C_0}^G, e) := \{P \in \text{ol}(G, H) \mid i_G^P \circ i_{C_0}^G \models \exists(e : C_0 \hookrightarrow H, \text{true})\}.$$

In other words, $\text{eol}(G, i_{C_0}^G, e)$ is the set of all overlaps of G and H such that the square in Figure 14 is commutative, i.e. $i_H^P \circ e = i_G^P \circ i_{C_0}^G$. Using extended overlaps, we will be able to check whether a violation has been removed. Let us now consider consistency-increasing application conditions. For these we will use the maintaining application conditions described above. All that remains is to ensure that at least one violation is removed. To do this, we must first check that there is a violation in the match. This means that the match and a violation are overlapping. Finally, we need to check that this violation is removed.

Again, the increasing application condition has the odd parameter $-1 \leq k < \text{nl}(c) - 1$, which specifies which constraint graphs are to be considered. Note that k must not be $\text{nl}(c) - 1$, since all graphs with $k_{\max} = \text{nl}(c)$ satisfy the constraint. Therefore for these graphs there can be no consistency increasing transformations. It also has a second parameter C' which is an intermediate graph of C_{k+2} and C_{k+3} if c contains a graph C_{k+3} , i.e. $k < \text{nl}(c) - 2$ and C' is set to C_{k+2} otherwise. Again, a rule equipped with this application condition is a consistency-increasing rule at layer k . It consists of the following parts:

1. The maintaining application condition ($\text{main}_k()$): As already discussed, this application condition ensures that a rule equipped with this application condition is a consistency-maintaining rule at layer k .
2. *Violation exists* ($\text{exv}()$): This condition checks that there is a violation at the match, i.e. there is an occurrence p of C_{k+2} with $m(L) \cap p(C_{k+2}) \neq \emptyset$ not satisfying $\exists(C', \text{true})$. If $k = \text{nl}(c) - 2$, then c ends with $\forall(C_{\text{nl}(c)}, \text{false})$ and thus there is no graph C_{k+3} in c . In this case it is sufficient to check only that $m(L) \cap p(C_{k+2}) \neq \emptyset$.
3. *Violation removed* ($\text{remv}()$): This condition checks that the violation is removed. This can be done in several ways, either by deleting the occurrence p or by inserting elements such that $p \models \exists(C', \text{true})$. This leads to case discrimination. The first case is easy to check, if $m(L \setminus K) \cap p(C_{k+2} \setminus C_{k+1}) \neq \emptyset$, p is removed and this

condition can be set to **true**. Otherwise, we need to check that the violation has been removed by an additional condition that checks whether p satisfies $\exists(C', \mathbf{true})$ after the transformation. The last case is the special case where the constraint ends with $\forall(C_{\text{nl}(c)}, \mathbf{true})$ and $k = \text{nl}(c) - 2$. Then there is only one way to remove a violation, by removing the occurrence p . So the condition is set to **true** if $m(L \setminus K) \cap p(C_{k+2} \setminus C_{k+1}) \neq \emptyset$ and to **false** otherwise.

Definition 4.3 (consistency increasing application condition). *Given a rule $\rho = (\text{ac}, \rho')$ with $\rho' = L \xleftarrow{l} K \xrightarrow{r} R$ and a constraint c in UANF. Let $0 \leq k < \text{nl}(c) - 1$ be odd and $C' = C_{k+2}$ if $k = \text{nl}(c) - 2$ and $C' \in \text{IG}(C_{k+2}, C_{k+3})$ otherwise. The increasing application condition of c for ρ at layer k with C' is defined as*

$$\text{incr}_k(C', \rho) := \text{ac} \wedge \text{main}_k(\rho') \wedge \left(\bigvee_{P \in \text{ol}(L, C_{k+2})} \text{exv}(P, C') \wedge \text{remv}(P, C') \right) \quad (4.1)$$

with

1. *Violation exists:* Let $a_{k+2}^r : C_{k+2} \hookrightarrow C'$ be the restricted morphism of a_{k+2} and i_L^P and i_P^Q be overlap morphisms of P and Q , respectively:

$$\text{exv}(P, C') := \begin{cases} \exists(i_L^P : L \hookrightarrow P, \mathbf{true}) & \text{if } \text{sub}_{k+2}(c) = \mathbf{false} \\ \exists(i_L^P : L \hookrightarrow P, \bigwedge_{Q \in \text{ol}(P, i_{C_{k+2}}^P, a_{k+2}^r)} \neg \exists(i_P^Q : P \hookrightarrow Q, \mathbf{true})) & \text{otherwise} \end{cases}$$

2. *Violation removed:*

- (a) If $i_L^P(L \setminus K) \cap i_{C_{k+2}}^P(C_{k+2} \setminus C_{k+1}) \neq \emptyset$, $\text{remv}(P, C') := \mathbf{true}$.
- (b) If $\text{sub}_{k+2}(c) = \mathbf{false}$, i.e. $k = \text{nl}(c) - 2$,

$$\text{remv}(P, C') := \begin{cases} \mathbf{true} & \text{if } i_L^P(L \setminus K) \cap i_{C_{k+2}}^P(C_{k+2} \setminus C_{k+1}) \neq \emptyset \\ \mathbf{false} & \text{otherwise.} \end{cases}$$

- (c) Otherwise, let P' be the overlap of R and C_{k+2} such that there is a transformation $P' \xRightarrow{\rho^{-1}, i_R^{P'}} P$. If this overlap or transformation does not exist, we set $\text{remv}(P, C') := \mathbf{false}$ and otherwise

$$\text{remv}(P, C') := \text{Left}(\forall(i_R^Q : R \hookrightarrow P', \bigvee_{Q \in \text{ol}(P', i_{C_{k+2}}^{P'}, a_{k+2}^r)} \exists(i_{P'}^Q : P' \hookrightarrow Q, \mathbf{true})), \rho).$$

Example 4.2. 1. Consider constraint c_1 given in Figure 5 and the rule **assignFeature**. There is only one overlap P of L and C_1^1 which is shown in Figure 15. The $\text{exv}(P, C')$ and $\text{exv}(P, C')$ parts of $\text{incr}_{-1}(C', \mathbf{assignFeature})$ with $C' = C_2^2$ and $C' = C_2^1$, respectively, are also given in Figure 15.

P

$rc1 = cc1:Class$

$rf1 = cf1:Feature$

$$\begin{aligned}
\text{exv}(P, C_2^2) &= \forall \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \boxed{rf1 = cf1:Feature} \end{array}, \neg \exists \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \downarrow \text{contains} \\ \boxed{rf1 = cf1:Feature} \end{array}, \text{true} \right) \right) \\
\text{remv}(P, C_2^2) &= \forall \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \boxed{rf1 = cf1:Feature} \end{array}, \neg \exists \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \boxed{rf1 = cf1:Feature} \end{array}, \text{true} \right) \right) \\
\text{exv}(P, C_2^1) &= \exists \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \boxed{rf1 = cf1:Feature} \end{array}, \neg \exists \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \downarrow \text{contains} \quad \downarrow \text{contains} \\ \boxed{rf1 = cf1:Feature} \quad \boxed{cf2:Feature} \end{array}, \text{true} \right) \wedge \neg \exists \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \quad \boxed{rf1 = cf3:Feature} \\ \downarrow \text{contains} \quad \downarrow \text{contains} \\ \boxed{cf1:Feature} \quad \boxed{cf2:Feature} \end{array}, \text{true} \right) \right) \\
\text{remv}(P, C_2^1) &= \forall \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \boxed{rf1 = cf1:Feature} \end{array}, \neg \exists \left(\begin{array}{c} \boxed{rc1 = cc1:Class} \\ \downarrow \text{contains} \\ \boxed{rf1 = cf1:Feature} \quad \boxed{cf2:Feature} \end{array}, \text{true} \right) \right)
\end{aligned}$$

Figure 15: Examples for $\text{exv}(P, C_2^2)$, $\text{exv}(P, C_2^1)$, $\text{remv}(P, C_2^2)$ and $\text{remv}(P, C_2^1)$ using the rule **assignFeature** and constraint c_1 given in Figure 5.

$$\begin{aligned}
c &= \forall \left(\begin{array}{c} \boxed{cc1:Class} \quad \boxed{cf3:Feature} \\ \downarrow \text{contains} \quad \uparrow \text{hasDepTo} \\ \boxed{cf1:Feature} \quad \boxed{cf2:Feature} \end{array}, \text{false} \right) \\
\text{incr}_{-1}(C_1) &= \text{true} \wedge \left(\left(\begin{array}{c} \boxed{cc1:Class} \quad \boxed{cf3:Feature} \\ \downarrow \text{contains} \quad \uparrow \text{hasDepTo} \\ \boxed{rf1 = cf1:Feature} \quad \boxed{rf2 = cf2:Feature} \end{array}, \text{true} \right) \wedge \text{true} \right) \vee \left(\left(\begin{array}{c} \boxed{cc1:Class} \quad \boxed{rf2 = cf3:Feature} \\ \downarrow \text{contains} \quad \uparrow \text{hasDepTo} \\ \boxed{cf1:Feature} \quad \boxed{rf1 = cf2:Feature} \end{array}, \text{true} \right) \wedge \text{true} \right)
\end{aligned}$$

Figure 16: Example of $\text{incr}_{-1}(C_1, \rho)$ using this constraint and the rule **removeDependency**.

2. Consider the constraint and rule given in Figure 16. The consistency-increasing application condition of this rule and at layer -1 with C_1 of the constraint is also given in this Figure.

Let us now show that a rule equipped with the consistency-increasing transformation condition at layer k is indeed a consistency-increasing rule at layer k .

Theorem 4.3. *Given a constraint c in UANF. Every rule $\rho = (\text{ac} \wedge \text{incr}_k(C', \rho'), \rho')$ with $-1 \leq k < \text{nl}(c) - 1$ odd and $C' \in \text{IG}(C_{k+2}, C_{k+3})$ if $k < \text{nl}(c) - 2$ and $C' = C_{k+2}$ otherwise is a direct consistency-increasing rule w.r.t. c at layer k .*

Proof. Let a transformation $t : G \Longrightarrow_\rho H$ with $\text{k}_{\max}(c, G) = k$ be given. Since $\text{incr}_k(C, \rho)$ contains $\text{main}_k(\rho)$, t is a direct consistency maintaining transformation at layer k according to Theorem 4.1. It remains to show that t satisfies the general or special increasing formula respectively.

1. If $k = \text{nl}(c) - 2$, i.e. c ends with a condition of the form $\forall(C_{\text{nl}(c)}, \text{false})$, assume that t does not satisfy the special increasing formula. Then there is no morphism $p : C_{k+2} \hookrightarrow G$ such that $\text{tr}_t \circ p$ is not total. So there is no overlap P of L and C_{k+2} with $i_L^P(L \setminus K) \cap i_{C_{k+2}}^P(C_{k+2} \setminus C_{k+1}) \neq \emptyset$ such that $m \models \exists(i_L^P : L \hookrightarrow P, \text{true})$. Since, $k = \text{nl}(c) - 2$ it follows that either $\text{remv}(P', C') = \text{false}$ or $m \not\models \text{exv}(P', C')$ for all $P \in \text{ol}(L, P)$. Therefore $m \not\models \text{incr}_k(C, \rho)$, this is a contradiction.
2. Otherwise let $P \in \text{ol}(L, C_{k+2})$. We show that $m \models \text{exv}(P, C) \wedge \text{remv}(P, C)$ implies that t satisfies the general increasing condition. If $m \models \text{exv}(P, C)$, there is a morphism $p : P \hookrightarrow G$ with $m = p \circ i_L^P$ and $p \models \neg \exists(i_P^Q : P \hookrightarrow Q, \text{true})$ for all $Q \in \text{eol}(P, i_{C_{k+2}}^P, a_{k+2}^r)$. Therefore, $q := p \circ i_{C_{k+2}}^P \not\models \exists(a_{k+2}^r : C_{k+2} \hookrightarrow C', \text{true})$.

If $i_L^P(L \setminus K) \cap i_{C_{k+2}}^P(C_{k+2} \setminus C_{k+1}) \neq \emptyset$, $\text{tr}_t \circ q$ is not total and the general increasing condition is satisfied.

Otherwise, if $\text{tr}_t \circ q$ is total, and there is a morphism $p : P' \hookrightarrow H$ with $\text{tr}_t \circ q = p \circ i_{C_{k+1}}^{P'}$. Since $m \models \text{remv}(P, C)$, all morphisms $p \circ i_{C_{k+2}}^{P'}$ with $n = p \circ i_R^Q$ satisfy $\exists(C', \text{true})$. Therefore, $\text{tr}_t \circ q \models \exists(C', \text{true})$ and the general increasing condition is satisfied.

In summary, ρ is a consistency increasing rule at layer k . □

Note that $\text{incr}_k(C', \rho)$ is only evaluated to **true** if an occurrence of $p : C_{k+2} \hookrightarrow G$ that does not satisfy $\exists(C', \text{true})$ is either removed or satisfies $\exists(C', \text{true})$ in the derived graph. For all smaller improvements, i.e. a similar improvement for a subgraph $C'' \in \text{IG}(C_{k+1}, C')$ of C' , $\text{incr}_k(C', \rho)$ would be evaluated as **false**. For any larger improvements, i.e. the same improvement for a supergraph $C'' \in \text{IG}(C', C_{k+2})$ of C' , $\text{incr}_k(C', \rho)$ will also be evaluated as **false** if the repaired occurrence of C_{k+2} satisfies $\exists(C', \text{true})$. In both cases, the application condition would prohibit the transformation, even though it would

be consistency-increasing. To solve this problem, several application conditions could be combined by

$$\bigvee_{C' \in \text{IG}(C_{k+1}, C_{k+2})} \text{incr}_k(C', \rho).$$

This application condition will be evaluated as **true** if the cases described above occur, with the drawback that this results in a huge condition, even if duplicate conditions are removed. At least all duplicates of `main()` can be removed, since they are identical for each $\text{incr}_k(C', \rho)$ and only need to be constructed once.

In general, these application conditions are a compromise between condition size and restrictiveness. They are very restrictive because they do not allow deletions of occurrences of existentially bound graphs and insertions of universally bound graphs. For example, any of these application conditions with the rule `moveFeature` and the constraint c_1 will be equivalent to **false**; the maintaining part of the condition will always be evaluated as **false**, since `moveFeature` always removes occurrences of the existentially bound graph C_2^1 . Changing the conditions constructed by `main()` to check whether two nodes of type **Feature** are connected to a node of type **Class** will give application conditions that can be satisfied with `moveFeature`. However, for a similar rule moving two nodes of type **Feature**, this newly constructed `main()` would still be evaluated as **false**. So this would only lead to a slight decrease in restrictiveness.

The conditions constructed by `ned()` and `nui()` could be modified in a similar way. For `ned()` and an occurrence p of the universally bound graph C_j , by checking whether there exist two occurrences p_1, p_2 of C_j with $p = p_1 \circ a_j = p_2 \circ a_j$, and for `nui()`, by checking whether an introduced occurrence p of C_j satisfies $\exists(C_{j+1}, \text{true})$. The construction of these is similar to the construction of consistency guaranteeing application conditions as introduced by Habel and Pennemann [8], which is known to construct huge application conditions. Also, the application conditions constructed above become more and more restrictive as k increases, since the number of conditions also increases.

4.2 Basic Consistency-increasing and Consistency-maintaining Rules

The construction of the application conditions introduced in the previous section, as well as the constructed application conditions themselves, are very complex. For a certain set of rules, which we will call *basic consistency-increasing rules*, we are able to construct application conditions with the same property, namely that a rule equipped with this application condition is consistency-increasing at layer, in a less complex way. The main idea is that these rules (a) are not able to delete occurrences of existentially bound graphs or insert occurrences of universally bound graphs and (b) are able to increase consistency at a certain layer. That is, given a basic increasing rule ρ , there exists a transformation $t : G \Longrightarrow_\rho H$ such that t is a consistency increasing transformation with respect to a constraint c .

To ensure that (a) is satisfied, we first introduce *basic consistency-maintaining rules up to layer*, which means that, given a constraint, a plain rule is not able to delete existentially bound and insert universally bound graphs up to a certain layer. For

the definition, we use the notion of consistency maintaining rules up to layer. The set of basic consistency-maintaining rules up to layer is actually a subset of the set of consistency-maintaining rules up to layer, since these rules must be plain rules, whereas consistency-maintaining rules up to layer are allowed to have application conditions, i.e. $\text{main}(\cdot, \cdot)$.

Definition 4.4 (basic consistency maintaining rule up to layer). *Given a plain rule ρ and a constraint c in UANF. Then, ρ is called basic consistency maintaining rule up to layer $-1 \leq k < \text{nl}(c)$ w.r.t. c if it is a direct consistency-maintaining rule at layer k w.r.t. c .*

Example 4.3. *Consider the rules `moveFeature`, `assignFeature` and `addDependency` given in Figure 10 and constraints c_1 and c_2 given in Figure 5. The rule `assignFeature` is a basic consistency maintaining rule up to layer 1 w.r.t. c_1 , whereas `moveFeature` is not a basic consistency maintaining rule w.r.t. c_1 . The rule `addDependency` is a basic consistency-maintaining rule up to layer -1 w.r.t. c_2 , but is not a basic consistency-maintaining rule up to layer 1 w.r.t. c_2 since it can insert occurrences of C_3^2 .*

Since there are infinitely many transformations via a plain rule ρ , it is impossible to check whether ρ is a basic consistency maintaining rule up to a level based on the definition above. Therefore, we present a characterisation of basic consistency-maintaining rules that relies only on ρ itself.

First, let us assume that ρ is able to create occurrences of a universally bound graph C_j . This is possible if (a) ρ inserts an edge of $C_j \setminus C_{j-1}$ connecting pre-existing nodes of C_j , since it is unclear whether this would create a new occurrence of C_j , or (b) if ρ inserts a node v of C_j , so that all edges $e \in E_{C_j}$ with $\text{src}(e) = v$ or $\text{tar}(e) = v$ are also inserted. If at least one of these edges is not inserted, it is guaranteed that this insertion will not create an occurrence of C_j , since v is only connected to edges that have also been inserted by ρ .

Second, suppose ρ is able to delete occurrences of an existentially bound graph C_j . This is possible if (a) ρ deletes an edge of $C_j \setminus C_{j-1}$ or (b) ρ deletes a node v of $C_j \setminus C_{j-1}$ such that all edges $e \in E_{C_j}$ with $\text{src}(e) = v$ or $\text{tar}(e) = v$ are also deleted. If ρ deletes a node c of $C_j \setminus C_{j-1}$ without all its connected edges in C_j , there is no transformation via ρ such that an occurrence of C_j is deleted by deleting that node, since the dangling edge condition would not be satisfied. A rule that satisfies these properties does not reduce the largest satisfied layer.

We also need to ensure that the number of violations is not increased. To do this, we have to check that ρ is not able to insert occurrences of the corresponding universally bound graph, as described above, and that ρ is not able to remove occurrences of any intermediate graph. This is only ensured if ρ does not remove any elements of $C_{k+1} \setminus C_k$ when the set of intermediate graphs is given by $\text{IG}(C_k, C_{k+1})$.

To check that a plain rule satisfies these properties, we use the dangling edge condition, or in other words, we check that the rule does not apply to certain overlaps of L and an existentially bound graph, or that the inverse rule does not apply to certain overlaps of R and a universally bound graph.

Lemma 4.5. *Given a plain rule $\rho = L \xleftarrow{l} K \xrightarrow{r} R$ and a constraint c in UANF. Let $-1 \leq k < \text{nl}(c)$ be odd, then ρ is a basic consistency-maintaining rule up to layer k w.r.t. c if 1 and 2 hold for all k , and 3 holds if $k < \text{nl}(c) - 2$.*

1. *For each existentially bound graph C_j with $2 \leq j \leq k + 1$ and each overlap $P \in \text{ol}(L, C_j)$ with $i_L^P(L \setminus K) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$, the rule ρ is not applicable at match i_L^P .*
2. *For each universally bound graph C_j with $1 \leq j \leq k + 2$ and each overlap $P \in \text{ol}(R, C_j)$ with $i_R^P(R \setminus K) \cap i_{C_j}^P(C_j) \neq \emptyset$, the rule ρ^{-1} is not applicable at match i_r^P .*
3. *For all graphs $P \in \text{ol}(L, C_{k+3})$ it holds that*

$$i_L^P(L \setminus K) \cap i_{C_{k+3}}^P(C_{k+3} \setminus C_{k+2}) = \emptyset.$$

Proof. Let $\rho = L \xleftarrow{l} K \xrightarrow{r} R$ be a rule that satisfies the characterisations listed in Lemma 4.5 with $-1 \leq k < \text{nl}(c)$ odd. Suppose ρ is not a direct consistency-maintaining rule up to layer k w.r.t. c . Then, there is a transformation $t : G \Rightarrow_{\rho, m} H$ with $k_{\max}(c, G) = k$ such that t is not direct consistency-maintaining w.r.t. c . Therefore, either the deleting, inserting, universally or existentially condition is not satisfied.

1. If the deleting condition is not satisfied, then $k < \text{nl}(c) - 2$. There is an occurrence $p : C_{k+2} \hookrightarrow G$ such that $p \models \text{IC}_0(\text{sub}_{k+2}(c), C')$ and $\text{tr}_t \circ p \models \text{IC}_0(\text{sub}_{k_{\max}+2}(c), C')$ with $C' \in \text{IG}(C_{k+2}, C_{k+3})$. So an overlap $P \in \text{ol}(L, C_{k+3})$ with $i_L^P(L \setminus K) \cap i_{C_{k+3}}^P(C_{k+3} \setminus C_{k+2}) = \emptyset$ must exist. This is a contradiction.
2. If the inserting condition is not satisfied, there is an occurrence $p : C_{k+2} \hookrightarrow H$ such that no morphism $q : C_{k+2} \hookrightarrow G$ with $p = \text{tr}_t \circ q$ exists and $p \not\models \text{false}$ if $\text{sub}_{k+2}(c) = \text{false}$ and $p \not\models \text{IC}_0(\text{sub}_{k+2}(c), C_{j+3})$ otherwise. So there is an overlap $P \in \text{ol}(R, C_{k+2})$ with $i_R^P(R \setminus K) \cap i_{C_{k+2}}^P(C_{k+2}) \neq \emptyset$ such that ρ^{-1} is applicable at match i_R^P . This is a contradiction.
3. If the universally condition is not satisfied, there is an occurrence $p : C_j \hookrightarrow H$ of an universally bound graph C_j with $1 \leq j \leq k + 2$ such that no morphism $q : C_j \hookrightarrow G$ with $\text{tr}_t \circ q = p$ exists. So there is an overlap $P \in \text{ol}(R, C_j)$ with $i_R^P(R \setminus K) \cap i_{C_j}^P(C_j) \neq \emptyset$ such that ρ^{-1} is applicable at match i_R^P . This is a contradiction.
4. If the existentially condition is not satisfied, there is an occurrence $p : C_j \hookrightarrow H$ of an existentially bound graph C_j with $2 \leq j \leq k + 1$ such that $\text{tr}_t \circ p$ is not total. So there is an overlap $P \in \text{ol}(L, C_j)$ with $i_L^P(L \setminus K) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$ such that the rule ρ is applicable at match i_L^P . This is a contradiction.

In summary, ρ is a basic consistency-maintaining rule up to layer k . □

Now we are ready to introduce *basic increasing rules at layer k* , where k is odd. The set of basic increasing rules is a subset of the set of consistency-maintaining rules at layer k , which ensures that the largest satisfied layer as well as the number of violations will not increase. In addition, the left-hand side of this rule contains an occurrence p of the universally bound graph C_{k+2} , so either this occurrence is removed, i.e. elements of $C_{k+2} \setminus C_{k+1}$ are deleted, or an intermediate graph $C \in \text{IG}(C_{k+2}, C_{k+3})$ is inserted. Of course, this second case only occurs if $k < \text{nl}(c) - 2$, where c is the corresponding constraint. This property has the advantage that the application conditions for basic increasing rules are less complex and smaller, since it can be determined exactly how this rule removes a violation, and therefore no overlaps need to be considered.

This, at first sight, seems to be a restriction of the set of basic increasing rules, but the context of any rule ρ that satisfies all the properties of a basic increasing rule except that C_{k+2} is a subgraph of the left-hand side can be extended so that ρ is a basic increasing rule and the semantic of ρ is not increased. A method for deriving these rules will be presented later.

Basic increasing rules at layer k are called *deleting basic increasing rules* when p is removed and *inserting basic increasing rules* when an intermediate graph is inserted. For our repair process, we will introduce the restriction that deleting basic increasing rules may only delete edges but not nodes of C_{k+2} , since otherwise it is not possible to decide, given a rule set and a constraint, whether this rule set is able to repair an arbitrary graph based only on deleting basic increasing rules. For example, consider a rule that deletes a node from C_{k+2} . Then it is unknown whether this node is connected to nodes that do not belong to C_{k+2} , and it is unclear whether all occurrences of C_{k+2} could be destroyed by ρ , since the dangling edge condition might not be satisfied.

Definition 4.6 (basic increasing rule). *Given a constraint c in UANF and a direct consistency-maintaining rule $\rho = (\text{ac}, L \xleftarrow{l} K \xrightarrow{r} R)$ up to layer $-1 \leq k \leq \text{nl}(c) - 2$, where k is odd. Then, ρ is a basic increasing rule w.r.t c at layer k if a morphism $p : C_{k+2} \hookrightarrow L$, called the increasing morphism, exists such that either 1 or 2 holds.*

1. Universally deleting: $r \circ l^{-1} \circ p$ is not total. Then, ρ is called a deleting basic increasing rule.
2. Intermediate inserting: If $k < \text{nl}(c) - 2$, there is an intermediate graph $C' \in \text{IG}(C_{k+2}, C_{k+3})$ such that $p \not\models \exists(a_{k+2}^r : C_{k+2} \hookrightarrow C', \text{true})$, $r \circ l^{-1} \circ p$ is total and $r \circ l^{-1} \circ p \models \exists(a_{k+2}^r : C_{k+2} \hookrightarrow C', \text{true})$. Then, ρ is called an inserting basic increasing rule with C .

Example 4.4. Consider the rule `assignFeature` given in Figure 10 and constraint c_1 given in Figure 5. Then, `assignFeature` is an inserting basic rule with $C_2^2 \in \text{IG}(C_1^1, C_2^1)$ w.r.t. c_1 but is not an inserting basic rule with respect to the constraint $\forall(C_2^2, \exists(C_2^1, \text{true}))$ since the left-hand side of `assignFeature` does not contain an occurrence of C_2^2 .

As mentioned above, given a direct consistency-maintaining rule ρ , we can derive basic increasing rules that are applicable when ρ is applicable by extending the context of that rule so that it contains an occurrence of the graph C_{k+2} .

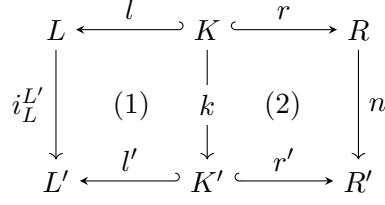


Figure 17: Pushout diagram for the construction of basic increasing rules.

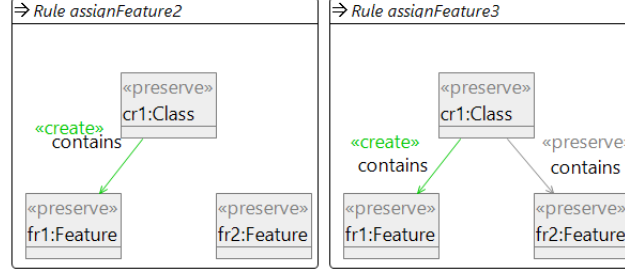


Figure 18: Derived rules of **assignFeature** and c_1 .

Definition 4.7 (derived rules). Given a constraint c in $UANF$ and a rule $\rho = (ac, L \xleftarrow{l} K \xrightarrow{r} R)$. The set of derived rules from ρ at level $0 \leq k \leq \text{nl}(c) - 2$, where k is odd, contains rules characterised as follows: Let

$$\mathbf{G} := \begin{cases} \{C_{k+2}\} & \text{if } k = \text{nl}(c) - 2 \text{ is existentially bound} \\ \text{IG}(C_{k+2}, C_{k+3}) & \text{otherwise.} \end{cases}$$

For $P \in \mathbf{G}$ and $L' \in \text{ol}(L, P)$: If the diagram shown in Figure 17 is a transformation, i.e. (1) and (2) are pushouts, and for the characterisations of Definition 4.6 holds that

$$L' \xleftarrow{l'} K' \xrightarrow{r'} R' \text{ is universally deleting or intermediate inserting}$$

the rule

$$\rho' = (\text{Shift}(ac, i_L^{L'}), L' \xleftarrow{l'} K' \xrightarrow{r'} R')$$

is a derived rule of ρ at layer k .

Example 4.5. Consider the rule **assignFeature** given in Figure 10 and constraint c_1 given in Figure 5. The set of derived rules from ρ at layer 1 is given in Figure 18.

Obviously, a rule ρ' contained in the set of rules derived from a rule ρ is only applicable to a match m' if ρ is applicable to a match m with $m = m' \circ i$, where i is the inclusion of the left side of ρ in the left side of ρ' . Therefore, given a set of rules \mathcal{R} , extending \mathcal{R} by the set of all derived rules for each rule of \mathcal{R} does not extend the expressiveness of \mathcal{R} . The main idea of the concept of derived rules is to extend a given set of rules by as many basic increasing rules as possible without extending the expressiveness of that set.

Lemma 4.8. *Given a constraint c in UANF and a rule $\rho = (\text{ac}, L \xleftarrow{l} K \xrightarrow{r} R)$ be given, such that ρ is a direct maintaining rule up to layer $-1 \leq k \leq \text{nl}(c) - 2$, where k is odd, which is universally deleting and intermediate inserting according to Definition 4.6. Then every rule contained in the set of derived rules of ρ at layer k is a basic increasing rule.*

Proof. Let $\rho' = (\text{ac}', L' \xleftarrow{l'} K' \xrightarrow{r'} R')$ be one of these derived rules. Since ρ' deletes and inserts exactly the same elements as ρ and $m', \models \text{ac}' \iff m' \circ i_L^{L'} \models \text{ac}$, ρ' is a direct consistency maintaining rule up to layer k and is universally deleting or intermediate inserting according definition 4.6. It follows that ρ' is a basic increasing rule at layer k . \square

In transformations via a rule ρ such that the match intersects an occurrence of a universally bound graph C_{k+2} , ρ can be replaced by a derived rule of ρ at level k .

Lemma 4.9. *Given a constraint c in UANF and a rule $\rho = (\text{ac}, L \xleftarrow{l} K \xrightarrow{r} R)$. Then, for each transformation*

$$t : G \Longrightarrow_{\rho, m} H$$

such that an occurrence $p : C_{k+2} \hookrightarrow G$ of a universally bound graph C_{k+2} with $p(C_{k+2}) \cap m(L) \neq \emptyset$ exists, there exists a transformation

$$t' : G \Longrightarrow_{\rho', m'} H$$

where ρ' is a derived rule of ρ at layer k .

Proof. Since $p(C_{k+2}) \cap m(L) \neq \emptyset$ there is an overlap $P \in \text{ol}(C_{k+2}, L)$ such that there exists a morphism $q : P \hookrightarrow G$ with $m = q \circ i_L^P$ and $p = q \circ i_{C_{k+2}}^P$. Since t exists, there is a derived rule $\rho' = (\text{ac}', L' \xleftarrow{l'} K' \xrightarrow{r'} R')$ of ρ at layer k , where $L' = P$. We set $m' = q$, since $m = m' \circ i_L^{L'} \models \text{ac}$, it follows that $m' = \text{ac}'$, and since ρ removes and inserts the same elements as ρ' , there is the transformation $t' : G \Longrightarrow_{\rho', m'} H$. \square

This allows us to replace consistency-increasing transformations via a direct consistency-maintaining rule ρ at layer k by a rule derived from ρ at layer k , i.e. a basic increasing rule at layer k .

4.3 Application Conditions for Basic Rules

Let us now introduce the application conditions for basic increasing rules. Since basic rules are consistency-maintaining at a certain layer k it suffices to check whether $m \circ i \exists(C_{k+3}, \text{true})$ if ρ is a deleting rule, and whether $m \circ i \models \exists(C', \text{true})$ if ρ is an inserting rule, where m is the match of the transformation and i is the increasing morphism of ρ .

Definition 4.10 (application conditions for basic increasing rules). *Given a constraint c in UANF and a basic increasing rule $\rho = (\text{ac}, L \xleftarrow{l} K \xrightarrow{r} R)$ w.r.t. c at*

layer $-1 \leq k \leq \text{nl}(c) - 2$, where k is odd. The basic application condition of ρ w.r.t. c at layer $-1 \leq j \leq \text{nl}(c) - 2$ is given by

$$\text{ac}' = \text{ac} \wedge \text{basic}_j(\rho)$$

with

$$\text{basic}_j(\rho) := \begin{cases} \bigwedge_{P \in \text{eol}(L, a, i)} \neg \exists (i_L^P : L \hookrightarrow P, \text{true}) & \text{if } j = k \text{ and } k < \text{nl}(c) - 2 \\ \text{true} & \text{if } k = \text{nl}(c) - 2 \\ \text{false} & \text{otherwise} \end{cases}$$

where $a = a_{k+2}$, if ρ is a deleting rule, $a = a_{k+2}^r : C_{k+2} \hookrightarrow C'$ if ρ is an inserting rule with C' and i is the increasing morphism of ρ .

These application conditions are much easier to construct and smaller than those constructed by Definition 4.3. Note that in the case of an inserting rule ρ which inserts an intermediate graph C , the application condition only checks whether the increasing morphism does not satisfy $\exists(C, \text{true})$. But an application of this rule could also lead to a consistency increasing transformation w.r.t. c if the increasing morphism satisfies $\exists(C, \text{true})$ and another intermediate graph C' is inserted. To check this, conditions similar to those constructed via Definition 4.3 must be constructed. At first sight this seems like a restriction, but via the notion of derived rules we are able to dissolve this restriction, since the set of derived rules of ρ will contain an inserting basic increasing rule with C' , so that this rule, equipped with the corresponding basic application condition, can be used to perform this consistency-increasing transformation. For example, consider the rule **assignFeature** and constraint c_1 given in Figure 5, there is a consistency increasing transformation $t : C_2^2 \Rightarrow_{\text{assignFeature}, m} C_2^1$ such that $m \not\models \text{basic}_{-1}(\text{assignFeature})$, but there is also a transformation $t : C_2^2 \Rightarrow_{\text{assignFeature3}, m'} C_2^1$ with $m' \models \text{basic}_{-1}(\text{assignFeature3})$.

Let us now show that basic increasing rules equipped with the application condition constructed by Definition 4.10 are indeed direct consistency increasing rules at layer.

Theorem 4.4. *Given a constraint c in UANF and a basic increasing rule $\rho = (\text{ac}, L \xleftarrow{l} K \xrightarrow{r} R)$ w.r.t c at layer $-1 \leq k \leq \text{nl}(c) - 2$, where k is odd.*

Then, $\rho' = (\text{ac} \wedge \text{basic}_k(\rho), L \xleftarrow{l} K \xrightarrow{r} R)$ is a direct consistency increasing rule at layer k .

Proof. Given a graph G with $k_{\max} = k$. We show that each transformation $t : G \Rightarrow_{\rho', m} H$ is direct consistency increasing w.r.t. c . Since, ρ' is a basic increasing rule at layer k , ρ' is also a consistency maintaining transformation at layer k and t satisfies the deletion, inserting, universally and existentially conditions. Therefore, we only need to show that t satisfies the special increasing or general increasing condition respectively.

1. If ρ' is a deleting rule, $r \circ l^{-1} \circ i$ is not total, where i is the increasing morphism of ρ' . If $k = \text{nl}(c) - 2$, the transformation satisfies the special increasing condition,

$$\begin{aligned}
\text{basic}_{-1}(\text{assignFeature}) &= \neg\exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \\ \downarrow \text{contains} \\ \boxed{\text{rf1} = \text{cf1:Feature}} \end{array}, \text{true} \right) \wedge \neg\exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \\ \downarrow \text{contains} \\ \boxed{\text{rf1} = \text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array}, \text{true} \right) \\
\text{basic}_{-1}(\text{assignFeature3}) &= \neg\exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \\ \swarrow \text{contains} \quad \searrow \text{contains} \\ \boxed{\text{rf1} = \text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array}, \text{true} \right) \wedge \neg\exists \left(\begin{array}{c} \boxed{\text{rc1} = \text{cc1:Class}} \quad \boxed{\text{rf1} = \text{cf3:Feature}} \\ \swarrow \text{contains} \quad \searrow \text{contains} \\ \boxed{\text{cf1:Feature}} \quad \boxed{\text{cf2:Feature}} \end{array}, \text{true} \right)
\end{aligned}$$

Figure 19: Application condition for **assignFeature** and **assignFeature3** with c_1 at layer 1.

since one occurrence of C_{k+2} is removed. If $k < \text{nl}(c) - 2$, since $m \models \text{basic}_k(\rho)$, the morphism $m \circ i$ does not satisfy $\exists(C_{k+3}, \text{true})$. Since this occurrence is destroyed, t satisfies the general increasing condition.

2. If ρ' is an inserting rule with $C' \in \text{IG}(C_{k+2}, C_{k+3})$, then $k \leq \text{nl}(c) - 2$. The morphism $m \circ i$ does not satisfy $\exists(C', \text{true})$, since $m \models \text{basic}_k(\rho)$. But it holds that $\text{tr}_t \circ m \circ i \models \exists(C, \text{true})$ and therefore t satisfies the general increasing condition.

In summary, ρ' is a basic direct consistency increasing rule at layer k w.r.t. c . \square

Example 4.6. Again, consider the rule **assignFeature**, its derived rule **assignFeature3** and c_1 . The application condition for these rules at layer -1 w.r.t. c_1 is given in Figure 19.

5 Rule-based Graph Repair

In the following, we present our rule-based graph repair approach. First, we propose a graph repair process for a constraint in UANF, and second, a repair process for a set of constraints in UANF, both based on a given set of rules \mathcal{R} . In addition, we need to make further assumptions for these constraints and sets of constraints, namely that they are *circular conflict free*, in order to guarantee that our approach terminates.

5.1 Conflicts within Conditions

During a repair process, inserting elements of an existentially bound constraint C_j could also insert new occurrences of universally bound graphs C_i . This insertion is unproblematic if $i > k_{\max} + 2$, but if $i \leq k_{\max} + 2$ it could lead either to the insertion of new violations or to a reduction of the largest satisfied layer. Additionally, removing elements of a universally bound graph C_j may destroy occurrences of an existentially bound graph C_i . Again, this can lead to the insertion of new violations or a reduction of the largest satisfied layer.

We will now introduce the notion of *conflicts within conditions*, which states that C_j has a conflict with C_i if and only if one of the cases described above can occur. Note that conflicts can only occur between existentially and universally bound graphs, and

vice versa. There cannot be a conflict between two existentially bound or two universally bound graphs, since the insertion of elements cannot destroy occurrences of existentially bound graphs, and the removal of elements cannot insert new occurrences of universally bound graphs.

Definition 5.1 (conflicts within conditions). *Given a condition c in UANF. A existentially bound graph C_k has a conflict with an universally bound graph C_j if there is a transformation $t : G \Rightarrow_\rho H$ with $\rho = C_{k-1} \xleftarrow{\text{id}} C_{k-1} \xrightarrow{a_{k-1}} C_k$ such that*

$$\exists p : C_j \hookrightarrow H(\neg \exists q : C_j \hookrightarrow G(\text{tr}_t \circ q = p)).$$

A universally bound graph C_k has a conflict with an existentially bound graph C_j if there is a transformation $t : G \Rightarrow_\rho H$ with $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$ for any $C \in \text{IG}(C_{k-1}, C_k)$ such that

$$\exists p : C_j \hookrightarrow G(\text{tr}_t \circ p \text{ is not total}).$$

Additionally, we introduce *conflicts graphs*, which represent the conflicts within a condition via a graph. With these we are able to define *transitive conflicts*, *circular conflicts* and their absence, which will be a necessary property for the termination of our repair process. Intuitively, as the name suggests, a condition c contains a circular conflict if a graph C_k has a conflict with itself or if there exists a sequence $C_k = C_{j_1}, \dots, C_{j_n} = C_k$ of graphs such that C_{j_i} has a conflict with $C_{j_{i+1}}$. We can check this property by checking whether the conflict graph contains cycles.

Definition 5.2 (conflict graph, circular conflicts). *Let a condition c in UANF be given. The conflict graph of c is constructed in the following way. For every $0 \leq k < \text{nl}(c)$ there is a node labelled k . If there is a conflict between C_k and C_j , there is an edge e with $\text{src}(e) = k'$ and $\text{tar}(e) = j'$ if either $k = k'$ or $k = k' + 1$, either $j = j'$ or $j = j' + 1$ and $j' \neq k'$.*

A graph C_k has a transitive conflict with C_j if there exists a path from k to j . A graph C_k has a circular conflict if C_k has a transitive conflict with itself. A condition c is called circular conflict free if c does not contain a circular conflict.

In other words, a condition c is *circular conflict free* if its conflict graph is acyclic.

Example 5.1. *Consider constraint c_3 and the transformations t_1 and t_2 shown in Figure 20. Transformation t_1 shows that C_1 has a conflict with C_2 because the rule $\rho = C_1 \xleftarrow{\text{id}} C_1 \xrightarrow{a_1} C_2$ has been applied and there is a newly inserted occurrence of C_1 that does not satisfy $\exists(C_2, \text{true})$. Transformation t_2 shows that C_2 has a conflict with C_1 , since the rule $C_2 \xleftarrow{a_1} C_1 \xrightarrow{\text{id}} C_1$ has been applied and one occurrence of C_1 has been destroyed. So c_3 contains a circular conflict, the conflict graph of c_3 is shown in Figure 21.*

In general, the statement “ C_j has a conflict with C_k ” does not imply that “ C_k has a conflict with C_j ” as shown by constraint c_4 given in Figure 20. The conflict graph of c_4 is also shown in Figure 21. It can be seen that c_4 is a circular conflict free constraint.

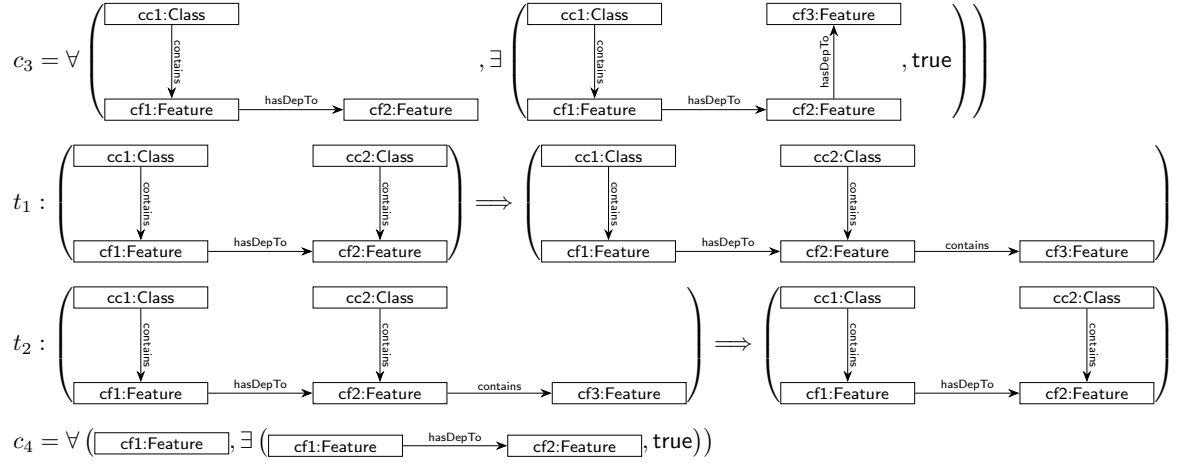


Figure 20: Constraint c_3 and the transformation that show the existence of conflicts between C_1 and C_2 and C_2 and C_1 .

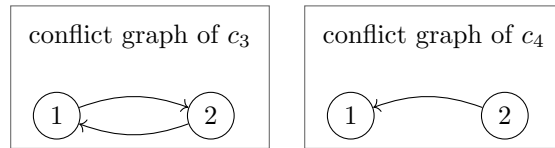


Figure 21: Conflict graphs of c_3 and c_4 .

We will now present two characterisations of conflicts. One based on overlaps and the other based on rules. For C_k , which is existentially bound and C_j , which is universally bound, the overlap-based characterisation checks whether for each overlap of C_k and C_j , such that the overlap morphisms restricted to $C_k \setminus C_{k+1}$ and C_j overlap, the rule that only deletes $C_k \setminus C_{k-1}$ is applicable. If this is not possible, there does not exist a transformation as described in Definition 5.2. If C_k is universally bound and C_j is existentially bound, the characterisation checks whether for each overlap of C_k and C_j such that the elements of $C_k \setminus C_{k-1}$ and $C_j \setminus C_{j-1}$ overlap, a rule is applicable that only removes elements of $C_k \setminus C_{k-1}$. Again, if this is not possible, there is no transformation as described in definition 5.2.

Lemma 5.3. *Given a constraint c in UANF.*

1. *Let C_k be an existentially and C_j a universally bound graph of c . Then, C_k has a conflict with C_j , if and only there is an overlap $P \in \text{ol}(C_k, C_j)$ with*

$$i_{C_k}^P(C_k \setminus C_{k-1}) \cap i_{C_j}^P(C_j) \neq \emptyset$$

and the rule $\rho = C_k \xleftarrow{a_{k-1}} C_{k-1} \xrightarrow{\text{id}} C_{k-1}$ is applicable at match $i_{C_k}^P$.

2. *Let C_k be an universally and C_j be an existentially bound graph of c . Then, C_k has a conflict with C_j if there is an overlap $P \in \text{IG}(C_k, C_j)$ with*

$$i_{C_k}^P(C_k \setminus C_{k-1}) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$$

and a rule $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$ with $C \in \text{IG}(C_{k-1}, C_k)$ and $i_{C_k}^P(C_k \setminus C) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$ is applicable at match $i_{C_k}^P$.

Proof. Given a condition c in UANF.

1. “ \implies ”: Let C_k be an existentially bound graph that has a conflict with an universally bound graph C_j . Then, there is a transformation $t : G \implies_\rho H$ with $\rho = C_{k-1} \xleftarrow{\text{id}} C_{k-1} \xrightarrow{a_{k-1}} C_k$ such that a new occurrence p of C_j is inserted. Since only elements of $C_k \setminus C_{k-1}$ are inserted, it holds that $p(C_j) \cap n(C_k \setminus C_{k-1}) \neq \emptyset$, with n being the co-match of t . The graph $p(C_j) \cup n(C_k)$ is the overlap we are looking for, and the rule $\rho^{-1} = C_k \xleftarrow{a_{k-1}} C_{k-1} \xrightarrow{\text{id}} C_{k-1}$ must be applicable at the match n .
“ \impliedby ”: Let C_k be an existentially and C_j an universally bound graph such that there exists an overlap $P \in \text{ol}(C_k, C_j)$ with $i_{C_k}^P(C_k \setminus C_{k-1}) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$ so that the rule $\rho = C_k \xleftarrow{a_{k-1}} C_{k-1} \xrightarrow{\text{id}} C_{k-1}$ is applicable at match $i_{C_k}^P$. Then the inverse transformation of $t : P \implies_{\rho, i_{C_k}^P} H$ is the transformation we are looking for and C_k has a conflict with C_j .

2. “ \implies ”: Let C_k be an universally bound graph that has a conflict with an existentially bound graph C_j . Then, there is a transformation $t : G \implies_\rho H$ with $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$ and $C \in \text{IG}(C_{k-1}, C_k)$ such that $\text{tr}_t \circ p$ is not total for an occurrence $p : C_j \hookrightarrow G$. The graph $p(C_j) \cup m(C_k)$ is the overlap we are looking for and $i_{C_k}^P(C_k \setminus C) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$ must hold since ρ only deletes elements of $C_k \setminus C_{k-1}$.
“ \Leftarrow ”: Let C_k be universally and C_j existentially bound such that there is an overlap $P \in \text{ol}(C_k, C_j)$ with $i_{C_k}^P(C_k \setminus C_{k-1}) \cap i_{C_j}^P(C_j \setminus C_{j-1}) \neq \emptyset$ so that a rule $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$ with $C \in \text{IG}(C_{k-1}, C_k)$ is applicable at match $i_{C_k}^P$. Then, the transformation of $t : P \implies_{\rho, i_{C_k}^P} H$ is the transformation we are looking for and C_k has a conflict with C_j .

□

Our second characterisation of conflicts is based on the notion of basic maintaining rules.

Lemma 5.4. *Let a condition c in UANF be given.*

1. *Let C_k be an existentially and C_j be an universally bound graph of c . Then, C_k has a conflict with C_j if and only if the rule $\rho = C_{k-1} \xleftarrow{\text{id}} C_{k-1} \xrightarrow{a_{k-1}} C_k$ is not a basic consistency maintaining rule up to layer -1 w.r.t. $\forall(a_{j-1} \circ \dots \circ a_0 : C_0 \hookrightarrow C_j, \text{false})$.*
2. *Let C_k be an universally and C_j be an existentially bound graph of c . Then, C_k has a conflict with C_j if and only if each rule $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$ with $C \in \text{IG}(C_{k-1}, C_k)$ is not a basic consistency maintaining rule up to layer -1 w.r.t. $\exists(a_{j-1} \circ \dots \circ a_0 : C_0 \hookrightarrow C_j, \text{true})$.*

Proof. 1. Let C_k be an existentially and C_j an universally bound graph of c .

“ \implies ”: Assume that C_k has a conflict with C_j . Therefore, there does exist a transformation $t : G \implies_\rho H$ with $\rho = C_{k-1} \xleftarrow{\text{id}} C_{k-1} \xrightarrow{a_{k-1}} C_k$ such that a new occurrence $p : C_j \hookrightarrow H$ has been inserted. Then, t does not satisfy the universally condition and ρ is not a basic maintaining rule up to layer -1 .

“ \Leftarrow ”: Assume that $\rho = C_{k-1} \xleftarrow{\text{id}} C_{k-1} \xrightarrow{a_{k-1}} C_k$ is not a basic maintaining rule up to layer -1 w.r.t. $\forall(a_{j-1} \circ \dots \circ a_0 : C_0 \hookrightarrow C_j, \text{false})$. Since this constraint only contains universally bound graphs, there must exist a transformation $t : G \implies_\rho$ that does not satisfy the universally condition. Therefore, a new occurrence of C_j has been inserted by t and with Definition 5.1 follows that C_k has a conflict with C_j .

2. Let C_k be an universally and C_j be an existentially bound graph of c and $c' = \exists(a_{j-1} \circ \dots \circ a_0 : C_0 \hookrightarrow C_j, \text{true})$.

“ \Rightarrow ”: Assume that C_k has a conflict with C_j . Therefore, there is a transformation $t : G \Rightarrow_\rho H$ with $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$, for a $C \in \text{IG}(C_{k-1}, C_k)$ such that an occurrence of C_j has been destroyed. Then, t does not satisfy the existentially condition. Therefore, ρ is not a basic consistency maintaining rule w.r.t. c up to layer -1 .

“ \Leftarrow ”: Assume that $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$ is not a basic increasing rule w.r.t. c up to layer -1 . Therefore, there is transformation $t : G \Rightarrow_\rho H$ that does not satisfy the existentially condition and an occurrence of C_j has been removed by t . It follows that C_k has a conflict with C_j . □

5.2 Repairing rule Sets

Given a set of rules and a constraint, it is unclear whether or not it is possible to repair a graph using the rules of that set. Therefore, we introduce the notion of *repairing rule sets*, which is a characterisation of rule sets that are able to repair a graph w.r.t. a circular conflict free constraint. First, we introduce the notion of *repairing sequences*. A repairing sequence is a sequence of rule applications that either destroys an occurrence of a universal or inserts an occurrence of an existentially bound graph, and is applicable to each occurrence of these graphs. To ensure that these sequences are applicable to every occurrence, it is necessary to ensure that no nodes of these occurrences are removed and that the left-hand side of the first rule of the repairing sequence is contained in that occurrence. In other words, every repairing sequence of C_k starts with a transformation originating in C_k if C_k is universally bound and C_{k-1} if C_k is existentially bound.

Definition 5.5 (repairing sequence). *Let a constraint c in UANF and a set of rules \mathcal{R} be given.*

1. *If C_k is existentially bound, a sequence of transformations*

$$C_{k-1} = G_0 \xRightarrow{t_1}_{\rho_1, m_1} G_1 \xRightarrow{t_2}_{\rho_2, m_2} \dots \xRightarrow{t_n}_{\rho_n, m_n} G_n$$

with $\rho_i \in \mathcal{R}$ is called a repairing sequence of C_k if $G_n \models_k c$, $\text{tr}_{t_n} \circ \dots \circ \text{tr}_{t_1} \circ \text{id}_{C_{k-1}}$ is total and the concurrent rule of this sequence is a basic consistency maintaining rule w.r.t. $\forall(C_j, \text{false})$ for all universally bound graphs C_j such that C_k has no conflict with C_j .

2. *If C_k is universally bound, a sequence of transformations*

$$C_k = G_0 \xRightarrow{t_1}_{\rho_1, m_1} G_1 \xRightarrow{t_2}_{\rho_2, m_2} \dots \xRightarrow{t_n}_{\rho_n, m_n} G_n$$

with $\rho_i \in \mathcal{R}$ is called a repairing sequence of C_k if $G_n \models_k c$, for each node $v \in V_{G_0}$ there does exist a node $v' \in V_{G_n}$ with $v' = \text{tr}_{t_n}(\dots \text{tr}_{t_1}(v))$ and the concurrent rule of this sequence is a basic consistency maintaining rule w.r.t. $\forall(C_j, \text{true})$ for universally bound graphs C_j .

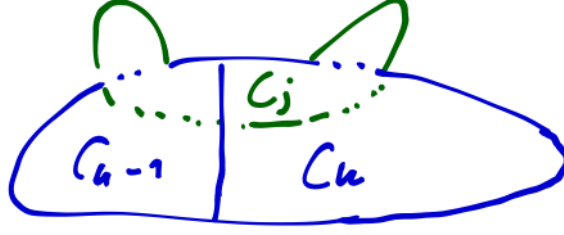


Figure 22: Scheme of an overlap of existentially bound graph C_k and universally bound graph C_j that could lead to an insertion of C_j via repairing sequences.

In both cases the insertion of additional elements, i.e. $G_n \neq C_{k+1}$ if C_k is existentially bound and $G_n \neq C$ for all $C \in \text{IG}(C_{k-1}, C_k)$ if C_k is universally bound, could lead to the insertion of universally bound graphs. For an existentially bound graph, this can happen if there is an overlap with a universally bound graph in a similar way as shown in figure 22. To ensure that this does not happen, we need the additional condition that the concurrent rule is a basic consistency maintaining rule with respect to certain constraints. If $G_n = C_{k+1}$ if C_k is existentially or $G_n = C$ with $C \in \text{IG}(C_{k-1}, C_k)$ if C_k is universally bound, this condition is not needed as the following Theorem shows.

Theorem 5.1. *Let a constraint c in UANF and a set of rules \mathcal{R} be given.*

1. *If C_k is existentially bound and there is sequence*

$$C_{k-1} \Longrightarrow_{\rho_1, m_1} \dots \Longrightarrow_{\rho_n, m_n} C_k$$

with $\rho_i \in \mathcal{R}$ such that $\text{tr}_{t_n} \circ \dots \circ \text{tr}_{t_1} \circ \text{id}_{C_{k-1}}$ is total and $C_k \models_k c$. Then, this is a repairing sequence for C_k .

2. *If C_k is universally bound and there is a sequence*

$$C_k \Longrightarrow_{\rho_1, m_1} \dots \Longrightarrow_{\rho_n, m_n} C$$

with $\rho_i \in \mathcal{R}$, $C \in \text{IG}(C_{k-1}, C_k)$, $C \models_k c$ and for each node $v \in V_{G_0}$ there does exist a node $v' \in V_{G_n}$ with $v' = \text{tr}_{t_n}(\dots \text{tr}_{t_1}(v))$. Then, this is a repairing sequence for C_k .

Proof. 1. If C_k is existentially bound, the concurrent rule is given by $\rho = C_{k-1} \xleftarrow{\text{id}} C_{k-1} \xrightarrow{a_k} C_k$. Let C_j be a universally bound graph such that C_k has no conflict with C_j and ρ is not a basic consistency maintaining rule w.r.t. $\forall(C_j, \text{true})$. With Lemma 5.4 follows immediately that C_k has a conflict with C_j , this is a contradiction.

2. If C_k is universally bound, the concurrent rule is given by $\rho = C_k \xleftarrow{a_{k-1}^r} C \xrightarrow{\text{id}} C$. Then, ρ is a basic consistency maintaining rule w.r.t. $\forall(C_j, \text{true})$ for all universally bound graphs since ρ does not insert any elements.

□

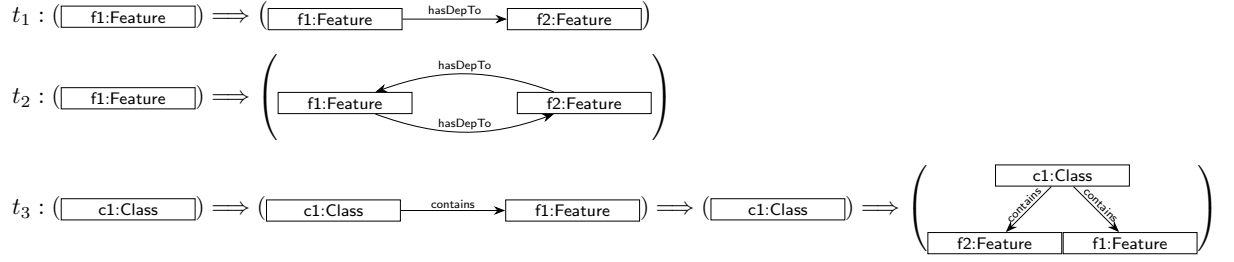


Figure 23: Repairing sequences for c_1 and c_4 .

Definition 5.6 (repairing rule set). Let a set of rules \mathcal{R} and a circular conflict free constraint c in UANF be given. Then, \mathcal{R} is called a repairing rule set of c if there does exist a repairing sequence for each existentially bound graph of c and, if $\text{nl}(c)$ is odd, i.e. c ends with a condition of the form $\forall(C_{\text{nl}(c)}, \text{false})$, \mathcal{R} contains a repairing sequence for $C_{\text{nl}(c)}$.

Note that there cannot exist a repairing sequence for a universally bound graphs C_k such that $C_k \setminus C_{k-1}$ does not contain any edges. Therefore, there is no repairing set for all constraints of the form $\forall(C_1, \text{false})$ such that $E_{C_1} = \emptyset$.

Theorem 5.2. Let a circular conflict free constraint c in UANF and a repairing set \mathcal{R} of c be given. Then, for each graph G with $G \not\models c$, there is a sequence of transformations

$$G = G_0 \Rightarrow_{\rho_1, m_1} \dots \Rightarrow_{\rho_n, m_n} G_n$$

with $\rho_i \in \mathcal{R}$ such that $G_n \models c$.

We will postpone the proof of this Theorem, as it follows immediately from the termination of our repair process.

Example 5.2. Consider the constraints c_1 , c_4 and the sequences shown in Figure 23. The first sequence is not a repairing sequence for the existentially bound graph of c_4 , since $G_1 \not\models_1 c_4$ and therefore a rule set containing only this rule is not a repairing set w.r.t c_4 . The second sequence is a repairing sequence for the existentially bound graph of c_4 , since the last graph satisfies c_4 and the existentially bound graph has a conflict with the universally bound graph. Therefore, the condition for the concurrent rule is also satisfied, and a rule set containing this rule is a repairing set w.r.t. c_4 .

The third sequence is a repairing sequence for c_1 since the last graph satisfies c_1 and the sequence satisfies the criteria given in Theorem 5.1. Note that this sequence consists of two applications of the same rule. A set of rules containing this rule is a repairing set w.r.t. c_1 .

5.3 Rule-based Graph Repair for one Constraint

In the following, we present our graph repair process for a circular conflict-free constraint in UANF. The process is shown in Algorithm 1 and proceeds as follows. The algorithm

starts by finding all occurrences of $C_{k_{\max}+2}$ that do not satisfy $\text{cut}_0(\text{sub}_{k_{\max}+2}(c))$ (line 2). This condition is equal to **false** if $k_{\max}+2 = \text{nl}(c) - 2$ and equal to $\exists(C_{k_{\max}+2}, \text{true})$ otherwise. If P is empty, it must follow that $G \models_{k_{\max}+2} c$, and so we will apply repairing sequences at occurrences contained in this set. It may be sufficient to repair only some of these occurrences. Since we do not know which of these are likely to increase the consistency, we choose one at random (line 3). For example, for existentially bound constraints d , i.e. their equivalent constraint in UANF is $\forall(\emptyset, d)$, there may exist occurrences of $C_{k_{\max}+2}$ whose repair will never lead to an increase of the largest satisfied layer.

There are two ways to repair the selected occurrence, either by destroying it, or by inserting elements such that the occurrence satisfies $\text{cut}_0(\text{sub}_{k_{\max}+2}(c))$. The algorithm chooses one of these options (line 4) and applies the appropriate repair sequence (lines 5–11). Note that there may be no repair sequence for $C_{k_{\max}+2}$, since this graph is universally bound. If this is the case, we use the repairing sequence for $C_{k_{\max}+3}$. This must exist because $C_{k_{\max}+3}$ is existentially bound.

If the repairing sequence for $C_{k_{\max}+2}$ was applied, occurrences of existentially bound graphs may have been destroyed. Note that these can only be occurrences of graphs C_i such that $C_{k_{\max}+2}$ has a conflict with C_i . This could lead to a reduction of the largest satisfied layer. Therefore the algorithm finds all these destroyed occurrences, in particular it finds all occurrences p of universally bound graphs C_i such that an occurrence q of C_{i+1} with $p = q \circ a_j$ has been removed (line 7). If the repairing sequence for $C_{k_{\max}+3}$ has been applied, occurrences of universally bound graphs may have been inserted. Again, these can only be occurrences of graphs C_i such that $C_{k_{\max}+2}$ has a conflict with C_i and this could lead to a decrease of the largest satisfied layer. Again, the algorithm finds all inserted occurrences of universally bound graphs (line 10). If the largest satisfied layer has not been reduced, the algorithm chooses the next occurrence in P .

Otherwise, the largest satisfied layer must be restored. To do this, the occurrences contained in M must be repaired. Repairing these occurrences may again result in the insertion of existentially bound graphs or the removal of universally bound graphs. These occurrences are added to H , and this process is repeated until the largest satisfied layer is restored, i.e. $H \models_{k_{\max}} c$ (line 12 – 25). The whole process is repeated until a graph satisfying c is derived.

From this it is clear why c must be circular conflict free. For a constraint with circular conflicts, during the restoring phase a new occurrence of $C_{k_{\max}+2}$ can be inserted and an occurrence of $C_{k_{\max}+3}$ can be removed. In certain cases this could lead to an infinite loop, so there is no guarantee that this algorithm will terminate. For example, consider the constraint c_3 given in Figure 20. The set of rules used for the transformations t_1 and t_2 in figure 20 forms a repairing set. During a repair process using Algorithm 1, where the starting graph is the first graph of t_1 , it is possible for the Algorithm 1 to enter an infinite loop by alternately applying t_1 and t_2 .

Optimisation of the repair algorithm in terms of the number of elements inserted or deleted can be achieved by using partial repairing sequences where possible. For

example, consider the repairing sequence

$$C_k \Longrightarrow C_1 \Longrightarrow \dots \Longrightarrow C_{k+1}$$

with $C_1 \in \text{IG}(C_k, C_{k+1})$. For an occurrence p of C_k , which already satisfies the condition $\exists(C_1, \text{true})$, it may be sufficient to apply only the sequence

$$C_1 \Longrightarrow \dots \Longrightarrow C_{k+1}$$

at p . But then you have to check that no occurrences of existentially bound graphs have been destroyed, and that no occurrences of universally bound graphs C_i such that C_k has no conflict with C_i have been inserted. If this is the case, the transformations must be reversed and another (partial) repairing sequence must be used. Even though this would lead to an optimisation in terms of the number of elements inserted and deleted, it would lead to an increase in runtime due to the reversal of transformations.

For any circular conflict-free constraint, Algorithm 1 will always terminate according to the following Theorem.

Theorem 5.3. *Given n graph G , a circular conflict free condition c in UANF and a repairing set \mathcal{R} of c . Then, Algorithm 1 with input G, c and \mathcal{R} terminates and returns a graph H with $H \models c$.*

Proof. If Algorithm 1 terminates, it returns a graph that satisfies c . Therefore, it is sufficient to show that Algorithm 1 terminates. Since G is finite, the set P must also be finite. If a repairing sequence has been applied, the set M contains only occurrences of graphs C_j such that $C_{k_{\max}+2}$ has a (transitive) conflict with C_j , since the repairing sequence is not able to destroy or insert occurrences of C_i such that $C_{k_{\max}+2}$ has no (transitive) conflict with C_i . Since G is finite, $|M|$ must also be finite.

If the derived graph does not satisfy $\text{cut}_{k_{\max}(c, G)}(c)$, we need to restore the largest satisfied layer. Since the largest satisfied layer only decreases if an occurrence of an existentially bound graph is destroyed or an occurrence of universally bound graphs is inserted, and M contains all these occurrences, we only need to consider the occurrences contained in M . Applying repairing sequences to occurrences $p : C_j \hookrightarrow H \in M$ could again lead to the insertion of universally bound graphs or the removal of existentially bound graphs. The set M' contains all these occurrences, and again these are only occurrences of C_i such that C_j has a (transitive) conflict with C_i . Since c is free of circular conflict, M' cannot contain any occurrences of $C_{k_{\max}+2}$, otherwise C_j would have a (transitive) conflict with $C_{k_{\max}+2}$ and therefore $C_{k_{\max}+2}$ has a circular conflict. Therefore no occurrences of $C_{k_{\max}+3}$ are destroyed and no occurrences of $C_{k_{\max}+2}$ are inserted. In addition, $C_{k_{\max}+2}$ has a (transitive) conflict with C_i , and repairing any p in M' will not lead to insertion of an occurrence of $C_{k_{\max}+2}$ or removal of an occurrence of $C_{k_{\max}+3}$.

Since c is circular conflict free, there must exist graphs C_i , such that C_i has no conflict with any other graph $C_{i'}$ and $C_{k_{\max}+2}$ has a (transitive) conflict with C_i . Therefore, the application of repairing sequences at occurrences of these graphs will not lead to the

Algorithm 1: Repair for one circular conflict free constraint

Data: A graph G , a circular conflict free constraint c in UANF and a repairing set \mathcal{R} for c .

Result: A graph H with $H \models c$.

```

1 while  $G \not\models c$  do
2    $P \leftarrow \{q : C_{k_{\max}+2} \hookrightarrow H \mid q \not\models \text{cut}_0(\text{sub}_{k_{\max}+2}(c))\}$ ;
3   Choose  $p \in P$  uniformly at random ;
4   Choose  $r \in \{0, 1\}$  uniformly at random;
5   if  $r = 0$  and  $\mathcal{R}$  contains a repairing sequence for  $C_{k_{\max}+2}$  then
6     Apply the repairing sequence for  $C_{k_{\max}+2}$  at match  $p$  and let  $H$  be the
       derived graph ;
7      $M \leftarrow \{q : C_j \hookrightarrow H \mid j \text{ odd and } \neg \exists q' : C_j \hookrightarrow G(\text{tr} \circ q' = q)\}$ ;
8   else
9     Apply the repairing sequence for  $C_{k_{\max}+3}$  at match  $p$  and let  $H$  be the
       derived graph ;
10     $M \leftarrow \{q : C_j \hookrightarrow H \mid j \text{ odd and } \exists q' : C_{j+1} \hookrightarrow G(q =$ 
       $q' \circ a_j \wedge \text{tr} \circ q' \text{ is not total})\}$ ;
11  end
12  while  $H \not\models_{k_{\max}(c,G)} c$  do
13    Choose  $p : C_j \hookrightarrow H \in M$  uniformly at random ;
14    Choose  $r \in \{0, 1\}$  uniformly at random ;
15    if  $r = 0$  and  $\mathcal{R}$  contains a repairing sequence for  $C_j$  then
16      Apply the repairing sequence for  $C_j$  at match  $p$  and let  $H'$  be the
        derived graph ;
17       $M' \leftarrow \{q : C_i \hookrightarrow H' \mid i \text{ odd and } \neg \exists q' : C_i \hookrightarrow H(\text{tr} \circ q' = q)\}$  ;
18    else
19      Apply the repairing sequence for  $C_{j+1}$  at match  $p$  and let  $H'$  be the
        derived graph ;
20       $M' \leftarrow \{q : C_i \hookrightarrow H' \mid i \text{ odd and } \exists q' : C_{i+1} \hookrightarrow G(q =$ 
         $q' \circ a_j \wedge \text{tr} \circ q' \text{ is not total})\}$ ;
21    end
22     $M \leftarrow (M \setminus \{p\}) \cup M'$  ;
23     $H \leftarrow H'$ ;
24  end
25   $G \leftarrow H$ ;
26 end
27 return  $G$ ;

```

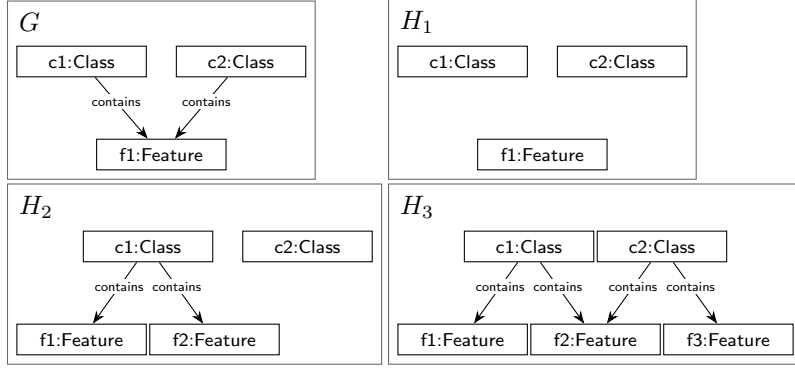


Figure 24: Possible outputs of the repairing process for G and $\forall(C_2^2, \exists(C_2^1, \text{true}))$ using the rule set $\{\text{removeFeature}, \text{createFeature}\}$.

insertion or removal of any universally or existentially bound graph, respectively. Since c is finite, the number of graphs C_i such that $C_{k_{\max}+2}$ has a (transitive) conflict with C_i is finite. Since $|M'|$ is also finite, after a finite number of applications of repairing sequences, M' contains only occurrences of graphs that have no conflicts. After a repairing sequence has been applied to all these occurrences, M' is empty and $H \models_{k_{\max}(c,G)} c$, since all occurrences p of C_j which have either been inserted or an occurrence q of C_{j+1} with $p = a_j \circ q$ has been removed satisfy $\exists(C_{j+1}, \text{true})$.

Therefore, after a finite number of iterations, the set P is empty and the largest satisfied layer has been increased by at least 1. It follows that after a finite number of iterations $G \models c$. Then Algorithm 1 terminates and returns G . \square

Example 5.3. Consider constraint $c = \forall(C_2^2, \exists(C_2^1, \text{true}))$ which is composed of the graphs shown in Figure 5. This constraint is circular conflict free and a repairing set for c is given in Figure 24. There does exist a repairing sequence for C_2^2 via the rule **remove** and a repairing sequence for C_2^1 via the rule **insert**. Using the rule set $\{\text{remove}, \text{insert}\}$, Algorithm 1 could return one of the graphs G_1, G_2 or G_3 given in Figure 24, depending on the repairing sequences used.

If \mathcal{R} is not a repairing set for a constraint c in UANF, it is unclear whether a graph G can be repaired with this set of rules. The only approach is a brute-force approach using consistency-maintaining or consistency-increasing rules up to layer k_{\max} . This can be done by equipping the rules of \mathcal{R} with maintaining, increasing or basic application conditions. In this case, we can repair G by brute-force if there is a sequence

$$G \Rightarrow_{\rho_1} \dots \Rightarrow_{\rho_n} H$$

of transformations with $\rho_1, \dots, \rho_n \in \mathcal{R}$ such that each transformation is consistency-maintaining or consistency-increasing w.r.t. c and $H \models c$. If no such sequence exists, this approach cannot repair G , even if G can be repaired with rules of \mathcal{R} .

5.4 Rule-based Graph Repair for multiple Constraints

We will now present our rule-based repair approach for a set of constraints in UANF.

Definition 5.7 (satisfaction of constraint sets). *Let \mathcal{C} be a set of constraints. A graph G satisfies \mathcal{C} , denoted by $G \models \mathcal{C}$, if $G \models \bigwedge_{c \in \mathcal{C}} c$. The set \mathcal{C} is called satisfiable if there exists a graph G with $G \models \mathcal{C}$.*

To guarantee that a set of constraints can be repaired by a set of rules, we need to extend the notion of repairing sets such that a set of rules is called a *repairing set* for a set of constraints if it is a repairing set for every constraint in the constraint set.

Definition 5.8 (repairing set for a set of constraints). *Given a set of constraints \mathcal{C} and a set of rules \mathcal{R} . Then \mathcal{R} is called a repairing set for \mathcal{C} if \mathcal{R} is a repairing set for all constraints $c \in \mathcal{C}$.*

We also extend the notion of conflicts to *conflicts between constraints*. Intuitively, a constraint c has a conflict with another constraint c' if one of its graphs has a conflict with a graph of c' .

Definition 5.9 (conflict between constraints). *Let the constraints c, c' in UANF and a set of rules \mathcal{R} be given. Then c has a conflict with c' w.r.t. \mathcal{R} if a repairing sequence*

$$C_k = G_0 \Longrightarrow_{\rho_1, m_1} \cdots \Longrightarrow_{\rho_n, m_n} G_n$$

exists for a graph C_k of c such that the concurrent rule of that sequence is not a basic consistency maintaining rule w.r.t. $\forall(C_j, \text{false})$ or $\exists(C_j, \text{true})$ for any universally or existentially bounded graph C_j of c' .

The following lemma is a useful statement for proving the correctness of our repair approach. It states that applying a repairing sequence to a constraint c cannot destroy the satisfaction of c' if c has no conflict with c' .

Lemma 5.10. *Let two constraints c and c' in UANF be given such that c has no conflict with c' w.r.t. to a set of rules \mathcal{R} . Then the concurrent rule ρ of any repairing sequence for c is a c' -preserving rule.*

Proof. Suppose ρ is not a c' -preserving rule. Then there exists a transformation $t : G \Longrightarrow_{\rho, m} H$ such that $G \models c'$ and $H \not\models c'$. Therefore, either a universally bound graph of c' has been inserted or an existentially bound graph of c' has been removed. It follows that ρ is not a basic maintaining rule w.r.t. $\forall(C_j, \text{false})$ for all universally bound graphs C_j of c' or ρ is not a basic maintaining rule w.r.t. $\exists(C_j, \text{true})$ for all existentially bound graphs C_j of c' , which is a contradiction. \square

The *conflict graph* for a set of constraints and *circular conflicts* for it are defined in a similar way to the conflict graph and circular conflicts for a constraint. A set of constraints is called *circular conflict free* if each of its constraints is circular conflict free and there is no sequence $c = c_0, \dots, c_n = c$ such that c_i has a conflict with c_{i+1} for all $0 \leq i < n$. In other words, the conflict graph of this set is acyclic.

Algorithm 2: Repair for a circular constraint-conflict free set of constraints

Data: A graph G , circular constraint-conflict free set of constraints \mathcal{C} and a repairing set \mathcal{R} for \mathcal{C} .

Result: A graph H with $H \models \bigwedge_{c \in \mathcal{C}} c$.

```
1  $(c_1, \dots, c_n) \leftarrow$  topological ordering of  $\mathcal{C}$  ;  
2 for  $i \leftarrow 1$  to  $n$  do  
3   | Repair  $c_i$  in  $G$  with Algorithm 1, let  $H$  be the returned graph ;  
4   |  $G \leftarrow H$  ;  
5 end  
6 return  $G$ ;
```

Definition 5.11 (conflict graphs, circular conflicts). *Given a set of constraints \mathcal{C} in UANF. The conflict graph of \mathcal{C} is constructed in the following way. For each constraint $c \in \mathcal{C}$ there is a node. If there is a conflict between c and c' , there exists an edge e with $\text{src}(e) = c$ and $\text{tar}(e) = c'$.*

A constraint c has a transitive conflict with c' if the conflict graph of \mathcal{C} contains a path from c to c' . A constraint c has a circular conflict if c has a transitive conflict with itself. A set of constraints \mathcal{C} is called circular conflict free if every constraint in \mathcal{C} is circular conflict free and \mathcal{C} contains no circular conflicts.

Example 5.4. *Consider the rules `resolve`, `resolve2`, `createFeatures` and constraints c_1 and c_5 given in figures 25 and 5. The constraint set $\mathcal{C} = \{c_1, c_5\}$ is a multiplicity which states that “Each node of type `Class` is connected to exactly two nodes of type `Feature`”. With the rule set $\mathcal{R}_1 = \{\text{resolve}, \text{createFeatures}\}$, there is only one conflict in \mathcal{C} ; c_1 has a conflict with c_5 , since applying `createFeatures` could lead to inserting the universally bound graph of c_5 . With the rule set $\mathcal{R}_2 = \{\text{resolve2}, \text{createFeatures}\}$ there are two conflicts. Again, there is a conflict of c_1 with c_5 , but also a conflict of c_5 with c_1 , since applying `resolve` can destroy an occurrence of the existentially bound graph of c_1 .*

Therefore, our approach can repair with the rule set \mathcal{R}_1 but not with \mathcal{R}_2 because in this case, \mathcal{C} is not circular conflict free.

Our repair process exploits the fact that the conflict graph of a circular conflict-free set of constraints in UANF is acyclic. In particular, our approach uses the *topological ordering* of this conflict graph.

Definition 5.12 (topological ordering of a graph). *Given is a graph G . A sequence (v_1, \dots, v_n) of nodes of G is called a topological ordering of G if no edge $e \in E_G$ exists with $\text{src}(e) = v_i$, $\text{tar}(e) = v_j$ and $i \geq j$. The topological ordering of a circular conflict-free set of constraints \mathcal{C} is the topological order of its conflict graph.*

It is well known that every directed acyclic graph has a topological ordering, and therefore every conflict graph of a circular conflict-free set of constraints also has a topological ordering.

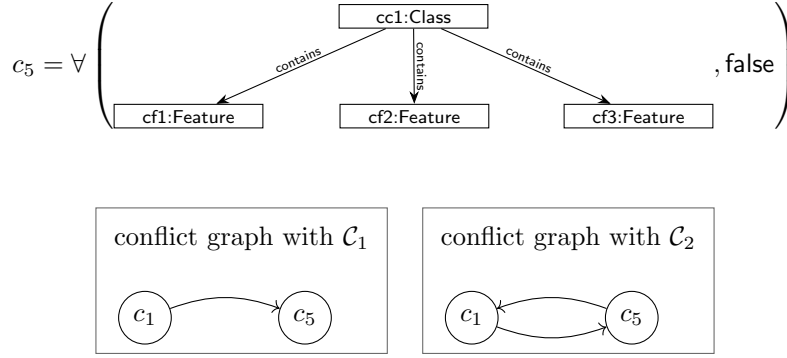


Figure 25: Constraints c_5 and conflicts graphs of the constraint set $\{c_1, c_5\}$ with the rule sets $\mathcal{C}_1 = \{\text{resolve}, \text{createFeatures}\}$ and $\mathcal{C}_2 = \{\text{resolve2}, \text{createFeatures}\}$.

The repair process is given in Algorithm 2 and proceeds as follows. First, the topological ordering of the constraint set is determined (line 1). Then Algorithm 1 is used to repair each constraint of \mathcal{C} in the order of the topological ordering (lines 2 – 4). This ensures that the satisfaction of a constraint that has already been repaired is not destroyed by the repair of another constraint.

Theorem 5.4. *Given a graph G , a satisfiable, circular conflict-free set of constraints in UANF, \mathcal{C} , and a set of rules \mathcal{R} . Then Algorithm 2 terminates and returns a graph H with $H \models \mathcal{C}$.*

Proof. Since \mathcal{C} is finite and every $c \in \mathcal{C}$ is circular conflict free, Algorithm 1 terminates for every $c \in \mathcal{C}$. Therefore Algorithm 2 will also terminate. It remains to show that the returned graph satisfies \mathcal{C} . Let (c_1, \dots, c_n) be a topological ordering of \mathcal{C} . Then no constraint c_j with $j \neq 1$ has a conflict with c_1 , and by Lemma 5.10 it follows that the concurrent rule of every repair sequence for every c_i with $2 \leq i \leq n$ is a c_1 -preserving rule. In general, the concurrent rule of each repairing sequence for c_j is a c_i -preserving rule if $i < j$. Note that in Algorithm 2 each repairing sequence can be replaced by its concurrent rule. After one iteration it holds that $G \models c_1$. Suppose that after m iterations it holds that $G \models c_i$ for all $1 \leq i \leq m$. In iteration $m+1$, c_{m+1} is repaired by Algorithm 2. Since each concurrent rule of each repairing sequence of c_{m+1} is a c_i -preserving rule for all $1 \leq i \leq m$, the application of repairing sequence can be replaced by its concurrent rule, and Algorithm 2 applies only these concurrent rules, it follows that $H \models c_i$ for all $1 \leq i \leq m+1$. Therefore, after n iterations, $H \models c_i$ for all $1 \leq i \leq n$ and the returned graph G satisfies \mathcal{C} . \square

6 Related Work

In this section, we summarise other concepts for rule-based graph repair.

Iterative Development of Consistency-Preserving Rule-Based Refactorings:

Becker et al. [3] introduced an interactive approach to construct consistency-preserving transformation based on their invariant checker introduced in [2] for so-called *well-formedness constraints*. These are constraints of the form $\neg\exists(c_1, \text{true})$ or $\neg\exists(C_1, \neg\exists C_2, \text{true})$. Given a consistent graph, a well-formedness constraint and a refactoring specification, which is a set of rules in the single-pushout approach [5], the invariant checker constructs all minimal counterexamples that lead to a non-consistency preserving transformation via rules of the refactoring specification. If there are no such counterexamples, then any transformation is consistency-preserving. This approach is designed to be fully interactive, requiring the user to revise the refactoring specification until no counterexamples are returned.

Ensuring Consistency of Conditional Graph Grammars: Heckel and Wagner [9] have presented an approach to construct consistency-preserving application conditions for rules in the single-pushout approach and a constraint of the form $\forall(C_1, \exists(C'_1, \text{true})) \wedge \dots \wedge \forall(C_n, \exists(C'_n, \text{true}))$. Although the constructed application conditions are not presented as nested-conditions, they can be transformed into nested conditions of the form $\forall(C_1, \exists(C_1^1, \text{true}) \vee \dots \vee \exists(C_1^{k_1}, \text{true})) \wedge \dots \wedge \forall(C_n, \exists(C_n^1, \text{true}) \vee \dots \vee \exists(C_n^{k_n}, \text{true}))$.

Sustaining and Improving graduated Graph Consistency: Kosiol et al. [10] have introduced the notions of (direct) consistency-sustaining and (direct) consistency-improving transformations as already introduced in section 2.4. This approach is designed for rules in the double-pushout approach and nested-conditions in ANF. They have introduced a method to construct consistency-sustaining application conditions, a sufficient criterion for consistency-sustaining transformations and a necessary criterion for consistency-improving transformations, which have been implemented and evaluated.

Constructing optimized constraint-preserving application conditions for model transformation rules: Nassar et al. [11] have introduced a method to construct consistency-sustaining and consistency-preserving application conditions in the framework of \mathcal{M} -adhesive categories. Due to some optimisations, these application conditions are less restrictive and less complex than those described in [8] and [10]. They have introduced the notion of *weakest application conditions*. As the name suggests, a weakest application condition is implied by any other application condition with the same property. For example, a weakest consistency-preserving application condition is implied by every other consistency-preserving application condition. The construction of the application conditions has been implemented as an eclipse plug-in called *OCL2AC*, which is able to construct consistency-guaranteeing, weakest consistency-preserving or consistency-sustaining application conditions.

Rule-based Graph Repair: Sandmann and Habel [15] have introduced a repair process for so-called *proper constraints* based on so-called *repair programs*. A constraint in ANF is called *proper* if it ends with $\exists(C, \text{true})$ or is of the form $\exists(C_1, \forall(C_2, \text{false}))$ or $\forall(C_1, \text{false})$. The authors describe a method for inductively constructing a repair

program consisting of rules in the double-pushout approach that, when applied to a non-consistent graph, returns a consistent graph. They also introduce graph repair given a set of rules \mathcal{R} . The approach can be used to repair a graph with rules from \mathcal{R} if there is a repair program such that for every rule in the repair program there is an equivalent rule in \mathcal{R} .

Rule-based Repair of EMF Models: Nassar et al. [13, 12] introduced a repair approach for models of the *eclipse modeling framework* (EMF) [16]. In particular, this approach is able to repair multiplicities of a given EMF metamodel. Multiplicities can be described as nested conditions of the form $\forall(C_1, \exists(C_2, \text{true}))$ and $\forall(C_1, \text{false})$. The approach was implemented using two Eclipse plugins in Henshin [1]. One plugin derives rules for the repair process from a metamodel. The other plugin is an implementation of the repair process.

7 Conclusion

In summary, we have introduced a new concept of consistency, which leads to the new notions of the notions of consistency-maintaining and consistency-increasing transformations and rules, which is finer-grained, compared to the already existing notions of consistency preserving, consistency guaranteeing, consistency sustaining and consistency improving. Finer-grained, in the sense that the smallest increases and decreases of consistency can be detected, namely the insertion or removal of one graph element. We have compared our notions with the already existing notions mentioned above. The notions of consistency-maintaining and consistency-improving are related to the notions of consistency-preserving and consistency-guaranteeing, and are generally not related to the notions of consistency-sustaining and consistency-improving. Only in special cases, for specific constraints, are these notions related or even identical.

Furthermore, we have introduced application conditions such that a rule equipped with this condition is consistency-maintaining or consistency-increasing. In particular, we introduce two types of application conditions. First, application conditions for general rules, and second, application conditions for a special set of rules, which we call basic-maintaining and basic-increasing rules, respectively, where the application conditions for basic rules are less complex and smaller in size compared to the general application conditions.

We have introduced a rule-based graph repair process based on our new notions of consistency-maintaining and consistency-increasing for a particular type of constraints in ANF, which we call circular conflict-free constraints, using a given rule set. We present characterisations of these circular conflict free constraints and a characterisation of a rule set that is able to repair a constraint using our repair process. In addition, we extend the notion of conflicts in constraints to the notion of conflicts between constraints, and present a rule-based graph repair process for a satisfiable circular conflict free set of constraints, which is based on the repair process for one constraint.

Future work is to extend the notions of consistency-maintaining and consistency-

increasing transformations for all types of nested constraints, and a rule-based repair process for all satisfiable nested constraints. Although we have presented characterisations for circular conflict-free constraints, it remains unclear for which practical applications our approach is suitable. This may require implementation and further evaluation of the repair process, characterisations and construction of application conditions.

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